



Proposed Funding Required

\$ 74.3 million through 2006

OPPORTUNITY

Why the National 2-1-1 Initiative is necessary now.

It is in the continuing aftermath of the tragedies of September 11th that Americans have been reminded of the daily need for access to services that offer support and assistance. And it is in this aftermath that new attention has been focused on the fundamental need for all Americans to offer help in building stronger, safer, and more just communities.

Sadly, however, Americans in search of critical social services such as emergency financial assistance, food, shelter, childcare, jobs, or mental support often do not know where to begin. Many are confronted with a confusing array of organizations through which they must search for what they need. Looking for help means locating dozens of phone numbers and/or Web sites (for those who have access), and then searching through a maze of agencies and services to make the right connection. While some type of community information and referral program exists in practically every community, too often they are relatively invisible. Greater access to community services can change the lives of those that need help. Similarly, by increasing the visibility and access to mechanisms through which Americans can offer help – through volunteering, giving money, or contributing in-kind goods and services – the sheer amount of *giving help* resources can increase.

In July 2000, the Federal Communications Commission (FCC) assigned one of the nation's scarcest communications resources – a three-digit dialing code, 2-1-1 – to be used exclusively for community information and referral purposes. This easy-to-remember, universal number that connects individuals with community resources is the solution America needs for more people to find help or give help in their communities. However, the FCC stipulates that 2-1-1 service must achieve *widespread* public access by 2005 or the 2-1-1 assignment could be reassigned for other purposes.

As such, there is a limited window of opportunity to accelerate the implementation of a strong, enduring national entity capable of dramatically changing the way people access help and engage in civic life. Today, 2-1-1 reaches more than 32 million Americans – nearly 12% of the United States' population. Our near-term goal is to ensure that 50% of the United States' population has access to quality community information and referral services through 2-1-1 by 2005, growing to 100% thereafter.

In order to attain this goal we must strengthen the nationwide rollout and emergence of 2-1-1 Centers. We are working closely with state coalitions and drawing in other stakeholders that will contribute to a national 2-1-1 system – from nonprofits to federal and state government and telephone companies. Further, we are drawing on the knowledge and resources within the national networks of the Alliance of Information & Referral Systems (AIRS), the United Way of America (UWA), and through partnerships with other national entities that are equally committed to the success of 2-1-1.

To achieve maximum impact, 2-1-1 must evolve into a national system, characterized by a shared vision, commitment to standards, and true collaboration. The system will evolve over time and must be given proper attention from the beginning. We are shining the spotlight on the need for a national initiative to accelerate 2-1-1's implementation and ensure sustainability.

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STATEMENT OF PURPOSE

This Business Plan (the "Business Plan") is being furnished by the **United Way of America** and the **Alliance of Information and Referral Systems** (the "Organizations") to investors, funders, and potential public and private partners in consideration of their interest in supporting the Organizations to implement the National 2-1-1 Initiative.

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Additionally, AIRS and UWA would like to extend its deep appreciation to Lilly Endowment, Inc. for its financial support that made this business plan possible and to all funders whose early investment has provided a springboard for the nationwide rollout of 2-1-1.

EXECUTIVE SUMMARY

Business Description & Mission

The National 2-1-1 Initiative is designed to accelerate, lead, and support the implementation and sustainability of the national 2-1-1 system. 2-1-1 is the three-digit telephone number assigned by the Federal Communications Commission for the exclusive purpose of providing widespread access to community information and referral services.

Today, 2-1-1 reaches more than 32 million Americans – nearly 12% of the population. Our near-term goal is to ensure access to high quality community information and referral service through 2-1-1 for at least 50% of the United States' population by 2005, growing to 100% thereafter.

The mission of 2-1-1 is to build America's capacity to strengthen the way people access help and engage in civic life. Americans will use 2-1-1 to navigate the complex and ever-growing maze of health and human service providers, nonprofits, government agencies, and community organizations and their associated programs. 2-1-1 Centers will strengthen communities and expand civic engagement by connecting people with information they need to participate in community-building and problem-solving activities, and by connecting people who want to volunteer with the opportunities to do so. In fact, through the Public Health Security and Bioterrorism Preparedness Act (HR 3448), the federal government has recognized the value of a national 2-1-1 system, and has cited 2-1-1 as a potential recipient of funding.

Emerging 2-1-1 efforts reflect the willingness of nonprofit/community organizations and government agencies to create new local, state, and regional partnerships to take full advantage of America's newest asset to help people find or give help in their communities. The National 2-1-1 Initiative will begin where these partnerships are by understanding their current stage of development and tailoring products and services that will be most effective in moving existing efforts forward. By constantly learning from experiences in the field, we can significantly reduce the time required for the developmental cycle of local and state 2-1-1 efforts, speeding the arrival of the day when all Americans will have access to 2-1-1 service.

We intend to offer state and local 2-1-1s a portfolio of services focused on critical functional areas including: Development of State Systems, Resource Development, Quality Assurance, Public Policy, Marketing & Communications, Capacity Building, and Telecommunications & Technology.

The knowledge, resources, and leadership of key national organizations are vital to achieving our 2-1-1 vision. The Alliance of Information & Referral Systems (AIRS) and United Way of America (UWA) have partnered to play a major role in the National 2-1-1 Initiative. AIRS is the professional national information & referral (I&R) membership organization, representing more than 1,000 comprehensive, specialized, and military I&Rs. United Way of America (UWA) is the national organization dedicated to leading the United Way movement in making measurable impact in every community across America, and is comprised of 1,400 community-based United Way organizations. Each United Way is independent, separately incorporated and governed by local volunteers. In addition, AIRS and UWA are collaborating with other public and private national entities that are equally committed and contributing to the success of 2-1-1.

Investment Highlights

The following points highlight the strength of this investment opportunity:

- Innovative response to the demand for access to critical community information and referral services that saves money and time;
- Clear national vision and growth strategy driven by experienced and representative leadership;
- Significant opportunity to become a driving force behind greater civic engagement; and,
- Proven service model that requires funding for accelerated growth, not a start-up investment.

Societal Impact

The national 2-1-1 system will significantly impact society by:

- Providing the infrastructure to connect individuals with precise information and social services that address their individual needs;
- Generating maximum social capital by drawing communities together to work on issues they care most about;
- Creating a relied-upon *social utility* available to everyone that uses the aggregated data from 2-1-1 Centers nationwide to drive improvements in the way individuals access help, and the way help is provided to society;
- Improving the overall performance and reducing the stigma often associated with human service efforts;
- Employing high-touch personal interaction to analyze callers' needs and impact their lives; and,
- Empowering the nation to better respond to large-scale emergencies.

Strategies

The National 2-1-1 Initiative is built on three core strategies:

- **System Development.** In order to ensure the nationwide rollout of 2-1-1, we will build on the foundation of existing local I&R and community infrastructures, and work through collaborative state-level efforts to ensure access for the entire population.
- **Branding.** We want 2-1-1 to become ubiquitous in American society, as visible and credible as 9-1-1 or 4-1-1. This will require a strong, well-managed branding effort – from marketing for visibility to demonstration of quality and impact, to management of its use – in order to ensure acceptance of and performance to national standards.
- **Partnerships.** Partnerships – with private and public funders, telephone companies, vendors, government agencies, existing I&R services, United Ways and Volunteer Centers – will be required to achieve national rollout. Partnerships then will be required for impact and sustainability.

Target Customers

We have two categories of direct target customers:

- **State 2-1-1 collaboratives.** Comprised of statewide planning groups, in various stages of development, that have assumed responsibility for designing, developing, and implementing comprehensive state 2-1-1 systems (e.g. local and state United Ways, state AIRS affiliates, Volunteer Centers, State Units on Aging, and government agencies).

- **Local 2-1-1 efforts.** Comprised of comprehensive and specialized I&Rs, United Ways, and other community-based agencies that have taken the initiative to establish a 2-1-1 service – often ahead of a comprehensive statewide effort.

Products & Services

We have packaged our products and services into seven major categories as illustrated and described below:

- **Telecommunications & Technology.** Providing education, guidance, and technical support. Promoting the cost effective and efficient use of current and emerging telecommunications technologies.
- **State System Development.** Advancing the implementation of 2-1-1 service by building on existing and/or creating new state-level collaborations.
- **Quality Assurance.** Building compliance with AIRS’ long-accepted national standards and quality assurance systems, which encompass National Standards for 2-1-1 Centers, tailoring them as necessary to meet new expectations.
- **Resource Development.** Establishing a national 2-1-1 fund to leverage local and state resources to finance state and local 2-1-1 development and operations.
- **Capacity Building.** Providing the training and resources necessary to drive the growth of 2-1-1 Center operations, management, and information sharing and response.
- **Public Policy.** Strengthening the national 2-1-1 system by educating and engaging government leaders at the national, state, and local levels to support 2-1-1.
- **Marketing & Communications.** Raising awareness, building national support for, and driving callers to the national 2-1-1 system.

Value Proposition

A fully-realized national 2-1-1 system has the ability to:

- Provide a memorable, accessible entry point to community information and referral services;
- Provide a single repository where comprehensive data on all community services is collected, maintained, and updated regularly, reducing costs and duplication of effort;
- Leverage existing I&R infrastructure already in place, while fostering new processes and access to technology, in order to provide nationwide 24/7 service;
- Connect individuals with opportunities to volunteer and donate goods and services in partnership with local United Ways, I&Rs, Volunteer Centers and other community partners;
- Serve as a vital coordinating point and follow-up to organizations that provide the first line response during local or national emergencies; and,
- Generate new data to use in mobilizing communities and creating new resources to fill service gaps and respond to emerging local needs.

Operational Overview

Today, 37 active 2-1-1 Centers are operating in 17 states, serving nearly 12% of the United States' population. In order to accomplish our near-term goal of providing 2-1-1 coverage for at least 50% of the United States' population by 2005, we will undertake a formal and systematic approach to supporting the national rollout.

Our strategy will be executed in three operational phases, the first of which has already been completed:

▪ **Phase 1 / Research, Planning & Infrastructure / COMPLETE.**

August 2000 to December 2001.

- Inaugurated 2-1-1 Institute.
- Secured national seed funding.
- Created National 2-1-1 Council and National Coalition.
- Hired National Director.
- Published first independent assessment of 2-1-1 service development.
- Federal legislation introduced.

▪ **Phase 2 / Assuming Leadership / IN PROGRESS.**

January 2002 to January 2005.

- Developing and delivering products and services.
- Strengthening project infrastructure.
- Securing funding for state development.
- Implementing communications strategy.
- Expanding 2-1-1 Institute curriculum and course schedule.
- Leading public policy work on regulatory and legislative issues.
- Exploring pilot program to provide Web access to 2-1-1.
- Creating a national technology architecture.
- Crafting national/state marketing campaigns to accelerate 2-1-1.
- Designing national data collection system and evaluation criteria.

▪ **Phase 3 / Growth & Maintenance / FUTURE.**

February 2005 and Beyond.

- Maintain and improve products and services.
- Promote additional growth toward full coverage.
- Establish new strategic alliances.

Management Team

Name	Experience
Dan Williams, <i>National 2-1-1 Director</i>	More than 20 years of nonprofit management experience. Highly skilled in building multi-sector partnerships and designing, developing, and implementing major human service initiatives.
Lori Warrens, <i>Executive Director AIRS</i>	Over 20 years of experience in both the private and non-profit sectors, including the development of the nation's first three-digit number dedicated to community information and referral.
Michael Brennan, <i>Executive Vice President UWA</i>	A 17-year United Way veteran with extensive leadership experience in management, fund development, marketing, and volunteer leadership development.
Linda Paulson, <i>Director 2-1-1 Partnerships, UWA</i>	Nearly 10 years of experience in local United Ways and national nonprofit organizations including experience in fundraising and national systems development.

FINANCIAL SUMMARY

Current Financing

The National 2-1-1 Initiative is currently supported with funding from the operating budgets of the Alliance for Information & Referral Systems (AIRS) and the United Way of America (UWA). We have also raised \$645,000 from the following organizations:

- **Lilly Endowment, Inc.** One two-year grant of \$400,000 was provided to The National 2-1-1 Initiative. The Lilly Endowment supports the causes of religion, education, and community development, and is interested in initiatives that benefit youth, foster leadership education among nonprofit institutions, and promote the causes of philanthropy and volunteerism.¹
- **The Annie E. Casey Foundation.** A one-year grant of \$100,000 was provided to The National 2-1-1 Initiative. In addition, the Annie E. Casey Foundation gave the National Association of State Units on Aging (NASUA), one of our specialized I&R partners through the National 2-1-1 Coalition, a \$100,000 grant to increase support for 2-1-1 among the public sector and related national associations. We are coordinating with NASUA to achieve joint national 2-1-1 goals with these funds. The Foundation's mission is to foster public policies, improved human services, and community supports that effectively meet the needs of today's vulnerable children and families.²
- **The Dammann Fund.** A \$45,000 grant was provided to The National 2-1-1 Collaboration by the Dammann Fund in March 2000, in order to facilitate widespread communication about the 2-1-1 concept and mobilize I&R providers. This grant led to a coordinated effort to work on securing the FCC assignment of 2-1-1 and the emergence of 2-1-1 operational models. The Dammann Fund supports youth and family services, after-school, and teen parenthood programs, as well as residential facilities for the mentally ill.

Funding Requirements

We require \$74.3 million to accelerate The National 2-1-1 Initiative through 2006.

Use of Proceeds

Capital will be used to fund:

- **Telecommunications & Technology.** Telecommunications and technology costs, including telephone set-up charges to begin operating 2-1-1 service, the development of educational events and model 2-1-1 Centers to improve the national 2-1-1 system's access to and understanding of core technologies, in addition to an innovation fund to support technology development (39%);
- **State System Development.** Development of state-based 2-1-1 infrastructures and interstate strategies to achieve economies of scale in implementation and long-term sustainability, including a national 2-1-1 fund to leverage local/state resources to finance state and local 2-1-1 development and operations (20%);
- **Marketing.** Execution of our national marketing and communications strategy, and the development of marketing and communications tools for state and local 2-1-1 Centers (20%);

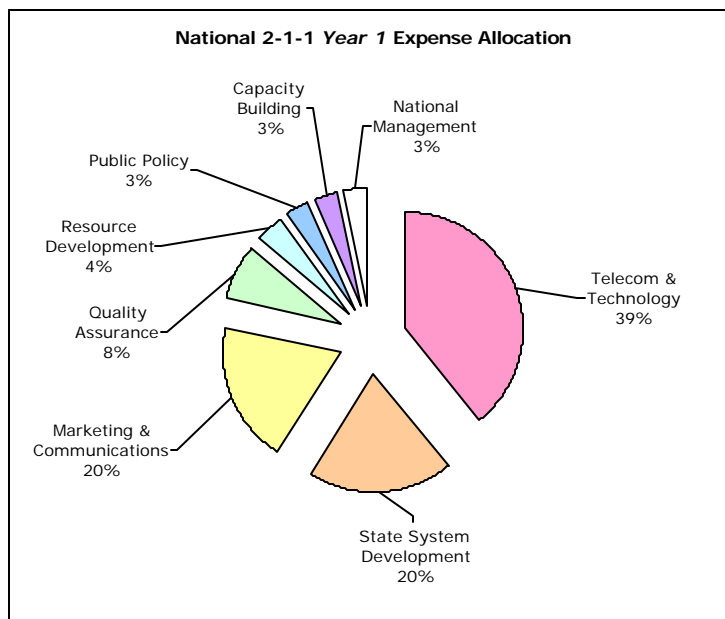
¹ Independent Sector, Nonprofit Pathfinder, www.independentsector.org.

² The Annie E. Casey Foundation, www.aecf.org.

- **Quality Assurance.** Dissemination, training, and testing to certify staff, accredit agencies within the 2-1-1 system, and build their overall capacity to achieve the National 2-1-1 Standards, as well as the creation of enforcement mechanisms to assure nationwide excellence (8%);
 - **Resource Development.** Development of resources and funding in partnership with other national nonprofits, government agencies, corporations, foundations, and telecommunications providers (4%);
 - **Public Policy.** Public policy costs, including advocacy and regular communication with the FCC, Federal departments and agencies, Congress, and the White House, as well as building the capacity of 2-1-1 leadership at the local, state, and national level to impact policy (3%);
 - **Capacity Building.** Training and technical assistance to build capacity of information and referral providers, and enhance disaster preparedness (3%) and;
- National Management.** Administrative costs to operate the National 2-1-1 Initiative (3%).

Financial Snapshot

2-1-1 National Initiative: Total Investment Needed 2002-2006					
	2002	2003	2004	2005	2006
Telecom & Technology	5,670,723	5,882,649	5,738,288	5,748,944	5,757,333
State System Development	2,893,917	4,262,033	3,306,049	2,216,392	805,293
Marketing & Communications	2,828,547	3,063,135	2,899,366	2,922,068	2,944,290
Quality Assurance	1,087,518	1,253,167	1,574,956	1,670,837	1,772,281
Resource Development	560,166	902,459	669,252	673,935	678,315
Public Policy	463,411	502,480	510,732	518,162	525,594
Capacity Building	471,564	583,245	461,697	464,268	466,711
National Management	500,909	237,497	245,237	252,826	260,661
	14,476,755	16,686,666	15,405,576	14,467,432	13,210,478
Cumulative Investment	14,476,755	31,163,421	46,568,997	61,036,429	74,246,906



INVESTMENT HIGHLIGHTS

Investment Highlights

Today, information and referral (I&R) services exist in practically every community. Upon full implementation of a national 2-1-1 system, we project a minimum of 29.3 million 2-1-1 calls will be handled every year. A national 2-1-1 system will efficiently connect these callers with more than 1.6 million health and human service providers, government agencies, and community-based organizations to find or give help in a community.³

However, the national 2-1-1 system is much more than a phone-in resource for access to information. Upon realization of our implementation goals, 2-1-1 will emerge as a ubiquitous and valuable *social utility* – a community-building tool that strengthens social bonds, improves individuals' lives, and makes communities stronger and safer throughout the United States.

The following points highlight the strength of this investment opportunity:

- ***Innovative response to the demand for access to critical community information and referral services that saves money and time.*** 2-1-1 is a groundbreaking solution to eliminate the confusing maze of information and services that often overwhelm individuals who need help or want to give help. 2-1-1 also offers professionals and organizations dedicated to providing social assistance or increasing civic involvement a way to enhance their impact and maximize scarce resources. A fully-realized national 2-1-1 system has the ability to:
 - Provide a memorable, accessible entry point to community information and referral services;
 - Provide a single repository where comprehensive data on community services is collected, maintained, and updated regularly, thus saving thousands of dollars in duplication of effort;
 - Leverage existing I&R infrastructure already in place, while fostering new processes and access to technology, in order to provide nationwide 24/7 service;
 - Connect individuals with volunteer activities and opportunities to donate goods or services;
 - Serve as a vital coordinating point and follow-up to organizations that provide first line response during local or national emergencies; and,
 - Generate new data to use in mobilizing communities and creating new resources to fill service gaps and respond to emerging local needs.

- ***Clear national vision and growth strategy driven by experienced and representative leadership.*** Under the guidance of National 2-1-1 Initiative leadership – composed of accomplished individuals from UWA, AIRS, the National 2-1-1 Coalition, and successful state and local 2-1-1s which have emerged over the past five years – we have designed a comprehensive strategy that will enable us to achieve our near-term goal of providing access to 2-1-1 services to at least 50% of the U.S. population by 2005. Our effort leverages the distinctive competencies and unique assets, insights, and professional experiences of all key partners. We are

³ "So, What Can You Do For Your Country?" *TIME*, January 31, 2002.

building the national 2-1-1 system through a *grassroots* and *grasstops* approach that creates true shared ownership of 2-1-1 at the local level and maximizes the contributions of powerful national organizations and leadership needed to bring this effort to scale.

We will draw upon our partners' collective knowledge and resources to facilitate efficient, rapid rollout of 2-1-1. For example, UWA is comprised of 1,400 community-based United Way organizations that will play a major role in the national 2-1-1 movement.⁴ United Ways raised and invested nearly \$4 billion in communities throughout America in 2001.⁵ UWA's new mission to improve lives by mobilizing the caring power of communities and focus on community impact presents strong opportunities to facilitate the growth of the emerging national 2-1-1 system. In addition, the corporate and civic leadership represented on local United Way boards is unparalleled and will be a great asset to 2-1-1.

AIRS is the professional national I&R membership organization, representing more than 1,000 comprehensive, specialized, and military I&Rs. In 2000 and 2001 AIRS certified 1,104 I&R staff, and today, 45 I&R agencies are in the process of becoming accredited. AIRS brings relationships and partnerships through its membership that are necessary to create a strong foundation for the national 2-1-1 system. AIRS sets the tone for professional I&R services and develops/enforces certification and accreditation that we will employ for 2-1-1.

- ***Significant opportunity to become a driving force behind greater civic engagement.*** 2-1-1 can provide more visible, expanded access to citizens interested in participating in their communities – from information about organizations responding to local problems to connections with community building efforts in arts, culture, and local history. Further, 2-1-1 can increase visibility and access to local Volunteer Centers and other means through which people contribute back to their communities.
- ***Proven service model that requires funding for accelerated growth, not a start-up investment.*** We are seeking funding for an aggressive acceleration of the national 2-1-1 system. Today, 17 states and 37 local 2-1-1 Centers have already demonstrated the strong demand for and positive impact that 2-1-1 has on communities. The track record of the thousands of I&R agencies across America suggests the depth of the infrastructure that currently exists. This established infrastructure provides a distinct advantage. Many I&Rs that wish to implement 2-1-1 service are already engaged in developmental work focused on marketing, fundraising, quality assurance, public policy, and technology implementation.

The National 2-1-1 Initiative is promoting the implementation of 2-1-1 within existing infrastructures to achieve greater efficiency. As such, we have designed our comprehensive portfolio of services to complement these existing efforts.

⁴ United Way, Annual Report, 2001.

⁵ IBID.

At the national level, we have benefited from \$645,000 in initial funding from Lilly Endowment, Inc. and the Annie E. Casey Foundation. Further, with support and guidance from AIRS, UWA and key partners in the National 2-1-1 Coalition, significant pieces of our services are in place and ready for rollout, such as our *National 2-1-1 Standards* for quality assurance and the *National 2-1-1 Institute* for training. As such, we believe we are starting with a strong foundation from which we can accelerate growth to achieve our national implementation goals.

2-1-1 In Action / Kim

A mother at age 15 and married by age 18, Kim was the victim of both sexual and physical abuse, and survived many failed suicide attempts. Penniless and desperate, Kim found herself spending a night in an Atlanta bus station with her four children, where she saw a poster for 2-1-1. Begging a quarter from a porter, she called 2-1-1, and was referred to an organization that picked them up and found them shelter and clothes. Wanting more for her children, and realizing that she lacked proper job training and education, Kim dialed 2-1-1 again for help in finding a job. Based on the 2-1-1 I&R Specialist's referral, she was accepted into the *Work Force Enterprise* program. After 17 weeks of job training and education, Kim earned her GED and received 13 job offers. Today, Kim has almost finished her college education and is employed as a resource assistant in Outreach Education for a major hospital. Kim works with pregnant or at risk teenage girls, and is making a difference in the lives of 300 to 400 teens every month. Kim has recently remarried and owns her own home.

SOCIETAL IMPACT OF 2-1-1

Societal Impact

The national 2-1-1 system will significantly impact society by:

- ***Providing the infrastructure to connect individuals with precise information and social services that address their individual needs.*** Meeting individuals' human service needs through a memorable telephone number with national coverage has the potential to revolutionize human service delivery systems as well as civic engagement across the United States. All Americans will use 2-1-1 to navigate the complex and ever growing maze of health and human service providers, nonprofit organizations, government agencies, and community service organizations and their associated programs. Further, they will see 2-1-1 as an important way to connect to volunteer and community service organizations and to give back to their communities in other meaningful ways, such as contributing in-kind goods and services.
- ***Generating maximum social capital by drawing communities together to work on issues they care most about.*** The national 2-1-1 system has the potential to revolutionize the way people engage in civic life by providing a gateway to a multitude of organizations that desperately need more volunteers, more donations, and other human resources. 2-1-1 Centers help strengthen communities and expand civic engagement by connecting people with information they need to participate in community-building and problem-solving activities and by connecting people who want to volunteer with the appropriate organizations, such as Volunteer Centers.
- ***Creating a relied-upon social utility that drives improvements in the way individuals access help, and the way help is provided to society.*** The national 2-1-1 system will become a *social utility*, helping change attitudes towards getting help, and making it more acceptable to use human service systems. Further, by creating a national brand that becomes synonymous with accessing help and opportunities to give help, 2-1-1 becomes an easy-to-access resource when a moment of need arises, whether large or small. By generating new data that can be aggregated and analyzed at the community, state, and national levels, the national 2-1-1 system will become a social barometer that provides current information on emerging needs and on demand for existing services. A *sentinel in the community*, the national 2-1-1 system will generate information that can be used in the development of public policy, in evaluation of services, and in support of advocacy efforts. As a result, 2-1-1 will provide a more targeted method for implementing scarce resources, including tax dollars and charitable contributions.
- ***Improving the overall performance and image of human service efforts.*** Employees of health and human service organizations view 2-1-1 as a cost-effective resource through which to access critical community information for clients seeking help. By providing a single point of entry for information and referrals, 2-1-1 essentially becomes an extension of the human service professionals' resources to direct people in need of services and opportunities to become self-reliant. 2-1-1 is a mechanism that promotes a team approach to helping people, by forging deeper, long-term relationships between I&R staff and the social service providers. This collaboration leads to more effective solutions for the caller and often spurs innovative ideas for enhancing service delivery systems.

It is anticipated that a sustainable national 2-1-1 system will have a ripple effect through human service delivery systems, improving the scope and quality of services. As individuals gain knowledge about and access to services, expectations for responsive, efficient, and effective services will rise. This will benefit the individual consumer as well as government, nonprofit, community organizations, and workplaces that offer access to such services.

- ***Employing high-touch personal interaction to analyze callers' needs and impact their lives.*** Due to the often sensitive and complicated issues faced by callers, 2-1-1 Center staff will be certified to help people identify underlying issues to connect them with the best available services. By asking callers follow-up questions, trained staff can help identify underlying problems that must be dealt with to help people better cope with the expressed symptoms and develop their own plan for tackling the root cause of the problem. It is no exaggeration to say that 2-1-1 has the power to *change people's lives* by connecting people with resources and helping them move to greater self-reliance, such as helping:
 - Senior citizens find help to pay for a prescription;
 - Single mothers find affordable child care close to home in order to keep their jobs instead of relying on welfare;
 - Battered wives find groups that provide shelter so that they can leave a violent situation; and,
 - Individuals find resources to cope with the financial strain of layoffs.
- ***Empowering the nation to respond better to large-scale emergencies.*** The national 2-1-1 system will be an important nationwide tool for information-sharing and resource mobilization during local or national disasters. In such scenarios, 2-1-1 can serve as the memorable, easy-to-access utility for coordinating the massive flow of people in need as a result of the crises, as well as people in the community who wish to help.

2-1-1 In Action / Thomas

Thomas, a 25-year-old man, called 2-1-1 because he was afraid of being evicted. Someone had stolen the cash he had set aside for rent and he did not have the money to make the deadline set by his landlord. Thomas had never been late with his rent before. The 2-1-1 I&R Specialist encouraged Thomas to report the theft, and then explained that there were community resources to help people who were faced with an unexpected financial crisis. Thomas was referred to the local police department, the *Community Renewal Team (CRT)*, *Community Mediation*, and the *Salvation Army*. During follow-up, the I&R Specialist learned that Thomas had reported the theft to the police and had received emergency rental assistance from *CRT* to cover his missed payment.

ORIGINS

How 2-1-1 Began

In 1996, the United Way of Metropolitan Atlanta received a gift of telecommunications equipment that had been used by a local for-profit information service using a three-digit phone number. This gift inspired the transformation of the United Way's I&R program and the creation of America's first 2-1-1 Center. The donor, Virgil Williams, had no idea that his gift would inspire the creation a three-digit number dedicated to finding and giving help in Atlanta – making it easier for others to donate their resources to help build a stronger community. In May 1997, the Georgia Public Service Commission assigned 2-1-1 to the United Way of Metropolitan Atlanta as a simple, easy-to-remember number to call for Georgians who want to find or give help in 13 counties of metro Atlanta.

Historical Milestones

After May 1997, a grassroots effort sprouted and began driving the establishment and growth of a national 2-1-1 system. Listed below are key events that have laid the groundwork for a coordinated National 2-1-1 Initiative.

- *Created the National 2-1-1 Collaborative.* The National 2-1-1 Collaborative was created in May 1997 by the United Way 2-1-1 in Atlanta, UWA, AIRS, United Way of Connecticut, the Texas Information and Referral Network, and the Florida Alliance of Information and Referral Services. These organizations along with more than 30 other local, state, and national groups contributed money, staff resources, and time to a common goal of securing nationwide assignment of the 2-1-1 dialing code from the FCC for access to community I&R services. This initial group led the effort to secure the FCC assignment of 2-1-1.
- *Implemented first statewide 2-1-1 service in Connecticut.* In 1999, Infoline 2-1-1 of Connecticut began operating with five regional community outreach and information teams to create a strong link between communities and the new Infoline 2-1-1 service.
- *Dammann Fund provides \$45,000 grant to advance 2-1-1 concept.* In March 2000, a grant provided by the Dammann Fund facilitated widespread communication about the 2-1-1 concept and helped mobilize I&R providers. This led to a coordinated effort to work on securing the FCC assignment of 2-1-1 and the emergence of 2-1-1 operational models.
- *Established National 2-1-1 Standards that were accepted in the field.* In May 2000, the National 2-1-1 Collaborative adopted a set of twelve *National Standards for 2-1-1 Centers* based on existing AIRS' *Standards for Professional Information and Referral* and suggestions from organizations in the process of implementing 2-1-1 Centers.
- *Federal legislation introduced supporting 2-1-1 assignment.* In June 2000, senators Cleland (D-GA) and Snowe (R-ME) introduced legislation supporting the assignment of the 2-1-1 dialing code for community information and referral.
- *Secured assignment of 2-1-1 dialing code from FCC.* In July 2000, the FCC awarded the national assignment of the 2-1-1 dialing code for use by community information and referral service organizations.

- *Created the AIRS/UWA Council.* The AIRS/UWA Council was created in October 2000 based on a memorandum of understanding outlining the roles and responsibilities for working together in support of a National 2-1-1 Initiative. The Council's goal was to promote the implementation of 2-1-1 throughout the United States using the AIRS and UWA systems and by engaging other public and private sector players.
- *Additional states begin implementing 2-1-1 service.* As 2-1-1 implementation continued in Georgia, Louisiana, and Tennessee, the Texas Information and Referral Network, and the Florida Alliance of Information and Referral Services began working to implement statewide 2-1-1 service.
- *National Coalition created.* In February 2001, the *National 2-1-1 Coalition* was created, comprised of 15 national organizations representing a full range of public and private sector representatives. Players included general and specific I&R and assistance groups as well as groups dedicated to promoting volunteer and community service. The Coalition's purpose is to create awareness and provide education about 2-1-1 for their members, affiliates, and professional networks. The Coalition is designed to ensure that the views and interests of participating member organizations are represented in the development of the national 2-1-1 system. Coalition members are actively engaged in national 2-1-1 development efforts and are implementing workplans to build awareness and provide education about 2-1-1 among their networks.

2-1-1 In Action / Yvonne

Yvonne, a 26-year-old mother of two young children called 2-1-1 in an emotional crisis because her husband had recently asked for a divorce. The 2-1-1 I&R specialist assessed the woman for her risk of suicide and then provided active listening and crisis intervention. Yvonne had no idea how she would support herself or her children. The specialist presented the caller with options, by explaining different community-based support systems that could help her family. The specialist referred Yvonne to *Statewide Legal Services*, the *Department of Social Services (DSS)*, and the *Association for Children for Enforcement of Support* for legal help with her divorce and child support information and assistance. For information on affordable housing programs, Yvonne was referred to the local housing authority. Finally, the specialist referred Yvonne to the local *Women, Infants, and Children Program (WIC)* and *DSS* offices for benefits screening. Later, when the specialist followed up, she learned that Yvonne had applications pending with the *Department of Social Services for Temporary Family Assistance and Food Stamps*, and she had spoken with *Legal Services*. Yvonne's family was also expecting a Thanksgiving food basket from a local holiday assistance program.

STATUS OF 2-1-1 IMPLEMENTATION

National 2-1-1 Implementation Philosophy

We respect and admire the state and local efforts made to date. As such, we intend to build the national 2-1-1 system through a *grassroots* and *grasstops* approach that creates and sustains true ownership of 2-1-1 at the state and local level.

We will maximize the contributions of powerful national organizations and leadership needed to bring this effort to scale. For 2-1-1 to achieve its potential benefit for the country, it must evolve into a true national system, characterized by a shared vision, a commitment to common standards, and true collaboration to increase effectiveness and impact. We believe that such a system will evolve only over time with strong support and leadership through the National 2-1-1 Initiative.

National 2-1-1 Implementation Status Summary

Today, 2-1-1 reaches over 32 million Americans – nearly 12% of the population. A good start, but still a long way from our near-term goal of 50% coverage by 2005, and ultimate goal of 100% nationwide coverage.

National 2-1-1 is a fast-growing, loosely coupled network of local and state 2-1-1 developers. Some are coordinated through statewide efforts, but a number of independent local efforts are also underway. In addition, there are a large number of groups, particularly specialized I&Rs, national information resource organizations, Volunteer Centers, and community-building groups like United Way whose actions will have a positive affect on the design and implementation of 2-1-1 systems.

In its developmental stages, 2-1-1 is being built community by community from existing organizations that have already made sizable investments in its development.

Listed below are the most recent statistics on the status and impact of 2-1-1:

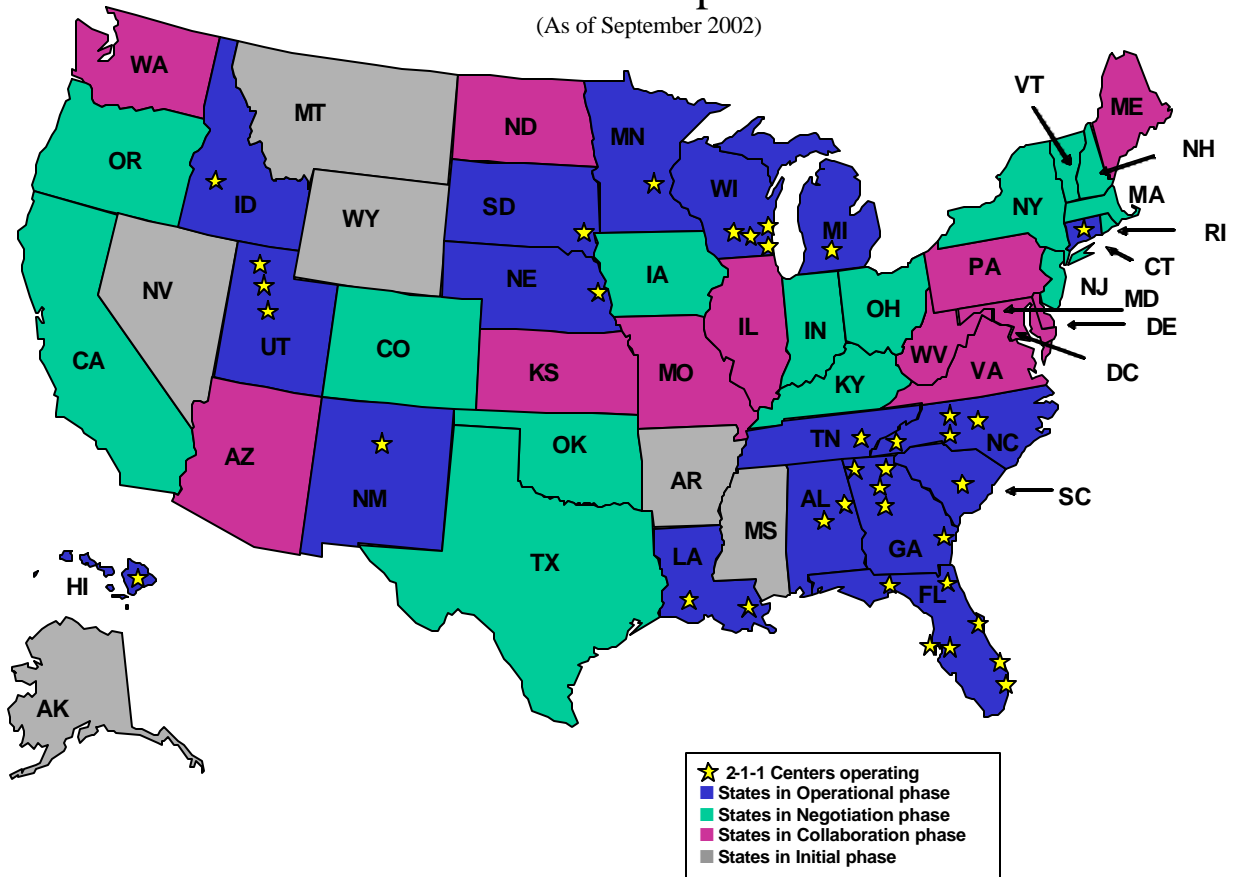
- 37 active 2-1-1 Centers in 17 states;
- Approximately 32 million (nearly 12%) of Americans have access to community information and referral services by dialing 2-1-1;
- Dramatic implementation progress of 2-1-1 Centers as we apply lessons learned to speed development time:
 - 1997: one in Atlanta, Georgia;
 - 1999: one in Connecticut (100% increase);
 - 2000: one in Columbus, Georgia,
one in Lafayette, Louisiana,
one in Knoxville, Tennessee (300% increase);
 - 2001: 18 in 2001 (533% increase); and,
 - 2002: 14 and growing.
- Fifteen states are estimated to be six to 12 months from having their first live 2-1-1 Center including major population centers in Texas and California. Nineteen states are estimated to be 12 to 36 months from having their first 2-1-1 Center; and,

- 2-1-1 collaboratives in 15 states have achieved the goal of being designated by their public utility commission as the group responsible for approving who can use the 2-1-1 dialing number in specific geographic areas – a significant step in gaining momentum to achieve our national goals.

The map below graphically represents the current status of 2-1-1 implementation throughout the United States:

National 2-1-1 Implementation

(As of September 2002)



INDUSTRY BACKGROUND

Industry Definition

2-1-1 has emerged from the nation's Information and Referral (I&R) industry. I&R operates in a distinct part of the health and human service industry – that which is concerned with access, and has been known for fifty years as community information and referral services. The earliest information and referral programs date back to the 1930s, but the industry grew rapidly in the 1960s and early 1970s as increasing federal funding led to greater complexity in the organization of health and human services. I&R services were created to help people negotiate the resulting maze. Both comprehensive and specialized I&R agencies now exist to provide linkages between the individual and the services available in their community.

In most communities, a second kind of linkage is performed by Volunteer Centers. Volunteer Centers link those who want to give help with local volunteer opportunities. In some cases, the I&R and the Volunteer Center are the same agency or work in partnership in a community.

I&R centers maintain comprehensive databases of resources including federal, state, and local government agencies, private non-profit agencies, faith and community based organizations, schools, libraries and neighborhood and civic organizations. The comprehensive I&R center often maintains this data for the specialized centers in the community and makes it available on the Internet, in other electronic forms, and through paper directories and handbooks.

I&R specialists are skilled professionals. They assess callers' needs and help the caller determine their options and the best course of action. Additionally, I&R specialist are trained to determine whether a caller may be eligible for other programs, to intervene in crisis situations, and to advocate on behalf of the caller, as needed.

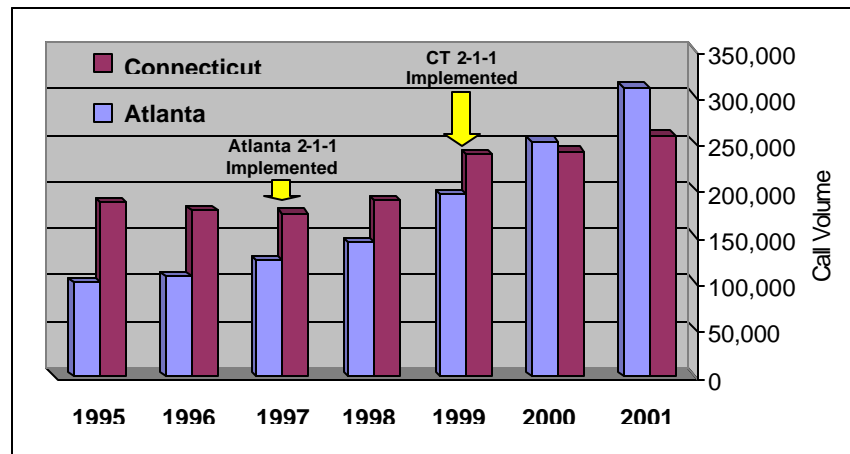
Size & Projected Growth

There are thousands of I&R service agencies operated by non-profit and government organizations throughout the United States. These I&R services answer millions of calls annually. I&R services are responsible for connecting callers with opportunities to get and give help through more than 1.6 million health and human service providers, government agencies, and community-based service organizations in the United States.⁶

When an I&R service becomes a 2-1-1 Center, the switch results in a parallel effort to market and promote the three-digit number as well as improved capacity to take more calls. We anticipate that incoming call volumes will increase dramatically with the new, highly visible phone number.

The graphic on the next page demonstrates how 2-1-1 service impacted call volume at United Way 2-1-1 of Atlanta, a local/regional 2-1-1 Center (formerly First Call for Help) and Connecticut's statewide 2-1-1 Infoline following each states' Public Service Commission assignment of the 2-1-1 dialing number.

⁶ "So, What Can You Do For Your Country?" *TIME*, January 31, 2002.



Societal Trends Impacting the Industry

We believe that the following trends will impact the evolution of the I&R/2-1-1 industry:

- **September 11th tragedy has drawn attention to need for 2-1-1 to connect people quickly and efficiently with help and community information.** The terrorist attacks created one of the greatest challenges that the United States' network of community information and referral providers has ever seen. Evidence suggests that the enduring stress and trauma of the tragedy has produced increasing incidences of substance abuse, eating disorders, and domestic violence. For example, twenty-three states have detected an increased demand for alcohol and drug treatment since September 11th.⁷ Immediately following the attacks, agencies offering 2-1-1 service experienced significantly higher call volume from families looking for victims, individuals stranded in airports, frightened children and concerned parents, individuals reliving other disasters, mentally ill persons feeling overwhelmed, and people looking for ways to give help. 2-1-1 connected them with the appropriate organizations. In Atlanta, for example, calls increased 78% from the previous year. Call volume continues to remain significantly higher than last year.
- **Navigating the increased number of nonprofit agencies and growing maze of community programs and services is complex and difficult.** The I&R role in communities has become more complex as the number of nonprofit agencies has increased. The total number of nonprofit organizations grew from 1.3 million in 1987 to 1.6 million in 1998.⁸ More programs, services, and opportunities for people to get and give help have been created than ever before. The increase in options for individuals seeking help and opportunities to provide help has simultaneously amplified the confusion about directing people to the most appropriate agencies and services. Further, in an effort to trim budgets, the federal government continues to push programs to the state and local level, often making it difficult to track the growing number of local services. As such, local I&R's ability to maintain high quality, reliable databases, better analyze callers' needs, and provide the best possible community information and referrals is more highly valued.

⁷ "Nearly Half the Nation Reports an Increased Demand for Drug and Alcohol Treatment Six Months After September 11," The National Center on Addiction and Substance Abuse at Columbia University, April 2, 2001. www.casacolumbia.org.

⁸ "Number of Charities Grows 74% in Just Over Decade," *Independent Sector*, July 18, 2001. www.independentsector.org.

- **Nonprofit organizations are seeking innovative ways to maintain quality services in an uncertain funding environment.** Nonprofit organizations are deeply concerned that the impact of a slowing economy and the concentrated outpouring of charitable giving following the September 11th tragedy will result in lower overall giving. This uncertainty is negatively impacting their ability to plan new initiatives to support the increased demand on services produced by a slow economy. In a recent survey, one in ten Americans stated that they will stop giving, and another one in ten said they will greatly reduce their giving if the economy worsens.⁹ Supporting these findings, another survey by the Association of Fundraising Professionals found that 30% of charities did not raise as much in 2001 as they did in 2000.¹⁰ As such, nonprofit organizations are seeking innovative ways to stretch their budgets and partner on programs to maintain their current levels of quality and service.
- **Volunteerism continues to be a key part of the fabric of American life.** More than 44% of American adults over the age of 21 volunteered in 2000. These volunteers averaged just over 24 volunteer hours per month. With the estimated hourly value of time at \$15.40 per hour, the total estimated value of volunteers' time is \$239.2 billion per year.¹¹ In the Atlanta market, we have seen a significant increase in calls to 2-1-1 from people who want to give help. For example, 2-1-1 calls from individuals in Atlanta who want to give help increased from almost zero in 1996 to nearly 15,000 in 2000.¹² President Bush's call for every American to dedicate 4,000 hours to volunteer service per year has drawn attention to the importance of volunteering for the health of our communities and the strength of our nation.¹³ 2-1-1 calls to give help in Atlanta have also resulted in increased contributions of goods and services - \$7 million worth of in-kind goods such as furniture, computers, and office supplies have been brokered and placed with local non-profits to help reduce overhead costs since 1999 in Atlanta.¹⁴
- **Americans are growing older and will require access to health and human services.** The United States is preparing for a major demographic shift as members of the baby boom generation begin to retire. By 2030, there will be approximately 70 million people age 65 and over, more than twice the amount in 2000.¹⁵ The resulting cost of care for this huge class is expected to be overwhelming, as limitations on their daily activities increase due to disabilities and chronic conditions. Today, approximately 3.4 million older persons are living in poverty, with another 2.2 million considered *near poor*.¹⁶ These demographic changes will have a significant impact on the organizations and family members that provide care and support to the elderly, and more resources will be necessary to connect the elderly with the specific help they need.

⁹ "Independent Sector Survey Finds Mixed Outlook on Charitable Giving," *Independent Sector*, October 23, 2001, www.independentsector.org.

¹⁰ "Charitable Fundraising Strong In 2001 Despite Economy, Sept. 11," Association of Fundraising Professionals, April 15, 2002.

¹¹ "Giving and Volunteering in the United States 2001" *Independent Sector*, 2001. www.independentsector.org.

¹² "211: America's Newest Connection to Community Information," United Way of Metropolitan Atlanta, April 2001.

¹³ "So, What Can You Do For Your Country?" *TIME*, January 31, 2002.

¹⁴ "211: America's Newest Connection to Community Information," United Way of Metropolitan Atlanta, April 2001.

¹⁵ "A Profile of Older Americans 2001," Administration on Aging, www.aoa.gov.

¹⁶ *IBID*.

- **Recessions lead to rising levels of unemployment and increased usage of health and human services.** Historically, when a recession occurs in the United States, a strain is placed on the country's health and human services infrastructure, the impact of which is often felt long after the economy improves. As people without jobs use up unemployment benefits and require financial assistance, services such as employment guidance and emotional counseling are in greater demand. Today, approximately 1.4 million people across the United States have lost their jobs since March 2001, when the current recession as defined by the National Bureau of Economic Research officially began.¹⁷ As a result, approximately 5.5% of the nation's population is jobless, which is nearly eight million people.¹⁸
- **Impact of welfare reform on low-income working families and health and human services.** Families cycling off welfare need help navigating the complex maze of programs and services designed to help them succeed. The Welfare reform laws passed in 1996 marked a turning point in national welfare policy. Among many initiatives, the new policy aimed to encourage personal responsibility by promoting work. Although nearly three million families have left welfare, most of them for work, there are still more than two million families remaining on welfare. Congress and the current administration are due to reauthorize the 1996 welfare reform legislation with a \$22 billion per year Federal commitment to fund welfare payments, work preparation, and childcare. I&Rs play a major role in bringing low-income working families together with resources outlined in the welfare reform package so people can successfully leave welfare.

**Limitations of
Current Industry
Practices**

Listed below are limitations impacting the community I&R industry today:

- **Lack of resources limits state and local 2-1-1s' capacity to serve the public.** Experience to date indicates the annual cost to successfully operate a 2-1-1 Center ranges from \$85,000 for a population of 150,000, to \$2.3 million for a region with over four million residents. Without funds to add the necessary human resources, telecommunications and technology infrastructure, and quality assurance mechanisms, the capacity of an individual 2-1-1 Center is limited. Efforts to meet the increasing demands placed on I&Rs implementing 2-1-1 will bring the service closer to overload without additional investment that can be sustained.
- **Increasing demand for culturally sensitive social services and the ability to communicate with non-English speaking callers.** To provide non-English speaking Americans with equal access to critical social services, nonprofit organizations have taken significant steps to employ bilingual staff and language translation services in communities with high concentrations of non-English speaking residents. I&Rs must be able to communicate with non-English speaking callers, and they must maintain information regarding culturally appropriate community services. This represents a significant challenge for I&R services. For example, United Way 2-1-1 in Atlanta experienced a 250% increase in

¹⁷ "Unemployment Drops to 5.5%," CNN/Money, March 8, 2002. www.cnnfn.com.

¹⁸ IBID.

non-English call volume from 1997 to 2000.¹⁹

- ***Achieving higher quality service by bringing I&Rs together for training, networking, and to share best practices.*** Peer learning is one of the best ways to increase the capacity of I&Rs to adopt industry practices toward achieving 2-1-1 Center Standards. It is necessary for state and local I&R representatives to have opportunities for professional development through training and conferences that advance policy issues, provide access to management and technical training tools, and create new partnerships. Operating on limited budgets, I&Rs find staff development expenses to be a significant strain on capital. As a result I&Rs are limited in their ability to share best practices with their counterparts across the country.
- ***I&R is the community's best kept secret.*** With scarce resources, the I&R industry has not grown evenly across America. I&Rs have typically engaged in limited marketing efforts. To date, no comprehensive effort has ever been launched to push callers toward I&R services. As a result, in communities where 2-1-1 is emerging, I&R service may need to be created from scratch or strengthened significantly. To build an everlasting national brand for 2-1-1, we will need to invest in community and state I&R infrastructure to achieve more even coverage and quality service.

2-1-1 In Action / Elizabeth

Elizabeth, a 56-year-old woman, called 2-1-1 for help with her 75-year-old mother who has Alzheimer's disease. As her mother's primary caregiver, Elizabeth had previously been able to manage well, but lately her mother was becoming increasingly more difficult to care for. Elizabeth was exhausted, and although she didn't want to, she thought it was time to seek professional help. The 2-1-1 I&R Specialist assured Elizabeth that feeling overwhelmed when caring for a parent with Alzheimer's was normal and that needing support was not unusual. The specialist then referred Elizabeth to the *Alzheimer's and Related Disorders Association* for educational materials and information on respite care. Elizabeth was also given referrals to a local *Caregivers Support Group* and to *Priority Care* for assistance with household chores.

¹⁹ "211: America's Newest Connection to Community Information," United Way of Metropolitan Atlanta, April 2001.

TARGET CUSTOMERS

Target Customers

We have two categories of direct target customers:

- **State 2-1-1 collaboratives.** Statewide groups that have assumed responsibility for designing, developing, and implementing comprehensive state 2-1-1 systems (e.g. local and state United Ways, state AIRS affiliates, and government agencies). With the ultimate goal of 100% statewide coverage, state 2-1-1s commonly organize local and regional I&Rs and other community players to create one unified, statewide 2-1-1 system.

The most efficient implementation of 2-1-1 service has occurred in states that have created an official entity to drive statewide 2-1-1 efforts.

- **Local 2-1-1 efforts.** Comprehensive and specialized I&Rs, United Ways, and other community-based agencies that have taken the initiative to establish a 2-1-1 service – often ahead of a comprehensive statewide effort. These efforts exist at the city, county, and regional levels. Many local efforts have consolidated to provide leadership for their state initiative.

Key Needs

Based on field research and experience to date, we have identified several areas as universal *key needs* for successful state and local 2-1-1 development:

- **Funding.** Provide leadership, coordination, and data to support investment or grant-making processes. Secure funding from public and private sources.
- **Capacity building.** Build operational capacity and improve service quality. Coordinate statewide planning and develop/update comprehensive 2-1-1 business plans. Identify and manage strategic service opportunities that take advantage of the 2-1-1 system (e.g. a coordinated gifts in-kind program).
- **Integrating disparate efforts.** Manage and negotiate *interstate* 2-1-1 system development and lead *intrastate*/regional 2-1-1 projects (e.g. facilitating 2-1-1s working jointly to develop grants, conducting joint purchasing of supplies or employee benefits, conducting training and professional development activities, building telecommunications and technology systems to support state infrastructures, etc.).
- **Partnering.** Create and facilitate strategic partnerships needed to maximize 2-1-1 service opportunities (e.g. state and local nonprofit organizations, faith and community-based groups, civic/professional associations, government agencies, corporations, and telephone companies, public utility commissions, and state legislatures).
- **Advocacy.** Secure responsibility on a state level for assigning 2-1-1 and enforcing quality assurance through work with public utility commissions. Generate data to support public policy development with government agencies and investment decision-making with foundations.
- **Telecommunications and Technology.** Obtain resources and technical support to set up 2-1-1 services and implement state-of-the-art telecommunications and technology solutions. Develop and coordinate systems for managing comprehensive resource databases used by 2-1-1s.
- **Marketing.** Plan and coordinate state and regional media campaigns.
- **Success Metrics.** Comprehensive system-wide evaluation of 2-1-1.

PRODUCTS & SERVICES

2-1-1 Services Overview Our portfolio of products and services is designed to increase the self-sufficiency and capacity of state and local 2-1-1s as well as the overall quality and efficiency of I&R services. Emerging 2-1-1 efforts reflect the willingness of nonprofit organizations and government agencies to create new partnerships to take full advantage of America's newest asset to help people find or give help in their communities. The national initiative will *begin where these partnerships are* in understanding their current stage of development and tailoring products and services that will be most effective in moving their existing efforts forward. See Appendix C for comprehensive definitions of 2-1-1 implementation stages, and a breakdown of state and local 2-1-1 operating models.

We have divided our products and services into seven major categories as described below:

2-1-1 Services

- **State System Development.** Based on our research and experience, effective state-level leadership is the key to the efficient rollout of 2-1-1 service, and the most effective channel for the National 2-1-1 Initiative to deliver support services. By building on existing infrastructure and/or creating new entities at the state level we will advance the implementation of 2-1-1 service. We will not be putting money into a static state infrastructure, but rather our investment will be designed to leverage the states' resources in order to ensure long-term sustainability.

Priority will be given to the strengthening and/or development of state systems because:

- States are natural divisions that people use to define themselves, as reflected in the efforts already underway;
- The opportunity for 2-1-1 to contribute to community impact is most likely to occur within programs and initiatives that are defined by partners working within local or state boundaries;
- State Public Utility Commissions are essential actors in the development process and must be dealt with at the state level; and,
- Significant funding likely will be required from state government and states will be the pass-through for many federal funding opportunities.

Components of this work include the following:

- *Funding to build state system capacity and leadership through the national 2-1-1 fund.* We will provide venture grants on the basis of a state/local match to assist in the development of 2-1-1 through recognized state coalitions for the initial developmental period. In addition, *incentive or leadership grants* will be made to stimulate consideration of innovative approaches and best practices that can be replicated across the nation to accelerate implementation of 2-1-1 service.
- *Technical consulting service.* We will provide targeted, high level technical assistance in such areas as development of business plans, government relations, resolution of legal or regulatory issues, negotiation with telephone companies, system design, assessment of and decision-making about technology alternatives, and fund-raising. Our team of technical and legal consultants will be deployed on an as

needed basis to provide customized consultation to states in need of assistance.

- *Training & networking.* We will offer regular opportunities for state 2-1-1 leadership to come together to learn and share best practices with the goal of reducing the developmental cycle for 2-1-1s. Training and networking events will promote opportunities for interstate partnerships, joint grant writing, fundraising, and resource development activities. We will also encourage use of the National 2-1-1 Initiative's Web site for 2-1-1 Centers to exchange information with other state initiatives.

State System Development Value Proposition. Our *State System Development* services will:

- Ensure 2-1-1 coverage for entire states, including rural areas and special population groups;
- Organize state-level leadership and champions to accelerate the growth and provide support to local 2-1-1 networks;
- Provide an efficient management framework for delivering support services;
- Help state leadership save time and avoid costly consulting fees;
- Allow states to aggregate data for reporting and measurement needs;
- Create a single and comprehensive database of locally managed and maintained resources;
- Provide the mechanism for achieving a true public/private partnership with state government; and,
- Faster and more efficient influence on system reform through *collective action*.

- **Resource Development.** We will establish a national 2-1-1 fund to financially support the initial growth of state and local 2-1-1s. More importantly, we will create tools and resources that assist these organizations in obtaining additional local grants and attracting other funding sources to sustain state and local 2-1-1s after they have been established in a specific region. Components of this service include:

- *National 2-1-1 Fund.* National 2-1-1 fund activities encompass:
 - Developing overall funding and sustainability strategies;
 - Writing grant proposals;
 - Developing government grants and negotiating public sector partnerships;
 - Developing concept papers to attract foundations, corporations, and high net-worth individuals;
 - Cultivating relationships with funders to align 2-1-1 implementation with their strategic priorities and investment goals; and,
 - Research and evaluation to match potential funders with specific opportunities.

Capital raised through the national 2-1-1 fund will be designated for:

- Grants to state and local 2-1-1 efforts, including funding for state system development and operations;
- Grants to encourage and support innovation, particularly in seeking new ways to realize cost efficiencies through shared operations;
- Advocacy by the national 2-1-1 council, coalition members, and

- champions on behalf of the field; and,
- National operations.
- *Fundraising training, technical assistance, and consultation.* To increase state and local 2-1-1s' capacity for independently sourcing and securing funding at their level, the National 2-1-1 Initiative will:
 - Conduct grant workshops;
 - Develop grant writing tools/software;
 - Publish directories focused on funding sources for comprehensive 2-1-1 and specialized I&R services;
 - Provide individualized consulting on an as-needed basis; and,
 - Provide assistance with reviewing and evaluating grant proposals.
- *Grant management.* We will develop formal criteria, processes, and decision-making mechanisms for effective and fair distribution of funding to state and local 2-1-1s. We intend to monitor and evaluate all grants. Just as the distribution of our monies will be transparent to our funders, we expect that our grantees' use of proceeds will be equally transparent. They will be accountable for all monies received and best practices will be shared throughout the network.

Resource Development Value Proposition. Our *Resource Development* services will provide state and local 2-1-1s with:

- Strategies and resources for long-term sustainability;
 - Access to a national pool of funding;
 - Ability to independently identify and pursue funding sources;
 - Technical assistance to facilitate local fundraising efforts; and,
 - Guidance on long-term budgeting and funding issues.
- **Quality Assurance.** Quality of services is critical to the success of the national 2-1-1 system. As such, we will utilize the long-accepted AIRS national standards and quality assurance systems to ensure that state and local 2-1-1 systems meet our expectations. Specific activities will include:
 - *Standards.* We will rely on the AIRS' I&R/National Standards for 2-1-1 Centers to define expected practices within the field, and will use these reference points to measure the extent to which individual 2-1-1 Centers are in compliance with our requirements. We are committed to building and managing the 2-1-1 brand as part of our national strategy. We will require all entities that receive support through our initiative to adopt the I&R/National Standards for 2-1-1 Centers. We are developing tools and support systems to enforce this measure of quality assurance with all the power and authority in our control.

See Appendix B for I&R/National Standards for I&R/2-1-1 Centers.

 - *Professional I&R standards.* We stress the adherence to national I&R standards developed by AIRS. These national standards define the following expected practices:
 - Service delivery (e.g. information provision, referral provision, advocacy/intervention, follow up);
 - Resource database management (e.g. inclusion/exclusion criteria, data elements, indexing/search methods, classification system, maintenance, etc.);

- Reports and measures (e.g. caller data collection, data analysis, and reporting);
 - Cooperative relationships (e.g. relationships within local, state, and national I&R systems within the service delivery system, and participation in I&R associations); and,
 - Organizational requirements (e.g. governance, personnel, training, promotion, and outreach).
- *Resource database management standards.* AIRS is completing a comprehensive guide to quality practices and measures for I&R resource database management. These standards will create universal guidelines used to qualify an agency, organization, or program for inclusion in a 2-1-1 Center's data file. Guidelines will also dictate the criteria used to disqualify entities from inclusion in a 2-1-1's files. These standards will enable 2-1-1 staff to apply the criteria consistently and easily, without having to make case-by-case decisions.
 - *Support for use of standard national taxonomy.* We will promote the use of the established *Taxonomy for Human Services*, which is co-published by AIRS and INFO LINE of Los Angeles, and endorsed by UWA. The *Taxonomy for Human Services* is a classification system containing 4,300 human services terms. I&R specialists use this resource to identify terms that can be used in a search to locate organizations that offer appropriate services for people in need. The *Taxonomy for Human Services* is incorporated in most of the major I&R software packages, and is available on disk or online.
 - *Accreditation and Certification Programs.* We will rely on the following evaluation programs to reinforce quality service provided by 2-1-1 Centers and 2-1-1 specialists:
 - *Certification (for individuals).* The AIRS Certification Program is based on established standards for the I&R field. The program identifies specific competencies and related performance criteria, which describe the knowledge, skills, attitudes, and work-related behaviors needed by I&R specialists to successfully execute their duties. The program utilizes an examination process that is administered on a pass/fail basis. Candidates who successfully complete the certification program may use *CIRS*, *CIRS-A*, or *CRS* in recognition of their achievement. Recertification is required every two years.
 - *Accreditation (for organizations).* The Accreditation process applies to our national standards, which measures the quality of I&R services. To become accredited, an I&R agency must:
 - Meet minimum requirements;
 - Complete the detailed accreditation application;
 - Participate in a consultation phase; and,
 - Participate in an on-site review by AIRS staff and volunteers.
 - *Enforcing/regulating.* We will focus on establishing the following regulatory mechanisms to optimize 2-1-1 Centers' quality of service:
 - *Support in building standards into national and state laws or regulations.* We will provide lobbying support for state 2-1-1 leadership in an effort to pass legislation requiring 2-1-1 Centers' adherence to national standards.

- *Development of joint accreditation and certification programs with national associations of specialized I&Rs.* We will collaborate with the national leadership of specialized I&Rs to create new certification programs to raise the overall level of I&R quality, which will improve the excellence of all I&R participants in the 2-1-1 system.
- *Requirements that 2-1-1 Centers meet National Standards.* National funding and other resources will be available to those 2-1-1 Centers that meet or are taking action to meet national standards within a reasonable time frame.
- *Development of additional standards for 2-1-1 Centers and systems.* We will continuously collaborate with state and local 2-1-1 Centers and systems to develop new standards and/or update existing standards based on evolving circumstances.

Quality Assurance Value Proposition. Our Quality Assurance regimen will ensure high quality service through the effective implementation of universal, enforceable, professional I&R/2-1-1 standards that:

- Build and maintain the national 2-1-1 brand;
- Increase the value of I&R professionals in states; and,
- Promote and create incentives for continuous quality improvement.

- **Public Policy.** This service is designed to strengthen the national 2-1-1 system by educating and engaging government leaders at the national, state, and local levels to support 2-1-1. Components include:

- *Government relations.* We will serve as the national 2-1-1 advocate and representative, leading efforts to secure appropriations from the federal government to expedite the rollout and sustainability of 2-1-1 service across the nation. This effort primarily includes advocacy and lobbying among the following:
 - *The Federal Communications Commission.* We will communicate regularly with the FCC regarding the status of 2-1-1 implementation nationwide. We consider this effort critical to maintaining the assignment of 2-1-1, as the FCC will re-evaluate the assignment in 2005 to be sure that I&R is making substantial use of this scarce resource. Further, we will ask the FCC to clarify and rule on an assortment of other key issues that affect 2-1-1 implementation (e.g. cell phone access to 2-1-1 service).
 - *Federal departments & agencies.* We will coordinate and integrate other federal departments' programs and information services into the national 2-1-1 system to ensure the best delivery of information to 2-1-1 callers nationwide. Federal departments and agencies are also positioned to identify and secure funding streams to support 2-1-1 planning and implementation.
 - *Congress.* We will continue to foster relationships with Congress in an effort to identify legislative opportunities for federal funding to help build and sustain the national 2-1-1 system. We will work to establish champions in Congress and continue to educate the legislative community in order to facilitate appropriations for 2-1-1 implementation.

- *White House.* We will continue to build essential relationships with leaders in the Administration, also in support of legislative opportunities for funding the national 2-1-1 system.
- *Public sector associations.* We will build awareness for the benefits of 2-1-1 among national associations that work to strengthen government action so they will become 2-1-1 advocates among elected and appointed leaders (e.g. National Governor's Association, National Association of Regulatory Utility Commissioners, National Conference of State Legislatures, and National Association of Counties).
- *Training and technical assistance for state and local 2-1-1s.* Through the National 2-1-1 Institute and other training forums, we will provide state and local 2-1-1s with advocacy training in an effort to help them achieve their state and local policy goals, especially with state public utility commissions.
- *Grassroots mobilization.* On key policy issues of concern to the national 2-1-1 system, we will educate our constituency, organize their support, and leverage their collective influence at the local, state, and federal levels.
- *Information clearinghouse for government action.* We will aggregate and analyze call center data from the community and state levels, which will enable us to provide current information on emerging needs for existing services. This information has the potential to be used in development of public policy, in evaluation of services, and in support of advocacy efforts.

Public Policy Value Proposition. Our *Public Policy* efforts will provide state and local entities with:

- National representation on legislative, regulatory, and financial issues directly impacting the national 2-1-1 system;
 - Training and technical assistance for influencing local and state public policy issues directly impacting 2-1-1 service;
 - Visibility and voice at the national level; and,
 - Centralized information about relevant government actions.
- **Marketing & Communications.** Our Marketing & Communications strategy is to build national support for the implementation of 2-1-1 and to drive callers to the national 2-1-1 system by positioning 2-1-1 as a critical community building tool to address our most pressing health and human services concerns and connect people to community service opportunities.

Marketing and communications is critical to building public will and demand for 2-1-1 service. We will strike hard with our marketing, media, and public relations efforts to build the 2-1-1 brand in the hearts and minds of consumers.

Everyone with a reason to call 2-1-1 will know about it and choose to call 2-1-1. As a result, key stakeholders and the general public will have a comprehensive understanding of the value of 2-1-1 service, which is expected to drive demand and resources to implement and sustain the national 2-1-1 system.

This strategy will be executed in the following phased approach:

- *Phase One.* Communications will focus on building momentum for the National 2-1-1 Initiative among key stakeholders in the UWA and AIRS systems, government entities, civic, and professional associations, national organizations developing capacity for volunteerism and community service, funders, corporations, regulators, telecommunications companies, and other champions.

The nationwide rollout campaign will begin with a national launch in the fall of 2002. All existing 2-1-1 development efforts will be encouraged to send a delegation, as will members of the National 2-1-1 Coalition. We will also invite technology companies, state government representatives, corporate and private funders, the media, and other key stakeholders. Our goals for this launch will be to:

- Publicly energize the rollout of 2-1-1 nationwide;
 - Begin the planned development of a nationwide marketing strategy by bringing all major stakeholders to the table;
 - Give current 2-1-1 related groups the opportunity to share their experiences, resources, and problems;
 - Engage high profile leaders in government, business, and private philanthropy in expressing public support for 2-1-1 and in exploring its implications for the country;
 - Position UWA/AIRS as national leadership organizations for 2-1-1; and,
 - Focus on telecommunications and technology related to 2-1-1.
- *Phase Two.* Efforts will focus on educating the public about the service and driving call volume in states where 2-1-1 is operational. We will quantify our results by calculating the nationwide increase in call volume.

We will accomplish these goals by providing marketing and communications tools that can be personalized to state and local 2-1-1s for use in local communities. Components of this service include:

- *National logo, tag line, and unified message.* We have produced a national 2-1-1 logo and tagline that will be utilized at the local and state level by 2-1-1 Centers that meet the *National Standards for 2-1-1 Centers*. We will also provide 2-1-1 Center spokespersons with tailored and consistent talking points, collateral materials, and communications guidelines to reinforce consistent communications with the public and other key stakeholders. Licensing agreements will be used to ensure that only approved 2-1-1 state organizations, services, and partners have access to our logo and tagline.
- *Turnkey marketing kit.* We will provide 2-1-1 Centers with a comprehensive set of marketing templates that can be easily customized to support the rapid rollout of local marketing efforts consistent with the National 2-1-1 Initiative's brand. These tools will include:
 - Brochures
 - Posters
 - Media kits
 - Sample Press Releases
 - Sample Op-Eds
 - Sample Speeches

- *Media relations.* We are developing an umbrella media strategy and plan. As part of this effort, we will produce and deliver media kits – including fact sheets, backgrounders, FAQs, news clips, etc. – to targeted media to encourage coverage of the national 2-1-1 system. We will provide media sources with a roster of potential story angles and a comprehensive portfolio of 2-1-1 success stories.
- *Member relations.* We will provide members of UWA/AIRS with local mobilization kits and marketing tools to assist in the launch, promotion, and sustained awareness of 2-1-1 service in their local communities. We will also provide training and technical assistance to UWA/AIRS members for effective media relations, communications, and marketing.
- *Conference and speaker placement.* We will develop a corps of speakers representing the national 2-1-1 system, train them on key topics, and proactively seek public forums to raise awareness for 2-1-1 through speeches and panel discussions.
- *Web site.* We have designed a fully operational Web site to educate the public about 2-1-1 (www.211.org). We will expand the content and functionality of a new area at our Web site called 2-1-1 Online, which features a weekly 2-1-1 national update via an e-newsletter. 2-1-1 Online also delivers key information such as details about new developments and upcoming events, funding information, legislative/policy updates, tools, reports, and samples of work from other states.
- *Turnkey advertising campaign.* In order to further establish the unified identity for 2-1-1 Centers across the nation, we will develop a national advertising campaign that can be localized for each state or local 2-1-1. The campaign will include public service announcements for television and radio as well as advertising for print media.

Marketing & Communications Value Proposition. Our *Marketing & Communications* services provide value through our dissemination of:

- A unified image and message for the national 2-1-1 system;
 - Pre-packaged marketing and advertising materials that can be personalized by local 2-1-1 efforts to launch effective, local awareness campaigns;
 - Best practice information for working with the media; and,
 - Electronic, up-to-date information for both the national 2-1-1 system and the general public.
- **Capacity Building.** Through the National 2-1-1 Institute and other AIRS training opportunities, we will provide the critical knowledge and tools necessary to drive the successful implementation of 2-1-1 service throughout the United States. Our goal is for 2-1-1 Centers to mature into functional, strong, and relied-upon *social utilities* in every state. In order to achieve our goal, we will provide training on basic operations, management, information sharing, and response during disasters or crises. We will also provide *on demand* assistance in response to 2-1-1 growth-related challenges.

- *Ongoing training for managers, staff, and volunteers in I&Rs.* The National 2-1-1 Institute as well as other training programs provide formalized curriculum on subject areas relevant to I&R and 2-1-1 operations in a variety of formats and locations. We also intend to employ Web-based training and technical assistance in the near future. Key subject areas include:
 - 2-1-1 History
 - National Resources
 - Direct Service Training
 - Quality Standards
 - Taxonomy
 - Database Management
 - Follow-up Procedures
 - Call Center Operations Management
 - Business Planning
 - Technology & Telephony Systems
 - Outcome Measurement
 - Marketing & Public Information
 - Call Center Facility Planning
 - Resource & Funding Development
 - Regulatory Issues
 - Community Development & Relationships
 - Service Planning
 - Conflict Resolution

- *Technical assistance and consultation.* National 2-1-1 will offer a broad array of technical assistance to state and local 2-1-1s in such areas as operational preparedness, regulatory issues, legislation development, facility design, and call center development. Direct consultation services will help address needs in areas such as strategic planning, asset mapping, coalition building, problem resolution, utility commission/telco relationship management, legislation development, and resource development and management. National 2-1-1 will maximize the experience and expertise residing in the field to foster peer training, use of best practices, and ongoing learning.

- *Disaster planning, training, and coordination.* AIRS has provided disaster training since 1997. We will expand the training to strengthen and empower 2-1-1 Centers to help communities respond to disasters. Specifically, our goal is to complement the existing disaster response system and to make the national 2-1-1 system the primary source of ongoing human service resource information for disaster victims. Coaching is provided on how to operate systems under emergency/disaster response conditions.

Capacity Building Value Proposition. Our *Capacity Building* services provide value to state and local 2-1-1s through our ability to:

- Provide centralized and uniform information;
- Inform and train local 2-1-1s using best practice information;
- Expand the 2-1-1 systems' capacity to respond in disasters; and,
- Increase the quality of I&R providers and the 2-1-1 systems.

- **Telecommunications & Technology.** We will provide education, guidance, and technical support. We will also promote the cost effective and efficient use of current and emerging technologies and stimulate the development of new telecommunications and technology infrastructures. Services to be provided include:

- *Telecommunications development.* We will offer consulting services and grants to assist states with the speedy and cost-effective implementation of 2-1-1 service.
- *National Technology Summit.* We will sponsor a national summit to gather 2-1-1 and I&R service providers to share insights and gain expertise from others' best practices, and address the challenges and opportunities presented by the rapid changes in telecommunications technology. This will launch a sustained effort to ensure that 2-1-1s have access to the best technology to meet their needs and the active, engaged support of the vendors that can best serve them.
- *Telecommunications architecture and planning process.* We will create planning workgroups comprised of state and local 2-1-1 technical staff responsible for defining actions for efficiency, cost-effectiveness, and a flexible, more powerful 2-1-1 communications environment. We will facilitate workgroup plans to build new community, regional, state, and national 2-1-1 contact networks.
- *Training and technical assistance.* We will provide access to e-learning and traditional training opportunities, including modules covering the following topics:
 - Interpreting regulatory issues concerning current and emerging technologies;
 - Converging network technologies and their applications;
 - Decoding acronyms and demystifying other technologies;
 - Explaining perspectives on technology standards; and,
 - Overcoming new technology adoption issues.
- *Demonstration of model 2-1-1 Centers.* We will develop relationships with interested telecommunications hardware and software vendors in order to design, develop, and showcase a number of model centers in accessible regions throughout the country. These centers will serve as an example for growing 2-1-1s to emulate.
- *Vendor education and data standard development.* We will develop a vendor education program designed to influence the design of telecommunications software and hardware specifically targeting the unique technical specifications of 2-1-1 Centers. This effort will grow into a leadership position in the development of data standards accepted by vendors.

Telecommunications & Technology Value Proposition. Our *Telecommunications & Technology* services will:

- Raise the level of local technical expertise in order to improve operations;
- Provide access to best technology practices;
- Create uniform technology platforms;
- Leverage the collective buying power of the national organization in order to secure discounts on core technologies and technical support services; and,
- Build a single access point on the Web for the public and professionals to easily search for information and referral databases.

2-1-1 TECHNOLOGY INFRASTRUCTURE

2-1-1 Technology Overview

As 2-1-1 Centers have evolved on a state-by-state basis, and in many cases from existing I&R services, the technologies employed by each system vary significantly. Geography and population of the specific regions served have primarily driven decisions concerning designs for the interactions among call centers, database(s), and Center staff. Predictably, large populations require more complex network systems to ensure standardized delivery of 2-1-1 services, while smaller populations' needs can be met with simpler system designs. Universally, every 2-1-1 center must design a system capable of *database management* and *call translation* in order to operate effectively.

- **Database management.** Key issues in database management include questions of compatibility and scope. To share data between call centers, taxonomy must be adhered to and infrastructure must be provided for data transfer.
- **Call translation.** When a caller places a N11 call, the N11 dialing code is received and *read* by the nearest central office (CO). Central offices are computerized routing stations utilized by telephone companies to direct calls to the correct location on the network using a circuit or packet switch. At the CO level, the N11 dialing code is *translated* into a seven- or ten-digit *point-to* number, which is then routed through the network in a manner identical to any other call. Call translation varies greatly, as 2-1-1 calls may be translated to seven- or ten-digit local numbers for routing to a nearby call center. Calls may also be translated to a toll-free number for routing to a more distant call center. Predictably, call centers serving broad areas will likely experience higher call translation costs, as more central offices are involved and as toll-free services may be necessary.

See Appendix C for a detailed description of the three basic system design models for 2-1-1 Centers.

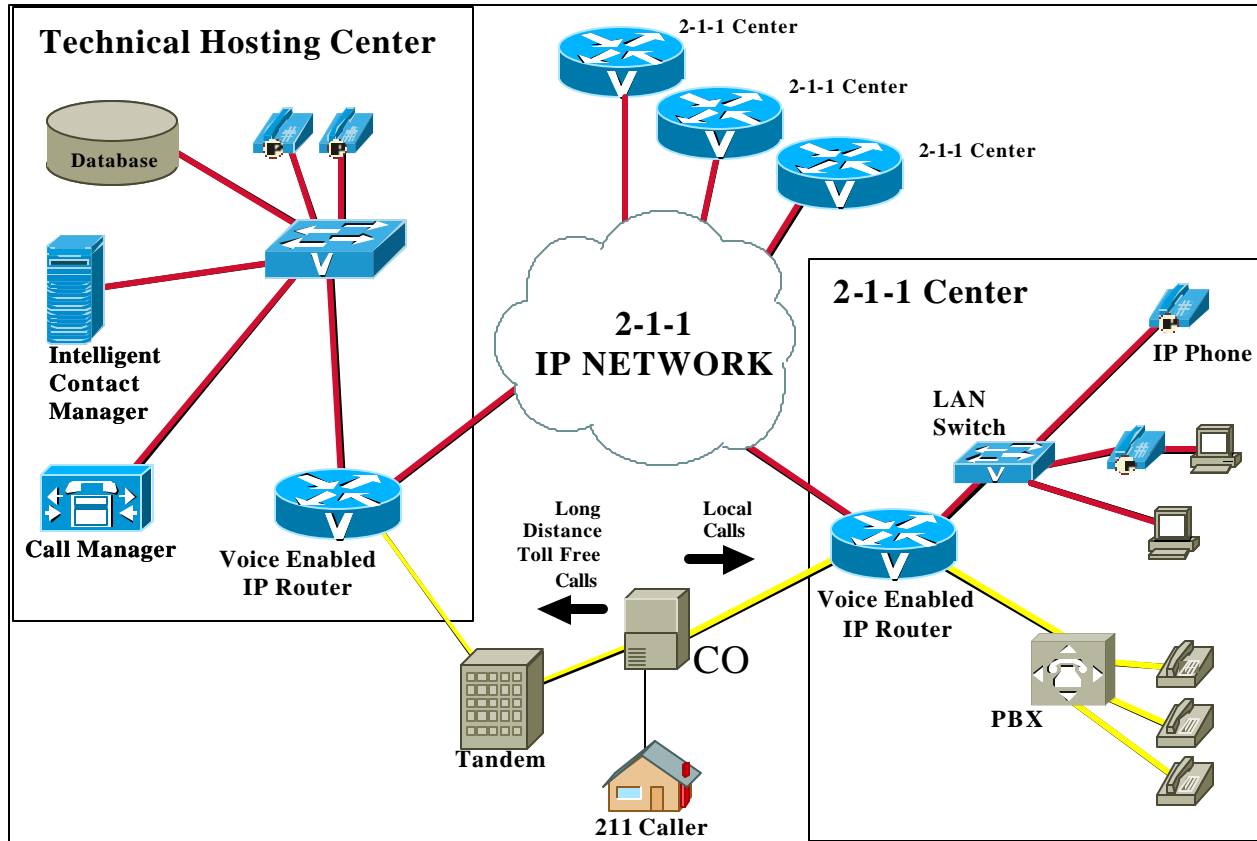
2-1-1 Technology Vision

As the national 2-1-1 system continues to evolve, we will support 2-1-1 Centers in making the necessary transition to networks that are based on Internet Protocol (IP). IP networks will carry voice, data, and video communications over the same converged network, operating independent of any specific platform or location. As such, for the national 2-1-1 system, IP networks present significant advantages to today's standard circuit-switched systems. The IP advantages:

- Enable computer telephony integration;
- Monitor staff and program productivity;
- Capacity for advanced applications e.g., video, call monitoring, recording, e-mail, speech recognition, and interactive voice response (IVR);
- Operational flexibility with the ability to locate and employ agents and workers anywhere;
- Minimize down-time in disaster recovery;
- Facilitate e-learning and e-training; and,
- Cut costs by operating on one network; ability to avoid toll-call charges.

Integrating IP telephony and other IP-based applications will provide 2-1-1 referral specialists with on-screen features such as: service finders; out-of-area identifiers; call scripts and emergency notifications.

The following graphic represents our vision for a national IP-based 2-1-1



technology architecture

Wireless 2-1-1 Access

The proliferation of cellular telephones dictates that wireless access to 2-1-1 will be an increasingly important part of our effort to establish integrated, uniform 2-1-1 services. Further, many potential users of 2-1-1 services may find it preferable or even necessary to access 2-1-1 from outside the home during times of personal crisis.

The implementation of 2-1-1 services on wireless networks is, in some respects, different than the provision of equivalent services on wireline (landline) telephone systems. One of the differences is that of call routing. The base stations/mobile switches (MSCs) used as the initial point of contact into a wireless network for a cellular telephone (i.e. the wireless equivalent of a landline network's central offices) commonly do not follow the same geographic distribution as wireline central offices. In addition, the caller's present location can differ from their billing address. This can create issues in routing calls to the appropriate call center.

These complexities, combined with the numerous wireless providers available in almost every geographic region (each requiring its own negotiated agreements for provision of 2-1-1 services), have led many potential and current 2-1-1 providers to concentrate on the development of 2-1-1 services over landline instead of wireless networks. However, concerted efforts are underway with wireless carriers, the FCC and state public utility commissions to successfully implement wireless access to 2-1-1; currently six 2-1-1 Centers offer some level of wireless service to consumers.

EVALUATION

Outcome Measurement Overview

We believe it is critical from the onset that we design, develop, and implement a comprehensive outcome evaluation strategy at the local, state, and national levels. A strong outcome measurement program will ensure accountability and increase public confidence in our ability to manage the national 2-1-1 asset, especially among key stakeholders, including funders, policy makers, and the Federal Communications Commission.

We are taking the following initial steps to accomplish our evaluation goals:

- Seeking advice and opinions from evaluation experts on a proper evaluation framework for a national 2-1-1 system;
- Identifying measurement criteria;
- Analyzing evaluation models that 2-1-1 systems are currently using to determine what is working and what is not;
- Assessing training and technical assistance requirements needed to strengthen state systems and local 2-1-1s in implementing their own evaluation and participating in the national 2-1-1 system's outcome evaluation; and,
- Exploring systems we can tap or need to create in order to manage a cost effective and efficient evaluation process.

In 2000, The University of Nebraska Public Policy Center performed a comprehensive evaluation of the progress, costs, and benefits of 2-1-1 development with regard to existing I&R services in the state. We intend to leverage and expand upon the structure of this study as a foundation for our outcome evaluation system. We will focus on measuring 2-1-1's impact on intended audiences, including but not limited to, the following:

- **Individuals.** We will measure 2-1-1's ability to reduce the frustration and time required to connect individuals with critical services and opportunities to give help. We will also measure individuals' knowledge and awareness of 2-1-1 as the key channel to access these community programs.
- **Providers of Community Services.** We will evaluate 2-1-1's ability to save providers' time by reducing the volume of inappropriate calls made by individuals to the wrong providers. Similarly, we will measure the reduction in staff time required to evaluate individuals seeking help from the wrong providers.
- **Employers.** We will attempt to measure the indirect improvements in workplace productivity and reduced absenteeism expected to occur when employees can more readily access appropriate services.
- **Existing I&Rs.** We will measure 2-1-1's ability to reduce redundant I&R costs and improve quality of service.
- **Planners & Funders.** Planners and funders will have the opportunity to offer additional criteria to measure 2-1-1's progress toward achieving their specific intended outcomes.

OPERATIONAL STRATEGY OVERVIEW

Operational Strategy Summary

Building on 2-1-1's foundation – and to become a strong, enduring, national entity that provides comprehensive support and leadership to state and local 2-1-1s – we will undertake a formal and systematic approach to expanding the national 2-1-1 system.

Over the next three years, the majority of national 2-1-1's resources and energy will be devoted to the rollout, which will accomplish our immediate goal of providing access to 2-1-1 service for at least 50% of the United States. This will require:

- Provision of seed funding to support state development and to stimulate innovative regional and other designs;
- Major technical assistance and consultation that builds on the experiences of operational 2-1-1s to reduce the developmental time required by others;
- Negotiation with major telephone service providers to reduce barriers to activating coordinated systems and to develop common pricing and service plans; and,
- Leadership for advocacy with agencies of federal and state government to ensure adoption of shared standards, to remove regulatory barriers, and to gain financial support for rolling -out and sustaining the system.

At the same time, our energy will also be devoted to providing leadership and support for the emergence of the national 2-1-1 system. We will:

- Provide a way for state and local 2-1-1s to learn from one another and participate in national planning;
- Develop a first-level process for system development that can lead to shared vision, shared identity, and coordinated action that benefits all;
- Advocate for shared national standards; and,
- Develop mechanisms to enable the field to join together to address shared challenges.

Operational Phases

Our strategy will be executed in three operational phases, the first of which has already been completed:

- **Phase 1 / Research, Planning & Infrastructure.**
August 2000 to December 2001.
 - *Inaugurated 2-1-1 Institute.* The first 2-1-1 Institute was held to provide training, consultation, and technical assistance in the basic skills needed by I&R professionals to implement 2-1-1 in their communities. This presented the first opportunity for I&R professionals from across the country to join together to share their experiences working on 2-1-1.
 - *Secured national funding.* By June 2001, we secured \$600,000 in initial funding for the National 2-1-1 Initiative. We received one two-year grant of \$400,000 from The Lilly Endowment, as well as two one-year grants of \$100,000 from the Annie E. Casey Foundation.

- *Created National 2-1-1 Council and National 2-1-1 Coalition.* In 2000, the AIRS/UWA Council was created based on a memorandum of understanding outlining the roles and responsibilities for working together in support of the National 2-1-1 Initiative. In 2001, the National 2-1-1 Coalition was created, comprised of 15 public and private organizations dedicated to creating systems to facilitate the implementation of a national 2-1-1 system.
- *Hired National Director.* As dictated in the National 2-1-1 Council's memorandum of understanding, we hired a National Director to lead the execution of the National 2-1-1 Initiative's efforts. The Council selected Dan Williams, former Director of Community Investments for the United Way of Atlanta. Dan has more than 20 years of nonprofit programming and management experience.
- *Published first independent assessment of 2-1-1 service development in the United States.* The University of Texas at Austin – Telecommunications and Information Policy Institute conducted national research and published a comprehensive report on the status of 2-1-1 development in all states and the major implementation barriers.
- *Federal appropriations legislation introduced.* In October 2001, Senator Clinton (D-NY), Senator Dodd (D-CT), and Congresswoman Slaughter (D-NY) introduced legislation that included provisions for the funding of 2-1-1 implementation and development, with a \$10 million appropriation for fiscal year 2002. This legislation was replaced later by the Public Health Security and Bioterrorism Preparedness Act (HR 3448), which contains language specifically citing 2-1-1 as a vital resource for responding to a bioterrorism attack.
- *Work is underway in 45 states, 5 % of population has access.* By December 2001, groups in 45 states were working to implement 2-1-1 service. Nine states had at least one active 2-1-1 service, twelve states had entered the negotiation stage of 2-1-1 development, 13 states were in the collaboration stage, and eleven states had entered the initial stage. (See Appendix C for an explanation of 2-1-1 development stages.)

▪ ***Phase 2 / Assuming Leadership.***

January 2002 to January 2005.

Today, 2-1-1 is reaching more than 32 million Americans – nearly 12% of the population – through 37 active 2-1-1 Centers and 2-1-1 planning efforts are in full force. While the 2-1-1 initiative continues to spread rapidly across America, we are seeking funding to accomplish our near-term goal of providing 2-1-1 coverage to at least 50% of the population in the United States by 2005. In order to achieve this first goal, we intend to carry out the following activities:

- *Developing products and services.* To increase the self-sufficiency and capacity of state and local 2-1-1s, as well as the overall quality and efficiency of community information and referral services, we have initiated development of seven major categories of products and services – State System Development, Resource Development, Public Policy, Quality Assurance, Marketing & Communications, Capacity Building, and Telecommunications & Technology.

- *Strengthening project infrastructure.* We will tap into the talents of key staff at UWA and AIRS to support our efforts at the national level. We will also need to add a 2-1-1 communications coordinator and a membership, certification, and accreditation coordinator to strengthen our quality assurance service and administrative staff. Further, we are improving communication among participating organizations at the national level as well as with the field.
- *Funding for state development.* Based on the successful track record of current state 2-1-1 efforts, we will provide grants, training, and technical assistance to assist them in leveraging available resources. The level of financial support will be based on their current stage of development. We will provide funding to be matched at the state level to create the most cost effective and efficient infrastructure to execute the rollout of a comprehensive, quality statewide 2-1-1 system.
- *Implementing communications strategy.* We have hired Ogilvy Public Relations Worldwide to support our efforts to raise national awareness of the need for 2-1-1, and support state and local marketing efforts with materials and technical assistance. Ogilvy is helping us position 2-1-1 nationally as a tool for addressing America's most pressing social problems. Our communications strategy calls for the development of consistent materials and messages to be provided to state and local 2-1-1s. Components include a new logo and tagline, key messages for speaking about 2-1-1, national media relations, and *turnkey* marketing kits and advertising campaign materials for use at the local level.
- *Expanding the National 2-1-1 Institute.* We are revising the 2-1-1 Institute curriculum to better support successful implementation and operation of the national 2-1-1 system. Curriculum will include beginning and advanced tracks. The revised institute materials were introduced and tested at the 2002 AIRS Training Conference in June 2002. New courses providing instruction on operating 2-1-1 Centers will address the opportunities and challenges for 2-1-1 to become a true social utility.
- *Initiating public policy work supporting regulation and legislation.* We have built strong relationships with individuals in the Bush Administration, on Capitol Hill, and at the FCC. Our highest priorities are to maintain the 2-1-1 dialing code assignment, secure federal funding, and provide public policy training to state 2-1-1 leadership. Through the Public Health Security and Bioterrorism Preparedness Act (HR 3448), the federal government has recognized the value of a national 2-1-1 system, and has cited 2-1-1 as a potential recipient of funding.
- *Developing pilot program to provide Web access to 2-1-1.* We are engaged in discussions to partner with a high profile, international media and communications company in the co-development of a national information and referral portal. This will provide a non-exclusive national database for access to information and referrals to public, private, and non-profit organizations. We will target the lay user, but will also incorporate features for use by health and human service professionals, corporate human resources staff, 2-1-1s seeking services outside their service area, foundations,

researchers, and other nonprofit, public, and private organizations. We aim to complete a version to pilot in key cities by the end of 2003.

- *Creating technology development plan.* AIRS has contracted with TechBridge, an Atlanta-based technology consulting firm dedicated to expanding the capacity of non-profit organizations through the effective use of technology, to develop a technology plan. A technology plan is needed to guide the expansion of AIRS' Web site to increase its capacity to deliver products and services too 2-1-1s via the Web. The plan will also guide the development of an intranet/extranet to support employees and volunteers across the country, and to integrate the airs.org and 211.org Web sites.

We will kick-off the first phase of our technology development strategy on July 23, 2002 with a national executive briefing hosted by state 2-1-1 developers in Texas in partnership with Cisco Systems. This educational event is designed to introduce 2-1-1 developers and key strategic partners to advanced converging technologies for voice and data applications using Internet protocol in order to fully realize the mission for 2-1-1. Lessons from this executive briefing will be used to develop our technology investment strategy and to foster partnerships among state and local 2-1-1s and strategic partners in both the public and private sectors.

▪ **Phase 3 / Growth & Maintenance.**

February 2005 and Beyond.

- *Maintain and improve products and services.* We will continuously communicate with and solicit feedback from state 2-1-1 leadership to learn how to improve our products and services to best support their needs as they continue to grow.
- *Promote additional growth toward full coverage.* We will continue to work as an advocate, leader, and supporter for state and local entities seeking to implement new 2-1-1 services. Our ultimate goal is to reach 100% coverage within seven to ten years.
- *Establish new strategic alliances.* We will seek additional, value-added strategic alliances with national nonprofit organizations in the health and human services industry, as well as new programmatic and funding relationships with government agencies, funding alliances with private foundations and corporations, and alliances with technology and call center product and service companies to obtain their products and services at preferred prices.

Execution Timeline

The following chart demonstrates a timeline for implementation of our core products and services. Quarter 1 begins September 2002.

Category	Activity	TIMELINE											
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
State System Development	Seed grants		X		X		X		X		X		X
	Business plan training/TA	X		X		X		X		X		X	
	Website enhancement		X				X				X		
	Technical consulting team BP clearinghouse dev.		X	X	X	X	X	X	X	X			
Resource Development	Strategy/plan	X											
	Tools		X										
	Grant mgt./acct. system Field training/TA		X			X		X		X		X	
Quality Assurance	Logo use licensing	X											
	Accredit./cert. process	X	X	X	X	X	X	X	X	X	X	X	
	Resource database standards		X	X									
	Web-based certification			X	X								
	Web-based taxonomy				X	X							
	Joint accreditation process				X								
Public Policy	Bioterrorism Act advocacy	X	X										
	Advocacy tools/systems		X										
	Field training/TA			X		X		X		X		X	
Marketing & Communications	Message, logo, tagline	X											
	Natl. collateral material	X											
	Media, PR		X	X	X	X	X	X	X	X	X	X	
	Natl. launch event		X										
	Turn-key field marketing kit		X										
	Speakers bureau			X									
	Turnkey advertising campaign									X			
Capacity Building	2-1-1 Institute/I&R training		X		X		X		X		X		
	E-training tools Disaster training and coord.			X	X								
Telecom & Technology	2-1-1 IP model	X											
	Readiness assessment tool		X										
	State IP pilot program			X	X								
	Educational summit				X								
	Natl. 2-1-1 tech. plan			X	X	X							
	Training modules					X							
Evaluation	Design		X										
	Implementation			X									

ORGANIZATION & MANAGEMENT

Leadership Overview

The long-term success of the National 2-1-1 Initiative will rest on the committed leadership of organizations throughout the country who share the vision of the potential impact of a true national system. AIRS and UWA are committed to giving innovative leadership to the Initiative, engaging others in shaping direction, testing new approaches, sharing capacity, and leveraging resources from every sector.

Initially, that leadership must be designed for quick, entrepreneurial action and intensive, focused work while engaging others in both advisory and action roles. As the system begins to take shape, different leadership styles and responsibilities may well be needed and appropriate. Thus, the initial structure has been designed to enable the focused, responsive leadership needed in the first stages, while drawing into participation key strategic partners and individual champions.

National Leadership Council

The 2-1-1 National Leadership Council will be co-chaired by volunteer leaders from AIRS and UWA. It will include six to eight key national nonprofit organizations, leaders from the field, and several influential individual volunteer champions. The Leadership Council will assist AIRS and UWA in shaping the National Initiative's direction and will bring new resources into play in support of the Initiative.

National Coalition

The 2-1-1 National Coalition will continue to bring together national organizations representing the full range of general and specific information, referral, assistance, volunteer services, public sector representatives and associations. They will work individually and collectively to support each component of the Initiative and to fully engage their nationwide networks.

Executive Management Team

Operational responsibility will be vested in the Executive Management Team, composed of Michael Brennan, Executive Vice President of UWA, Lori Warrens, Executive Director of AIRS, and Dan Williams, National 2-1-1 Director. These individuals will work together with the 2-1-1 National Leadership Council to drive the implementation of the Initiative's business plan and to fully leverage the resources of AIRS, UWA, and other organizations willing to contribute resources for business plan strategies and activities.

Management Profiles

Our management team is composed of the following individuals:

Management

Name

Dan Williams

Title

National 2-1-1 Director

Expertise

More than 20 years of nonprofit management experience. Highly skilled in building multi-sector partnerships and designing, developing, and implementing major human service initiatives at the local, regional, and state level.

Accomplishments

- Former Director of Community Investments, United Way of Metropolitan Atlanta. Managed \$16.5 million of investments in after-school and youth development programs. Designed a regional after-school initiative, secured \$6 million federal grant in partnership with four major school

systems and more than 100 community partners. Developed the first plan and created a network of partnerships leading to the launch of the Georgia Early Learning Initiative, Georgia's most comprehensive early childhood development system reform initiative to date.

- Former Director of Civic Involvement, United Way of Metropolitan Atlanta. One of the principal designers and implementers of United Way's community impact process, community-building best practices series, and the redesign of Atlanta's investment system for increased community impact. Implemented United Way's public policy program.
- Former Marketing & Communications Director, American Cancer Society, Georgia Division.
- Former Public Education Director, American Cancer Society of Houston, TX.

Education

BA, University of Texas at El Paso.

*Name
Title*

**Lori Warrens
Executive Director, Alliance of Information and Referral Systems**

Expertise

Over 20 years of experience in both the private and non-profit sectors, including the development of the nation's first three-digit number dedicated to community information and referral.

Accomplishments

- Former Executive Vice President & Chief Operating Officer, United Way of Metropolitan Atlanta.
- Former Director, United Way of Metropolitan Atlanta's First Call For Help. Responsible for the development of United Way 2-1-1.
- Member, AIRS Board of Directors, National 2-1-1 Collaborative, and the AIRS/UWA Council.
- 13 years in the financial services industry with operations, marketing, and management experience.
- Former Assistant Vice-President, CUNA Service Group, a division of the Credit Union National Association. Responsible for managing products and services offered to credit unions nationally.
- Represented Credit Unions on the ANSI and NACHA payment systems advisory boards.
- United Way of America/Annie E. Casey Foundation Fellow, John F. Kennedy School of Government, Harvard University.
- BA, University of Wisconsin.

Education

*Name
Title
Expertise*

**Michael Brennan
Executive Vice President, United Way of America**

A 17-year veteran of the United Way with extensive leadership experience in management, fund development, marketing, and volunteer leadership development.

Accomplishments

- Former President, Heart of West Michigan United Way. Redesigned organization from a fundraising and allocation federation to a collaborative, community leadership organization focused on impacting the most pressing issues facing Grand Rapids. Developed the framework and resources for the launch of 2-1-1. Implemented the community's largest volunteer mentor program in partnership with the public schools and corporations. Instituted a public policy program. Quadrupled the membership in the Alexis de Tocqueville Society. Secured nine million-dollar Roundtable members, and expanded the endowment from \$2 million to \$10 million.
- Former Campaign Director, United Way of Southeastern Michigan.
- Several organizational leadership positions including: Executive Committee and Advisory Council member of Delta Strategy; Past Board Chair of the Grand Rapids Children's Museum; Trustee, Sackner Foundation; Advisory Council, United Way of America-Community Impact/Megagift Demonstration; Advisory Council Member, Multiracial Association of Professionals; Trustee, United Way of America-Mid-America Regional Council; Board Member, Workforce Development Board; Member, Employers Coalition for Healing Racism.

Education

- BS, Michigan State University.
- Completed executive programs at Harvard Business School and the Center for Creative Leadership.

Name
Title

Linda Paulson
Director, 2-1-1 Partnerships, United Way of America

Expertise

Nearly ten years of experience in local United Ways and national non-profit organizations, including experience in fundraising and national systems development.

Accomplishments

- Former Manager, Points of Light Foundation. Managed process of strengthening the national system of Volunteer Centers across the nation working in partnership with Points of Light Foundation to engage people in effective volunteer opportunities to help solve serious social problems.
- Former Combined Federal Campaign Manager, United Way of the National Capital Area. Increased giving from \$9 to \$12 million over three years.
- Former Campaign Manager, United Way of Miami-Dade.

Education

- MA, George Washington University.
- BA, Michigan State University.

STRATEGIC ALLIANCES

Strategic Alliances

We are targeting strategic alliances in the following categories:

- **Government & Public Sector Associations.**
 - *Funding partners.* Government agencies providing social services will benefit from comprehensive 2-1-1 services available nationwide, and thus will likely become funding partners.
 - *Programmatic partners.* We will seek to align local and state 2-1-1 efforts with government programs that have been established for individuals seeking social services. For example, there are approximately 1,000 government hotlines created each year that do not realize their full potential when beneficiaries forget the phone number. An alliance with these programs would help improve access to these valuable services.
- **Corporations & Foundations.** We will establish funding relationships with corporations and private foundations.
- **Civic/Volunteer Development Organizations & Associations.** We will create alliances with national civic groups in order to enhance the National 2-1-1 System's capacity to connect callers with volunteer programs and other opportunities to give help.
- **Telecommunications/Technology Industry & Associations.**
 - *Telecommunications industry alliances.* We will seek relationships with telecommunications service providers to educate them about 2-1-1 and arrange for discounted or free service.
 - *Hardware & systems alliances.* We will seek relationships with technology and equipment vendors for preferred purchasing arrangements to support the cost effective development of state-of-the-art 2-1-1 Centers.
- **Social Service Agencies, Associations & Planning Organizations.** Alliances with other social service organizations will enable us to establish 2-1-1 as the key reference number for a wider variety of service programs.
- **I&R/Crisis Response Industry & Associations.** Alliances with other I&R services will enhance the national 2-1-1 system's ability to connect callers with these critical services, and support their efforts during moments of national disaster recovery and emergency assistance.
- **Academia/Research.** Alliances with educational institutions will provide us with opportunities to obtain comprehensive research and consulting and evaluation services at little or no cost to the National 2-1-1 Initiative.

The *Current & Potential Strategic Alliances Chart* in Appendix E provides a detailed list of organizations and the status of our relationships.

COMPETITION

Competitive Overview

2-1-1 is being implemented to connect existing I&R services via a system that streamlines and optimizes the connection of callers to the right resources to get or give help. Further, the National 2-1-1 Initiative is designed to support all I&Rs at the state and local level that participate in the 2-1-1 system.

As such, we do not have competition in the truest sense of the word. However, we believe that there is confusion in the marketplace concerning where to turn for reliable and comprehensive community information. The two categories listed below contribute to the current confusion in the marketplace:

- Social service “hotlines” and government call centers; and,
- For-profit companies that provide I&R services to the public in order to generate revenue.

Competitive Advantages

The following factors distinguish us from our *competition* as defined above:

- **Unique asset.** We benefit significantly through the FCC’s recognition of I&R providers and the exclusive assignment of the easily memorized, three-digit 2-1-1 dialing code for *access to community information and referral services*.
- **Leveraging key relationships.** Key relationships already in place position us for success. For example, we have the support, guidance, and resources of AIRS and UWA in support of the rollout of the national 2-1-1 system. We are also leveraging local, state, and national relationships afforded through the extensive networks of AIRS and UWA. These relationships are enabling us to move projects forward at the grassroots level in a way that strictly national organizations and for-profit entities cannot deliver. We are also developing cooperative approaches to 2-1-1 deployment by leveraging long standing relationships between comprehensive and specialized I&Rs, local United Ways, nonprofit and government agencies, Volunteer Centers, and community and faith-based groups at the national, state, and local level. These groups have a long and rich history of on-the-ground experience working together to create true community change on key health and human service issues. The experiences among these groups in building collaborative ventures gives us a distinct competitive advantage toward building a strong and sustainable national 2-1-1 system.
- **Strong momentum originating in the field.** We are using a tested model that has emerged and been improved time and time again over a 20 year period. The national 2-1-1 system is building on the existing I&R infrastructure and the expertise of I&R professionals throughout our industry. Our intention is to recognize these existing efforts, provide leadership, and work together in support of the rapid rollout of a national 2-1-1 system.
- **Approach.** We are able to deliver a high touch service while using high tech mechanisms to create efficiencies and improve effectiveness. In every way possible, we intend to leverage community and human service resources to deliver more cost effective and efficient services. The deployment of our standards-based quality assurance programs will contribute to top quality, professional I&R service and uphold the 2-1-1 brand.

Further, we have a commitment to high quality data, which is maintained at the community level in order to ensure accuracy and timeliness. Our integrated approach collects and uses the caller's need information to drive appropriate resource development to improve services and the delivery system.

Competitors' Profiles

The following is a brief explanation of our categories of competition:

- **Social service hotlines and government call centers.** There are thousands of toll-free numbers created each year for access to nonprofit organizations and government agencies (e.g. Medicaid, Department of Labor, consumer advocates, etc.). We consider organizations operating in this category to be competition. We believe that significant partnership opportunities exist to work together with other hotlines on a referral basis. By listing these services as 2-1-1 resources, our single point of access will help drive calls to these services when appropriate.

One particular N11 number – 3-1-1 – may present competition and marketing challenges for 2-1-1. 3-1-1 is emerging in some cities as a universal dialing code reserved for non-emergency police and government services. 3-1-1 presents some public education challenges. Among them include the public's perception of what constitutes an *emergency* call reportable to 9-1-1 versus a non-emergency police call for 3-1-1. We are concerned that the public may also be confused by the difference between a 3-1-1 non-emergency call and a 2-1-1 community information and referral call. Competition for already-scarce city and county government funding may also present a problem in communities where 2-1-1 and 3-1-1 services are emerging at the same time. Some municipalities may be forced to choose one service or another or try to merge them, which could compromise the mission of 2-1-1.

- **For-profit companies that provide information services to the public to generate revenue.** Several corporate entities provide basic call center services that do not meet the standards we are working toward for 2-1-1 I&R service. These companies offer the service as a way to improve good will and generate additional revenue for their businesses. For example, some for-profit hospital management companies and insurance providers offer access to community resources. We believe that at the base of such offerings lies the businesses' bottom line – not necessarily the public's interest. We believe that our standards-based offering guarantees callers' connection to the information and referrals that meet *their* needs, not another agenda.

KEY CHALLENGES

Key Challenges

We will likely encounter the following key challenges as we continue to grow:

- **Appropriate use of 2-1-1 and sustainability for the total system.** As the National 2-1-1 Initiative, we assume a significant level of responsibility for effective fiscal management of the emerging national 2-1-1 system. A key challenge is to ensure appropriate use of the system for its intended purpose. Recently, the number has become popular, and some individuals and groups are interpreting its use too broadly or narrowly. This puts the system at risk of being misused. We must guide the system's growth in a strategic manner and provide the tools and resources that will make 2-1-1 a viable, value-added contributor to society, not another social service that drains communities of scarce resources without ever realizing its potential.

Our strategy for sustaining the national 2-1-1 system is to build on existing infrastructure. We are implementing a support system to leverage state and local resources with the goal of minimizing the funding needs of individual 2-1-1 Centers over time. A key component of this effort is the training and consultation we will provide to increase the capabilities of state and local 2-1-1s to engage in direct fundraising efforts at their own level. We anticipate that once local 2-1-1s have reached stable operations, as reflected in their meeting accreditation standards, they will enter into a *maintenance* phase. During this phase, our support will be delivered as vital services to optimize 2-1-1 operations, rather than the initial funding required to ramp-up individual 2-1-1 Centers.

- **Creating a unified system out of disparate efforts.** The impetus for the development of state and local 2-1-1 services came from the grassroots level – not the national level. Today, there are 37 active 2-1-1 Centers in 17 states, at various stages of implementation. The result of this grassroots development is a loosely connected movement with a broad spectrum of needs, and slight variations in the operational models of each developing state system. To create a unified, national system, we are leveraging and building upon widely accepted industry standards, and developing our core services with significant input from the field.
- **Accessing and/or creating telecommunications and technology solutions to meet the needs of the field.** Traditionally, state-of-the-art technology has been an afterthought for I&R providers operating with limited capital resources. Many have focused on improving their quality of service through *high touch* improvements, such as better equipping center staff with training and knowledge to connect people to the help they need. As a result, I&Rs have not kept pace with the rapidly changing solutions in telephony and technology that would facilitate better delivery of 2-1-1 service. Hence, we intend to help state and local 2-1-1s access the technology they need in order to make 2-1-1 service effective. We will provide funding, technical support and training, and access to the top technologies (via partnerships with vendors and manufacturers) in order to ensure that developing 2-1-1s are able to obtain and manage emerging technology. As appropriate, we may fund the development of proprietary technologies suited to the specific needs of 2-1-1 Centers.

- **Regulatory challenges.** We recently requested FCC assistance with a series of obstacles that if not resolved, would significantly impact the implementation of the national 2-1-1 system. Our request included the following recommendations which have not yet been resolved:

- *The FCC should clarify the role of state Public Utility Commissions (“PUCs”).* State PUCs are in the best position to convene a state’s nonprofit organizations and telecommunications carriers in order to make progress on telecommunications costs for 2-1-1. As a result, 2-1-1 has been most successful in states where the PUC plays a strong leadership role in the process. In states where the PUC is unclear about its role, 2-1-1 implementation is often hampered.
- *The assignment of 2-1-1 should apply to payphone service providers and wireless carriers and should be free to the caller.* Currently, in many states, callers dialing 2-1-1 from a payphone will reach the pay phone provider’s customer service line. We believe that 2-1-1 service should be available to everyone who needs it, whether or not they own a phone. This inconsistency undermines our effort to create a nationwide, uniform 2-1-1 service.

Further, although it is technically feasible for wireless carriers to provide 2-1-1 service, many have requested to be excluded from 2-1-1 requirements. We have seen success in areas where wireless 2-1-1 access has been offered, and the benefits are clear. We believe that all Americans should have access to comprehensive 2-1-1 community information and referral service regardless of their location.

- *The FCC should adopt national standards for 2-1-1 Centers.* We believe that the use of center standards is critical to ensure the quality, accountability, and effectiveness of the national 2-1-1 system, and have asked the FCC to endorse *National Standards for 2-1-1 Centers*. This will provide additional legitimacy and facilitate our efforts to secure funding from potential partners concerned about our ability to enforce uniform quality service nationwide.
- *The FCC should limit the use of the 2-1-1 number to the nonprofit and public sectors.* We believe that recent corporate challenges to the 2-1-1 assignment are not consistent with the *public interest* goal of the FCC’s assignment of N11 numbers. We believe that corporate entities would seek to profit from the unique assignment rather than hold the public’s interest as a primary mission.

- **Threats to the FCC assignment of the 2-1-1 dialing code.** The FCC 2-1-1 assignment provides us with a strong competitive advantage. We believe that the easy-to-use, easy-to-remember dialing code is essential to facilitate the public’s access to hard-to-navigate community information and referral services. However, this scarce resource is in high demand. When the FCC reexamines our assignment in 2005 to determine if 2-1-1 service is widespread, we risk losing the assignment if we can not demonstrate substantial use of the number.

A serious threat to the 2-1-1 assignment is represented by several wireless communications carriers (e.g. The Cellular Telecommunications & Internet Association, Nextel, Verizon, Qwest, Sprint, Verizon, and SBC) that have petitioned the FCC for exclusion from 2-1-1 requirements. We believe that the American public should have

universal access to a single point of access to community information and referrals, regardless of their location or chosen calling method.

- **Opportunity triage.** As we execute the business plan to achieve our short-term goal of providing 2-1-1 service for at least 50% of the United States population by 2005, we must carefully prioritize our activities with respect to time and available resources. For example, we have been offered partnership opportunities with several national nonprofit organizations and government agencies that would benefit from use of 2-1-1 service. While most of these relationships would be advantageous to both parties, we must first secure the relationships that provide immediate value in our mission to support state and local efforts to establish national 2-1-1 coverage. To help us maintain our focus, we have developed a phased execution strategy for rolling out our national operations. (See *Operational Strategy Overview*).
- **Building field support for the national 2-1-1 system.** Because we are asking state and local 2-1-1s to unify as a network – operating individually yet within one system and under one national brand – we acknowledge the potential risk of rejection from more established 2-1-1s. We are mitigating this challenge by involving key state and local stakeholders in the development of our national priorities and policy development.

2-1-1 In Action / Estelle

Estelle, a 70-year-old woman, called 2-1-1 after realizing she was no longer able to drive her husband to his medical appointments. The 2-1-1 I&R Specialist referred Estelle to a local *Home Outreach Ministry for the Elderly*, the *Excellent Way Transportation Program*, and *The American Red Cross*, all of which provide senior ride programs and medical transportation for older adults. After a thorough assessment of Estelle's needs, the specialist also learned that Estelle and her husband had no family members or friends who could provide support. The I&R Specialist discussed other programs available for older adults who want to remain in their homes, such as assistance programs for meals, chores, and energy bills. Follow up with Estelle revealed that she and her husband were benefiting from the elder transportation services in their city as well as *Meals on Wheels* for food assistance.

ADDITIONAL OPPORTUNITIES

Selected Additional Opportunities

Following the execution of our core strategy, we may seek to pursue the following additional growth opportunities:

- **Development of proprietary 2-1-1 technology.** Today, I&Rs that are becoming 2-1-1s do not have an accessible, world-class software solution that streamlines the implementation and delivery of high-quality 2-1-1 services. In the future, we may seek to partner with a telecommunications software manufacturer to co-develop a standard 2-1-1 software solution tailored to the technical specifications of state and local 2-1-1s.
- **National Web access to 2-1-1.** We have identified strategies for the creation of a national 2-1-1 Web portal. Through a pilot program, we will explore the creation of a portal that will be available on a non-exclusive basis to public, private, and non-profit organizations. The national portal will be easy to use, with features to assess the user's need, location, and other relevant information in order to connect the user to the appropriate local Web site. In addition to a database of health and human service agencies, the site will provide helpful articles and information relevant to search trends and current events.

The national portal will be designed for users not versed in I&R terminology and taxonomy, seeking actual services or opportunities to give help. Other users will likely include health and human service professionals, corporate human resources staff, I&Rs seeking services outside their service area, foundations, researchers, and other nonprofits, public, and private organizations.

For our pilot program, we intend to link the national portal to 2-1-1 and I&R centers in Atlanta, Los Angeles, Washington, DC, New York City, and two sites in small communities or rural locations. The pilot I&R centers will use Internet software seamlessly linked to the national portal.

- **Global 2-1-1 service.** The globalization of 2-1-1 service in a world without information boundaries presents us with a wonderful long-term opportunity. Our first priority is 100% coverage for the United States. However, the need and demand for an international 2-1-1 system is already becoming evident. Our Canadian neighbors to the North have adopted the universal 2-1-1 dialing code for their entire country and are on a parallel implementation track with the United States. We also have received inquiries from Mexico about our national 2-1-1 system-building efforts.

FINANCIAL ASSUMPTIONS

National 2-1-1 Initiative Financial Summary 2002-2006

2-1-1 National Initiative: One-time Investments by Function

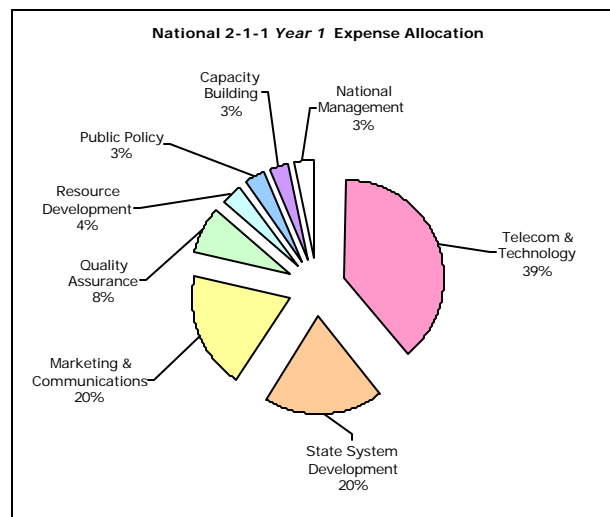
	2002	2003	2004	2005	2006
Telecom & Technology	133,333	166,667	-	-	-
State System Development	2,210,938	3,474,063	2,511,250	1,416,250	-
Marketing & Communications	110,000	190,000	-	-	-
Quality Assurance	266,667	33,333	-	-	-
Resource Development	150,000	275,000	-	-	-
Public Policy	20,000	-	-	-	-
Capacity Building	25,000	125,000	-	-	-
<u>National Management</u>	<u>275,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
	3,190,938	4,264,063	2,511,250	1,416,250	-

2-1-1 National Initiative: Annual Operating Investments by Function

	2002	2003	2004	2005	2006
Telecom & Technology	5,537,390	5,715,983	5,738,288	5,748,944	5,757,333
State System Development	682,980	787,971	794,799	800,142	805,293
Marketing & Communications	2,718,547	2,873,135	2,899,366	2,922,068	2,944,290
Quality Assurance	820,851	1,219,834	1,574,956	1,670,837	1,772,281
Resource Development	410,166	627,459	669,252	673,935	678,315
Public Policy	443,411	502,480	510,732	518,162	525,594
Capacity Building	446,564	458,245	461,697	464,268	466,711
<u>National Management</u>	<u>225,909</u>	<u>237,497</u>	<u>245,237</u>	<u>252,826</u>	<u>260,661</u>
	11,285,817	12,422,603	12,894,326	13,051,182	13,210,478

2-1-1 National Initiative: Total Investment Needed 2002-2006

	2002	2003	2004	2005	2006
Telecom & Technology	5,670,723	5,882,649	5,738,288	5,748,944	5,757,333
State System Development	2,893,917	4,262,033	3,306,049	2,216,392	805,293
Marketing & Communications	2,828,547	3,063,135	2,899,366	2,922,068	2,944,290
Quality Assurance	1,087,518	1,253,167	1,574,956	1,670,837	1,772,281
Resource Development	560,166	902,459	669,252	673,935	678,315
Public Policy	463,411	502,480	510,732	518,162	525,594
Capacity Building	471,564	583,245	461,697	464,268	466,711
<u>National Management</u>	<u>500,909</u>	<u>237,497</u>	<u>245,237</u>	<u>252,826</u>	<u>260,661</u>
	14,476,755	16,686,666	15,405,576	14,467,432	13,210,478
<i>Cumulative Investment</i>	14,476,755	31,163,421	46,568,997	61,036,429	74,246,906



FINANCIAL ASSUMPTIONS / Drivers of Investment & Expense Needs

The assumptions explained in the chart below drive the overall level of need for the National 2-1-1 Initiative, including initial investments and ongoing expenses. At the core of the assumptions is the anticipated size of the United States' population that 2-1-1 will service over the next five years. Footnotes provide additional details about the assumptions as appropriate.

<i>Drivers of Investment and Expense Needs</i>	2002	2003	2004	2005	2006
2-1-1 Coverage					
% of population covered (at end of year) ¹	20%	30%	40%	50%	65%
% increase	-	10%	10%	10%	15%
# of people covered (MM's)	280	56	84	112	182
# of new people covered (MM's)	-	28	28	28	42
Expected Call Volume					
Ratio of calls to population (% of population equivalent)	6%	7%	8%	9%	9%
# of calls per year (MM's)	3	6	9	13	16
# of new calls per year (MM's)	-	3	3	4	4
I&R Specialist and 211-Center Demand					
# of I&R Specialists needed (at calls/specialist/day) ²	30	307	537	818	1,151
# of new I&R Specialists needed	-	230	281	281	332
# of 211-centers (avg specialists/ctr) ³	5	61	107	164	230
# of new 211-centers	-	46	56	66	69
Accreditation Demand⁴					
# of accredited 2-1-1 centers	3	61	107	164	230
# of unaccredited 2-1-1 centers	58	46	56	66	69
% of unaccredited 2-1-1 centers applying	100%	100%	100%	100%	100%
# of unaccredited 2-1-1 centers applying	58	46	56	66	69
# of accredited I&R centers other than 2-1-1s	7	207	566	996	1,398
# of unaccredited I&R centers other than 2-1-1s	2,000	1,793	1,434	1,004	602
% of unaccredited I&Rs applying	10%	20%	30%	40%	70%
# of unaccredited I&Rs applying	200	359	430	402	422
Total # of 2-1-1 and other I&Rs seeking accreditation	258	405	487	468	491
Certification Demand⁴					
# of certified 2-1-1 Specialists	15	103	233	408	631
# of uncertified 2-1-1 Specialists	292	434	585	742	865
% of uncertified 2-1-1 Specialists applying	30%	30%	30%	30%	30%
# of uncertified 2-1-1 Specialists applying	88	130	176	223	259
# of certified Specialists in other I&Rs	2,000	3,600	5,200	6,640	7,984
# of uncertified Specialists in other I&Rs	8,000	6,400	4,800	3,360	2,016
% of uncertified Specialists in other I&Rs applying	20%	25%	30%	40%	70%
# of uncertified Specialists in other I&Rs applying	1,600	1,600	1,440	1,344	1,411
Total # of Specialists (in 2-1-1 and other) seeking certification	1,688	1,730	1,616	1,567	1,671
Audit Demand					
% of accredited centers to be audited during the year	0%	10%	35%	35%	35%
# of centers to be audited during the year	-	40	170	164	172

Notes:

- 1 - Assume % coverage reached at end of year. Therefore, a ramp-up period is necessary.
- 2 - Makes no assumption about utilization of call center agents or number of hours they work. Any such assumptions should be built into the # of calls/day that an agent handles.
- 3 - The number of agents per center will vary, so we use the average. Necessary in order to base growth in call centers, which drives investment needs.
- 4 - Accreditation and certification applies to all I&R's, not just 211-centers.

FINANCIAL ASSUMPTIONS / Development of State Systems

This set of assumptions focuses on one of the largest areas of need within 2-1-1 – the development of state systems. In order to estimate how many resources each state would require to establish 2-1-1 service, the states were placed into four groups based on their stage of development. The Initial phase is the first step, followed by Collaboration, Negotiation, and finally, Operational. The cost and timeline of each phase is outlined in the table below. Additional footnotes supplement the assumptions outlined in the table.

Phase	Group of States	# of States	Cost/State/Phase	Timing				
				Duration	Dependency	Mth Start	Mth End	Cost/Mth
Initial	Group A	6	\$ 5,000	3	-	7	9	\$ 10,000
Collaboration	Group A	6	\$ 62,500	12	3	10	21	\$ 31,250
	Group B	13	\$ 62,500	12	-	7	18	\$ 67,708
Negotiation	Group A	6	\$ 46,875	12	12	22	33	\$ 23,438
	Group B	13	\$ 46,875	12	-	19	30	\$ 50,781
	Group C	15	\$ 46,875	12	-	7	18	\$ 58,594
Operational <i>Includes funding for Capacity Building and Quality Assurance and 2-1-1 Leadership Grants</i>	Group A	6	\$ 128,750	12	12	34	45	\$ 64,375
	Group B	13	\$ 128,750	12	12	31	42	\$ 139,479
	Group C	15	\$ 128,750	12	12	19	30	\$ 160,938
	Group D	17	\$ 128,750	12	-	7	18	\$ 182,396
Cost by Group		Total	Year 1	Year 2	Year 3	Year 4		
Group A		1,458,750	123,750	351,563	404,063	579,375		
Group B		3,095,625	406,250	710,938	1,141,563	836,875		
Group C		2,634,375	351,563	1,317,188	965,625	-		
Group D		2,188,750	1,094,375	1,094,375	-	-		
TOTAL		9,377,500	1,975,938	3,474,063	2,511,250	1,416,250		

Footnotes on State Support:

Experience to date indicates the average developmental cycle for a state = 36 months and is estimated to cost \$250,000 - \$260,000. This includes:

Initial phase (3-6 months)/\$5K; **Collaborative phase** (6-12 months)/\$62.5K; **Negotiation phase** (12-24 months)/\$62.5K; **Operational phase** (includes initial investment for capacity building and quality assurance) (24-36 months)/\$125K.

States may share costs of development e.g., states with significant border populations: Washington DC metro area; New York City metro area;

Chicago/Gary/Milwaukee, etc. regional models based either on proximity (New England states), relatively low population density (Mountain States), or natural affinity or shared history.

The National 2-1-1 Initiative will provide venture grants with state/local match requirements.

Following are examples of funding requests we will consider in each development phase:

Initial - meeting expense, state travel, telephone, printing, postage (No match required)

Collaborative - staffing, facilitators, research, data gathering, meeting expense, state travel, printing, postage (Match required)

Negotiation - staffing, consultants (e.g., teleco, business planning, public policy, legal) meeting expense, state travel, printing, postage (Match required)

Operational - staffing, consultants, equipment, telephone company charges, staff training, accreditation/certification application fees/consultation services (Match required)

When states reach the Operational phase they are eligible for 2-1-1 Leadership grants of up to \$30K for best practices that can be replicated throughout the national 2-1-1 system.

FINANCIAL ASSUMPTIONS / One-Time Investments by Function

The table and accompanying notes below outline the drivers and cost basis for all investment assumptions. Many of these investment needs are based on operational decisions discussed in the business plan. The State System Development needs and assumptions are outlined in the previous table.

Investment Needs						
Activity/Investment	Driver	Cost Basis	Factor	Total Cost	Start Month	Duration
National Management						
Evaluation design & tool development	<u>Estimate</u>	\$ 75,000	1	\$ 75,000	6	1
Regional launch events (cost/invitee)	<u>Contract</u>	\$ 1,000	200	\$ 200,000	6	2
National Management Total Investment				\$ 275,000		
Marketing & Communications						
Logo development and tagline	Contract	\$ 10,000	1	\$ 10,000	4	1
Emulatable campaign development	Contract	\$ 100,000	1	\$ 100,000	4	6
Field research (cost/center) ¹	Centers	\$ 1,000	40	\$ 40,000	13	4
Collateral development (cost/piece) ²	Pieces	\$ 25,000	6	\$ 150,000	17	6
Marketing & Communications Total Investment				\$ 300,000		
Quality Assurance						
Web-based taxonomy	Contract	\$ 100,000	1	\$ 100,000	9	6
Web-based applications	Contract	\$ 100,000	1	\$ 100,000	9	4
Resource DB standards development	Variable	\$ 50,000	1	\$ 50,000	6	5
<u>Joint accreditation</u>	<u>Meetings</u>	\$ 5,000	10	\$ 50,000	1	12
Quality Assurance Total Investment				\$ 300,000		
Public Policy						
<u>Grassroots Manager (Software tool)</u>	<u>License</u>	\$ 20,000	1	\$ 20,000	6	1
Public Policy Total Investment				\$ 20,000		
State System Development						
Clearinghouse development	Contract	\$ 85,000	1	\$ 85,000	6	6
Website development ³	Contract	\$ 50,000	1	\$ 50,000	9	3
Business planning training	Unknown	\$ 50,000	2	\$ 100,000	6	3
Seed-grants: 2002 ⁴	Phase	\$ 1,975,938	1	\$ 1,975,938	7	6
Seed-grants: 2003 ⁴	Phase	\$ 3,474,063	1	\$ 3,474,063	13	12
Seed-grants: 2004 ⁴	Phase	\$ 2,511,250	1	\$ 2,511,250	25	12
Seed-grants: 2005 ⁴	Phase	\$ 1,416,250	1	\$ 1,416,250	37	12
Seed-grants: 2006 ⁴	Phase	\$ -	1	\$ -	49	12
State System Development Total Investment				\$ 9,612,500		
Capacity Building						
Review of NARIN	Variable	\$ 25,000	1	\$ 25,000	12	6
Web enhancement ⁶	Contract	\$ 125,000	1	\$ 125,000	12	6
<u>Disaster planning⁶</u>	<u>Unknown</u>	\$ -	-	\$ -	-	-
Capacity Building Total Investment				\$ 150,000		
Telecom & Technology						
Training module development	Modules	\$ 50,000	4	\$ 200,000	12	6
National technology plan development	Contract	\$ 100,000	1	\$ 100,000	3	6
<u>Readiness assessment tool⁶</u>	<u>Unknown</u>	\$ -	-	\$ -	-	-
Telecom & Technology Total Investment				\$ 300,000		
Resource Development						
One-time training/consulting ⁵	State leads	\$ 6,000	50	\$ 300,000	12	12
Accounting system ⁶	System	\$ 100,000	1	\$ 100,000	1	2
Tool development ⁶	Unknown	\$ 25,000	1	\$ 25,000	1	6
Resource Development Total Investment				\$ 425,000		
Total Investments Over the 5 Year Period:				\$ 11,382,500		

ASSUMPTIONS:

- 1 - Field research will spend \$1,000 per center and plans to interview 40 centers. Research will lead to needed collateral development
- 2 - Collateral development is driven by the number of 'pieces' (e.g. brochures, posters, media kits) to be developed. Expect a cost of \$25K per piece
- 3 - Website development costs are not known. This is only an estimate.
- 4 - These cash flows are derived from the estimates listed on the State Support Needs tab. Several footnotes on that tab accompany this calculation.
- 5 - One-time training overlaps with Public Policy; training state leads to work with policy makers, garner funding, etc.
- 6 - These costs are either unknown, or may be covered by other activities, or are soft. To be determined.

FINANCIAL ASSUMPTIONS / Staffing

The staffing levels necessary to support the National 2-1-1 Initiative are delineated by the services provided.

	Base	Raise ¹					Factor ³	Yearly Staffing Levels				
		02	03	04	05	06		2002	2003	2004	2005	2006
National Management												
Executive Director	100,000	0%	5%	5%	5%	5%	-	1.0	1.0	1.0	1.0	1.0
Staff - Support	<u>40,000</u>	<u>0%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>-</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>
National Management Staffing and Salary Totals								2.0	2.0	2.0	2.0	2.0
Marketing & Communications												
Director	75,000	0%	3%	3%	3%	3%	-	1.0	2.0	2.0	2.0	2.0
Marketing & Communications Staffing and Salary Totals								1.0	2.0	2.0	2.0	2.0
Quality Assurance												
Staff - Accreditation	40,000	0%	3%	3%	3%	3%	40	6.5	10.1	12.2	12.2	12.3
Staff - Certification	40,000	0%	3%	3%	3%	3%	700	2.4	2.5	2.3	2.2	2.4
Taxonomy Maintenance Expert	<u>75,000</u>	<u>0%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>-</u>	<u>-</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>
Quality Assurance Staffing and Salary Totals								8.9	13.6	15.5	15.4	15.7
Public Policy												
Director	100,000	0%	3%	3%	3%	3%	-	1.0	1.0	1.0	1.0	1.0
Staff - Grass Roots Mobilization	50,000	0%	3%	3%	3%	3%	-	1.0	1.0	1.0	1.0	1.0
Staff - Support	<u>50,000</u>	<u>0%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>-</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>
Public Policy Staffing and Salary Totals								3.0	3.0	3.0	3.0	3.0
State System Development												
Staff - Clearinghouse Maintenance	50,000	0%	3%	3%	3%	3%	-	1.0	1.0	1.0	1.0	1.0
Staff - Customer Service ³	40,000	0%	3%	3%	3%	3%	-	-	2.0	2.0	2.0	2.0
State System Development Staffing and Salary Totals								1	3	3	3	3
Capacity Building												
Director	<u>60,000</u>	<u>0%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>-</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>
Capacity Building Staffing and Salary Totals								1.0	1.0	1.0	1.0	1.0
Telecom & Technology												
Director	75,000	0%	3%	3%	3%	3%	-	1.0	1.0	1.0	1.0	1.0
Staff - Training &TA	50,000	0%	3%	3%	3%	3%	-	-	1.0	1.0	1.0	1.0
Telecom & Technology Staffing and Salary Totals								1.0	2.0	2.0	2.0	2.0
Resource Development												
Director	75,000	0%	3%	3%	3%	3%	-	1.0	1.0	1.0	1.0	1.0
Staff - Support	<u>35,000</u>	<u>0%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>3%</u>	<u>-</u>	<u>-</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>	<u>1.0</u>
Resource Development Staffing and Salary Totals								1.0	2.0	2.0	2.0	2.0
TOTAL STAFF								18.9	28.6	30.5	30.4	30.7

Notes:

- 1 - Raises are average amounts. Some positions may be higher or lower than the average.
- 2 - These staff answer calls from the field. First line of support.
- 3 - "Factor" is really a productivity factor that only applies to certain positions. In the case of Accreditation and Certification, this number indicates the number of centers that one person can accredit, or the number of specialists that one person can certify, in a single year.

FINANCIAL ASSUMPTIONS / Annual Operating Investments by Function

The table below outlines the details of the National 2-1-1 Initiative's annual needs. All expenses have been grouped by the service they provide, with the exception of Administrative expenses, which has been grouped with National Management. Footnotes accompany this model in order to explain items in more detail. In the case of Personnel, all assumptions can be found in the Personnel Planning table on the previous page. (Note: 2 pages.)

FUNCTIONS	Factor	2002	2003	2004	2005	2006
Marketing & Communications						
Personnel		75,000	154,500	159,135	163,909	168,826
Emulatable Marketing, PR/Media (National/State)	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000
Collateral materials (per center)	200	12,274	21,479	32,731	46,027	59,836
Administrative allocation ¹⁴	-	131,273	197,155	207,501	212,132	215,628
<i>Marketing & Communications</i>		<i>2,718,547</i>	<i>2,873,135</i>	<i>2,899,366</i>	<i>2,922,068</i>	<i>2,944,290</i>
Quality Assurance						
Personnel		354,802	595,858	693,719	711,473	744,208
Travel - accreditation	1,000	258,370	404,627	486,576	468,116	490,755
Applications - accreditation	30	7,751	12,139	14,597	14,043	14,723
Web-based services	25	50,375	92,564	135,822	176,212	215,379
Joint accreditation planning	5,000	10,000	10,000	10,000	10,000	10,000
Audit - standards enforcement ²	1,000	0	40,463	170,301	163,841	171,764
Administrative allocation ¹⁴	-	34,568	85,144	116,476	120,839	130,138
<i>Quality Assurance</i>		<i>715,865</i>	<i>1,240,795</i>	<i>1,627,491</i>	<i>1,664,525</i>	<i>1,776,966</i>
Public Policy						
Personnel		200,000	206,000	212,180	218,545	225,102
Legal services ⁴	50,000	10,000	50,000	50,000	50,000	50,000
Public policy guide development	30,000	30,000	30,000	30,000	30,000	30,000
Grassroots mobilization software (ann'l fee)	20,000	20,000	20,000	20,000	20,000	20,000
Annual policy conference - D.C. (\$1k per attendee)	150	150,000	150,000	150,000	150,000	150,000
Travel (\$1k per trip)	12	12,000	12,000	12,000	12,000	12,000
Administrative allocation ¹⁴	-	21,411	34,480	36,552	37,617	38,492
<i>Public Policy</i>		<i>443,411</i>	<i>502,480</i>	<i>510,732</i>	<i>518,162</i>	<i>525,594</i>
State System Development						
Personnel		50,000	133,900	137,917	142,055	146,316
Consulting services (\$200/hr)	2,000	400,000	400,000	400,000	400,000	400,000
Travel (\$1k per trip)	50	50,000	50,000	50,000	50,000	50,000
National plan evaluation ¹³	150,000	150,000	150,000	150,000	150,000	150,000
Administrative allocation ¹⁴	-	32,980	54,071	56,882	58,088	58,977
<i>State System Development</i>		<i>682,980</i>	<i>787,971</i>	<i>794,799</i>	<i>800,142</i>	<i>805,293</i>
Capacity Building						
Personnel		60,000	61,800	63,654	65,564	67,531
AIRS 2-1-1 Institute ⁵	280	280,000	280,000	280,000	280,000	280,000
Travel (\$1k per trip)	24	24,000	24,000	24,000	24,000	24,000
Affiliate project support	6,000	6,000	6,000	6,000	6,000	6,000
Conference calls (\$500/call)	10	5,000	5,000	5,000	5,000	5,000
Emergency management system planning	50,000	50,000	50,000	50,000	50,000	50,000
Administrative allocation ¹⁴	-	21,564	31,445	33,043	33,704	34,180
<i>Capacity Building</i>		<i>446,564</i>	<i>458,245</i>	<i>461,697</i>	<i>464,268</i>	<i>466,711</i>
Telecom & Technology						
Personnel		75,000	128,750	132,613	136,591	140,689
State technology innovation fund ⁶	5.0	5,000,000	5,000,000	5,000,000	5,000,000	5,000,000
Annual summit(\$500 per attendee)	250	125,000	125,000	125,000	125,000	125,000
Summit follow-up and planning	70,000	70,000	70,000	70,000	70,000	70,000
Administrative allocation ¹⁴	-	267,390	392,233	410,676	417,353	421,645
<i>Telecom & Technology</i>		<i>5,537,390</i>	<i>5,715,983</i>	<i>5,738,288</i>	<i>5,748,944</i>	<i>5,757,333</i>
Resource Development						
Personnel		75,000	113,300	116,699	120,200	123,806
Travel (\$1k per trip)	100	100,000	100,000	100,000	100,000	100,000
Workshops (\$5k per workshop) ⁷	2	60,000	60,000	60,000	60,000	60,000
Consulting - Funding research	20,000	20,000	20,000	20,000	20,000	20,000
Consulting - Grant management	50,000	50,000	300,000	300,000	300,000	300,000
Training maintenance (cost/state) ¹²	500	25,000	25,000	25,000	25,000	25,000
Administrative allocation ¹⁴	-	16,744	45,554	47,923	48,940	49,690
<i>Resource Development</i>		<i>346,744</i>	<i>663,854</i>	<i>669,622</i>	<i>674,140</i>	<i>678,496</i>

FINANCIAL ASSUMPTIONS / Annual Operating Investments by Function (continued)

National Management		2002	2003	2004	2005	2006
Personnel		140,000	146,200	152,686	159,472	166,571
Travel (\$1k per trip)	25	25,000	25,000	25,000	25,000	25,000
Consulting ³	50,000	50,000	50,000	50,000	50,000	50,000
Administrative allocation ¹⁴	-	10,909	16,297	17,551	18,354	19,090
<i>National Management</i>		<i>225,909</i>	<i>237,497</i>	<i>245,237</i>	<i>252,826</i>	<i>260,661</i>
Administrative Costs ⁸						
Office lease (cost per sq ft) ⁹	21	59,441	90,051	95,988	95,768	96,565
Telecommunications & Internet	200	45,288	68,610	73,134	72,966	73,573
Utilities (\$55 per staff per month)	55	12,454	18,868	20,112	20,066	20,233
Office Equipment & Furniture ¹⁰	150	33,966	51,458	54,850	54,724	55,180
Office Supplies	25	5,661	8,576	9,142	9,121	9,197
Office Expense	25	5,661	8,576	9,142	9,121	9,197
Insurance (Property & Casualty)	10.0%	5,000	5,500	6,050	6,655	7,321
Employee Taxes & Benefits ¹¹	25%	257,450	385,077	417,151	429,452	445,762
Miscellaneous	2.0%	104,306	208,611	229,472	237,413	238,961
<i>Administrative Costs</i>		<i>529,227</i>	<i>845,328</i>	<i>915,040</i>	<i>935,285</i>	<i>955,987</i>
<i>Total Functional Costs</i>		<i>11,117,409</i>	<i>12,479,960</i>	<i>12,947,232</i>	<i>13,045,075</i>	<i>13,215,344</i>
Reference: Total Full-time Employees (FTE's)						
<i>Total employees</i>		<i>18.9</i>	<i>28.6</i>	<i>30.5</i>	<i>30.4</i>	<i>30.7</i>

Notes:

- 1 - Cost of web-based services is driven by the number of certified operators. Estimate \$25/yr to support one operator via these services.
- 2 - Based on the number of standards audits performed each year. Cost is estimated to be \$1,500/audit, including travel.
- 3 - Consulting utilized at the national level to cover various resource needs.
- 4 - Legal services will be outsourced. Estimated cost.
- 5 - The AIRS Institute is an existing institution that will adapt to support 2-1-1 efforts exclusively. It maintains a detailed budget separately from this.
- 6 - The Technology Innovation Fund will support the application of innovative technologies in model I&R centers, with the aim of advancing service delivery.
- 7 - Funding workshops will be held twice a year in each of the six U.S. regions.
- 8 - All costs in this category cover each service group and are therefore allocated into each group according to expense levels. Costs are mainly driven by nt
- 9 - Lease costs assume 150 square feet per staff member, which includes common areas. Staff may not be housed under National office, but still account fo
- 10 - Includes computers and printers, as well as desks. Low figure because facilities already have FF&E.
- 11 - Expect to provide insurance and benefits to all staff members, whether housed internally or not.
- 12 - As personnel in each state turnover, or as state policies or funding resources change, ongoing training will be necessary.
- 13 - \$150k for executing ongoing national evaluation, including money for states to participate in the evaluation.
- 14 - Administrative costs are allocated over each department according to their level of expenses.

APPENDIX A / 2-1-1 CENTERS - LAUNCH DATES & POPULATIONS SERVED

Month/Year Launched	Center Location	Population Served
June 1997	Atlanta, GA	4,100,000
January 1999	Connecticut	3,405,565
January 2000	Columbus, GA	400,000
June 2000	Lafayette, LA	550,012
July 2000	Knoxville, TN	350,000
January 2001	Athens, GA	359,587
April 2001	Brevard County, FL Pinellas County, FL Asheville, NC	476,230 921,482 188,000
June 2001	Columbia, SC New Orleans, LA Tampa, FL	500,000 1,460,000 1,100,000
July 2001	Dalton, GA Charlotte, NC	135,000 950,194
August 2001	Savannah, GA Macon, GA Research Triangle, NC	293,000 500,000 1,070,000
October 2001	Albuquerque, NM Sioux Falls, SD	640,000 150,000
December 2001	Salt Lake City, UT Provo, UT Layton, UT Montgomery, AL	968,858 368,536 238,994 494,512
January 2002	Greensboro, NC Broward County, FL	750,000 1,668,560
February 2002	Palm Beach County, FL Jacksonville, FL	1,300,000 1,100,000

APPENDIX A / 2-1-1 CENTERS - LAUNCH DATES & POPULATIONS SERVED

April 2002	Tallahassee, FL	293,950
May 2002	Minneapolis/St. Paul, MN Omaha, NE	3,000,000 586,180
June 2002	Madison, WI Milwaukee, WI Waukesha, WI Racine, WI	550,000 940,000 368,000 85,000
July 2002	Hawaii	1,211,537
August 2002	Battle Creek, MI	580,331
September 2002	Boise, ID	549,068
Total Population with Dialing Access to 2-1-1		32,602,596

APPENDIX B / NATIONAL STANDARDS FOR I&R/2-1-1 CENTERS

National Standards

The following standards were recommended by AIRS and adopted by the National 2-1-1 Collaborative on May 5, 2000:

1. Ensure the provision of 24 hour coverage, year-round.
2. Ascribe to the AIRS Standards for Information & Referral.
3. Have a plan in place to become or be accredited by AIRS.
4. Utilize Certified I&R Specialists and Resource Specialists.
5. Demonstrate cooperative relationships with specialized I&Rs, crisis centers, 9-1-1s, and 3-1-1s, where applicable.
6. Have means of tracking call volume, number of abandoned calls, average speed of answering, average call length.
7. Computerized I&R database with client collection capability.
8. Use the AIRS/InfoLine Taxonomy.
9. Have the ability to publicize 2-1-1 services and educate the public on an on-going basis.
10. TTY and multi-lingual accessibility either on-site or access to live translation.
11. Commitment to develop linkages through protocol with appropriate clearinghouse agencies that may be able to provide services such as volunteer or donation management.
12. Ensure quality of service and inquirer satisfaction through appropriate follow up.

Within states or regions where more than one I&R will be providing 2-1-1 services, it is recommended that 2-1-1 Centers have the following:

1. An agreed upon plan to work in tandem to ensure 2-1-1 service to all areas of the state or region.
2. Ability to share resource data information.
3. Ability to track and share information on client as well as unmet needs.
4. A common means of measuring outcomes for the operation of a call center.
5. An agreed upon means of communicating with the community represented by the call center on requests for assistance, perceived gaps, and barriers to service.

APPENDIX C / 2-1-1 OPERATION MODELS & DEVELOPMENT STAGES

2-1-1 Operation Models

Slight variations in the operational details of each 2-1-1 Center model are found from system to system, but each system implemented to date falls into one of the following three categories:

- **Model One / Centralized Administration – Single Call Center.** Model one is the simplest model, which is typically utilized when 2-1-1 services are made available in a single locality (i.e. county grouping or metropolitan area) or in a very small state. Databases under this model are typically housed at the call center where they also are maintained and updated. Calls are commonly routed through a 2-1-1-to-toll-free-number translation. However, 2-1-1-to-local or *local long-distance* number translation is possible as well, when the service area is sufficiently limited. Generally, the costs incurred for 2-1-1 translation services are the lowest of the three models.
- **Model Two / Decentralized Administration - Multiple Call Centers.** The second model is for larger states and populations. In these cases, multiple call centers, whether local or regional, are generally necessary. Often, a 2-1-1 collaborative will guide and facilitate 2-1-1 implementation, and may administer a local or regional call center itself, but will not have the capability or interest in directly administering the larger group of 2-1-1 call centers as a whole. In these cases, each I&R provider in the collaborative group will administer its own call center(s) and database capabilities.

Databases in Model Two are generally housed at respective call centers and are administered, maintained, and updated by staff employed by the call centers themselves. Varying degrees of database *shareability* and compatibility are required across the states. Calls are commonly routed through a 2-1-1-to-toll-free-number translation, and 2-1-1-to-local, or *local long-distance* translation when the service area is more geographically limited.

Rollover capability is essential under this model, when call volume may not justify providing 24-hour coverage in all of a state's 2-1-1 Centers. Nevertheless, adherence to 2-1-1 standards requires 24-hour coverage. Thus, after-hours calls placed in the service areas of off-duty 2-1-1 Centers can be routed or *rolled-over* to larger, 24-hour call centers.

- **Model Three / Centralized Administration – Multiple Call Centers.** As call center operations are centrally administered, database operation and maintenance are also centralized under Model Three. Typically, call centers are linked to each other and to a centralized database via a Wide Area Network (WAN), which in turn may utilize broadband T1 circuits and ISDN circuits, with or without Internet Protocol (IP) communications. Each call center is responsible for maintaining its own *section* of the statewide database, and updates are generally carried out daily when appropriate. Calls are commonly routed as in other models. This model generally allows for simpler *rollover* between call centers, particularly with respect to database access.

There are pros and cons to each of these system design models. Sites must select their design model based on its particular circumstances. In looking at how 2-1-1 has been implemented and how sites are planning to implement the

service, it has become clear that while various states/sites may utilize the same "model" they all have enhanced the model to best serve their constituency.

2-1-1 Implementation Stages

As 2-1-1 is implemented across the country, each state or locality faces different obstacles and challenges in implementing the service. However, there are some common stages of 2-1-1 development that each state/site passes through:²⁰

- **Initial Stage.** One or more organizations have expressed interest in developing 2-1-1 capabilities in their state. Meetings have been held among potential service providers and other stakeholders. Initial contacts have been made with local exchange companies and with state utilities commissions.
- **Collaboration Stage.** A core group in a state/area has an identity and makes a concerted effort to develop operational design models and to determine what mixture of technical, database, telecommunications resources will best meet community needs. Relationships with state utility commissions and local exchange companies are developed. Database and technology issues in terms of organizing call center capabilities are considered.
- **Negotiation Stage.** A viable business plan has been adopted, and any internal challenges between I&Rs largely have been resolved. Pilot sites are fully determined and contractual agreements between service providers for service coverage may be in place.
- **Operational Stage.** 2-1-1 services are operational in at least one site. Plans are underway to provide or approach the provision of statewide coverage.

²⁰ Source for stages of Development: "211 State by State:" Nationwide Implementation of 211-Accessed Information and Referral Services, May, 2001, Telecommunications and Information Policy Institute, University of Texas at Austin.

APPENDIX D / N11 OVERVIEW

N11 Overview

Among the FCC's abbreviated dialing arrangements, *N11* codes, are three-digit codes of which the first digit can be any digit other than 1 or 0, and the last two digits are both one. N11 codes "011" and "111" are unavailable because "0" and "1" are used for switching and routing purposes. Hence, there are only eight possible N11 codes, making N11 codes among the scarcest of numbering resources.

The following chart outlines the existing N11 code assignments:

N11 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 by carriers 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	Unassigned, but used by carriers for business office use.
9-1-1	Unassigned, but used nationwide for emergency services.

APPENDIX E / CURRENT & POTENTIAL STRATEGIC ALLIANCES

ALLIANCE TYPE	POTENTIAL TARGETS	STATUS
Government & Public Sector Associations	Federal Emergency Management Association (FEMA)	Exploratory
	Office of Homeland Security	Exploratory
	Department of Labor	Current Project
	Department of Health & Human Services	Exploratory
	Department of Housing and Urban Development	Exploratory
	Corporation for National and Community Service	Exploratory
	National League of Cities	Exploratory
	National Association of County Commissions	Exploratory
	National Conference of Mayors	Exploratory
	National Governor's Association	Exploratory
	National Conference of State Legislatures	Exploratory
	National Association of Regulatory Utility Commissions	Exploratory
	U.S. Armed Forces – Military I&R Systems	Exploratory
U.S. Freedom Corps	Exploratory	
Corporations	Best Buy Corporation	Current Project
Funders	Lily Endowment	Formalized
	The Annie E. Casey Foundation	Formalized
	Council on Foundations	Exploratory
Civic/Volunteer Development Organizations & Associations	National Civic League	Exploratory
	Points of Light Foundation	Exploratory
	Volunteer Center National Network	Exploratory
	Gifts In-Kind International	Exploratory
	Volunteer Solutions	Exploratory
Telecommunications/ Technology Industry & Associations	Cell phone companies and their trade associations	Exploratory
	Pay phone companies and their trade associations	Exploratory
	AOL/Time Warner	Current Project
	Database Software Developers	Exploratory
	Cisco Systems	Current Project
Social Service Agencies, Associations & Planning Organizations	National Association of Regional Development Councils	Exploratory
	National Assembly of Health and Human Services	Exploratory
	National Voluntary Organizations Active in Disaster (VOAD)	Exploratory
	American Association of People with Disabilities	Exploratory
	Children's Defense Fund	Exploratory
	Human Rights Development Campaign	Exploratory
	National Association of State Units on Aging (NASUA)	Formalized
	National Associations of Child Care Resource and Referral Agencies	Formalized
I&R/Crisis Response Industry & Associations	National Collaboration for Youth	Exploratory
	American Association Suicidology	Current Project
	Kristin Brooks Hope Center	Current Project
Academia/Research	National Emergency Number Association (NENA)	Exploratory
	University of Texas at Austin - Telecommunications & Information Policy	Formalized

APPENDIX F / 2-1-1 LEADERSHIP

The National 2-1-1 Initiative Leadership

The Alliance of Information and Referral Systems (AIRS). AIRS is a nonprofit 501(c)3, professional membership organization for information and referral providers. It was established in 1973 to improve access to community resources for all people through the mechanism of I&R. AIRS meets its goals through the establishment and promulgation of standards (Standards for Professional Information and Referral), the promotion and quality assurance of credentials (accreditation for agencies/programs; certification for individual practitioners), education and training, technical assistance, and leadership to the entire field of information and referral.

AIRS is a membership organization of nearly 900 I&Rs, primarily in North America, but with members worldwide. The membership is diverse in its composition, including comprehensive I&Rs, and specializations that include – aging, child care, crisis, disability, ethnicity, health, military, youth, et al. Member I&Rs are provided within a multiplicity of auspices, including government, libraries, hospitals, United Ways, and the overwhelming plurality through private/nonprofit stand-alone organizations. AIRS works in partnership with 25 state and regional I&R associations that are formal affiliates of AIRS. They provide their members with a microcosm of what AIRS provides on the national front and act as a conduit for the products, services, and platforms of AIRS.

United Way of America. UWA is the national service and training center supporting 1,400 member United Ways by helping them pursue dual strategies of community building and conducting cost-effective fund raising. UWA provides a wide range of services to its members; including (but not limited to):

- National brand management, marketing and advertising;
- Training conferences and technical assistance on all functions of a United Way (e.g. financial management, fund raising, community building, marketing, etc.);
- National partnerships that benefit local United Ways (e.g. promotional partnerships, funding from national sources);
- Organizing local initiatives and developing national initiatives; and,
- Promoting public policies that benefit United Ways and the United Way movement's national community-building agenda.

National 2-1-1 Coalition Members

The following national organizations currently comprise the National 2-1-1 Initiative Coalition. Membership is open and growing.

- Administration on Aging (AOA)
- Alliance of Information and Referral Systems (AIRS)
- American Association of Suicidology (AAS)
- American Red Cross
- Contact USA
- Kristin Brooks Hope Center – National Hopeline Network
- National Association of Area Agencies on Aging (NAAAA)
- National Association of Child Care Resource and Referral Agencies
- National Association of Community Action Agencies (NACAA)
- National Association of State Units on Aging (NASUA)
- National Mental Health Association (NMHA)
- Points of Light Foundation (POLF)
- United Way of America

NOTES