

# ACL Data Council

# Data Governance Standards Working Group

# Annotated Bibliography of Data Governance Standards, Frameworks, and Models and Their Application for ACL

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## Purpose

This annotated bibliography was developed by the Data Governance Standards Working Group of the ACL Data Council. Its purpose is to help ACL establish relevant parameters for ACL data governance standards that are based on and guided by existing Federal data standards, frameworks, and models (resources).

It is intended to be a practical tool to help ACL staff enhance their understanding of relevant Federal data guidance and how the guidance applies to ACL’s data governance standards at large and to data governance standards for specific ACL programs. It constitutes the foundation for the development of future products to help improve ACL data processes and standards.

## Content

The annotated bibliography provides guidance from nine federal resources. Each resource is listed on a separate page. At the top of each page, the title of the document and the lead agency for the resource is listed, followed by a link to the resource. Each page also includes three key sections for the resource: the purpose of the resource, how it applies to ACL at large, and if applicable, how it applies to specific ACL Centers or programs.

| Title: **The National Information Exchange Model (NIEM)** **Agency: Children’s Bureau, Administration for Children & Families** |
| --- |

**Where can I find it?**

* [National Information Exchange Model](https://www.acf.hhs.gov/cb/niem)

**What is the purpose?**

* Aprogram-driven, standards-based, flexible approach to exchanging information to support collaboration, coordinate service delivery, and improve outcomes for children and families
* Maintains a continually growing collection of standardized documentation, complete data exchanges, and individual data elements developed by programs to meet data exchange needs
* For states to reuse and modify existing products and develop and share new products

**How does it apply to ACL?**

* ACL may join the NIEM’s Human Services (HS) workgroup, which manages the HS domain; the HS domain provides a mature and proven process for managing a robust vocabulary for reuse across a number of data-sharing contexts, to create and encourage greater collaboration and service integration among programs and agencies
* Adoption of NIEM approaches to information exchange, as well as participation in the HS domain, could increase interoperability within ACL and across centers

**How does it apply to specific ACL Centers/Programs?**

* Provides a common language for projects with OPE regarding the development of performance measurement data and sharing data in ACL’s Data Presentation site (www.AGID.ACL.Gov)
* Can serve as a foundation as offices work with OIRM on data collection websites
* As offices work with other agencies to request data, can serve as a structure for starting those conversations (e.g., Predicting Risk of Adult Maltreatment; HHS Data use case related to employment)
* Centers that receive data from states’ data exchange protocols to assist with data sharing
* Centers can identify partners where implemented data sharing methods would enhance collaboration and improve outcomes for ACL’s populations

**Keywords:** Data sharing; Standardization; Definitions

| Title: **The Federal Government Data Maturity Model** **Agency: Executive Office of the President** |
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**Where can I find it?**

* [Federal Government Data Maturity Model](https://my.usgs.gov/confluence/download/attachments/624464994/Federal%20Government%20Data%20Maturity%20Model.pdf?api=v2)

**What is the purpose?**

* Helps agencies with a high-level assessment of current capabilities and supporting processes, helps with strategic communication between agency data professionals and agency leadership, and provides a common language and framework to help promulgate common solutions and best practices across Federal agencies toward advancing data-driven decision-making
* The model consists of six lanes, with five milestones each:

| **Table 1: Lanes and Milestones** | |
| --- | --- |
| **Lanes**   * 1. Analytics Capability   2. Data Culture   3. Data Management   4. Data Personnel   5. Data Systems and Technology   6. Data Governance | **Milestones**   1. Summary Reports 2. Descriptive Analytics 3. Diagnostic Analytics 4. Predictive Analysis 5. Cross-Functional Prescriptive Analytics |

**How does it apply to ACL?**

* May help ACL assess the current state of its data capabilities by determining where ACL’s capabilities lie on a continuum from low (=1) to high (=5) in six key areas (lanes)
* May help ACL identify future milestones for improving its data capabilities. The model can be applied at strategic time points to assess progress over time.

**How does it apply to specific ACL Centers/Programs?**

* OPE
  + May inform development of TA materials and toolkits, staff position descriptions and hiring priorities, IT acquisitions (software), and direction for strategic ACL initiatives
* AGID
  + Provides a common language to use across programs to aid data coordination and cross data set usability
  + Facilitates better contracting by focusing on the right elements to build improved data capacity through understanding the root causes for some data issues

**Keywords:** Maturity assessment; Data capacity; Data capabilities

| Title: **Federal Data Strategy 2020 Action Plan** **Agencies: Office of Management and Budget, Office of Science and Technology Policy, Department of Commerce, Small Business Administration** |
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**Where can I find it?**

* [Federal Data Strategy Action Plan](https://strategy.data.gov/action-plan/)

**What is the purpose?**

* Provides a common set of data principles and best practices in implementing data innovation
* Annual action plans identify and prioritize practice-related steps for a given year, along with targeted timeframes and responsible entities
* 2020 Action Plan identifies initial actions for agencies that are essential for establishing processes, building capacity, and aligning existing efforts to better leverage data as a strategic asset

**How does it apply to ACL?**

* Of the 20 expected actions to be accomplished by December 2020, five may be applicable to ACL

1. Identify Data Needs to Answer Priority Agency Questions: Utilize a learning agenda to identify and prioritize ACL’s key questions and the data needed to answer them.
2. Identify Priority Data Sets for Agency Open Data Plans: Assess and proactively address the procedural, regulatory, legal, and cultural barriers to sharing data with various stakeholders. Determine what will facilitate open formats.
3. Publish and Update Data Inventories: Contribute to Data.gov, whereby ACL publishes and updates its data inventories.
4. Improve Financial Management Data Standards: Improve management and use of financial data and accountability.
5. Develop Data Standards Repository: This will be developed government-wide, with communities, frameworks and schemas that ACL will follow to ensure data presented will be user friendly to technical and nontechnical users.

* ACL may provide feedback for the Action Plans that are produced annually

**How does it apply to specific ACL Centers/Programs?**

* OPE
  + Allocate statistical, performance management, research, and evaluation efforts to the most critical questions that address the aging and disability communities
  + Consider what is valuable to ACL’s various stakeholder audiences (OPE/OEA)
  + Consider whether appropriate language is included in ACL grants and contracts to have better control of data (OPE/Workgroup)
* OGM
  + Ensure results-oriented accountability for grants

**Keywords:** Innovation; Prioritization; Data capacity; Tools

| Title: **Grant Reporting Efficiency and Agreements Transparency Act of 2019** (GREAT Act), H.R. 150, 116th Cong. (2019-2020) **Agency: n/a** |
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**Where can I find it?**

* [GREAT Act](https://www.congress.gov/bill/116th-congress/house-bill/150/text)

**What is the purpose?**

* Modernize grantee reporting by creating and imposing data standards for required reporting
* Develop a “comprehensive taxonomy of standard definitions for core data elements required for managing Federal financial assistance awards''
* Reduce burden and compliance costs of grant recipients by enabling technology solutions to better manage the data that recipients already provide to the Federal Government
* Strengthen oversight and management of Federal grants and cooperative agreements by consolidating the collection and display of and access to open data that has been standardized and, where appropriate, increasing transparency to the public

**How does it apply to ACL?**

* The GREAT Act focuses on modernizing the government-wide grant reporting system with universal core data elements for Federal financial assistance awards; the data elements are defined by a standard-setting agency; since HHS may be designated as the standard-setting agency, ACL staff *could* be tapped to participate in selecting the core data elements for government-wide use
* One year after guidance is issued, ACL must
  + comply with data standards for future information collections requests, and
  + amend existing information collection requests to comply with data standards

**How does it apply to specific ACL Centers/Programs?**

* The core data elements and associated grant reporting system changes are not program specific nor will changes affect outcome measures; exceptions can be made for awards granted to Indian tribes and tribal organizations

**Keywords:** Grants; Reporting standards

| Title: Data Strategy White Paper **Agency: National Aeronautics and Space Administration (NASA)** |
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**Where can I find it?**

* [NASA Data Strategy White Paper](https://files.meetup.com/19117935/NASA%20-%20Data-Strategy-2015-03-17-White-Paper-Small.pdf)

**What is the purpose?**

* Establishes NASA’s strategy to synchronize and leverage the variety of emerging analytic work across the agency
* Forms the basis for NASA’s high-level data strategy, outlining notable challenges, examples, significant opportunities, and key recommendations on how the agency should proceed

**How does it apply to ACL?**

* Includes specific recommendations to address challenges that ACL faces.

1. Challenges: lack of an explicit data management framework, fragmented data lifecycle, and lack of data integration
   1. Recommendation: data management, unified data lifecycle, data governance program
2. Challenge: data expertise gap
   1. Recommendation: data fellows program
3. Challenge: need to effectively address culture and policy issues alongside technology
   1. Recommendation: data stewards who can support good data governance with specific data sets/data collection activities as well as among Center staff

**How does it apply to specific ACL Centers/Programs?**

* OIRM
  + Explicit data management framework may shape how OIRM develops and implements data collection systems
* OPE
  + Initiating a data fellows program open to internal and external applicants may both increase ACL data capacity and help ACL to identify new opportunities for data

**Keywords:** Governance strategy; Data management framework; Data governance

| Title: NIST Privacy Framework: A Tool for Improving Privacy Through Enterprise Risk Management (2020) **Agency: National Institute of Standards and Technology (NIST)** |
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**Where can I find it?**

* [NIST Privacy Framework](https://www.nist.gov/system/files/documents/2020/01/16/NIST%20Privacy%20Framework_V1.0.pdf)

**What is the purpose?**

* Provides a set of privacy protection strategies for organizations that wish to improve their approach to using and protecting personal data; also provides clarification about privacy risk management concepts and the relationship between the privacy framework and NIST’s cybersecurity framework
* Help organizations build better privacy foundations by bringing privacy risk into parity with their broader enterprise risk portfolio
* Consists of three parts
  1. Core: Privacy protection activities and outcomes
  2. Profiles: Current profiles and target profiles; used to identify gaps and communicate privacy risk management
  3. Implementation Tiers: reference points of organization privacy risk views and the current state of risk management

**How does it apply to ACL?**

* Beneficial for ACL’s state, contractual, and grantee partners who expect their interactions with ACL systems will not cause adverse consequences to their networks
* During new tool development: to create the privacy framework, NIST conducted public workshops, requests for information (RFI), requests for comments (RFC), webinars, and stakeholder interaction. ACL may use similar methods to engage our state partners and stakeholders
* Privacy risk assessments can help ACL understand in a given context the values to protect, the methods to employ, and how to balance implementation of different types of measures

**How does it apply to specific ACL Centers/Programs?**

* Can be applied by offices/programs as they submit performance data for presentation on AGID (e.g., CIL/ILS data)
* Can be used to develop standard operating procedures for privacy reviews and data certification

**Keywords:** Privacy; Risk

| Title: A Playbook in Support of the Federal Data Strategy. Getting Started on: Prioritizing Data Governance and Assessing Maturity (2019) **Agency: Office of Management and Budget (OMB)** |
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**Where can I find it?**

* [OMB Playbook](https://resources.data.gov/assets/documents/fds-data-governance-playbook.pdf)

**What is the purpose?**

* Supports the Federal Data Strategy by helping agencies get started with prioritizing data governance and assessing maturity
* Includes two “plays” to help agencies improve their organizational leadership for leveraging data as an asset and respond to the requirements of the Evidence Act; each play includes activities designed to build data infrastructure through data governance bodies and maturity assessments

**How does it apply to ACL?**

* ACL may adopt the playbook recommendation to conduct a data maturity assessment to analyze all aspects of ACL’s policies, procedures, and operations related to data and data infrastructure, including data governance, data management, data culture, data systems and tools, data analytics, staff skills and capacity, resource capacity, and compliance with law and policy; repeated regularly, the results will allow ACL to identify areas of improvement and to track improvements over time
* ACL may adopt the playbook recommendation to establish agency data architecture guidance, including a data inventory to help standardize data elements and systems; the agency data architecture guidance may help ACL increase standardization, reduce risk management activities, and eliminate data duplication and some of the burden on operations staff and data analysts

**How does it apply to specific ACL Centers/Programs?**

* ACL leadership can use results from a data maturity assessment to justify budget requests related to IT infrastructure
* Materials available at resources.data.gov can be used by OPE and OIRM to select a data maturity assessment to implement
* CMB can adapt policies relevant to data governance and management for ACL use

**Keywords:** Maturity assessment; Tools

| Title: P-20W+ Data Governance[[1]](#footnote-1) **Agency: Department of Education** |
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**Where can I find it?**

* [P-20W+ Data Governance](https://slds.grads360.org/#communities/pdc/documents/2717)

**What is the purpose?**

* Offers best practices for establishing and maintaining a P-20W+ data governance structure, including examples from states with experience setting up P-20W+ data governance and specific suggestions around establishing good data governance.

**How does it apply to ACL?**

* Provides specific steps that support good data governance from a state level; may provide an approach for improving data governance among ACL grantees
* Provides language for working with states and other grantees around data governance

**How does it apply to specific ACL Centers/Programs?**

* Program offices can share this information with grantees who are struggling with their own data governance

**Keywords:** Grants; Best practices

| Title: Data Governance Plan: Volume 1 – Data Governance Primer (2015) **Agency: U.S. Department of Transportation,** **Federal Highway Administration** |
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**Where can I find it?**

* [DOT Data Governance Plan](https://www.fhwa.dot.gov/datagov/dgpvolume%201.pdf)

**What is the purpose?**

* Provides a brief introduction to data governance and how it will be implemented within the Federal Highway Administration (FHWA)
* Provides an example for how one agency (FHWA) addressed data governance. It is intended to provide a brief introduction to data governance and highlight the framework and workplan for FHWA’s implementation of data governance.

**How does it apply to ACL?**

* The six data governance goals and objectives may provide a framework for ACL for retrospectively looking at data governance for ACL programs.

1. Leadership
2. Quality
3. Prioritization
4. Cooperating
5. Flexibility
6. Utilization

**How does it apply to specific ACL Centers/Programs?**

* NIDILRR
  + At msktc.org, NIDILRR’s Model System (MS) houses data sets for the TBI, SCI, and burn programs. Due to the sensitive nature of data sets, they can be requested by the public, but go through a review by project directors for relevance. The FHWA framework can be used to retrospectively evaluate data materials for MS data sets for leadership, quality, prioritization, cooperating, flexibility, and utilization.

**Keywords:** Data Governance; Prioritization; Case study

1. P-20W+ refers to data from prekindergarten (early childhood), K12, and postsecondary through postgraduate education, along with workforce and other outcomes data (e.g., public assistance and corrections data). [↑](#footnote-ref-1)