

# New Mexico Race to the Top Early Learning Challenge Governance Manual

Created by the New Mexico Departments of Public Education; Children, Youth and Families; and Health

April 2016  
Version 3.0

Table of Contents

- I. Background ..... 3
- II. Governance Structure ..... 5
- III. Communication Process..... 10
- IV. Reporting ..... 12
- V. Appendix ..... 13

# I. Background

## a. Introduction

- i. New Mexico determined the need to develop an Early Childhood Governance structure. A state-level system of early childhood programs and services for children from birth to age five can exist under several different governance models. “Governance” refers to how (often multiple) programs and entities are managed to promote efficiency, excellence, and equity. It comprises the traditions, institutions, and processes that determine how power is exercised, how constituents are given voice, and how decisions are made on issues of mutual concern (Regenstein and Lipper 1.”)
- ii. The Race to the Top—The Early Learning Challenge grant was awarded to New Mexico on January 1, 2013. The grant provides for the development and support of a coordinated system of early learning and development, designed to ensure that many more children, from birth to age five, have access to dramatically improved early learning programs and enter school with the skills, knowledge, and dispositions they need to be successful. The implementation of the grant involves three state agencies: The Public Education Department (the PED); Children, Youth, and Families Department (CYFD); and the Department of Health (DOH).

## b. Core Values

- i. Early Learning New Mexico has been charged to address multiple needs, including the need to improve long-term developmental outcomes for diverse populations of children—and the short-term needs of working families with a wide range of employment circumstances. To bring coherence to the diverse set of services attempting to meet those needs, there are a number of cross-cutting values that an early childhood governance model should strive to support. These include the following five values (adapted from Regenstein and Lipper):
  1. Coordination: The governance model should connect the different parts and programs of the early childhood system, reflecting its comprehensive nature.
  2. Alignment: The model should provide coherence across system-wide tasks like data collection, quality standards, and outcome measurement and should break down silos associated with the administration of funding and the oversight of programs.
  3. Sustainability: The governance model should be able to navigate political and administrative changes and be designed to best ensure accountability for the early childhood system’s breadth of reach (in terms of programs and services).
  4. Efficiency: The model should allocate resources wisely, reduce duplication of effort, and provide a significant return on investment.
  5. Accountability: The governance model should be accountable to the early childhood system and its stakeholders in terms of quality, equality, and outcomes and should be able to hold services and programs accountable for their performance.

### **c. Agencies**

- i. Public Education Department (PED)
  1. The Public Education Department is the lead state agency in the Race to the Top—Early Learning Challenge (RTT - ELC) grant. The PED administers several programs with regards to early learning—Title I of ESEA, 619 of part B of IDEA, and state-funded preschool.
  2. The Literacy and Early Childhood Education Bureau oversees the PED New Mexico PreK programs provided in public schools to ensure that children in New Mexico have the opportunity to attend a high-quality, early childhood education program before kindergarten. The bureau is participating in Race to the Top work by developing the Tiered Quality Rating and Improvement System for public school Pre-K programs including Title I and 619 special education programs. The bureau is also developing a kindergarten observation-based assessment tool that will be administered to children as they enter kindergarten, providing staff with a baseline standard for each child.
- ii. Children, Youth and Families Department (CYFD)
  1. The Children, Youth, and Families Department is the second state agency involved with the RTT - ELC grant. Early Childhood Services is vested in many aspects of early learning, development, and care including—but not limited to—home visits, Pre-K, and professional development. Those interests directly align with a number of Race to the Top projects. The Office of Child Development (OCD) is housed under Early Childhood Services (ECS). The OCD bureau chief sits on the RTT - ELC leadership team.
  2. CYFD is responsible for developing and facilitating the adoption of The Tiered Quality Rating and Improvement System (TQRIS) for use in New Mexico’s early learning and development programs. This rating and improvement system accurately differentiates program quality levels and reflects high expectations aligned to nationally recognized standards.
- iii. Department of Health (DOH)
  1. The Department of Health is the third state agency involved in the RTT – ELC grant. The Family Infant Toddler (FIT) program is the lead agency, under the Individuals with Disabilities Education Act (IDEA) Part C, for providing interventions for developmentally delayed and disabled children—birth to age three—and their families. The FIT program is engaged in the FOCUS TQRIS Project and the Early Childhood Integrated Data Systems. The FIT program is located within the Developmental Disabilities Supports Division (DDSD). This division provides lifespan services to children and adults with cognitive and/or developmental disabilities and to their families. The FIT program manager is on the RTT - ELC leadership team.
  2. The Epidemiology Program is responsible for the mapping and data visualization aspects of the data project. This program is located within the Epidemiology and Response Division (ERD) of the DOH.

3. The Interagency Coordinating Council (ICC) was appointed by the governor of New Mexico to advise and assist the DOH in the role of lead agency for IDEA, Part C in New Mexico. The ICC provides strategic-systems-level support and guidance to the DOH, FIT Program.

## II. Governance Structure

### a. Description

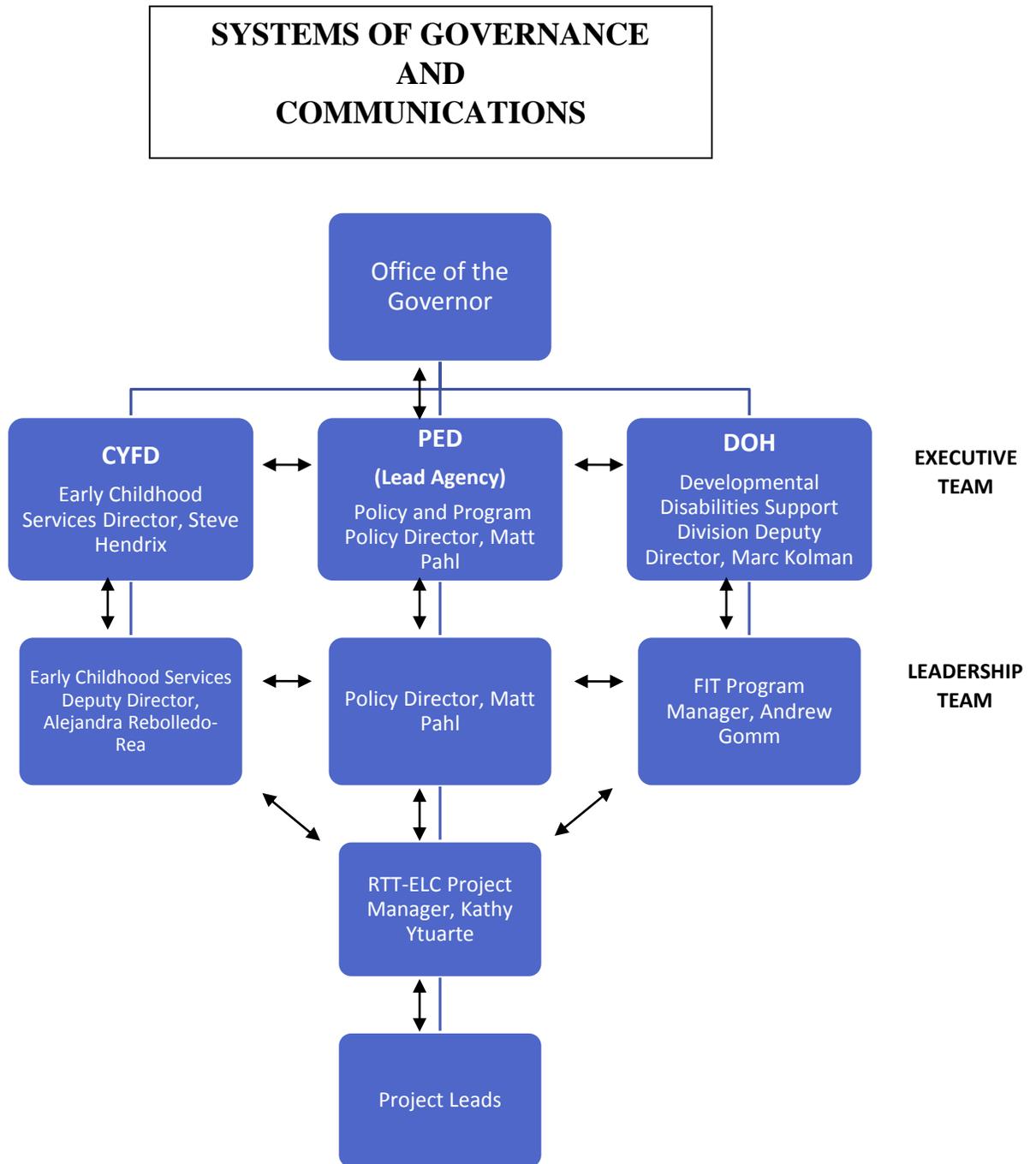
- i. Research reveals that early childhood governance, in practice and theory, exists across a spectrum of structures—from coordinated governance (potentially including an explicit leadership role in the governor’s office), to the consolidation of authority and accountability in an executive branch agency, to creation of an executive branch agency focused solely on early childhood services and programs.
- ii. The governance strategy the state of New Mexico has adopted is one of coordinated governance. This places accountability for the Race to the Top, Early Learning Challenge across multiple agencies—the PED, CYFD, and the DOH.

### b. Charts

- i. Hierarchical



ii. Systems of governance and communication



**c. Executive Team**

- i. The executive team is tasked with budgeting the funds, creating positions with human resources departments, and liaising with the Office of the Governor as necessary (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Annual Performance Report” 9).
- ii. The executive team members represent each state agency involved with the grant. Currently, the members are:
  - 1. Matt Pahl, Policy and Program, Public Education Department
  - 2. Steve Hendrix, Deputy Director; Early Childhood Services; Children, Youth and Families Department
  - 3. Marc Kolman, Deputy Director of DDS, Department of Health
    - A. The members also sit on the Data Governance Committee. See the Appendix for ECIDS Data Governance Manual.

**d. Leadership Team**

- i. The leadership team provides strategic direction for the RTT - ELC grant, addressing budgets, challenges, and requests for technical assistance. The team is in communication with project leads, providing guidance and oversight (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Annual Performance Report” 9).
- ii. The leadership team members represent each state agency involved with the grant. Currently, the members are:
  - 1. Matt Pahl, Policy Director, Public Education Department
  - 2. Alejandra Rebolledo-Rea, Deputy Director; Early Childhood Services; Children, Youth and Families Department
  - 3. Andrew Gomm, FIT Program Manager, Department of Health
  - 4. Kathy Ytuarte, RTT - ELC Project Manager, Public Education Department

**e. Project Leads**

- i. Grants Management
  - 1. Responsible for the overall management of the Race to the Top-Early Learning Challenge grant in New Mexico. This includes management across projects and departments (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  - 2. Project Lead: Kathy Ytuarte, RTT - ELC Project Manager, Public Education Department (PED)
- ii. Tiered Quality Rating and Improvement System (TQRIS-FOCUS)
  - 1. Implement FOCUS, New Mexico’s revised TQRIS, a tool that integrates children’s learning across all early learning programs (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  - 2. Project lead: Katrina Montano White, Office of Child Development Bureau Chief; Children, Youth and Families Department (CYFD)
- iii. Early Childhood Investment Zones

1. Establish early childhood investment zones by identifying and prioritizing communities where children are at greatest risk and where capacity can be developed for creating a continuum of high-quality, early learning programs (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  2. Project lead: Alejandra Rebolledo-Rea, Deputy Director; Early Childhood Services ; CYFD
- iv. Workforce Development
  1. Alignment of training and education to the state’s workforce knowledge and competency framework (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  2. Scholarships for early childhood professional development.
    3. Project leads: Alejandra Rebolledo-Rea, , Deputy Director; Early Childhood Services; Katrina Montano-White, Office of Child Development Bureau Chief; Children, Youth and Families Department; CYFD
- v. Early Childhood Data
  1. Build a unified, early-learning data system that provides educators, families, and policy-makers with current information on children in their programs; assess young children as they enter kindergarten; and follow students through early childhood through grade school (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  2. Project lead: Chris Rodke, Project Manager, PED
- vi. Kindergarten Entry Assessment
  1. Write a Request for Proposals (RFP) for validation of a New Mexico Pre-K observational assessment (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  2. Validate Pre-K observational assessment tool for use in kindergarten to assess what entering students know and can do in relation to the kindergarten standards for learning described in the New Mexico Early Learning Guidelines: Birth through Kindergarten and in alignment with the Common Core State Standards.
  3. Project lead: Brenda Kofahl, PreK Program Specialist, PED
- f. Advisory Councils**
  - i. New Mexico Early Learning Advisory Council
    1. The Early Learning Advisory Council (ELAC) was created to lead the development of a high-quality, comprehensive system of early childhood education and care that ensures statewide coordination and collaboration among the wide array of early childhood programs and services in New Mexico, including Head Start, child care, and pre-kindergarten programs and services (New Mexico Kids.)
    2. Members are appointed by the governor to make recommendations to the legislature regarding New Mexico’s early care and learning system. Members include representatives from both community providers and state agencies, such

as Head Start, child care, early invention, home visiting, Pre-K, etc. (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Annual Performance Report” 9).

**g. Implementation Team**

- i. Each project has an implementation team that involves representatives from each state agency working on the project.
- ii. The team meets monthly with their project lead and quarterly, as a whole, to ensure the timely implementation of the entire scope of work.

**h. Partners**

- i. Organizations work closely in the development of the grant’s scope of work; this may involve contractors and subcontractors, who participate in strategic planning. This includes but is not limited to:
  - 1. The University of New Mexico
  - 2. WestEd
  - 3. Child Trends
  - 4. Tribal partners

**i. Stakeholders**

- i. Anyone who has a stake in the work being done with RTT - ELC. This includes but is not limited to:
  - 1. Providers
  - 2. Families
  - 3. Public schools
  - 4. Advisory councils
    - A. New Mexico Early Learning Advisory Council
    - B. Interagency Coordinating Council
  - 5. Philanthropic organizations

**j. Decision-Making Process**

- i. In the decision-making process, participants strive to reach a consensus. Confirmation of the decision can be made after the fact. If consensus can't be reached decisions will be made by a majority vote. If a participant is absent for the vote, they may vote by proxy. The results are documented in meeting summaries.
  - 1. The types of decisions that are made at the following levels:
    - A. Executive
      - I. Decisions that deviate from the original grant and/or previous decisions that have been made
      - II. Strategic planning conversations
      - III. When leadership comes to an impasse, these decisions move to the executive level.
      - IV. Other items as determined by the leadership team.
    - B. Leadership
      - I. Decisions that are in line with the grant
      - II. Decisions that impact partners and stakeholders

- III. Changes in the scope of work
- IV. Day –to-day budget decisions
- C. Project Leads
  - I. Decisions that are in line with their project scope of work
- D. Implementation Teams
  - I. Decisions that are in line with their project
  - II. scope of work

### **III. Communication Process**

#### **a. Introduction**

The governance strategy that the state of New Mexico has adopted is one of coordinated governance. This coordinated governance structure requires a disciplined communication process that leads to the dissolution of silos and the creation of meaningful collaboration. The following table describes how communication flows among participants in a coordinated governance approach.

b. Table

COMMUNICATION TO:					
		Executive Leadership Team	Leadership Team	Project Leads	Implementation Teams
COMMUNICATION FROM:	Executive Leadership Team	<b>T:</b> Meetings on first Thursday of every month with the leadership team. Ad hoc meetings as necessary <b>F:</b> First Thursday of every month <b>D:</b> By consensus	<b>T:</b> Joint meeting, first Thursday of every month. Ad hoc meetings as necessary and individually with executive leadership of respective agencies <b>F:</b> As needed <b>D:</b> By consensus	<b>T:</b> Ad hoc meetings as necessary <b>F:</b> As needed <b>D:</b> By consensus	<b>T:</b> Via monthly meetings with project leads <b>F:</b> Monthly, with project leads <b>D:</b> By consensus
	Leadership Team	<b>T:</b> Joint meeting on first Thursday of every month. Ad hoc meetings as necessary and individually with executive leadership of respective agencies <b>F:</b> As needed <b>D:</b> By consensus	<b>T:</b> Meetings held every-other Thursday. Ad hoc as needed. <b>F:</b> Regular meetings every- other Thursday <b>D:</b> By consensus	<b>T:</b> Weekly or bimonthly meetings with project manager and each project lead. Ad hoc meetings with leadership and project leads <b>F:</b> As needed <b>D:</b> By consensus	<b>T:</b> Via monthly meetings with, project leads <b>F:</b> Monthly, with project leads <b>D:</b> By consensus
	Project Leads	<b>T:</b> Ad hoc meetings as necessary <b>F:</b> As needed <b>D:</b> By consensus or by majority	<b>T:</b> Weekly or bimonthly meetings with project manager and each project lead. Ad hoc meetings with leadership. Monthly project summaries <b>F:</b> As needed	<b>T:</b> Project leads meet quarterly to maintain alignment of projects and for Annual progress report preparation. <b>F:</b> Quarterly and as needed	<b>T:</b> Monthly meetings with their implementation teams and quarterly for program status report. <b>F:</b> Monthly, quarterly, and as needed
	Implementation Teams	<b>T:</b> Via monthly meetings with project leads <b>F:</b> Monthly with project leads <b>D:</b>	<b>T:</b> Via monthly meetings with project leads <b>F:</b> Monthly with project leads <b>D:</b>	<b>T:</b> Monthly meetings with project leads and quarterly for program status report <b>F:</b> Monthly meetings and ad hoc as needed <b>D:</b>	<b>T:</b> Ad hoc meetings as needed within the team and quarterly for program status report and alignment across state agencies. Monthly for implementation of scope of work <b>F:</b> Meetings quarterly and as needed

KEY	
T	Type
F	Frequency
D	Decision

## IV. Reporting

### a. Program Status Reports

- i. Quarterly Reports
  1. Each member of the implementation team discusses program status with project leads.
  2. Project leads develop the project summary.
  3. Leads submit summary to RTT project manager.
  4. The RTT - ELC project manager create overall RTT- ELC Status Report.
- ii. Federal Annual Progress Report (APR)
  1. Highlights the successes and accomplishments, identifies challenges, and provides lessons learned from implementation
  2. Provides the legislative and executive branches, as well as the public, with information on the status of each project including the performance measures, goals, and targets outlined in the NM RTT - ELC application
  3. The APR is submitted to the federal project managers and then posted to the NM RTT–ELC website (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).

### b. Ongoing Monitoring Reports

- i. The goal of the ongoing monitoring system for the NM RTT–ELC is to ensure that the completed work is in compliance with the approved RTT - ELC application and scope of work. The monitoring process seeks to prevent system and implementation problems by proactively and frequently assessing each contractor and subcontractor’s work (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  1. Desk Monitor and Site Visit
    - A. NM RTT–ELC program staff are expected to conduct an on-site and/or desk program review of each contractor at least once per year.
    - B. The primary object during these reviews is to examine the contractor’s implementation of his scope of work, oversight of subcontractors, and support of participating agencies and local entities (State of New Mexico, “New Mexico Race to the Top Early Learning Challenge Reports”).
  2. Project Monitors
    - A. Once a month, the leadership team takes part in a conference call with the federal RTT - ELC project managers to discuss the state’s projects and progress towards correcting any program deficiencies.

### c. Technical Assistance Plan

- i. The leadership team is in communication with Early Learning Challenge technical assistance to develop and monitor grantee strengths and to recognize and alleviate challenges and needs.

## V. Appendix

<b>a. References.....</b>	<b>14</b>
<b>b. Meeting Schedule.....</b>	<b>14</b>
<b>c. Project Summary Report.....</b>	<b>15</b>
<b>d. Data Governance Manual.....</b>	<b>16</b>

## References

- Regenstein, E., and Lipper, K. "A Framework for Choosing a State-Level Early Childhood Governance System." Build Initiative, 13 Feb. 2013. Web. 21 Oct. 2104. <<http://goo.gl/4JhYyg>>.
- "Family Infant Toddler Interagency Coordinating Council." (n.d.): n. pag. New Mexico Department of Health. Web. 21 Oct. 2014. <<http://goo.gl/rSC3qX>>.
- "New Mexico Race to the Top—Early Learning Challenge Annual Performance Report." (2013): 1–115. State of New Mexico. Web. 21 Oct. 2014. <<http://goo.gl/j8d4Vc>>.
- "New Mexico Race to the Top—Early Learning Challenge Reports." (2014): n. pag. State of New Mexico.
- "New Mexico Early Learning Advisory Council." New Mexico Kids, 2014. Web. 14 Oct. 2014. <<https://www.newmexicokids.org/content/elac/>>.
- "New Mexico Race to the Top—Early Learning Challenge Appendix." (n.d.): 1–736. State of New Mexico. Web. 21 Oct. 2014. <<http://cyfd.org/docs/NM%20RTT - ELC%20APPENDIX.pdf>>.
- "New Mexico Race to the Top—Early Learning Challenge Final Narrative and Budget Phase 2." (2012): 1–62. State of New Mexico.

## Meeting Schedule

- I. Executive Team meetings are held once a month on a Thursday, from 10:00 a.m. to 11:00 a.m. Ad hoc meetings are scheduled as necessary.
  - a. Data Governance meetings are held once a month on a Thursday, from 8:00 to 10:00 am. Ad hoc meetings are scheduled as necessary.
- II. Leadership Team meetings are held every-other Thursday, from 8:00 to 10:00 a.m. Ad hoc meetings are scheduled as necessary.
- III. Project Lead meetings are held by the last Wednesday of every month.
- IV. Implementation Team meetings are held by the last Wednesday of every month.

# Project Summary Report

New Mexico—Race To the Top—Early Learning Challenge  
Project Summary Report 2016

(To be completed by the assigned project lead)

**Project:**

**Project Lead(s):**

**Date:**

Please provide a bullet summary in each section and include all sub-project areas (if applicable)

**Accomplishments / Innovations / Areas of Pride:**

**Challenges / Potential Areas of Concern:**

**Next Steps:**

**Technical Assistance Needs / TA Plan Status:**

**General Comments:**

# ECIDS—Early Childhood Integrated Data System

## Data Governance Manual

### New Mexico

**Prepared by**

**New Mexico Public Education Department**

**New Mexico Children, Youth, and Families Department**

**New Mexico Department of Health**

**Published: October 23, 2014**

**Updated: October, 2015**

**Updated: April, 2016**

**Updated: October 6, 2016**

**Version 4.0**

# Table of Contents

<b><u>Introduction</u></b> .....	<b>18</b>
<u>Purpose</u> .....	18
<u>Overview</u> .....	18
<u>Scope</u> .....	18
<u>Governance Roles and Responsibilities</u> .....	19
<u>Data Governance Committee</u> .....	19
<u>Data Technical Team</u> .....	19
<b><u>ECIDS Data Governance Structure</u></b> .....	<b>19</b>
<u>Model</u> .....	19
<b><u>Data Governance Committee</u></b> .....	<b>20</b>
<u>Mission</u> .....	20
<u>Data Governance Committee</u> .....	20
<u>Guiding Principles</u> .....	20
<u>Goals and Objectives</u> .....	20
<u>Scope and Responsibility</u> .....	21
<u>Membership</u> .....	21
<u>Data Governance Committee Members</u> .....	21
<u>Member Expectations</u> .....	21
<u>Decision-making Process</u> .....	22
<b><u>Data Technical Team</u></b> .....	<b>22</b>
<u>Mission</u> .....	22
<u>Guiding Principles</u> .....	22
<u>Goals and Objectives</u> .....	22
<u>Scope and Responsibility</u> .....	23
<u>Membership</u> .....	23
<u>Data Technical Team</u> .....	23
<u>Ad-hoc Subgroups</u> .....	23
<u>Member Expectations</u> .....	24
<u>Recommendation-making Process</u> .....	24
<b><u>Appendix</u></b> .....	<b>25</b>
<u>Important Terms</u> .....	25

# Introduction

## Purpose

The Data Governance Manual operationalizes the Early Childhood Integrated Data System (ECIDS) Data Governance Policy. The manual establishes in detail the structure, roles, responsibilities, membership, and those participants who will be held accountable.

## Overview

The Early Childhood Data Governance Committee is authorized to establish and enforce data governance standards and processes. Establishing a set of interagency policies and procedures, to ensure the responsible management and use of early childhood data, is a shared responsibility of multiple state agencies and entities. Data is a cross-agency asset. The importance of a single source of accurate, early childhood data emanating from the highest level of the departments for interdepartmental operations and reporting cannot be overstated. Organizations, policies, and procedures must be adopted, communicated, and enforced at all levels. The data governance standards and processes reflect alignment with the respective departments' strategic plans.

## Scope

The data governed by the ECIDS will be provided by the following state agencies—the New Mexico Public Education Department (PED), the New Mexico Department of Health (DOH), and the New Mexico Children, Youth, and Families Department (CYFD)—and address the key policy and program questions set forth by the executive leadership. The key activities governed by the policy are as follows:

1. Maintain confidentiality of all educational records as required under the Family Rights and Privacy Act (FERPA), 20 U.S.C. 1232(g).
2. Maintain confidentiality and security of all health records as required under the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191.
3. Store data received in a secure manner.
4. Review the related Memoranda of Understanding quarterly to assure that it is being operated in compliance with the requirements of this agreement. If any data security or privacy problems are identified, a report specifying the problems, solutions, and timelines for implementation will be developed cooperatively with personnel from all parties.
5. Ensure all guidelines and procedures developed under this policy/charter are followed.
6. Ensure that the studies conducted and/or systems created with the data are for, or on behalf of, the parties to improve instruction or agency services and that analysis and reports are shared with the respective parties prior to publication.
7. Ensure that no data is released or reported in any manner that allows the identification of any individual person, student, teacher, or school—unless explicitly approved in writing by the agency or agencies that produced, provided, or contributed to the specific data being released.

NOTE: This does not alter or replace the participating agencies' collection, reporting, and use of their own data in accordance with federal and state law.

## Governance Roles and Responsibilities

### *Data Governance Committee*

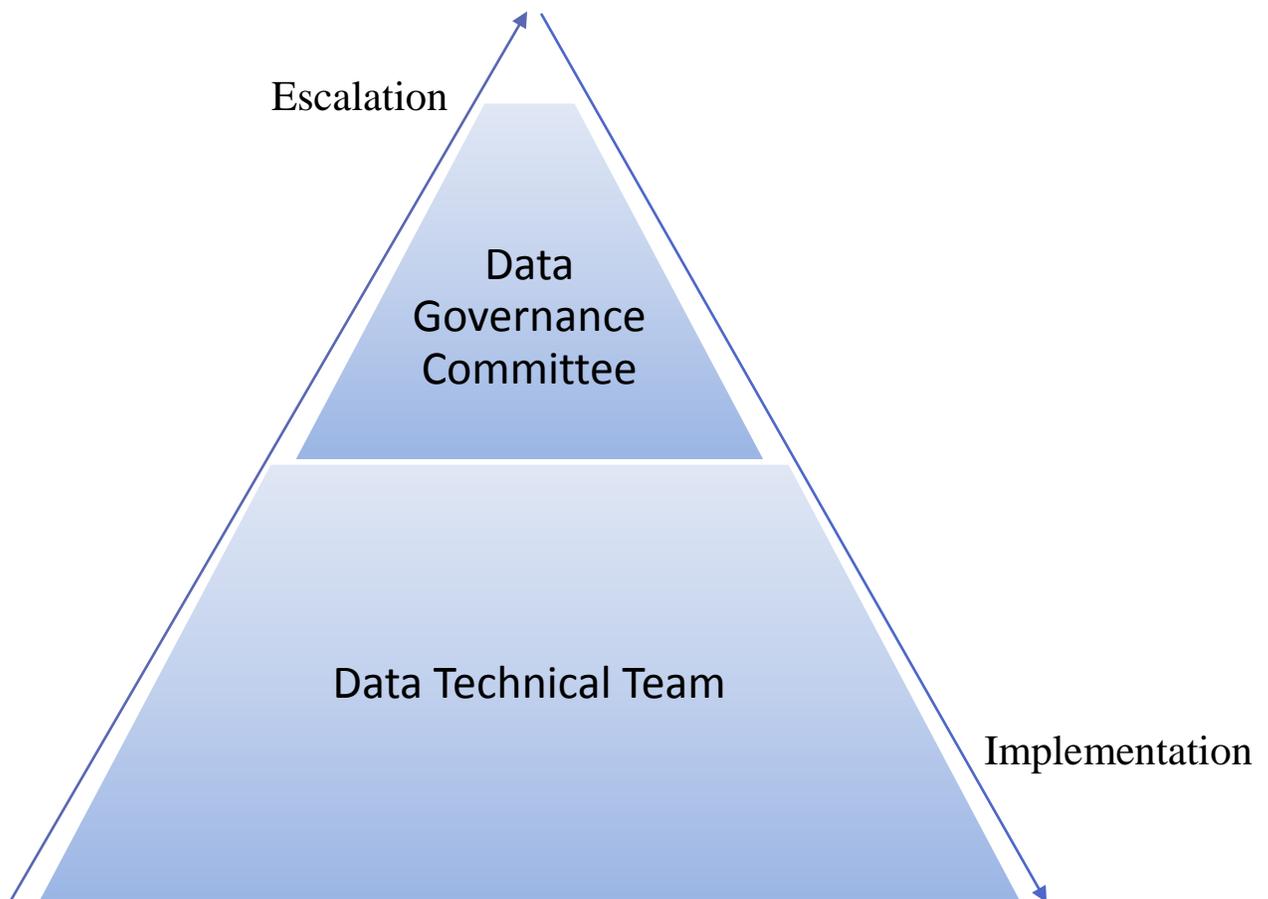
The Data Governance Committee is responsible for making decisions regarding policy implementation and operations for specific functional areas and participating in decisions requiring system-wide policy and operations for the ECIDS. This committee establishes and enforces data governance standards and processes. It also approves reporting generated from the shared data. The member representing each agency is responsible for ensuring that the applications they create capture and update data elements and include edit and validation checks to protect data integrity. This committee further establishes a set of interagency policies and procedures to ensure the responsible management and use of early childhood data.

### *Data Technical Team*

The Data Technical Team members from the participating state agencies and entities implement the policies and procedures at the operational level in their respective programs. They are responsible for reviewing requests from the Data Governance Committee and making recommendations about technical solutions that address those needs. They are also responsible for ensuring the technical feasibility of desired functionality.

## ECIDS Data Governance Structure

Model



# Data Governance Committee

## Mission

The Data Governance Committee provides direct oversight and leadership to the ECIDS data governance initiative, enforces policies related to ECIDS data governance, and provides guidance to the Data Technical Team. The committee's purpose is to maintain the integrity of the departments' data which is a shared responsibility for all of the agencies. Data is the departments' asset, and the importance of a collective system of accurate data from the highest level of the departments for departmental operations and reporting must be emphasized. Policies and procedures must be communicated and enforced at all levels. The Data Governance Committee reviews and makes decisions about the recommendations surrounding and design of the interagency systems.

## *Data Governance Committee*

The Data Governance Committee is responsible for making decisions regarding policy implementation and operations for specific functional areas and for participating in decisions requiring system-wide policy and operations for the ECIDS. The committee establishes and enforces data governance standards and processes. The committee approves reporting generated from the shared data. The member, representing each of the agencies, is responsible for ensuring that their applications that create, capture, and update data elements include edit and validation checks to protect data integrity. The committee further establishes a set of interagency policies and procedures to ensure the responsible management and use of early childhood data.

## *Guiding Principles*

The guiding principles of the Data Governance Committee include:

- Ethics and security are considered in every decision the group makes.
- Decisions are made to provide maximum benefit to the early childhood community as a whole.
- Members have the authority and commitment to make policy recommendations and decisions.
- Members maintain a statewide perspective rather than an individual agency view.

## Goals and Objectives

The Data Governance Committee goals and objectives include:

- Establishing and maintaining the strategic direction of the ECIDS
- Ensuring the sustainability of ECIDS through resources and funding
- Ensuring the effectiveness of the ECIDS data governance model
- Determining the ECIDS vision and priorities
- Improving data quality
- Ensuring the availability of the data necessary and appropriate to support the ECIDS purpose and goals
- Improving the understanding of early childhood data within the state
- Increasing access to, and use of, ECIDS' data to make program and policy decisions
- Ensuring that the data produced and distributed is reliable and consistent across all educational entities
- Ensuring compliance with state and federal privacy and security regulations
- Coordinating the interagency data system with other data sharing initiatives in the state

## Scope and Responsibility

- Ensuring continued commitment of resources
- Providing vision and direction for the Data Technical Team
- Identifying appropriate policy questions that can be addressed by the ECIDS system
- Ensuring confidentiality and security of all educational and health records
- Determining authorized users
- Creating unique identifiers
- Developing data storage
- Reviewing Memoranda of Understanding
- Complying with state and federal privacy and security regulation
- Coordinating data collection efforts
- Complying with data requests
- Resolving conflicts

## Membership

One member per participating agency/organization is included in the Data Governance Committee; the members are chosen based on the internal roles and responsibilities at their respective organizations. Data Governance Committee members have a thorough understanding of the policies and programs represented by the data in their agency or organization. The Data Technical Team facilitator or designee, although not a member, attends the Data Governance Committee meetings to provide assistance in the understanding of recommendation papers and to bring requests back to the Technical Team. Other participants are invited, based on a need for their expertise.

### *Data Governance Committee Members*

<b>Name</b>	<b>Title</b>	<b>Organization</b>
John Kraman	Chief Information Officer	PED
Victoria Gregg	Data Governance Coordinator	PED
Kathryn Cleary	IT Applications Developer	PED
Raymond Vigil	Data Manager	CYFD
Antoinette Ortiz	Data Unit Supervisor	CYFD
Andrew Gomm	Acting Bureau Chief	DOH
Jason Lavy	Program Data Manager	DOH

### *Member Expectations*

Data Governance Committee member expectations include:

- Attending and participating in scheduled Data Governance Committee meetings in person, by telephone, or by sending a designated representative
- Ensuring that appropriate resources (human and fiscal) from their agency or organization are allocated to support the work
- Ensuring that a true statewide focus is maintained
- Advocating for the ECIDS system to key stakeholders, including legislative representatives

- Reporting to the committee on agency data issues, new data regulations, and new policies affecting data provided to the ECIDS
- Communicating with their agency regarding activities and decisions of the committee
- Promoting and modeling appropriate uses of data to inform program and policy decision making
- Regularly evaluating data quality and enforcing data quality standards
- Bringing critical issues to the Data Governance Committee and proposing resolutions
- Identifying new data that necessitates inclusion in the ECIDS, including the purpose, source, definitions, and business rules
- Maintaining awareness of, and compliance with, all relevant state and federal privacy and security laws

## Decision-making Process

In the decision-making process, participants strive to reach a consensus. Confirmation of the decision can be made after the fact. The results are documented in meeting summaries.

## Data Technical Team

### Mission

The Data Technical Team members from the participating state agencies and entities implement the policies and procedures at the operational level in their respective programs. They are responsible for reviewing requests from the Data Governance Committee and for making recommendations about the technical solutions that address those needs. They are also responsible for ensuring the technical feasibility of desired functionality.

### *Guiding Principles*

The guiding principles of the Data Technical Team include:

- Ethics and security are considered in every decision the group makes
- Decisions are made to provide maximum benefit to the early childhood community as a whole
- Members have the responsibility to determine the necessary resources from their respective agencies/ organizations
- Members maintain a statewide perspective rather than an individual agency view

## Goals and Objectives

Data Technical Team goals and objectives include those to:

- Improve data quality
- Ensure that the data—necessary and appropriate to support the ECIDS’ purpose and goals—is available and timely
- Ensure comprehensive and accurate metadata is synthesized for all data within the ECIDS
- Improve understanding of each agency’s data among the ECIDS data governance groups
- Increase the use of ECIDS’ data to make program and policy decisions

## Scope and Responsibility

The scope and responsibilities for the Data Technical Team include those to:

- Identify systems of record for all ECIDS data
- Develop, maintain, and document ECIDS’ data definitions and other necessary metadata
- Provide the Data Governance Committee with recommendations (e.g., on data security, infrastructure, metadata, database maintenance, etc.)
- Implement decisions made by the Data Governance Committee
- Track changes in federal and state regulations involving data-element definitions and translate the impact of those changes for the ECIDS’ data system
- Ensure privacy, confidentiality, and security of data, as required by the state and federal privacy laws, such as the Family Educational Rights and Privacy Act (FERPA) and Health Insurance Portability and Accountability Act (HIPAA)

## Membership

At least one member per agency/contributing data system is assigned to the Data Technical Team by the Data Governance Committee; the members are chosen based on the internal roles and responsibilities at their respective organizations. Data Technical Team members have a thorough understanding of the data collected by their agency or organization, including definitions, intended purpose(s), and their system capabilities. Other participants will be invited, based on a need for their expertise. Data Technical Team members include roles such as business analysts, applications developers, and database administrators.

### *Data Technical Team*

<b>Name</b>	<b>Role</b>	<b>Organization</b>
Jason Lavy	Program Data Manager	DOH (FIT KIDS)
Chris Wenker	GIS Epidemiologist	DOH (Geocoding)
Colin Mitchell	Applications Developer	UNM (Home Visiting Vendor)
Erica Grong	Analyst/Programmer	UNM (PreK Vendor)
Kim Price	IT Project Manager	DOH (FIT KIDS)
Leroy Goats	Strategic Project Director	UNM (Home Visiting, FOCUS, and PreK Vendor)
Max Cordova	Data Analyst	CYFD (Data)
Raymond Vigil	Data Manager	CYFD (Data)
Subha Arulsevam	Applications Developer	CYFD (EPICS)
Suresh Penumatsa	Applications Developer	CYFD (EPICS)
Susan Coates	Database Administrator	The PED (STARS)

### *Ad-hoc Subgroups*

The Data Technical Team may create temporary, ad-hoc subgroups to address specific issues; these are usually led by the Data Technical Team facilitator. Depending on the issue, these subgroups may be comprised of Data Technical Team members or additional subject matter experts (SME) from any of the participating

organizations. The subgroup's recommendation or resolution is brought to the Data Technical Team for review and approval.

### ***Member Expectations***

The Data Technical Team member expectations include those to:

- Provide the most appropriate data from their agency source systems to support the accurate and effective implementation of the ECIDS system
- Regularly evaluate the quality of their source data going into the ECIDS
- Contribute their expertise in the content, context, and availability of their agency/organization's data
- Serve as a liaison between their organization and the ECIDS
- Bring back any data quality issues to their member agency/organization
  
- Communicate to the Technical Team any source data system changes and their potential impact upon the ECIDS data system
- Communicate any ECIDS data system changes and their potential impact on the source system to the member agency/organization
- Attend Technical Team sessions in person, by telephone, or send a designated representative
- Identify and engage organization's SMEs as needed
- For the team facilitator, bring issues and recommendations to the Data Governance Committee for review and resolution

### **Recommendation-making Process**

The recommendation-making process is consensus based. When consensus cannot be reached, majority vote determines the outcome. Virtual voting is permitted through WebEx, online meetings, or via conference calls. The outcome of a vote for a preferred option, and the discussions surrounding the analysis of different options, is documented in a recommendation paper. In order to preserve an environment encouraging the free discussion and contribution of each member, the individuals responsible for raising concerns or providing suggestions is not individually identified, but the concerns and suggestions are included in the paper. The draft recommendation paper is sent out for the entire group to review, and input is documented as amendments to the paper. When the group is satisfied with the paper, as determined by a second vote during a Data Technical Team meeting, the approved paper is forwarded to the Data Governance Committee for review.

# Appendix

## Important Terms

- **Data**—the electronic representation of discrete facts
- **Data collection**— the process of gathering and measuring information on variables of interest in an established, systematic fashion
- **Data Dictionary**—a repository that contains comprehensive information about departmental data
- **Data element**—a unit of data for which the definition, identification, representation, and permissible values are specified by means of a set of attributes
- **Data Managers**—staff that have operational-level responsibility for data capture, data maintenance, and data dissemination
- **Data request**— a standard public request for information (IPRA); a Freedom of Access Act (FOAA) request; a Freedom of Information Act (FOIA) request; or a request that is scheduled, recurring, or self-service
- **Data Users**—full-time and appropriately designated part-time employees and/or contract personnel of the state who access data in performance of their assigned duties
- **Departmental Data**—data that is acquired or maintained by an individual agency’s employees in performance of official administrative duties
- **Data Governance Team**—the committee that establishes overall guidelines for the management of, and access to, interagency data
- **Shared data**—a subset of departmental data that is made available to the interagency data set
- **System of Record**— an information storage system that is the authoritative data source for a given data element or piece of information