Workforce Data System: Data Governance and Management Checklist

Authority and Accountability	Thoroughly Defined	Mostly Defined	Somewhat Defined	Not Defined
1. The data governance structure delineates appropriate decision-making authority and accountability consistent with the uses of the data reflected in the purpose and vision.				
Formalized data governance structure specifies, in writing, who is authorized or assigned to make decisions about the data system.				
Information about data governance decision-making authority is communicated to staff and stakeholders (e.g., dissemination of organizational chart, policies and data sharing agreements).				
The data governance structure's authority is regularly reviewed and revised.				
All data-related responsibilities associated with the data system are clearly assigned to responsible and informed parties (e.g., data manager, data steward, data owner).				
2. Data governance authorizes staff or representatives to implement policies established for the data system.				
Data governance policies are developed with input from stakeholders and vendors.				
Policies are regularly reviewed and revised as needed.				
The data governance structure specifies that all data collected and maintained by the data system ensures adherence to governance policies related to data, regardless of where the data are located.				
A process is in place to allow staff or representatives to recommend policy changes to the data governance structure.				
All requirements (e.g., operational, research, reporting) for data are clearly defined to ensure oversight and accountability.				
An approval process exists, prior to implementation, for substantive data system changes (e.g., enhancements, business rules, technology changes).				
Documentation is updated to reflect data system changes (e.g., enhancements, business rules, technology changes).				
Procedures define how the data system reviews and implements changes in state and federal policy (e.g., new or revised data collection standard to meet reporting requirements).				
Data system operating procedures are communicated to staff and stakeholders.				

Note: This resource is derived from the DaSy Data System Framework. (http://dasycenter.org/framework/index.html)

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Quality and Integrity	Thoroughly Defined	Mostly Defined	Somewhat Defined	Not Defined
3. Data governance policies require the development and implementation of procedures to ensure the quality and integrity of data collected from participants.				
Policies require that data included in the data system are aligned with the purpose and vision of the system.				
Policies require procedures to ensure the validity of data.				
Policies require a point of contact for each data transfer or exchange.				
Policies require the development of data quality and integrity procedures.				
Policies require staff and contractors who collect, maintain, and/or receive data to participate in ongoing data quality and integrity training.				
Policies related to data quality and integrity of the data system are regularly reviewed and adjustments are made as necessary.				
Policies require that any internal or external program or agency maintaining and/or using data adhere to applicable data quality policies and procedures.				
Policies require that supporting documentation is available to ensure interoperability when transferring data to other programs or agencies (e.g., data dictionaries, data validation checks).				
4. Implementation of monitoring procedures and technical assistance to ensure consistent application of data quality and integrity policies.				
Communication is made regularly to data system users about data quality and integrity policies and procedures.				
Implementation of the data quality and integrity procedures is monitored regularly.				
Standardized training materials are available regarding procedures and responsibility fordata system quality and integrity operations.				
Adherence to data quality and integrity procedures when data are exchanged or transferred.				
The data system's data quality procedures are reviewed and revised periodically and as new needs arise (e.g., establishment of memorandum of understanding [MOU] with other existing early childhood data system or external research requests).				

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Security and Access	Thoroughly Defined	Mostly Defined	Somewhat Defined	Not Defined
5. Data governance policies require the development and implementation of procedures to ensure the security of the data from breach or loss.				
Security policies are in place and available to data system staff.				
Security policies adhere to all federal, state, and local laws, regulations, and standards.				
Security policies address all data system data collected, maintained, and/or used.				
Security policies require documentation that, at a minimum, includes the following:				
• Person(s) responsible for data security				
• Data training for authorized data users				
• Data storage method				
• Data back-up and recovery plan				
• Response to data breach protocol				
• Data transference protocol (e.g., agency to agency, email, FTP, texting, USB) that adheres to Security policies				
• Data encryption methodology				
• Data destruction protocol				
• Employee use of program equipment and personal devices				
• System Access Methodology				
Security policies require that staff and contractors who collect, maintain, or receive data participate in periodic training about data security.				
Security policies require that all internal or external entity or agency maintaining or using data adhere to all applicable security policies and procedures.				
Security policies are periodically reviewed and revised to address evolving technology in the market.				

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