United Way of Kentucky

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VIA E-MAIL AND U.S. MAIL

September 18, 2009

Mr. Jeff Derouen
Executive Director
Kentucky Public Service Commission
P.O. Box 615
211 Sower Boulevard
Frankfort, KY 40602-0615

RE: Annual Status Report regarding 2-1-1 Implementation

Dear Mr. Derouen:

Pursuant to the Administrative Case No. 343 dated August 17, 2004 designating United Way of Kentucky as lead agency for implementation of the 2-1-1 dialing code in Kentucky, enclosed please find our annual report on the progress of the 2-1-1 initiative.

We have sincerely appreciated the opportunity to meet with you and the Commissioners twice this year to review our progress.

If you have any questions about the report, the Business Plan, or need any additional information, please do not hesitate to contact me.

Sincerely,

Terry S. Tolan
President

Enclosure

United Way
Kentucky
2-1-1
connecting people and services

Status Report to the

Kentucky Public Service Commission

from

United Way of Kentucky

2-1-1 Statewide Implementation
Administrative Case No. 343

September 15, 2009

Introduction

In July of 2000, the Federal Communications Commission reserved the abbreviated 2-1-1 dialing code nationwide for access to health and human service information and referral (I/R) services.

In 2001, following informal meetings held by the Kentucky Public Service Commission to discuss the assignment of 2-1-1 in the Commonwealth, United Way of Kentucky (UWKY) petitioned the Commission to assign the 2-1-1 dialing code to UWKY and its affiliated organizations. UWKY proposed that it be designated as the lead agency for the statewide implementation of 2-1-1 in Kentucky. The Commission granted UWKY provisional authority over 2-1-1 for a three-year period to develop a pilot program for the implementation of 2-1-1, and to report on its progress at the end of that time.

In 2004, UWKY submitted its report to the Commission on the progress of its pilot efforts, including its comprehensive business plan for Kentucky 2-1-1.

On August 17, 2004, the Kentucky Public Service Commission issued an order granting UWKY the permanent designation as the lead agency for the statewide implementation of 2-1-1 in Kentucky. The Commission directed that UWKY make annual reports on the progress of the 2-1-1 initiative. Pursuant to that order, UWKY submits the following status report.

Kentucky's 2-1-1 Business Plan

UWKY remains committed to implementing a statewide plan for Kentucky 2-1-1 (original plan was presented to the Commission in 2004). Recognizing that our original plan was now more than 5 years old, and there had been many changes in the economic reality and technology, in 2009, UWKY convened a group made up of public and private sector volunteers to work with consultants to refresh and reshape our plan. With the new plan in place, we are actively pursuing meetings with individual legislators and with legislative committees. A copy of the new plan is attached to this report.

While the expansion of 2-1-1 has been slower than originally anticipated due to the lack of available funding to support the project, we continue to believe that statewide implementation is critical to the Commonwealth and will continue to pursue a public/private partnership to provide it.

Barriers to Implementation

The single largest barrier to full implementation of statewide 2-1-1 in the Commonwealth remains the availability of adequate funding to develop and maintain the system on an ongoing basis.

We believe that a substantial public sector commitment at both the state and federal level is needed to insure the vitality of 2-1-1 in Kentucky. The public dollars would supplement United Way contributions and private funds, giving private donors

confidence that their dollars were helping to create and sustain an essential service for the Commonwealth.

While public support is necessary to enhance the 2-1-1 service in metropolitan areas in Kentucky, it is absolutely essential to the creation of 2-1-1 outside the "Golden Triangle." Rural areas, where I/R is virtually non-existent and services are often most needed, lack the corporate resources to develop such a service.

UWKY continues to explore opportunities for state funding for our 2-1-1 system. Even if federal funding were to become available to create a statewide network, a sustainable 2-1-1 program will need ongoing state and local support. Indeed, in most states where statewide 2-1-1 access is available, the state itself funds a large portion of the cost of the service. We recognize that there are many competing needs for Kentucky's tight revenue. But the evidence shows that funding 2-1-1 is a sound investment.

National View

2-1-1 service is now available to more than 80% of the population of the United States. Kentucky lags far behind, with service to only 47% of our population. In states without full coverage, as in Kentucky, those lacking access to 2-1-1 services tend to be in rural areas.

Summary

Despite the lack of sustainable funding for a statewide system, Kentucky 2-1-1 continues to make substantial progress. The 2-1-1 service continues to be enhanced in central Kentucky, and is now available to over 47% of all Kentuckians.

The Commission has been an invaluable partner and resource to UWKY in our implementation process. We appreciate the Commission's interest in the 2-1-1 initiative and its designation of UWKY as the lead agency for statewide implementation.

United Way
Kentucky

2-1-1 ™

connecting people and services

KENTUCKY 2-1-1
Strategic Business Plan
May 2009

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CONTACT

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CSCG
Civil Society Consulting Group, LLC

EXECUTIVE SUMMARY

About 2-1-1

"2-1-1" is the three digit dialing code designated in 2000 by the Federal Communications Commission to provide widespread public access to community information and referral services. In response, there has been a national effort to develop statewide "2-1-1 systems" to ensure that 2-1-1 becomes as easily recognized as 911 and 411.

As of March 2009, 2-1-1 was available to over 234 million Americans, more than 78% of the entire population, through 244 active 2-1-1 systems covering all or part of 48 states (including 31 states with 90%+ coverage) plus Washington DC and Puerto Rico. In 2008, 2-1-1s responded to over 14 million calls. This represents a more than 40% increase over the previous year, an increase driven not only by expanded access but by Americans' growing need for services to help them confront the current economic crisis.

2-1-1 in Kentucky

Development of 2-1-1 in Kentucky has been underway since 2001 when the United Way of Kentucky was assigned responsibility for the 2-1-1 dialing code by the Kentucky Public Service Commission. Designation of United Way as the lead agency for statewide implementation of 2-1-1 was made permanent by the PSC in 2004.

Today, 2-1-1 is available to some 1.7 million people in 21 counties, roughly 43% of our state's population through 2-1-1s in Louisville, Lexington and Northern Kentucky. Together they handled over 67,000 calls in 2008.

2-1-1 has demonstrated its value in Kentucky. Now is the time to ensure that everyone in the state has access to this vital service.

Our Plan

Kentucky 2-1-1 is building a statewide 2-1-1 system that will combine decentralized services with shared systemwide functions. This model has been independently assessed nationally as the most cost-efficient and effective model for a statewide system. It will include:

- 2-1-1 centers and local partners that will contribute local information to an integrated, comprehensive statewide database of community resources while building the public visibility of 2-1-1;

- a robust system of call centers interconnected through a shared telephone routing system that will provide uninterrupted service to 2-1-1 in times of disaster;

- a highly visible website; and,

- a single office, incorporated as an independent non-profit subsidiary of United Way of Kentucky, that manages systemwide functions, coordinates marketing and resource development and acts as the primary link to state government.

Based on our experience in Kentucky and that of 2-1-1 systems in other states, we project that by the third full year of operation as a completed system, we will be handling almost 250,000 calls annually.

The Demonstrated Value and Impact of 2-1-1 Nationwide

Throughout the country 2-1-1 systems consistently provide significant public benefits in a variety of ways, including:

- Improving the way in which people learn about and connect with the services they need;

- Helping to create new efficiencies in delivery of health and human services;

- Providing a new resource for businesses and other employers to help their employees while maintaining their productivity;

- Providing a new way in which government can respond to the expectations and needs of all their constituents;

- Providing an expanded infrastructure for information and referral that can ensure consistent, standards-driven service;

- Serving as a support system for emergency management and playing a role in homeland security;

- Providing new trend data on health and human service needs, met and unmet, for planning and resource allocation;

- Connecting people with opportunities to "give help" through volunteering and contribution of money and in-kind goods.

Why 2-1-1 Is Important to Kentucky Now

Why is 2-1-1 critically important to the people of Kentucky?

We are living through a period of economic and social transformation that has touched the lives of virtually everyone – as old jobs disappear before new ones are in place, as we seek to maximize the investment we have made in our public sector by making government more efficient and more effective and as we recognize that increased attention must be given to homeland security and emergency management. As change affects all of us, we must seek new ways to connect with one another and with the help all of us need at some point in our lives.

2-1-1 will respond to these needs:

- It is a major challenge for people in Kentucky to learn about and connect with services that are available.

- The growing need of our population for human services increases the need to effectively and efficiently connect people with the broadest possible range of community resources.

- Our state and communities must be fully prepared to respond to and recover from natural and man-made disasters.

- There is ongoing demand for greater efficiencies in service delivery, both within the public sector and in nonprofit organizations.

The Benefits of 2-1-1

2-1-1 will be of immediate added value:

- Providing an easy, visible, timely and non-judgmental universal access point to information and referral from a live referral specialist for people who need to turn outside their families or other networks for help that is available;

- Increasing efficiency by helping callers clearly define their needs and access appropriate help, reducing misdirected calls to agencies, and providing a ready resource for service providers to use in referring their current clients to additional services available from other providers and for human resource professionals to assist their organization's employees;

- Expanding emergency response capabilities by relieving some of the burden of misdirected calls to 911 call centers, particularly after normal business hours, and by being available as an outlet for statewide dissemination of rumor-control information, and assisting in handling calls from the public during emergencies;

- Creating new knowledge about needs and gaps in services that can help elected and appointed policy-makers and public and private funders make better decisions and more effectively plan for the future; and,

- Helping people connect with opportunities to give their time and talent as volunteers to community organizations, helping to build strong, healthy communities.

As a result of 2-1-1:

- Individuals will be better able to manage their own lives because they have access to the information and resources they require to find and make decisions about the support they need.

- Service providers will have an expanded knowledge of statewide resources to help them better serve their consumers.

- Policy makers and funders – both public and private – will have more complete information about trends in demand for services and early awareness of emerging needs.

- Emergency management will have access to a new statewide infrastructure to help disseminate critical information, assist people through disasters and provide long-term connection to relief and recovery services.

- Businesses will have an additional tool to support their employees with their personal needs.

- Government will have access to a proven, 24/7/365, multilingual infrastructure available to help increase its efficiency and effectiveness.

- Public officials will be assured that their constituents are better able to get connected with the services they need in cost-effective, responsive ways.

The Partnership with State Government

As in other states with successful 2-1-1 programs, we want to work in close partnership with state government with a shared commitment to serving the people of Kentucky while developing a 2-1-1 system that is broadly supported by a wide variety of investors – federal, state, county and local governments, private foundations, businesses, community foundations and United Ways.

By working together, in a public-private partnership, we can ensure that sustaining 2-1-1 minimizes any funding impact on existing human service

providers and does not become the exclusive financial responsibility of state government by attracting private sector support for the system.

We are seeking four things from state government:

- Positioning with state agencies as a "preferred partner/vendor" or "first choice" in providing phone-based information and referral services in support of agencies' priorities;

- Financial support for development and operation of the 2-1-1 system with specific focus on investment in start-up costs for the system – particularly development of the statewide database and the required technology infrastructure – and ongoing investment in operational costs;

- Recognition and definition of the role 2-1-1s can play in supporting disaster preparation, prevention, response and recovery activities; and,

- Formal designation as the conduit for federal funds that may come available for the support of 2-1-1 nationwide.

FINANCIAL SUMMARY

Funding Requirements

There are four primary cost areas for Kentucky 2-1-1:

- Ongoing operations of the existing 2-1-1s;

- Expansion of 2-1-1 to areas not currently served;

- Systemwide functions – this includes integrated call management, statewide database and web site, marketing, etc.; and,

- Management of the system.

Nationwide, states which have established statewide 2-1-1 systems have annual operational costs of roughly $1.00 to $1.50 per capita. When the Kentucky 2-1-1 system is fully implemented it is projected to cost approximately $1.20 per capita to operate, while handling over 340,000 calls annually – equivalent to 8% of the population.

Transition to the statewide system will also require a one-time investment of approximately $662,000 over a five year period.

Regional 2-1-1 Call Centers	Local Cost & Call Volume Projections					5 Year Totals
	Year 1	Year 2	Year 3	Year 4	Year 5	
Bluegrass	$302,248	$522,425	$558,567	$599,400	$619,688	$2,602,328
Metro Louisville	$497,367	$588,189	$612,129	$657,801	$696,009	$3,051,495
North Kentucky	$141,849	$420,015	$461,895	$505,980	$547,618	$2,077,357
Outstate	$0	$892,095	$1,293,045	$1,427,455	$1,595,406	$5,208,001
One-time Transition Costs	$20,000	$139,300	$213,633	$58,333	$36,333	$ 467,600
Total Call Center Costs	**$961,464**	**$2,562,023**	**$3,139,269**	**$3,248,970**	**$3,495,055**	**$13,406,781**
State Office						
State Office Operating Costs	$34,130	$344,640	$866,293	$1,586,192	$1,613,504	$4,444,760
State Office One-time Transition	--	$71,667	$43,333	$48,333	$31,667	$ 195,000
Total State Office	$34,130	$416,307	$909,627	$1,634,525	$1,645,171	$4,639,760
Total State System Cost	**$995,594**	**$2,978,330**	**$4,048,896**	**$4,883,495**	**$5,140,226**	**$18,046,540**

Note: Year 1 figures reflect actual operating budgets for 2009. Costs for North Kentucky are based on the percentage of Kentucky residents in the total population served by United Way of Greater Cincinnati 2-1-1. Supporting details for these projections can be found in Appendix C.

Financing Plan

United Ways in Kentucky have made a significant investment to develop and support the existing 2-1-1 service available to more than 40% of state residents. The current level of support is not sustainable by the United Ways. Achieving our goal of sustained, predictable funding for the entire *Kentucky 2-1-1* system will require a significant long-term

commitment from state government as well as ongoing support from a broad mixture of private sources – United Ways, private foundations and business – and local funding obtained by 2-1-1s from both public and private sources. A diverse funding base will enable 2-1-1 to expand to serve everyone in the state, while growing and adapting to meet evolving community demands.

Working in close cooperation with our Congressional delegation, state government, United Way of Kentucky, and the 2-1-1s, we will continue aggressive efforts to secure passage of the federal *Calling for 2-1-1 Act* which could bring as much as $1.45 million per year into the *Kentucky 2-1-1* system. The *Calling for 2-1-1 Act,* as currently written, will require a 1:1 match within each state.

While we must seek to maintain as much of the current funding as possible to meet this federal matching requirement, we also need to recognize that in the current economic crisis, some of that funding is likely to disappear and that we must, collectively, seek new sources from public and private sources. This mix of funding must include ongoing support from state government, potentially through passage of a statute by the General Assembly to provide permanent financial support for 2-1-1. A statute would eliminate concern about discretionary decision making by various administrative agencies and ensure a long-term funding mechanism from to plan for the growth and needs of the 2-1-1 system, while ensuring Kentucky is positioned to secure every available dollar of federal funding.

2-1-1 FOR KENTUCKY

Background "2-1-1" is the three digit dialing code designated in 2000 by the Federal Communications Commission to provide widespread public access to community information and referral services. In response, there has been a national effort to develop statewide "2-1-1 systems" that will ensure that 2-1-1 becomes as easily recognizable as 911 and 411.

Here in Kentucky, we have been working in partnership since 2001 to make 2-1-1 available throughout the state. Today, 2-1-1 is available to some 1.7 million people, roughly 43% of our state's population through 2-1-1s in Louisville, Lexington and Northern Kentucky. Together, they handled over 67,000 calls in 2008.

Now, we are prepared to launch a full statewide system to ensure that everyone in Kentucky can reach 2-1-1 whenever they need it. This strategic plan results from collaborative planning by existing 2-1-1s, United Ways and state government.

We are building a statewide system that is a:

- **Simple, quick link 24/7/365, around the clock every day,** to connect people, by phone and Internet, efficiently and effectively to appropriate services and to opportunities to give help through volunteering. An easy number to remember, 2-1-1 will route people directly to services, helping them to avoid the potentially complex maze of the human service system.

- **Partner with government** in helping create greater efficiencies in the delivery of health, community and human services – saving time of service delivery staff by ensuring that more people get to the right place the first time and using data on gaps in services, trends in service requests and emerging needs in planning and resource allocation.

- **Partner in homeland security and emergency management** to assist in response and recovery to natural and man-made disasters and emergencies by providing easy access to information that needs to be communicated to our residents and ongoing connection to needed services.

- **Partner with business** to ensure that working people have efficient and effective access to health, community and human services that they and their families may need, helping them to remain productive.

- **Community barometer** for identifying needs, trends or gaps in service and communicating them to public and private decision-makers and funders.

The Impact of 2-1-1 2-1-1 is a proven response to the demand for access to critical community information and referral services. It is an efficient solution that can eliminate the confusing maze of information and services that often overwhelms individuals who need help. It improves upon existing, decentralized services and offers professionals and organizations in health and human services a way to enhance their impact and maximize scarce resources. It can help both governments and nonprofit organizations operate more efficiently and save money.

As a result of 2-1-1:

- **Individuals** are better able to manage their own lives because they have access to the information and resources they require to find and make decisions about the support they need.

- **Service providers** have an expanded knowledge of available resources to help them better serve their consumers.

- **Policy makers and funders** – both public and private – have more complete information about trends in demand for services and early awareness of emerging needs.

- **Emergency management** has access to a new statewide infrastructure to help disseminate critical information, assist people through disasters and provide long-term connection to relief and recovery services.

- **Businesses** have an additional way to support their employees with their personal needs in an efficient and effective way.

- **Governments** have access to a proven, 24/7/365 infrastructure available to help increase their efficiency and effectiveness.

- **Public officials** are assured that their constituents are better able to get connected with the services they need in cost-effective and responsive ways.

Why People Turn to 2-1-1

2-1-1 provides people with information about and connection to health, community and human services resources for both every day needs and for times of crisis:

- **Basic Human Needs Resources**: food banks, clothing closets, shelters, rent assistance, utility assistance.

- **Physical and Mental Health Resources**: health insurance programs, Medicaid and Medicare, maternal health, access to medical care for uninsured people, Children's Health Insurance Program, medical information lines, crisis intervention services, support groups, counseling, drug and alcohol intervention and rehabilitation.

- **Employment Supports**: financial assistance, job training, transportation assistance, education programs.

- **Support for Older Americans and Persons with Disabilities**: adult day care, congregate meals, Meals on Wheels, respite care, home health care, transportation, homemaker services.

- **Support for Children, Youth and Families:** child care, after school programs, Head Start, family resource centers, summer camps and recreation programs, mentoring, tutoring, protective services.

- **Housing Support:** temporary housing needs, mortgage assistance programs, and various voucher and low income support programs.

- **In Times of Crisis or Disaster**: current information on preparation for, response to and recovery from natural and man-made disasters, working in partnership with state and county emergency management agencies.

Here are some of the people who turn to 2-1-1:

- An uninsured person needs an appointment with a medical provider.

- The mother of a 12 year old seeks counseling for her son who is not going to school regularly.

- A senior needs help to continue living in his own home.

- A single mother is worried about the gas shut-off notice she just received.

- A caller is depressed, considering suicide and wants help.

- A mother calls looking for after school care for her children.

- A young woman with a disability inquires about available transportation.

- A caller needs information about applying for food stamps.

- An adult child calls for help to find a day care facility for an aging, fragile parent.

- A guidance counselor is searching for parenting education classes for a teen father.

- A caller with a gambling problem seeks services.

- A human resource manager looks for help for an employee

- A police officer on patrol wants to find a shelter bed for a homeless person.

- A person whose home has been devastated by a violent storm needs help in navigating the disaster recovery services available to help them.

The Development of 2-1-1 Nationally

In May 1997, the United Way in Atlanta adopted the 2-1-1 dialing code as the way for people to gain access to their comprehensive information and referral services. When combined with well-conceived marketing, this almost immediately gave telephone-based information and referral services the brand clarity and visibility that they had been lacking. The result was a dramatic increase in the volume of calls received and in public acceptance of the service as well as an understanding by state and local government of the value of 2-1-1 as an "early warning system" for emerging issues. 2-1-1 also became the primary way for people in Atlanta to connect with opportunities to volunteer – thus leading to the framing concept of 2-1-1 as a way to both *get help* and *give help*.

The success of 2-1-1 in Atlanta gave rise to a collaborative national effort, led by the United Way of America and the Alliance of Information and Referral Systems (AIRS) to secure 2-1-1 for use exclusively for access to comprehensive information and referral services. As a result, in July 2000 the Federal Communications Commission made that designation.

As of March 2009, 2-1-1 was serving over 234 million Americans, more than 78% of the entire population, through 244 active 2-1-1 systems covering all or part of 48 states (including 31 states with 90%+ coverage) plus Washington DC and Puerto Rico.

In January 2009, the 2-1-1s in the U.S. joined in "the Big Count," a tabulation of calls handled in calendar year 2008. The total – over 14 million calls – represents a more than 40% increase over the previous year. This enormous increase was driven not only by expanded access but by the growing need of Americans to connect with services to help them confront the growing economic crisis.

2-1-1 in Kentucky

In 2001, following informal meetings held by the Kentucky Public Service Commission to discuss the assignment of 2-1-1 in the Commonwealth, United Way of Kentucky (UWKY) petitioned the Commission to assign the 2-1-1 dialing code to UWKY and. that it be designated as the lead agency for the statewide implementation of 2-1-1 in Kentucky.

The Commission granted UWKY provisional authority over 2-1-1 for a three-year period to develop a pilot program for the implementation of 2-1-1, and directed it to report on its progress at the end of that time.

In 2004, UWKY submitted its report to the Commission on the progress of its pilot

efforts, including its comprehensive business plan for *Kentucky 2-1-1*.

On August 17, 2004, the Kentucky Public Service Commission issued an order granting UWKY the permanent designation as the lead agency for the statewide implementation of 2-1-1 in Kentucky. Since then, there has been steady development of 2-1-1:

- The United Way of Greater Cincinnati/Northern Kentucky was established in 2003, available to almost 350,000 people in four counties in Kentucky;

- The United Way of the Bluegrass 2-1-1 in Lexington was established in 2005, available to 500,000 people in nine counties;

- The Metro United Way 2-1-1 in Louisville was established in 2006, available to 917,000 people in nine counties.

Together they handled over 67,000 calls in 2008. Since 2-1-1 service became available in Kentucky the three active call centers collectively have handled 175,000 calls as of March 2009.
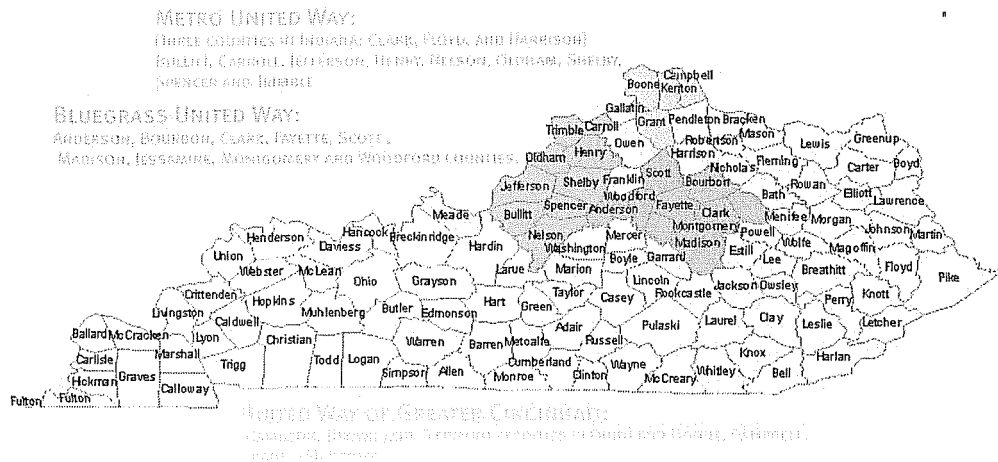
Building the Kentucky 2-1-1 State System	This plan provides a strategic roadmap for achieving statewide access to 2-1-1 service.

Our **mission** reflects our commitment to the state:

> *Kentucky 2-1-1*, always available, responds to the needs of the State by providing reliable, accurate and consistent information and referral options while responding the users' personal and cultural values.

Our **guiding principles** call for us to be:

> **Good Stewards of Resources.** There will be full accountability for effective and efficient use of resources with a systemwide commitment to high standards, organizational improvement, evaluation, and training. We will have the capacity to be adaptable to expanding and contracting call volumes, emergencies and other

community needs.

Supported. Broad participation from the total community including government, United Ways, non-profit organizations, businesses, consumers and others is needed to develop and sustain a comprehensive statewide 2-1-1 system .

Accessible. Information and referral services are available to everyone, including those with sensory impairments or limited knowledge of English, in ways that respect and respond to cultural differences, and provide access through telephone, printed materials, the Internet, and emerging modes of access.

Customer Focused. *Kentucky 2-1-1* will provide excellent customer service in a compassionate, safe, non-judgmental, and culturally sensitive manner, pursuant to applicable laws.

Confidential. All information collected will be held in the strictest confidence except as mandated by applicable laws.

Reliable and Accurate. The 2-1-1 call centers and website will offer consistent quality resource information that is reliable, accurate, current and comprehensive by those who are knowledgeable about local resources.

Standards-Based. 2-1-1 service will be delivered in keeping with the national AIRS Standards for Information and Referral Services.

Dedicated to Service Improvement. 2-1-1s are committed to enhancing communities' ability to focus on service improvement by providing aggregate data analysis about caller needs, unmet needs and services available.

Visible and Recognized. *Kentucky 2-1-1* will work with our partners throughout the Commonwealth to promote utilization of 2-1-1 statewide through education, outreach, individual support and advocacy that demonstrates we are a credible and trusted resource.

Kentucky 2-1-1 will be a 2-1-1 system based on a proven model that is cost-efficient and effective, combining decentralized services with shared systemwide functions. It will include:

- designated centers that will contribute local information to an integrated, comprehensive statewide database of community resources while building the public visibility of 2-1-1;

- a robust system of call centers interconnected through a shared telephone routing system that will provide uninterrupted service to 2-1-1 in times of disaster;

- a highly visible website; and,

- a single office that manages systemwide functions, coordinates marketing and resource development and acts as the primary link to state government.

Based on our experience in Kentucky and that of 2-1-1 systems in other states, we project that by the third full year of operation as a completed system, we will be handling almost 250,000 calls annually.

DEMONSTRATED VALUE AND IMPACT OF 2-1-1 NATIONWIDE

Why 2-1-1 Is Important

Across the country, 2-1-1s offer significant benefits to states and local communities. While the specifics of these benefits may differ from place to place based on the local environment, unquestionably 2-1-1s are a valuable asset with demonstrated value in the following distinct areas.

Provide an expanded infrastructure for consistent, standards-based information and referral.

At the national, state, and local levels, 2-1-1s have built an exceptional infrastructure that supports high-quality, consistent, national standards-based, information and referral services. 2-1-1s, now accepted as a "social utility," integrate excellent technology and professional staff resulting in state-of-the-art information and referral services.

Working in close cooperation with specialized information and referral (I&R) providers, 2-1-1 can build a more integrated system that will improve public access to services, help them operate more efficiently and over time help improve the overall quality and consistency of I&R services.

Improve the way in which people connect with the services they need by making available.

- 24/7 phone and online access to comprehensive information about public and non-profit services, including direct connection to crisis mental health services;

- Confidential, non-judgmental assistance from trained, caring, 2-1-1 specialists who help individuals clearly define their needs and address their concerns as early as possible, thus reducing demand for costly services in the future;

- Referrals that are sensitive to the callers' needs, taking into account geography, culture, language, disability, and other factors;

- Information about public sector, nonprofit and faith-based services;

- Links to other 2-1-1s throughout a state or multi-state region, thereby serving individuals and families where they live and work;

- Direct connection to crisis mental health services.

By helping callers clearly define their needs, 2-1-1 can help people address problems as early as possible and take preventative steps. This contributes to their long-term personal and family stability and reduces demand for costly services in the future.

Having created a brand that is synonymous with easy-to-access help, 2-1-1 makes it easier and more acceptable for *all* people to use the human service systems. This is particularly true for those who may be reluctant, because of their age or cultural perspective, or who may find it difficult to seek help. Ease of connectivity is especially important during a time of global recession as people who have never before had to ask for help are seeking assistance for the first time.

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Help to create new efficiencies in delivery of health and human services.

- 2-1-1 helps people get to the right agencies, thus relieving some of the burden on service providers of committing staff time to handling misdirected calls from people who, in the absence of easily accessible information, are "shopping" for the help they need.

- 2-1-1 is a resource to service providers to help them do their jobs more easily – as a proven high quality service that providers can use to refer consumers with needs outside their scope of services. It is also resource for the providers to use in making their own referrals to and connections with other providers.

- 2-1-1 reduces costly duplication of effort among agencies in building and maintaining their own comprehensive databases of services.

- 2-1-1 saves the time and eases the frustration of people in their search for appropriate services for which they are eligible.

Serve as a support system for emergency management and play a role in homeland security to create new efficiencies in delivery of health and human services in times of disaster.

2-1-1 has served as a memorable, easy-to-access resource for residents of an entire county or state to call for critical information in times of crisis. During and immediately after emergencies throughout the country – health crises or blackouts, natural disasters such as tornados or floods or man-made crises – 2-1-1 systems have helped save and rebuild lives. In times of disaster, 2-1-1 complements the work of first responders by helping reduce the overwhelming number of phone calls to 911, emergency management and other first-response organizations, freeing them to focus on their primary work. During the recovery period following a crisis, 2-1-1s have served as a longer-term resource by coordinating information on the status of available health and human services, connecting victims with the help they need and helping disseminate information on the details of local recovery, and informing individuals where to send cash or in-kind donations or to volunteer to help.

Provide a new resource for employers to help their employees while maintaining their productivity.

2-1-1 has the potential to save time, support stressed employees, increase employment opportunities, decrease absenteeism and support employee assistance programs. Thus, 2-1-1 draws support from leaders of both business and organized labor.

Provide a new way in which governments can respond to the expectations and needs of all their constituents.

Governments at all levels face remarkable new challenges. More and more of our residents are finding it difficult to make ends meet. People who have never before had to ask for help are facing unemployment, foreclosure and loss of confidence in themselves and the society. A growing number of our residents are seniors; over time, this will bring new demands on our service delivery system. We are faced with the need to do more with less while maintaining our tradition of high quality, responsive service to our people.

By making comprehensive information and referral accessible to the public, 2-1-1 becomes a new asset that has significant potential to help government at all levels respond to the challenges they face:

- 2-1-1 is a 24/7/365 call center **accessible to everyone.** It has the staff, or the capacity through contracted services, to communicate with any caller, regardless of language spoken or sensory impairment.

- It can help **support more effective 911 service delivery** both day-to-day and in times of crisis. It can remove the need for 911 to be what one 911 coordinator described as "the primary social service responder after hours and on weekends" by providing trained staff prepared to handle not only calls directed to 2-1-1 but also calls transferred from 911. For example, during Hurricane Charley in 2004, the 911 coordinator in Lee County, Florida, estimated that in the week of the storm, 2-1-1 took 60,000 calls that otherwise would have gone to his 911 operators. In the five peak days of the October 2007 fires in Southern California, 2-1-1 call centers, in coordination with state and federal emergency responders, answered almost 130,000 calls, many of which were generated by the Reverse 911 system that notified people in mandatory evacuation areas to contact 2-1-1 for information on evacuation routes and shelter sites.

- It **helps governments disseminate information and educate the public.** For example, *Michigan 2-1-1* supported a statewide early childhood development education campaign, by designating one of its 2-1-1 call centers to serve as the response point for the media campaign, providing personal phone assistance 24/7/365 for parents and other caregivers. By utilizing a 2-1-1 call center, the campaign's call to action **received a high level of service at a** *minimal* **incremental cost.**

- It supports public officials offering **constituent services** by providing ready access to high quality information on available services. It relieves legislative staff workloads by providing a new resource to help respond to constituent's needs. 2-1-1 can also provide officials and policy-makers detailed information on community, regional and statewide needs based on referral data collected in the course of calls to 2-1-1.

Provide an expanded infrastructure for consistent, standards-based information and referral.

By compliance with national 2-1-1 standards and specific state or local performance measures, 2-1-1 ensures that everyone who calls has the same high-quality experience.

Over time, 2-1-1 becomes accepted as a "social utility," always there and ready to respond when needed. This is particularly true as 2-1-1 becomes more visible and user-friendly on the Internet.

Working in close cooperation with specialized information and referral (I&R) providers, 2-1-1 can build a more integrated system of I&R providers that will improve public access to services, help them operate more efficiently and over time help improve the overall quality and consistency of I&R services.

Provide trend data on health, community and human service needs, met and unmet, for planning and resource allocation.

2-1-1 serves as a social barometer that provides current information on emerging needs and on demand for existing services. A sentinel in the community, 2-1-1 systems generate information that can be used in the development of public policy, in evaluation of services and in support of advocacy efforts. Because the data can be organized in a variety of ways, including geographically, it is particularly helpful in mapping relative locations of areas of high need and locations of resources. As a result, 2-1-1 contributes to better use of scarce resources, including both tax dollars and charitable contributions.

Bringing New Revenue to Communities

The Earned Income Tax Credit. In many states 2-1-1 has been used to promote free tax preparation services to help low-income families secure Earned Income Tax Credit refunds. During the 2007 tax season the 2-1-1 call center serving North Kentucky connected over 4,000 individuals to free tax preparation sites, resulting in over $9 million coming back into the pockets of low-wage earners. This is a significant source of support for vulnerable families and also generated additional new sales tax revenue for state and local government.

Cost Savings

In 2004, United Way of America commissioned the Ray Marshall Center for the Study of Human Resources at the University of Texas at Austin to conduct a national cost benefit analysis of 2-1-1. The study estimated a net value to society of a national 2-1-1 system to total over $1 billion over ten years. Researchers identified these examples of "cost savings for taxpayers, employers and government":

- Reduction in the number of 1-800 numbers funded by government;

- Cost avoidance for state and local government of misdirected calls for services;

- Decreased need for public assistance because of timely connection with appropriate intervening services;

- Enhanced tax assistance and recovery, such as the Earned Income Tax Credit;

- Reduction in non-emergency calls to 911;

- Ability to mobilize and process volunteers in times of crisis;

- Savings for business through reduced absenteeism and increased productivity due to enhanced information on where employees can find services;

- Planning information for cities and counties informed by the data collection of call volume and referrals for a comprehensive array of services;

- A broad communication network for public dissemination of information about changes in federal, state and local programs;

- Ability to disseminate public health and crisis preparedness information;

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- Time saved for individuals and families through a one-stop call center to locate a variety of services.

In an earlier study, in 1999, the Public Policy Center at the University of Nebraska concluded that a statewide 2-1-1 system could generate cost savings between $7.6 and $16.5 million annually from such factors as increased efficiency in getting information to consumers, reducing overlapping information and referral costs and improved community planning through use of call data.

THE IMPORTANCE OF 2-1-1 IN KENTUCKY

The Need for 2-1-1 in Kentucky

We are living through a period of economic and social transformation that has touched the lives of virtually everyone – as old jobs disappear before new ones are in place, as we seek to maximize the investment we have made in our public sector by making government more efficient and more effective and as we recognize that increased attention must be given to homeland security and emergency management. As change affects all of us, we must seek new ways to connect with one another and with the resources all of us will need at some point in our lives.

- *It is a major challenge for people to connect with available services.*

The reality is that, at some time or another, virtually all of us need to reach out for help, whether for ourselves, members of our family, or neighbors. Economic dislocation, aging, unanticipated life changes, illness can affect all of us. But the process through which people get connected to that help can be confusing, frustrating, inefficient, and stressful.

Too often, people looking for help in Kentucky do not know where to begin. Locating such basic resources as food, shelter, employment, or health care may mean calling dozens of phone numbers, then struggling through a maze of nonprofit organizations and public agencies, each offering a multitude of services, to make the right connections. These problems are exacerbated by forces that disrupt our connections with our community – unemployment, breakdown of families, our greater mobility, and our increased diversity, all of which increase complexity and erode traditional support systems. One service provider summed up the problem: "Clients have a huge challenge to find the service they need. It's as if we hide information on purpose."

- The three existing 2-1-1 call centers worked together in 2007 to improve access to health care, alternate health care networks, prescription programs and ancillary products, identifying over 200 agencies and programs to assist families in their service areas with health care issues.

- United Way of the Bluegrass 2-1-1 plays a lead role in educating people about the Earned Income Tax Credit and scheduling appointments for free tax preparation. In 2008, they made referrals to over 1,300 people, bringing $1.3 million back to families and the community.

- 2-1-1 is in a position to address individuals particular needs, like a bereaved mother in Lexington who lost her son to a hit and run accident. 2-1-1 was able to connect her to a local support group for those grieving the loss of a loved one. She was so pleased with the service she received she later called again when she needed financial assistance. In another case a man from Louisville called looking for resources for his aging parents who live in Lexington. He was unsure what types of resources were available, or even where to begin – but he knew they were going to need assistance in order to continue living independently. 2-1-1 connected him with some local resources, and also sent him a directory published by one of 2-1-1's aging services partners.

- *The growing need of our population for human services increases the need to effectively and efficiently connect people with the broadest possible range of community resources.*

While many parts of our state are economically healthy, too many people live in need. Twenty-one counties have poverty levels at least 50% higher than the state average of 16.3%. More and more people who have never before had to ask for help are now in need. They are unprepared to navigate the complexity of the service delivery system.

The state's unemployment rate in January 2009 was 8.7%, the highest in over twenty years, and was the largest single-month increase since March 1987. Foreclosures continue at a significantly higher pace than in previous years and it has been estimated that one in six Kentucky homeowners now owes more money than the house is worth.

Metro United Way 2-1-1 is partnering with the Kentucky Housing Corporation to respond to calls from throughout the state from people seeking assistance to avoid foreclosure on their homes. We have the nation's second highest rate of disability, 20%, among working-age adults, ages 21 to 64. There are a growing number of senior citizens in the state; it has been estimated that two-thirds of those who reached age 65 in 2005, especially women, are expected to need some long-term care during their lives. Medicaid historically has played a key role in providing health coverage for poor Kentuckians, insuring almost 15% of non-elderly residents, above the national rate. The health of too many of our residents is threatened by obesity (over 28% of adults) and smoking (almost 29%).

In order to attain self-sufficiency, individuals and their families need additional support through health and human services provided both by government and nonprofit organizations. One of the greatest barriers to receiving this help is the complexity of the service delivery systems. 2-1-1 helps people cut through this complexity – first by helping callers define their needs; and, second, by connecting them with the agencies best equipped to respond to those needs.

Some of the concrete ways 2-1-1 makes a difference include a young, single mother near Lexington who was laid off from her job. She called United Way of the Bluegrass 2-1-1 and received information about rent assistance and other help for her family, helping keep a roof over their heads and food on the table while she looked for work.

Because the service is widely promoted through United Way, a major business supporter in Lexington knew to contact 2-1-1 when they discovered a woman and her medical service dog were living in her car at the corporation's site. Company staff tried helping her, but had no idea what resources might be available. They called 2-1-1 and were able to connect her with shelter, a local agency that could work with her individually based on her needs and financial resources.

In February 2009, during a two night special call-a-thon, Metro United Way 2-1-1 connected more than 800 callers with help to deal with mortgage and foreclosure problems.

- *Our state and communities must be fully prepared to respond to and recover from natural and man-made disasters.*

Our existing 2-1-1s played significant roles in the response and recovery to natural and man-made disasters in recent years:

- In the aftermath of Hurricanes Katrina and Rita, United Way of the Bluegrass took overflow calls for the county Emergency Operations Center after EOC closed for the evening. They also took overflow calls for the American Red Cross and pre-screened all their volunteers. In addition they served as the centralized location to coordinate offers of housing. They also provided a warehouse that was used for donation drop-off as well as sorting and packing donations to be picked up by agencies travelling to the affected area. 2-1-1 also helped staff the Lexington Disaster Assistance Center providing in-person referrals to resources for people in need.

- After the Bullitt County train derailment in January 2007 the Metro United Way 2-1-1 distributed information on the disaster area, operations issues and available resources to individuals who were directly affected by the disaster or who had family members who were displaced from their homes.

- When Kentucky was battered by the tail end of Hurricane Ike in September 2008, public officials recommended that people without power call 2-1-1 to find out where to get food and shelter. In the aftermath of the storm Metro United Way in Louisville created the Wind Warriors program using 2-1-1 to register elderly and disabled residents who needed assistance cleaning up the debris and volunteers to do the clean up.

  2-1-1 Wind Warriors responded to more than 600 requests for assistance, connecting volunteers from church groups, schools, businesses and other community organizations with the vulnerable individuals and families that needed their help. One call came from a son whose mother is fighting breast cancer. He said that in the past he and his mother would have taken care of the cleanup themselves, but "Some things that she would want to do, she couldn't do herself. It's a blessing to see that somebody actually cares about people who go through things in life."

- In the January 2009 ices storm, 2-1-1s were identified by FEMA as the primary number to call for assistance in the communities where the service was available. They also helped people find shelter and coordinated community cleanup efforts.

  During the ice storm a woman from Florida called, very upset because she could not reach her aging sister who lived alone. 2-1-1 worked with the local sheriff's office to dispatch a team to conduct a "welfare check" and was able to report back that the sister was without power and was staying at a Red Cross shelter. In another case a woman trapped at home called needing her prescriptions picked up from the local pharmacy. 2-1-1 connected her with the local sheriff's department where she was able to receive a ride through their neighborhood

assistance program.

Metro United Way 2-1-1 has signed a memorandum of agreement with the Louisville Metro Emergency Management Agency to provide volunteer management, donation management and current information about disaster areas, operations issues and available resources to people affected by disasters in the Metro area. In addition, it will back-up 911 by taking non-emergency calls for information and services.

In Lexington, the United Way of the Bluegrass 2-1-1 has been selected by the Lexington-Fayette Urban County Government (LFUCG) to serve as lead agency during disasters, taking on a role previously played by the American Red Cross.

2-1-1 will be the VOAD Coordinator for LFUCG and will be responsible for updating and maintaining relationships with community resources that offer services in times of disaster. 2-1-1 also will be responsible for answering phones at the Emergency Operations Center once a city disaster is declared. 2-1-1 is also working with United Way's Volunteer Center in this project, ensuring those who want to volunteer in time of disaster know who to contact.

Kentucky is at significant risk for natural and man-made disasters -- earthquakes in the west, flooding in the east, the Bluegrass Army Depot storage of chemical weapons and the ongoing threat of tornadoes. Because of that, it is important for every part of the state to be prepared. 2-1-1 has demonstrated, both here and throughout the country, that it can be an important asset to the state in preparing for, preventing, responding to and recovering from disasters. As we build out our statewide system, we will expand our partnerships emergency management at all levels.

- *There is ongoing demand for greater efficiencies in service delivery, both within the public sector and in nonprofit organizations.*

Our elected leaders have committed to building on our state's record of service to our people, particularly in responding to the needs of the most vulnerable, at-risk children and families, people with disabilities, seniors. Meeting these goals requires government to operate more efficiently and to build strong partnerships with non-government networks. Part of the required efficiency is to improve the ways in which people gain access to the services they need, whether those services are being provided by state government or the nonprofit community.

2-1-1 is ideally suited to support efforts like the governor's Continuous Process Improvement initiative in the area of human service delivery by providing data to help assess agencies' performance against stakeholder expectations, to identify best practices and opportunities for service improvement or collaboration among providers, and help track long-term performance against established benchmarks. Kentucky ranks seventh in the nation among most tech-savvy states. An online 2-1-1 database of all health and human services connected with processes for monitoring the use of these services in partnership with state government will help Kentucky maintain this leadership role.

Benefits of 2-1-1 to Specific Stakeholders

Benefit to the Public

For the community as a whole, 2-1-1 will become an "essential service" that is always available to help people connect with the information they need to lead healthier, more productive, and more independent lives. When fully

implemented, 2-1-1:

- is available 24/7/365 at no cost to callers, providing consistent, uniform service to everyone, no matter from where they are calling;

- helps connect people with opportunities to serve both every day and in times of crisis, strengthening ties to community and neighbors;

- helps reduce people's stress and frustration levels which has a ripple impact on families and workplaces; and,

- helps people become more self-sufficient.

Benefit to Public Officials and Governments

For public officials, state and local governments, 2-1-1 offers the opportunity to provide better service to constituents while helping increase the overall efficiency of the service delivery system and strengthening emergency management systems. For them, 2-1-1:

- will be a stable statewide infrastructure that can be used in a broad variety of ways to support the work of state and local government;

- provides support for more efficient and effective constituent service;

- has the potential to bring new revenue, such as the Earned Income Tax Credit, into the state by providing better access to entitlement programs;

- creates a cost-efficient, nonprofit-based statewide communications vehicle to support and provide a response mechanism for state government education campaigns;

- builds greater efficiency by reducing inappropriate requests to existing systems, allowing them to focus on priority calls and needs;

- is a new resource to help clients, particularly people with limited English;

- provides trend data on new and emerging needs and on gaps in services to assist in planning;

- provides access to the most comprehensive statewide database of health and human services resource information drawn from government agencies at all levels and from nonprofit service providers in every county;

- complements local governments' 3-1-1 initiatives;

- provides an efficient channel for communication to the

- public on public health and other issues of broad public concern, reducing the need to establish or staff 1-800 phone lines;

- increases ability of people to become self-sufficient; and, aligns Kentucky with 2-1-1 development in the rest of the nation.

Benefit to Emergency Management, 911 and First Responders

For emergency management, 911 systems and first responders, 2-1-1 is an important new asset, able to relieve day-to-day burden while being prepared to move into active, complementary support in a crisis. For them, 2-1-1 can:

- expand capacity of Emergency Operations Centers during emergencies – trained people, expanded call center, ability to handle calls from people in emotional distress or with special needs;

- serve as conduit for information dissemination and rumor control to and from the public and responders during emergencies;

- can, with the appropriate technology, incorporate call specialists working at home or from remote locations, an essential requirement to maintain services in the event of a pandemic, chemical accident or weather situation that limits movement;

- can play a major role in assisting local organizations in managing the spontaneous outpouring of volunteers and in-kind donations, removing that task from first responder organizations;

- can be the clearinghouse for rapidly-changing immediate information that needs to be available to the public;

- remain in place long after the immediate crisis ends to assist people with their long-term recovery; and,

- reduce call load on 911 by reducing the need for it to be a social services contact.

Benefit to Employers and Employees

For employers, 2-1-1 offers a way to help workers find the services they and their families may need, providing an important benefit while increasing their on-the-job productivity and helping them remain at work. For them, 2-1-1:

- complements existing employee assistance programs or provides an alternative service where none exist;

- reduces the time workers must spend on the phone seeking services;

- assists people who have lost employment, including displaced workers, to help them connect with the support they need; increases the ability of people to become self-sufficient; and,

- contributes to making Kentucky a good place to do business and to work;

Benefit of 2-1-1 to Nonprofit Service Providers and Community and Faith-based Organizations

For these organizations, 2-1-1 is a way to provide better service and to reduce the need to provide informal I&R services to clients. For them, 2-1-1:

- reduces number of misdirected calls and requests for service, allowing the organization to focus on what it does best;

- offers information, by phone and Internet, to staff who are working directly with clients, increasing their efficiency in identifying other service providers; and,

- provides trend data on emerging needs and gaps between demand and available resources, assisting them in their future planning.

DESIGN OF THE KENTUCKY 2-1-1 SYSTEM

Overview

2-1-1 services will be delivered to the public via the phone and through the Internet. Underpinning those services will be the most comprehensive database on health and human services in the state. We collect and report data that will be helpful to policy-makers, funders and the public in understanding the needs of our state, met and unmet.

The service delivery model for 2-1-1 in Kentucky is designed to ensure that every person in the state can have access to 2-1-1 around the clock, every day of the year by both phone and online. To achieve that, we needed to keep in mind four core values:

- information is best collected and updated on a timely basis by those who are familiar with regional and local resources;

- consumers must feel comfortable with the sensitivity of 2-1-1 to local realities and to a diversity of cultural values;

- it is important to build on the experience and capacity of the existing 2-1-1s, growing logically and systematically;

- the system must be financially viable, designed to operate as efficiently as possible, balanced with the demands of the other values.

The system design also must respond to the demographic realities of our state. The high population density in the Louisville-Lexington-Northern Kentucky triangle includes over 40% of our population; there are smaller but equally dynamic regional population centers that serve as the economic and services hubs for surrounding counties; and, rural counties with small populations spread over larger geographic areas.

Functions

The primary functions that must be performed by a 2-1-1 are:

- Providing information and referral services.

   Trained, professionally certified information specialists, respond to phone and online inquiries, assisting users to define their needs and either making appropriate referrals to existing services or helping them identify alternative courses of action to pursue. There is careful documentation of users' needs and the referrals to identify changes in the pattern of services sought, unmet needs and new, emerging needs.

- Having an active and credible presence in the community.

   2-1-1 serves the most people and has the greatest impact when there is an ongoing effort to increase public awareness of the service and to build partnerships with funders, government agencies and nonprofit service providers.

- Building and maintaining a comprehensive database of resources and services working in mutually beneficial partnership with government agencies and nonprofit organizations.

   This is the knowledge base from which information specialists draw to make referrals to callers and which is available online to the public for

self-directed searches. Data maintenance is a shared responsibility of service providers and 2-1-1.

- Using the data 2-1-1 generates on emerging and unmet needs to assist policymakers and the community in understanding and responding to unmet and emerging needs.

Providing for systemwide services – quality assurance, training, marketing, resource development, partnership with state government – that ensure the stability and effectiveness of the system and its component parts.

The *Kentucky 2-1-1* Model

In order to fulfill the 2-1-1 functions as effectively and cost efficiently as possible, we have designed a system that has these primary components:

- designation of the existing 2-1-1s in Louisville, Lexington and Northern Kentucky as the primary full-service 2-1-1s with shared responsibility for ensuring afterhours access throughout the state;

- as it is built out, the statewide system may determine the need for satellite 2-1-1s, to be located in other areas of the state under the supervision of one of the primary 2-1-1s.

- United Ways will house or support Resource Hubs which will include a dedicated resource specialist responsible for developing and maintaining the resource database in their areas and will promote 2-1-1and make use of data on unmet needs;

- identification and designation of non-United Ways agencies to serve as Resource Hubs in areas of the state where United Ways do not have a presence;

- development of a network of county-based "contact points" to assist in building local awareness of 2-1-1 and localizing the resource database to the maximum extent possible;

- an integrated statewide database accessible online by all 2-1-1 centers and the public;

- a coordinated call management system that allows maximum flexibility in routing calls, managing call surges and providing back-up in case of natural or man-made disaster;

- staff capacity at the system level.

The model we are proposing:

- recognizes the desirability of building capacity throughout the state to develop and sustain the statewide system,

- best ensures statewide coverage, thus enhancing value for the public and for governments at all levels;

- provides for a strong online presence that can expand the audience for 2-1-1 while increasing cost effectiveness;

- ensures full redundancy in the system to guarantee continuous service in times of emergency or disaster, making us ready to work in partnership with our state's emergency management agencies;

- meets the expectations of governments for a system that is prepared to

work in partnership to increase the efficiency and effectiveness of human service delivery throughout the state;

- recognizes that there are limits on the number of 2-1-1 centers that can be supported at a level that allows them to sustain high quality service; and,

- creates a unified effort, tied together by a shared mission and common values, that ensures a strategic, phased and coordinated roll-out, maximizes quality and consistency, supports a coordinated response in times of disaster and establishes a single entity to work in partnership with state government

The Full Service 2-1-1s

At the heart of the system will be the three established 2-1-1s, enabling us to draw on their experience and capacity as the foundation on which we will systematically build-out the whole system.

They will answer calls from throughout the state and would have responsibility for the satellite call centers as they emerge.

They are:

- **Metro United Way 2-1-1 in Louisville** was established in 2006. It serves 917,000 people in nine counties in Kentucky and an additional 201,000 people in three counties in Indiana. In 2008, it handled some 43,500 calls from people seeking help.

- **United Way of the Bluegrass 2-1-1 in Lexington** was established in 2005. It serves 500,000 people in nine counties, handling 16,500 calls in 2008.

- **United Way of Greater Cincinnati/Northern Kentucky 2-1-1** was established in 2003. It serves 348,000 people in four counties in Kentucky and an additional 1,065,000 people in five counties in Ohio, handling 7,600 calls from Kentucky in 2008.

The Satellite 2-1-1s

We recognize that in order to provide full statewide coverage, we must have local 2-1-1 presence throughout the state. But we also know that it will be difficult to obtain the funds required for rapid build-out of satellite call centers. Rather, they would need to emerge through a combination of demand and local leadership with the proactive assistance of the state 2-1-1 system and the existing 2-1-1s.

Each would develop into a full-service 2-1-1s for a specified region of the state. Each would:

- only operate its call center during normal business hours, routing after hours calls to the 2-1-1(s) designated to provide statewide 24/7 after-hours access;

- assume responsibility for maintaining the resource database for its region, working in close cooperation with the United Ways serving as Resource Hubs in the region;

- establish contact points in counties not served by United Ways.

Initially they would operate under the supervision of the existing 2-1-1s although, over time, they might gain sufficient local support to operate as

independent organizations.

We envision up to three regional satellite call centers:

- Western Kentucky, roughly defined as the area west of the William Natcher Parkway between Owensboro and Bowling Green;

- Central Kentucky, roughly defined as the area between the William Natcher Parkway and I-75 and south of the areas covered by the 2-1-1s in Louisville and Lexington; and,

- Eastern Kentucky, roughly defined as the area east of I-75.

The Resource Hubs   The initial Resource Hubs will be the 22 United Ways in the state. They stretch from Paducah, Mayfield and Murray in the west to Ashland, Prestonsburg and Hazard in the east. They will:

- serve as the home base for those we hire to build the database;

- be responsible for keeping the database current through ongoing contact with agencies in their areas;

- build public awareness and understanding of 2-1-1 in their areas;

- make available data on demand for services and on unmet and emerging needs for community planning; and,

- help keep the overall system responsive and relevant to the people in their areas.

Primary funding for the people required to develop and maintain the database must come from *Kentucky 2-1-1* with support from the United Ways, which will be asked to support to their overall work as Resource Hubs. A complete list of United Ways in Kentucky and the communities they serve is included in Appendix A.

The Contact Points   Because many of our counties are relatively rural and isolated, it is important for us to have a local presence for 2-1-1 in them. Over time and working through the 2-1-1s, the Resource Hubs and other statewide networks, we will recruit, train and support organizations and individuals who can serve that role in every county that otherwise does not have a 2-1-1 presence. We anticipate that this will be a largely voluntary effort with a primary focus on promoting 2-1-1 and assisting in keeping the database current.

Providing for Systemwide Functions   A variety of systemwide functions must be performed in any statewide 2-1-1 system, including:

- developing and executing the formal relationships needed to establish and implement the system;

- developing and managing the formal relationships with other statewide organizations needed to establish and implement the statewide 2-1-1 system, for example, domestic violence and crisis mental health services;

- overseeing development and implementation of the statewide resource database;

- managing and overseeing use of the 2-1-1 number and its designation;

- developing and managing the *Kentucky 2-1-1* website, including making the statewide database directly available to the public;

- coordinating with and supporting the efforts of the 2-1-1s to obtain the public and private resources required to build the proposed system and to ensure ongoing operations;

- working closely with the Governor, General Assembly, the Public Service Commission and other appropriate state agencies to ensure that any available federal funds for 2-1-1are distributed through *Kentucky 2-1-1*;

- developing partnerships, consistent with 2-1-1's mission and phased in over time, through which the assets of the *Kentucky 2-1-1* system can support emergency management and other public services;

- ensuring appropriate management of the 2-1-1 brand, including negotiating formal agreements on who may use the 2-1-1 brand in what ways, and the development and coordination of a statewide marketing campaign;

- coordinating the collection, analysis, and use of call data to identify emerging needs and assist policy-makers and public and private funders in ensuring that the right services are available in the right places;

- working with the 2-1-1s to develop standards for the *Kentucky 2-1-1* system to ensure consistency in information sets and caller experience; and,

- developing and overseeing program evaluation and continuous quality improvement within the statewide system.

The Role of United Way of Kentucky

United Way of Kentucky (UWKY) has provided the primary leadership for development of 2-1-1 in Kentucky since 2001. This role was formalized in August 2004 when the Kentucky Public Service Commission issued an order granting United Way the permanent designation as the lead agency for the statewide implementation of 2-1-1.

UWKY will remain the administrative home and fiscal agent for the system. *Kentucky 2-1-1* will be a non-profit subsidiary corporation of United Way of Kentucky with direction and leadership provided by an independent board of directors including representation from UWKY, key stakeholders and the community-at-large.

This subsidiary relationship allows a distinct identity for 2-1-1while providing a stable home and support for *Kentucky 2-1-1*. At the same time it gives UWKY the authority to hold *Kentucky 2-1-1* accountable for delivery of 2-1-1 service while protecting UWKY's other programs and activities by limiting its liability. More information on non-profit subsidiaries is available at www.t-tlaw.com/bus-04.htm.

United Way will put in place a small, well-organized staff team to manage the system, phasing it in consistent with the availability of financing.

TELECOMMUNICATIONS AND TECHNOLOGY

Kentucky 2-1-1 will be built around four interlocking systems – our phone system, our resource database, our software for tracking requests, referrals and gaps in services and our website. Our goal is to ensure that we move to and sustain ourselves at "state-of-the-art" levels in all four because doing so will continuously improve both the quality and the cost-effectiveness of our services for the people of Kentucky. As new technologies emerge, such as instant messaging, or video-conferencing for hearing-impaired clients, 2-1-1 will actively work to incorporate these technologies to assure all members of the community are able to access information comfortably and efficiently on a day-to-day basis and in times of disaster.

Our Phone System

At the core of any 2-1-1 is the 24/7/365 call center where trained information and referral specialists help callers articulate their needs and refer them to the services they require.

Our goal is to move as quickly as possible to an integrated statewide system that will serve all of the call centers, providing a seamless environment that allows for full back-up, system-wide communication, and seamless transfer of calls throughout the system. Experience in other states demonstrates that, with appropriate resources, Kentucky can implement an integrated call management system from the beginning, adding individual call centers as each region launches its local service.

The system we envision will support an **integrated service model** to link Kentucky call centers, satellites, resource hubs and contact points on a shared call management system that will include the following general features:

- Access for all users at no additional cost;
- Call routing technology that will appropriately direct calls to individual call centers based on time of day, day of week, location of caller and call volume;
- Central routing for cellular calls;
- Capacity to handle traditional landline, cellular and Internet-based calls;
- Integrated contact management to manage different modes of access (phone, voicemail, fax, email, chat, text messaging) through a single system;
- Redundant systems that allow calls to be quickly rerouted by local agencies or at the state level in the event of an emergency;
- Rapidly scalable to increase the number of available specialists in the event of high demand or to support effective disaster response;
- Remote access to allow agents to work from outside the call centers;
- Is compatible with assistive technologies for both callers and 2-1-1 staff;
- Capability to easily transfer calls between call centers and, when

required, to service providers;

- Support conference calling with up to six parties;

- Call tracking and reporting capacity to assure compliance with AIRS Standards for 2-1-1 service delivery;

- Assure sustainable operational cost.

We will continue work in close partnership with the appropriate agencies in state government and stakeholders with telephony expertise on the design of the system and on decisions related to the vendors to be used to provide needed hardware and ongoing service. We will examine a range of options for the system, including VoIP (Voice Over Internet Protocol) using either a premise-based, hosted, or a mixed solution. At the same time we will track initiatives by AIRS, United Way of America and 2-1-1 US to ensure Kentucky's system is compatible with a national 2-1-1 telecommunications routing solution.

As part of this planning process, we are developing a specific process for selection of telephone technology and a draft Request for Proposal with criteria for the statewide call management system, thus putting us in a position to move quickly forward.

Our Resource Database

The knowledge base that makes 2-1-1 work is its database of community resources. The *Kentucky 2-1-1* database will be the single most comprehensive one in the Commonwealth. As such, it will become the "go-to" asset for state government, nonprofit service providers, business, and the public as well as being the lifeblood of our regional call centers. It will cover the breadth of health and human services available from government, nonprofit organizations and faith-based groups and community-based associations.

Currently, each existing 2-1-1 provider maintains its own resource database. As part of the implementation of the statewide 2-1-1 system, it will be necessary for participating call centers and data collection partners to continue working together to maintain common protocols for data collection and maintenance to assure there is consistent quality in the database information, a standardized approach to organizing the information and protocols for sharing information statewide.

Our intention is to create an integrated statewide database that is defined by:

- Collecting and maintaining data (in as localized a manner as is possible) in the framework of standardized protocols;

- Full accessibility by all 2-1-1 call centers, satellites and resource hubs;

- Complete redundancy to ensure continuity in emergencies; and.

- Compatibility, as much as is possible, with other statewide resource data systems, such as the GIS mapping system.

We expect that over time the informal working relationship among the existing call centers that has allowed them to effectively coordinate their activities will evolve into a formal working group with representatives from regional call centers, satellites, and resource hubs and other key stakeholders such as state government – to oversee the ongoing development and management of the integrated database, including defined quality assurance criteria practices.

Our Software

In order to meet the national 2-1-1 standards established by the Alliance of Information and Referral Systems (AIRS) and for service providers in Kentucky's 2-1-1 system to qualify for the required AIRS accreditation, the software supporting our system must meet or surpass accepted industry standards.

As part of the 2-1-1 strategic planning process, a sub-committee of the planning team consisting of representatives of the existing call centers, state government and United Way of Kentucky met to review software requirements developed by other statewide 2-1-1 systems, building upon their experience to establish criteria for Kentucky's 2-1-1 software platform. The committee also reviewed and endorsed an open and transparent selection process to identify a software platform for all 2-1-1 providers in Kentucky.

The software will include:

- Full compliance with all AIRS Standards, including the AIRS Taxonomy and XML/XSD schema requirements;

- User-friendly interface for internal and external users;

- Geographic-based searching;

- Web-access to a publicly searchable version of the resource database that allows searching by common language terms;

- Ability to consolidate resource information from multiple call centers and resource hubs;

- Compliant with ADA and Bobby Standards for web-based accessibility (http://www.mardiros.net/bobby-accessibility-tool.html)

- Customization to meet local data collection needs;

- Online updating capacity for providers to maintain information on their programs and services;

- Customizable reporting to address a variety of information needs for funders, policy makers and service providers at the local and state levels;

- Integrates with the state telephony/call management system for information tracking and quality assurance purposes.

As part of this planning process, we have prepared a draft Request for Proposal with specific criteria for the statewide database platform, positioning us to move forward quickly.

Our Website

Recognizing the increasing public comfort with searching for information on the Internet, it is our intent that *Kentucky 2-1-1* will be a leader in using the Internet to make information available in a user-friendly online environment. We want our website to be as visible, accessible, and user friendly as 2-1-1 is by phone. Our intent is that users will be able to get the same resource information from our website as they could obtain by calling 2-1-1, as well as general information about *Kentucky 2-1-1* and the collaborative partnerships supporting the service. As technology and resources allow, we will explore ways to make the site increasingly interactive, enabling users to efficiently define their needs and locate the appropriate resources, for example through a directed

questionnaire that allows users to identify the spectrum of services for which they could be eligible or online chat or text messaging.

IMPLEMENTATION CONSIDERATIONS

Ensuring Quality Service

It is critical that *Kentucky 2-1-1* establish and maintain a reputation for quality service and accountability. We are committed to ensuring that each request for information is handled in the same high quality manner, no matter where it originates, or where it is received. Our database must always be as current and comprehensive as possible. Online referrals must be user-friendly and provide the same quality of information as calls to a 2-1-1 agent. We also must be prepared to continue operating in times of emergency, and ensure that 2-1-1 is available to support emergency response agencies and people affected by disasters.

To achieve this level of quality, we will:

- Build the system in full compliance with the National 2-1-1 Standards developed by the Alliance of Information and Referral Systems (AIRS), the national professional association for 2-1-1 and other information and referral services.

- Create a Quality Assurance Committee responsible for recommending and monitoring the implementation of policies and practices to ensure high quality performance and ongoing improvements to service delivery.

- Require each primary and satellite 2-1-1 to achieve and maintain full AIRS accreditation. As a system we will work together to support one another in achieving this goal, sharing training and best practices and going through the process together so that we can learn from one another.

- Develop our own performance standards for *Kentucky 2-1-1* and establish specific metrics to determine that we are meeting our state and national standards. As a statewide system we will take a collaborative approach to continually assess and improve the quality of the services delivered by all partners in the system. We will do this by monitoring calls, collecting caller satisfaction data, and implementing best practices identified by other 2-1-1 to ensure peak performance.

- Require our 2-1-1s to meet the AIRS standards for certification of I&R and Resource Specialists. As a system, we will provide the training required to help 2-1-1 staff meet this requirement.

- Execute a pro-active, sustained program to ensure 2-1-1 staff are culturally competent to handle calls from people from different backgrounds and traditions. We will work closely with community and grassroots groups to ensure the 2-1-1 database includes culturally-appropriate resources and to provide ongoing training to call center staff.

Business Continuity

2-1-1s in other states have repeatedly demonstrated their value in times of natural and man-made disasters or other emergencies. To ensure that *Kentucky 2-1-1* continues operating during such times we will:

- Have full redundancy in our system so there is always a back-up plan to

answer calls, even if one or more of the regional call centers are knocked out of operation;

- Build into our new communication system the capability to create "virtual call centers" which will allow 2-1-1 staff to work from home or remote sites;

- Take all industry-standard steps to ensure the safety of our database, including regular back-ups, redundancy in our servers, and off-site archiving;

- Require each 2-1-1 call center to develop emergency plans for relocation, emergency power backup, and to have a written agreement formalizing their relationships with emergency management systems at the county and local level;

- Build an emergency communications structure within the 2-1-1 system to ensure that call centers and resource hubs can always communicate with one another;

- Establish mutual aid agreements with 2-1-1 programs in adjacent states or other regions of the country to assure sharing of resources and coordinated response in an emergency;

- Work with state and local emergency management offices to fully and clearly define the role and expectations for 2-1-1 as an integrated part of Kentucky's emergency response plans at the state and county levels.

Public Education and Marketing

For 2-1-1 to make the maximum contribution to the people of Kentucky, we must have a well-defined brand. The brand must be effectively managed and promoted through a sustained marketing effort that over time reaches everyone in the state in ways that encourage them to use the system when they need it.

Our desired brand identity is clear:

Kentucky 2-1-1 is the way to get help and give help in the Commonwealth. The 2-1-1 system is accessible and prepared to respond effectively to people from all parts of the state at all times. Identification as a part of the 2-1-1 system is a reflection of assured quality and responsiveness.

Our marketing plan will have these critical components:

Leadership endorsement. As part of the partnership we wish to foster with state government, we will invite the public endorsement of 2-1-1 by the Governor, the Speaker of the House, President of the Senate, members of the General Assembly, and Secretaries of the Cabinets. We also will seek the endorsement of elected and business leaders and prominent people from throughout the state.

Mass media campaign. As soon as we are prepared to provide statewide access, we will launch an awareness campaign through radio, television, newspapers and online to dramatically increase visibility and build understanding of 2-1-1. We will work closely with those media outlets to provide a reduced but sustained level of exposure for 2-1-1.

Grassroots marketing and advocacy. While use of mass media is an obvious statewide approach to marketing, we know that word-of-mouth efforts, seeded among target populations, is an equally effective way to build confidence and

understanding. We will reach out to official and informal community leaders, grassroots and faith-based groups, schools, community associations, and service providers and their staffs to develop an ongoing grassroots campaigns to promote 2-1-1 in effective and culturally appropriate ways. This is a low-cost, high impact way to sustain promotion of 2-1-1 over time. These efforts will be led by the regional call centers and resource hubs and the county liaisons within the framework of a statewide strategy to build and maintain awareness of 2-1-1 with our increasingly dispersed and diverse population. .

Leveraging our partners' networks. We will take full advantage of our partnership with the state's United Ways, working through them to reach their existing local networks, particularly in the business community. We also will work closely with state agencies to develop specific ways to promote 2-1-1 to their consumers.

Building low-cost, easy to use promotional tools. We will put together a "2-1-1 Tool Kit" of information and resources to assist Resource Hubs, county Contact Points and other partners to market 2-1-1 in the absence of a significant mass media budget. It might include talking points; overview of 2-1-1 services; templates for press releases, media advisories, internal and external articles, newsletters, ads and flyers; 2-1-1 logos and graphics; and outreach ideas.

Identifying promotional opportunities. We will build relationships with businesses to promote 2-1-1. For example, in many communities 2-1-1 is advertised on utility bills or as envelope stuffers. We will work with health care and mental health providers, pharmacies, and other consumer-based businesses to help promote 2-1-1. We also will reach out to major employers in all sectors and to employee assistance programs to inform their employees of 2-1-1 and to ensure that their telephone systems allow calls to 2-1-1.

Roll-Out Strategy

Kentucky 2-1-1's strategy will be executed in nine operational phases. The first three phases have already been completed.

- **Phase 1 / Laying the Groundwork / 2000 to March 2003**

    - United Way of Kentucky initiated efforts to bring 2-1-1 service to the Commonwealth.

    - The Kentucky Public Service Commission designated United Way of Kentucky as the lead agency for the statewide implementation of 2-1-1.

    - A coordinator was hired to focus on statewide outreach and system development.

- **Phase II / Initial State Planning and Local Implementation / April 2003 – August 2006.**

    - The Kentucky 2-1-1 Steering Committee was convened and held its first meeting in September 2003 to create a statewide 2-1-1 vision and bring it to life.

    - An initial business plan was developed to guide statewide activities, including identification of key goals – statewide coverage and a statewide database.

    - United Way of Greater Cincinnati/Northern Kentucky 2-1-1 becomes available in February 2003, serving four counties in Kentucky and an

additional three counties in Southwest Ohio.

- 2-1-1 Resolutions – SR 144 was passed the KY Senate and HR 188 and HR 189 were passed in the Kentucky House of Representatives. The resolutions confirmed the endorsement of 2-1-1 among Kentucky policy makers, and called upon Kentucky's federal delegation to sign onto the "Calling for 2-1-1 Act" in Congress.

- United Way of the Bluegrass 2-1-1, based in Lexington, launches service in June 2005, expanding over time to reach nine counties in North Central Kentucky.

- Metro United Way 2-1-1 based in Louisville becomes available in August 2006, serving nine Kentucky counties and three counties in Indiana.

- **■ *Phase III / Collaboration and Demonstrating the Benefits / September 2006 - October 2008.***

  - The three active 2-1-1s shared information and resources to support development of common policies and performance measures.

  - 2-1-1s established MOUs with specialized I&R providers, 911s and other key partners and stakeholders.

  - Tri-state cooperation to address 2-1-1 service to border counties in Kentucky, Ohio and Indiana.

  - United Way of Kentucky and local 2-1-1s advocated for passage of Federal 2-1-1 authorization.

  - 2-1-1s issued reports on local performance, including caller needs and unmet needs.

  - The first non-United Way funding was secured from the Anthem Foundation. Additional funding for state system planning provided by Wal-Mart Foundation.

  - Metro United Way 2-1-1 assisted with disaster response to Bullitt County train derailment.

  - 2-1-1s took an active role supporting coordinated community response to the September 2008 windstorm.

- **■ *Phase IV / Regrouping for the Future / November 2008 – June 2009***

  - United Way of Kentucky convened a Strategic Planning Team including state government, 2-1-1, and private business representatives to review the original business plan.

  - Strategic Planning Team issued new statewide business plan which described how best to expand 2-1-1 access statewide, including:

    - Detailed financial projections for costs of statewide system.

    - Statewide database selection and development.

    - Integrated statewide call management system.

  - United Way of Kentucky approved the new business plan to expand access statewide.

- *Phase V / Laying the Foundation for Statewide Expansion / July 2009 – December 2009.*

  - Incorporate *Kentucky 2-1-1* as a non-profit subsidiary of United Way of Kentucky.

    - Recruit representative board of directors.

    - Formalize advisory role for call centers.

  - Work with Governor's office and legislature to identify and secure a stable funding mechanism for 2-1-1.

  - Secure start-up funding to hire state 2-1-1 director to coordinate implementation of statewide system.

  - Identify non-United Way Resource Hub partners where needed to house local data collection and maintenance staff.

  - Select and implement statewide database software:

    - Convert existing call centers to shared platform.

    - Recruit and train Resource Hub staff and/or volunteers to develop the statewide database of services.

  - Finalize style guide for entering and maintaining information in database.

- *Phase VI / Preparing for Launch / January 2010 – June 2010*

  - Resource Hub staff begin collecting information on local programs and services to build.

  - Partner with Commonwealth Office of Technology to identify opportunities for data collection and sharing of program information.

  - Select and implement statewide call management system.

    - Complete switch programming with landline phone providers.

    - Work with call management provider to develop and implement a statewide wireless access solution.

    - Test call management and routing systems prior to statewide launch.

  - Identify and train Contact Points to support local 2-1-1 presence and outreach.

  - All active 2-1-1 call centers serving Kentucky achieve AIRS accreditation.

- *Phase VII / System Testing / July 2010 – January 2011*

  - Testing of expanded 2-1-1 service in selected counties.

  - Prepare marketing communications plan.

  - Complete development of statewide database.

  - Finalize MOUs with EMD, State 9-1-1 system, and other state programs.

  - Work with call centers to establish and meet performance standards.

- *Phase VIII / Public Launch / February 2011 – December 2011*
  - Phased implementation of 2-1-1 service to remaining counties in Kentucky
  - Launch searchable online statewide database of community and human services.
  - Implement marketing communications plan.
  - Develop statewide contracts to expand use of 2-1-1.
  - Hire additional staffing as needed to support *Kentucky2-1-1's* coordination role.
  - Develop formal agreements with 2-1-1 programs in other states to provide mutual assistance in times of disaster.

- *Phase IX / Sustaining the System / January 2012 – Ongoing*
  - Achieve statewide coverage.
  - Maintain ongoing system-wide marketing communications.
    - Coordinate cross-border marketing and 2-1-1 service delivery with adjacent states.
  - Provide ongoing system-wide training for staff in call centers and Resource Hubs.
  - Monitor use of website and online database
    - Track emerging technologies and incorporate appropriately into 2-1-1 service delivery.
  - Provide consolidated/aggregated reporting on system usage.
  - Ongoing monitoring for compliance and quality assurance.
  - Monitor status and performance of Resource Hubs for capacity and need to become satellite call centers.

STRATEGIC RELATIONSHIPS

Key to our success will be our ability to develop strong strategic relationships with an array of partners. Each set of relationships will have its own set of challenges and requirements.

State Government. Our long-term success is heavily dependent on our ability to build strong partnerships throughout state government. We must work closely, to our mutual benefit, with all branches of state government to ensure that 2-1-1 adds value to their efforts to serve the people of Kentucky in effective and cost efficient ways.

Our key goals with state government are to:

- build a sustained, mutually beneficial partnership in which *Kentucky 2-1-1* becomes a "partner of choice" to help state government serve our people;

- secure the sustained commitment of state government to financing that will ensure that the 2-1-1 system remains stable and operational over time;

- clearly define the role for 2-1-1 in disasters to ensure coordinated emergency response with both state and county emergency operations; and,

- establish *Kentucky 2-1-1*, as a subsidiary of United Way of Kentucky, to be the conduit for any federal funds that may become available to support 2-1-1.

Federal Government. We will seek the active support of our Congressional delegation for the *Calling for 2-1-1 Act* and any other sources of federal funds which will provide federal support for the build-out and operation of statewide 2-1-1 systems.

Local Government. Our key goals with local governments are to:

- become a resource for better understanding how human services are being used in the community to support effective policy making and ensure efficient allocation of scarce resources to meet community needs;

- support effective use of community services while ensuring access to needed services that are not available locally;

- ease the burden on government employees by helping reduce the number of misdirected calls to local government agencies;

- provide school districts with aggregate data on student needs to assist with planning;

- provide an efficient channel for communication to the public on public health and other issues of broad public concern; and

- diversify the funding base for 2-1-1 by encouraging local governments to invest in the service as they see benefits of 2-1-1 for their communities;

United Ways. United Ways in Kentucky have assumed the major leadership role in building out and sustaining the statewide system. United Ways have taken the

lead to develop 2-1-1 service in Louisville, Lexington and Northern Kentucky. As Resource Hubs, other United Ways will be the primary presence of 2-1-1 in their areas of the state, building public awareness and understanding of the 2-1-1 service. They will lead the initial collection of resource data, and be responsible for keeping the data current – the most significant work to ensure statewide access to 2-1-1. They also will play a key role in putting 2-1-1 call data to work, identifying unmet needs and gaps in services and stimulating coordinated community response. As a statewide network under the umbrella of United Way of Kentucky, they will be a primary partner in building public sector support for 2-1-1.

Emergency Management. We know from experience that 2-1-1 can play significant roles in support of overall efforts to prepare for, prevent, respond to and recover from natural and man-made disasters. To ensure the *Kentucky 2-1-1* system is prepared for this role we must work in close partnership with the Division of Emergency Management and the Office of Homeland Security and, through them, with county emergency management agencies. We must be clear about what is expected of us, participate fully in coordinated efforts to prepare for disasters and build out our system in ways that ensure our capacity to respond when needed.

Private Sector. 2-1-1 is an important complement to employee assistance programs, helping working people connect quickly and efficiently with the local services they and their families may need. This reduces the time required for them to find help – a direct benefit to employers that positions *Kentucky 2-1-1* is a valuable partner for businesses. We will seek to build relationships with business that result in their support for the system through sponsorships and grants.

Community- and Faith-Based Organizations. It is essential that 2-1-1 become known and accepted by people throughout the state as a credible and safe way for them to connect with the services they require. We will reach out to local and regional community-based organizations for their help to ensure there is sustained grass-roots promotion of 2-1-1, that our database reflects the services of their organizations, and that we have the cultural competence built into the system to appropriately serve everyone in the state.

Private Philanthropy. Financing for the system must come from a variety of sources in order to be sustainable over time. While government must play a significant role, we also need ongoing commitment from private philanthropy. We will ask United Ways, businesses and private foundations to support 2-1-1 with funding and in-kind support as a critical component of the overall infrastructure for delivery of health, community and human services in the state.

KEY CHALLENGES

We must understand and prepare for major challenges we will confront as we build *Kentucky 2-1-1*. We anticipate these may include:

Creating New Momentum. After the initial effort to begin 2-1-1, we were able to move into an operational mode in communities that already had some form of existing information and referral infrastructure. Now, we must create new, sustained momentum to complete the build-out that provides access to everyone in the state. We have a strong foundation of existing 2-1-1s, but state government partners, United Ways and businesses must understand that new investment is required to move forward. We also must engage elected officials and nonprofit leaders from throughout the state, ensuring that 2-1-1 reflects and responds to their priorities and the different realities of communities around the state.

Sustained Funding. 2-1-1 is part of the core infrastructure of health, community and human services. Like any infrastructure, it requires stable, sustained investment in its development and operation to maintain its quality and responsiveness to changing expectations and needs. We will address this by developing a balanced financing strategy, working in active partnership with state government and the United Way network to obtain the resources required.

Building the Statewide Database. Our first major challenge is to mobilize the human and financial resources required to build a comprehensive resource database for the entire state. At the same time we must put into place a sustainable system for keeping it updated. We believe that the statewide network of United Ways provides an appropriate backbone for this effort. But the efforts of the network must be supplemented by community-based organizations in areas of the state where United Way does not have a strong presence. We also will turn to our colleges and universities and to AmeriCorps and related national service programs for the people we need to do the initial development work. Because the database is such an essential part of a statewide 2-1-1 service and because a comprehensive resource database will have value throughout the state, we will seek support from state government for this work.

Putting the Technology Infrastructure in Place. 2-1-1 systems are shaped by their technology. Therefore we must work quickly to put in place the best possible resource database software and call routing technology. This will require the active involvement of our existing 2-1-1s and other key stakeholders, including state government, to evaluate options, make decisions and support implementation. It also will require initial investment capital to put the technology in place and, as required, to help existing 2-1-1s transition to it.

APPENDIX A: *KENTUCKY 2-1-1* LEADERSHIP

**The Strategic
Planning Team**

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United Way of Kentucky

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Phil Osborne
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Jon Parker
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United Way of the Bluegrass

Glen Powell
211 Director
Metro United Way

Amy Roberts
United Way 211 Director
United Way of Greater Cincinnati

Forest Skaggs
Executive Director
Kentucky Telephone Association

Alayne White
Office of the Secretary
Finance and Administration Cabinet

The Current 2-1-1s

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Serves Bullitt, Carroll, Jefferson, Henry, Nelson, Oldham, Shelby, Spencer and Trimble Counties in Kentucky, Clark, Floyd, and Harrison Counties in Indiana

United Way of the Bluegrass 2-1-1
2480 Fortune Drive #250
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Serves Anderson, Bourbon, Clark, Fayette, Jessamine, Madison, Montgomery, Scott, and Woodford Counties

United Way of Greater Cincinnati/Northern Kentucky 2-1-1
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Serves Boone, Campbell, Kenton, and Grant counties in Kentucky; Hamilton, Clermont, Brown counties and the Middletown Area in Ohio; Dearborn and Ohio counties in Indiana

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United Way of the Ohio Valley

Ginny Stradley
Director of Budgeting
Jefferson Community & Technical College

Elizabeth V. Taylor
Director of Development & Community Relations
Community Hospice

Joseph P. Tolan
President
Metro United Way

Joe Wind
Vice President, Government & Community Relations
Northern Kentucky University

United Way of Kentucky Executive	Terry S. Tolan is President of United Way of Kentucky in Louisville, KY. Her career in the United Way system spans more than 20 years and includes 3 local United Ways, as well as the Kentucky State association. As a non-profit executive, Terry has worked with volunteers, boards and staff, both at the state and local level. At United Way of Kentucky Terry assists 22 local United Ways enhance local capacity, helps build a strong and unified United Way system in the state, and to mobilizes a state network to create lasting change for communities across the Commonwealth.
The United Ways in Kentucky	**United Way of the Bluegrass** www.uwbg.org Serving Anderson, Bourbon, Clark, Fayette, Jessamine, Madison, Montgomery, Scott and Woodford Counties. **United Way of Central Kentucky** www.unitedwayck.org Serving Hardin, Grayson, Larue and Meade Counties. **United Way of the Coalfield** www.unitedwayofthecoalfield.org Serving Hopkins and Muhlenberg Counties. **Cumberland Trails United Way** www.ctuw.org Serving Bell, Harlan, Knox and Whitley Counties, KY, Claiborne County, TN and Lee County, VA. **United Way of Eastern Kentucky** Serving Floyd, Johnson, Magoffin, Martin and Pike Counties. **United Way of Franklin County** www.unitedwayfranklincounty.org Serving Franklin County. **Heart of Kentucky United Way** www.hkuw.org Serving Boyle, Garrard, Lincoln, and Mercer Counties. **United Way of Henderson County** www.unitedwayhendersoncounty.org Serving Henderson County. **United Way of Laurel County** Serving Laurel County. **United Way of Mason County** Serving Mason County. **Mayfield/Graves County United Way** Serving Graves County. **Metro United Way** www.metrounitedway.org Serving Bullitt, Jefferson, Oldham and Shelby Counties, KY and Clark, Floyd and Harrison Counties, IN. **United Way of Murray/Calloway County** www.mccunitedway.org

Serving Calloway County.

United Way of Nelson County
www.unitedwaynelsoncounty.org
Serving Nelson County.

United Way of Northeast Kentucky
www.uwnek.org
Serving Boyd, Carter, Elliott, Greenup and Lawrence Counties.

United Way of Greater Cincinnati/Northern Kentucky
www.uwgc.org
Serving Boone, Campbell, Grant and Kenton Counties.

United Way of the Ohio Valley
Serving Davies, Hancock, McLean, Ohio, Union and Webster Counties.

United Way of Paducah/McCracken County
www.unitedwaypaducah.org
Serving McCracken County.

United Way of the Pennyrile
Serving Caldwell, Christian, Todd and Trigg Counties.

United Way of South Central Kentucky
Serving Adair, Casey, Clinton, Cumberland, Green, McCreary, Pulaski, Russell, Taylor and Wayne Counties.

United Way of Southeastern Kentucky
Serving Breathitt, Knott, Lee, Leslie, Letcher, Owsley, Perry and Wolfe Counties.

United Way of Southern Kentucky
www.uwsk.org
Serving Allen, Barren, Butler, Edmonson, Hart, Logan, Metcalfe, Monroe, Simpson and Warren Counties.

United Way of Kentucky
www.uwky.org   www.kecc.org

APPENDIX B: OVERVIEW OF N-1-1 NUMBERS

N-1-1 dialing codes are three-digit numbers of which the first digit can be any digit other than one or zero, and the last two digits are both one. N-1-1 codes "0-1-1" and
"1-1-1" are unavailable because "0" and "1" are used for switching and routing purposes. Hence, there are only eight possible N-1-1 codes, making N-1-1 codes among the scarcest of telephone numbering resources.

The following chart outlines the existing N-1-1 code assignments:

N-1-1 Code	Assignment
2-1-1	Assigned for community information and referral services.
3-1-1	Assigned nationwide for non-emergency police and other government services.
4-1-1	Unassigned, but used nationwide for directory assistance.
5-1-1	Assigned for traffic and transportation information.
6-1-1	Unassigned, but used broadly by carriers for repair service.
7-1-1	Assigned nationwide for access to Telecommunications Relay Services (a service for the hearing and speech impaired).
8-1-1	Assigned as universal number for "call before you dig" location services for public utilities.
9-1-1	Unassigned, but used nationwide for emergency services.

APPENDIX C: DETAILED FINANCIAL PROJECTIONS

Overview

A three-step process was used in developing the financial projections for *Kentucky 2-1-1*.

Step One was to develop the framework within which projections for the costs of existing regional 2-1-1 systems could be made. With the three active call centers, we used actual budgets for 2009 to establish a baseline for Year 1. In the case of the NE Kentucky center, which also serves counties in Ohio and Indiana, we projected the cost for services in Kentucky based on its percentage of the total population served in the three states.

We then extended the anticipated costs using standardized projections based on the experience of mature 2-1-1s throughout the country as reflected in the 2-1-1 Financial Planning Tool developed by the Alliance of Information and Referral Systems (AIRS).

Step Two was to develop projections for the areas of the state that do not have 2-1-1 service at this time. Based on the Resource Hub model which anticipates the placement of Resource Specialists at local United Ways or other local partner agencies with phone service provided by the existing call centers, we projected 22 data management personnel distributed around the state. These staff are projected to be 0.75 FTE each.

Step Three focused on the system costs for start-up and for ongoing operations of statewide service with a small *Kentucky 2-1-1* office to coordinate these activities.

Regional Operating Projections

The following is a summary of the projected **gross operating** costs for each region during five years of **full** operations beginning in 2009.

In the first year there are significant differences in staffing models, salary and benefit levels between the call centers. Beginning in Year 2 the staffing models and salaries are standardized. The standardized staffing model will require major changes in staffing patterns, salary and benefits at the existing call centers. This accounts for the substantial cost differences from Year 1 to subsequent years.

Assumptions for call center projections

- Salary and benefits for all positions is standardized among the call centers beginning in Year 2.

- Call center staffing levels are based on answering 85% of calls within one minute.

- Average call length is 4.5 minutes.

- Call volume will plateau at 8% of the population in Year 5.

- 2-1-1 service will be available 24/7.

- Overnight calls will be handled statewide by a single call center with a maximum of two call specialists – costs for overnight staffing are split equally among the four regional budgets.

- The Outstate projections for call specialist staffing anticipate these individuals will work out of one of the three existing call centers, thereby eliminating the costs related to developing an additional call center.

- Data management staffing calls for one Resource Specialist to manage 800 records/year in keeping with the recommended AIRS Standard.

- There are 22 part-time (0.75 FTE) Resource Specialists who will be housed at local United Ways or other partner agencies around the state to maintain information on local programs and service, and to provide a local point-of-contact for 2-1-1.

- Each center has an annual contingency fund equal to 5% of its overall budget.

One-time transition costs include funding for existing call centers to convert their database to a shared platform, and computers and other office equipment for the database management staff based at the Resource Hubs.

		Local Cost & Call Volume Projections					5-Year
		Year 1	Year 2	Year 3	Year 4	Year 5	Total
Bluegrass Region	Call Volume	16,323	23,888	31,851	39,813	41,804	153,679
	211 Service	203,907	406,984	437,850	473,015	490,884	$2,012,640
	Telecommunications & Technology	16,053	27,265	29,825	32,349	32,974	$138,466
	Marketing	8,225	10,000	10,000	10,000	10,000	$48,225
	General & Administrative	74,062	78,176	80,892	84,037	85,830	$402,997
	One-Time Transition Costs	–	9,600	25,000	10,000	10,000	$54,600
	Sub-Total of Gross Funding Needs	302,248	532,025	583,567	609,400	629,688	**$2,656,928**
Metro Louisville Region	Call Volume	45,627	58,684	73,355	77,023	80,874	335,563
	211 Service	404,854	496,104	515,461	557,292	592,221	$2,565,931
	Telecommunications & Technology	14,142	22,916	25,909	26,650	27,425	$117,042
	Marketing	10,000	10,000	10,000	10,000	10,000	$50,000
	General & Administrative	68,372	59,169	60,759	63,859	66,364	$318,522

	One-Time Transition Costs	-	12,000	37,000	10,000	10,000	$69,000
	Sub-Total of Gross Funding Needs	**497,367**	**600,189**	**649,129**	**667,801**	**706,009**	**$3,120,495**
North Kentucky Region	Call Volume	13,938	20,907	25,089	27,876	29,270	117,081
	211 Service	113,487	359,707	397,468	438,286	477,246	$1,786,194
	Telecommunications & Technology	16,352	19,839	22,078	22,996	23,454	$104,720
	Marketing	-	10,000	10,000	10,000	10,000	$40,000
	General & Administrative	12,010	30,468	32,348	34,699	36,919	$146,443
	One-Time Transition Costs		20,000	12,000	37,000	-	$69,000
	Sub-Total of Gross Funding Needs	**141,849**	**440,015**	**473,895**	**542,980**	**547,618**	**$2,146,357**
Balance of the State	Call Volume	-	-	45,574	91,149	164,068	300,791
	211 Service	-	849,614	1,148,086	1,266,971	1,413,357	$4,678,028
	Telecommunications & Technology	-	-	6,563	13,125	23,626	$43,314
	Marketing	-	-	-	-	-	$-
	General & Administrative	-	42,481	138,396	147,358	158,424	$486,658
	One-Time Transition Costs	-	110,500	134,833	13,333	16,333	$275,000
	Sub-Total of Gross Funding Needs	**-**	**1,002,595**	**1,427,878**	**1,440,788**	**1,611,740**	**$5,483,001**
	TOTAL GROSS FUNDING NEED	941,464	2,574,823	3,134,469	3,260,970	3,495,055	**$13,406,781**

State Office Projections

The state office projections anticipate a small staff working to coordinate and oversee operations of the statewide system.

State office assumptions include:

- All costs for operating the statewide call management system.

- Licensing, hosting and technical support for the statewide database platform.

- Costs for a coordinated statewide marketing campaign.

- Technical support for the call centers.

One-time costs include programming and development costs for the call management system, software purchase for the database platform, computers and office equipment for the state office staff.

	State System Cost Projections					5 Year Totals
	Year 1	Year 2	Year 3	Year 4	Year 5	
Regional 2-1-1 Call Centers						
Bluegrass	302,248	522,425	558,567	599,400	619,688	2,602,328
Metro Louisville	497,367	588,189	612,129	657,801	696,009	3,051,495
NE Kentucky	141,849	420,015	461,895	505,980	547,618	2,077,357
Outstate	-	892,095	1,293,045	1,427,455	1,595,406	5,208,001
One-time Transition Costs	-	147,300	188,633	95,333	36,333	467,600
Total Call Center Costs	941,464	2,570,023	3,114,269	3,285,970	3,495,055	13,406,781
State Office Operating Costs	34,130	344,640	866,293	1,586,192	1,613,504	4,444,760
State Office One-time Transition	-	71,667	43,333	48,333	31,667	195,000
	34,130	416,307	909,627	1,634,525	1,645,171	4,639,760
Total State System Cost	975,594	2,986,330	4,023,896	4,920,495	5,140,226	18,046,540