Data Governance Tool Kit Guiding Framework

THE ANNIE E. CASEY FOUNDATION
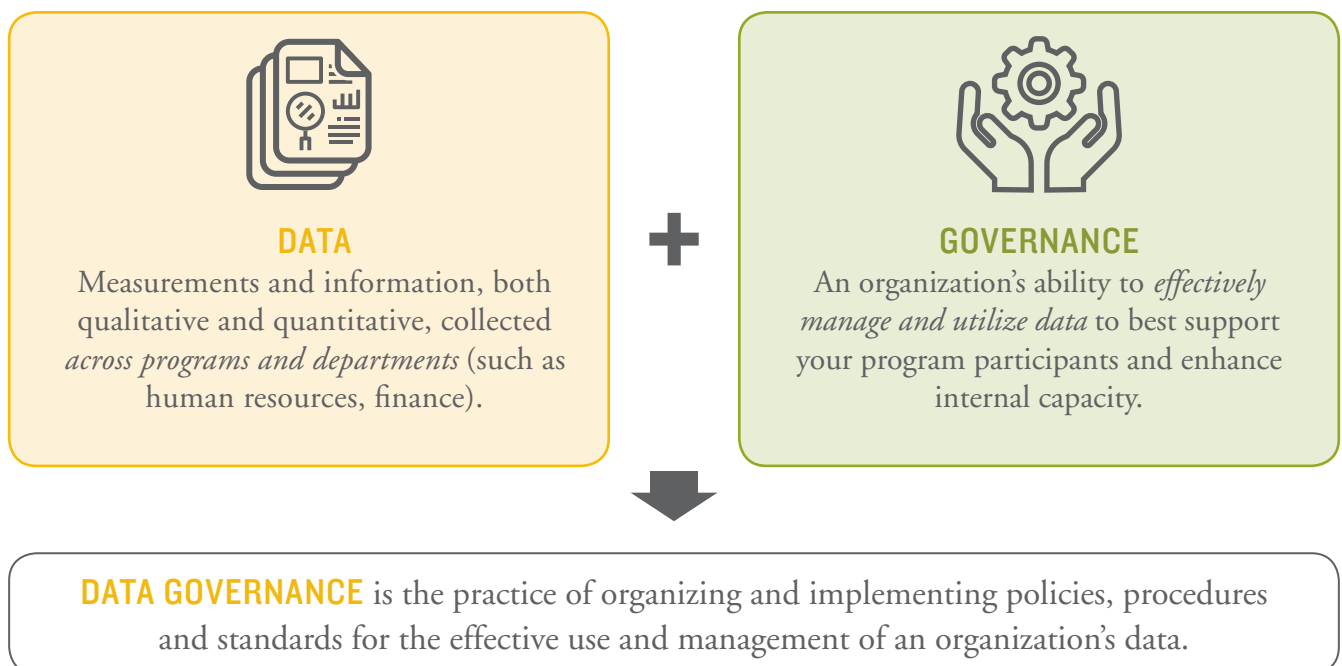
This document provides guidance on why, when and how to use *Data Governance for Two-Generation Programs,* the Annie E. Casey Foundation's data governance tool kit for programs serving families and children together. The tool kit is for nonprofit or social change organizations that support a community of program participants. Ideally, organizations that use the tool kit seek to better harness data in their programmatic decision making, funding strategy and service delivery.
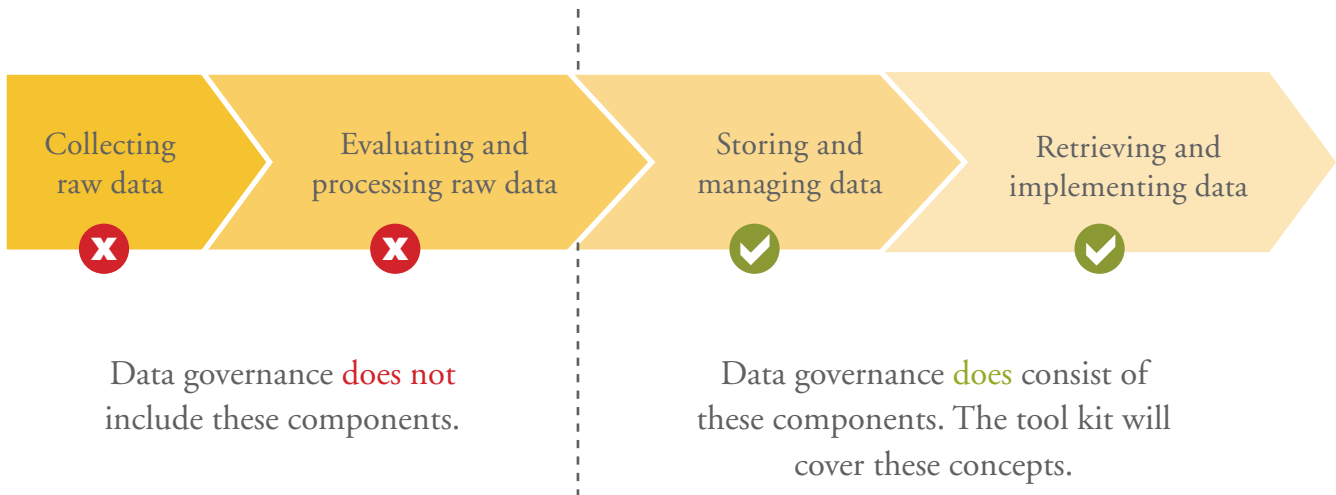
what

What do we mean by "data governance"?
Why use the tool kit?

The purpose of the data governance tool kit is to guide your organization in implementing institutional structures, identifying areas for systems improvement and developing personnel skills that are required to efficiently and actively harness data to support program needs. The tool kit includes a series of questions, activities and thoughts for discussion.

Throughout the tool kit, you will notice a significant emphasis on racial equity and inclusion (respect for the unique identities and concerns of those you work with) and security and confidentiality (responsibility toward protecting participants' information). Among several others, these are core values of a data governance protocol that aims to genuinely benefit your community of program participants.

DATA
Measurements and information, both qualitative and quantitative, collected *across programs and departments* (such as human resources, finance).

+

GOVERNANCE
An organization's ability to *effectively manage and utilize data* to best support your program participants and enhance internal capacity.

DATA GOVERNANCE is the practice of organizing and implementing policies, procedures and standards for the effective use and management of an organization's data.

Collecting raw data	Evaluating and processing raw data	Storing and managing data	Retrieving and implementing data
✖	✖	✔	✔

Data governance does not include these components.

Data governance does consist of these components. The tool kit will cover these concepts.

what does data governance include?

- ✔ Refining organizational practices with the ultimate focus on improving how data are managed and used.

- ✔ Creating a data governance protocol to institutionalize procedures and best practices required to optimize your organization's approach to productive and active data usage.

- ✔ Developing a data-driven culture to use data to strategically design programs, meet performance outcomes and integrate data meaningfully across departments and programs.

Ultimately, we hope that the data governance tool kit inspires action and fosters momentum in helping your organization develop a new data governance protocol or make meaningful changes to an existing protocol.

why

Why develop a
data governance protocol?

There are a number of reasons why your organization may want to use the data governance tool kit. These range from strengthening internal capacity to better serving program participants. Here are some of the key benefits:

WHY COMPLETE THE DATA GOVERNANCE TOOL KIT?

Easily and effectively present data to funders.

Improve organizational capacity and eligibility for large-scale grants.

Understand your data needs and communicate effectively to software/ hardware providers.

Identify building blocks for a data governance protocol, enabling systemwide change.

Enhance commitment to participants using responsible methods for data collection, storage and evidence-based solutions.

Build internal infrastructure to consistently share data throughout the organization.

Continually develop program design and efficacy using data.

Nurture a staff that can navigate data demands from funders and partners.

how

How can the tool kit's components
be most useful for your organization?

Throughout the tool kit, you will find detailed guidance, reference materials and targeted questions. These will provide ongoing direction and support as you complete the tool kit but are in no way rigid guidelines. When in doubt, refer back to this guidance document and discuss with your team how to apply the tool kit most effectively for your organization's needs.

OUTLINE OF PROCESS: FROM TOOL KIT TO PROTOCOL

Read guidance document.	Complete tool kit modules.	Review all compilation tasks.	Use compilation content as the key sections of your data governance protocol.

THREE KEY DIRECTIONS

1 ▸ BE FLEXIBLE

- Tailor the tool kit to your needs: If a particular component doesn't "fit" or meet your organization's needs, you may choose to adjust the activity (for example, the wording) and/or the time you spend on the activity.
- Make choices to pay attention to the data governance areas that stand out to your organization.
  - *Note:* Organizations are encouraged to complete all modules, though time and effort spent may vary between modules based on priorities.

2 ▸ USE RESOURCES

- Review the guidance on topics and questions that will be covered at the start of each module.
- Refer to the list of reference materials at the beginning of each module. These are intended to remind your team of the relevant knowledge and materials you may have already developed. Reviewing these materials will be helpful as you complete the module to follow.
- Review the glossary of key terms that pertain to data governance at the end of the tool kit. If you are ever in doubt about a particular term or want a deeper understanding of a data governance concept, you can refer to this glossary.

3 ▸ CREATE!

- Pay close attention to the takeaways (or compilation tasks) at the end of the first three modules and at the end of each component in the fourth module. These are the building blocks of your final data governance protocol.
  - Each module, as well as each of the six core components in the fourth module, can translate into the core sections of your data governance protocol (such as our data governance purpose, overall teaming strategy, our current priorities, data security, privacy and data collection).
  - The compilation tasks throughout the tool kit allow you to organize content for your protocol (including timelines and plans of action to accomplish your established priorities).
- Take notes in the designated spaces as you complete the tool kit.

the goal

After completing this tool kit, you and your team should walk away with a concrete plan.

- You will have identified the areas you want to develop, established priorities for when and how you want to go about implementation and consolidated the necessary support resources.

- You will then refine and compile what you have learned from these crucial modules into a data governance protocol.

remember

Data governance protocols must be revisited and revised regularly.

- Your organization's priorities may have changed, or you may have made capacity for more growth. It is important that your data governance protocol reflects these developments so that your organization can continue to harness data effectively.

- This tool kit is a sustainable resource that you can always come back to in order to reevaluate your strengths, needs and priorities for an up-to-date data governance protocol.

race equity + inclusion

This tool kit emphasizes race equity and inclusion, which are essential principles within any community development and support initiative. The tool kit integrates the core principles found in Casey's *Race Equity and Inclusion Action Guide*, three of which we underscore below.[1]

"**SYSTEMIC EQUITY** is a complex combination of interrelated elements consciously designed to create, support and sustain social justice. It is a robust system and dynamic process that reinforces and replicates equitable ideas, power, resources, strategies, conditions, habits and outcomes."

"**INCLUSION** is the action or state of including or of being included within a group or structure. More than simply diversity and numerical representation, inclusion involves authentic and empowered participation and a true sense of belonging."
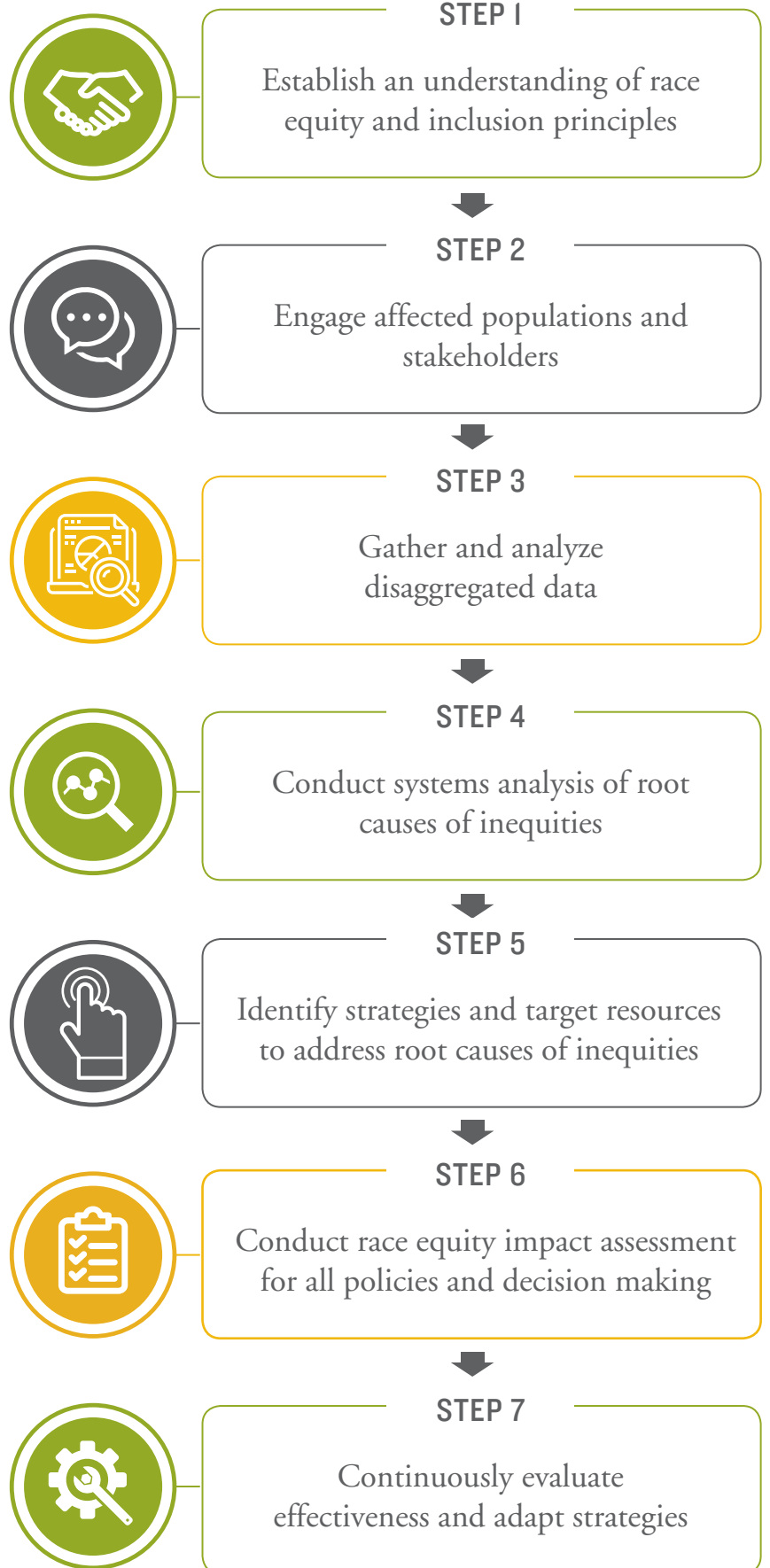
"**RACIAL JUSTICE** is the systematic fair treatment of people of all races that results in equitable opportunities and outcomes for everyone. All people are able to achieve their full potential in life, regardless of race, ethnicity or the community in which they live. Racial justice — or racial equity — goes beyond "anti-racism." It's not just about what we are against, but also what we are for."

With regard to data governance, upholding these core concepts means keeping in mind the identities, needs and best interests of the diverse communities supported. Depending on the context in which your organization operates, a particular community may have specific needs for data privacy and security, or require that special attention be paid to the way data are collected and stored, or have an interest in disaggregation of data to inform program development. To accomplish their mission, social justice organizations should be deeply embedded in the communities they serve and be aware of how diverse identities may shape the data governance needs.

[1]   The Annie E. Casey Foundation. (2015). *Race equity and inclusion action guide.* Baltimore, MD: Author. Retrieved from www.aecf.org/resources/race-equity-and-inclusion-action-guide

Within Casey's *Race Equity and Inclusion Action Guide*, you will find seven key steps to race equity and inclusion, represented on the right.

You and your team should review each of these steps, working together to discuss and reflect on the intention behind each one. As you undertake each step, note how it contributes to race equity and inclusion in your organization. Think about the ways your organization embodies these steps and principles on a daily basis, and bring that purpose with you as you complete the data governance tool kit.

STEP 1

Establish an understanding of race equity and inclusion principles

STEP 2

Engage affected populations and stakeholders

STEP 3

Gather and analyze disaggregated data

STEP 4

Conduct systems analysis of root causes of inequities

STEP 5

Identify strategies and target resources to address root causes of inequities

STEP 6

Conduct race equity impact assessment for all policies and decision making

STEP 7

Continuously evaluate effectiveness and adapt strategies

You may want to use the following guiding questions to facilitate your discussion:

how
will our data governance
policies and practices
affect each group?

are
all racial and ethnic groups
that are affected by our
data governance policies
and practices at
the table?

?
Based on responses to
these questions, what
revisions are needed in the
data governance protocol?

are
our data disaggregated
by race, gender and other
demographic variables?

how
will our data governance
policies and practices
be perceived by each
group?

When completing the data governance tool kit, make sure your discussions and motivations for change take into account the important steps and principles for race equity and inclusion.

tool kit overview

The tool kit will begin with an overall needs assessment that will help you identify your organization's main strengths and areas of improvement. In this way, you will be able to center your efforts on the key focal points that you and your team think are most pressing or beneficial for your organization as you continue the tool kit to develop your data governance protocol. The tool kit is designed to respond to a range of organizations' needs as well as offer targeted guidance to help your team develop specified practices for your protocol.

> ⚠ However, this also means that the tool kit is not an all-encompassing solution. There is no "one size fits all" method when it comes to developing a data governance protocol. We encourage you and your team to follow the tool kit in a way that best meets your needs.

NOTE

As you revise your protocol, you may want to dedicate more attention to components you previously did not focus on.

MODULE: GET STARTED

Purpose and Vision; Getting Ready

- Provides insight on the main principles within data governance, informing you of the main components within a data governance protocol.
- Supports you and your team in centering on a purpose, with regard to your data governance aims.
- Incorporates an overarching needs assessment for data governance related to database systems software and hardware, evaluation and program design.

DISCOVERY PHASE

- Auditing data systems
- Assessing readiness
- Conducting baseline survey
- Mapping of programs
  - Service and flow of families
  - Data points and pain points (when things are harder than they should be; systems bump up against each other; duplication of forms; data entry)

MODULE: BUILD YOUR TEAM

Data Governance Teaming Strategy

- Guides you through decisions about who needs to be involved in the data governance conversation and what roles and responsibilities respective staff members should have in this process.

PREPPING PHASE

- Selecting the team
- Setting priorities
- Developing shared language
- Determining a process

MODULE: NEEDS AND PRIORITIES

Data Governance Capacity Assessment; Setting Priorities

- Helps identify your organization's current capacity in technical systems, staff and policy impact.
  - You and your team also will identify areas for development in these fields, which you will bring into your data governance protocol.
- Guides organizations through setting priorities for performance measures and data-driven organizational results.
  - You will identify to what extent various components of data measures, outcomes and implementable uses are important for your organization, providing direction as you follow the tool kit.

PREPPING PHASE

- Selecting the team
- Setting priorities
- Developing shared language
- Determining a process

MODULE: THE SIX CORE COMPONENTS

The Six Core Components of a Data Governance Protocol

- There are six core components of data governance that you and your team can choose to work through:
  - data security and privacy;
  - data collection and quality control;
  - data change management;
  - staff training and retraining;
  - communications plan; and
  - stakeholder engagement.

- Each component begins with a mini needs assessment to help your team identify your present needs and capacity, so you can plan your time commitment.
- Each component ends with a compilation task, where you and your team will pull together what you have learned from completing the component. After you have completed the tool kit, this content will serve as the foundation for your data governance protocol.

COMPILATION PHASE

- Completing relevant sections of data governance tool kit

After each module, take a moment to collectively reflect on the areas of development you and your team have prioritized. This encourages deeper understanding of why you identified certain areas for change and will guide you in finalizing plans to make the changes.

ASSESSMENT PHASE

COMPLETE AFTER EACH MODULE

- Reviewing and celebrating progress
- Identifying what is actionable
- Revisiting priorities
- Sharing progress with relevant stakeholders

REVISION PHASE

- Revisiting and revising

Data Governance for Two-Generation Programs is designed to be a sustainable resource. Use it to continue to reevaluate your strengths, needs and priorities for an effective, ongoing and up-to-date protocol for data governance.

ABOUT THE ANNIE E. CASEY FOUNDATION

The Annie E. Casey Foundation is a private philanthropy that creates a brighter future for the nation's children by developing solutions to strengthen families, build paths to economic opportunity and transform struggling communities into safer and healthier places to live, work and grow. For more information, visit the Foundation's website at www.aecf.org. © 2019, The Annie E. Casey Foundation, Baltimore, Maryland