System of Care Expansion Planning Guide

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Create an SOC Expansion Team

1. Create an SOC expansion team or modify an existing SOC team to be the SOC expansion team	• Review the composition of an existing SOC team or another existing structure responsible for SOC planning and implementation • Determine if the existing team or structure can serve as the SOC expansion team or can be modified to serve as the SOC expansion team • Create a new SOC expansion team if a previous team or structure does not exist as a foundation to fulfill this role
2. Use dimensions of an effective SOC expansion team as a guide to review the team's composition and roles	• Review and apply the dimensions of an effective team: – Embedded in the system, not a separate entity/project – Includes appropriate stakeholders – Includes individuals in decision-making roles – Includes individuals with access to high-level policy makers – Includes state, tribal, and territorial system-level members and community-level members – Includes family members and youth – Includes representatives of culturally diverse populations – Includes individuals with skills and expertise relevant to system of care expansion (e.g., social marketing, evaluation, financing)
3. Develop state-community partnerships for SOC expansion	• Determine strategies for state-local partnerships for expansion to achieve the high-level systemic changes needed for SOC expansion and the SOC implementation in local communities • Define the respective roles of state and community stakeholders in SOC expansion
4. Ensure that composition of team includes appropriate leaders and stakeholders	• Review the composition of the expansion team to ensure that it includes appropriate leaders, stakeholders, new partners relevant for SOC expansion, and individuals whose support is essential for implementation • SOC expansion team members may include: – Principal investigator and project director (*Grantees*) – Individuals who will be leading and managing implementation efforts – Family and youth leaders – Representatives from partner systems (e.g., mental health, Medicaid, child welfare, juvenile justice, education, substance use, primary care, education, early childhood, transition age youth, education, etc.) – Designated lead for cultural and linguistic competence – Designated lead for social marketing and strategic communications – Designated lead for evaluation and continuous quality improvement – Service providers – Other identified stakeholders important to system of care expansion
5. Obtain official sanction for the team	• Formalize the SOC expansion team by obtaining official sanction for the structure, its role, and its mandate for widespread SOC implementation (e.g., executive order, memorandum of understanding) • Ensure that the decision-making process is explicit so that stakeholders understand how decisions are made within the SOC expansion effort

6. Link the team and implementation work with high-level policy and decision makers	• Assess existing policy structures embedded in the system that include high-level policy and decision makers across child-serving agencies to determine if the high-level structure can serve as the policy making body to which the SOC expansion team reports • If no structure exists to fulfill this function, establish a process for the SOC expansion team to link with and report to high-level policy and decision makers

Determine SOC Expansion Approach, Goals, and Strategies

1. Review previously developed strategic plans for SOC implementation	• Review any strategic plans for SOC implementation previously created for the jurisdiction • Determine the relevance of goals or strategies in previous plans for the new SOC expansion initiative
2. Conduct an assessment to determine current status in SOC implementation, strengths, and needs ("readiness" assessment)	• Conduct a self-assessment to determine current status in SOC implementation and readiness for SOC expansion • Consider Self-Assessment of SOC Expansion Strategies based on the strategic framework for expansion or other tools found useful by other states and communities • Use assessment to review previous progress achieved in the jurisdiction in implementing the SOC approach • Use assessment to identify areas needed attention for SOC expansion
3. Determine the overall approach to SOC expansion	• Determine vision for broad SOC implementation in the jurisdiction • Determine overall approach to SOC expansion from one or more of the following categories: – Expand geographically – Expand by level of need population (e.g., the most high-need children) – Expand by age bands – Expand by funding eligibility – Expand by service sector – Other • Determine the population of focus: – All children with serious emotional disturbances in the jurisdiction – Specific subset as the population of focus
4. Select expansion goals including high-priority goals for initial action	• Determine specific, realistic goals for SOC expansion • Select high-priority goals for initial action based on those goals that: – Must be accomplished first logically to lay the foundation for expansion – Are likely to have the biggest impact on SOC expansion – Have a high probability of success to demonstrate initial progress and build momentum – Are likely to provide data that document positive outcomes, cost-effectiveness, and return on investment in the SOC approach – Build on timely opportunities in the environment to support expansion goals – Support interagency partner outcomes or initiatives • Align goals with changing external realities (e.g., building on accomplishments, managed care implementation, Medicaid redesign, Affordable Care Act [ACA] implementation, etc.)

Identify Strategies for Achieving Each Goal

1. **Identify core strategies and sub-strategies needed to achieve each expansion goal**	• Use the strategic framework for SOC expansion to determine the core strategies needed to achieve each individual expansion goal
	  – Policy, Regulatory, and Partnership Changes
	  – Expanding Services and Supports Based on the SOC Philosophy and Approach
	  – Financing Strategies
	  – Training, Technical Assistance, and Workforce Development Strategies
	  – Generating Support Through Strategic Communications
	• Identify anticipated challenges to expansion and strategies for addressing challenges

2. **Develop strategies for delivering services**	• Determine how service delivery will be accomplished in achieving SOC expansion goals:
	  – What services
	  – What population
	  – What areas of the jurisdiction

3. **Develop financing strategies**	• Develop financing strategies related to each goal included in the plan • Identify team members or other individuals in positions to implement the financing strategies (e.g., Medicaid agency representative)
4. **Develop strategic communications/social marketing strategies**	• Develop strategies for strategic communications to build support and buy-in for widespread system of care implementation among key constituencies (e.g., high-level decision makers, providers, managed care organizations, etc.)
5. **Develop a logic model for SOC expansion**	• Develop a logic model that depicts inputs, strategies, and intended outcomes of SOC expansion efforts

Specify Action Steps, Timelines, and Responsibilities for Implementing Strategies

1. **Specify action steps for implementing strategies**	• Break each strategy into specific action steps for implementation • Create a detailed action plan showing strategies related to each goal and action plan for implementation
2. **Establish timelines and completion dates for action steps**	• Add time frames and completion dates to action plan for near-term objectives • Identify strategies for longer-term implementation and anticipated time frame
3. **Assign lead responsibility for implementing each strategy**	• Designate individuals with lead responsibility for implementing each strategy and include in action plan

Review Plan to Address Factors Affecting Successful Plan Implementation

1. **Realistic goals**	• Ensure that goals are:
	  – Well defined
	  – Measurable
	  – Achievable

2. **High-priority goals**	• Ensure that clear, manageable goals are established as priorities for initial action • Review rationale for the selection of priorities • Ensure that priorities reflect an intentionally strategic approach to achieving SOC expansion goals • Ensure that priority goals are likely to have a demonstrable impact on SOC expansion, and will lay the foundation for future strategy implementation

3. Specific, concrete strategies	• Review each high-priority goal against the five core strategy areas (policy and partnerships, services and supports, financing, training and TA, and generating support) • Ensure that each goal has defined strategies in each area that are relevant to achieving the respective goal • Ensure that strategies are specific, concrete, and clearly understandable for diverse stakeholders and audiences • Ensure that strategies are further defined with action steps, timelines, responsibilities, and methods for measuring and monitoring progress
4. Strong leaders to manage the expansion process	• Ensure that a dedicated leader is assigned as the point of accountability for managing and overseeing the work of the SOC expansion team, the staff, and the future implementation of expansion strategies • Ensure that the leadership responsibility is embedded in the system, and is not perceived as a temporary, grant-dependent position • Ensure that the leader has the necessary skills, knowledge, and abilities to lead SOC expansion, as well as a strong commitment to the SOC approach
5. Commitment of high-level policy makers and decision makers	• Assess the level of commitment to SOC expansion among agency executives and political policy makers • Generate support for expansion goals through strategic communications to high-priority audiences by: – Providing evidence of positive outcomes from SOC approach on critical dimensions (e.g., improved mental health symptomatology, increased stability of living arrangement, increased living in family context, increased success in school or employment, decreased use of residential treatment, decreased suicides or self-harm) – Providing evidence of impact on costs of service delivery when using SOC approach and its array of home- and community-based services – Highlighting areas of SOC expansion that align with administrative and political priorities • Involve influential people and individuals with direct access to high-level policy and decision makers • Involve families and youth to incorporate personal stories in communication strategies • Identify champions to advocate SOC expansion
6. Cross-agency partnerships	• Determine whether the right partners are involved in SOC expansion efforts based on the goals of the SOC expansion plan (e.g., mental health, Medicaid, child welfare, juvenile justice, education, substance use, primary care, education, early childhood, transition age youth, higher education, etc., based on plan) • Involve additional partners based on the identified goals to participate in expansion efforts • Assess the level and quality of the partnerships and work to enhance as necessary: – Shared commitment to SOC expansion – Commitment of resources to SOC expansion – Mechanisms for cross-system collaboration at state and local levels – Joint training – Other opportunities to strengthen collaboration • Develop formal commitments (e.g., memoranda of understanding)

7. **Commitment across key stakeholders**	• Assess the involvement and commitment of key stakeholders and work to enhance as necessary: – Family and youth organizations and leaders – Provider agencies and organizations – Clinicians and other direct service providers – Managed care organizations – Courts/judiciary • Identify and address impediments to fully committed involvement • Enhance involvement and commitment through work groups, subcommittees, etc., with assigned tasks in areas of expertise • Enhance involvement and commitment through social marketing and strategic communications
8. **Staff and resources allocated to expansion work**	• Ensure that there is adequate staff to support the work of the SOC expansion team and the future implementation of expansion strategies • Ensure that funds are available to support the work of the SOC expansion team and the future implementation of expansion strategies • Use grant resources to leverage staff and funds from partners to support the work of the SOC expansion team and the future implementation of expansion strategies
9. **Leverage opportunities for expansion in environment**	• Identify opportunities in the environment to advance the achievement of SOC expansion goals: – Health reform implementation (e.g., health homes, Medicaid expansion, waivers, state plan amendments, etc., in ACA) – Title IV-E waivers – Reform efforts in behavioral health and in other child-serving systems • Develop strategies for linking with, building on, and leveraging identified opportunities and reform efforts • Incorporate these strategies into SOC expansion plans

Develop SOC Expansion Plan Document

1. **Draft written expansion plan**	• Draft expansion plan with the following components: – Vision for SOC expansion throughout the jurisdiction – Overall approach to expansion – Population of focus – Goals – Core strategies and sub-strategies for each goal – Action steps for each strategy with time frames and assigned responsibility – Benchmarks or measures for assessing progress – Logic model depicting and summarizing graphically the inputs, strategies, and intended outcomes for SOC expansion (i.e., the "theory of change")
2. **Submit plan to policy makers for review**	• Submit plan to policy and decision makers or policy-level structure for review and feedback
3. **Revise and finalize plan**	• Revise plan based on feedback • Create final version of SOC expansion plan
4. **Determine next steps for implementation of expansion plan**	• Determine the next steps for plan implementation • Develop and implement strategies to ensure continuity between the planning and implementation phases • Determine how plan implementation will be monitored and how the plan will be revised over time based on progress and challenges encountered