



Maximizing Parental Choice and Knowledge of Options for Child Care through an Online Portal

Parent Portal Summary Report

Table of Contents

I.	The Parent Portal: A Legislative Mandate	2
II.	Methodology	3
III.	Requirements Gathering	4
IV.	Parent Portal Eligibility Screener	9
V.	Gap Analysis	10
VI.	Recommendations	13
VII.	Budget	16

Appendix

1.	ECIDS Webinar Report	A-1
	a. Meeting 1	
	i. Meeting 1 Notes	A-103
	ii. Meeting 1 Q&A	A-113
	b. Meeting 2	
	i. Meeting 2 Notes	A-119
	ii. Meeting 2 Q&A	A-125
	c. Meeting 3	
	i. Meeting 3 Notes	A-130
	ii. Meeting 3 Q&A	A-138
2.	Parent Portal Workgroup Participating Organizations	A-140
3.	Parent Portal Focus Group Notes	A-141
4.	User Research	
	a. CCCR&RN Survey	A-148
	b. CCCR&RN Listening Session Summary	A-150
	c. SVCF Design Research Findings	A-163
	d. CCCR&RN Focus Groups Summary	A-198
	e. California Blue Ribbon Commission	A-208
	Parent Perspective on Child Care in California	
5.	Great Schools Budget Documentation	A-265
6.	Mission Minded Key Messages	A-281
7.	State Child Care Search Services Comparison	A-315
8.	IT Requirements for Contractors	A-317

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I. The Parent Portal: A Legislative Mandate

California Assembly Bill (AB) 2960 passed in September 2018, creating a legislative mandate to ensure that parents and families have access to timely, accurate information about high-quality Early Learning and Care (ELC) programs and how to enroll their children. AB 2960 requires the State Superintendent of Public Instruction (SSPI) to develop an online portal for California’s comprehensive child care and development services on or before June 30, 2022. The portal – referred to as the “Parent Portal” – must be hosted by the California Department of Education (CDE) and available to the public, to ensure that every family has access to current and robust information on the state’s vast array of ELC services. AB 2960 requires the Parent Portal to include, at a minimum:

- Information on ELC programs and eligibility requirements;
- The opportunity to connect with local Resource and Referral (R&R) agencies;
- The opportunity to connect with local ELC providers;
- The ability to use an online eligibility screening tool to assess eligibility for ELC services;
- A way to connect with local R&R agencies and Alternative Payment providers to help with assessing and selecting child care options; and
- Access to placement on waiting lists for subsidized child care programs.

When AB 2960 passed, the CDE was already in the process of planning and developing a consumer education website, called mychildcareplan.org, to help parents across the state find child care in their local areas. The State has continued to support efforts to implement mychildcareplan.org by July 2020, with an interest in determining whether the site would be able to fulfill the intent and requirements of AB 2960.



Through this report, the Early Learning Lab, a project of New Venture Fund and subcontractor to the Santa Clara County Office of Education (SCCOE) is providing recommendations for the development of the Parent Portal to fulfill the requirements of AB 2960 and meet the needs of parents, providers, and other stakeholders who will use the site. The recommendations were developed in a multi-step process that involved:

Gathering requirements for the Parent Portal. These requirements came from the mandates of the bill itself; user research with parents and child care providers; and the recommendations of the Parent Portal Stakeholder Workgroup, which was a requirement of AB 2960. Please see Appendix 2 for a list of the organizations participating in this workgroup.

Conducting a gap analysis of mychildcareplan.org to determine what, if any, further development would be required to comply with AB 2960.

Developing short-term and longer-term recommendations for the development of the Parent Portal.

Our overall finding is that mychildcareplan.org has created an excellent foundation for the development of a platform to ensure that parents and families have access to timely, accurate information about high-quality ELC programs and how to enroll their children. However, compliance with AB 2960 will require taking action on the following short-term recommendations:

1. Leverage and implement an eligibility screener
2. Address the complexity of the waitlist problem
3. Initiate compliance with CDE technical, security, and privacy requirements

Beyond compliance with AB 2960, the following are longer-term recommendations for CDE to consider working toward, based on input and feature requests from parents, providers, and the Parent Portal Stakeholder Workgroup:

1. Include additional content and data about programs
2. Plan for ongoing platform improvements and enhancements
3. Reach out to parents and incentivize all stakeholders

These short- and long-term recommendations are more fully discussed in Section VI.

II. Methodology

The Early Learning Lab convened and worked with the Parent Portal Stakeholder Workgroup to develop its recommendations for the Parent Portal. The Parent Portal Stakeholder Workgroup was asked to provide input and review the work of SCCOE and the Early Learning Lab in three meetings.



In addition to working with the Parent Portal Stakeholder Workgroup, the Early Learning Lab:

Reviewed and synthesized user research from the California Child Care Resource & Referral Network (CCCCR&RN), which was used to inform the development of mychildcareplan.org, and the Silicon Valley Community Foundation, who conducted user research in San Mateo County with parents to better understand their pain points and opportunities when looking for child care, as well as child care providers – the two main end-users for the Parent Portal. Please see Appendix 4 for the documentation of this user research.

Conducted original user research, including facilitating a design session with members of the Preschool Development Grant (PDG) Parent Group, to better understand the mindsets and behaviors of low-income parents looking for child care. Please see Appendix 3 for additional details.

Researched parent portals and eligibility screeners from other states, in an effort to understand best practices for both types of online services. Please see Appendix 7 for a comparison chart of features from other statewide parent portals. In addition, please see Section III for key lessons from the review of other states' Parent Portals.

Conducted a gap analysis of mychildcareplan.org to better understand how it needs to be developed in order to comply with AB 2960. Please see Section IV of this report for more information about the findings from the gap analysis.

III. Requirements Gathering

Requirements for the development of the Parent Portal came from multiple sources, including the text of the bill; previous user research with parents and child care providers; new user research with low-income parents; input from the Parent Portal Stakeholder Workgroup; and analysis of best practice examples of parent portals and eligibility screeners from other states.



AB 2960

The text of the bill is brief, but it includes the following requirements for the development of the Parent Portal on or before June 30, 2022:

- It must be hosted by CDE and be available to members of the public
- It must provide “*current* and robust information regarding the state’s vast array of child care and development *services*” including:
 - Program and eligibility information
 - The opportunity to connect with resource and referral (R&R) agencies
 - The opportunity to connect with providers
 - The ability to use an online eligibility screening tool to assess eligibility for services
 - A way to connect with local R&R agencies and Alternative Payment providers to help with assessing and selecting child care options
 - Access to placement on waiting lists for subsidized child care programs

Note that certain terms contained within the bill are undefined, but their definition will have significant implications for the development and operation of the Parent Portal. These include the terms “*current* and robust information” and “assess eligibility for *services*.”

- “*Current* and robust information”: How often child care program information, including the availability of slots, should be updated is not specified in the bill. In the version of mychildcareplan.org that will launch in July 2020, child care program information is set to be updated quarterly. However, user research with parents indicates that this frequency is not sufficient for the Parent Portal to be useful. Parents have indicated that they would like program information, especially the number of available slots, updated dynamically or daily.
- “Assess eligibility for *services*”: The bill does not specify which services, apart from subsidized child care, should be included in the eligibility screener. It can be expected that the complexity of the eligibility screener will increase with an increase in the number of services and agencies included in the screener

User Research



The Early Learning Lab was able to gain access to user research previously conducted by CCCR&RN to inform the development of mychildcareplan.org and the Silicon Valley Community Foundation, to better understand the user experience of parents and child care providers when searching for child care. Please see Appendix 4 for the full reports on this user research. In addition, on November 18, 2019, the Early Learning Lab partnered with Parent Voices to convene members of the PDG Parent Group in Sacramento for a three-hour user design session to better understand the parents’ experience searching for child care and to get their input into the design of the future eligibility screener and the consumer education portion of mychildcareplan.org.



Key insights from the user research are:

Frustration with waitlists and using subsidies: In general, parents feel frustrated and confused by the ELC system and most particularly with the waitlist process. Families want clear information about ELC providers' waitlists and an indication of how long they might have to wait before a space opens up. The current lack of transparency with the waitlist process is very frustrating for parents, who often refer to the waitlists as “hopeless lists.” In addition, parents said that they encounter many barriers to accessing current information on available ELC programs and enrolling their children, particularly when they are trying to use child care subsidies.



- Many parents worry that the complex paperwork required to process subsidies is a disincentive for ELC providers to provide subsidized child care, which will reduce the availability of subsidized care even further.
- Providers also express frustration with waitlists. They would prefer to be able to easily predict when a slot for a particular child will open up, rather than feel as if they were leading families on. This is much more complex than it sounds because providers offer a number of programs (i.e., part-time, full-time) and have different requirements for children of different ages.

Availability of care: Parents' number one priority is finding someone who can provide care when they need it, including during non-traditional hours (evenings, weekends), without having to contact every provider to inquire about availability.

Quality: Families value quality when looking for child care, but rely on word of mouth to assess quality more than published Quality Rating and Improvement System (QRIS) scores.

Desired features of a Parent Portal: An online portal could make life easier for parents, as long as it's designed to give them a stellar experience when they engage with it. In today's fast-paced world of on-demand information, that means the online portal needs to provide parents with:

- Easy-to-navigate information that they can understand;
- A central hub of up-to-date information on ELC programs, including parent reviews, enrollment information, openings, waitlists, options for financial aid, etc.;
- Mobile-friendly access in a variety of languages;
- A way to ask questions and get accurate answers quickly, either via the Parent Portal or through a local R&R agency; and
- Simple processes for finding, applying for, and enrolling in ELC programs, particularly subsidized child care. This includes the ability to store paperwork so parents are not required to fill similar application forms out for each provider.

In addition to these insights from parents, we synthesized research from child care providers who also expressed frustration with the waitlist situation.



Input from the Parent Portal Stakeholder Workgroup

The Parent Portal Stakeholder Workgroup was comprised of stakeholders from across the state of California. (Please see Appendix 2 for the full list of organizations.) The workgroup met three times to discuss five major topics:

1. Program and eligibility information to include on the Parent Portal
2. Connecting the Parent Portal with resource and referral agencies and providers
3. Development of the online eligibility screening tool
4. Linking to local child care resource and referral agencies and Alternative Payment programs for additional assistance in selecting and assessing child care
5. Parental access to placement on waiting lists for subsidized child care programs

The first meeting (June 28, 2019) and third meeting (November 21, 2019) were held in person in Sacramento, while the second meeting (October 29, 2019) was held virtually to encourage wider participation from stakeholders who were not able to travel to Sacramento to attend in person. Key insights and outcomes from the meetings were:

- The workgroup would like to see parent insights be a high priority in the development process, including working with parents from a diverse set of backgrounds.
- The workgroup helped identify and prioritize the information fields that will be presented to parents when searching for providers on the portal.
- The workgroup provided insight and expertise around the challenges of creating eligibility screeners and the problems with working across different agencies when assessing eligibility for multiple services.
- The workgroup reviewed the gap analysis of mychildcareplan.org and agreed that the site largely meets the requirements of AB 2960.
- The workgroup reviewed a statewide parent survey and agreed to assist with dissemination.
- The workgroup reviewed the outline of this report and offered feedback on the structure.

Analysis of Best Practices from Other States and Private Services

The Early Learning Lab scanned other online child care finding services and eligibility screeners from other states in an effort to understand best practices and key design elements that should be included in the Parent Portal. A comparison chart of different features that are commonly included in other states' online child care finding services can be found in Appendix 7. The Early Learning Lab also looked at the feature set and design of privately developed resources to help parents find child care, including Winnie.com, a national platform that helps parents find child care in their local area and WeeCare, another national service that connects parents to child care providers in their local area.



Online Portals from Other States

Every state has a different approach to creating an online portal for parents to find child care. All states present basic program information, but there is a wide variance in the content they offer. For a comparison of content provided, see Appendix 7. Vermont stood out as the only state that provides information on the availability of slots. However, it is unclear how often this information is updated.

Another differentiating factor for the websites was usability. Many of the sites were very difficult to use. For example, New York has a central website that links out to seven different, regional search portals, which made it difficult to get a holistic picture of child care in the state. West Virginia's portal was also difficult to use because it did not have sufficient filtering options to narrow down the provider and find the best fit for the user. Other states like Connecticut had more user-friendly portals that helped take some of the burden off families by offering a comparison feature that allowed consumers to look at the services offered by two or more facilities at the same time.

Private Child Care Search Services



In our conversations with the developers of Winnie.com, we learned their main challenge was obtaining data on child care programs. They mainly operate by scraping any publically available data they can find and uploading that data into their system. In addition, they leverage parents to do outreach to providers and convince them to create a listing on Winnie.com to help market their programs. Winnie.com serves all parents, including middle-class families that can pay market rates for child care, but they do not provide information on child care subsidies or assistance with determining eligibility for subsidies or other services.

Like other platforms, Winnie.com struggles to obtain data on the availability of slots for the programs they list. Their solution, when they have mobile phone information for the providers, is to text the providers periodically to see if they have available slots. The providers simply reply 'Y' or 'N' and the Winnie.com staff can update the listing accordingly. Winnie.com also seems to spend significant resources on the marketing of their site, and they have built a consumer-friendly brand.

Other privately developed child care finding services, such as WeeCare and Wonderschool, provide incentives and backend services for providers that maintain their listings on their services, such as enrollment and tuition management services; assistance with licensing; marketing services; insurance coverage; communication tools for use with families; and even professional development services.

Further in this report, we recommend that the State consider also providing such services to providers to incentivize their use of the Parent Portal.

Our scan of child care finding services from other states and from the private sector led to the following insights that should inform the design and development of the Parent Portal:

Usability: It is important for the site to be user-friendly and easy to navigate. Modern parents expect consumer-level, design-forward web experiences.

Branding: Marketing and a strong, trustworthy brand are necessary to attract families in a competitive market.

Incentives for all users: It is essential for the Parent Portal to provide incentives for all users of the platform, including parents looking for child care, providers who are offering child care, and the other entities who are responsible for uploading and maintaining the data that feeds into the Parent Portal.

Connections to local resources: The Parent Portal will be able to differentiate itself from other platforms by leveraging the relationships with local entities that can provide additional support for parents, particularly low-income parents who need assistance accessing and using child care subsidies.

Availability of data: The Parent Portal has a competitive advantage over private entities due to CCCR&RN's access to information on child care provider data in each county. However, it should be noted that once the Parent Portal is online and the information is publically available, private entities may be able to access the information.

IV. Parent Portal Eligibility Screener

The eligibility screener is intended to be a centralized service through which parents and families are able to connect with all of the subsidized services for which they may qualify. The eligibility screener can serve to connect a variety of state and local services and create an opportunity for interoperability between agencies. Under the current system, it is challenging to identify all of the services for which a family may be eligible.

During the PDG parent design session co-hosted by the Early Learning Lab and Parent Voices, and the Parent Portal Stakeholder workgroup meetings, a number of relevant concerns arose about a potential eligibility screener. Parents want to know which programs they may be eligible for, as well as the full list of subsidized programs so they can know which other subsidies they may become eligible for if their circumstances change.

For example, one parent wanted to know whether she would lose access to her current child care subsidy if she enrolled in a community college program. Parents also wanted a central place to store their documentation and applications for subsidized services, so they can easily share that information without re-entering it each time.

It should be noted, however, that the eligibility screener is only meant to determine which subsidized services a user may be eligible for. It is not meant to make an actual eligibility determination. As such, while the user of the screener would be required to input unverified information on their income and other personal and demographic information, parents would not upload and share actual documents when using the screener.



Many other state and local eligibility screeners ask simple questions and provide users with a list of agencies to contact. When we reviewed these screeners in our PDG Parent Group design session, people liked that they were short and easy to use, were mobile-friendly, and had chat options that allowed them to get help if needed.

The local NYC eligibility tool is very easy to use both on web and mobile. One issue with the NYC tool is that the results are presented alphabetically instead of based on relevancy according to the information provided in the screener. In California, the Department of Social Services has an exemplary process for connecting users with services. It evaluates eligibility for a select number of services, but is very comprehensive and lets users control how much personal information they provide at any given time. It also has tools for connecting users with assistance should they require it.

Parent Portal Stakeholder Workgroup members brought up concerns about ensuring that the eligibility screener was built in coordination with other screeners from state- and county-level agencies. Workgroup members expressed a desire to see one screening tool that can be accessed from many places, while also cautioning that it may be difficult for multiple agencies to share personal data due to privacy restrictions.

Our Recommendation

The California Department of Social Services has screening tools in place with MyBenefits CalWIN for many local and statewide services, including eligibility for CalWORKS, which offers subsidized child care services, but it does not currently provide information on subsidized child care for low-income families who are not eligible for CalWORKS. There is an opportunity for the Parent Portal eligibility screener to be built off the backend of MyBenefits CalWIN or build in conjunction with it, so there can be one eligibility screener that parents can use to understand if they may be eligible for a range of subsidized child care services, rather than having to use multiple screeners.

The proposed creation of a new Department of Early Childhood Development within Health and Human Services could further strengthen this recommendation that MyBenefits CalWIN be expanded to include information on eligibility for all subsidized child care services in the state.

V. Gap Analysis

According to Assembly Bill 2960, the State Department of Education is responsible for providing access to a full range of supervision, health, and support services through full- and part-time programs. The bill specifies that information about these programs must be accessible to the public through an online portal. The site must include “components to link parents to local child care resource and referral agencies and alternative payment programs for additional assistance in selecting and assessing child care and to place parents on waiting lists for local subsidized child care programs for which subsidized slots are not readily available.”

The Early Learning Lab, along with other partners working with SCCOE, conducted a gap analysis to better understand if mychildcareplan.org currently meets the requirements for AB 2960 as well as additional desired features identified through user research and Parent Portal Stakeholder Workgroup recommendations, and, if not, how the site needs to be developed to meet these requirements. The following are the results of the gap analysis.



Access to Program Information

Overall, mychildcareplan.org appears to meet most of the requirements of AB 2960 and address the desired features identified by parents and the Parent Portal Stakeholder Workgroup. Some modest additions are likely to be needed, as described in the table below.

AB 2960 Parent Portal Requirements	mychildcareplan.org
Program and eligibility information	<p>Program information is present.</p> <p>Eligibility information is present but may need to be revised.</p>
Opportunity to connect with R&R agencies and providers	<p>Provider information is present.</p> <p>Need to add tab to include R&R information, including geographic area covered by the R&R agency.</p>
Ability to use an online eligibility screening tool to assess eligibility	<p>A platform exists to build the screening tool, but eligibility screener with essential data elements (including income and assets information) will need to be developed to ensure that mychildcareplan.org meets the requirements of AB 2960.</p>
Link to local child care R&R agencies	<p>Each of the local R&Rs will get their own landing page with key information.</p> <p>A sidebar provides the option for parents to contact their local R&R, which will also help build awareness of local R&Rs and the services they provide.</p>
Link to alternative payment programs for additional assistance in selecting and assessing child care	<p>Program tab is present.</p> <p>Need to add different types of programs.</p>
Access to placement on waiting lists for local subsidized child care programs	<p>Information tab is present, but functionality needs to be built to enable parents to add children to waiting lists.</p>

Mychildcareplan.org includes a search tool for finding programs. Using information from local R&Rs, it provides insight into licensed and legally license-exempt providers, including public and private center-based care providers as well as family child care homes. Families will be able to access the following information about providers through the site:

- Accreditation
- Ages of children served
- Capacity
- Contact information
- Languages spoken
- License information
- Educational philosophy
- Program type
- Quality improvements
- QRIS score
- Schedule
- Special needs qualifications
- Transportation
- Type of care
- Vacancies (with time stamp)

As mychildcareplan.org continues to be developed and enhanced, whether before or after the initial launch in July 2020, CDE may want to consider adding the following features, in response to requests made by parents and members of the Parent Portal Stakeholder Workgroup:

- Ability to determine the availability of slots directly from the Parent Portal rather than having to call each provider
- Curriculum
- Student-to-teacher ratios
- User reviews/recommendations
- Availability of short-term or emergency care
- Whether a provider offers meals or diapers
- Daily schedules
- Licensing violations (and their resolution)
- Whether staff have training on supporting children with special needs
- Types of financial assistance accepted
- Regulatory status (licensed vs. exempt)
- Support for training dual language learners
- Languages spoken in the facility
- Philosophy of the provider
- Certifications and educational background checks

Eligibility Screener

An eligibility screener will need to be developed to ensure that mychildcareplan.org meets the requirements of AB 2960.

Access to Local R&R Agencies

One required component of the Parent Portal is the ability to “link parents to local child care resource and referral agencies and alternative payment programs for assistance in selecting and assessing child care.” Our user research revealed that many families are overwhelmed by the complex enrollment process that providers require,



particularly if the parents are trying to use subsidies. Many parents are also unaware of the resources available through their local R&Rs. This is why clear connections to local R&R agencies, who can help parents navigate the complicated process of finding child care and accessing subsidies, is critical.

On mychildcareplan.org, each of the local R&Rs will get their own landing page that contains standard information, including their address, contact info, website, and hours of operation. R&Rs will also have the opportunity to configure components of the page to provide additional information about the specific programs and services they offer in their local communities. They can add information about languages their staff speak, social media profiles, programs they offer to the community, events, announcements, and photos.

Along with each R&R having its own landing page, there will also be a structural component on the site that helps parents connect with their local R&Rs when they need more support. When parents are searching on the site, there will be a sidebar with an option to contact their local R&R, which will also help build awareness of local R&Rs and the services they provide, addressing the insight from our user research that many parents do not know what an R&R agency is. This handoff from the website to the local R&R agency is an example of a hybrid high-tech, high-touch approach that is particularly helpful when users are trying to navigate complex processes.

VI. Recommendations

Mychildcareplan.org has created an excellent foundation for the development of a platform that ensures that parents and families have access to timely, accurate information about high-quality ELC programs and how to enroll their children. This section will lay out the near-term and longer-term recommendations to expand upon the existing site to transition it into a robust platform that supports all of the stakeholders across the early learning and care sector.



Near-term Recommendations for Compliance with AB 2960

1. Leverage and implement an eligibility screener
2. Address the complexity of the waitlist problem
3. Initiate compliance with CDE technical, security, and privacy requirements



1. Leverage and implement an eligibility screener

A key factor in compliance with AB 2960 is the inclusion of an eligibility screener so parents can understand if they may be eligible for child care subsidies and other services. While it is possible to develop a new eligibility screener for the Parent Portal, it would be a more efficient process to leverage the work that has already been done by the California Department of Social Services and include information on the full range of subsidized child care services in MyBenefits CalWIN and either embed that eligibility screener in the Parent Portal or link off to it from the portal.

2. Address the complexity of the waitlist problem

Through our user research and the Parent Portal Stakeholder workgroup meetings, it became clear that the problems with waitlists continually arise as a pain point without a simple solution. There are two key issues at play:

- Regardless of what the Parent Portal can do to manage waitlists, the fact that the waiting lists are so long and unpredictable, and that there is little transparency in the process for parents, is an issue that needs to be addressed.
- There are practical and technical challenges to developing an online tool to manage the waitlists.

We believe that significantly more research and prototyping needs to be done before solutions to this problem can be developed. One area to explore is helping providers accurately predict when a slot will open up for a child in a particular age group. Doing so may provide increased transparency for families and alleviate some of the frustration of not knowing what will happen. Some of the private sites we looked at, such as WeeCare offer their providers assistance with “enrollment management” but it is unclear what those services are. We recommend a closer study of some of these solutions that the private sector is implementing to assess whether they may be used for the Parent Portal.

3. Initiate compliance with CDE technical, security, and privacy requirements

The Parent Portal will be required to comply with CDE’s technical information, security and privacy requirements as well as being approved as a vendor for the CDE. This is a process that may take up to two years. It is highly recommended that the process is initiated as soon as possible. Please see Appendix 8 for the CDE IT requirements.



Longer-term Recommendations

Once the short-term goals have been addressed and the Parent Portal satisfies the requirements of AB 2960, we recommend a product roadmap that will ensure that the site is maintained and optimized over time. The following are recommendations for CDE to consider working toward, based on input and feature requests from parents, providers, and the Parent Portal Stakeholder workgroup.

1. Include additional content and data about programs
2. Plan for ongoing platform improvements and enhancements
3. Reach out to parents and incentivize all stakeholders

1. Include additional content and data about programs

The Parent Portal will include access to information to help parents assess and find child care. However, as noted in Section IV, a few additional data points about programs were requested by parents and should be included on the site:

- Available slots
- Curriculum
- Student-to-teacher ratios
- User reviews/recommendations
- Availability of short-term or emergency care
- Whether a provider offers meals or diapers
- Daily schedules
- Licensing violations (and their resolution)
- Whether staff have training on supporting children with special needs
- Types of financial assistance accepted
- Regulatory status (licensed vs. exempt)
- Support for training dual language learners
- Languages spoken in the facility
- Philosophy of the provider
- Certifications and educational background checks

Additionally, we recommend the inclusion of content that can help parents understand what quality looks like in early childhood programs, such as checklists for site visits and interviews with potential providers, and information about child development that can help parents navigate the ELC system, including topics such as developmental screening and special education resources.

2. Plan for ongoing platform improvements and enhancements

The development of any technology product is a moving target. As technology advances and users' needs, behaviors, and expectations evolve, the Parent Portal will need to be responsive in order to stay relevant, particularly in a climate in which private entities, often more agile than public systems, are developing similar products. A regular schedule of enhancements to the platform, not just maintenance, will need to be planned. Maintenance, such as routine bug fixes and continual updating of provider data, will also be required and should be planned for.

Creating universal processes that can be used by parents, providers and local R&Rs will keep the site up to date, ensure high-quality data and incentivize use. We recommend that the developers of the Parent Portal consider creating new features to attract and engage providers, such as:

- Landing pages and permissions for providers to own and update their program information



- Tools to manage attendance, health and safety requirements, and payroll
- Professional development and certification offerings

3. Reach out to parents and incentivize all stakeholders

A portion of the budget and operations of the Parent Portal in the long-term must be set aside for raising awareness of the platform with parents and providers. Although the Parent Portal will have content and features that set it apart from other online child care search services, the success of the site will depend on maintaining a continual stream of users; both parents and providers. There is often a perception with public technology platforms that ‘if you build it, they will come’ but that is rarely the case. A superior user experience combined with brand awareness will lead to a trusted relationship over time. We recommend a marketing and brand awareness campaign for mychildcareplan.org, so parents are aware that the site exists and that it can be a trusted resource to help them in their child care search.

In addition to attracting parents as users, the Parent Portal will need to attract and incentivize the other stakeholders of the site, namely the R&R agencies who will be uploading and maintaining the programmatic data. One of the main values of having an online portal comes from having up-to-date information for families to use to help them make informed decisions about their child care needs. Keeping information up to date is a resource-intensive act. In the near term, we recommend that CDE consider providing additional resources to the local R&Rs so that they can dedicate the time it will take to contact programs and update information about the availability of slots. An automated, text-based solution that pings programs about slot availability is another option. In the longer term, we recommend that the Parent Portal allows and incentivizes providers to own and maintain their own listings as well.

VII. Budget

Based on a review of operating costs for comparable, data-driven consumer websites, we project the ongoing budget for the Parent Portal, especially if resources are to be allocated to implement some of the longer-term recommendations, to be between \$7-10M per year, with extra financial burden in the first 1-3 years due to the higher cost of development in the initial years. Typically, 50% of the cost is for salaries and benefits and then the rest is used for a variety of other costs, including: data centers and web hosting, technology and software, advertising and marketing, research and analytics, printing, professional fees, rent and occupancy, office expenses, professional development for staff, recruiting, insurance, phone and internet, and depreciation expenses. Please see Appendix 5 for budget samples from consumer education sites.

This budget estimate assumes costs for staffing the Parent Portal with an entrepreneurial customer service oriented team that is agile and dedicated to continually optimizing the site to best serve the needs of families throughout California. Staffing costs should include not just the technical staff required to run a website, but also a customer support team for resetting passwords and correcting user inputting errors, particularly as the eligibility screener is implemented. Budget and resources must also be set aside for onboarding and training the entities responsible for uploading and maintaining the provider data that will power the portal and for regularly reaching out to providers to obtain information on the availability of slots in their programs. As discussed above, marketing and customer acquisition costs should also be considered. Finally, as consumer education content is also being developed, that content will need to be refreshed by an editorial team.



Appendix

LOCAL EARLY CHILDHOOD INTEGRATED DATA SYSTEM

Integrated Data Systems (IDS) use data that government agencies routinely collect in the normal course of delivering public services to shape local policy and practice. Data-driven and evidence-based social policy innovation can help governments serve communities better, smarter, and faster. They can use data to evaluate the effectiveness of ongoing services as well as new initiatives, or bridge gaps between public services and community providers. When all the data are connected, policymakers can answer questions about children's overall access to early learning services as well as the outcome of early intervention services, quality programs, and a stable well-trained early care and education workforce over time.

Are children (birth to age 5) on track to succeed when they enter school and beyond? How many and which children have access to high-quality early care and education programs? Is the quality of programs improving? What are the characteristics of effective programs? Is the early care and education workforce adequately trained and prepared to meet the needs of children and to provide effective education and care for all children?

Most policymakers cannot answer these questions because data about interventions for young children are siloed in different state and local databases or in no databases at all. This means policymakers and other decision-makers do not have a complete picture of who is participating in which services or how well those services promote positive school readiness and health outcomes for children over time. The State and local jurisdictions collect a variety of disconnected data about children participating in multiple government-funded programs, characteristics of high-quality early care and education, and information about the early care and education workforce.

Research on the importance of early childhood development¹ continues to spark policy discussions about the types of interventions needed for children from before birth through age 8 to promote positive educational and health outcomes. Services received in the early years of life are particularly important for young children who live in poverty, have experienced trauma, or are at risk of entering kindergarten with fewer readiness skills than their peers. To make informed policy and individual decisions about whether government services are equitable, cost-effective, and responsive to the diverse needs of families while also yielding the greatest benefits, policymakers need access to accurate and comprehensive information about who receives the services and how they fare later in life. Such information promotes policymaking that brings the best quality of services to the families and communities that need them.

¹ Alliance for Early Success and Child Trends. (2015). *Birth through Eight State Policy Framework: Research at a Glance*.

EARLY LEARNING DATA GOVERNANCE

The Santa Clara County Office of Education was contracted by the California Department of Education to create a Local Early Childhood Integrated Data System work group to establish a well-communicated purpose and vision that describes how it contributes to the long-term early childhood policy and program goals at the local level and guide decisions and direction for linkage to a longitudinal data system. In addition, the State tasked the Local Early Childhood Integrated Data System work group to develop a project management plan that clearly articulates the scope of work, outcomes, and responsibilities for the development and implementation of the Early Childhood Integrated Data System including a data governance structure to address data sharing, secure data transfers, and memorandums of understanding (MOUs) between the entities involved in the data sharing.

The meeting objectives were clear:

1. To ensure the prioritization of local partners' and stakeholders' requested data;
2. To gather information regarding current local partners' and stakeholders' data collection and readiness;
3. To gather input from stakeholders to share the design of the State's Early Childhood Integrated Data System; and
4. To highlight local partners' and stakeholders' "best practices" in data collection and data use.

With the guidance of the California Department of Education, the Santa Clara County Office of Education requested counties and localities to participate in the Local Integrated Data System work group that represented the entire geography of the State, including Bay Area Region Counties, Los Angeles, Southern California Counties, Central/Southern Farm Counties, North and Mountain Counties and Central Valley Counties. They represented large and small counties/localities, urban and rural, affluent and economically deprived areas. Ultimately, the work group comprised thirteen counties/localities (including Santa Clara County, the hosting county), which met three times virtually, by participating via facilitated webinars. Each webinar was 2 hours and the meeting series objective was to assess the need for local level integrated data and to determine how the State's Early Childhood Integrated Data System could best support state, regional and local data needs. The counties/localities that comprised the local Integrated Data System work group included representatives from:

Alameda County
Contra Costa County
Fresno County
Los Angeles County
Modoc County
Nevada County
Orange County
Sacramento County
San Bernardino County

EARLY LEARNING DATA GOVERNANCE

San Diego County
San Francisco City and County
San Mateo County
Santa Clara County

In addition to the thirteen counties who were “participants” during the 3 webinars, all counties were invited to listen to the webinars. For each of the 3 webinars, there were more than 100 counties listening to the webinars and participating by asking questions through a “chat box”. Throughout the webinar, if a listening county asked a question which applied to the whole group, a moderator would ask the question so that the participating counties could provide their answers.

During the webinars, we asked counties how they currently collect data. Do they have an Integrated Data System for early care and education? If they do, what systems are used and if they do not, how is the data collected, the frequency of the collection, the sources of the data collection, and what additional tools, responsibilities, and processes do they need to enable them to collect data? What was learned during the 3 webinars is that all counties collect data about early childhood services, but most counties—large and small, urban and rural, rich and poor—lack the ability to coordinate these data across programs and systems. As stated already, programs are siloed on a local level; however, children and families frequently enroll in multiple services managed by child care, education, human services, health, public assistance, child welfare, and others. We learned that agencies and programs collect and define demographic data and success metrics differently, making it a daunting challenge to connect the same child or family information across systems. The counties lacked the technical, financial, and clear policies and procedures for facilitating cross-agency data. Consequently, policymakers, providers, stakeholders and other decision makers cannot gain a complete picture of who receives specific services or whether those services promote school readiness or positive health outcomes over time.

1. PURPOSE AND VISION FOR A STATE EARLY CHILDHOOD POLICY AND PROGRAM: LONG-TERM EARLY CHILDHOOD POLICY AND PROGRAM GOALS AT LOCAL LEVEL AND GUIDANCE AND DIRECTION FOR DATA GOVERNANCE TO ADDRESS DATA GOVERNANCE, SECURE DATA TRANSFERS, AND MEMORANDUMS OF UNDERSTANDING

At this time, with only a few exceptions, the counties collect early child care and learning data that is required by either state or federal funding requirements. The majority of the counties collect data using excel or other manual methods. There is very little cross-program and cross-system collection of data. Instead, the great majority of the counties are looking toward the State’s Early Childhood Integrated Data System to provide the guidance on how to collect data from different programs and systems, how to safely transmit the data between programs and systems, how to identify and match children and families across programs and systems, how to analyze the data, and how to legally share the data and maintain the confidentiality requirements. The counties/localities are looking to the State to provide

EARLY LEARNING DATA GOVERNANCE

clear direction on how to share data across programs and systems and meet the legal requirements for confidentiality and privacy of the data.

Additionally, the counties were clear that they strongly encourage the State to create an Early Childhood Integrated Data System to foster social innovation through quickening the knowledge-to-practice-development cycle. They want the State's system to link data across multiple agencies to monitor and track how services are being used and to what effect. The State's Early Childhood Integrated Data System must provide a complete account of how different policies and programs affect the individuals they are intended to serve, which provides decision-makers and programs with actionable intelligence necessary to better address the interconnected needs of the children and families more efficiently and effectively.

The consensus of the counties/localities was that the State should use a federated model to design the Early Childhood Integrated Data System (similar to the North Carolina Integrated Data System that was highlighted in the State's webinar series regarding Integrated Data Systems facilitated by Missy Coffey) so that the State's system will eventually provide counties with the ability to accomplish the following goals:

- Research: To better understand the efficacy of the interventions; researchers can compare data across various agencies and ask probing questions about issues that have stymied public agencies' past efforts to improve policies.
- Policy: To allow government agencies to integrate various databases and bridge the gaps that have traditionally formed among them and between government agencies and community providers to be able to see the "whole person" when allocating resources or determining whether programs are being successful
- Service coordination: To use cross-agency data to identify care gaps and overlaps, coordinate the planning and delivery of services with peer agencies to minimize the care gaps and overlaps, and to sequence the delivery of services to maximize positive outcomes.

The counties/localities made very clear that they want the State's Early Childhood Integrated Data System to collect data to make policy and funding decisions but just as important, the counties/localities want the State Early Childhood Integrated Data System to have the ability to provide information back to the county/locality as to the services that they provide and the individual children and families that they serve. Therefore, the counties/localities want to provide identifiable data to the State; the State can then use the data for policy and research purposes (de-identified data) as well as individual delivery of services (identified data).

To highlight some of the "best practices" of local data sharing that resulted from the 3 local Early Childhood Integrated Data Systems webinars, Fresno County has a Cradle to Career project where they

EARLY LEARNING DATA GOVERNANCE

are building an Integrated Data System, connecting data longitudinally and across systems. The project brings together leaders, directors, managers, service providers and staff from ten sectors to collaboratively improve educational and health outcomes for all children in the County. The county is collecting and maintaining detailed, high quality, child/client and staff level data in a common repository in which data across systems and time can be matched, providing a more complete story about each child. The data can also be made accessible through reporting and analysis tools. The repository is described by the county as the data steward and “data stewardship is concerned with taking care of data assets that do not belong to the stewards themselves”; “data stewardship is concerned with ensuring that data assets are utilized responsibly and effectively to support and improve the wellbeing of children and adults in our community.”² The ten sectors participating in the Fresno County Cradle to Career project include early learning, K-12 education, higher education, housing, health, justice, local government public agencies, business, community benefit organizations and philanthropy. Fresno County is using Blockchain technology to connect the systems and the data sharing is used to improve “whole person” coordination of services.

One of the first data collaborations (funded by a College Futures Foundation grant) seeks to increase the rate of bachelor’s degree completion among California student populations who are low-income and have had historically low college success rates. To achieve this goal, University of California Merced, California State University Fresno, State Center Community College District and Fresno Unified School District have entered data sharing agreements and adopted a student-centered strategy in an attempt to remove barriers to college success:

1. Successful transitions: Institutions ensure student readiness and effective transitions from secondary school to college, and from community college to four-year colleges and universities;
2. Aligned institutions: inter-segmental partnership aligns leaders, resources and decision-making among school districts, colleges, and their partners to advance student progress toward bachelor’s degrees; and
3. Improved Policy and Practice: policymakers are practitioners address gaps between policies and practices at all levels affecting student success.

Examples of data elements that will be collected from Fresno Unified School District (Attachment 1.a.), California State University Fresno (Attachment 1.b.), and State Center Community College District (Attachment 1.c.) are attached.

Another local example of “best practices” is the data sharing work in San Mateo County through “The Big Lift” collaboration. A partnership between the San Mateo County of Education, the County of San

² Cradle to Career Fresno County. (August 8, 2019). *Building an Integrated Data System (IDS)*.

EARLY LEARNING DATA GOVERNANCE

Mateo, and the Silicon Valley Community Foundation, the project includes over 300 community organizations committed to improving reading proficiency among the children of San Mateo County. The collaborative decided on four programmatic “pillars” to improve third-grade reading proficiency, targeting 11 school districts with third-grade levels below the county average. These “pillars” are:

1. High-quality preschool: A comprehensive school-readiness strategy focused on high-quality preschool for three- and four-year old children;
2. Summer learning: Inspiring summer learning opportunities for children in kindergarten, first grade and second grade to enable these children to maintain their academic and developmental gains through high-quality preschool through third grade;
3. Attendance: Focus on reducing chronic absenteeism from preschool through third grade through interventions using evidence-based attendance reminders for families; and
4. Family engagement: Strengthening family engagement through strategies that promote home literacy practices.

Data is collected and acted upon by the collaborative partners and have had already following key findings:

- Big Lift preschoolers in the 2017-2018 kindergarten class were more kindergarten-ready than similar peers who did not attend preschool and less kindergarten-ready than children who attended other preschool programs.
- Children in the 2017-2018 kindergarten class who attended two years of Big Lift were more kindergarten-ready than children who attended only one year of Big Lift preschool.
- Big Lift preschoolers in 2016-2017 kindergarten class had higher reading scores at the end of kindergarten and start of first grade than children who did not go to preschool and had reading scores that were on par with children who went to other preschool programs (accounting for demographic characteristics).
- Children who attended the Big Lift Inspiring Summers program in the summer after kindergarten had reading levels at the start of first grade similar to children who went to other summer programs and children who did not attend any summer programs (accounting for demographic characteristics).

The last local “best practices” example is the Santa Clara County Office of Education Early Childcare and Education Partnership. In partnership with K-12 education, early childcare and learning organizations (such as Kidango), the County of Santa Clara, First Five, Healthier Kids Foundation, Head Start and other community groups, the Santa Clara County Office of Education is using its established data warehouse, DataZone, as the data steward for the data sharing initiative. DataZone was created to close achievement gaps and to prompt continuous improvement. It receives data and then provides information, both on a “big picture” basis as well as on a granularity basis to enable actionable

EARLY LEARNING DATA GOVERNANCE

intelligence at every level. By providing affordable data warehousing and analytic tools, DataZone streamlines collaborative efforts through the use of share governance, a shared data model, standard data definitions, and centralized data storage. By using DataZone as its data sharing tool, agencies and school districts are able to coordinate support services, maximize the use of key organizational performance data, create policy alignments, and guide decisions around funding priorities.

DataZone provides more than 100 visually appealing dashboards to permit teachers, staff, administrators and directors to perform both high-level overviews and analyze individual children data. All standardized and local assessment data is in one location with intuitive reporting tools that make it easy to compare, analyze, and present in a variety of formats. Participating entities can create custom cohorts and monitor outcomes over time and DataZone has the power of predictive analytics to help ensure the success of the most vulnerable children and students. All data is secure, confidential, and private there are a team of experts to help guide the user to maximize the use of data and real-time information.

The Santa Clara County Office of Education Early Childcare and Education group has been meeting for more than six months and has developed a draft Memorandum of Understanding, which could be used by the State's Early Childhood Integrated Data System and then shared with all the counties and localities as an example of how to share data and meet the confidentiality and privacy requirements of federal and state law. A copy of this Memorandum of Understanding is attached as Attachment 2.a. The group also developed two forms of Consent to Share Data. These consents are attached as Attachment 2.b. and Attachment 2.c. respectively.

2. MINIMAL AND OPTIMAL DATA FIELDS THAT KEY INFORMANTS INTEGRATE TO IMPROVE SERVICES AT THE LOCAL LEVEL

The Local Early Childhood Integrated Data System work group all agreed on some of the minimal data elements, including data sharing between early child care and learning and the k-12 public schools, including child demographics, family demographics, attendance, results from milestone assessments (e.g. Ages and Stages Questionnaire), results from Desired Results Developmental Profile (DRDP), program quality results, program licensing results, health data for children, English language learners, reading and math proficiencies, and special education information. Optimal data fields include information from CalFresh, CalWorks, child welfare and the foster care system, homelessness, and other public systems. The work group was clear that the data must be identifiable so that the State's Early Childhood Integrated Data System can then share back information to the counties/localities in both aggregate and individual formats.

An example of both minimal and optimal data sets is presented by the Santa Clara County Office of Education Early Childcare and Education group. Over a two-month period, the group reached a

EARLY LEARNING DATA GOVERNANCE

consensus of what data elements will be collected and shared initially and the optimal data sets. Please see such lists which are attached as Attachment 3.

3. SUGGESTIONS FOR A CALIFORNIA EARLY CHILDHOOD INTEGRATED DATA SYSTEM LEGAL FRAMEWORK FOR A GOVERNING BODY

There are two types of governance: there is the governance of the enterprise (in this situation, the State’s Early Childhood Integrated Data System) and the governance of the data. Each governance entity has its own processes and each is important to the success of the data sharing development.

An effective governance process ensures input from the necessary stakeholders and “confers legitimacy” upon project decisions and outcomes.³ Regardless of the entities that will be sharing data, establishing a governance process is a critical, first step in a project’s development.

The need for governance early in a project is particularly important in public sector projects that span multiple agencies and require buy-in from leaders who are accustomed in making decisions autonomously or without the consent of other agency or system leaders. The six attributes of successful governance are:

1. Identify and assemble strong executive leadership
2. Create a shared vision
3. Formalize governance structure
4. Establish clear decision-making process
5. Evaluate governance system and adapt as necessary
6. Maintain transparent communications.⁴

Strong executive leadership requires the vision and capacity to lead across agencies.

According to governance experts, the success or failure often depends on whether the executive leaders master “the challenges of governing by network: aligning goals, providing oversight, averting communications meltdown, coordinating multiple partners, managing the tension between competition and collaboration, and overcoming data deficits and capacity shortages.”⁵ The Executive leadership sets the tone and champions the initiative and, if the leader is strong and effective, the leader can guarantee a project’s success. The input from the Local Early Childhood Integrated Data System work group is that

³ Herman, Scali, Kropf, Managing Healthcare IS

⁴ The Illinois Framework for Healthcare and Human Services. (November 2013). *A Handbook for States: Establishing Governance for Health and Human Services Interoperability Initiatives.*

⁵ Goldsmith, Stephen and Eggers, William D. (Washington, DC: Brookings Institution Press, 2004). *Governing by Network: The New Shape of the Public Sector.*

EARLY LEARNING DATA GOVERNANCE

the counties and local systems must have a seat on the leadership entity and its vote and voice must be as important and valued as much as any other entity's vote and voice.

In creating a shared vision, what matters is that there is a clearly articulated vision that is measurable, far-reaching, aspirational, achievable, client-focused, and that crosses traditional program areas and on which there is agreement by all those involved in its implementation.⁶ Visions vary across the jurisdictions, and depend greatly on the systems and agencies involved. However, some common elements of a clear vision include a carefully-defined scope (knowing what is and what is not part of the project); a client-centered approach; important non-client-related components (need for greater efficiencies); a commitment to cross-system collaboration and cooperation; establishment of common goals and shared understanding of issues; and development and full-buy-in by the governing body.

When jurisdictions observe the need for governance, they create decision-making bodies, generally called an Executive Steering Committee, Project Oversight Committee, Boards of Directors, or something similar. Such bodies take on the important decision-making that is the real heart of governance. Leadership from involved systems and agencies, subject matter experts, and political appointees comprise these committees. The primary role of such a committee is to set priorities and make decisions necessary for forward movement of the project. This committee is tasked with mission-critical responsibilities rather than symbolic roles. Again, the Local Early Childhood Integrated Data System work group wants to be represented on such a leadership group.

In establishing a clear decision-making process, there are important factors to ensure are in place:

- The “right people” sit at the table, representing the involved systems, agencies or programs;
- There is a clear and well-articulated process to determine priorities and decide between various options (e.g. consensus vs. majority; permitting designees; one voice-one vote);
- Promoting a full buy-in and compliance by articulating decision-making rules and sharing them with constituents (clients, communities, staff);
- Each member's voice carries the same weight regardless of budget, number of stakeholders, or other factors;
- Senior leadership of the jurisdiction vests in the governing body the clear authority to make decisions of consequence; and
- Meetings are productive, governance members have full information, and participants reach informed decisions in a timely manner.⁷

⁶ The Illinois Framework for Healthcare and Human Services at 18.

⁷ The Illinois Framework for Healthcare and Human Services at 31.

EARLY LEARNING DATA GOVERNANCE

There is no perfect, permanent governance system. Instead, there must be built-in reviews and Systems must change and adapt as necessary. Literature shows that the governance structure must adapt as appropriate to maintain relevance, interest, and long-term sustainability. An effective governing body knows when to “stay the course” and when to change to adapt to new priorities and focuses.

Although maintaining transparent communication is the last of the criteria, it is as important as any of the other. From the start, the State Early Childhood Integrated Data System must create and maintain governance communications plans that result in transparency and, ultimately, greater understanding and acceptance. Communications plans must address both internal and external partners, stakeholders, and leaders.

Attached to this report are examples of executive governance documents that were created to meet these six requirements and are active documents in data sharing projects in their jurisdictions. (See Attachments 4.a. and 4.b.).

As for best practices in data governance and management for early child care and education, intentional and rigorous data management practices are essential to support Early Childhood Integrated Data Systems in its planning, operations, service delivery, monitoring and evaluation. Implementing strong data governance and management practices will ensure the quality of data and therefore the integrity of the Integrated Data System itself. Incomplete, inaccurate, or unreliable data can threaten the credibility of the system and have negative consequences for the Early Childhood programs throughout the state.

From the discussions with the Local Early Childhood Integrated Data System work group webinars, one thing that we learned is that there needs to be a great deal of work to improve the quality of the data. There are many reasons for the state of the current quality of data:

- The use of data from databases governed and administered by multiple agencies and organizations;
- Lack of a governance framework for early child care and education data systems and management;
- Databases have been designed for different purposes and as a result, data coverage and availability are limited, and linking data presents challenges; and
- Data practices often do not support the production of high quality data.

EARLY LEARNING DATA GOVERNANCE

As the California Department of Education takes steps to build an Early Childhood Integrated Data System, creating a clear and effective data governance structure is an essential component of system-building. Best practices recommend that states:⁸

- Identify a data governance body;
- Develop data-sharing agreements across all programs that provide early care and education data;
- Develop documentation for databases in the early care and education data system;
- Have a policy regarding database updates;
- Develop common data standards;
- Determine unique identifiers for children, workforce, and facilities;
- Train and cultivate data management staff;
- Ensure that a paperless search is also a valid and accurate system; and
- Establish consistent security and back-up policies.

Using these criteria, studies have shown that two types of early childhood development Integrated Data Systems have scored the highest and most efficient. The generally-accepted first choice is the comprehensive, integrated data system. The data elements that are needed are addressed in a single integrated data model. Data silos are eliminated which also eliminates redundant data entry and workflow. Data are represented according to standards, so quality is high. Data are available for all needs at the time it is entered. The governance includes stakeholders from all participating systems and agencies. It is also generally accepted that unless it already exists, it is also the most costly to build.

The second choice for an integrated data system type is the federated, shared data system. In this model, necessary data elements are extracted from databases, mapped to standards, linked to master identifiers and stored in a shared repository. Individual databases remain in place, but shared data is used for cross-system and agency needs after processing daily or according to a regular schedule. Cross-system and agency governance is necessary for shared data, but individual databases may retain their own governance process.

These choices reflect the webinars presented by the California Department of Education within the last few months on Early Childhood Integrated Data Systems in other states throughout the country. These webinars were facilitated by Missy Coffey and included presentations from states that are operating or building Early Childhood Integrated Data Systems and using one of these two models of data sharing.

⁸ Weber, R. & Iruka, I. (2014). *Best Practices in Data Governance and Management for Early Care and Education: Supporting Effective Quality Rating and Improvement Systems*. OPRE Research Brief #2014-35. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services.

Fresno Unified School District Data Elements

Category	Elements
Assessment	CAASPP Scores
	ELPAC Scores
Attendance	Average Daily Attendance Rate
	Section Attendance Rate
	Tardy Count
Demographics	Name (First, Middle, Last)
	Date of Birth
	Gender
	Ethnicity
	Race
	Fresno Unified Student ID
	CA Student ID
Enrollment	School Name
	School Type
	Enrollment Date
	Exit Date
Schedule	School Name
	Course Name
	Bell Schedule Period
	Enrollment Date
	Exit Date
Senior Survey	Date of Survey
	Intention/Interest 1
	Intention/Interest 2
	Intention/Interest 3
Special Indicator	English Language Learner Status
	Low Income Status
	Specialized Education Services
	Homeless Status
	Foster Youth Status
Program Membership	Academic Club(s) Status
	Extracurricular Club(s) Status
Transcript	School Name
	Course Name
	School Year
	Grading Period/Term
	A-G Flag
	Letter Grade Earned
	Credits Attempted
	Credits Earned
	Cumulative GPA
	Grading Period/Term GPA

California State University Fresno Data Elements

<u>Category</u>	<u>Elements</u>
Demographics	Name (First, Middle, Last)
	Date of Birth
	Gender
	Ethnicity
	First-Generation Status
	Fresno State ID
Application / Matriculation	Application Term
	EOP Status
	EPT Status / Category
	ELM Status / Category
	Application Status
	Application Reason
	Application Fee Status
	Admission Status
	Admission Index
	Residency Docs Needed
	Orientation Status
	Orientation Payment Status
	Early Start English Status
	Early Start Math Status
	Last School Attended
	Last School Attended City
	Parent/Guard 1 Education
	Parent/Guard 2 Education
	College Prep Social Science
	College Prep English
	College Prep Math
	College Prep Life Science
	College Prep Physical Science
	College Prep Lab
	College prep Foreign Language
	College Prep Art
	College Prep Elective
	Units Taken Progress
	SAT_VERB
	SAT_MATH
	SAT_ERWS

Sample

Attachment 1.b.

DRAFT

	SAT MSS
	SAT_COMP
	ACT_ENG
	ACT_MATH
	ACT_COMP
Enrollment	Term(s) Enrolled
	Current GPA
	Cumulative GPA
	Total Cumulative Units
	Term Units Taken
	Academic Standing
	Enrollment Status
	Student Level
	Academic Plan / Major
	Student's Major Department
	Student's Major College
	Degree Earned / Term Degree Earned
Course Grades	Term(s) Enrolled
	Class Number
	Class Subject and Catalog Number
	Grade
	Remediation Course

State Center Community College District Data Elements

<u>Category</u>	<u>Data Element/Description</u>	<u>MIS</u>		
Student Match	SCCCD_ID	SB00		
(unduplicated)	CCC_ID	SB34		
	Student_Email			
	FIRST_NAME_1	SB31		
	MIDDLE_NAME			
	LAST_NAME	SB32		
	BIRTH_DATE_1	SB03		
Demographics	Gender	SB04		
(unduplicated)	HighSchool_1	SB12		
	HS_GPA			
	Last School Attended (College)	SB13		
	Academic Standing	SB22		
	Student Ethnicity	SB05		
	Expanded Ethnicity	SB38		
	Student-IPEDS-Ethnicity	STD10		
	Transgender	SB36		
	Sexual Orientation	SB37		
	Veteran Status	SG01		
	Student-Aid-Vet-Ed-Ben_Status			
	Foster Youth	SG03		
	Age	STD1		
	Education Status	SB11		
	Parent/Guardian Education	SB33		
	Student Aid Dependency Status	SF05		
	Income AGI - Parent	SF08		
	Income AGI - Parent	SF09		
Enrollment	Application Site			
(duplicated)	Student Educational Goal, initial	SB14		
	Student Educational Goal, updated	SS01		
	Enrollment Status (full/part-time)	SB15		
	Term	GI03		
	Course Location			
	Course Title	CB02		
	Course Top Code	CB03		
	Course Section	XB00		
	Course Classification	CB11		
	Course General Education Status	CB25		

Sample

Attachment 1.c.

DRAFT

	Support Course (CoReq) Y/N	CB26		
	Course Grades	SX04		
	Student Cumulative Units Completed, local	SB16		
	Student Cumulative Units Completed, transfer	SB17		
	Student Cumulative Units Attempted, local	SB18		
	Student Cumulative Units Attempted, transfer	SB19		
	Student Total GPA, local	SB20		
	Student Total GPA, transfer	SB21		
	Term Units	derived		
	Term GPA	derived		
	Cumulative GPA, local	STD8		
	Cumulative GPA, total	STD9		
	Retention	derived		
	Dual Enrolled Student			
	Dual Enrollment Course			
	Concurrent Enrolled Student			
	Concurrent Enrollment Course			
Majors	Major Declared Y/N	derived		
(duplicated)	Major_Code	SM02		
	Major_Title/Description	SM02		
	Major Add Date			
Graduates/Degrees	College Code	GI01		
(unduplicated)	College Name			
	Student Program TOP Code	SP01		
	Academic Program Title			
	Degree Type	SP02		
	Degree Date	SP03		
	Graduation Term			
Matriculation	Student Matriculation Goals	SM01		
	SSN_submitted			
	CVP/BOG Waiver	SF21		
	Submitted affidavit (AB 540?)			
	Email_Activated			
	Registration_Date			
	Fall_Reg_Date			
	Fall_Cart_Units	derived		
	FCC_Fall_Units	derived		
	RC_Fall_Units	derived		
	WI_Fall_Units	derived		
	BSTEM_Placement			
	SLAM_Placement			

Sample

Attachment 1.c.

DRAFT

	ENGL_Placement			
	Counseling/Advising recommended	SM06		
	Counselor/Advising received	SM12		
	SEP Exempt Status	SS05/SS15		
	SEP Type	SS09/SS19		
	Academic Follow-up services	SM13		
	Fully_Matriculated			
	Assessment Purpose	SA04		
	Assessment Exempt Status	SM05		
	Assessment Services - Placement	SM08		
	Assessment Services - Other	SM09		
	ELA Placement Exam Exemption Criteria			
	ELA Placement (Accuplacer)			
	Math Placement			
	Orientation Exempt Status	SM04		
	Completed_Orientation	SM07	also SS06/SS13	
	Enrollment in mentoring/1st gen./support programs			
	Math course taken at IHE	derived		
	Level of first Math course taken at IHE	derived		
	English/Writing course taken at IHE	derived		
	Level of first English/Writing course taken at IHE	derived		
	Math course grade	derived		
	English/Writing course grade	derived		
	Design Science student grades	derived		



Early Learning Data Governance

**ENTERPRISE MEMORANDUM OF UNDERSTANDING
FOR
INTERAGENCY INFORMATION SHARING
AMONG
THE SANTA CLARA COUNTY OFFICE OF EDUCATION,

(LEA),
AND

(AGENCY)**

This Enterprise Memorandum of Understanding for Interagency Information Sharing ("E-MOU") is entered into on this _____ day of _____, 2019 by and between the Santa Clara County Office of Education ("SCCOE"), the _____ ("LEA"), and _____ ("AGENCY"). SCCOE, LEA, and Agency are each referred to in this E-MOU as a "Party" and collectively as the "Parties."

WHEREAS, it is a fact that many different public entities work with the same children and families, providing services in an isolated fashion or in a "silo," and without coordinating how they are working with the same clients, and it is now widely recognized that this is an inefficient and ineffectual method of working with children and families, and that this operational system contributes to poor outcomes for clients;

WHEREAS, the California Legislature has recognized the need for public entities to work together to serve children and youth in an organized and real-time manner;

WHEREAS, in order to effectively serve children and their families from birth through matriculation into the K-12 school system, it is beneficial for public entities to collaborate with each other and create shared systems to facilitate the sharing of data in a safe and secure manner;

WHEREAS, SCCOE, LEA, and AGENCY enter into this E-MOU to facilitate the mutual sharing of data between early childhood and K-12 educational agencies, and to establish responsibilities between the Parties with respect to the sharing of data through the SCCOE's centralized data warehouse environment, the DataZone, for purposes of improving services and implementing policies to enhance early childhood care and improving educational outcomes from children and youth within the County of Santa Clara;

WHEREAS, the Parties wish to protect the privacy of student data, including pupil records, and to comply with any applicable privacy statutes, including the Family Educational Rights and Privacy Act (20 U.S.C. § 1232g; 34 C.F.R. Part 99, as amended; "FERPA"); California Education Code § 49073.1, the Student Online Personal Information Protection Act (California Business



Early Learning Data Governance

and Professions Code § 22584; "SOPIPA"); California Civil Code § 1798.29; and California Government Code § 6250 *et seq.*; and

WHEREAS, the purpose of this MOU is to set forth the rights and responsibilities of the Parties with respect to data processed and shared between the Parties through DataZone pursuant to the procedures set forth in this MOU.

NOW THEREFORE, in consideration of the terms and conditions hereof, including the recitals, the Parties agree as follows:

1. PURPOSE. The purpose of this E-MOU is to enable the Parties to share confidential information, including but not limited to, student records, early childhood education information, demographic information, information directly related to a student that is maintained by LEA or AGENCY, and any information acquired directly from a student through use of instructional software or applications assigned to the student by a teacher or other LEA or AGENCY employee (collectively, the "Data") obtained by each Party through administration of its official duties by using the DataZone. DataZone is a centralized data warehouse that is managed by SCCOE and designed to help school districts and early childhood education entities connect, integrate, and analyze data from a variety of source systems including the student information system ("SIS"), state testing files, and intervention programs, and is integral to improving decision-making and targeting resources for highest impact. The sharing of Data through DataZone shall allow the Parties to make data-driven decisions to continuously improve the quality of education for students within Santa Clara County from early childhood through matriculation into the K-12 public education system.

By entering into this E-MOU, the Parties agree to collaborate with each other to create a community that learns through modeling the use of best practices for data-based planning and evaluation. In order to support the well-being of infants, toddlers, young children and children through the use of Data, the Parties are committed to using Data appropriately while maintaining the security, privacy, and confidentiality of the Data.

2. TERM. This E-MOU may be periodically updated to incorporate changes if required and only upon mutual agreement of the Parties, subject to the provisions of Section 18 (Modification of Agreement). The Parties understand that this E-MOU is part of an effort to standardize data sharing between early childhood services and education and the public education system, and as such, every effort will be made to maintain a common agreement across all Parties. Notwithstanding the foregoing, this E-MOU shall terminate effective **June 30, 2023**.

3. ROLE OF SCCOE. SCCOE will be the Custodian of the shared Data and shall be responsible for entering and processing Data through DataZone in compliance with the terms and conditions of this E-MOU.



Early Learning Data Governance

4. **RESPONSIBILITIES OF SCCOE.** SCCOE will provide any services it delivers in a timely and professional manner.
- 4.1 SCCOE will assist with the automation of any processes required for the sharing of Data between the Parties to the extent possible.
- 4.2 SCCOE will ensure any systems it develops with such Data to serve the needs of the LEA or AGENCY or other Party will have appropriate levels of security as further detailed in Section 13 (Data Security) of this MOU.
- 4.3 SCCOE will ensure Data available through DataZone can only be viewed or accessed by Parties legally allowed to do so.
- 4.4 SCCOE shall not use any Data received from the Parties for any purpose other than those required specifically permitted by the E-MOU.
5. **SHARING OF SYSTEM LINKAGES AND DATA EXTRACTS.** Each Party shall provide system linkages or necessary personally identifiable Data extracts from that Party's data system in order for the SCCOE to provide services via DataZone on an agreed upon or pre-defined schedule between the Parties. Any such schedule agreed upon in writing (including email) between the Parties shall be deemed incorporated herein and made a part hereof upon such mutual agreement.
- 5.1 Data extracts will be provided electronically by any Party to the SCCOE.
- 5.2 Upon receipt of a Data extract from a Party, SCCOE will be responsible for integrating the Data into DataZone as needed to perform the required tasks for SCCOE and the other Parties.
- 5.3 The Data provided by the Parties to SCCOE shall include Data relevant to the purpose of this E-MOU or specific system requirements, including the Data listed in the Data Elements List, which is attached hereto as **Exhibit A** and incorporated herein by this reference.
- 5.4 Unless expressly agreed to in writing between the Parties with respect to any class or classes of Data, the terms and conditions of this E-MOU govern all instances of Data sharing among the Parties during the Term of this E-MOU. If LEA or AGENCY requests any specific fee-based services from SCCOE, such services will be defined in a schedule to be incorporated herein as additional exhibits to this e-MOU, which will govern the terms of any specific services to be provided by SCCOE.



Early Learning Data Governance

6. THIRD PARTIES. The Parties may have periodic needs to share Data of students and children, as legally allowed and/or required, with third parties, which may include but are not limited to public agencies that the Parties are required to share Data with, public agencies that the Parties desire to collaborate with, any third-party vendor of either Party, to a public agency or court as required by lawfully issued order or subpoena, or with agencies needing access to such Data to provide services to children or students within the K-12 education system ("Requesting Agency"). SCCOE, LEA, and AGENCY understand that sharing Data for use in such systems can streamline the process of providing services to students.

6.1 When permitted by the Requesting Agency, SCCOE shall provide LEA or AGENCY with notice of the request and the types of information requested.

6.2 SCCOE agrees that no Data will be made accessible to any Requesting Agency for any purpose other than those limited to the Data required and only under conditions allowed by law. Education Code §§ 49076 and 49076.5, as amended, and 20 U.S.C. § 1232g and 34 C.F.R. § 99.31, as amended provide specific conditions under which Data may be accessed by or shared with public agencies and other third parties.

6.3 SCCOE may have periodic needs to share Data, as legally allowed, with university researchers for academic purposes to allow university researchers to collaborate with LEA, AGENCY, and SCCOE or to perform relevant research studies. SCCOE shall notify LEA and AGENCY in writing of any Data sharing pursuant to this Section, including providing descriptions of the following information and documentation: (1) The identity of the researchers/organizations to whom the Data will be transmitted; (2) When requested, copies of contracts which shall include provisions binding the researcher/organization to the terms of this E-MOU; (3) A description of the types of Data to be transmitted; and (4) A description of the manner in which the Data shall be de-identified or aggregated.

7. LEGAL AUTHORITY. Data sharing under this E-MOU will, from time to time, include SCCOE collecting and maintaining educational records that contain personally identifiable information of students or staff of LEA or AGENCY. SCCOE is bound by the same regulations and laws for access and management of this Data and will conform to all legal requirements. The Parties agree that disclosure of information under this E-MOU complies with the requirements of Education Code §§ 49076, 49076.5, FERPA, Health Insurance Portability Act ("HIPAA"), the Student Online Privacy Protection Act ("SOPIPA") and other state and federal laws and regulations governing the privacy of educational records.

7.1 The Parties understand that certain federal and state programs and laws, including the free and reduced lunch program and laws governing the provision of special education services, have additional legal requirements for data security, and all Parties agree to maintain full compliance with such requirements. Without limitation to the foregoing, the Parties additionally agree that aggregated (non-individually identifiable) and



Early Learning Data Governance

non-aggregated (personally identifiable information) Data may be reported upon or shared as allowable by law.

7.2 The Parties shall ensure joint coordination and cooperation with one another to ensure compliance with FERPA. The foregoing notwithstanding, the Parties agree that LEA and AGENCY shall be responsible for providing notices to parents required under FERPA, obtaining necessary parental consent required under FERPA, and for providing parent(s), guardian(s) or student(s) with an opportunity to inspect and challenge the contents of Data shared with SCCOE pursuant to this E-MOU.

8. OWNERSHIP OF DATA. The Parties agree that the LEA and AGENCY shall continue to maintain ownership of and control over their individual source Data. SCCOE agrees that it will not alter LEA's and AGENCY's source Data, and is not responsible for any errors therein. LEA and AGENCY understand that although SCCOE may notify them of issues it discovers with the source data, the LEA and AGENCY are responsible for any corrections required of their own Data. LEA and AGENCY acknowledge that accurate reports rely upon accurate source Data being maintained by LEA and AGENCY. Each Party owns or controls its data systems and the work product generated by such systems.

8.1 SCCOE agrees to notify LEA and AGENCY and obtain explicit permission for sharing of any Data requested which falls outside the terms of this E-MOU, unless such Data is otherwise regularly publicly shared and available.

9. ADMINISTRATION OF DATA SYSTEMS. If the LEA and AGENCY desire to contract with SCCOE for certain administrative services with respect to the LEA's and AGENCY's data systems, which may include collection, extraction, or backup of Data on behalf of the LEA and AGENCY, respectively, a list of agreed upon administrative services will be defined in a schedule to be incorporated herein as additional Exhibits to this E-MOU, which will govern the terms of any specific services to be provided.

10. PROHIBITED USE OF DATA. Except as otherwise permitted by the terms of this E-MOU, no Party shall use the Data supplied to it or shared with it in an unauthorized manner. Specifically, no Party shall sell or release Data, nor enable or permit third parties to engage in targeted advertising to students or to build student profiles unrelated to the purposes contemplated by this MOU.

11. STUDENT AND PARENT ACCESS TO DATA. SCCOE shall work with LEA and AGENCY to provide a means by which employees, when authorized by LEA or AGENCY, can search and access student Data through reasonable procedures for LEA or AGENCY to respond to a parent, legal guardian, or eligible student who seeks to review personally identifiable information in the pupil's records and to correct erroneous information. The foregoing notwithstanding, SCCOE shall cooperate with LEA and AGENCY to help ensure this record



Early Learning Data Governance

correction will be consistent with LEA's and AGENCY's respective policies regarding record correction.

12. THIRD-PARTY VENDORS AND INDEPENDENT CONTRACTORS. SCCOE may have contracts with third party professionals or independent contractors to help SCCOE maintain the SCCOE Data system ("SCCOE Contractors"). SCCOE may distribute student or staff Data to any SCCOE Contractors only as necessary to perform SCCOE's obligations under this E-MOU, and shall prohibit SCCOE Contractors from redisclosing to third parties or otherwise using Data sharing under this E-MOU for any purpose other than those permitted in this E-MOU. SCCOE shall ensure that approved SCCOE Contractors adhere to this E-MOU. SCCOE will help ensure that any subcontractor or sub-processor that it engages to process, store or access Data has adequate technical security and organizational measures in place to keep Data secure and comply with this E-MOU.

13. DATA SECURITY. The Parties agree to maintain appropriate security protocols in the transfer or transmission of any Data, including ensuring that Data may only viewed or accessed by parties legally allowed to do so.

13.1 SCCOE maintains and will continue to maintain appropriate network protections and other data security measures to protect any Data in its possession.

13.2 SCCOE shall take actions to ensure the security and confidentiality of Data, including but not limited to designating and training responsible individuals on ensuring the security and confidentiality of the Data.

13.3 SCCOE shall maintain all data obtained or generated pursuant to this E-MOU in a secure computer environment and not copy, reproduce, or transmit data obtained pursuant to the E-MOU except as necessary to fulfill the E-MOU's purpose for the information-sharing. SCCOE shall warrant that security measures are in place to help protect against loss, misuse, and alteration of the data under SCCOE's control. When the service is accessed using a web browser, Secure Socket Layer ("SSL") or equivalent technology protects information, using both server authentication and data encryption to help ensure that data are safe, secure and available to only authorized users. SCCOE shall host content pursuant to the service in a secure server environment that uses a firewall and other advanced technology in an effort to prevent interference or access from outside intruders. Where applicable, the service will require unique account identifiers, usernames and passwords that must be entered each time a client or user signs on.

14. DATA BREACH OBLIGATIONS. In the event that any Party experiences a breach to the security of the data system within which Data shared under this E-MOU is stored, that Party agrees to comply with the provisions of federal and state law governing data breaches,



Early Learning Data Governance

including California Civil Code section 1798.29, and shall take the following steps to notify the other Parties of the data breach:

- a. Promptly notify the other Party of the suspected or actual incident;
- b. Promptly investigate the incident and provide the Parties with detailed information regarding the incident, including the identity of affected users; and
- c. Assist each Party in notifying affected users, affected parents, legal guardians of commercially reasonable steps to mitigate the effects and to minimize any damage resulting from the incident.

15. SECURITY INCIDENT NOTIFICATION. The Parties shall report to the SCCOE all known incidents that threaten the security of any of the databases in which Data subject to this E-MOU is stored, or other incidents compromising the security of the Party's information technology systems with the potential to cause major disruption to the Party's normal activities ("Security Incident"). Such reports shall be made to the SCCOE within 24 hours from when the Party discovered or should have discovered the occurrence of the Security Incident. The Parties shall also comply with all applicable laws governing data breaches, including as outlined in Section 14 (Data Breach Obligations) herein. If breach requirements established by federal, state and county requirements prevent this report being given, the Party shall abide by the federal, state and local requirements and provide notice to the SCCOE's Silicone Valley Regional Data Trust ("SVRDT") office as soon as possible.

16. AUTHORIZED USERS. Only the SCCOE and its authorized users shall have access to Data shared pursuant to this E-MOU. Each Party reserves the right to limit the number of and to specify the actual authorized users it determines must have access to the Data to fulfill the Data purposes of this E-MOU.

17. ADDITION OF PARTICIPATING PARTIES. By executing the General Offer of E-MOU Terms attached hereto as **Exhibit B** and incorporated herein by this reference, the Parties offer the same terms specified in this E-MOU to any other school district or early childhood education entity that desires to participate in the Data sharing arrangement contemplated herein ("Subscribing Agency"). Any Subscribing Agency shall become a Party to this Agreement by countersigning **Exhibit B** and transmitting an executed version of the same to SCCOE upon execution. Upon execution of **Exhibit B** by a Subscribing Agency, SCCOE shall be responsible for on-boarding the Subscribing Agency with respect to the procedures applicable to Data sharing as contemplated in this E-MOU.

18. MODIFICATION OF AGREEMENT. This Agreement may be modified only by a written instrument executed by the Parties.

19. TERMINATION. Any Party may terminate this E-MOU upon providing ninety (90)



Early Learning Data Governance

days written notice to all other Parties.

19.1 Upon termination or expiration of this E-MOU, SCCOE shall work with LEA and AGENCY for the orderly cessation of extracts of student Data.

19.2 Upon termination or expiration of this E-MOU, SCCOE shall return or delete personally identifiable student Data unless SCCOE must retain such Data pursuant to Section 19.3 herein, or unless otherwise provided by law or mutual agreement of the Parties.

19.3 Upon termination of this E-MOU, SCCOE may retain personally identifiable child or student Data in the event that that child chooses to establish or maintain an account with the SCCOE for the purpose of storing child-generated content, either by retaining possession and control of their own child-generated content or by transferring child-generated content to a personal account.

19.4 SCCOE, LEA and AGENCY understand that SCCOE may have an ongoing need to reference the raw Data it acquired during the term of this E-MOU. In the event that such need arises, SCCOE shall, to the extent possible and subject to the mutual agreement of the LEA or AGENCY, only retain anonymized, aggregated Data that it obtained from LEA or AGENCY during the term of this MOU. However, SCCOE certifies that such anonymized, aggregated Data shall be purged when the Data has exceeded its useful life and shall not be kept for more than seven (7) years unless otherwise legally required.

20. NOTIFICATION OF CLAIMS. Each Party shall promptly notify the other Parties to this E-MOU upon notification or receipt of any civil or criminal action, demand, cause of action, lawsuit, or governmental enforcement action (collectively "actions") arising out of or related to this E-MOU, regardless of whether any other Party is specifically named in the action.

21. APPLICABLE LAW. The laws of the State of California govern this Agreement.

22. INDEMNIFICATION. Each Party agrees to indemnify the other against actions, claims, damages and losses, including attorneys' fees that may arise out of or in any way result from the Party's own negligent or intentional acts, errors or omissions. The Parties shall not be held liable for any special, consequential, indirect or incidental damages incurred as a result of this E-MOU and the Parties shall be held harmless for any claims or lawsuits arising out of the release of information pursuant to a request by one of the Parties in conformity with this E-MOU or pursuant to law.

[SIGNATURES ON FOLLOWING PAGE]



Early Learning Data Governance

IN WITNESS WHEREOF, the Parties have executed this Enterprise Memorandum of Understanding for Interagency Information Sharing as of the last day noted below.

Santa Clara County Office of Education

By: _____
Title: Superintendent

(LEA)

By: _____
Name: _____
Title: Superintendent

(ECE Entity)

By: _____
Name: _____
Title: Executive Director



Early Learning Data Governance

EXHIBIT A
DATA ELEMENTS



Early Learning Data Governance

**EXHIBIT B
GENERAL OFFER OF E-MOU TERMS**

SCCOE, LEA, and AGENCY offer the same terms, conditions, and privacy protections found in this Enterprise Memorandum of Understanding for Interagency Information Sharing dated [REDACTED], to any other LEA or early childhood education entity ("Subscribing Party") that accepts this General Offer of E-MOU Terms ("General Offer") through its signature below. This General Offer shall extend to all terms and conditions included in this E-MOU. SCCOE, LEA, AGENCY, and Subscribing Party may also agree to change the Data provided by Subscribing Agency to the SCCOE to suit the unique needs of the Parties.

Santa Clara County Office of Education

By: _____
Title: Superintendent

_____ **School District**

By: _____
Title: Superintendent

_____ **ECE Entity**

By: _____
Title: Executive Director

SUBSCRIBING AGENCY

By its signature below, Subscribing Agency accepts the General Offer of E-MOU Terms. The Subscribing Agency and the SCCOE, LEA, and AGENCY shall therefore be bound by the same terms of this E-MOU.

Subscribing Agency: _____

Printed Name: _____ Title/Position: _____

Signature: _____ Date: _____



CONSENT TO RELEASE AND SHARE INFORMATION

Please complete all sections of this Consent to Release and Share Information.

SECTION I

I/WE, _____, GIVE MY/OUR
 (Parent/Guardian/Surrogate Parent)
 INFORMED CONSENT FOR _____,
 _____, AND _____ TO COMMUNICATE AND SHARE
 INFORMATION, INCLUDING HEALTH INFORMATION, HEALTH RECORDS, AND STUDENT
 RECORDS LISTED IN SECTION II OF THIS DOCUMENT WITH THE PERSON(S) OR ORGANIZATION(S)
 I HAVE SPECIFIED IN SECTION III OF THIS DOCUMENT.

Regarding: _____
 Child's Legal Name

 Street Address/Post Office

 City/Town State Zip Code

 Telephone

Form of Disclosure:

_____ Electronic copy or access via web-based portal
 _____ Hard copy
 _____ Verbal discussions



SECTION II – Health Information and Student Records
Purposes for Disclosure

The parties referenced in Section I above have permission to share my child's records for the following purposes:

(Check appropriate boxes)

_____ Access to my child's early intervention record (including obtaining copies required to determine eligibility for services, participate in service planning, and/or provide early intervention services as defined in the child's Individualized Family Service Plan (IFSP)).

_____ Reason for referral/area of concern:

_____ Suspected medical condition associated with developmental disability or delay

_____ Suspected developmental delay in at least one area of development:

_____ Physical, including vision & hearing _____ Communication

_____ Adaptive (self-help) _____ Cognitive

_____ Social-emotional

_____ Access to my child's health summary information from physician

_____ Send information back to the agency/person who referred my child to _____

_____ Obtaining written specialty reports, including assessments

List of all applicable specialty reports:

_____ Obtaining a copy of my child's Individualized Family Service Plan (IFSP)

_____ Obtaining my child's progress reports

_____ Obtaining correspondence and other communications regarding eligibility and/or the provision of early intervention services to my child

_____ Referral to and eligibility determination by _____

_____ Referral to and eligibility determination by the local educational agency (LEA)

_____ Name of applicable LEA: _____

_____ Participate as a multidisciplinary team approach to provide services to my child

[Insert any other types of records that parents/guardians may authorize for release and the purposes for which such records may be used]

_____ Other: _____



SECTION III – Who Can Receive My Child’s Health Information

I give my authorization for the health information and student records detailed in Section II of this document to be shared with the following individual(s) or organization(s):

Name: _____

Organization: _____

Address: _____

Section IV – Duration of Authorization

I have read and understand the conditions of this Consent to Release and Share Information which is contained on the next page. This consent is valid for one year (12 months) unless I revoke it before the end of this time period.

I understand that I am permitted to revoke this authorization to share my child’s health information and student records at any time and can do so by submitting a request in writing to:

Name: _____

Organization: _____

Address: _____

E-Mail: _____

I understand that:

- In the event that my information has already been shared by the time my authorization is revoked, such revocation is not retroactive (i.e., it does not negate a disclosure of my child’s information that occurred after I originally gave consent but before my consent was revoked).
- I understand that I do not need to give any further permission for the information detailed in Section II to be shared with the person(s) or organization(s) listed in section III.



-
- I understand that the failure to sign or submit this authorization or the revocation of this authorization will not prevent my child from receiving any treatment or benefits I am entitled to receive, provided this information is not required to determine if my child is eligible to receive those treatment or benefits or to pay for the services I receive.

Signature _____ Date _____

Print Name: _____

Relationship to Student: _____



CONSENT TO RELEASE AND SHARE INFORMATION

Please read this carefully before signing. If you have any questions, please ask them before signing.

The purpose of this Consent to Release and Share Information is to collect confidential information necessary to determine my child's eligibility for the programs listed on the form, and to plan and provide essential and necessary services as determined through the multidisciplinary team process. I hereby authorize the person(s) or organization(s) named on the reverse side of this form to release to the other organizations listed on this Consent to Release and Share Information form information pertinent to the development and implementation of a plan for service to meet the developmental, social, rehabilitative, educational, and medical needs for the child named on this Consent to Release and Share Information.

I also give consent for the release of my child's name, birth date, parent's contact information, and school district to the Local Educational Agency (LEA) in my area that is listed on this Consent to Release and Share Information form.

I understand that this consent includes the sharing of information as authorized above, in written, verbal and/or video format, to program staff who must have access to the information in order to care for my child. This Consent is effective for a period of up to twelve (12) months from the date of my signature on this Consent. As the parent/legal guardian or surrogate parent, I understand that I may revise or revoke this Consent to Release and Share Information at any point in time by following the instructions included on the form.

The parties listed on the reverse side understand that any information obtained or provided through this Consent to Release and Share Information can only use such information to provide services to my child and to benefit my child. The parties cannot further release or re-disclose such information unless: (1) I specifically authorize release or re-disclosure; or (2) applicable law permits release or re-disclosure without my consent.



RECIPROCAL CONSENT TO RELEASE AND SHARE INFORMATION

PLEASE REVIEW THE INFORMATION ON PAGE 2 OF THIS CONSENT, AND ASK ANY QUESTIONS THAT YOU MAY HAVE BEFORE SIGNING BELOW

SECTION I			
I/We _____ (Name(s) of parent/legal guardian/surrogate parent(s)) give my/our informed consent to communicate and share information, including health information, health records, and student records listed in Section II of this document with the person(s) or organization(s) I have specified in Section III of this document.			
Legal name of child (first, middle, last – all are required)			Date of Birth (m/d/y)
Address (number and street, post office box)			County
City/Town	State	Zip Code	School District
Form of Disclosure: <input type="checkbox"/> Electronic copy or access via web-based portal <input type="checkbox"/> Hard copy <input type="checkbox"/> Verbal discussions			
Section II - Health Information and Student Records			
Purposes for Disclosure			
The consent includes the following types of information and activities: (as checked ×) <input type="checkbox"/> Access to my child's assessments <input type="checkbox"/> Access to my child's early intervention record information <input type="checkbox"/> Access to my child's reports, including: <input type="checkbox"/> Copies of written specialty reports <input type="checkbox"/> Copies of my child's Individualized Family Service Plan (IFSP) <input type="checkbox"/> Copies of my child's progress reports and related communications			



_____ Access to documents required for my child to participate in service planning and to provide early intervention services as defined in the IFSP to my child, including the following documents:

[Insert any other types of records that parents/guardians may authorize for release and the purposes for which such records may be used]

_____ Other: _____

Section III - Who Can Receive My Child's Health Information

I give my authorization for the health information and student records detailed in Section II of this document to be shared with the following individual(s) or organization(s):

Name: _____

Organization: _____

Address: _____

Telephone: _____

Section IV - Duration of Authorization

I have read and understand the conditions of this Consent to Release and Share Information which is contained on the next page. This consent is valid for one year (12 months) unless I revoke it before the end of this time period.

I understand that I am permitted to revoke this authorization to share my child's health information and student records at any time and can do so by submitting a request in writing to:

Name: _____

Organization: _____

Address: _____

E-Mail: _____	
<p>CONSENT AND AUTHORIZATION:</p> <p>I understand that:</p> <ul style="list-style-type: none"> • In the event that my information has already been shared by the time my authorization is revoked, such revocation is not retroactive (i.e., it does not negate a disclosure of my child's information that occurred after I originally gave consent but before my consent was revoked). • I understand that I do not need to give any further permission for the information detailed in Section II to be shared with the person(s) or organization(s) listed in section III. • I understand that the failure to sign or submit this authorization or the revocation of this authorization will not prevent my child from receiving any treatment or benefits I am entitled to receive, provided this information is not required to determine if my child is eligible to receive those treatment or benefits or to pay for the services I receive. 	
<p>I HAVE READ AND UNDERSTAND THE CONDITIONS OF THIS CONSENT TO RELEASE AND SHARE INFORMATION, AS CONTAINED ON PAGE 2 OF THIS FORM.</p>	
Signature of parent/legal guardian/surrogate parent	Date
Signature of parent/legal guardian/surrogate parent	Date
Signature of witness	Date

RECIPROCAL CONSENT TO RELEASE AND SHARE INFORMATION

Please read this carefully before signing. If you have any questions, please ask them before signing.

The purpose of this Reciprocal Consent to Release and Share Information is to collect confidential information necessary to determine my child's eligibility for the programs listed on the form, and to plan and provide essential and necessary services as determined through the multidisciplinary team process. I hereby authorize the person(s) or organization(s) named on this form to release to the other organizations listed on this Reciprocal Consent to Release and Share Information form information pertinent to the development and implementation of a plan for service to meet the developmental, social, rehabilitative, educational, and medical needs for the child named on this Consent to Release.

I also give consent for the release of my child's name, birth date, parent's contact information, and school district to the Local Educational Agency (LEA) in my area that is listed on this Reciprocal Consent to Release and Share Information form.

I understand that this consent includes the sharing of information as authorized above, in written, verbal and/or video format, to program staff who must know the information in order to care for my child. This Consent is effective for a period of up to twelve (12) months from the date of my signature on this Consent. As the parent/legal guardian or surrogate parent, I understand that I may revise or revoke this Consent to Release and Share Information at any point in time by following the instructions included on the form.

The parties listed on the reverse side understand that any information obtained or provided through this Consent to Release and Share Information can only use such information to provide services to my child and to benefit my child. The parties cannot further release or re-disclose such information unless: (1) I specifically authorize release re-disclosure; or (2) applicable law permits release or re-disclosure without my consent.



Santa Clara County Office of Education List of High Level Data Elements for ECIDS

First name
Middle name
Last name
Address
Date of birth
Gender
Ethnicity
Language
Eligible for Services
Living situation
Home language
Income
Family size
Family income
District of Residence
Insurance
Insurance Type
Medications
Diagnosis information
Medical Home
Dental Home
Birth history
Vision Screening
Hearing Screening
Dental Screening
Child allergies
Mental health consultation
Foster (now and ever)
Assistive technology
Assessments
Assessment tools
ECE enrollment history
ECE Agency
Status
Referral agency/program



Family Services (Pre First 5)
Classroom/Home Visitor
Program start date
Attendance
Client type (child, parent, grandparent)
Client relationship (Mother, father)
FRC workshops attended

Santa Clara County Office of Education List of Selected Data Elements for ECIDS

Medications
Diagnosis information
Medical Home
Dental Home
Insurance
Yes
No
Is this an employer-sponsored health insurance program?
Yes
No
Insurance Type
CA Children's Services CCS
Medi-Cal Santa Clara Family Health Plan
Medi-Cal Anthem Blue Cross
Private Medical Insurance
CHDP
SCC Healthy Kids HMO
Healthy Families
Is there a current behavior plan (within the past 12 months)?
Yes
No
Vision results
Vision current status
Hearing results
Hearing current status



Dental results
Dental current status
ECE enrollment history
Living situation
Hotels/Motels
Car, Trailer, Campsite
Shelter
Rented Garage
Rented Trailer, Motor Home on private property
With another adult (not parent or legal guardian
Transitional Housing
Single Room Occupancy
Another Family's House or Apartment
None of the options apply
Other
Referral agency/program
ASQ 3
ASQ SE
Family Services (Pre First 5)
Attendance
Assessments
DRDP
ASQ
Foster
Home language
Assessment tools
Observation
Parent interview
Record review
Professional expertise
Assistive technology
Prenatal Care
Yes
No
Premature
Yes
No
Full Term



	Yes
	No
Birth Weight	
Allergies	
Medications	
Eligible for Services?	
Regional Center?	
Special Education?	
Income	
TANF	
WIC	
SSI	
SNAP	
Family size	
Family income	
0-25% of Poverty	
26-51% of Poverty	
51-75% of Poverty	
76-100% of Poverty	
Birth history	
Child allergies	
ASQ	
ASQ-SE	
Resource & Information	
Yes	
No	
Referral to Services	
Yes	
No	
Mental health consultation	
Yes	
No	
Agency	
Status	
Active	
Non-Active	
Classroom/Home Visitor	
Yes	



No
DRDP
Classroom/Home Visitor
Attendance
Assessments
Learning Genie
DRDP Tech
First name
Middle name
Last name
date of birth
Gender
Male
Female
Unknown
Child Identified As
Undeclared
Program start date
Client type (child, parent, grandparent)
Client relationship (Mother, father)
Ethnicity
Language
FRC workshops attended
Abriendo Puertas
Arts Enrichment
SEEDS
Triple P
Other

Santa Clara County Office of Education Master List of Data Elements for ECIDS

MEDICATIONS
Treatment steps
Diagnosis information
Current pediatrician
Insurance
Yes



	No
Is this an employer-sponsored health insurance program?	
	Yes
	No
What treatment insurance covers	
Behavior documents	
Is there a current behavior plan (within the past 12 months)?	
	Yes
	No
Vision results	
Vision current status	
Hearing results	
Hearing current status	
Dental results	
Dental current status	
Psychological results	
ECE enrollment history	
ECE program teacher observations	
ECE program teacher plans	
Prior mental health services	
Living situation	
	Hotels/Motels
	Car, Trailer, Campsite
	Shelter
	Rented Garage
	Rented Trailer, Motor Home on private property
	With another adult (not parent or legal guardian)
	Transitional Housing
	Single Room Occupancy
	Another Family's House or Apartment
	None of the options apply
	Other
Any history in homeless shelter	
Trauma information	
Distance from school	
Family's financial status	
Mother's ability to read/write English and impact	
Current IEP?	



Need for IEP?
Factors impacting ELPAC scores
Cultural factors
Were previous ECE centers culturally competent?
Language spoken in the home?
Language of child?
Referral agency/program
ASQ 3
ASQ SE
Family Services (Pre First 5)
Referrals by First 5
SSIDs
Program Term
QRIS rating
Status
Site
Classroom
Entry data
Attendance
Assessments
DRDP
ASQ
Health Screenings (from HKF)
HEALTHIER KIDS
SSIDs (from SCCOE)
Health Screenings/outcomes
Hearing
Vision
Dental
Basic demographics
Special Ed
Migrant
McKinney Vento
Foster
Date
Diagnosis
Home language
Assessment tools



Observation
Parent interview
Record review
Professional expertise
Assistive technology
CHILD'S HEALTH HISTORY
Vision
Hearing
Prenatal Care
Yes
No
Premature
Yes
No
Full Term
Yes
No
Birth Weight
Postnatal health history
Current health
Allergies
Medications
Height
Weight
PERSONAL-SOCIAL
Adult Interaction:
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Peer Interaction
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Self-Concept & Social Role
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
MOTOR



Gross Motor
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Fine Motor
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Perceptual Motor
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
ADAPTIVE
Self-Care
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Personal Responsibility
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
COGNITIVE
Attention & Memory
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Reasoning & Academic
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
Perception & Concepts
BDI-2 Raw Score
Age equivalent months
Percentage below age level:
COMMUNICATION
Receptive
BDI-2 Raw Score
Age equivalent months



Percentage below age level:	
Expressive	
BDI-2 Raw Score	
Age equivalent	months
Percentage below age level:	
OUTCOMES	
#1	
#2	
#3	
#4	
SERVICES	
Eligible for Services?	
Regional Center?	
Special Education?	
#1	
#2	
#3	
#4	
Other public services: Consider for later phase of data sharing with SCC	
WIC	
PHN	
CCS	
SCFHP	
Medi-Cal	
Other	
Private services	
Private insurance funded:	PT
	OT
	SLP
	Other
Family demographics	
Income	
Family size	
Family income	
Family needs information	
Child current health	
Child 12 information	
Birth information of child	



Birth history
Child allergies
ASQ
ASQ-SE
Resource & Information
Yes
No
Referral to Services
Yes
No
Mental health consultation
Yes
No
Agency
Status
Active
Non-Active
Site
Classroom/Home Visitor
Yes
No
Entry Date
Attendance
DRDP
SSIDs
Demographics
Program Term
Agency
Status
Site
Classroom/Home Visitor
Entry Date
Attendance
Assessments
Learning Genie
DRDP Tech
First name
Middle name



Last name
Date of birth
Gender
Male
Female
Unknown
Identified
Undeclared
Program start date
Consent date
Exit Date
Exited Reason
Client type (child, parent, grandparent)
Client relationship (Mother, father)
Ethnicity
Language
Home phone
Cell phone
Address
Insurance
Special needs child
Case manager
Referred by
Family ID
Client ID
Client Code
Last Service Date
Total Number of Services
PROTECTIVE FACTORS SURVEY (PFS)
Program Title
Program ID
Program contract number
Client Assessment ID
Assessment Title
Assessment Date
Assessment Entered By
FRC first visit date
How many times visited FRC



FRC workshops attended
Abriendo Puertas
Arts Enrichment
SEEDS
Triple P
Other

**SVRDT
ENTERPRISE
MEMORANDUM OF UNDERSTANDING (E-MOU)
November 21, 2019**

Early Learning Data Governance
TABLE OF CONTENTS

- I. Definitions**
- II. Oversight Advisory Committee**
- III. Integrated Policy/Technology Architecture – Secure Data Environment**
- IV. Use of Data**
- V. Information Access Policies**
- VI. Enterprise Security**
- VII. Equipment and Software**
- VIII. Auditing**
- IX. Expectations of Participating Agencies**
- X. Specific Duties of a Participating Agency when Making Data Available for Access**
- XI. Privacy and Security**
- XII. Responsibilities of the Participating Agencies**
- XIII. Treatment of Data**
- XIV. Disclaimers**
- XV. Term of E-MOU**
- XVI. Addition, Suspension, Reinstatement, Termination and Withdrawal of Participating Agencies**
- XVII. Dispute Resolution Process**
- XVIII. Notices**
- XIX. Miscellaneous/General**

Early Learning Data Governance
WITNESSETH:**I. DEFINITIONS**

Agency Data Environment means the Participating Agency's case management domain.

Breach means a security incident in which sensitive, protected or confidential data is accessed, copied, transmitted, viewed or stolen or used by an individual unauthorized to do so.

Data Exchange Portal means the SVRDT User interface where access is controlled and all transactions are routed, presented, and logged.

Data Integration Services means data exchange; using normative standards and protocols to provide connections between the SVRDT Platform and Participating Agency Data Environments, and to translate responses to inquiries via metadata frameworks.

Front Porch means is an area to make data available outside of the Participating Agency's data environment, controlled by the Participating Agency; it is outside of Participating Agency's firewalls and therefore not requiring SVRDT inquiries to access directly case management systems where source data resides. Participating Agencies will respond to SVRDT data inquiries by connecting with SVRDT data integration services.

Metadata means common definitions of data types used by SVRDT transactions, including encoded responses to requests for information at data element level; allows SVRDT to interpret responses; eliminates the need to expose actual child data.

Participating Agency means the public child welfare, juvenile probation, and mental health offices of the Counties of Santa Clara, Santa Cruz, and San Mateo; and the County Offices of Education of Santa Clara, Santa Cruz, and San Mateo; and will include any future participating offices, agencies, and counties that are approved by the Leadership Advisory Board and the Santa Clara Office of Education.

Participating Agency Head means the executive of each of the Participating Agencies.

Requestor means a person whose qualifications permit access to make inquiries via the SVRDT Secure Data Environment.

Secure Data Environment (SDE) means the technology services connecting SVRDT to the Agency Data Environments to make data available to authorized users who initiate SVRDT inquiries. It is a transaction processing environment supporting inquiry and response.

Early Learning Data Governance

SVRDT means the Silicon Valley Regional Data Trust, a program within the Santa Clara County Office of Education.

Technical Resource Administration means a service supporting the technical administration of multi-agency configuration parameters.

Universal Consent is an authorization signed by the parent or guardian of a minor child whose data becomes the subject of multi-agency interest to SVRDT users when the law requires an authorization to release the data; one authorization is used by all of the Participating Agencies to access via the SVRDT via a Universal Consent application.

Upfront Data means the specific data selected by the Case Management Workgroup and the Legal Workgroup to minimize complexity and risk; and that has been agreed to be the data utilized to initialize use of the SVRDT via Alpha and Beta test phases. It will be followed by the Alpha and Beta releases of the SVRDT expanded data at the readiness of agency's to move that level.

User means a person authorized by the Participating Agency to access the SVRDT.

Workgroup, or Case Management Workgroup, or Change Integration Workgroup, or Leadership Workgroup, or Legal Workgroup, or Research Workgroup, or Technology Workgroup means a group of people brought together to raise any subject-matter issues and provide guidance of a particular subject matter to SVRDT, including:

Case Management Workgroup means case manager and supervisor representatives from each of the Participating Agencies working together to determine data issues.

Change Integration Workgroup means Participating Agency representatives working together to determine how best to ensure that the SVRDT becomes a part of the routine for Participating Agency staff.

Leadership Advisory Group means the executive leaders of each County, as well as those from the respective SVRDT Participating Agencies that provide advice regarding any changes to the operations and participation of the SVRDT.

Legal Workgroup means counsel from each County, as well as those from the respective SVRDT Participating Agencies and the University of California Santa Cruz to determine all legal requirements for the access to data via SVRDT.

Research Workgroup means the representatives from each of the Participating Agencies, working with the University of California Santa Cruz research team, who agree on the agenda for research using data that will be provided via the

Early Learning Data Governance

SVRDT and other data sources, subject to approval by the Leadership Advisory Group.

Technology Workgroup means IT (information technology) representatives from each of the Participating Agencies who provide advice and technical support to the SVRDT integration team on issues regarding connection and data exchanges between the SVRDT and their respective Participating Agency Data Environments.

II. OVERSIGHT ADVISORY COMMITTEE

- A. Formation and Purpose of the Oversight Advisory Committee. To support the Secure Data Environment of the SVRDT initiative, the Participating Agencies agree to establish an Oversight Advisory Committee, which shall provide advice and input regarding the operations of the SVRDT. It is expected that the Oversight Advisory Committee will meet on a quarterly basis if there are issues to decide or more often if there is an unexpected circumstance that requires the Oversight Advisory Committee to meet.
- B. Composition of the Oversight Advisory Committee. The Oversight Advisory Committee shall be composed of the Participating Agency Heads or their designees from each of the Participating Agencies.
- C. Other Workgroups. In the future, there may be a need to convene subject area-specific committees; presently, there are the Case Management Workgroup, Change Integration Workgroup, Leadership Workgroup, Legal Workgroup, Research Workgroup, and Technology Workgroup. Participating Agencies agree, to the extent that it is reasonable and feasible as determined by each Participating Agency, to send appropriate members to participate in these workgroups.

III. INTEGRATED POLICY/TECHNOLOGY ARCHITECTURE – SECURE DATA ENVIRONMENT

The Secure Data Environment (SDE) will be available to all Users authorized from SVRDT Participating Agencies. It is architected as a transaction processing environment, built upon web services architecture, supporting the capabilities to assure security of access and protections of privacy for the individuals served. It also logs all transaction activity, providing oversight on user behaviors to help assure appropriate, equitable and ethical use of data and SVRDT capabilities.

SVRDT will be implemented in three discrete phases: 1) Upfront Data – initializing the SVRDT Secure Data Environment in a reduced risk and complexity implementation; 2) Data Expansion – Extending the Upfront Data to make a more comprehensive set of case data available to authorized SVRDT users; and 3) Research Integration – providing

Early Learning Data Governance

selected SVRDT data to the research teams to conduct longitudinal studies on use of SVRDT data and resulting outcomes.

In addition to the performance scenario and use case analysis, a series of Architecture and Design Principles have been identified to augment requirements for SVRDT SDE operation, and to guide the development of the SVRDT SDE. These are listed below:

A. Architecture and Design Principles- Policy, Legal and Technology

1. Protections of Privacy and Confidentiality Data – SVRDT is a web services, trusted data environment supporting the sharing of specific data on children involved across multiple agencies serving children and families. For this reason, use of the Secure Data Environment must provide assurances of privacy and confidentiality protections of data including:
 - a. Minimization of exposures of data; no child case management data nor treatment data is stored in SVRDT,
 - b. Enforcement of a common “Code of Conduct” (supporting “rules of use” for data as specified in the Multi-Agency Agreement),
 - c. Monitoring and enforcement via an agency-designated operational authority,
 - d. All SVRDT transaction activity will be logged and will include granular data on Secure Data Environment access, use, inquiries and data types inquired/responded; recordation of all transaction activity, and
 - e. Authorization/consent management centralizes initiation, tracking, and termination of authorizations across all Participating Agencies.
2. Agency Control – In accordance with policy administration and automation (legal and regulatory), points of compliance are made by each agency including:
 - a. Access rules set by agency (via Operational Authority),
 - b. Access controlled by agency (via Operational Authority),
 - c. Authorizations for employee access (role based) to the Secure Data Environment via identity provisioning and assertion,
 - d. Data content to be shared (Metadata includes: types, elements, response translations), and
 - e. Additions of local rules of use for interagency policy.
3. Integrated Policy/Technology Architecture – All policy components (legal and regulatory) relevant to SVRDT transaction processing are integrated into the Secure Data Environment architecture, and are inherent in the transaction processing system.
 - a. Technology responds to policy, and
 - b. Technology components were designed to add active security and data protection assurances (i.e. automated consent management).
4. Normative Use Technology and Standards – The SVRT Secure Data Environment does not contain anything new or untested including:

Early Learning Data Governance

- a. Compliance with all relevant legal and regulatory requirements as mandated by each agency (including but not limited to CJIS Security Policy for juvenile justice; HIPAA for mental health) is included in the technology architecture,
 - b. Use of relevant agency standards for information exchange (i.e. data naming constructs; data communications/messaging protocols), and
 - c. No need to force changes in agency's operational procedures and current technology.
5. Active Transaction Processing Environment – SVRDT is not an application environment. It is a transaction processing system that provides web services connectivity and data exchange for the participating agencies.
- a. The Secure Data Environment does not store any data on children or their cases, while all transaction data, including user identifications, are monitored and stored for auditability of data uses, and
 - b. All data exchanges, including response to inquiry translations, as well as the links to those data are dynamic, only last for the duration of the transaction (temp storage at edge of internet).
6. Encoded Responses – All data made available to the SVRDT Secure Data Environment is at the discretion of each participating organization. Once data is determined to be sharable by the agency, a Metadata framework is developed. The Metadata framework identifies the data elements to be shared, in accordance with policy/legal conformance, as well as the translated values for each data element to be shared. In many cases, only a “yes/no” response is required for response. It is important to note that the data element and responses selected are not determined or limited by SVRDT, but at the full discretion of the agency with stewardship responsibility for that data.
- a. Encoded policy and legal rules (legal and regulatory requirements) are built into the automated transaction processing environment. When a user makes an inquiry about a child, SVRDT maintains the rules of access and use for that user,
 - b. Users are provided their access credentials for SVRDT by their home agency in accordance with the agency's identity provisioning process (IDP),
 - c. There is a simplified Secure Data Environment sign-on, with Participating Agencies using existing User identities, as assigned and authorized by Participating Agencies,
 - d. Participating Agency Users will assert identity and access credentials when requests are made to enter the SVRDT Secure Data Environment,
 - e. SVRDT will validate the authority of the user to initiate the inquiry by utilizing the agency's director access protocol to extract and test the user's SVRDT access privileges by validating the User's credentials with Participating Agency when presented for access to Secure Data Environment, including validation of User access privileges/attributions (role-based). The process will inform the user if they are not authorized to access the data; otherwise the request will be processed,

Early Learning Data Governance

- f. To assure the accurate selection of a child's encoded data across agencies, SVRDT will use Participating Agency-specific child identifiers to run matching algorithms to find children being served by more than one agency (matching process) Participating Agency specific child identifiers will be linked and the identification management application will require storage of child's name and selected demographic attributes for identification,
 - g. The SVRDT child identification index will maintain linkages across unique child identifiers assigned by each Participating Agency. This is required to correctly link agency specific child identifiers across agencies when multiple agencies are serving the same child, and
 - h. The data will be encrypted and will only be available via internal SVRDT web services Automated Program Interface (API).
7. Dynamic Data Integration – SVRDT is a transaction-centric Secure Data Environment. Data integration is done with data in temporary storage at the “Edge” of the internet. Additionally, all data and links only exist for the length of the transaction.
- a. No direct access (meaning SVRDT web services requests accessing case management data behind agency firewalls) will occur between the SVRDT Secure Data Environment and agency case management systems,
 - b. Data is made available by way of temporary storage areas residing at the “Edge” of the internet,
 - c. Temporary storage of the encoded data, as well as any links to the data and its home location will be deleted upon logging of the transaction data and the conclusion of each transaction, by each agency technical teams in response to SVRDT inquiries,
 - d. To further protect the source data stewarded by the participating agencies, inquiries to agency case management systems are via a web services exchange (request/response), and
 - e. All services are initialized by the SVRDT Exchange Portal. Requests for data are initiated at the SVRDT Data Exchange Portal, received by the source data environments, and response is returned (via the Edge) to the SVRDT Data Exchange Portal for display.
8. Research Integration – SVRDT will contribute new transactional data to SVRDT research partner, University of California at Santa Cruz, to perform long term demographic analysis on the outcomes of students and juveniles receiving treatments and supervision from SVRDT participating agencies. UCSC research will place a premium on the Ethical Use of data by SVRDT participating agencies. Research projects utilizing SVRDT data must be approved by the Leadership Advisory Group and draft reports must be provided to the Leadership Advisory Group in advance of publication.
- B. These architecture and design principles are manifested in the Integrated Policy/Technology Architecture, upon which, the SVRDT Secure Data Environment (SDE) has been constructed. The SDE is built to enhance the delivery of case management services by way of an electronic multi-agency data sharing environment that is available to all SVRDT participating agencies. It

Early Learning Data Governance

will provide improved capabilities to coordinate service interactions across agencies by providing active data in support of critical decisions for the same child and family.

The SDE is compliant with all legal and regulatory compliances for making data on children available for multi-agency coordination and it does not store data on children or their cases. The SDE platform will be operated by the Santa Clara County Office of Education Technology Services Branch as an active Transaction Processing Environment. Technically, it provides web services data connectivity and data integrating for participating SVRDT agencies.

These architecture and design principles, as described above, have been integral to the development of the SVRDT SDE. Descriptions of the logical and services architecture views are described in and incorporated herein as Appendix 6.

IV. USE OF DATA

- A. Permitted Purpose. Participating Agencies shall only access information in accordance with Applicable Laws. Each Participating Agency shall require that its Users comply with this Section.
- B. Permitted Future Uses. Recipients may retain and access information in accordance with Applicable Laws and the Recipient's record retention policies and procedures. Recipient agrees not to further share obtained information without obtaining permission to re-disclose. If the SCCOE uses the services of any subcontractors or consultants, such entities agree to be bound by the terms of this E-MOU and the attached Business Associates Agreement (BAA), which is incorporated herein as Appendix 5.

V. INFORMATION ACCESS POLICIES

- A. Autonomy Principle. No Participating Agency will access another Participating Agency's system. Instead, data and information will be placed into the Front Porch outside of the Participating Agency's "home" network but controlled by the Participating Agency where all data and information will be available to answer any queries by another Participating Agency.
- B. Authentication. Each Participating Agency agrees to establish authentication for and to credential Users of SVRDT and will share such credentialing of Users with SCCOE.

VI. ENTERPRISE SECURITY

- A. General. Each Participating Agency is responsible for maintaining its own systems compliant with State and Federal law, policies, standards and guidelines. Each Participating Agency shall use appropriate safeguards to prevent access to data and information other than as permitted by this E-MOU and Applicable Law, including

Early Learning Data Governance

appropriate administrative, physical, and technical safeguards that protect the confidentiality, integrity and availability of the data and information, integrity, and availability of its data and information. Appropriate safeguards shall be required by Applicable Laws related to Data Security. Each Participating Agency agrees to, as appropriate under Applicable Laws, have written privacy and security policies, including access and disclosure policies, in place before the Participating Agency's Effective Date. To the extent permitted under Applicable Laws, Participating Agency shall comply with Specifications that define expectations with respect to enterprise security.

- B. Malicious Software. Each Participating Agency agrees to employ security controls that meet its applicable requirements so that Data Access will not introduce any viruses, worms, unauthorized cookies, "trojans", malicious software, "malware", or other program, routine, subroutine, or data or information designed to disrupt the proper operation of a System or any part thereof or any hardware or software used by a Participating Agency in connection therewith, or which, upon the occurrence of a certain event, the passage of time, or the taking of or failure to take any action, will cause a System or any part thereof or any hardware, software or data or information used by a Participating Agency in connection therewith, to be improperly accessed, destroyed, damaged or otherwise made inoperable.
- C. Cloud Services. SCCOE shall be the administrator of the SVRDT SDE-contracted commercially hosted server operating as the SVRDT domain server. Such hosted server services shall meet and exceed all of the required Security and Privacy requirements of the Participating Agencies and the contractor shall be bound by the requirements of this E-MOU. Contractor shall sign the BAA, attached and incorporated herein as Appendix5.

VII. EQUIPMENT AND SOFTWARE

In accordance with Applicable Laws, each Participating Agency shall be responsible for procuring and assuring that its Users have or have access to, all equipment and software necessary for it to access data and information. Each Participating Agency shall ensure that all computers and electronic devices owned or leased by the Participating Agency used to access data and information are properly configured, including, but not limited, the operating system, web server, and Internet connectivity.

In addition, SCCOE shall purchase software to assist in the identification of the children shared by the Participating Agencies as discussed in Section III.A.6.f.

VIII. AUDITING

SCCOE, through the SVRDT initiative, shall provide to each Participating Agency the ability to monitor and audit all access to its data and information obtained through this E-MOU, to ensure system administration, security, and that access is strictly for

Early Learning Data Governance

legitimate purposes. Each Participating Agency shall have access to such auditing activities, as discussed in Section III.A.1.d., in real time and upon access determined by each of the Participating Agency's policies and procedures.

IX. EXPECTATIONS OF PARTICIPATING AGENCIES

- A. Upfront Data. Participating Agencies have agreed initially to make available particular data elements called Upfront Data. Such data elements are included as Appendix 6. Any future Participating Agencies agree to provide access to similar data elements available to Users by other Participating Agencies, as developed by the process determined by the Oversight Advisory Committee. Nothing in this E-MOU shall require access to data that would violate Applicable Laws.
- B. Future Data Elements. Case manager representatives from Participating Agencies have outlined potential future data elements to make available to Users from other Participating Agencies. Prior to such data elements being made available, executive, legal and technology representatives shall review each data element and agree that the data element is available to share, whether it shall be made available, to whom, and under what circumstances. If there are data elements that Participating Agencies desire or determine to make available for access by other Participating Agencies, the same process as described herein shall occur. No Participating Agency shall be forced to make any data element available for access by another Participating Agency.
- C. If a Participating Agency desires to stop making access to a data element to another Participating Agency based on another Participating Agency's acts or omissions in connection with this E-MOU, the Participating Agency may temporarily stop providing access to such other Participating Agency to the extent necessary to address the Participating Agency's concerns and to the extent allowed or required by Applicable Law. If such cessation occurs, the Participating Agency shall provide a Notification to the Oversight Advisory Committee of such cessation and the reasons supporting the cessation. The Participating Agencies shall submit the Dispute leading to the cessation through the Dispute Resolution Process. If the cessation is a result of a Breach that was reported to, and deemed resolved pursuant to Appendix 3, the Participating Agencies involved in the Breach and the cessation agree to engage in the Dispute Resolution Process in an effort to attempt to reestablish trust and resolve any security concerns arising from the Breach.
- D. Each Participating Agency shall require that all of its Users and Information Technology Service Provider (ITSP) make data elements available for access in accordance with the terms and conditions of the E-MOU, including without limitation those governing the authorization, use, confidentiality, privacy, and security of the Data Elements.

Early Learning Data Governance

X. SPECIFIC DUTIES OF A PARTICIPATING AGENCY WHEN MAKING DATA AVAILABLE FOR ACCESS

- A. All Participating Agencies shall agree to make access available to those Data Elements that all the Participating Agencies agree is available pursuant to the confidentiality and privacy requirements of Applicable Laws.
- B. In the future, if Participating Agency decides that it will no longer permit access to a particular data element to either a particular Participating Agency or to all of the Participating Agencies, the providing Participating Agency shall provide a Notification to the Oversight Advisory Committee of such cessation and the reasons supporting the cessation. If the cessation is a result of a Breach that was reported to, and deemed resolved pursuant to Appendix 3, the Participating Agencies involved in the Breach and the cessation agree to permit the Oversight Advisory Committee an opportunity to resolve the matter and reestablish the Trust and resolve any security concerns arising from the Breach. If Breach requirements established by state and federal requirements prevent this prior notice being given, Participating Agency shall abide by the state and federal requirements and provide notice to the Oversight Advisory Committee as soon as possible.
- C. In the future, the access to new data elements shall be at the agreement of the Participating Agencies. The Participating Agencies may involve representatives from their agencies, depending on the purpose of adding the data element, including but not limited to case managers and supervisors, technology, county counsel and research specialists.
- D. Each Participating Agency shall require that all of its Users and technology staff access data only in accordance with the terms and conditions of this E-MOU, including without limitation, those governing the authorization, use, confidentiality, privacy and security of the Data.

If Applicable Laws require an Authorization from the individual who is the subject of the Data element in order for the requesting Participating Agency to have access, the requesting Participating Agency shall ensure that there is a valid Authorization on file with the SVRDT that meets all of the requirements of Applicable Laws. This duty is in addition to the protections that are inherent in the SVRDT system.

XI. PRIVACY AND SECURITY

- A. Applicability of Privacy and Security Regulations. To maintain the privacy, confidentiality, and security of the Data, each Participating Agency shall comply with

Early Learning Data Governance

Applicable Laws, applicable Participating Agency access and making data available for access, and this E-MOU.

- B. Safeguards. In accordance with Sections VI, VII, and VIII of this E-MOU, Participating Agencies shall use reasonable and appropriate administrative, physical, and technical safeguards and comply with the provisions of this E-MOU to protect Data and to prevent use or disclosure of Data other than as permitted by Section IV of this E-MOU.
- C. Breach notification.
 - 1. Participating Agencies shall report to the SCCOE's SVRDT office all known incidents that threaten the security of any of the databases and Data communications resulting in the exposure of Data protected by Applicable Laws, or other incidents compromising the security of the Participating Agencies' information technology systems with the potential to cause major disruption to normal agency activities. Such reports shall be made to the SCCOE's SVRDT office within 24 hours from when the Participating Agency discovered or should have discovered the occurrence. Participating Agencies also shall comply with all Applicable Laws regarding breaches. Policies and Procedures for Breach Notification have been provided in Appendix 3.
 - 2. The Participating Agency that causes the Breach has the responsibility to determine that a Breach has occurred and to take restorative and corrective measures to correct the Breach. This Participating Agency that causes the Breach also has the responsibility to provide notice to the (1) Individual(s), if required by Applicable Laws, whose data has been affected by the Breach; (2) Participating Agency which is the "home" agency or owner of the data that is the subject of the Breach; and (3) if required by Applicable Laws, to the State.
 - 3. If a Participating Agency's consultants, contractors, and business associates are involved with a Breach, the particular Participating Agency shall ensure that such consultant, contractor and business associate shall abide by the terms of the E-MOU and the BAA which is incorporated and attached hereto as Appendix 5.
 - 4. If there is a dispute as to the existence of a Breach, the Participating Agencies agree to proceed in accordance with the dispute resolution described in Appendix 3, which is attached and incorporated hereto.
- D. Conflict of Obligations. This Section shall not be deemed to supersede a Participating Agency's obligations (if any) under relevant security incident, breach notification or confidentiality provisions of Applicable Laws.

Early Learning Data Governance

- E. Compliance with this Section shall not relieve Participating Agencies of any other security incident or Breach reporting requirements under Applicable Laws including, but not limited to those related to notice to Individuals.

XII. RESPONSIBILITIES OF THE PARTICIPATING AGENCIES

Each Participating Agency hereby agrees to the following:

- A. Oversight Advisory Committee. Each of the Participating Agencies agrees to participate as a voting member of the Oversight Advisory Committee of the SCCOE SVRDT initiative.
- B. Execution of the E-MOU. Each Participating Agency shall execute this E-MOU and return an executed copy of the E-MOU to the SCCOE. In doing so, the Participating Agency affirms that it has full power and authority to enter into and perform this E-MOU and has taken whatever measures are necessary to obtain all required approvals or consents in order for it to execute this E-MOU. The representatives signing this E-MOU on behalf of the Participating Agencies affirm that they have been properly authorized and empowered to enter into this E-MOU on behalf of the Participating Agency. The Participating Agency director (or the County Executive on behalf of the Participating Agencies in that particular county) shall be the representative authorized to sign on behalf of the Participating Agency.
- C. Compliance with this E-MOU. Except to the extent prohibited by Applicable Laws, each Participating Agency shall comply fully with all provisions of this E-MOU.
- D. Agreements with Users. Each Participating Agency shall have established agreements or acknowledgements with each of its Users that require the User to, at a minimum: (i) comply with all Applicable Laws; (ii) reasonably cooperate with the Participating Agency on issues related to this E-MOU; (iii) access data only for a permitted purpose and in accordance with the terms and conditions of this E-MOU; (iv) within 24 hours after determining that a Breach occurred, User will report such Breach to the Participating Agency; and (v) refrain from disclosing to any other person any of their passwords or other security measures issued to the User. Notwithstanding the foregoing, for Users who are employed by a Participating Agency or who have agreements with the Participating Agency which became effective prior to the Effective Date, compliance with this Section may be satisfied through written policies and procedures that address items (i) through (v) of this Section so long as the Participating Agency can document that there is a written requirement that the User must comply with the policies and procedures.
- E. Agreements with Vendors. To the extent that a Participating Agency uses vendors in connection with the Participating Agency's data collection and maintenance, each Participating Agency affirms that it has established agreements with each of its vendors

Early Learning Data Governance

that require the vendor to, at a minimum: (i) comply with Applicable Laws; (ii) protect the privacy and security of any Data to which it has access; (iii) as soon as reasonably practicable after determining that a Breach occurred, report such Breach to the Participating Agency; (iv) reasonably cooperate with the other Participating Agencies to this E-MOU on issues related to this E-MOU, under the direction of the Participating Agency. Vendor further shall agree to abide by the terms of this E-MOU and to the BAA, attached hereto and incorporated as Appendix 5.

- F. Creation of Test Data. Certain Participating Agencies may agree to work in partnership with SCCOE SVRDT personnel to create Test Data to be used by other Participating Agencies for testing. Any Test Data shall not contain personally identifiable information. Test Data shall be used only within a Test environment.
- G. Accuracy of Data. When making Data available to access, each Participating Agency hereby represents that at the time of making it accessible for inquiries, the Data is (i) an accurate representation of the Data contained in, or available through, its System; (ii) sent from a System that employs security controls that meet Applicable Laws so that the Data are intended to be free from malicious software in accordance with Section VI.B.; and (iii) provided in a timely manner and in accordance with the specifications provided by SVRDT.
- H. Use of Data. Each Participating Agency shall use Data available to it to make inquiries through SVRDT only in accordance with the provisions of this E-MOU or as permitted or required with Applicable Laws.
- I. Compliance with Laws. Each Participating Agency shall fully comply with all Applicable Laws.

XIII. TREATMENT OF DATA

Each Participating Agency that receives a response to an inquiry dealing with personally identifiable Data shall hold such response and information in confidence and agrees that it shall not, during the term or after termination of this E-MOU, re-disclose to any person or entity; each Participating Agency also agrees not to use information obtained in connection with this E-MOU in any manner other than the purpose for which it was made available to the Participating Agency, unless the re-disclosure or use is permitted or required by the Applicable Laws and by the terms of this E-MOU.

XIV. DISCLAIMERS

Reliance on a system. Each Participating Agency acknowledges and agrees that: (i) the Data provided by or through its System may be drawn from numerous sources; (ii) the Data is specific to the point in time when updated, and (iii) it can only confirm that, at

Early Learning Data Governance

the time of making the Data available for inquiry, the Data are an accurate representation of Data contained in, or available through, its System. Nothing in this E-MOU shall be deemed to impose responsibility or liability on a Participating Agency related to the clinical accuracy, content or completeness of any Data provided pursuant to this E-MOU. The Participating Agencies acknowledge that other Participating Agencies' digital credentials may be activated, suspended, or revoked at any time or the Participating Agency may suspend its participation; therefore, Participating Agencies may not rely upon the availability of a particular Participating Agency's Data. SCCOE SVRDT shall strive for the highest percentage of reliability in the matching process of Individual Data and shall agree to a continuous quality assurance program to increase the highest percentage of reliability that is possible.

XV. TERM OF E-MOU

- A. Term. The term of this E-MOU shall be for a period of five (5) years commencing on the Effective Date.
- B. Renewal. At the end of the term of this E-MOU, the Participating Agencies can renew the E-MOU by signing a mutually-agreed amendment.
- C. Termination or Modification of E-MOU. If the majority of the Participating Agencies that comprise the SCCOE SVRDT Oversight Advisory Committee members vote to terminate or modify this E-MOU, the E-MOU will terminate or be modified within ninety (90) days of written notice from SCCOE to all the Participating Agencies in accordance with the process described in Appendix 2.

XVI. ADDITION, SUSPENSION, REINSTATEMENT, TERMINATION AND WITHDRAWAL OF PARTICIPATING AGENCIES

- A. Addition of Participating Agencies. On-boarding of new Participating Agencies shall be in accordance with Appendix 1 of this E-MOU.
- B. Suspension, Reinstatement, Termination or Withdrawal of Participating Agencies. Suspensions, reinstatements, termination or withdrawal of Participating Agencies shall be in accordance with Appendix 1 and Appendix 4. of this E-MOU.
- C. Effect of Termination or Withdrawal of Participating Agencies. Upon any termination or withdrawal of a Participating Agency from this E-MOU for any reason, the terminated or withdrawing Participating Agency shall cease to be a Participating Agency and thereupon neither that Participating Agency nor its Users shall have any rights to participate in the SCCOE SVRDT. In the event a Participating Agency fails to comply with the policies and procedures of the SCCOE SVRDT, after being given an opportunity to

Early Learning Data Governance

correct and comply, the Oversight Advisory Committee may vote to recommend to SCCOE to revoke a Participating Agency's access to data via SCCOE SVRDT. If the SCCOE agrees with the recommendation, the SCCOE shall provide a Notice of such revocation to the remaining Participating Agencies. In the event that any Participating Agency is terminated or decides to withdraw, this E-MOU will remain in full force and effect with respect to all other Participating Agencies. If any Participating Agency is terminated or withdraws from the SCCOE SVRDT, that particular Participating Agency may consider executing alternate data sharing agreements and where required by Applicable Laws, shall do so.

XVII. DISPUTE RESOLUTION PROCESS

- A. General. If any Dispute arises between Participating Agencies, those Participating Agencies agree to commence efforts to resolve such dispute in good faith via a designated subcommittee of the Oversight Advisory Committee. The subcommittee will be formed by the Oversight Advisory Committee within seven (7) business days after written notification of the Dispute. Any Participating Agency may submit written notification of a Dispute to the Oversight Advisory Committee. If the Dispute has not been resolved by the subcommittee within thirty (30) days after first having been referred to the subcommittee (or at any earlier time, if requested by the Participating Agencies who are parties to the Dispute), such Dispute may be referred to the Oversight Advisory Committee for resolution. The Participating Agencies who are parties to the Dispute may recuse themselves but such recusal is not necessary. The Oversight Advisory Committee shall have thirty (30) days to attempt to resolve the Dispute. Notwithstanding the provisions of this Section, at any time, any Participating Agency may unilaterally choose to withdraw and terminate their participation in the SCCOE SVRDT in lieu of following the Dispute Resolution Process.
- B. Activities during Dispute Resolution Process. Pending resolution of any Dispute under this E-MOU, the Participating Agencies agree to fulfill their responsibilities in accordance with this E-MOU, unless the Participating Agency voluntarily withdraws from making data access available and from accessing data from other Participating Agencies or is suspended from participating in the SCCOE SVRDT.
- C. Implementation of Agreed Upon Resolution. If, at any point during the Dispute Resolution process, all of the Participating Agencies to the Dispute accept a proposed resolution of the Dispute, the Participating Agencies agree to implement the terms of the resolution in the agreed upon timeframe.
- D. Disputes between a Participating Agency and the Oversight Advisory Committee. If any Dispute arises between a Participating Agency and the Oversight Advisory Committee, such Disputed Matter is escalated to the Superintendent of the SCCOE. Notwithstanding the provisions of this Section, at any time, any Participating Agency

Early Learning Data Governance

may unilaterally choose to voluntarily suspend or terminate their participation in the SCCOE SVRDT in lieu of following the Dispute Resolution Process.

- E. Dispute Resolution before Suspension. Participating Agencies agree to address differences using this Dispute Resolution Process as their initial method to resolve disagreements with other Participating Agencies. A good faith effort should be made proactively to resolve differences between Participating Agencies, before the Oversight Advisory Committee will consider interceding to suspend a Participating Agency for failing to fulfill their E-MOU defined duties.

XVIII. NOTICES

All Notices to be made under this E-MOU shall be given in writing to the authorized Participating Agency's representative at the address listed with the Oversight Advisory Committee, and shall be deemed given: i) upon delivery, if personally delivered; (ii) upon the date indicated on the return receipt, when sent by the United States Postal Service Certified Mail, Federal Express, UPS or other delivery service, return receipt requested; and (iii) if by e-mail, facsimile telecommunication or other form of electronic transmittal, upon receipt, when the Notice is directed to an electronic mail address or a facsimile telecommunication number listed with the Oversight Advisory Committee and the sending electronic mail address or sending facsimile machine receives confirmation of receipt by the receiving electronic mail address or facsimile machine.

XIX. MISCELANEOUS/GENERAL

- A. Governing Law. This E-MOU shall be governed by and construed in accordance with the laws of the State of California.
- B. Amendment. An amendment of the E-MOU may be recommended by agreement of at least two-thirds of the Oversight Advisory Committee in accordance with Appendix 2. All Participating Agencies agree to sign an amendment adopted in accordance with the provisions of this Section or terminate participation in accordance with Appendix 1 of this E-MOU. Participating Agencies shall have the right to challenge an Oversight Advisory Committee recommendation to amend the E-MOU, with the challenge being considered a Disputed Matter and resolved based on the Dispute Resolution Process described in this E-MOU in Section XX. Notwithstanding the provisions of this Section and Appendix 1 of this E-MOU, at any time any Participating Agency may unilaterally choose to voluntarily suspend or terminate their participating in the SCCOE SVRDT in lieu of signing an amendment to this E-MOU.
- C. Entire E-MOU. This E-MOU, together with all Appendices and Attachments, and the Multi-Agency Agreement, constitutes the entire agreement.

Early Learning Data Governance

- D. **Validity of Provisions.** In the event that any Section, or any part or portion of any Section of this E-MOU, is determined to be invalid, void, or otherwise unenforceable, each and every remaining Section or part or portion thereof shall remain in full force and effect.
- E. **Priority.** In the event of any conflict or inconsistency between a provision in the body of this E-MOU and any attachment hereto, the terms contained in the body of this E-MOU shall prevail.
- F. **Headings.** The heading throughout this E-MOU are for reference purposes only, and the words contained therein may in no way be held to explain, modify, amplify, or aid in the interpretation, construction or meaning of the provisions of this E-MOU. All references in this instrument to designated “Sections” and other subdivisions are to the designated Sections and other subdivisions of this E-MOU. The words “herein,” “hereof,” “hereunder,” and other words of similar import refer to this E-MOU as a whole and not to any particular Section or other subdivision.
- G. **Relationship of the Participating Agencies.** Nothing in this E-MOU shall be construed to create a partnership, agency relationship, or joint venture among the Participating Agencies. Neither the Oversight Advisory Committee nor any Participating Agency for any purpose, nor shall any such Participating Agency hold itself out as having such authority. No Participating Agency shall be held liable for the acts or omissions of another Participating Agency.
- H. **Effective Date.** With respect to the first two Participating Agencies to this E-MOU, the Effective Date shall be the date on which the second Participating Agency executes this E-MOU. For all Participating Agencies thereafter, the Effective Date shall be the date that the Participating Agency executes this E-MOU.
- I. **Counterparts.** This E-MOU may be executed in any number of counterparts, each of which shall be deemed an original as against the Participating Agency whose signature appears thereon, but all of which taken together shall constitute but one and the same instrument.
- J. **Third-Party Beneficiaries.** There shall be no right of any person to claim a beneficial interest in this E-MOU or any rights occurring by virtue of this E-MOU.
- K. **Force Majeure.** A Participating Agency shall not be deemed in violation of any provision of this E-MOU if it is prevented from performing any of its obligations by reason of: (a) severe weather and storms; (b) earthquakes or other disruptive natural occurrences; (c) power failures; (d) nuclear or other civil or military emergencies; (e) terrorist attacks; (f) acts of legislative, judicial, executive, or

Early Learning Data Governance

administrative authorities; or (g) any other circumstances that are not within its reasonable control. This Section shall not apply to obligations imposed under Applicable Law.

- L. Time Periods. Any of the time periods specified in this E-MOU may be changed pursuant to the mutual written consent of the Oversight Advisory Committee and the affected Participating Agencies.

**SVRDT
ENTERPRISE
MEMORANDUM OF UNDERSTANDING (E-MOU)
APPENDICES
June 17, 2019**

Early Learning Data Governance

APPENDIX 1

**Procedures for Adding a New Participating Agency and Suspending, Reinstating,
Terminating and Withdrawal of a Participating Agency**

1. Adding a New Participating Agency

When an Applicant requests to join this E-MOU, the request shall be directed to the Oversight Advisory Committee in writing. The Applicant must indicate its understanding that the SVRDT is built on trust and that the Applicant will only use the SVRDT to improve the outcomes for the children and their families it serves. The Oversight Advisory Committee shall review the request and determine whether the application conforms to the definition of Participating Agency as specified in Article I of the E-MOU and to the requirements in the Multi-Agency Agreement. Once the Oversight Advisory Committee determines that the Applicant meets the requirements of a Participating Agency, the Oversight Advisory Committee shall vote on whether the requesting entity may join the E-MOU at the next regularly scheduled meeting. If the Oversight Advisory Committee votes to accept the Applicant by unanimous vote, the Committee will advise the SCCOE of its decision. If the SCCOE agrees with the decision of the Oversight Advisory Committee, the Applicant will be considered a Participating Agency and shall execute this E-MOU with its supporting appendices.

If the Oversight Advisory Committee does not vote to accept the Applicant by unanimous vote to become an E-MOU Participating Agency, the Committee will advise the SCCOE of its decision and the SCCOE will so advise the Applicant, with specific reasoning as to why they are precluded from participation.

2. Suspending a Participating Agency

A. Voluntarily by the Participating Agency

1. Service Level Interruptions

Participating Agencies may experience temporary service level interruptions from time to time. These service interruptions may be planned or unplanned. A service level interruption may result in a Participating Agency having to temporarily cease making data available with other Participating Agencies. To ensure that all Participating Agencies are aware of service level interruptions, the Participating Agency experiencing the service level interruption agrees to notify the SCCOE's designated staff person of the interruption prior to the interruption as early as possible but no later than one business day before the interruption, if planned (and Participating Agency agrees that if planned, the interruption will occur outside of normal business hours, if possible); or as soon as

Early Learning Data Governance

reasonably practicable after the interruption begins, if unplanned. The SCCOE's designated staff person shall simultaneously notify all the other Participating Agencies of the interruption. Since a service level interruption does not involve the suspension of a Participating Agency, the Participating Agency agrees to be responsible for taking all technical actions necessary to resolve the provision of data interruption. During a service interruption, the Participating Agency agrees to comply with the terms and conditions of the E-MOU.

2. Voluntary Suspension

If a Participating Agency decides that it requires a temporary suspension of its participation in the SVRDT and its responsibility for complying with the terms of the E-MOU, it agrees to provide Notice to the SCCOE's designated staff person of its need for a temporary voluntary suspension at least twenty-four (24) hours prior to commencing its voluntary suspension. The Notice shall specify the reason(s) for, the commencement date of, and the duration of the voluntary suspension. The SCCOE shall approve such voluntary suspension and simultaneously notify all other Participating Agencies of the voluntary suspension.

B. With Cause

If the Oversight Advisory Committee finds that a Participating Agency is in Material Default of the performance of a duty or obligation imposed on the Participating Agency by this E-MOU, it shall recommend that the SCCOE notify the Participating Agency, in writing, as soon as possible but no later than two (2) business days after the recommendation, of such default. Material Defaults include, but are not limited to, failure to comply with:

- Any privacy, security or confidentiality obligations in the E-MOU;
- Repeated failure to fulfill the duties of a Participating Agency, including a requesting or responding Participating Agency as provided for in the E-MOU;
- Any Breach of the representations in the E-MOU; and
- Using data from another Participating Agency to the detriment of the child or family.

If the Participating Agency does not substantially cure its Material Default within thirty (30) days following receipt of the written Notice of such default from the SCCOE, the Oversight Advisory Committee may recommend that the SCCOE suspend the Participating Agency.

Additionally, the Oversight Advisory Committee shall investigate all complaints, reports, or other information received regarding concerns that a Participating Agency's information technology (IT) system is creating an immediate threat of information Breach or will cause

Early Learning Data Governance

irreparable harm to another Participating Agency, including, but not limited to, another Participating Agency, a User, or an Individual whose information is shared pursuant to this E-MOU. The Oversight Advisory Committee shall notify the SCCOE of any recommendation that such Participating Agency be issued a finding requiring a corrective action plan to remedy the issue for the specific IT system.

When the complaint, report, or other information indicates that a suspension from sharing data with a Participating Agency's specific IT system must be implemented immediately and, in the judgment of the SCCOE's designated person, it is not practical to delay the suspension until the Oversight Advisory Committee is convened, the SCCOE shall immediately:

- Take all technical actions necessary to carry out the suspension including, but not limited to, suspension of the Participating Agency's participation in the SVRDT;
- Call a special meeting as soon as possible of the Oversight Supervising Committee to evaluate the recommendation of the suspension; and
- Notify the suspending Participating Agency of the suspension (as well as the other Participating Agencies of the decision).

The investigation by the Oversight Advisory Committee discussed above may follow the immediate action.

If the SCCOE's designated person determines that immediate suspension is not required, the Oversight Advisory Committee may initiate an investigation of the complaint, report, or other information. The Oversight Advisory Committee shall immediately notify the Participating Agency in question of the investigation.

The Oversight Advisory Committee shall meet as soon as practicable, but no later than five (5) business days after the receipt of the complaint by the Oversight Advisory Committee, to evaluate the suspension action of the SCCOE's designated person. The suspension shall remain in effect until the Oversight Advisory Committee meets to evaluate the suspension and makes a recommendation to the SCCOE to affirm, modify, or terminate the suspension. The member(s) of the Oversight Advisory Committee from the suspended Participating Agency may recuse themselves from any decisions, but there are circumstances when the Participating Agency will participate in the decision.

If a complaint is referred to the Oversight Advisory Committee and such complaint has not been resolved by the Oversight Advisory Committee within thirty (30) days after it was referred (or such longer period as agreed to in writing by the Participating Agencies who are parties to the complaint), then the complaint shall be escalated to the SCCOE Superintendent or designee for resolution. If the SCCOE Superintendent cannot reach a decision within five (5) business days from the referral or does not state that an additional five (5) business days

Early Learning Data Governance

is necessary to reach a decision, then the complaint is dismissed with no action taken against the Participating Agency.

If through the investigation, the Oversight Advisory Committee recommends that a Participating Agency is (i) creating an immediate threat, or (ii) will cause irreparable harm to another party including, but not limited to another Participating Agency, a User, or an Individual whose information is made available pursuant to the E-MOU, the Oversight Advisory Committee may recommend to the SCCOE that such Participating Agency be issued a finding requiring a corrective action plan to remedy the issue for the IT system. If the SCCOE concurs in the recommendation, the SCCOE Superintendent or designee shall take all technical actions necessary to carry out the finding or suspension including but not limited to suspension of the Participating Agency's participation in the SVRDT. As soon as reasonably practicable after suspending a Participating Agency, but in no case longer than two (2) business days the Oversight Advisory Committee shall provide the suspended Participating Agency with a written summary of the reasons for the suspension and notify all other Participating Agencies of the suspension.

The suspended Participating Agency agrees to provide the Oversight Advisory Committee with a written plan of correction or an objection to the suspension within five (5) business days of being notified of the suspension.

Any objection shall specify the reason that the Participating Agency feels the suspension is inappropriate. The plan of correction shall detail the action that the Participating Agency is taking to address, mitigate and remediate the issue(s) that were the basis for the suspension as outlined in the summary and include a timeframe for such actions. The Oversight Advisory Committee shall meet and review a suspended Participating Agency's plan of correction or objection within five (5) business days of receipt from the Participating Agency; determine whether to recommend to the SCCOE Superintendent or designee to accept or reject the plan of correction or affirm the suspension; and communicate such decision to the SCCOE Superintendent or designee who will act on such recommendation and provide her decision to the subject Participating Agency and to all Participating Agencies.

If the Oversight Advisory Committee rejects the plan of correction, it shall work in good faith with the suspended Participating Agency to develop a mutually acceptable plan of correction. If the Oversight Advisory Committee and the suspended Participating Agency cannot reach agreement on the content of the plan of correction or on the reasons supporting the suspension, the Oversight Advisory Committee may submit the dispute to the SCCOE Superintendent or designee.

Any suspensions imposed shall remain in effect unless the Participating Agency is reinstated in accordance with the terms of this E-MOU. A finding requiring a corrective action plan, but

Early Learning Data Governance

not a suspension, shall describe the action that the Participating Agency is taking to address, mitigate and remediate the issue(s) that caused the Oversight Advisory Committee to make the finding and include a timeframe for such actions. The Participating Agency's corrective action plan in response to an Oversight Advisory Committee finding shall be submitted within thirty (30) days of the finding being issued. The Oversight Advisory Committee shall meet and review a Participating Agency's corrective action plan at the next regular meeting following the submission of the corrective action plan from the Participating Agency; determine whether to recommend to the SCCOE to accept or reject the plan; and communicate such decision to the SCCOE Superintendent or designated person who will act on such recommendation and provide her decision to the Participating Agency and to the Participating Agencies no later than five (5) business days after receipt from the Oversight Advisory Committee.

3.Reinstatement

A. After Voluntary Suspension by a Participating Agency

The Participating Agency's notification of a voluntary suspension shall state the commencement date and the duration of the suspension. The Participating Agency may extend the duration of the voluntary suspension should it be necessary as determined by the Participating Agency.

Either on the date indicated by the Participating Agency in the suspension or extension request or at an earlier time if requested by the Participating Agency, the SCCOE shall take all technical actions necessary to reinstate the Participating Agency's ability to participate in the SVRDT including, but not limited to, the reinstatement of the Participating Agency in the SVRDT.

B. After Suspension with Cause

When a Participating Agency's ability to participate in the SVRDT has been suspended by the Oversight Advisory Committee with cause, the Participating Agency agrees to provide evidence to the Oversight Advisory Committee of the Participating Agency's fulfillment of the obligations of its plan of correction. The Oversight Advisory Committee shall review such evidence at its next regularly scheduled meeting following receipt from the Participating Agency.

If the Oversight Advisory Committee is not satisfied that the Participating Agency has met its obligations under its plan of correction, the Oversight Advisory Committee shall inform the Participating Agency of the specific deficiencies within five (5) business days of reaching that

Early Learning Data Governance

decision. The Participating Agency will have the ability to submit additional evidence that addresses such deficiencies.

When the Oversight Advisory Committee is satisfied that the evidence presented indicates that the Participating Agency has fulfilled its obligations under the plan of correction, it shall recommend that the SCCOE Superintendent or designee take all technical actions necessary to reinstate the Participating Agency's ability to participate in the SVRDT including, but not limited to, the reinstatement of the Participating Agency. Such action should be completed as soon as possible but not later than three (3) business days after reaching that decision. The SCCOE Superintendent or designee shall inform all the Participating Agencies of such reinstatement forthwith.

APPENDIX 2

Change Process for SVRDT E-MOU

1. Submission of Proposed Amendments to the SVRDT E-MOU

Any Participating Agency may submit in writing a request for an amendment to the SVRDT E-MOU to the Oversight Advisory Committee. All requests for proposed amendments shall identify:

- A. The Section of the E-MOU that is the subject of the requested amendment (if any);
- B. A description of the reason(s) for the requested amendment;
- C. The proposed language for the requested amendment; and
- D. An analysis of the expected impact of the requested amendment.

2. Consideration of Proposed Amendment to the SVRDT E-MOU

If after considering the request at the next regularly-scheduled meeting, the Oversight Advisory Committee determines by a (unanimous)(majority)(two-thirds) vote that the request has merit, the Oversight Advisory Committee shall forward the recommendation to the SCCOE Superintendent or her designee to seek approval of the recommended amendment. When the Oversight Advisory Committee seeks approval of such amendments, the Oversight Advisory Committee shall provide the SCCOE Superintendent or her designee with the following information:

- A. A copy of the proposed amendment to the SVRDT E-MOU;
- B. Description of the reason(s) for the requested amendment and any foreseeable impact of the amendment;
- C. Statement regarding whether the proposed amendment is necessary in order for the Oversight Advisory Committee or the Participating Agencies to comply with Applicable Law; and
- D. Projected effective date for the proposed amendment.

If the SCCOE Superintendent or her designee agrees with the proposed amendments to the SVRDT E-MOU, the SCCOE Superintendent or her designee will advise all of the Participating Agencies of each decision and the effective date for the proposed amendment.

Early Learning Data Governance

3. Approval or Rejection of Proposed Amendment to the SVRDT E-MOU

The Oversight Advisory Committee shall meet to consider the amendment proposed by a Participating Agency. For the Oversight Advisory Committee to consider voting on a proposed amendment, at least two-thirds of the members of the Oversight Advisory Committee must approve considering the amendment. Once the approval to consider it obtained, the Oversight Advisory Committee shall vote on the proposed amendment.

Once an amendment is recommended unanimously by the Oversight Advisory Committee and the SCCOE Superintendent or designee agrees with the recommendation, all Participating Agencies shall be advised to sign the amendment to the SVRDT E-MOU prior to the effective date of the amendment.

A. Requests for Change.

The Oversight Advisory Committee shall have the authority to recommend to the SCCOE's Superintendent or her designee to adopt new or to make changes to the existing SVRDT E-MOU that is necessary:

- 1) For compliance with Applicable Law; or
- 2) To maintain the integrity of Data being accessed.

If the reason for the change is for compliance reasons, the Oversight Advisory Committee shall first ask the Legal Workgroup to opine that the change is indeed necessary to be compliant with Applicable Law.

B. Receipt

All requests for amendments to the SVRDT E-MOU shall be directed in writing to the Oversight Advisory Committee's designated person for receiving such requests. Once received, the designated person shall catalog the request upon receipt. The catalog shall include:

- 1) Type of the proposed amendment (e.g. new, amendment, repeal);
- 2) Whether the proposed amendment is for compliance reasons or relate to the integrity of the Data provided for access;
- 3) Brief description of the reasons for the proposed amendment (e.g. to meet requirements of a new use case or to comply with a specific law or regulation);
- 4) Description of the proposed amendment;
- 5) Preliminary analysis of the potential operational and technical impact to the Participating Agencies and their Users; and

Early Learning Data Governance

6) Requesting Participating Agency and date of request.

C. Evaluation

The Oversight Advisory Committee has the ability to forward the request for an amendment to a task group designated by the Oversight Advisory Committee for evaluation of the request and to make a recommendation to the Oversight Advisory Committee. During consideration of the request for an amendment, the task group may request additional information from the Oversight Advisory Committee, the Participating Agencies, or the requesting Participating Agency, as the task group deems reasonably necessary.

1) Evaluation Criteria for Proposed Amendments

a) Evaluation of a Non-Compliance Request for Amendment

- i) Each Participating Agency shall be provided a copy of the proposed amendment. A Participating Agency may respond in writing to the Oversight Advisory Committee by a designated response date with the following information:
 - a. Whether the implementation of the proposed amendment will have a significant adverse operational or financial impact on the Participating Agency;
 - b. Whether the implementation of the proposed amendment will require the Participating Agency to materially modify any existing agreements with Users or third parties;
 - c. Whether the Participating Agency believes that implementation of the proposed amendment will require an amendment to the permitted purposes of the E-MOU; and
 - d. Whether the implementation would potentially violate Applicable Law and a description of the potential violation.

The Participating Agency agrees to provide rationale for each affirmative response. The task group or the Oversight Advisory Committee may request additional information from Participating Agencies to further evaluate the responses.

- ii) The task group shall review responses from the Participating Agencies to inform the recommendation to the Oversight Advisory Committee about the proposed amendment.

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- iii) If a new agency becomes a Participating Agency after Participating Agencies have been asked to respond to questions about the proposed amendment but before the designated response date, this new Participating Agency will be given an opportunity to respond by the designated response date.
- iv) The task group shall present its recommendations to the Oversight Advisory Committee at its next regularly-scheduled meeting following the designated response date. The Oversight Advisory Committee shall review the task group's recommendation and make a final recommendation to the SCCOE's Superintendent or her designee regarding whether the proposed amendment should be approved.

b) Evaluation of a Compliance Amendment

If the proposed amendment is a Compliance Amendment, the Legal Workgroup will review the proposed amendment to validate the legal requirement. The Legal Workgroup shall present its findings and recommendation on the proposed amendment in writing to the Oversight Advisory Committee prior to the regularly-scheduled meeting or earlier if the implementation requires a more timely response. The Oversight Advisory Committee shall review the Legal Workgroup's recommendations and request to meet with the Legal Workgroup or a representative thereof to further discuss the findings of the Legal Workgroup. Thereafter, the Oversight Advisory Committee shall make a final recommendation to the SCCOE Superintendent or her designee within one (1) week of meeting with the Legal Workgroup.

c) Evaluation of the Timeline for Implementation of the Proposed Amendment

For both non-compliance and compliance proposed amendments, the task group or the Legal Workgroup shall assess and make recommendations to the Oversight Advisory Committee regarding the timeline for implementing the proposed amendment. The Oversight Advisory Committee shall provide an opportunity for any Participating Agency to provide feedback on their preferred timeline. The Oversight Advisory Committee shall review the task group or Legal Workgroup's recommendation and make a final determination regarding the timeline to recommend to the SCCOE Superintendent or her designee.

2) Response

a) Non-Compliance Proposed Amendment

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At the conclusion of the response period established during the evaluation of the proposed amendment, the Oversight Advisory Committee shall evaluate whether to recommend to the SCCOE's Superintendent or her designee that the non-compliance amendment to the SVRDT E-MOU be approved and a proposed timeline for implementation. The recommendation of the Oversight Advisory Committee regarding the non-compliance proposed amendment and the proposed timeline for implementation shall be communicated to the SCCOE Superintendent or her designee. Revisions to the E-MOU necessitated by the approved amendment will be performed in accordance with Appendix 2 of this E-MOU.

b) Compliance Proposed Amendment

Based upon the responses from the Participating Agencies, the Oversight Advisory Committee shall provide input to all Participating Agencies on the impact of the compliance amendment and the recommended timeline for implementation prior to voting on the proposed amendment.

APPENDIX 3

Procedures for Breach Notification

1. Procedures for Participating Party Notification

A. Notification Process

- 1) Upon initial indication of a Breach, the Participating Agency(ies) responsible for the Breach shall report to the SCCOE's designated person and to the other Participating Agencies. Such reports shall be made within 24 hours from when the Participating Agency discovered or should have discovered the occurrence. Participating Agencies shall also comply with any Applicable Law regarding Breaches.
- 2) Following this Notification to the SCCOE's designated person, the Participating Agency shall immediately provide Notice to the Oversight Advisory Committee by sending an email to the members and to Privacy Officers of Participating Agencies regarding compromised Individual confidential or protected information.
- 3) The Oversight Advisory Committee shall consider creating a secure section of the future website solely for the purpose of Breach reporting. This website function may be designed to automatically email all Oversight Advisory Committee members that a Breach Notification has been uploaded.

B. Notification Content

The Notification shall include sufficient information for the Oversight Advisory Committee to understand the nature of the Breach. For instance, such Notification shall include, to the extent available at the time of the notification, the following information:

- 1) One or two sentence description of the Breach;

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- 2) Description of the roles of the people involved in the Breach (e.g., employees, Users, Individuals, service providers, unauthorized persons, etc.)
- 3) The Specific Data or Type of Data that is the object of the Breach;
- 4) Participating Agencies likely impacted by the Breach;
- 5) Number of Users or records impacted/estimated to be impacted by the Breach;
- 6) Actions taken by the Participating Agency to mitigate the Breach;
- 7) Current status of the Breach (e.g., under investigation, resolved, etc.); and
- 8) Corrective action taken and steps planned to be taken to prevent a similar Breach.

The Notification shall not include any confidential or protected information. The Participating Agency agrees to supplement the information contained in the Notification as it becomes available. Supplemental information should be uploaded to the secure portion of the future website and directed to the same addresses used for the original Notification.

On the basis of the information available to the Participating Agency, if the Participating Agency believes that it should temporarily cease Data access with all other Participating Agencies, it may under a service level interruption or voluntary suspension in accordance with Appendix 1 of the E-MOU.

2. Disposition of Breach Alerts and Notifications

A. Review of the Breach by the Oversight Advisory Committee

The Oversight Advisory Committee shall facilitate a meeting upon receipt of the Breach or Notification as soon as practicable for the purpose of reviewing the Notification and determining the following:

1. The impact of the Breach or potential Breach on the privacy, security, confidentiality and integrity of the SVRDT;
2. Whether the Oversight Advisory Committee needs to take any action to suspend the Participating Agencies involved in the Breach or potential Breach in accordance with Appendix 1 of the E-MOU;
3. Whether the Oversight Advisory Committee should take any other measures in response to the Notification or alert; and
4. The Oversight Advisory Committee shall, if necessary, request additional information from the Participating Agency(ies) involved in the Breach or suspected Breach to fulfill its responsibilities. However, with respect to suspected Breach alerts, the Oversight Advisory Committee is encouraged to hold inquiries and requests for additional information to allow the Participating Agency time to determine whether a Breach actually occurred. After determination of whether a suspected Breach is indeed a Breach, there should be documentation kept by the

Early Learning Data Governance

Participating Agency of the event that occurred, in order to maintain records of review, in case of audit, etc.

B. Determination of Breach Resolution

Once complete information about the Breach becomes available, the Oversight Advisory Committee shall meet as soon as possible to determine whether the Corrective Actions taken by the Participating Agency (ies) involved in the Breach are sufficient to mitigate the Breach and prevent a similar Breach from occurring in the future. Once the Oversight Advisory Committee is satisfied that the Participating Agency(ies) have taken all appropriate measures, the Oversight Advisory Committee shall deem the Breach resolved and will so advise the SCCOE's designated person. Upon renewal of any Data inquiries, Participating Agencies shall list any data breaches that occurred in the previous twelve (12) months and provide an updated status on any corrective action plan arising from the breach.

1. This resolution will be communicated to all Partner(s) involved in the Breach and those Partners that ceased Data inquiries with the Partner(s) involved in the Breach.
2. If those Participating Agencies do not resume Data inquiries with the Participating Agencies involved in the Breach within a reasonable period of time and no longer than ten (10) business days after the resolution was communicated, the Participating Agency(ies) involved in the Breach and cessation shall engage in the Dispute Resolution Process in accordance within this E-MOU.
3. Lessons learned on the root cause of the Breach will be communicated by the Oversight Advisory Committee to all Participating Agencies, including those not involved in the Breach, to prevent a recurrence of the event in the future.

Early Learning Data Governance

APPENDIX 4

New Participating Agency Testing and Validation Requirements

1. Conduct Tests

- A. Testing can be conducted using the approved E-MOU testing tools and processes by SVRDT with the cooperation of the new Participating Agency.
- B. Testing will focus on peer-to-peer access testing of the new Participating Agency's system against an implementation of the proposed data to be accessible in a testing environment.
- C. Validation is concerned with confirming that the new Participating Agency can access data from other Participating Agencies and the Participating Agencies can access data from the new Participating Agency.

2. Report Test Results

The Oversight Advisory Committee will be in close contact with a new Participating Agency and will ensure that the testing of validation of the new Participating Agency is successful before the new Participating Agency has access to the SVRDT.

Early Learning Data Governance
APPENDIX 5

BUSINESS ASSOCIATE AGREEMENT

SANTA CLARA COUNTY OFFICE OF EDUCATION
BUSINESS ASSOCIATE REQUIREMENTS

1. PREAMBLE

CONTRACTOR, its/her/his employees, contractors, representatives, volunteers and agents (hereinafter referred to as CONTRACTOR), may be involved with work pertaining to services provided by the Santa Clara County of Education (hereinafter referred to as SCCOE), and, if so, may have access to confidential data and personally identifiable information (collectively referred to as PII) pertaining to persons and/or entities receiving services from the SCCOE. This information includes but is not limited to client name, address, social security number, date of birth, driver's license number, identification number, or any other information that identifies the individual. In addition, CONTRACTOR may also have access to proprietary information supplied by the SCCOE or by other vendors doing business with the SCCOE. The SCCOE has a legal obligation to protect all such PII in its possession, especially PII concerning education, health, mental health, child welfare and juvenile probation records. The SCCOE must ensure that the PII shall be protected by CONTRACTOR. Consequently, CONTRACTOR agrees to sign this Agreement as a condition of the attached contract with the SCCOE.

2. DEFINITIONS

Terms used, but not otherwise defined, in this Agreement shall have the same meaning as those terms are defined in 45 Code of Federal Regulations (CFR) §§ 160.103, 164.304, and 164.501. All regulatory references in this Agreement are to Title 45 of the CRF unless otherwise specified.

- a. **"Breach"** refers to actual loss, loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar terms referring to situations where persons other than authorized users and for other than authorized purposes have access of potential access to PII, whether electronic, paper, verbal or recorded. Unless an exception applies, an impermissible use or disclosure of PHI is presumed to be a breach, unless it can be demonstrated there is a low probability that the PHI has been compromised based upon, at minimum, a four-part risk assessment:
 - i. Nature and extent of PHI included, identifiers and likelihood of re-identification;
 - ii. Identity of the unauthorized person or to whom impermissible disclosure was made;

Early Learning Data Governance

- iii. Whether PHI was actually viewed or only the opportunity to do so existed;
 - iv. The extent to which the risk has been mitigated.
- b. **“Business Associate”** refers to the same meaning at 45 CFR §160.103, and in reference to the parties to this agreement, shall mean CONTRACTOR.
- c. **“Confidential Materials”** includes (1) all education, financial, health, mental health, child welfare and juvenile probation records pertaining to persons and/or entities receiving services from the SCCOE whether hard copy or electronic data; (2) all SCCOE proprietary information including design concepts, algorithms, programs, formats, documentation, and all other original materials produced, created or provided to or by CONTRACTOR under the attached contract; and (3) any other proprietary information supplied by the SCCOE or by other SCCOE vendors to CONTRACTOR.
- d. **“Covered Entity”** refers to the same meaning at 45 CFR §160.103, and in reference to the party to this agreement shall mean SCCOE.
- e. **“Designated Record Set”** refers to the meaning as the term “designated record set” in 45 CFR §164.501.
- f. **“Electronic Protected Health Information”** or **“EPHI”** refers to individually identifiable health information that is transmitted or maintained in electronic media; it is limited to the information created, received, maintained or transmitted by Business Associate from or on behalf of Covered Entity.
- g. **“HIPAA Rules”** refers to the Privacy, Security, Breach Notification and enforcement Rules at 45 CFR part 160 and part 164, as amended and supplemented by Subtitled D of the Health Information Technology for Economic and Clinical Health Act provisions of the American Recovery and Reinvestment Act of 2009.
- h. **“Individual”** refers to the meaning in Section 164.501 and shall include a person who qualifies as a personal representative in accordance with Section 164.502(g).
- i. **“Protected Health Information”** or **“PHI”** refers to the meaning in 45 CFR §160.103 and is limited to the information created or received by Business Associate from or on behalf of SCCOE.
- j. **“Personal Identifying Information”** or **“PII”** is confidential data and personally identifiable information directly obtained in the course of performing an administrative and contractual function on behalf of the SCCOE that can be used alone, or in conjunction with any other information, to identify a specified individual. PII includes any information that can be used to search for or identify individuals, or can be used to access their files, such as name, social security number, date of birth, driver’s license number or identification number. PII may be electronic, paper, verbal, or recorded.
- k. **“Privacy Rule”** means the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Part 160 and Part 164, Subparts A and E.
- l. **“Secure environment”** means any area where:

Early Learning Data Governance

- i. Workers assist in the administration of services provided by the SCCOE;
 - ii. Workers use or disclose PII; or
 - iii. PII is stored in paper or electronic format.
- m. **“Security Incident”** means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of PII, or interference with system operations in an information system which processes PII that is under the control of the SCCOE, or the CONTRACTOR.
- n. **“Security Rule”** means the Security Standards for the Protection of EPHI at 45 CFR Part 160 and Part 164, Subparts A and C.
- o. **“Unsecured PHI”** is PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology specified by federal government.

3. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR

CONTRACTOR agrees to the following terms and conditions:

- a. CONTRACTOR shall not divulge to any unauthorized person, company or organization any of the PII obtained while performing work pursuant to the attached contract with the SCCOE without the prior written consent of the SCCOE.
- b. CONTRACTOR shall not use or further disclose PHI other than as permitted or required by the Agreement or as required by law.
- c. CONTRACTOR shall forward all requests for the release of any PII received by it/her/him to the Program Manager associated with the attached contract.
- d. CONTRACTOR shall use appropriate safeguards to comply with Subpart C of 45 CFR part 164 with respect to EPHI and PHI, and to prevent the use or disclosure of the PHI other than as provided for by this Agreement.
- e. CONTRACTOR shall keep confidential: (1) all education, financial, health, mental health, child welfare, and juvenile probation records pertaining to persons and/or entities receiving services from the SCCOE; (2) all SCCOE proprietary information including design concepts, algorithms, programs, formats, documentation, and all other original materials produced, created or provided to or by CONTRACTOR; AND (3) any other proprietary information supplied by the SCCOE or by SCCOE vendors to CONTRACTOR under the attached contract.
- f. CONTRACTOR shall protect said CONFIDENTIAL materials against disclosure to other than SCCOE employees who have a need to know the information.
- g. CONTRACTOR shall to make uses and disclosures requests for PHI consistent with minimum necessary policy and procedures.
- h. CONTRACTOR shall not use or disclose PHI in a manner that would violate subpart E of 45 CFR part 164.504 if used or disclosed by the SCCOE.

Early Learning Data Governance

- i. CONTRACTOR shall mitigate, to the extent practicable, any harmful effect that is known to CONTRACTOR of a use or disclosure of PHI by CONTRACTOR in violation of the requirements of this Agreement.
- j. CONTRACTOR shall report to SCCOE any use or disclosure of PHI not authorized by this Agreement.
- k. CONTRACTOR shall ensure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by CONTRACTOR on behalf of SCCOE, agrees to adhere to the same restrictions and conditions that apply through this Agreement to CONTRACTOR with respect to such information.
- l. CONTRACTOR shall return all Confidential Materials to the SCCOE upon completion or termination of the attached contract.
- m. CONTRACTOR shall limit use of any PII provided by the SCCOE, or by the participants, solely for the purpose of administering and implementing the program supported by this Agreement.
- n. CONTRACTOR shall maintain all provisions of data security and privacy restrictions on disclosure of PII and Confidential Materials in the CONTRACTOR's possession shall continue in effect beyond the termination of this Agreement, and shall continue until the PII and Confidential Materials are destroyed or returned to the SCCOE.
- o. CONTRACTOR shall request in writing to the SCCOE and SCCOE agrees to provide any/all applicable State regulations.
- p. If CONTRACTOR has PHI in a Designated Record Set:
 - i. CONTRACTOR agrees to provide access, at the request of SCCOE, and in the time and manner designated by SCCOE, to PHI in a Designated Record Set, to SCCOE, or, as directed by SCCOE, to an individual in order to meet the requirements under Section 164.524.
 - ii. CONTRACTOR agrees to make any amendment(s) to PHI in a Designated Record Set that the SCCOE directs or agrees to make pursuant to Section 164.526 at the request of SCCOE or an Individual, and in the time and manner designated by the SCCOE.
- q. CONTRACTOR agrees to make internal practices, books, and records relating to the use and disclosure of PHI received from, or created or received by CONTRACTOR on behalf of SCCOE, available to the SCCOE at the request of SCCOE or the Superintendent, in a time and manner designated by the SCCOE or the Superintendent, for purposes of the Superintendent determining SCCOE's compliance with the Privacy Rule.
- r. CONTRACTOR agrees to document such disclosures of PHI and information related to such disclosures as would be required for SCCOE to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with Section 164.528.

Early Learning Data Governance

- s. CONTRACTOR agrees to provide to SCCOE or an Individual in the time and manner designated by SCCOE, information in order to permit SCCOE to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with Section 164.528.
- t. CONTRACTOR shall implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of EPHI that CONTRACTOR creates, receives, maintains, or transmits on behalf of SCCOE.
- u. CONTRACTOR shall conform to generally accepted system security principles and the requirements of the final HIPAA rule pertaining to the security of PHI.
- v. CONTRACTOR shall ensure that any agent to whom it provides EPHI, including a subcontractor, agrees to implement reasonable and appropriate safeguards to protect such EPHI.
- w. CONTRACTOR shall report to SCCOE any Security Incident within three (3) business days of becoming aware of such incident. CONTRACTOR shall also facilitate breach notification(s) to the appropriate SVRDT Partners and any appropriate governing body as required by law. As appropriate and after consulting with SCCOE, CONTRACTOR shall also notify affected individuals and the media of a qualifying breach.
- x. CONTRACTOR understands that it is directly liable under the HIPAA rules and subject to civil and, in some cases, criminal penalties for making uses and disclosures of PHI that are not authorized by Exhibit, the underlying contract as or required by law.

4. **PERMITTED USES AND DISCLOSURES BY CONTRACTOR AS BUSINESS ASSOCIATE**

Except as otherwise limited, CONTRACTOR may use or disclose PHI to perform functions, activities, or services for, or on behalf of, SCCOE as specified in this Agreement; provided that such use or disclosure would not violate the Privacy Rule if done by SCCOE.

5. **OBLIGATIONS OF SCCOE**

SCCOE agrees to the following terms and conditions:

- a. SCCOE shall provide CONTRACTOR with the notice of privacy practices that SCCOE produces in accordance with Section 164.520, as well as any changes to such notice.
- b. SCCOE shall provide CONTRACTOR with any changes in, or revocation of, permission by Individual to use or disclose PHI, if such changes affect CONTRACTOR's permitted or required uses and disclosures.
- c. SCCOE shall notify CONTRACTOR of any restriction to the use or disclosure of PHI that SCCOE has agreed to in accordance with Section 164.522.

6. PERMISSIBLE REQUESTS BY SCCOE

SCCOE shall not request CONTRACTOR to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if so requested by SCCOE, under the CONTRACTOR will use or disclose PHI for, and if the Agreement provides for, data aggregation or management and administrative activities of CONTRACTOR.

7. DUTIES UPON TERMINATION OF AGREEMENT

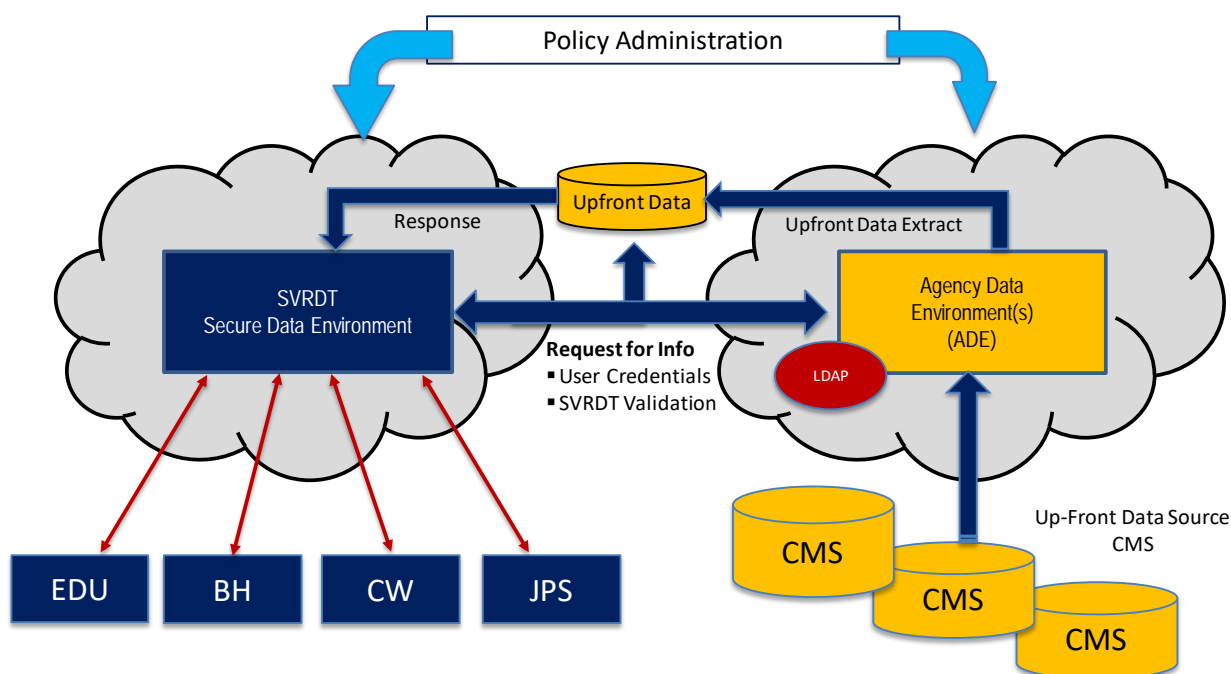
Upon termination of the Agreement, for any reason, CONTRACTOR shall return or destroy all PHI received from SCCOE, or created, maintained, or received by CONTRACTOR on behalf of SCCOE, that CONTRACTOR still maintains in any form. This provision shall apply to PHI that is in the possession of subcontractors or agents of CONTRACTOR. CONTRACTOR shall retain no copies of PHI.

- a. In the event that CONTRACTOR determines that returning or destroying PHI is infeasible, CONTRACTOR shall provide to SCCOE notification of the conditions that make return or destruction infeasible. Upon mutual agreement of the Parties that return or destruction of PHI is infeasible, CONTRACTOR shall extend the protections of the Agreement to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as CONTRACTOR maintains such PHI.

8. MISCELLANEOUS

- a. **Regulatory References.** A reference in this Business Associate Agreement to a section in the HIPAA Privacy Rule means the section as in effect or as amended, and for which compliance is required.
- b. **Amendment.** The Parties agree to take such action as is necessary to amend this Business Associate Agreement from time to time as is necessary for SCCOE to comply with the requirements of the Privacy Rule and the Health Insurance Portability and Accountability Act, Public Law 104-191.
- c. **Survival.** The respective rights and obligations of CONTRACTOR under this Business Associate Agreement shall survive the termination of this Agreement.
- d. **Interpretation.** Any ambiguity in this Business Associate Agreement shall be resolved in favor of a meaning that permits SCCOE to comply with the Privacy Rule.
- e. **Reservation of Right to Monitor Activities.** SCCOE reserves the right to monitor the security policies and procedures of CONTRACTOR.

Appendix 6

1. Architecture – Logical View

The logical view above depicts a transaction processing environment where data can be available for authorized use by, and between, all Participating Agencies as follows:

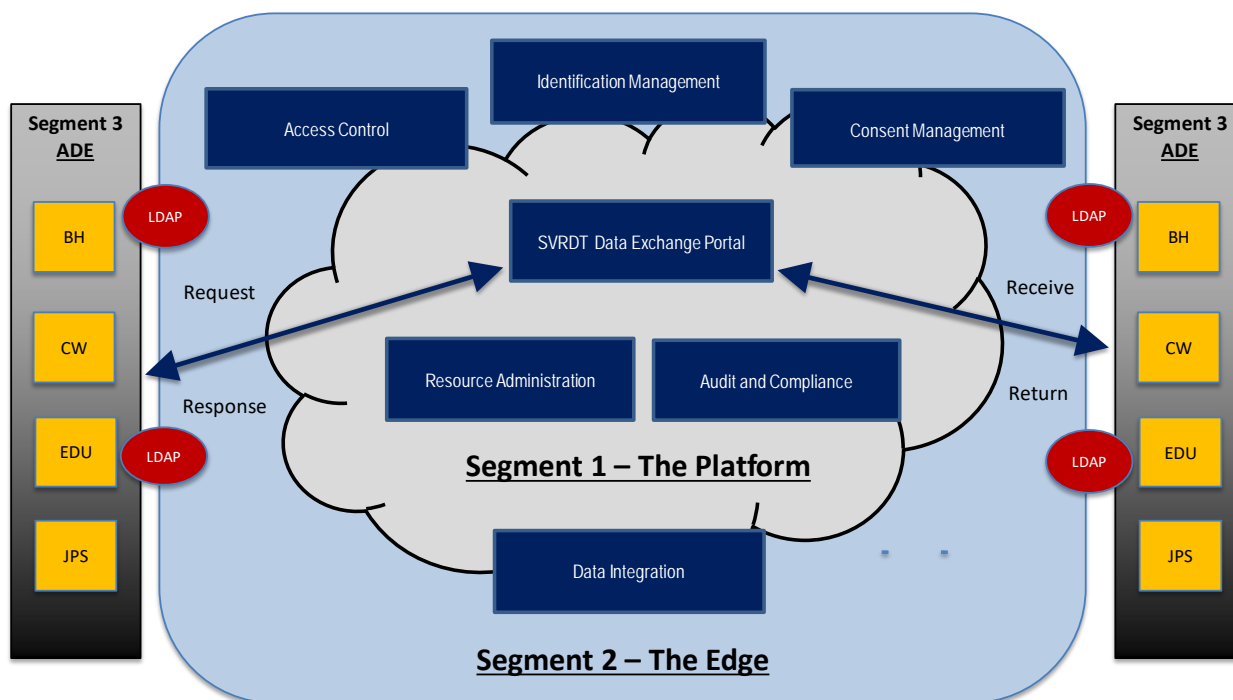
- A. Requests for Information transactions are initiated by any of the Participating Agencies through the Secure Data Environment. Access is controlled based upon the privileges and restrictions attributed to authorize Users based upon their role as designated by their Participating Agency.
- B. Transactions will be initiated using the SVRDT Data Exchange Portal, through which all SVRDT transactions will flow. The SVRDT Data Exchange Portal will validate the request by way of a common directory access protocol which will be used to verify the Requestor's access privileges, based upon validation that their role is correct.
- C. Requests for Information are initiated and answered by the Agency Data Environments (ADE) that supplies the Upfront Data to SVRDT via the Upfront Data store (as depicted above). The Upfront Data file contains only the constrained data set that has been approved by the

Early Learning Data Governance

Participating Agencies. Access by SVRDT is limited to only the Upfront Data that is available to all users authorized to access the SVRDT SDE by their agency.

- D. Upfront Data will be extracted from each agency's source data sets (i.e. Case Management Systems) and stored in an "Upfront Data" store to protect against direct access to agency case management systems/data by SVRDT. Each Participating Agency will determine the persistence of the data extraction and loads to the Upfront Data.
- E. All web services transactions will utilize "normative use" application services languages/tools.

2. SVRDT Architecture - Services View



A. The Platform. Contains the core services listed below. These services are required for SVRDT to operate, and include the ability to: initiate SVRDT transactions request/response services; administer all control records and data required to support the management and onboarding of Participating Agency connectivity and data integration; and logs and preserves all transaction activity flowing through the SVRDT SDE.

1. Data Exchange Portal Service
2. Resource Administration Service
3. Audit and Compliance Service.

B. The Edge. Contains the web services listed below. These are required to: establish secure connectivity and interaction with Participating Agency data environments, including SVRDT User authentication and validation; child identification indexing; enhanced data access protections and restrictions when required by policy; network access, security, and IP addressing; data content packaging standards and protocols;

Early Learning Data Governance

data translation via the Metadata framework layer; and data communications protocols for message exchange between SVRDT portal and Participating Agencies.

C. Access Control Service

Identification Management Service

4. Consent Management Service

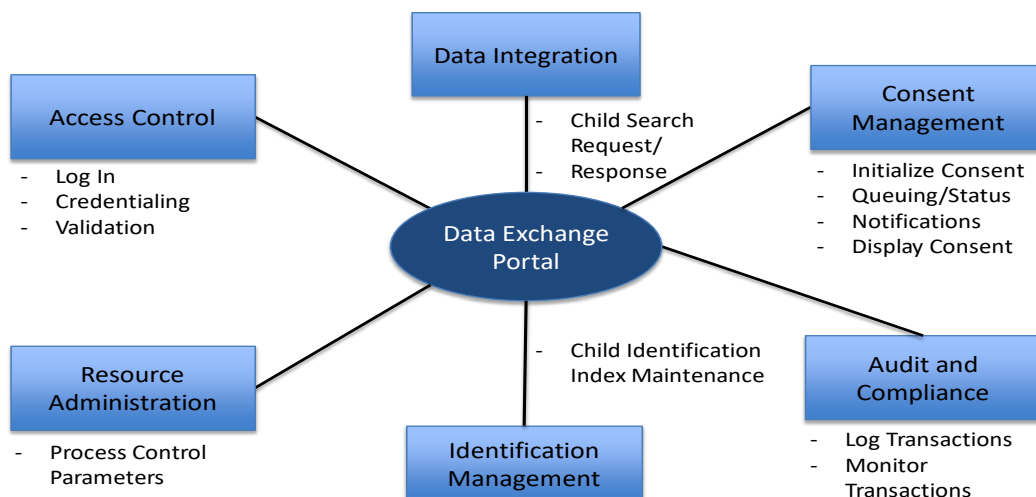
i. Data Integration Service

- D. Participating Agency Data Environment. Utilizes the service that implements bi-directional/bi-synchronous connectivity with the SVRDT portal. Participating Agencies will maintain a persistent (degree of persistency determined by Participating Agency) Upfront Data file for use by SVRDT transaction requests. Participating Agencies will use the data translation attributions from the SVRDT Metadata framework to extract and load data into the Upfront Data file.

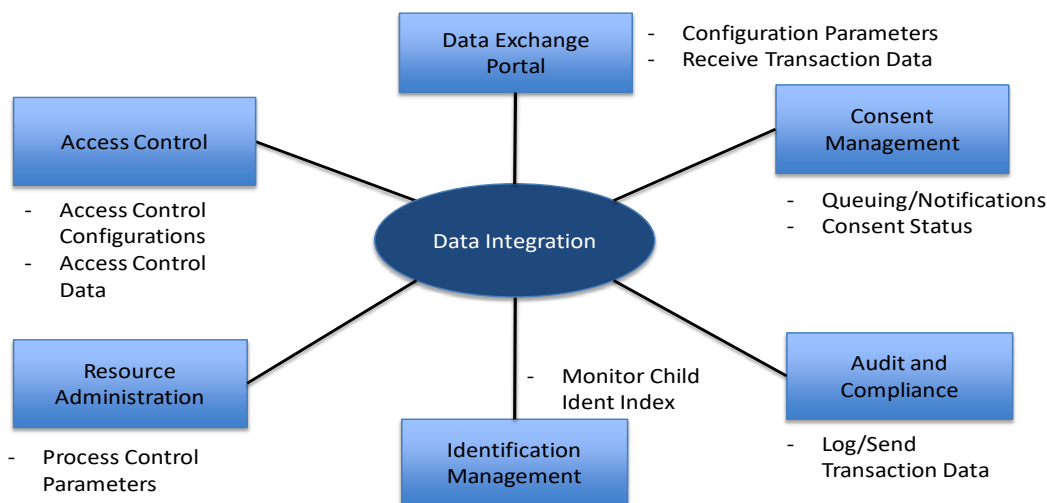
3. SVRDT Services Description

SVRDT services are invoked as SDE transactions, with all processing and service/data interactions controlled by two core services: the Data Exchange Portal, through which all SVRDT transaction activity will be routed; and the Data Integration Services which controls service interactions between the Portal and the Participating Agency Data Environments. The Context Models illustrate the services interactions of each below:

A.Data Exchange Portal Services Interactions



4. Data Integration Services Interactions



Each of the services represented in the context models are grouped into three types of services and functional use. Each is described in the paragraphs below.

A. Requesting SVRDT Services

1. **Access Control.** Each User logging on to SVRDT must be credentialed by their home Participating Agency, and then validated as an authorized User by SVRDT. This is the primary function of the SVRDT Access Control service. Credentials will be passed from the User's home Participating Agency, including the role based access privileges attributed to this User. Access to the Data Exchange Portal will be granted once credentials have been validated and the User will then be able to execute searches consistent with their role based access privileges.
2. **Consent Management.** Purpose is to protect the child's and parent/guardian's legal right to control which Participating Agencies can access data with another Participating Agency. As a central multi-agency service, Consent Management will interact with the Data Exchange Portal to ensure that access to protected Participating Agency data will only be enabled if consent is in place, or under special circumstances as defined by statute. SVRDT will use a parent/guardian's approval to share their child's data across SVRDT Participating

Early Learning Data Governance

Agencies under those circumstances where the federal and state laws require that consent or authorization be provided. Consent to share information is captured by the child's parent/guardian signing a Universal Consent form. SVRDT will provide a service to capture the form and maintain certain attributes from the form. It will also provide reminders if the form is about to expire or has expired. After a Universal Consent form is no longer valid, it can be displayed but not maintained.

3. Identification Management. As a multi-Participating Agency data environment, the identification of the children being served by Participating Agencies is a critical challenge. It is imperative for Participating Agencies working with children to be sure of the identities of the subjects of their work. For SVRDT, this will be essential to have the correct child when issuing requests for information and viewing the responses. For this reason, SVRDT will provide a central service for this purpose. At the heart of the Identification Management Service is the SVRDT Child Identification Index (CII). The SVRDT CII will generate an SVRDT cross-Participating Agency identifier and index it to the unique child identifiers of each child being served across the SVRDT Participating Agencies. As there are times when the same child is served by multiple agencies, person-matching algorithms will be applied across the Participating Agency child directories to identify and index those children. The index will be maintained through collaboration with the Participating Agencies to ensure the child identification data is always current.

B. Transaction Activity (Routing/Logging)

1. Data Exchange Portal. Provides the Control Point where all SVRDT transactions, including details of user requests and responses, will be initiated, routed, exchanged, returned, and logged. As the User Interface, authorized SVRDT users will log into the Portal to initiate all services, including requests for information to SVRDT Agency Data Environments (Architecture Segment 3); as well as for initiation of SVRDT administrative services (Architecture Segment 1). As transaction processing is the core function of the SVRDT SDE, it is imperative that all SVRDT transaction activity is routed, managed and recorded through the Portal. This includes recording the initialization and routing of Data Integration Services for SVRDT service interactions - routing Request and Return transactions and logging transaction details - for all SVRDT service interactions. All SVRDT transaction activity will route through the Portal.

2. Audit and Compliance. All SVRDT transactions will be logged, successful or unsuccessful to assure the ability to monitor and evaluate patterns of data use. Transaction logs will capture all of the processing essentials, including: types of

Early Learning Data Governance

search requests; date and time of transaction requests; specifics of data access; and referential parameters should a transaction have to be reconstructed.

3. Resource Administration. SVRDT will provide a central cross-agency capability to apply transaction processing parameters to link service interactions; most substantially in assuring appropriate User access. SVRDT will not maintain directory protocols or credentials for SVRDT users. Those will be maintained by the Segment 3 Agency Data Environments. For example, as agencies establish authorizations for use of data by other SVRDT Participating Agencies, Resource Administration capabilities will be utilized to index access privileges by agency and role (which will take into account individual Users). In support of the Trusted Data Environment principle, agencies will trust, with SVRDT validation (Access Control), that the other participating agencies will ensure the proper role based credentials when authorizing access to their SVRDT users.

C. Connecting and Integrating SVRDT and Agency Data Environments

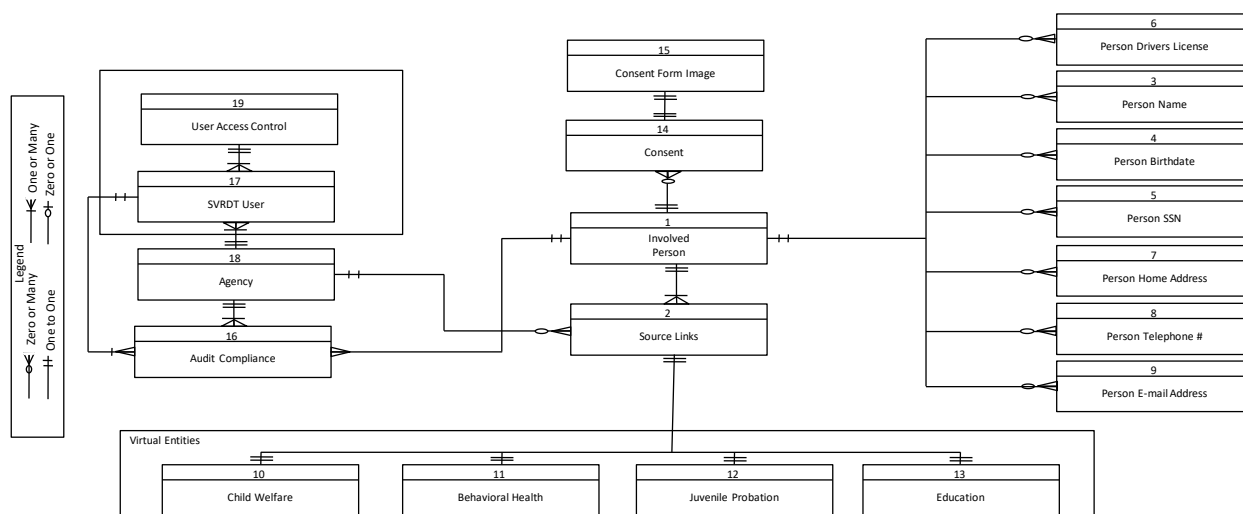
1. Data Integration. This provides a single service that is responsible for searching, retrieving and returning data. This service encapsulates all data access into a single service. It also removes the requirement for other services to have logic regarding where the data is located and how the data is retrieved. The Data Integration service is the control point for service interactions between the Portal and the Agency Data Environments. It will service all data access requests regardless of where the data are located. This includes local database access and agency data retrieval. The Data Integration service will be initiated by validated "Trusted" Requests for Information from the Data Exchange Portal. It will send the requests and receive the responses from the source data environments. To support the Data Integration service, the Metadata framework will be an inherent component through which data exchange formats will be identified and standardized to assure semantic consistency of cross agency transactions. The Metadata framework will function as the SVRDT data taxonomy (naming, structure and content) in a common platform. It will also be used to encode specified translations of data from source data environments in response to requests for information. Additionally, the Data Integration service will utilize standardized messaging and communications protocols for connecting to agency data environments and packaging data in response to requests; develop support protocols for integrating non-standard data exchange formats as required by an agency when they are unable to comply with SVRDT formats; support non-standard communications protocols as required by an agency for interaction with SVRDT. The primary interaction will be with the Data Exchange

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Portal where authorized requests for information will be received, and returned with SVRDT formatted responses. Other data will include: Active Directory entries (role based validation); Child Index data; and Resource Administration data.

5. Data Architecture

The SVRDT Data Architecture is presented in the form of a “Canonical Data Model” (CDM) below. It represents the data from an SVRDT perspective.



The CDM is the SVRDT Data Architecture and is aligned with the SVRDT Services architecture, specifically with the following major components:

- A. Access Control. These data structures are “virtual data” structures since they will not be instantiated in actual tables. They will be used to control and audit access to data both from the sending agency and to the receiving agency.
- B. Child Identification. These data structures form the central hub that are used to uniquely identify each child and enable a centralized index of links to the source agency data for that child. The data structures are built to anonymize the biographic information used in linking the source system’s child identifier to a child entry in SVRDT.
- C. Up-Front Source Data. This data is viewed from SVRDT as a semantic layer because a response to source service request will expect a single entry returned that includes

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all of the requested fields. The source data entities are also considered virtual because the characteristics returned about a child will never be stored within SVRDT.

- D. Up-Front Source Meta Data definitions. These spreadsheets are used to define the SVRDT Up-Front data. The purpose is to provide each source agency a mechanism to map the Up-Front data to their application data and to identify the corresponding data types. Once completed, they will form the transformation and encoding rules in generating a response to a request for child data from SVRDT.

6. **Technology Infrastructure**

- A. The SVRDT SDE will operate on a commercially hosted server operating as the SVRDT domain server. The Santa Clara County Office of Education will be the administrator of the SDE platform, and the technical services required to maintain the multi-agency integrated policy/technology environment.
- B. The SDE is deployed utilizing web services to connect the SVRDT Portal with the Agency Data Environments, supporting data communications and the exchange of messages across SVRDT agencies. In addition to hosted domain services, and connectivity via web services, the SVRDT infrastructure will function utilizing normative standards and protocols to ensure unbounded scalability of the computing and communications capacities of the SVRDT network and services.
- C. At the center of the SVRDT technical environment is “the SVRDT Control Agency” which functions as a virtual agency. The Control Agency provides a connection where the technical integrity of agency connections and data integration can be tested in a non-production setting. This will provide SVRDT with a standardized process for connecting, testing and implementing expansions of the organizations, functions and data of the SVRDT.
- D. Most substantially, the SVRDT technology infrastructure has embraced the architecture and design principles developed throughout the development life cycle. Selectively, these include:
 - 1. Trusted Data Environment. SVRDT validation of Role Based Credentials to assure confidence in requests from SVRDT agencies.
 - 2. Scalability and Portability. Commercially hosted computing and communications services platform provides for scalability of computing and communications capacity, as well as portability of the infrastructure and services to support instantiations to new environments.

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3. Encoded Translations. Use of the Metadata framework to encode specified data responses.
4. Dynamic Data Integration. Binding of links supporting requests for data exist for only the life of the transaction.
5. Policy Automation. Integration of the business and policy requirements into the SVRDT design.
6. Normative Use Technology and Standards. Use of proven real-world standards, protocols and technical tools to achieve benefits of common purpose and re-use (vs. reinvention).
7. Centralized Core Services. Common platform for administration of multi-agency process and resource Integration.
8. Integration at the “Edge”. Increased security through integration external to source data environments.

ECIDS Work Group Meeting #1 Summary and Next Steps

The first ECIDS work group had a virtual meeting via a webinar on November 4, 2019 to explore the varied landscape of local early childhood data systems. In case you were unable to participate, [find the link to the webinar recording below:](#)

<https://zoom.us/recording/play/w5eeb9qdPWQhCvX7pUIS1d5tlvY4hrTCoTyeTd4PK885pMfmcYC2jcS4LBU9hwCK?startTime=1572890460000>

The meeting objectives for the webinar were:

- 1. Ensure prioritization for stakeholders (county education officials/leaders)**
- 2. Gather info on stakeholder data collection readiness**
- 3. Input to shape state integrated system**
- 4. Highlight best practices**

Special guest speakers:

- 1. Dr. Mary Ann Dewan – County Superintendent of Schools – Santa Clara County Office of Education**
 - Education is one system approach, move away from silos
 - **The discussions that come from this work will inform local recommendations to made to the CDE**
 - Governor Newsom made this early childhood data system a priority
 - Portal for early learning/child care for parents to connect to providers and apply for/get subsidies
 - Many indicators suggest that early learning is critical to closing the achievement gap – Poverty, race, ethnicity
 - Accountable to have continual improvement
 - Develop system that enables state leaders to **evaluate early learning programs and move us toward more funding, better outcomes, and increased availability of high quality early learning programs**
- 2. Virginia Early – Policy Office Administrator, Early Learning Care and Division – California Department of Education**
 - Excited about the focus statewide on leveraging early learning opportunities as a lever to improve outcomes

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- o *We are in era of data for the early learning sector*
- o Several conversations happening at once, here is some of the groundwork:
 - o Governor has a “cradle to career” initiative
 - SLDS
 - o Focusing on creating a statewide early learning integrated data system to be plopped into the SLDS
 - o Mapping a horizontal system that looks at children as they are now, finding interconnected pieces down the road
- o Conversations with different divisions (special education, nutrition, social services, public health, healthcare services, etc.)
- o Parental portal
 - o Childcare Development Block grant
 - o Working with SCCOE on consumer education database
 - Provide more information to parents about their childcare options
 - July 2020 launch
 - SCCOE forming portal through grants with their own internal workgroup
- o Big question: **What are some ways that a statewide integrated data system will help different localities with collecting data and meeting data needs?**
- o Some counties have had the resources to dedicate to creating data systems, but not all did/do.
 - o Data is collected to meet unique needs of their counties
 - **Understand diversity of needs and what data is available and what data can be provided to the state, and what data do counties need from the state**

Discussion:

Richard Gold – Consultant – Santa Clara County Office of Education – moderator for the webinar

- o Get complete picture of what data is collected on the local level
 - o Wide range of sophistication
 - o Regardless of process, state wants to figure out where the local entities are in

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collecting data in the process of building the state integrated system

- Reached out to more than 10 counties representing different regions, population, and sizes in California
 - Some counties declined/didn't respond - pursuing them because it is important to hear from as many counties as possible; no current representation from rural counties
 - Want to hear from counties with data systems and those with less formal data collection
- Use parent portal to understand what parents, referral services, and program providers need.
- *Self-assessment – more info coming soon*

Webinar participants were asked to answer the following big questions. Summarization of their answers are listed by county below (Not all counties provided answers to each question):

1. How do you collect data? Frequency? Sources?
2. What needs to be in place for you to collect data on the local level, leveraging existing systems or practices and strengthening them? What benefit do you need? What data do you need?
3. How can statewide system further local mission?

Santa Cruz

- Just beginning to collect early learning systems
 - Ongoing throughout early childhood programs
- Create a professional development opportunity around data collection best practices
- Silos are creating piecemeal data. Scattered across baseline demographic data without standardized data collection practices
- Echo comments on statewide standards and common identification: those are challenges.
 - Do not want to silo early learning as they enter K-12 – data connection is important
 - Continuum of support structures on data analytics (“how to” for care providers and schools)
- How does this data translate into information?
 - Data rich, solution poor
 - Look at specific, targeted issues
 - Behavior and attendance

- Early interventions

Los Angeles (Long Beach)

- Not collecting county data (it is a very, very big county)
- Reports regularly on:
 - Quality rating data
 - Teacher qualification data
 - Environment ratings
- Frequency of data collection and renewal: Monthly, twice yearly, once yearly depending

Alameda (Oakland Unified)

- Has worked with Allegheny County, Pennsylvania on population data scoring techniques and has found value in the partnership/perspective
- Overlay data with geospatial work to understand variance and network analyses
 - Helps health and human services as well
 - Collaboration for mutual benefit
- Early Education Consortium for Equity
 - How do [we] look at creating leadership “pipelines” which mirrors students served to promote equitable, empathetic decision making
 - Who is leading our programs?
 - Who makes those decisions?
 - Most teachers reflect demographics of the student populations
 - When you look at the agency leadership positions, people of color are less represented in administration roles
 - Create a better pipeline for people of color to be decision-makers and empower them to lead within their communities
 - Thinks a lot about the “push out” for young boys of color
 - How to mitigate
 - Get more support in the classroom

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- All of this means looking at data with an equity lens and centering the data work around that

Contra Costa

- QIS iPinwheel data.
 - Site level information, using local database for workforce info (for teachers)
- Home visiting programs
- Play group activities through family resource centers
- Child level data on the site levels
- Collect through tandem program
- How do we integrate all of these databases and make the connection through third grade, which is a big gap?
- Frequency of data collection and renewal
 - At least quarterly for site level data. Fall and Spring. But every other data point is quarterly.
- The ability to integrate system from 0-PreK

San Francisco

- Preschool for All since 2004
 - Since 2007, there has been an “integrated data system”
 - Proprietary system developed with WestEd
- Big question: Why and for whom is this data collected and analyzed?
- Data system created to measure Preschool for All subsidies
 - Many different data sources and systems
 - Apart from evaluation or research purposes
 - Select independent systems to manage their own subsidies
 - Sometimes manual entries for many systems
 - Private, head start, public, etc.
 - So many settings and different rules and requirements apply to different

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organizations

- System not designed to replace internal systems used by different organizations and providers
 - Many do not integrate, especially for differing subsidies
- Looking to build out something more similar to San Mateo's system
- Looking to add childhood mental health consultants to build out that data
- Added extra functionality into their main system but it is not required for people to use
- What is the purpose of integration?
 - Zero sum game
 - Making demands of ECE programs, they're drawing from the same pot for administration and for actual services
- Integration and managing nuances of data sharing and quality.
- The value adds for working with the state. Administration of data held at the state level lightens the lift of integration to inform county level efforts and research
- Various state agencies need to come together to overcome barriers toward integration with social services, etc.
- Organizing workshops on how to collect data in compliance with data privacy laws – with lawyers
 - Organized locally
 - Support from the state would be excellent

San Mateo

- Multiple systems that feed into bigger strategy for some kids, not all kids
- QIS data (Vertical Change system) houses ratings and site data. Coaching and professional development
 - Nested – family services data (monthly) from agency systems that pull demographic and attendance
 - Track services to those families
- As the kids get older (4) assign SSIDs in CALPADS to use to measure growth through 3rd grade
- Track reading proficiency and kindergarten readiness

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- Collect parent forms for every K-2nd grade to help do more effective subgroup analysis
- Online services for intensively served students for referrals and intervention
- Exploring connections with pediatrician data
- CDE has helped to match kids through the systems and provide services
- Frequency: Each on their own timeline (different partners/systems). At least twice a year for most data sources but some are just once a year. Some quarterly or even monthly
- Make sure whatever is developed can be expanded to 0-3
 - Link earliest experiences and services to education
 - If we don't do this, then we'll be having the same conversation in 20 years
 - Much bigger challenge
 - Very fragmented
 - ECE connected through some vouchers and subsidies and there is a general consensus that there needs to be data collection for funding streams

San Bernardino

- Are we trying to connect all early learning services? Things get really complicated really quickly.
- Vouchers come from several places and we need to define what we mean by ECE and this will help inform where the County Office needs to partner (healthcare, for example; state, local, and federal funding)
 - Collect from head start and early learning programs.
 - Data collected at different times for different programs.
 - General effort to collect at start of school year but circling back happens at different points in the year
 - Working with old data is challenging, especially when policy decisions need to be made.
- Result would be to collect data from child touch points and know what programs and services their families are using. It gets expansive quickly. But we need to know what we need to collect to improve care for children. For example, trauma informed care and measuring need for it.
- A hunger to share more data throughout their region
- We cannot create onerous data requirements
 - If many of the CDE programs are providing data to the state on a monthly basis, can we up the kind of data we submit?

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- It would be great to coordinate across the state on policy implications coming down from the state and how will that play out in our local areas.
 - Policies don't necessarily play out the same in different regions
 - How do we provide feedback information on how it will affect different regions and childcare providers?
 - Partner with one another on policy changes (across the state)
 - Who is being served in which programs and identify upstream how we need to help children and families? That is the point of it.

San Diego

- Use different systems to collect data
- Special education information system
 - Across 4 different districts
 - 40 different teachers use system data to enter information
 - At least once a week
- QRIS effort – iPinwheel
 - Data from different systems including school districts and nonprofits
 - 10 different sources
 - Conversion tool to collect data, convert, and import into iPinwheel
 - Secure FTP drop box for data that doesn't need to be put in right away
 - Parent surveys
- Integrate early childhood and special education data and link it to CALPADS
 - Compartmentalizing data collection right now
 - Reformat and report to different systems – reinventing the wheel
 - We would want a way to update data system with a new API and not completely retrain everyone on a new system
 - Interoperable system so you aren't duplicating information input into the system
 - Automatically connecting data into one repository
 - Using data that they get back from the state to link preschool data to CALPADS, hopefully soon

- Research purposes
- Integrate high quality data checks to make sure the correct formatted information is put in

Fresno

- Less about getting data back and more about linking horizontally across as many sectors as possible
- Locally, they are more focused on overcoming impediments for any organization helping children
 - Unique IDs available to more than just the education sectors
- SSID makes it easy to link preschool to K-12, but it's not enough
- Biggest challenge is matching IDs across systems

Sacramento

- Demographics,
- First 5
 - Family and child data
- Hearing that it's possible to pull many data sources into one system rather than to reinvent the wheel
- Maybe think about how to use best practices from K-12 districts

Quick summaries of questions:

- How does this impact local quality?
- Local systems are struggling how to create unique identifier

Listener/Participant input section

- Agree that we have not defined ECE
- Does county collect the following (poll on webinar) data sources
- Responses reflect diversity of participants
 - i. Family demographics, attendance, less than half collect on health and English use. Special education and homeless status. More than half collect from foster

care systems.

Have an equity lens when thinking about what data are being collected and how it is being analyzed

Summary of Next Steps

The following is a summary of the next steps agreed to.

- Q&A updates will be shared with participants and listeners
- Next meeting: 11/15/19, link to register:
https://zoom.us/webinar/register/WN_GQQVQ2GAT96PCI8PhNpHdw

ECIDS Local IDS Workgroup Q&A

November 4, 2019

Logistics

Question Will the webinars on Friday, 11/15/19 and Wednesday, 12/4/19 from 10am to 12pm be the same content/discussion as today (11/4/19) or a follow up discussion continued from today?

Answer 11/4/19 was the first in a series of three webinars that will be hosted with the intent to gather information from local stakeholders about what types of data they currently collect and what data would benefit them from a state ECIDS. Future webinar discussions will be built on the conversation from the prior webinar. All participants and listeners from 11/4/19 will be automatically registered for upcoming webinars in the series.

Question Will this webinar be archived for later viewing?

Is there a website or link to a brief or report that one can review before the webinar?

Will these slides be available?

Answer The notes, recording and final report will be posted the PDG website being managed by WestEd.

Question Can you please also clarify if this initiative is for public schools? If it impacts private schools have you involved cqel? Or any other agencies that support the private school collective organizations.

Answer At this time the California Department of Education is looking to learn more about the local data being collected across the state and what data local communities would like to see made available back to them from the statewide ECIDs.

Most local communities are only collecting Early Learning data for children in state or federally subsidized early learning programs. However, many children are served with subsidies through community based organizations (CBOs) or family child care homes, so the data is not limited just to early learning programs being provided by a local educational agency (LEA.)

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In thinking cradle to career at this time the time be focused on in K-12 is public school systems for linkage as a first step.

Representation of the 10 Counties

Question	Could you please send me details of who all are the speakers?
Answer	<p>Alameda County</p> <ul style="list-style-type: none"> Keith Welch, Data & Evaluation Consultant, Oakland Unified School District <p>Contra Costa County</p> <ul style="list-style-type: none"> Edirle Menezes, Early Childhood Program Officer, First 5 Contra Costa <p>Fresno County</p> <ul style="list-style-type: none"> David Jansen, Executive Officer, Equity & Access at Fresno Unified School District <p>Los Angeles County</p> <ul style="list-style-type: none"> Victoria Flores, Associate Research Analyst, Long Beach Unified School District <p>San Bernardino County</p> <ul style="list-style-type: none"> Susan Savage, Director of Research, CCRC Research & Evaluation <p>San Diego County</p> <ul style="list-style-type: none"> Juan Carlos Torres, Program Specialist, San Diego County Office of Education Laurie Han, R&R Department Head, YMCA <p>San Francisco County</p> <ul style="list-style-type: none"> Enith Sanchez, Region 4 Database Coordinator, First 5 San Francisco Wei-min Wang, Senior Program Officer, First 5 San Francisco Theresa Zighera, Interim Executive Director, First 5 San Francisco <p>San Mateo County</p> <ul style="list-style-type: none"> Jenifer Clark, Research & Evaluation Specialist, First 5 San Mateo Diana Harlick, Coordinator, Early Learning Quality Improvement Initiatives, San Mateo County Office of Education

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Santa Cruz County

- Jason Borgen, Chief Technology Officer, Santa Cruz County Office of Education

Data Responses

Question	Is there data about access to infant/toddler programs for student parents (teen moms/dads).
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Answer	Right now we are in the process of learning about what local programs gather data on. If your community has recommendations of data sets about infant/toddler programs for teens parents please forward them to our team.
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Question	Dashboarding data for County data... would it be helpful to provide specific data points presented in dashboard against population data (local, state, national)
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Answer	Yes.
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Consumer Education Website - Parent Portal

Question	Is the parent portal also going to be an integrated system covering all counties?
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Answer	Yes, the Parent Portal being supported by CDE is available for all counties. However, local R&Rs are at different readiness points in terms of utilizing the new portal www.MyChildCarePlan.org .
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Data Sources & Data Reporting

Question	Has there been consideration of using 801A data as a foundation for the CDE programs?
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Answer	
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Question	I'm curious how do you ensure data integrity and standards across the various providers and "systems?" Do you all provide PD around data collection standards?
Answer	To create an integrated data system, the State will decide on a data standard to use. Luckily there are processes to take data and process it to ensure data integrity and compatible across different systems.
Question	Since CDE mandates DRDP Online, can that system be altered to add in other data fields?
Answer	That is a great suggestion. As CDE and the team review what data would be helpful to collect we will take note of this suggestion and see what other data fields may make sense to include in the DRDP online portal.
Question	As we talk about integration: Do we need to talk about a data dictionary for the State as well with common definitions for a baseline for being able to talk about our data across counties? This is something that has come up in our region as well. How do we define coaching strategies, etc? There are nuances and diversity across counties in the services and programs provided. Or, are we focused on Common Data File points that are defined by the implementation plan/common data file guide?
Answer	Yes. A data dictionary is being included with the deliverables for PDG.
Question	How will this Integrated Data System capture all the children and families that are not receiving any public assistance, have never accessed services in the community, are not receiving early care and education services?
Answer	It may not until there first point of contact, unless we can think of some creative solutions. Some states are considering assigning the unique identifier at birth and then using the identifier in a myriad of public systems.

Integration of Data from Birth - 3rd grade

Question	Dr. Dewan referenced a data point on school readiness for Santa Clara County. What kind of role could a kindergarten readiness/school readiness assessment play in the state's longitudinal data system?
Answer	Crossing the great divide of data from Early Learning to K-12 is essential for helping children be successful by 3rd and beyond. Having Kinder teachers know what children have already learned in mastered supports acceleration and differentiation in Kindergarten.

Higher Education

Question Is there a place for higher education in this discussion? How can higher ed plug into these data in ways that can address equity in leadership and be responsive to regional needs?

Answer The ability to train leaders by showing trends in data will be an incredibly powerful way to use the data.

Data Local Systems are Requesting

Question Is it possible to track "push data" of preschoolers due to challenges to inclusion supports, expulsion and suspension? We like to know the number of administrators of color to reflect the demographic of children served in our state funded programs statewide? How do we collect, analyze and provide data using an EQUITY lens?

Answer Great suggestion. We will be sure to include that need in the deliverables.

Question Is there a way to track how children are performing from preschool to 3rd grade to better support comprehensive early learning alignment efforts?

Answer Not at this time. That is part of the vision for the cradle to career integrated data system.

Question With this still being fairly broad, I can think of different categories of interest (recognizing that all of them can't be satisfied of course!): 1) Easier way to get data from current systems - right now it's a lot of work for us to get data from the multiple systems that feed our overall strategy. Could we for example have an MOU with the state on behalf of school districts to get their SIS extracts, instead of individual MOUs as we have now, etc. 2) Easier ways to dashboard site level data - e.g., chronic absence, etc, 3) knowing which of our kids are in other systems - my understanding is we can only do that on a need-to-know basis, i.e., through a Secure Data Environment type of system such as SVRDT has created, and 3) interim measures of how children are doing before they get to 3rd grade. We created our own in our county but what are other counties doing? We

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have no universal, research-based measures from kindergarten-second grade in use state-wide.

Answer

Great suggestion. We will work on weaving the conversation of MOUs into future webinars.

*This was addressed in webinar #2 and sample MOUs will be included in PDG deliverables.

ECIDS Work Group Meeting #2 Minutes

The ECIDS work group had a second virtual meeting via a webinar on November 15, 2019 to continue exploring the varied landscape of local early childhood data systems. In case you were unable to participate, find the link to the webinar recording below:

https://zoom.us/recording/play/UlOQdr_2td3xA6CY5JaJldCi63iHafZKUgtEisD_OzEKeloyfBWLTlPL_eDSnSa1?startTime=1573840707000

Meeting series objectives:

Assess the need for local level integrated data and figure out how state level ECIDS could best support state, local and regional data needs.

The meeting objectives for this webinar were:

- 1. Ensure prioritization of local partners' and stakeholders' requested data elements and needs**
- 2. Gather information regarding current local partners' and stakeholders' data collection and readiness**
- 3. Gather input from stakeholders to shape the design of the Early Childhood State Integrated System**
- 4. Highlight local partners' and stakeholders' "best practices" in data collection and data use**

Participating Counties (as panelists):

- **San Bernardino**
- **San Diego**
- **San Francisco**
- **San Mateo**
- **Santa Cruz**
- **Sacramento**
- **Nevada**

Discussion:

Richard Gold – Consultant – Santa Clara County Office of Education – moderator for the webinar

- **New participants' questions: what types of data is currently being collected in your Early Learning systems?**

Early Learning Data Governance

- Nevada
 - iPinwheel to collect QRIS data, including some child level data (minimum amount of child demographic data), as well as data from the California Workforce Registry – education level of providers
 - TK-8th grade – school district SIS-s
 - CCTR, CSPP data is collected, not yet integrated
- Sacramento
 - No integrated data system at the moment
 - iPinwheel – for QRIS data, child level data is currently not collected, but the system has the capability to have child level data
 - California Workforce Registry
 - Child Plus for Early Head Start
 - ELNET –for LPC for Early Learning Needs Assessment
 - Persimmony – First 5
 - Help Me Grow – in-house data collection, not currently integrated - ASQ, ELL data is collected
 - Foster Focus – not sure whether Early Learning data is available in this system
- Stanislaus County (via chat box) – some early learning data is shared with local school districts as part of a cradle to career partnership. Early childhood data is matched to school data with some automation, and then a manual check is performed.

Identified local barriers and possible local solutions:

- SSID
 - Fresno –It has not been a perfect solution; the State Office is not comfortable issuing SSID numbers to young children (afraid of overwhelming the system)
 - The linkage is not reliable through higher education systems as it depends on self-reporting
 - It has not been a perfect working solution to support the cradle to career initiative
 - San Diego – linking local early learning data systems manually to SSID by data matching via using identical data points from time to enrollment (local QRIS ID)
 - San Mateo – they can be obtained by LEA as the County Office of Education; They have been assigning SSIDs for preschool-aged children, they follow children into K-12 through data sharing using MOUs with the local school districts (The Big Lift Initiative – about 2000 children total, 1000 through local school districts, 1000 through CBOs)
 - San Diego tried this strategy, has not been successful – probably due to size and volume of records
 - Santa Clara – has been using SSIDs for Early Learners; it has been a very powerful tool for longitudinal data tracking
- Individual versus aggregate level data

Early Learning Data Governance

- San Diego – family files are created (Child Development Management Information System [CDMIS])
- San Bernardino – aggregate level data is difficult to work with
 - Data needs are different for service provision versus research
- LA County (listener comment) – integrated two systems: iPinwheel and California EC Workforce Registry
- Consent for data sharing identifiable information
 - San Bernardino – data is shared for research purposes only currently
 - It is currently in exploration phase
 - Mostly aggregate level data is used
 - Fresno – there is a need for unique IDs
 - Currently piloting a platform to test a county wide unique ID □ no data sharing would be necessary in this method
 - Initial results of the pilot are good
 - It is a centralized depository, but the this leaves out too many partners
 - Next steps: to find out how to empower other agencies to generate these unique IDs
 - This is part of the cradle to career initiative, currently 2-3 agencies are participating
 - When the system is ready to be scaled it will be offered to other agencies as well
 - Agency watchdogs, attorneys, IT departments are all coming together to seek a solution regarding privacy issues
 - San Francisco – legal barriers due to privacy issues
 - Technology is not the primary barrier; it is solving the privacy issues
 - Many other listeners agree with this point
 - In addition, communication and buy-in from organizations and the community are barriers
 - For research purposes, sampling methodologies are sufficient without having to track individual children
 - San Mateo (via chat box) – they find the raw, child level data mapped for every child back to preschool a lot more useful
 - It allows them to figure out which sites are meeting outcomes the fastest, hone in on those practices, and start replicating them
 - The controlled analyses do not tell how the kids are actually doing in the real world
 - San Diego – granular level data
 - Quality assurance checks
 - They focus on clean data, provide trainings to programs regarding data collection
 - (Plumas County via chat box) – What happens to SSIDs and County IDs when children move counties? A statewide integrated system is critical to follow children.

Early Learning Data Governance

- Panelist response – yes, with only local IDs it is difficult to follow children when they move to a different county. Both Santa Clara and San Mateo Counties have seen this over and over again.
- Stanislaus County (via chat box) – they are currently building a data infrastructure to support an integrated data system that collects data from cradle to career. The foundation of the infrastructure is their data trust and governance framework. As part of the trust, they have drafted an Enterprise MOU, data sharing agreement, data privacy and security agreement, and universal consent. It is being structured to accommodate all of the data privacy regulations across sectors. They have representation from early education, schools, higher education, non-profit, health, and workforce development.
- Orange County (via chat box) - Wondering why we would NOT want to use CALPADS for SSID?
 - Comments on this question: not all local programs have the capability to generate SSIDs
 - LEAs can generate SSIDs on behalf of the COBs and other partners
 - Another solutions has been using local IDs that all partners can generate
 - The other concern with using CalPads that is that CalPads may not have the infrastructure to manage all communities securing them for early learners.
- San Bernardino (via chat box): Larger COEs would not have the capacity to get SSIDs for all 0-5 age children enrolled in all programs. We are getting SSIDs for students in our programs where we can be sure of the data.
- Orange County (via chat box) - Why we wouldn't want to figure out how to work through existing CALPADS hurdles?
 - Comment: not everyone has access to SSIDs; however there is a continued encouragement of working and collaborating across program types (County Offices of Education, community agencies, health and human services, etc.) so it is currently a barrier that could be overcome with conversations and collaboration on how to engage ALL and have conversations with CALPADS of what their challenges are to expanding the capacity of their system.
 - There are some valid concerns about capacity in the CALPADS system but we could work with CALPADS to see how we can work through concerns.
- (Listener via chat box) - Family child care providers who are serving private families will not be able to be tracked.
 - Response: Agree that something would need to be developed that had entry points for FCCH or other programs to obtain SSIDs for their children. However, it could be resolved through collaboration and communication and developing a system for all.
 - Individual grantees for FCCs and Head Start locations have no access to CalPads. Children in FFNs have no access and this is a large portion of parents who work non-standard hours, are parents of color, and low-income. We'd be missing a large portion of children.
 - Possible solutions: could contractors such as R&Rs have access to CalPads?

Early Learning Data Governance

- The concept is that a County Office of Education could be the assigning LEA for *ALL* kids. San Mateo has been doing it on a smaller scale.
- Some FCCs have data flowing into QRIS □ since County Offices of Education are required QRIS partners, perhaps this could be one of the roles they play within a consortium?

Question 1: How can a local integrated data system help you?

- Sacramento – huge benefit! Helps deciding what works for children and their families.
 - Allows to see what services children and families are accessing
 - See impact of the work, value to the investment
 - Quality measures
 - Identify gaps
- San Bernardino – integrating welfare and ECE
 - Identify communities where needs are the highest
 - Allows to see partnerships
- San Diego – Need to integrate different systems such as early education, child welfare, behavioral health services at local levels, county level integration
 - Families at high risk, background of trauma – families get re-traumatized each time they have to tell their stories □ clients should be known across different services and systems
 - Individual child level data is still necessary
 - CDMIS – they have the data fields but they are not currently used (whether the child has an IEP/IFSP)
- Additional question via chat box: For all of those of you who are out there representing LPCs please chime in with what integrated data would help your system with your Local Needs Assessment and other work you lead?
 - Responses:
 - LPC Plumas- integrated data would help with our zip code priorities - based on communities with the highest need for state funded PS slots.
 - An integrated data system would enable more accurate needs assessments, priority setting and local planning.
- (Listener in chat box) - Integrated data can help organizations in and out of early childhood to operationally align by eliminated redundancy and work. Making things easier for families in terms of application and experience with systems.
 - I would like to be able to see if a family has already established a family or child goal with another agency. That way we can come alongside the family to support them in maybe ways that the initiating agency is not able to. If a family is engaged with 3 or 4 agencies and each one asks a family to set goal as part of being in the program or receiving the service, those goals risk being either redundant or really meaningless for them. They are just checking the box and we aren't, as organizations, collectively supporting them. Child welfare, public assistance, and health data system would be the most helpful.

Question 2: Which systems (local or state) data would be most helpful to integrate with?

- From panelists and chat box:
 - Welfare
 - Health
 - Public assistance
 - Linkage to K-12
 - Regional center, COE, local school districts
 - Community Care Licensing
 - Home visiting
 - R&R-s
 - Commission on Teacher Credentialing
 - We need to find a way to identify data collection gaps for special needs (IEP/IFSP) data and where the child is being served. Some children are in private settings and that information is not tracked consistently.
 - Using an integrated data system to case manage around families is what will make the difference.
 - From Community Care Licensing (via chat box) - Licensing ensures compliance with immunization requirements by verify in-person hard copy records during inspection, but our data system is incapable of electronically tracking, and our efforts would be greatly aided by us either having a licensing data system that could do this electronically or by us having access to an external central electronic system that does this for both the children and the caregiving staff (both have immunization requirements).

Summary of Next Steps

The following is a summary of the next steps agreed to.

- Q&A updates will be shared with participants and listeners
- Submit any requests for further discussion for webinar #3
- Next meeting: Wednesday, 12/04/19, 10-12, link to register:
https://zoom.us/webinar/register/WN_5Tajc0DQS-iYb_NVgm_hQg

ECIDS Local IDS Workgroup Q&A

November 15, 2019

Logistics

Question Will the PowerPoint be emailed to the group after the webinar?

Answer The notes, recording and final report will be posted the PDG website being managed by WestEd.

Question During the webinar it was mentioned you are looking for additional county participant how does that recruitment process work?

Answer Yes, our goal is to learn from as many local communities as possible. If you have data about your county that you would like included in the Preschool Development Grant deliverables please share it with the Santa Clara County Office of Education team.

Question Have we shared with all participants the definition of "integrated data system" vs integrated data base and what the goal of an integrated system is?

Answer For our purposes, our discussions are around an Early Childhood Integrated Data System. An Early Childhood Integrated Data System (ECIDS) collects, integrates, maintains, stores, and reports information from early childhood programs across multiple agencies within a state—including education, health, and human services—that serve children and families from birth to age eight. The broad purpose of an ECIDS is to provide integrated, cross-program data that inform decisions about early childhood policies, services, and education (see more information at: <https://slds.grads360.org/#program/ecids-toolkit>). Our discussions within the scope of these webinars focus mostly on data regarding children birth to age five.

Connection to the Parental Portal

Question Can you please provide more information about why at the start of each meeting we are talking about the Parent Portal and the Consumer Education database?

Office of the Superintendent – Early Learning Data Governance Department

Answer Great question! As the CDE develops their integrated data system they recognize pieces of the data will be able to help populate data elements that will be valuable to families as they look for quality care to access.

Question Can we get info on the Online Portal system that was mentioned? How about the recording?

Answer The name of the website is MyChildCarePlan.org and the plan is that will go live in July of 2020.

Unique Identifiers & Potential Use of CALPADS

California Longitudinal Pupil Achievement Data System (CALPADS)

Question Does CALPADS have an existing API?

Answer

Question San Mateo shared during the webinar that they are assigning SSID to students in private preschools? (slots they are not funding?)

To those counties who shared how they are embedding SSID or identifying numbers, in addition to the excellent work that is being done to collect data for children enrolled in early learning programs, do you see a way to expand that process into the other areas that children may be supported in the early years, as through Help Me Grow and in unlicensed or alternative programs, or other supports or resources that are provided through the early learning system.

Answer Several Local Educational Agencies (LEAs) shared that they secure state student identifications (SSIDs) for students in community based organizations that operate subsidized preschool slots. San Mateo County Office of Education is one of the LEAs that is doing this to link their data locally.

Question What happens to SSIDs and County IDs when children move counties? A statewide integrated system is critical to follow children.

Answer Several local communities have found that using the SSID has been very powerful. When local IDs we can not follow the children as easily when they move county to county.

Question Wondering why we would NOT want to use CALPADS for SSID?

Why we wouldn't want to figure out how to work around existing CALPADS hurdles?

Can Individual grantees for family child care homes (FCCs) and Head Start locations have access to CALPADS. Would it be possible for children being served by family friends and neighbors (FFNs) to have access to CALPADS? If not, the state would be missing a large portion of parents

Office of the Superintendent – Early Learning Data Governance Department

who work non-standard hours, are parents of color and/or are low-income. Could contractors such as R&Rs have access to CALPADS?

Would local educational agencies (LEAs) such as a county office of education (COE) be able to create an SSID for family child care homes (FCCs) who are in a quality rating system (QRIS)?

Answer

Great question. Some counties are finding using CALPADS very successful. And, the local education agency (LEA) secures the state student identifier (SSID) on behalf of community based organizations (CBOs) and other non LEA partners. But, not all local communities are addressing it quite that way and instead have generated local IDs that can be created by all partners in the community and then they are attempting to match them at Kindergarten..

It has been expressed by CALPADS that they may not have the infrastructure to manage all communities securing them for early learners.

Suggestion from the webinar community:

- “I think there are some valid concerns about capacity in and of the CALPADS system but I agree that we could work with CALPADS to see how we can work through concerns.”
- “Since COEs are required QRIS partners, perhaps this could be one of the roles they play within a consortium .
- “I agree CSPP Data system info needs to flow into QRIS data collection, so we communities are not duplicating data collection efforts”
- “We could use CDMIS and now use upcoming Cal SAWs (CDSS and CDE systems).”
- “Many communities rely on self reporting of CDE funded facilities. Having access to this data would support QRIS and AB 212 administration amongst other uses as well as with Community Care Licensing data”

Other Ideas & Questions

Question

Do other States have integrated data systems California can model?

Answer

Great question. Presently, there are currently 9 states with operating integrated data systems involving early childhood data. There are other

Office of the Superintendent – Early Learning Data Governance Department

states and county/city entities with integrated data systems involving other types of data. Many of these entities have models that California should explore in its efforts to create its integrated early childhood data system.

Question

Are there any local communities who distribute local “family IDs?”

Answer

During the webinar, no communities responded saying they distribute local family IDs. During our research we have found that some community based organizations issue a family ID, such as local FIRST 5s.

ECIDS Work Group Meeting #3 Minutes

The ECIDS work group had a third virtual meeting via a webinar on December 4, 2019 to continue exploring the varied landscape of local early childhood data systems. In case you were unable to participate, find the link to the webinar recording below:

<https://zoom.us/recording/play/9XuRZ9KKUcl7CzboRBljRVFwnkKiopvIX0XK8Vwas7hnFrdRHvrZBwAA6SJ RdwTN?startTime=1575482520000>

Project update:

- Webinar materials (minutes, Q&A-s, links to recordings of all the webinars) will be posted on WestEd website at the following link:

<https://wested.box.com/s/rzcxge7afei44h2mkrqiyxwif43ay01>

Update from CDE – Virginia Early – Policy Office Administrator – Early Learning and Care Division – CDE

- On November 22, 2019, Governor Newsom Announced Early Childhood Policy Council and a Team to Develop Master Plan for Early Learning and Care:

<https://www.gov.ca.gov/2019/11/22/governor-newsom-announces-early-childhood-policy-council-and-a-team-to-develop-master-plan-for-early-learning-and-care/>

- Gov. Newsome appointed 20 members to the Early Childhood Policy Council, and announced the creation of an Early Childhood Action Research Team

Meeting series objectives:

Assess the need for local level integrated data and figure out how state level ECIDS could best support state, local and regional data needs.

The meeting objectives for this webinar were:

1. Ensure prioritization of local partners' and stakeholders' requested data elements and needs
2. Gather information regarding current local partners' and stakeholders' data collection and readiness
3. Gather input from stakeholders to shape the design of the Early Childhood State Integrated System
4. Highlight local partners' and stakeholders' "best practices" in data collection and data use

Participating Counties (as panelists):

- San Bernardino
- San Diego
- San Francisco
- San Mateo
- Fresno
- Modoc
- Orange
- Los Angeles (Long Beach Unified)
- Sacramento
- Alameda

Discussion:

Richard Gold – Consultant – Santa Clara County Office of Education – moderator for the webinar

- New participants' questions: what types of data is currently being collected in your Early Learning systems?
 - Modoc
 - No integrated data system
 - Early Learning data is shared manually between stakeholders
 - When they receive data from the State it comes as lump sum, they have to backtrack to identify data by agency
 - ECIDS will be helpful to didact information more easily
 - Data sharing is currently cumbersome
 - They don't have the capacity for a Local Integrated Data System
 - Orange
 - No integrated data system
 - iPinwheel – for QRIS data, depending on all participants to manually share information
 - Don't operate any CSPP contracts, so they have no access to CalPads
 - Taskforce for data sharing was created about a year ago □ main realization is that the lack of Unique Identifier is a big barrier
 - Other barrier: protection of data at different agencies, data sharing is currently a cumbersome process across agencies □ shared recognition of need for data sharing
 - Alameda (via chat box)
 - For QRIS, F5 Alameda uses iPinwheel. They are hoping to integrate the Workforce Registry with iPinwheel so that teachers' education data and documents are available on iPinwheel for their rater. They have over 1500 teachers on the Registry that are working towards completing their profiles.

Early Learning Data Governance

- Working to build greater cross-collaboration in Alameda County. Data is collected in various ways throughout the county however, data clean-up of data shared informally between agencies reveals that the data sets are not cohesive and therefore limit data analysis efforts.
- Formal data sharing agreements are also needed to share information and are not in place county-wide.
- Child level data is not yet fully integrated in their systems. Sites use DRDP online or sometimes paper then transfer the data to online to report.
- Riverside (via chat box)
 - First 5 Riverside shares one consent form with the Riverside County Office of Education and holds "Common Data File" data in the iPinwheel data base.
 - Some of the child care sites participating in QRIS use the iPinwheel database to capture core level client data inclusive of tracking attendance, screening or assessments and immunization information.
 - The Consortium for Early Learning uses this database to house provider information related to incentives and stipends provided and trainings attended.
 - The County Health Department also records NAP SACC trainings conducted to QRIS providers in iPinwheel.

Panelist sharing (general discussion):

- San Diego
 - Resource related to ECIDS: a report from the National Early Childhood Data Collaborative:
<https://www.childtrends.org/wp-content/uploads/2018/09/ECDC-50-state-survey-9.25.pdf>
 - Main idea: the main purpose of the creation of an ECIDS is to inform policy
 - From our webinar conversations it is evident that we would want a California ECIDS to have the capacity to inform systems at the local level as well
 - First priority of a statewide ECIDS both at the state and local level is to connect/integrate early childhood data needs to be able answer questions regarding early childhood/early learning:
 - Subsidized child care (APP voucher programs)
 - Home visiting (prenatal to 5 years of age)
 - Head Start
 - Part C of IDEA – Early Intervention
 - Part B of IDEA – special education preschool
 - State-funded programs
 - Some of the above systems have child level data, some have family level data
 - Also need to look at site level data for access to services
 - Readiness and access to supporting services
 - Program quality, quality characteristics
 - Integrate child level data that only deals with FERPA first

Early Learning Data Governance

- Have not integrated any data elements that deal with HIPAA
- Trying to determine data elements that could be shared across systems to prevent families from having to tell their stories over and over again at different agencies
- To achieve above goal □ identify data elements that can be shared according to FERPA to be able to link child records to family records
- Fresno
 - First priority for data integration is actionable data elements:
 - Data that assists providers to determine the greatest needs
 - Results of developmental screens
 - Preschool enrollment history
 - Foster youth
 - Homelessness status
- San Bernardino
 - Readiness to share data is low across agencies due to data sharing concerns around data privacy
 - Perhaps integration should occur at the state level from information that is already uploaded, and not at the local level where most counties do not have the capacity for local data integration (information is already uploaded to CDE through 801A, and the current redesign of uploading to CDSS through CalSAWS will ensure other sets of data elements regarding Early Childhood such as welfare, etc.)
 - It would be desirable to share state level integrated data with the local level systems
 - Would it be then reviewed by the California Human Protections for research subjects? (aggregate level data versus identifiable child level data)
- Alameda
 - Difficulty around data sharing: different forms having different fields □ working toward alignment across agencies
 - Data sharing currently occurs manually, hoping to get to data sharing with Workforce Registry through iPinwheel
 - Priority of data integration:
 - Subsidized child care (APP programs)
 - Workforce Registry
- San Mateo
 - There is a current practice of data sharing across Preschool – 3rd grade systems
 - Opinions might not be reflective of priorities of all local partners
 - Data should be shared on a need-to-know basis
 - Priority of data integration:
 - Developmental screening data in the pediatric community
 - Early Childhood and health connections
 - Further discussion would be needed with local partners to determine priority of data elements for sharing and integration

Early Learning Data Governance

- They currently have a partially integrated data system, they are connected manually through data sharing agreements □ labor intensive process, exploring technical solutions

Is there current data sharing between Early Learning and K-12 systems locally?

- San Mateo
 - Kindergarten readiness assessment is shared back from K-12 system with Preschool
 - Aggregate level data is shared regarding children's preschool experiences with K-12 system
- Fresno
 - Not across Fresno County, but within Fresno Unified Early Childhood data and K-12 data is within the same integrated system
 - Integrated system is a "homegrown" student information system developed locally for own use
- LA County (Long Beach Unified)
 - DRDP data is shared from preschool to Kindergarten teachers through a data system
 - "Passport" for Kindergarteners that contains information of students regarding their preschool experiences
- San Diego
 - 36 school districts, 12-14 of them operate their own state preschool program (CSPP), those preschool students' data is shared within the district
 - QRIS data has child level data, once in Kindergarten, after issuance of SSID, students are linked to their previous preschools through linking their SSID to their QRIS ID
 - After matching students to QRIS-rated preschool programs, it's up to individual districts and preschools to come to agreement regarding data sharing
- Orange
 - All elementary and unified school districts (except one) operate state preschools
 - They share data through their own student information systems □ this requires preschool teachers to do double data entry for DRDP data (DRDP online, and their student information system)
 - What is left out is all the preschoolers attending non-school district state preschool students' information
 - 78% of children in the county are in early learning programs that are NOT state-funded preschool, no data on those students
 - Spotty data collection on students in TK and Kindergarten who have had IEP-s or IFSP-s, as data is only available from state-funded preschools, if they received services in another setting, records would not be available
 - SSID solution should be coming from CalPads being able and ready to issue unique identifiers to all children 0-5 participating in any of the state or federally funded programs

Early Learning Data Governance

- The data agreements should be coming from the state level and not the local level as it's too big of a burden to negotiate all the details of data sharing agreements between many different agencies at the local level
- Modoc
 - Manual data sharing between Early Learning programs and K-12
 - Information often gets lost in the fray
 - Teachers often don't look at or not understand the DRDP data
 - The issue is for K-12 systems to want to have the Early Learning data
- Santa Clara
 - We learned from Parent Focus groups that parents DO want their children's data to be shared so they don't have to tell their stories over and over again
 - Parents want their children's data to be shared so teachers in the K-12 system would be informed about their children's knowledge and skill levels

Are counties currently using a consent document for parents to give permission to share identifiable personal information?

- San Diego
 - 12-16 years of practice for consent to share data with First 5
 - Preschool information would be shared with the county, and the county can share with First 5, however, only aggregate level data is shared publicly or for research purposes
 - They follow ESSA (Every Student Succeeds Act) guidance for Early Childhood Education
 - Based on the Title I and Head Start guidance, it would be beneficial to get specific guidance from the state level outlining what can and cannot be shared, how data should be used and for what purposes
 - About 95% of parents sign the consent
- San Francisco
 - They have been using a consent for data sharing since 2008-2009
 - Initially, a passive consent (opt-out) was used, however at that time a lot less data was shared compared to the amount of data being shared now □ the thinking shifted more toward an active consent
 - As different agencies and programs deliver services concurrently to children, a certain level of data sharing (and as a result, consent to participate) must happen
 - A 2-part consent is now being considered:
 - Acknowledgement to participate/receive services, and sharing is going to happen
 - Optional consent, related to research and evaluation purposes
 - In the opt-out scenario, only 0-5 families declined to sign the consent out of about 4000
 - In the case of the active consent, about 95% families consent
- Orange
 - Use an active consent
 - Developing the consent form was a lengthy process with a lot of legal advice

Early Learning Data Governance

- With the inclusion of Workforce Registry, the whole process got reopened around the consent, although it did not directly affect family and child participation in programs
- About 10% of families decline the consent – mostly from family child care providers and faith-based private centers
- San Bernardino
 - Not currently, but in the past a human subject approval was in place instead of an active consent – it was de-identified first
 - The consent in the past was not for programmatic purposes
 - They are in the exploratory phase of generating a consent for data sharing
- Fresno
 - Limited data sharing, based on passive consent
 - Currently working with attorneys to determine when active consent would be needed
- Modoc
 - Mostly active consent is being used
- San Mateo
 - They moved away from active consent to acknowledgement
 - Under FERPA no need to consent for evaluation, they send de-identified data to evaluation partners
- Alameda
 - Representative is not aware of the processes currently in place
- Santa Clara
 - In the process of creating a universal consent across all partners
 - Has been in the process for about a year

Have any of the counties been successful in connecting different systems?

- Fresno
 - Not in Early Learning, but across K-12 and higher education in CalPads Plus
- San Diego
 - SEIS with CalPads for reporting services
 - 2 different DRDP systems:
 - DRDRP Access System for students participating in special education
 - DRDP online for students participating in general education
- San Bernardino
 - Two ways to integrate data in general (from presenter's perspective):
 - Data warehouse
 - Federated model
 - Open source tools for linking data
- San Francisco
 - Help Me Grow – prototyping a warehouse model

What would be most helpful to resolving issues discussed at the local level?

- San Francisco
 - Templates from the state level with specific language for data sharing agreements (MOU-s)/consent forms
- Orange
 - Technical Assistant from the developers helps the process, hoping that type of approach would be replicated in case of a statewide data system
- San Bernardino
 - Time is needed
- San Diego
 - Local needs mitigated with state level needs, data is needed at the local level
- General guidance would be needed jointly from state agencies regarding data sharing and agreements

Summary of Next Steps

The following is a summary of the next steps agreed to:

- Q&A updates will be shared with participants and listeners
- All webinar materials (minutes and Q&A-s) will be uploaded on:
<https://wested.box.com/s/rzcxge7afei44h2mkrqiqvxfwif43ay01>
- Self-assessment tool will be sent out to panelists and participants in the next few weeks

ECIDS Local IDS Workgroup Q&A

December 4, 2019

Question What was the name of the website again that the transcripts will be posted at?

Answer The recordings and Q&A from the chat will be posted to the PDG website being hosted by WestEd.

Question Would you kindly share the exact PDG web address? What does PDG stand for?

Answer PDG stands for Preschool Development Grant, it is a federal grant. The resources will be hosted on the WestEd PDG page here: <https://capdg.wested.org/about-pdg/> and we will follow up when the ECIDS webinar series resources are live.

Question Please repost the link Lucia is referencing. I can't see it. Thank you!

Answer Here is the link Lucia is referring to: Report to read: 2018 State of State Early Childhood Systems published by The Early Childhood DATA Collaborative and available at ecedata.org. It describes the definition and concepts that compose integrated early childhood data systems for states

Question Can you define "early childhood" as it pertains to the current discussion? Does it include 0-3yo (infant & toddler)? Or 3yo and up?

Answer At the moment what we are really asking is any data from before the child enters Kindergarten shared with the Kindergarten teacher/district. And, the reverse as Diana mentioned. Does data regarding the child's experience from K-3rd ever go back to the PreK system for continuous improvement.

Question Do license Title 22 facilities provide this information to Kindergarten teachers? Is this only provided by preschool programs with state or federal funds attached?

Answer

From my understanding our all our preschools share to K-12 including (Title 22, private, state and fed funded). We have 5 preschools through COE and one private funded through F5 and local non-profit.

Registration Report

Report Generated:

Topic

The California State Parent Portal

Attendee Details

Scheduled Time Duration (minutes) # Registered

120

43

Organization

California Child Care Resource & Referral Network

First 5 Alameda County

Foresight Law + Policy

4Cs San Mateo

California Department of Education

CAPSLO

CA Alternative Payment Program Assoc. (CAPPA)

Child Care Alliance of Los Angeles

CA Department of Health & Human Services

Santa Clara County Office of Education

Sobrato Early Academic Language

Child Development Associates

CA Governor's Office

CA Department of Developmental Services

Child Care Licensing Program, CCLD, Dept. of Social Services

CA Depart of Education, Special Education

SRI International

California County Superintendents

Yuba County Office of Ed. - Local Planning Council

First 5 California

Tribal Child Care Association

Silicon Valley Community Foundation

The Early Learning Lab

Mission Minded

Promise Venture Studio

California Department of Developmental Services

What: Parent Resource Focus Group

When: 11/18/2019

Where: CA. Dept. of Education

Partners/Facilitators: Sheetal Singh - The Early Learning Lab, CC R&R, MyChildCarePlan.org

Attendees: Denise Wilson, Parent, Compton; Ayesha Foster, Parent, Compton; Edith Mourtos, Colusa, Parent; Delia, Fresno; Lorraine; Lea; Henrietta, Sacramento

Other: Gretchen Howard, CC R&R; Jennifer Greppy, Parent Voices; Melinda, SCCOE; Erika Mathur, SCCOE, Michael Garcia, SCCOE; Mary, Parent Voices; Channa, CDE; Kim Hough, PDG Consultant; Heather, Consultant, CDE ELCD; Liz, Early Learning Lab; Sheetal Singh, Early Learning Lab

Notes:

1. Welcome and Introductions (Sheetal Singh)

a. Belief Messages

b. AB2960

1) Review of necessary elements

a) Program eligibility and program information

b) Connect with R&R and providers

c) Screening tool

d) Links to R&R and AP programs for assistance

e) Access to placement on waiting list

c. Asked for parent story

1) Was given list, half numbers did not work, those listed as available not necessarily available, then issues with individual providers, both responsive and affordability; Applied for EHS, but waitlist was long; Numerous transitions to find the child care that worked best for her child.

2. Introduction to the Parent Portal (Gretchen)

a. Will be launching in July 2020

1) Must follow-up with source to determine if this will be a requirement**** (internal)

b. Identifying an R&R can be difficult

1) Parent story

a) The majority did not know who their R&R agency is/was

c. Review of features

1) Find childcare near you

a) With map and profiles on providers a click away

- Will be able to see when last inspection was

2) Connect with local R&R

3) Read, save and share childcare resources

a) Gretchen will be engaging the parents in this conversation; also engaging parents on eligibility screener

b) Channa asks about death and injuries information

- Gretchen says statistics will be made available on the portal

4) Get help from local child care specialist

5) Learn about local, related events

6) Parent question and answer session:

a) What are the announcements? Platform for providers and R&R agencies to distribute messages to providers, other R&R agencies and the general public

→ Something you would like to see?

Site Winnie lets you learning things in the moment

b) What about emergency situations? Could they post? Yes, this is possible

c) There is a button for special needs, what would we have access to? We will have an activity about this later in the session. Perhaps information about getting and IEP, IFSP. Whether or not a provider serves children with special needs will be built into the search.

d) Is special needs care self-reported by the provider? Yes, but then CC R&R vets it

e) How often are child care slot information updated? Will have date that was last updated. Working on ways to get update cycle as tight as possible. Right now it could be a couple of months or longer. Plan is just to tell you when it was last updated. State requires R&R to update quarterly. For some communities,

we are talking about thousands or more providers so getting regularly updated information may not be as feasible.

f) What can we do to incentivize the update process for providers? This is something that must be tackled in provider meetings.

g) Is this a way to make paperwork a lot easier? Suggestion is that parents be able to submit emergency contacts, immunization records, enrollment application, eligibility for public programs.

3. Eligibility Screener

a. Do you know what eligibility screener means?

1) Income but not just eligibility for child care

2) Also to connect you with a number of other programs (WIC, CalFRESH, CalWORKs)

b. Who signed up for some form of social service? Think about your journey.

1) How did you feel going through the process?

a) Felt like I was competing with people; too many requirements on the child and family, too much hassle

b) Gathering all of the paperwork was stressful, am I giving too much or too little; too burdensome; process is repetitive

c) Not clear on requirements and documentation

d) My provider was going to close because of the hassle on providers, too much paperwork, too many administrative obligations, takes away from care for kids; the Head Start paperwork and reporting requirements

e) Should be easier to change information; no change option – check

f) Process of getting welfare is hectic

g) Just signed my daughter up for IEP, was an emotional process as a foster parent, did not have access to child's history; would have rather gotten her the assistance she needed without filling out IEP forms – this was a draining process

h) Agencies that provides services don't talk to each other

i) Had to take time off work, find childcare, to attend AP orientation so that she could go after a slot, but did not get in the end

- Was entitled to a voucher but was not informed so did not receive services that she qualified for

2) A good story

a) As a foster parent, got a lot of assistance from the County; was able to work nicely off lists and checkbox forms

b) With Crystal Chairs, only four things that I needed; made the process easy by relying on other proof of eligibility (EBT card); able to get referrals to summer programs

c) Once paperwork is in, they get you in real quick, the next day

- Commonality between the stories is that we are talking about EHS and HS providers; greater touch and person-to-person contact

c. Eligibility Screener Activity (access.nyc.gov/eligibility)

1) Has a handout

2) General thoughts?

a) Actually really simple, even more simple with my info, only a couple of minutes; could be more mobile friendly

b) With minors, no other adults, not an issue with supplying information

c) Would be nice to have check all that apply boxes instead of dropdowns; not easy for mobile devices

d) Most people will be utilizing this on our phones; more convenient way to fill out forms

e) Pretty user friendly, can click to have text or email back;

f) Need to have all of the info accessible to fill this out correctly

- The situations that parents are going through may make it very hard to, lack of disclosure in income information between parents/partners, would make filling out this form very difficult

- Would be nice to have a person that you can contact to help fill out the form and point you to resources

g) Laptop completion is exactly the same interface

h) This thing looks boring, not aesthetically pleasing

i) In activity, parents with same profile arrived at the same end result for number of eligible programs

j) Might need to be more questions in terms of living arrangements; Ex) could be living with a friend and also paying rent → this made a difference in number of programs eligible for

- May be nice to make hover windows or links to additional information more accessible

k) Need to be aware of other resources, not just those that a family qualifies for

4. Consumer Education Feedback Session

a. Activity #2 Resource Sorting; double sided document; take 5-10 minutes to complete

1) What information would you want to find at this site?

a) Choosing a child care

- Like Yelp for childcare providers; let's look at reviews; I would benefit by seeing the feedback from other parents; reviews may need to be monitored; vetting is a slippery slope; give providers the opportunity to write a response; who would vet?

- Could be a survey, like an exit survey that collects the information in a more standard way

- Think about presenting the information like Zillow, goes with map display of information

- What is your curriculum?

- Hours of operation; planned closures and holidays; recommended providers for planned and unplanned closures

- Transportation options

- Tips for what to ask or fields that should serve as additional features for a particular provider; plus features apparent on childcare profile page

- In search, parents would be able to check boxes for full to let others know that a provider is a full

- This could have a number of problems

b) Licensing and safety

- Depends on what you know and don't know, always get a listing of codes

- Need license number to get accurate information

- Profile would automatically include license and visitation records

c) Financial assistance*

d) Parenting and child development

- Stages of child development, what should I be doing for my child

- Activities for the home, car, bus; teach me how to parent

- Advocacy group, PLC for parents

- Classes that are appropriate for my parents

- Information about temperament

- Links to nationally recognized agencies that provide tips and training

- What are the different types of care?

- Head Start – parents get an activity sheet for things to do with their children

e) Special needs

- Go to certain providers to see if educators have specific training

- May be parents that don't want their children around other kids with special needs

- Have equipment suitable for children with special needs

f) Families' rights*

g) Family and community engagement*

*Did not get to these sections but Gretchen collected filled out handouts from parents

5. Survey

a. Administering quick survey

1) We need to get the results summary from Early Learning Lab

b. Things you would change

- 1) My children are older, would like to receive info from my child's school
- 2) Skip logic on hard form is not great

6. Quotes:

a. Melinda to ask for quotes from parents. Another project is ECIDS, how we can share data from birth to age 8, the transition to Kindergarten. Very rarely does the K teacher know about your child's pre-K experiences. What do you wish your K teacher would know when they walk through the door? What do you wish was not there?

- 1) Had experience with son in Head Start. Autistic and ADHD. Head Start made him a visual calendar. The teacher introduced herself and asked if there is anything you would like me to do. Teacher then implemented the visual calendar. She may have had the data and knew to answer the question.
- 2) My kid is high energy. He was constantly at principal's office. I would go back to my preschool teacher and ask what worked in this setting and get them to communicate. I had to be the in between and things gradually got better.
- 3) My son is going to be 14. My youngest just got to K. Head Start offered me up her packet with shot records and info to give to the K teacher. Teacher made it a point to learn about the kids on the first day. The teacher must take the initiative.
- 4) If you were able to walk in with something. In small town, communication between data systems and teachers at different levels is not practical.
- 5) When my daughter transitioned. Communication with the teacher, have high level of standards. The teacher should want to know and the parent should want to inform. Meet and greet at the first of the year. This should happen before the first day.
- 6) Childcare provider should answer several questions and the answers should be made available to the teacher. How does my child thrive? What are his/her challenges?
 - a) This process should be available to all child care providers, not just centers
- 7) Would like Kindergarten assessments. ASQs should be conducted and multiple levels. Something to determine my child's potential. My kid is not academically challenged in K-12 setting. Does no good for kids that receive a quality preschool experience to end up a low-quality, under-resourced K-12 setting.

*Nothing is offered on "what do you wish was not there?"

*Talking, integrated data systems are too "high level" for this group

Parent Designed Technical Access: SurveyMonkey Results Summary

Total number of participants: 378 (317 recruited by R&R agencies, including 22 Chinese speakers; 61 recruited through Craigslist and local parent networks)

Majority family size between 2-4, 17% had 5 or greater

Income: 23% under \$20,000; 39% \$20,000-\$50,000; 38% over \$50,000

88% have children

- 87% had searched for child care before,

- 37% searched more than 5 times, over half searched between 2-4 times, 9% searched once

More than 50% had used the internet in previous searches (Craigslist, Google, and Care.com most frequently cited sources)

In an open-ended question asking how their search process could have been better, 50% mentioned a comprehensive, interactive website, 39% mentioned more information on providers, and 31% mentioned parent reviews and ratings.

When asked how confident they feel in their ability to determine the quality of a child care setting (5=very confident):

5 - 39% 4 - 31% 3 - 23% 2 - 7% 1 - 1%

When asked which factors they find most valuable in assessing the quality of a provider or facility/what's most important to them in choosing one, the rank was:

1. Visiting the facility
2. Parent reviews
2. Inspection reports/violations
3. Quality rating score
4. Values/lifestyle/philosophy
5. Transportation accessibility
6. Non-traditional/flexible hours
7. Language/culture

79% have a smart phone

- 92% use apps

- 34% have apps related to child care, child development, or parenting

When asked if they would prefer to use a website or app, or talk to someone in-person/over the phone during their search for child care, 79% included website or app.

When asked in an open-ended question why they would include technology, 55% said because it's fast, easy, and accessible; 23% said because it allows them to narrow their search and it has the most comprehensive and up-to-date data; 19% said they would use it because it's available 24 hours a day and they can search on their own time, especially if they work during business hours; 18% said it would allow them to research the provider independently and better prepare them for interview questions; 11% mentioned parent reviews.

When asked if they had any reservations in using technology, the two most highly cited were concerns about accuracy of information (false reviews, out-of-date information, etc.) and their safety and privacy, if giving personal information.

When asked what information about a provider they would like to see, 58% included basic information (hours, location, contact information, license #, language), 34% included parent reviews and references, 34% included experience/training/education of provider, 34% included rate information, 26% included inspections/violations/complaints, 22% included bio and philosophy of provider, 13% included daily schedule/curriculum/activities, 12% included quality rating, and 9% included pictures of facility.

When asked how important parent reviews and comments are (5=very important):

5 - 61% 4 - 18% 3 - 14% 2 - 4% 1 - 4%

When asked how important a child care counselor's reviews and opinions are:

5 - 42% 4 - 26% 3 - 21% 2 - 8% 1 - 5%

When asked how helpful they would find some sort of interaction with a child care expert:

5 - 49% 4 - 23% 3 - 16% 2 - 6% 1 - 7%

When asked if they'd like to be connected to other parents who have used a provider they're considering, 86% said yes.

When asked if, instead of the current methods they use to search for child care, connect with other parents, receive child development information and community resource information, if they would prefer to download an app that encompassed it all, 72% said yes.

When asked which of the above would be most valuable, the rank was:

1. Child care search/information and parent reviews
2. Community resource information
3. Communication with child care experts
4. Connecting to other parents
5. Child development information

National Website and Hotline Project – Child Care Resource and Referral Listening Session Summary

On February 26, 2016 CCR&R professionals from across the country participated in a listening session with the Administration for Children and Families to share their feedback, possibilities and recommendations for user friendly elements to consider in the design for the National Website and Hotline project.

This listening session was a part of a series aimed at gaining input for both the National Child Care Website and the National Parent Complaint Hotline from a broad range of early childhood stakeholders across the country.

Question 1: Thinking about the families that you serve in your communities...Are there specific user friendly features that you recommend for the design of the national child care consumer education website? For example: State specific licensing requirements; Language supports other than English and Spanish; Child Care Search by County (not just zip code); Connections to Provider Social Media pages; Parent sourced reviews of Child Care Providers

Answers and Comments:

- Language Considerations: Mandarin, Tagalog, Spanish, Chinese, other Multi-language supports (Local agencies have English and Spanish pretty much covered)
- Utilize social media as a way to categorize information
- It would need to be smartphone and tablet friendly
- Provide direct links to licensing database so that parents can review complaints and violations against facilities
- Provide State specific licensing requirements
- Provide direct links to Workforce Registry so that parents can review provider qualifications
- Provide links to the state website for families searching for child care
- Provide map of states that is interactive and links parents to CCR&R agencies in their State
- Consider an app for ease of use. It would be nice to have information available regarding what is being accessed to inform State CCR&R's as well
- Comments and Questions on the Inclusion of Parent Sourced Provider Reviews:
 - Parents absolutely use this type of research/ratings when making decisions
 - How do we manage these comments if they are negative or incorrect?

- Providers are going to be VERY nervous about parent reviews - what protects them from unsubstantiated negative reviews?; Parent reviews should only be provided after parents have seen the more objective information -- like monitoring reports
 - Who would monitor the reviews?
 - Parent reviews would be tricky...how do you verify reviews and what would process be from provider who is contradicting review or questioning accuracy or validity
 - May be more important to have QRIS Information versus parent sourced reviews
 - How will you use the parent sourced reviews?
 - How will you know that a negative review truly reflects that provider's practices/attitudes and was not a conflict with only one parent?
- Search by mile radius, zip code, address and county. Consider adding Defaults: Defaults allow people to do less work to get their results. For example: Adding a "near me" feature (in addition to a zip code or county)
 - Provide Information for families on what to look for in quality child care and questions to interview prospective providers
 - Include a straight forward, easy to understand, explanation of child care and then referrals to the local/State R&R
 - Ability to search by schools nearby or that the provider is willing to transport to or is on the bus route for
 - Consider offering an option for parents to send their search results to themselves via email
 - Have video or YouTube information on quality indicators and requirements of licensure from the State level

Question 2: Out of the recommended user friendly features mentioned earlier, what are those that you consider essential or should be prioritized to support the factors families use when selecting high-quality care? For example: State specific licensing requirements; Language supports other than English and Spanish; Child Care Search by County (not just zip code); Connections to Provider Social Media pages; Parent sourced reviews of Child Care Providers; Other

Answers and Comments:

- Diverse Language supports
- State licensing requirements and additional city requirements
- Search for Child Care by State, county, city, zip code and "near me"
- Ability to search according to child's age and age appropriate providers
- Families are concerned with cost and how that cost compares to similar programs/nearby programs and location from home or work

- It is essential that we provide education on what high-quality care is and what is available near to them and also need to show average cost for that area and providers
- Access to licensing inspections and complaint reports
- Information about available assistance to help with the cost of child care
- It will be vital for families to be able to connect and link back to their local CCR&R for additional resources
- The national website should share information that is the same regardless of where you live in the country and also explain that things like licensing standards are very different in different areas

Question 3: Providers may want to use the website as a way to increase the visibility of their program and services. What kinds of information should providers be able to include on the National Website that would help both themselves and parents? For example: Fees and Costs; Vacancies; Program Pictures

Answers and Comments:

- Information on the value and importance of Family Engagement- as a shared responsibility and a Family Engagement checklist available for providers and families
- A link to a copy of their contract or website
- Staff educational and experience and curriculum being used in their facility
- Providers should put the vacancies
- Specialty training they have completed - i.e. in autism, special needs
- Photographs of their environments along with written information about their program
- Languages spoken if speaking multiple language
- References from other families and parent testimonies
- If fees, costs, and vacancies are posted and a date next to when the information was updated
- Accreditation
- Links to provider's social media pages
- Specialty Services available from the child care program, such as transportation to and from preschool

- Daily schedules and meal plans
- Hours of care
- Program philosophy
- Participation in QRIS/food programs
- Years in business
- What types of assistance the program accepts: Subsidy participation, CACFP participation, scholarships available
- Summer camp listing, sliding scale fees, and scholarship opportunities
- Links or information about child care provider violations
- Opportunities for parent involvement
- An "accepting new children" feature that would help families determine which programs are available to them
- Comparison shopping feature for child care

Question 4: What specific types of information do you recommend are made available on the national child care consumer education website related to CCR&R services so that families are encouraged to seek local services and supports? For example: CCDF Child Care Subsidy application site; Parent training & services/how to find and afford early learning /support groups; Provider training & services / How to Start /Orientation training/ Business training/ market surveys/marketing/ shared services for FCC and Center based care/ Director support groups/ coaching and consultation.

Answers and Comments:

- CCR&R should be featured prominently as localized experts all over the site
- If parents are seeking local help paying for child care, phone numbers to call their local CCR&R to understand how to get help paying for child care
- Information about the role of R&Rs – e.g. Express that the counseling services is the best service. It's can help you really figure out what is best for you; Parents who have children with special needs should be directed to the CCR&R for sustained support; CCR&Rs are resources for providers as well not just families; local CCR&Rs are familiar with the local providers and can offer more customized help; Information that enhanced referrals for children with special needs and families with infants and toddlers can be accessed through their local CCR&R
- Links to CCR&R Social Media accounts

- Local programs who are working with the CCR&R
- Average cost of care by county w/ local CCR&R agency contact information
- Links and information on parenting classes
- A child care checklist
- Parent training and training for FFN
- Child care scholarships outside of Department of Social Services – e.g. Car Seat programs, Lending Library
- Teaching parents how important 0-5 is, so they really look for quality care
- Child Care Awareness Orientation
- What local resource are available to help pay for child care
- A link to Child Care Aware of America will be critical the work performed by the CCR&Rs
- Family engagement activities and upcoming local activities & events
- Linking families to local entities because licensing standards are certainly different in different States
- Links to local resources – e.g. housing, food pantries, WIC, social emotional resources, special need resources, mental health services, healthcare, developmental screenings, immunizations, early intervention services
- Eligibility requirements for subsidy
- List of recalled items such as car seats
- Include the local CCR&R contact in the footer at the bottom of every page that says something like "Need help? Can't find what you're looking for? Call (#) to speak with an experienced child care referral specialist that can help match you with providers that meet your needs."
- Links to the Center for Disease Control
- Information on how licensing address parent complaints and violations
- Information on Pre-K and Head Start programs
- Stick to education on the site. Provide minimal provider information and link each provider record to the appropriate CCR&R and/or State regulatory agency for more specific, detailed info on the program. That way the referral component is getting appropriately dealt with by the

CCR&R

Question 5: How could the National Website potentially support staff working with families who are enrolling in subsidy programs?

Answers and Comments:

- Provide national information regarding subsidies and who to contact to at the State level
- Professional Development- links to free classes and career advancement
- The National website could direct parents to the local CCR&R programs so the staff could assist a parent with the enrollment process; What would help is really encouraging families to call the CCR&R directly or referring them to the CCR&R website; Because there is such a wide span of regulation in every State, just provide a list of all the CCR&R's by State
- If that parent is moving from another State provide what the requirements are in the local area
- Linking families to local and State resources would be helpful
- The State and National website could intuitively incorporate State specific subsidy eligibility criteria on the screen to raise to the parents or come up on the results screen when parents are searching for care
- We have an online application process and linking to that would be awesome
- Subsidy staff should be seeking support for child care referrals from their local CCR&Rs. Please don't provide so much provider data through the national site that subsidy staff then feel they can bypass the utilization of their local CCR&Rs
- Provide links and information to a variety of additional local financial assistance resources

Question 6: Are there specific barriers and/or opportunities to the implementation of a national consumer education website that you can identify, that would assist us as we enter the design phase?

Answers and Comments:

- Even though you state that this isn't duplication, it is many of the same things CCR&R's are and have done for a long time. I would want it to be different, not an enhancement of what we already do. If it is just an enhancement, then put the money into the CCR&R system
- The concern I have with providing referrals for families from the national website is that it will eliminate parents contacting their local resource and referral agency that can provide more current information, particularly if the child has special needs
- This is so different from State to State that it will be important to make this support targeted through the local CCR&R where all the information is available
- We have a subsidy waiting list in our State which can be frustrating to staff. Staff want to be

helpful and would appreciate having additional resources to link these families with

- We would like a chat feature staffed by local CCR&R - in general not just subsidy
- Include vacancy information if done on local level
- Will there be efforts to connect with CCR&R in States that do not actually administer the child care assistance?
- Provide links to State legislative info to encourage families to advocate for additional subsidy
- Consider the cost of local data procurement
- Is the National Workforce Registry Alliance also involved in the creation or development of the site?
- Ease of use for the parent will be key
- Timeliness of updates will be critical to the success of the system. Child care providers and programs change quickly and updates will be critical to the usefulness of the site
- Consider lack of Internet services in local areas
- Would you pull our data, would we import? How would you connect to our websites to get the data?
- The cost is a huge barrier
- Who is responsible to update the national website as States and CCR&R change/update information?
- Who is going to design each State site?
- There could be confusion where providers post on national and not on local
- We are looking at social media as a means to categorize some of the consumer education. I believe categorizing things in a consumer friendly way that limits the number of clicks that people have to do to obtain the information that they need will be challenging
- How to maintain a current database as States implement new rules, definitions?
- It would be great to have some tracking of the site traffic, searches, pathways to State sites, etc. that we could integrate into our own analytics
- I believe this is an excellent opportunity to promote child care and has a great deal of potential. How will you collaborate and inform CCR&R's on the progress of this site?

- If there are programs or resources listed that are not available in every State, list the specific States that have access to these programs or sites. Make sure updates are frequent, information on QRIS and the availability of QRIS programs in every State may help parents become more familiar with QRIS and become advocates for QRIS
- I would assume that all information about providers will be checked for accuracy and validity of data. Entries should be sourced from regulatory agencies
- Consumer friendly vis a vis language; avoiding phrases or initials that are common in the field but not understood by parents
- I believe the licensing piece will be challenging as many States aren't reporting in the way that the federal plan would like
- Users will want to feel as if this national website reflects them and where they live, consider languages, the look and feel, etc.
- The Website will likely have CMS and Search feature. Offering an organized sitemap that is user-friendly so that families can quickly find the information that they need
- Will local CCR&R databases be connected to the national database so that they can support families moving from one community to another?
- Just concerned that information is current and what is considered current
- How would you ensure that any licensee that is revoked or on probation gets taken off the national website immediately?
- When you are talking about high-quality and helping families choose this - how will you ensure that all data from all States is standardized and can be comparable across all providers in the database?

National Hotline Discussion Questions and Answers/Comments Summary

Question 7: Does your CCR&R currently receive complaints related to suspected child abuse and neglect or health and safety violations in child care settings? How have you handled those complaints?

Answers and Comments:

- Questions and complaints are directed to the State 800 number
- Most of our members will take complaints; however our State just opened a centralized complaint call center
- We document complaints and submit to State regulatory agency, encouraging parents to also call in complaint

- We do receive these. We report them to the appropriate organization (i.e. child care regulation violations to licensing, suspected child abuse and neglect to Protective Services). We also remove provider information from our database until resolution
- CCR&R takes complaints about violations and investigates or sends the complaints to the Department of Children and Families. Child Abuse is referred to the child abuse hotline or to the Department of Children and Families
- Suspected abuse is reported to the abuse hotline. Health and safety violations are reported to local licensing organization
- We sometimes receive complaints, however, these are referred to Child Care Licensing and/or the Division of Children, Youth and Families...depending on the call. If we are notified by licensing with an issue regarding a licensed program we have the option to place a program on non-referral status
- As a local CCR&R we are responsible for receiving complaints about issues in the Family Child Care setting. We are then responsible for investigating the complaint, making site visits and determining validity and level of violation
- Of course a referral to the licensing agent is also included; once again, the intent is referring to the best result for the family
- We have taken those and made the reports for parents or given them info to make the report on their own
- We don't take the complaints to take away from the agency that is supposed to take them, however we've found that parents don't always follow-up with the appropriate agency, so we make sure to pass on the information as well
- It's typed on a FCC provider's license, where a parent can call with a complaint (MN)
- We have a clearly defined process on how to take complaints to appropriate investigative people. We also clearly inform and help parents make personal contact with investigators
- Complaints about child care centers are referred directly to the State
- Yes. And we handle them as they come in and refer them to licensing
- They've done both. They call the CCR&R a lot more than the State as they already have a relationship with the CCR&R through subsidy or referrals
- The incidence of parents contacting us is of as many reasons as you stated - first contact; one of many, etc.

Question 8: Using your experience, what are the essential design features and protocol inclusions for a national parent complaint hotline that will connect users to a Lead Agency point of contact in States and Territories? For example: Required training for National Hotline Staff; Types of information included in call intake documentation.

Answers and Comments:

- Having qualified staff to respond to these types of calls is essential
- Staff should have active listening skills
- California went to a State hotline and there was fidelity with staff training
- This is going to be tricky as States have different regulations. How will call center staff know if a parent concern is a licensing violation vs a contract dispute, etc.?
- Whomever are taking these calls should be trained to be empathetic and respond to families given the needs
- This is very State specific. In New York we are the investigating agency so calls to us are the appropriate way to make contact. This may not be true in other States
- Mandated reporter training
- We advise the parent/person making the report to write down the 6 W's first, Who, What, Where, When, Why, and How – And to then make the call so that there then is a removal of emotion from the report
- In most cases they call us and we have a policy in place to help parents make the connection with the State. We are obligated to make the call ourselves if it is a call of a serious nature
- Training from the local DCP&P (DYFS), training in identifying child abuse and neglect and training in protective factors for CCR&R staff
- Understanding of child development and early childhood
- If it's a situation that is truly dangerous for the children, how will info get routed immediately to investigatory agencies?
- It would be good to give parents some guidelines for what constitutes a complaint that can be addressed in a licensing (or informal) care setting. A personal complaint against style of care; or something regarding care policy vs a complaint of suspected abuse would be one example
- Often parents do not understand the difference between health/safety violation vs. what is allowed per State policy and regulation
- Clear expectations that all information is shared with State regulators. It is up to the State/lead agency to decide if it is a complaint to be pursued

- Policy features include various types of complaints/ violations and specific steps to take regarding reporting of each type of violation: who they need to contact; is it actually a violation in our State
- For areas with a hotline already, what do their number of calls look like?
- Staff will need to know intimately, State specific approach and supports; Parents need to understand what the follow-up will be and how that will follow-up will be made to the family, if any
- An explanation to the caller of what will happen with the complaint after it is made
- Are parents going to be required to restate their complaint after making their report on the national hotline, for example, is there an expectation that states will contact the parent to obtain the complaint information first hand - specifically around child abuse and neglect?
- The ability to access the training needed for mandated reporters is difficult at best. How can some of the funds that are earmarked for this initiative can be funneled to the CCR&R's to be up to speed?
- Will we have to report out to the National website?
- How will staff keep current? Ongoing professional development for these important people

Question 9: Are there specific barriers and/or opportunities to the implementation of a national parent complaint hotline that you can identify, that would assist us as we enter the design phase?

Answers and Comments:

- Fear of reporting
- Privacy and confidentiality
- A Q&A template for a parent to complete might be helpful. The questions might screen the parent's situation for the detail needed to refer that parent most appropriately
- Offering multiple languages
- How do you engage tribal communities?
- Due process
- How to localize the info
- Tracking the complaints to resolution from the national site to the local agency may be difficult
- If this is limited to CCDBG funded programs, can anyone report or only those using subsidy?

- There should be a disclaimer of the timeline of handling the call. Sometimes parents assume that once they call something will happen immediately
- The more open this hotline is to any information, the better the States will be able to determine a course of action
- Will the staff serve or should they serve specific regions?
- One question you may want to ask is if they have reported it to another entity
- Simple enough to take all information in enough detail to eliminate the need for the parent to keep repeating the complaint information. It is stressful enough for them to do this once

Additional Questions and Comments

- What is the timeline for launch of the website?
- What is the timeline for launch of the hotline?
- Will this website link to existing CCR&R referral databases or need data from CCR&R's?
- How do databases already in existence that will be absorbed?
- Will local CCR&Rs be required to provide data?
- Have you considered communications with NAFCC to connect with State/local provider associations?
- Where will you get the provider information from?
- How will you verify if providers are licensed, certified, and/or meet the regulatory requirements in each State?
- This looks like a duplication of the services CCR&R currently provides, how is your search different from what we are currently offering?
- Is participation by CCR&Rs mandatory? I.e. providing access to local data?
- Will States get a report of families using the site that live in their State?
- How to get the information out to the military and connect them with local providers once they leave the service?
- Will there be efforts made to market this site nationally?

- Will this site integrate with NACCRRRA Suite of Data Services?
- Will you have some of us do a pilot run when the design is nearly complete?
- What happens with the hotline complaints?
- Just wondering, if there is a parent complaint, how will that be shared with the CCR&R, especially if there may be an issue of abuse and neglect where action must be taken immediately? Or will that be shared with the regulatory agency first?
- Will the hotline also utilize a chat function?
- What will be done to clarify the purpose of the hotline? I see the opportunity for lots of confusion.
- This is not a question but a comment; we are an Ohio CCR&R -- parents sometimes contact the CCR&R to present an abuse complaint; we listen, and refer to the local children's services unit; in some situation, especially for a report against a provider, we may also contact Children's Services. Our first intent is to provide info for parent to make that report themselves.
- I'm sure there's a reason for creating this, but do they REALLY need another access point? Reports go to Licensing, and this will just take longer to get there.

Design Research Findings on Parents and Providers of Childcare Services



Partners



Research Methodology

Parents Input Sessions

- San Mateo County General Parents Session
- Head Start Parents Session
- Spanish-Speaking Parents Session

Providers Input Sessions

- Center-based Childcare Providers Session
- Family-based Childcare Providers Session



Key Research Questions: Parents

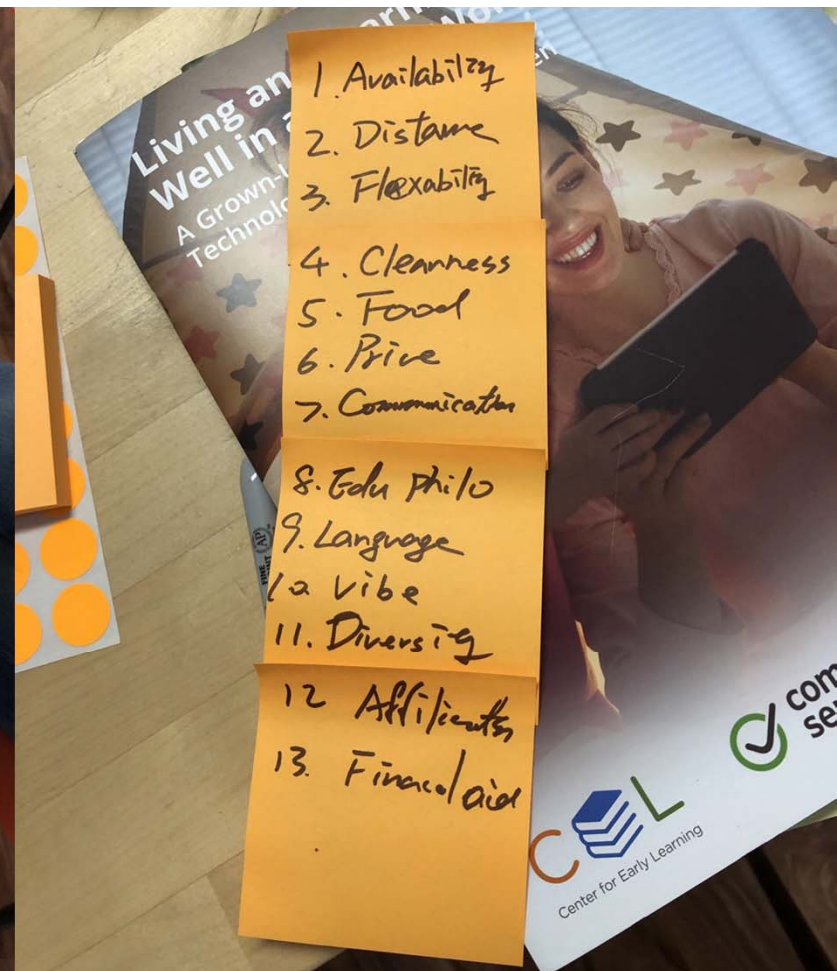
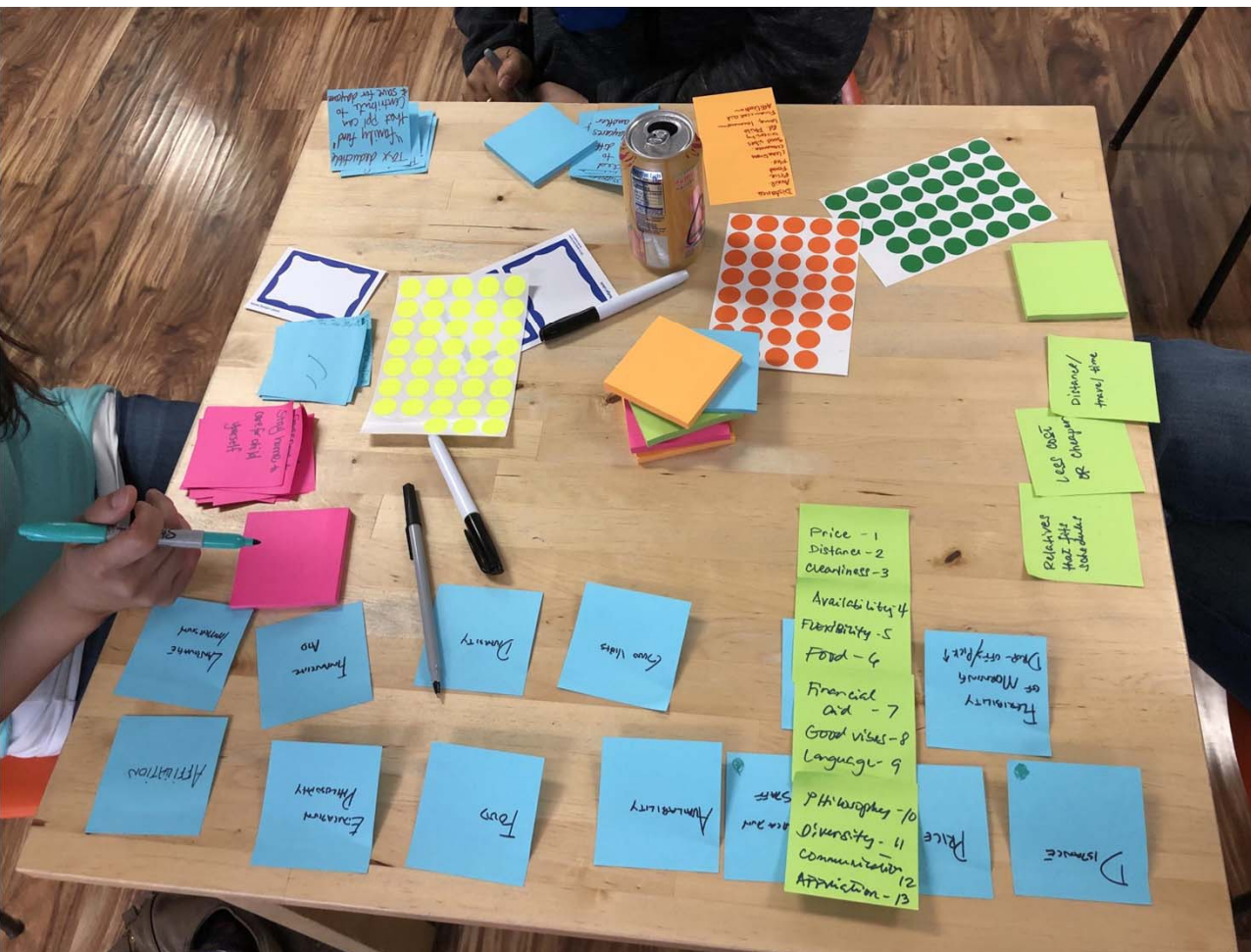
- How do you find child care services today?
- What are your key considerations for choosing a service provider?
- What difficulties do you have in the process?
- How do you perceive a search system that helps parents find childcare providers?

Non-Head Start Parents

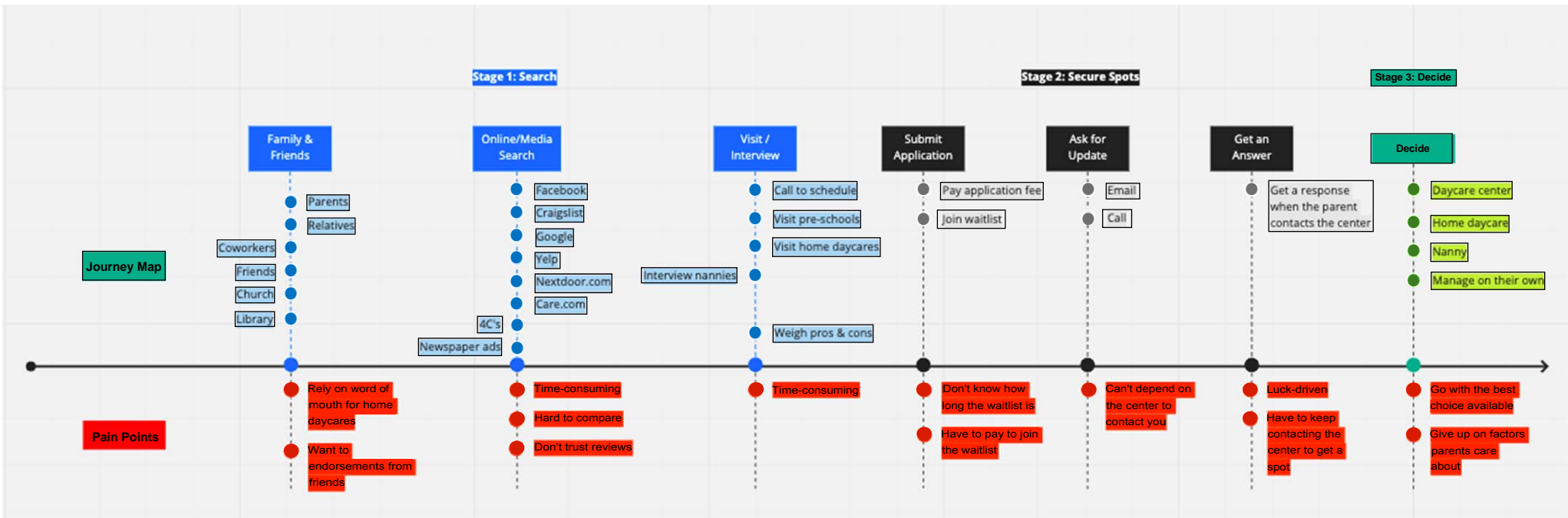




Sessions Took
Place at San
Mateo Junior Gym

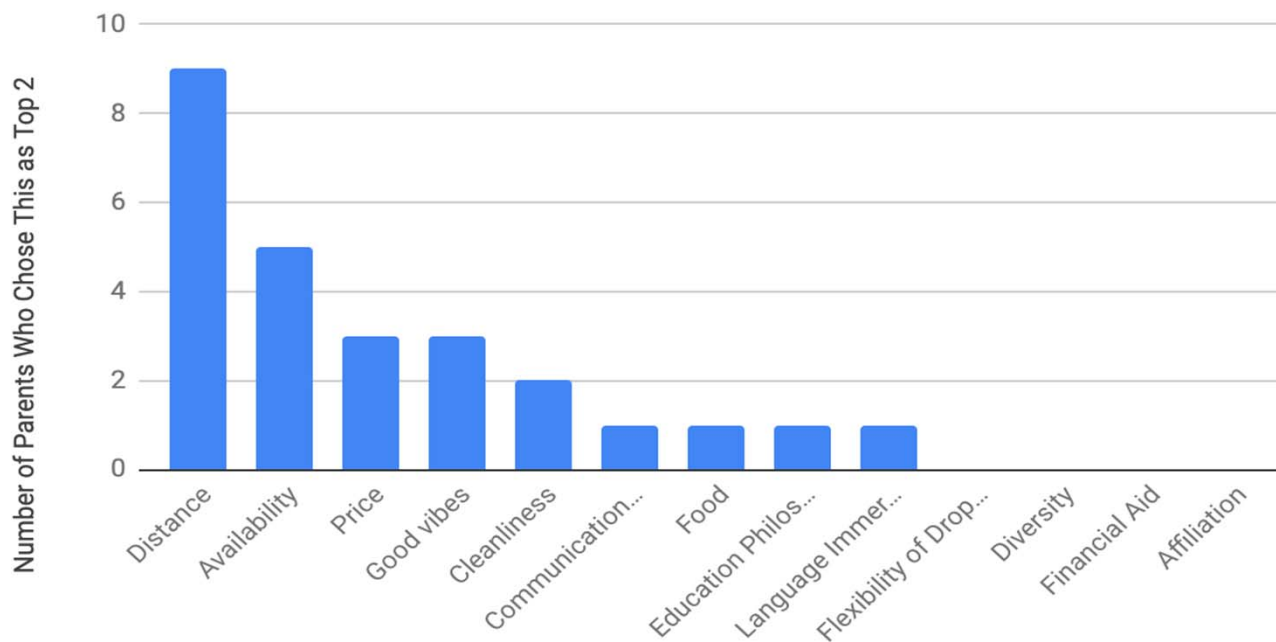


Parents' Journey Map - up to 2 years



Distance and Availability are top of mind

Top Consideration Factors for Choosing Childcare



Key Pain Points

- Uncertainty about the waitlists was most stressful because parents cannot make plans to return to work without reliable childcare
- Parents find the search process complicated and time-consuming because centers and family-based childcare information exist in separate places, and information about the providers is non-standardized and sparse
- It could be a strenuous process to make appointments and visit many options because of lack of availability

Views on Search Service

- Positive attitude towards search service because of the benefits:
 - Filters choices based on individual parent's values and preferences
 - Narrows the set for contacting and scheduling visits
- Do not trust reviews because parents are aware those tend to be written in heightened emotional states and don't reflect the everyday reality
 - Most of the time, people leave reviews because of extreme experiences
- Parents recognize the difficulties in keeping the database updated

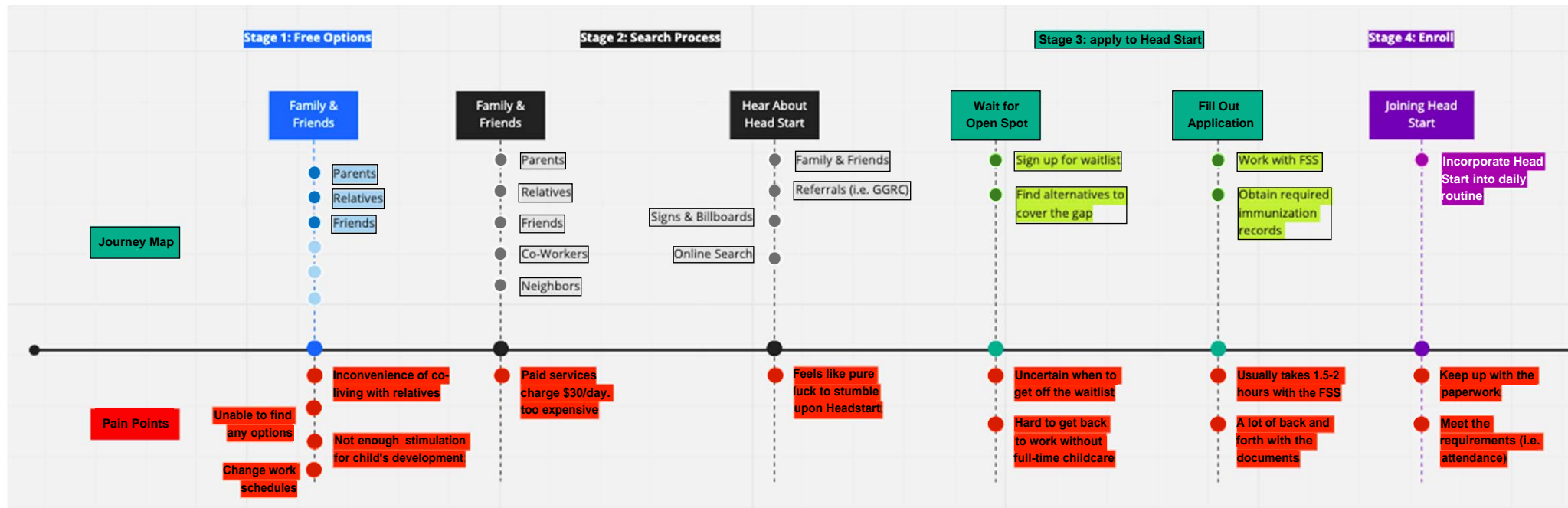
Parents' Wish List

- Analogous services that parents wish childcare could resemble more:
 - Airbnb.com
 - OpenTable.com
 - Yelp.com
 - Concierge service like “A Place for Mom”
- The ability to filter for providers based on a set of top consideration factors
 - Instead of reviews, centers could be known for specific characteristics
 - Parents with different values could find their best match
- The ability to leverage other people's networks to find good options

Head Start Parents



Parents' Journey Map - up to 3 years



Parent's Ideal Journey

One parent shared his experience and everyone said that would be their ideal:

1. Searched online
2. Applied online to Head Start
3. Received a letter [from 4Cs] confirming he is on the waitlist
4. Within a month, received call from IHSD to set up a meeting
5. Successfully completed the paperwork and enrolled his child

*“I was very **lucky**. If I didn’t run into that person, I wouldn’t have known about the (Head Start) program”*

- Mother of 3 Children

Key Pain Points

- Lack of awareness about childcare options
- The opacity of the waitlist
- Amount of paperwork for the application process
- Inability to work full-time while in limbo

Parents' Wish List

- Make luck a smaller factor in the discovery process:
 - More advertising to those who receive WIC benefits or MediCal
 - Raise awareness for parents through dentists and pediatricians
 - During pregnancy
 - During the first year when parents do regular check-ins
- New immigrants need additional assistance to understand the system

Feelings Parents Feel about the Process...

Stuck

Daunting

Grinding

Depressed

Hopeless

Discouraged

Providers' Perspectives





Sessions Took
Place at Silicon
Valley Community
Foundation San
Mateo office



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Key Research Questions: Providers

- How do you market your service to parents today?
- What are key considerations for running a successful child care service?
- How do you think about building relationships with parents?
- What keeps you up at night? What unmet needs do you have?
- How do you perceive a search system that helps parents find child care providers?

Marketing Channels

Tools

- Craigslist
- Care.com
- Facebook
- Nextdoor.com
- Flyers

Organizations

- 4C's
- Mother's Clubs

Word of Mouth

- Established providers primarily rely on this channel

Key Considerations

- Keeping the center at full capacity
 - This is much more complex than it sounds because providers offer a number of programs (i.e. part-time, full-time), and filling in spots for specific days could be difficult
- Hiring and retaining high-quality staff
 - Need to keep raising teacher's salary
 - Hard to recruit quality candidates

Relationship with Parents

“Parents think we are just babysitters. But we are business people and we deserve more respect.”

“I have a teacher’s license and I put all of my credentials on the wall to show parents that I am more than a babysitter.”

Waitlist creates a lot of tension

Waitlists are complicated because of all the factors that could affect a child's position (i.e. match with the desired time/day, siblings, age preference).

Many providers are turning families away every week.

“Parents think we are lying when we say we don’t know when they’ll get a spot.”

“Parents ask how long our waitlist is as if it’s a stamp of quality.”

“Waitlist is a way to give us business security.”

“Sometimes I’ll receive 18-22 calls a week. It pains me to turn families away without any place to refer them to. I hate having to say “no” all the time”

Providers' Wish List

1. Provide a tool that can recruit and communicate with interested and enrolled families
2. Make it easier to transition from a small to large family child care
3. Shift parents' perception of their service from babysitting to educational service that deserves respect.
4. Create a way for providers to refer to other providers when at capacity
5. Provide a tool that can help providers gauge when they will have short-term vacancies

Provider views on a search service

- Raise awareness about family-based providers and increase discoverability
- Help providers connect with parents more easily up-front and continue communication regarding status and after enrollment
 - Options that require less effort than an open house tour
- Offer information to parents that shifts their perception and aligns their expectations with providers'
- Help providers connect with each other and learn from the community and share referrals

Recommendations



Challenges

- Parents go through a long and strenuous process to identifying childcare options
- Parents have strong emotional reactions to the waitlist, which makes them feel disempowered and discouraged
- New providers are challenged to fill their capacity in the first 6-12 months
- Established providers are challenged to plan for short-term vacancies
- Established providers are distraught with having to consistently turn families away
- Small child care providers are daunted with the requirements to become a large child care provider

Solution space

- Support parents with a “one-stop shop” that lists all provider options and helps them narrow their search with filters for important criteria
- Provide parents a way to use their own networks to identify high-quality childcare
- Support providers with a “one-stop shop” that reaches the target audience and helps them plan for filling in vacancies
- Support providers in managing their waitlist by bringing in new tools that help with predicting when the next opening would be
- Support providers by creating an easy-to-use referral network with other providers
- Improve alignment between providers and parents by communicating the realities around the waitlist, and elevating the perception of childcare from babysitting to a higher regard

Recommendations

- Public Education
 - Increase visibility of San Mateo County Child Care Resource and Referral
 - Increase understanding of all of the factors that influence status on waitlist
 - Elevate family child care providers as a profession

Recommendations

- Enhance 4Cs existing tools and resources
 - Create a centralized eligibility list for subsidized and market rate providers
 - Provide concierge-like service
 - Create FCC and provider networks

Questions?

Thank You

For more information, please contact:

MICHELLE SIOSON HYMAN
Deputy Director, Center for Early Learning
Silicon Valley Community Foundation

mshyman@siliconvalleycf.org
[@m_s_hyman](#)
650.450.5497
siliconvalleycf.org



Parent Designed Technical Access: Focus Groups Results Summary

Five focus groups were conducted in counties across California, spanning each region (Humboldt, Alameda, Kings, Los Angeles, and San Diego). There were a total of 78 participants: 64 female and 14 male, ranging in age from 20s to 60s. Only two participants were not parents (one was expecting her first child). At least 18 participants were either monolingual or bilingual Spanish speakers. Eighty-three percent of participants had a smart phone, and 82% with a smart phone used applications (apps). A small portion had apps related to children; these were mainly pregnancy, child development, and game/educational apps. No one had an app related to child care. Seventy-three percent of participants had a family size between two and four and 18% had a family size of five or more. Fifty-three percent had a family income less than \$20,000, 30% had a family income between \$20,000 and \$50,000, and 17% had a family income greater than \$50,000.

Common themes across focus groups

- Parents are searching for child care online:

“We found ours through visiting places and Google searches. I Google searched providers near our area and went and interviewed and asked questions to all of them.”

“I had to rely on Yelp, which I think is a very odd place to find child care, but there is such a thing. Something that just would outline what are the priorities, what’s in my area, without having to go through so many iterations of Google searches to find something.”

“I’d probably use the internet because that has everything, the internet. Google search, see places I like, go check them out, see how they interact with the kids there.”

“I would probably just search online and hope something would come up.”

“[The first place I would go is] Google. It’s one of the places where a lot of people go, you type it in and it gives you a lot of results. Some are out of reach, some are nearby, the ones that are nearby would help, that’s what you’re looking for. I actually did that when we first started looking for day care, we were living in Inglewood, it’s kind of a bad area, it doesn’t give you a list of agencies.”

“The first thing I do when someone tells me something is I go Google it and look it up on the internet. I try to do as much research before I have to do the face-to-face.”

“Internet is any time, my kid could be asleep and I’m on the internet at 10, 11pm because I don’t have time when I get home. The internet is 24/7, that’s why people use it.”

“Yelp is what I mainly think about when I think about these things...It will show how many reviews someone has done, if they’re power users, what they’ve accomplished, where they’re from, what’s their location, just having that background knowing where the comments are coming from, and knowing that Yelp is not affiliated with that company. I feel like I’m getting valuable opinions that are truthful and reliable.”

- Many people search on Google, but are dissatisfied that the results are not comprehensive:

“[I did] an internet search thinking something was gonna pop up... it was just Google. That’s what I thought I was gonna find, like an engine or something.”

“[It would have been better] having one website with everything.”

“I did the same thing on Google, I just Googled. But every place doesn’t show up... there could be a good one but maybe they don’t show up.”

- Parents ask questions about child care on local Facebook pages (and find it effective):

“I went on Humboldt County Mom’s Page. I went on there and asked some other local moms and got referrals of places they had put their kids. It was really helpful, people could tell me this person is great,

this person is not so great, I know this person has availability or a spot. So that was really nice...I don't think it could have been better. I asked the questions and got answers and it was all parents from here."

"I just Google searched, I came up on obstacles, had a hard time finding a place. I went on his school's Facebook page and asked, do any parents have any ideas or know of any places in the area that offer afterschool care that have availabilities? And that's how I came across the place I use now."

"You can put anything in there [Humboldt Moms Facebook], I'm looking for someone that has certain days, certain age groups, certain activities, it's kind of like going to Yelp but it's more interactive so you get a lot of instant feedback and gratification from it too. There are providers too, people will link if they have a provider and the provider is part of the group, they'll link the provider to that thread and then you can message them and go over information and sometimes they have a Facebook page and you can see what's on their page, what's at their facility, what does it look like, the kids, parent reviews. It takes a lot of work out of it and a lot less time is wasted."

- People without family and friends in the area (recently moved) rely on internet more:

"I went to Craigslist. I'm not from this area, I just moved here a couple months ago, so I don't know anyone in this area, so I went to Craigslist, a lot of people post different things, I went to all the places I found appealing, people I found appealing over the phone as well, and just checked it out, and whatever I thought would fit me and my situation that's what I went with."

"I wasn't in San Francisco, I didn't know anybody. If I had an app I could find where providers are first."

"I'd go to the internet first. I don't have any relatives here so for me that's out of the picture. I would just go Googling and Craigslist would be my route."

- Some people use internet as the first step, in finding providers in the area, and some use it as the last step, in conducting their own background search on providers they're considering:

“An app or a search is the first step in establishing where is feasible for you, and then the next is of course communication, being able to meet them before you take your children.”

“I would probably use technology in a way, that if it wasn’t someone I was as familiar with, after I got the referral to them I would do a general Google search on their name because family members’ names pop up nowadays. Not necessarily to get a list of providers but for background information.”

“I also Googled the name, because when you Google a name, if they did something bad they’ll come up. There’ll be history, there will be a Facebook page, there will be something. That’s another way to inform yourself a little bit more. I did my own background check.”

“...then I would go online and search for the names as a background check. You can check anything on the internet, if there’s anything it will pop up.”

- In looking for a provider, parents want to see the following information:

1) Curriculum – how educational is the program? What’s the daily schedule; what activities are provided?

“...it was like preschool, and I prefer that for my child because it gets them ready for school. The one my daughter’s in has a schedule and you know what they’re doing each hour and exactly what it is, if it’s learning, if it’s playing outside, if it’s arts and crafts.”

“Also I would be very interested in knowing what the children are learning because I heard there are day cares where they teach the children how to do things. I would like to see that, if they prepare them for pre-k or kindergarten.”

“For me I believe they have to learn by play but I think they’re so smart at a young age, they’re the smartest ever at that time, so I want my baby to have also intellectual stimulation as much as possible. Not just let them play.”

"We were looking for what kind of education she was getting. Is it child care or is it preschool? That was pretty important to us. Or if it's child care at a home are they providing educational opportunities for her and stimulating her enough? Is the environment big enough and challenging enough?"

2) Parent reviews

"Reviews would have made [the search process] better. When you see someone was unhappy and there's a negative, is that negative within my standards? Am I going to deal with that? Or if there are good reviews. On an app you can write reviews and have that readily available, people can write positive or negative reviews without them being deleted."

"Parent reviews would be great, that would be very helpful."

"Parent reviews is something I would look for. I got a list from [local R&R], I didn't go look at the places so much."

"I think the reviews is like a first line, first thing you might see, obviously not the most important thing; in the end you're gonna make your own decision. But I shop on Amazon and reviews are really important to me. I see something I really like and it has 3 stars and I see what's going on and it says it's flimsy, it's cheap, oh I don't want that after all. If I care that much about a product that I'm buying, I'm gonna care a lot more about my daughter. See the reviews, they're gonna be more important. And then if I decide to go to the facility and I read a negative comment, I'm gonna look for that. They don't do this or they have an electric wire hanging, I'm gonna look for it, did they fix it? I think they're pretty important but you're still gonna make your own choice."

"I want reviews and I want stars because people judge things differently. Someone might give 5 stars because of how clean it is, but I don't care how clean it is. Everyone has different opinions on what they're rating it on and I want to know why they're rating it the way they are."

"Rating subcategories would be good, list it out: cleanliness, curriculum, etc. and rate 1-10 stars for each."

3) Rating from an unbiased, outside agency

“What I would look for is if you could create some kind of evaluation method, independent of parents, if you have a particular list of quality ratings, for safety, food (more organic), ratio. Independent quality rating that you would put in place that you could only get on the website if you go through the rating system.”

“It’s nice to have parents rate things, but what if you have someone like [local R&R] sending someone specific to each site and they rate it, ok this is passing and this is why. Like hotel stars. If they have no bias. The unbiased rating would be very important to me, someone without an emotional connection to the place.”

“If they had someone from an R&R agency who rated on monthly basis, that would be nice to call too and say hey I’m thinking about this place, last time you said this about this place, so tell me about it, go into a little more depth about it.”

4) Images of the facility and provider

“I’d like to see a picture of the provider and facility so I can judge it from all sides. If it doesn’t look safe then I’m not even gonna call.”

“I’d like to see images. Of the place itself, the environment; is it secure, clean, all about the kids, see if they have toys, do they clean the toys, etc. Visual is very important.”

“It would be nice if there were pictures of what the setup is and what’s going on before going there. It would be helpful to have pictures. Obviously you can’t tell until you get there but it would give an idea, if it’s messy or trashy or something. If it doesn’t look like the cleanest place then I’m not gonna take my child there.”

“I think pictures are important. I want to look at the facility. I want to see pictures of the kids too and interactions, but I want to see every detail of the facility before I go there, because then I can see this isn’t adequate, I’m not even going to call. I think whatever that is, it should be a resume, that person should be selling themselves to me.”

"If the provider could upload content that would be cool. I know on Craigslist providers can upload photos of their home. If there was a way to have that all in one place that might be helpful too, in addition to descriptions."

5) Which providers currently have openings

"I think it would be easier if they were to tell us if they had an update of that child care monthly, so we know if they had openings. It was hard when they just said we're full but there's a waitlist."

"And having updates if they have availabilities because otherwise you're wasting everybody's time by calling."

"One thing, I got a copy of the list of providers but it would be nice to see who's actually accepting children at that time, because I got really tired of calling every person and they tell me no spot is available. That was really frustrating for me. Give me a list of who actually has the availability at this point so I don't have to call 50 people to hear 'no, no, no, no, no' because it's so discouraging too."

"I think that's why I like to use Craigslist because people who are meeting that criteria, they have an open spot. Even though they're posting on Craigslist they might be the same people on [R&R] list. Everyone uses Craigslist, but job employers will put that out there, people sell stuff on there, but if you're on there it's because you have spots."

"I would love if there were waiting lists on the app. If the provider said I don't have space right now but call me back in a month, if there was a way I could be on their electronic waiting list and once they had a spot open up they could do whatever on their end and I and whoever else would get a message, so and so has a spot, I would love that."

6) Description written by the provider, including how long they've been in business, training and education, their philosophy, etc.

"I would want to know experience. What's your experience with children? I want to know everything, do you have your own children? What's your goal for your day care? What is it you're trying to do with the children? Their philosophy."

"Something that's been important to me, how long the provider has been in business. I've had the best experiences with providers who've been doing child care for 20 years, which kind of makes sense. Now looking back, if I do it again, which I probably will, I'll look for who has been providers for a very long time."

"It would help a lot if they would put references about the person running the daycare, information about them because that's what a lot of parents look for they want someone they can trust so maybe if there's some app that has all this information about the person running it, it would help a lot."

"And I also like the idea of seeing a paragraph that the provider themselves wrote, because you can read a lot into that if it's written by the owner and I look into their enthusiasm, their experience, how they talk about children and if they really care about them or if they're just trying to earn their money."

7) Mapping/location abilities (address search, radius search, neighborhood safety, etc)

"Maybe if you could put your zip code and see what's close, but also be able to change counties, because I have friends in a different county and I'd like to be able to see what's over there too. The biggest city to us is outside Kings County, a radius search would be better. To see like in 30 miles what's happening, or 5 miles if you don't have a car."

"Map, proximities is very important. Put in an address and little icons will pop up, provider here, provider here, and a picture of them, you want to see how they look I'm pretty sure, and then you can drop down more information if you're curious about that one."

"Maybe rate the neighborhood where the provider is too, as far as crime, and then there's the Megan's Law website, when you look at that website there's an app where you can see offender search, and you can see all the people around. If you're not from here and it's not a good area, you pick this person who seems

really nice and then there's a sex offender living next door, you'd want to know that sort of thing before you choose something. Have that included in the information for provider."

"Something that would have been very useful to me would have been some sort of map to show how close each provider actually was to the bus line or home, some kind of little map, 5 or 10 mile radius or show me the buses that are within 3 blocks of the gold line bus etc."

- Parents want to be connected to other parents who have used/are using a provider:

"It's better than just getting a list of numbers and names. If someone said, 'hey I had them' and I had a chance to ask what their experience was like, you can tailor the questions and hear another person's perspective. I would take that over a random list of names and numbers."

"I think for parents the best thing is talking to other parents."

"I would prefer a reference, if some other parent gives you a good reference regarding that provider I'm gonna dig into it and see if they satisfy my needs for my child."

"I think it would be nice, if it's not just a big list, but this is the facility and these are the parents who are ok with you communicating with them saying, hey I'm thinking of putting my daughter in this facility, what do you think about it? Give me your feedback about it."

"The best thing is to go to parents that have kids and get recommendations from them. We're more likely to trust people that we know."

"I also wanted the word-of-mouth, I wanted someone to recommend somebody and that was really hard."

- Parents would like payment capabilities and information online:

"If they could tell me how much I pay instead of getting that letter in the mail. For me to pull it up, maybe an account for myself. I miss my whole lunch driving there to pay."

“Yeah it would be nice to be able to pay through the app so we don’t have to drive there all the time.”

- Language barrier – monolingual Spanish speakers less likely to access internet because many sites are not in Spanish:

“It’s also... what language they speak, if it’s in Spanish. Sometimes you can search in Spanish on Google sometimes you can’t it’s only in English so I’ll just exit Google.”

“Language is very important to me, phone is easier than computer. Even though it tells you what to do but sometimes it’s only in English and if it’s in English I don’t understand it. And then I stop. They ask for the address or the zip code but if I can’t understand I stop.”

- Multiple people mentioned being unhappy with the care their children are currently in:

“And this one where she’s in now we’re not happy with, so I found someone else I like and I had to put her on the waitlist.”

“Would I change her from that place? Instantly. Why? Because I’m bilingual, I want my daughter bilingual, she’s not getting that there. There are different kids there, different ages, her needs are not being met personally, she’s not learning there. Besides interacting and being social she’s not learning anything...the place she’s going to is definitely not 5 stars but it does meet the least of what I want, to make sure it’s safe. I trust the people, they’re great people. But are they providing more things cognitively? No.”

- Other than searching for child care, the most popular proposed function is information on free and local events/trainings/workshops:

“Local events would be cool for our area because parenting stuff you can Google anything, it’s broad. But with our little community it’s hard to know what’s going on so unless you know somebody or pay attention to the journals, it’s hard to know what’s going on for kids around here.”



**Waiting to
be seen.**

**Demanding
to be heard.**

**Parent Recommendations to the CA
Assembly Blue Ribbon Commission
on Early Childhood Education**

Fall 2018



SPR

**PARENT
VOICES**



Prepared By

Laura Pryor, PhD
Social Policy Research Associates

Mary Ignatius
Statewide Organizer
Parent Voices





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Photos in order of top to bottom: Bay Area, Fresno, Inglewood, San Fernando Valley

Contents

Introduction	1
Overview of Parent Focus Groups	2
The Ideal Child Care System – As Described by Parents	3
Parents’ Child Care Realities	5
Parents’ Recommendations	8
Learning About Child Care.....	8
Applying for a Child Care Subsidy	9
Recertifying and Determining Subsidy Eligibility.....	10
Determining how Much Parents should Pay for Child Care	11
Working with County Social Services.....	12
Ensuring High Quality Child Care Environments.....	13
Supporting Child Care Providers.....	14
Selecting the Right Provider	15
Reforming Existing Policies.....	16
Parents’ Message to Policymakers	17
Appendix.....	18

Introduction

The California Blue Ribbon Commission (BRC) on Early Childhood Education seeks to improve the child care system by putting system reform ideas into action. As part of this process, the BRC is drafting a report with a set of recommendations to improve the child care system. The BRC believes that parent input is critical for drafting recommendations that are authentic and will truly make a difference in the lives of California's parents. Therefore, Parent Voices partnered with Social Policy Research Associates (SPR) to talk with and listen to parents in order to understand what they believe is needed in order to improve California's child care system. Parent Voices and SPR see parents as experts around child care reform and conducted this project to bring parents' wisdom to the BRC's report and subsequent recommendations.

Overview of Parent Focus Groups

To collect parent input, Parent Voices and SPR facilitated four focus groups in the following locations¹:

Los Angeles (Inglewood)	Los Angeles (San Fernando Valley)	Bay Area (Hayward, Contra Costa Oakland, San Francisco)	Fresno
7 mothers	8 mothers & 2 fathers	9 mothers	7 mothers

All parents were either current or former recipients of subsidized child care. Parents from each focus group had experience with all three types of child care settings: (1) center-based care; (2) family child care; and (3) family, friend, and neighbor care. Parents had from one to eight children (including foster kids) representing ages ranging from infant to adult. Furthermore, translation was provided for Spanish speaking parents during the Fresno and Bay Area focus groups.

With parents' permission, all focus groups were recorded and transcribed. SPR coded each transcript for key themes related to parents' hopes and wishes for a what a quality child care system looks like, recommendations for improvement, and messages to policymakers. Each focus group was compiled into a write-up synthesizing the key themes and quotations from each discussion. This report summarizes these key themes and recommendations across all four focus groups. For additional detail and parent quotations gathered from the focus groups, please refer to the write-ups provided in the Appendix.

¹ Due to the Camp Fire in Northern California, our planned focus group was cancelled. We wanted to ensure the voices of the rural north were included, but we were unable to meet with parents before the finalization of this report. As we move forward with implementing recommendations, we will reach out to our partners in the rural north to incorporate their feedback and ideas. The devastating fires across California have had tremendous impact on families, the early educators we depend on, and on entire communities. We wish them all the best in the recovery process and will be sensitive to their healing as we reach out in the future.

The Ideal Child Care System – As Described by Parents

Each focus group opened with a discussion of how parents would like to experience the child care system. The focus group facilitators asked parents to describe their ideal (i.e. “anything is possible”) scenarios for accessing and maintaining quality child care. Below we highlight key themes emerging from parents’ discussion of their ideal child care system.

Extensive and accessible outreach around child care during pregnancy. Before their child is born, parents want to be prepared for their child care needs. Therefore, outreach about child care resources is ideally provided during pregnancy. For example, prenatal appointments automatically include information about child care options, and doctors are knowledgeable about how to connect parents with social services and child care resource and referral agencies to help access child care and other parenting resources. Furthermore, hospitals and birthing centers are trained to provide child care information to expecting and new parents. The way in which this outreach is conducted reflects the diversity of parents in the community; this means that information is provided in multiple languages, and cultural navigators work with parents new to the United States to ensure that they understand the resources available to them.

Easy enrollment and a seamless verification process. Parents want to receive child care services at the time that they enroll in any child care

subsidy program. In other words, they would like there to be no delay between the time that they enroll and when they actually receive their subsidy. Furthermore, special needs children, children in foster care, and parents with disabilities should be easily accommodated during the enrollment process. For example, parents of foster children often do not have original birth certificates and other documentation needed to enroll their child in child care, and their circumstances should not delay service provision. Once parents enroll in the child care subsidy program, they should easily retain their subsidy when moving to a different county or when transferring from Stage 1 to Stage 2.



I would love to see a culture of positivity happen within child care, or just be ‘hey, congratulations that you’re even thinking about child care. We know it’s going to be a bumpy ride and we’re here to help you blast off.’ Do a little life coaching with us.


– Bay Area Parent

Friendly and helpful caseworkers. An ideal experience with county caseworkers and child care subsidy case managers is one that makes parents feel supported and not judged or put-down. Interactions with caseworkers should reflect a culture of positivity in which caseworkers are respectful, patient, and empathetic to parents' unique contexts. Moreover, policies and procedures for enrolling and recertifying should be consistent across all caseworkers and across all counties.

Convenient, thorough, and inclusive processes for selecting a child care provider. To help parents select and establish trust with a provider, they would like to be able to take a free tour of the provider's facility. Additionally, parents would like to be able to easily access information about the provider online, including: the provider's schedule, child care philosophy, special certifications, and parent reviews. Also, parents would appreciate having formal and informal venues to talk with other parents about their experiences with potential providers.

Ideally, child care options would be located near the parents' work, home, and/or school and have flexible hours (including nights and weekends). Similarly, parents dream of a world where all providers accept subsidies, practice special needs inclusion, and are trained in trauma informed care, child development, and understanding implicit bias.

Affordable, safe, and enriching child care facilities. In an ideal world, all children have access to quality child care. This care would be aligned with the parents' cultural and linguistic backgrounds (as explained in the proceeding quotation) and would have a low child-to-teacher ratio. Moreover, family, friend, and neighbor care would be easily accessible for parents who would like this option, and providers would be fairly compensated. All providers would offer nutritious food, a stimulating curriculum, and a firm policy around caring for sick children. And, providers would automatically offer daily check-ins, progress reports, and webcam access via apps or online.



In my dream world of child care, we have flexible child care centers that work on the weekends, that work in the evenings, because some of us have weekend jobs. Some of us work at night, and it puts children in dangerous situations because you're having to try and figure out 'What am I going to do with my child?' And you may not make the best decision to where to have your child because you're so desperate.

– Bay Area Parent

Because you cannot be speaking Spanish [to your children] all day [while you are working]. And you do not want your children to lose that...With mine, so they answer me in English, I say, 'I do not understand you, tell me in Spanish to understand you.' But I tell them, 'I do not understand what you say'...And then at school they speak only English. Only English. And then if they go elsewhere, they speak only English.

– Fresno Parent

Parents' Child Care Realities

Parents painted a clear and specific picture of their ideal child care system. However, for most parents, this ideal situation was far from their realities. Parents outlined several challenges that they encountered when trying to access and maintain quality child care. Parents' experiences and critiques of the child care system are summarized below.

Challenges with enrollment. In general, parents have difficulty with finding out about child care resources. Most parents learned about child care



I struggled a lot to be able to get help to take care of my children. In welfare I asked for child care but they said no, because my children needed to have social security cards. Since I am [undocumented], my children are [undocumented], we do not have social security cards. So, that was a limitation... they were not eligible. So, my children suffered more.

– Fresno Parent

resources informally (through friends and family) and after their child had already been born. Furthermore, immigrant parents face barriers to child care enrollment due to their documentation status. And, for subsidized child care, parents often are placed on a lengthy waiting list before receiving a subsidy. One parent stated that she was on the waiting list for over ten years, forcing her to choose less desirable child care options, such as care from her elderly relatives. For parents that receive child care resources through CalWORKs, there is an unreasonable and lengthy gap between the time the subsidy is granted and when the subsidy is actually received. Enrollment problems are often exacerbated for rural parents, as they have a limited number of child care providers in their area, most of which do not accommodate non-traditional work hours and are not located near parents' employment.

Challenges with maintaining child care. For most parents, the process to keep their

affordable child care represented another set of challenges. Primarily, the recertification process is extremely burdensome. One parent reported that she must take time off work to get signatures on all the necessary documents. Another parent with a medical condition explained that he must pay the doctor \$25 every time he needs a signature for his child care recertification paperwork. Moreover, the daily time logs required for the California Department of Education (CDE) administered child care programs are cumbersome for parents, as they must write different child care pick-up and drop-off times, even if they arrive at the facility at the same time every day. Any small error with the time log entries can result in unnecessary gaps in child care or delayed payments to providers. Furthermore, caseworkers can make the paperwork process even worse through late and incomplete communication on family fee requirements and paperwork demands. Parents also struggle to maintain child care when they have a second child; the system assumes that parents will take leave once they have a second child and automatically takes the subsidy for the first child's child care away. Specific to parents that receive child care resources through the Migrant Program, they are mandated to move to a new county every twelve months, which causes breakages and gaps in child care or removal of their children from child care programs altogether.

I'm a single parent, so I'm on a budget, and you want me to pay like a hundred and something dollars, and you're [the caseworker] just now telling me? That's not in the budget this month. And if I don't have it, my child can't go to daycare? That's a problem.

– Inglewood Parent

Challenges with finding the right provider. Several parents encountered providers with unsafe facilities and poor qualifications, thus forcing parents to find another provider. This constant search for the right provider is often made worse by the limited hours offered by most providers. Many parents work outside of traditional business hours, and they struggle to find a provider that can meet their scheduling needs.



“

The case worker I had, I guess they had to let her go. So they lost all my paperwork, they had to go back, re-find everything, and then, I guess they spread out everybody's stack, and then half of my paperwork went to one case worker and half to another case worker. So I had two different case workers calling me. I was going to say, 'I give up', luckily I know three people that work [at the County], so I had to use my resources.

– Inglewood Parent

Challenges with case workers. One parent commented that case worker practices create a “culture of fear.” For example, case workers will demand documentation for sensitive issues such as domestic violence, which can put the parent at risk of further violence. Furthermore, parents experienced questioning from case workers on the parents’ family structure, which made some parents feel that case workers do not acknowledge or respect alternative family structures. In general, parents feel that case workers treat them unfairly and without sensitivity. In addition to poor treatment, some case workers’ practices are inconsistent and can therefore create more work for the parent. As an example, some caseworkers will allow parents to recertify via email, while others mandate that parents drop off paperwork in-person. Many parents told stories of constant frustration and confusion when trying to work with their caseworker.

Challenges with affordability. The current child care subsidy structure does not consider differences in costs of living across counties.

As a result, for many parents, the child care subsidy is too small given the cost of living there. Parents are afraid to go over the child care subsidy income cap even for one month because they are worried that they will lose their subsidy. This has resulted in parents not accepting work bonus checks; and, before the 85% of state median income policy was implemented in 2017,



many parents had to ask for lower pay or deny a raise to continue receiving affordable child care.

Parents' Recommendations

Through reflecting on their ideal child care system and considering the challenges faced when accessing and maintaining quality child care, parents offered recommendations for improving the child care system. These recommendations are organized in categories that reflect the overarching themes highlighted in the preceding narrative. Furthermore, parent quotations are included at the beginning of each category to help explain the rationales and perspectives underlying the recommendations.



Learning About Child Care



I think some of the bilingual [caseworkers] can help with translation. But, there should be a cultural connection to help us to understand. Maybe if somebody who came from our country can work with us and explain the systems, that would help. It's different from somebody that lives here or born here, even if they speak Spanish.

– Bay Area Parent

When you first arrive from another place, you know no one, you know nothing, and you lack a lot of information. It's just that— first, you arrive looking for what you have available. People who can help take care of your child and asking where to find a job. There should be more information. I don't know, at the bus stations, on the radio.

– Fresno Parent

1. Advertise child care resources in easily accessible places such as hospitals, buses, doctor's offices, and television. This outreach should be provided in multiple languages and also through cultural navigators.
2. Train prenatal doctors to inform parents about child care options and connect them with social services and child care resource and referral agencies.
3. Similar to a Lamaze or child birthing class, create a workshop for parents that includes information about available child care and social services, understanding of child development, and non-violent empathy skills to address challenging behaviors.



Applying for a Child Care Subsidy



I had to wait 40, 50 days [for the child care subsidy], and I lost the ability to go back to my job. And I was even telling the caseworker while I was applying for CalWORKs ‘I’m only applying to get your child care. I need child care.’ I have a possible job waiting for me. I don’t need to go through the workforce program.

– Bay Area Parent

I was on a wait list for ten whole years, maybe eleven, and just waiting updating, updating, I went bananas. Updating, updating, updating, so it was a long process and it was really hard because I had my ailing grandmother caring for my kids and she has dementia, and I have to check on grandma; so, I’m at work and I’m nervous, calling all the time.

– Bay Area Parent

4. Allow parents to sign up for a child care subsidy when they are 6 months pregnant.
5. Allow for automatic child care authorizations upon approval of CalWORKs to remove delays in child care access.
6. Have child care case managers and resource & referral counselors at county welfare offices streamline and speed up child care authorizations.
7. Create an emergency child care subsidy program for victims of domestic violence.

Recertifying and Determining Subsidy Eligibility



So, I had my child on a Monday, went back to school on that Tuesday. [The subsidy provider] stopped my child care subsidy. They stopped it. I'm thinking, 'Why did my provider stop the subsidy?' That's why. Because, [The subsidy provider] didn't pay her. They didn't pay her, because they said I wasn't going back to school. I was like, 'No. I went back to school.' Once my worker got with them, then they fixed it, but there was that gap.

– Inglewood Parent

I guess so many people don't realize how stressful it is, because, it's already hard enough trying to find good child care, especially in LA. There's a lot out there, but there's limited good child care. And then you're already struggling with, I got to go to work, I got to take care of the baby, I got to cook, clean, I got to do all this, and then take care of yourself. So, you're already stretched thin, and then you have a caseworker who's just like, 'I need this paperwork and you didn't do this.' And I'm just like, 'Had you asked me that in the beginning, when I was applying.' Or, give me some notice and don't say you need it by the end of the week and it's already Wednesday.

– Inglewood Parent

8. Create a seamless paperwork process for moving from Stage 1 to Stage 2, when adding a second child to an existing subsidy, and when transferring child care subsidies across counties.
9. Streamline recertification paperwork so that employment can be verified through pay stubs and tax returns.
10. Remove parent needs requirements and follow the child to determine eligibility.
11. Allow all recertification paperwork to be provided via electronic means.
12. Ensure that subsidies follow parents across counties; parents do not need to reapply if they move to a new county.



Determining how Much Parents should Pay for Child Care



With my second child, I couldn't afford paid family leave [the reduced paycheck supplied by family leave was not enough to make ends meet]. I literally was put on bedrest, but I was still working from home. Literally, that's what happened. I went into labor, had my baby on Saturday morning. I was supposed to get discharged Monday morning, but that didn't happen, so that was the only day I took off, and then Tuesday I was back to work.

– San Fernando Valley Parent

13. Mandate paid family leave for one to two years, with the first year being at 100% of the parent's income. Paid family leave should be based on the city where the parent works, not the headquarters of the company which could be out of state.
14. Increase the reimbursement rates of the subsidy to better reflect local costs of living.
15. Do not count one-time bonuses toward parents' income.
16. Allow deductions (such as housing costs and medical insurance) when applying for child care or when assessing family fees. Policies should be consistent with other social service programs.



Working with County Social Services



I think that we need to look at cultural sensitivity. I think that even whether you're born here or not born here, families have all these different cultural dynamics. We look at LGBTQIA families. Where do they fit in this process and in the navigation in this system? So, let's look at cultural sensitivity in the language, how people are being talked to, and also what resources for child care that are available.

– Bay Area Parent

And so going to social services was just a terrible experience and it wasn't ... I didn't feel like ... You're already feeling like you're at the bottom of the barrel because you had to get to that point. And so for you to be treated like trash that rolled up inside the gutter, it's just not helpful.

– Bay Area Parent

17. Improve the quality of county social services offices through offering child care onsite, outdoor playgrounds, breastfeeding facilities, and gender-neutral bathrooms.
18. Ensure forms are gender neutral and more inclusive for LGBTQIA+ families.
19. Mandate ongoing empathy and sensitivity training for case workers and child care subsidy case managers.
20. Ensure case managers are offering travel time allotments that truly reflect parents' travel times rather than a 30-minute general allotment.



Ensuring High Quality Child Care Environments



One of the challenges for me was, I had a provider who, when we first met I did my tour and I did my visit, and everything was all shiny and cute, and then I found out later that this person was drinking while they had the kids and they were in possession of other [illegal substances]. And so, the reality is the state/county is not following up with these providers, the oversight is not there.

– Bay Area Parent

I was talking about a parenting class I went to, it's called Eco Parenting, and it teaches non-violent empathy skills for kids. I feel like that should be incorporated with the provider's program, because it's so important, and it's so supportive to continuing to provide the care for the children.

– San Fernando Valley Parent

21. Improve the timeliness and quality of child care facility inspections.
22. Facilitate partnerships between providers and child development organizations to offer parenting courses at the provider's location.



Supporting Child Care Providers



But what I like about the provider is that there, since a very young age, they start drawing, writing the alphabet, their name. So by the time they go to school— Because, in my case, my girls went to child care at a much older age, so later in school they struggled a lot. This is due to the language but also— they didn't learn to read almost until third grade. And my other child, the boy, he was in child care from a very young age. So, in kindergarten, in first grade, he already knew how to read. And I think that helped him, the things they taught him at the provider helped him. Because they follow a routine.

– Fresno Parent

Trust me, just because it has a label of family, friends, doesn't mean we're not being picky of who we choose, we're being very selective... in order to get that quality person that we trust, well the [county/state] is going have to pay quality too.

– Inglewood Parent

23. Incentivize individuals and offer pathways to become providers, especially in rural areas and for bilingual providers.
24. Mandate ongoing education for child care providers and provide training for providers while offering additional pay for meeting these requirements.
25. Increase salaries for both exempt and non-exempt child care providers.



Selecting the Right Provider



I remember when I would take my kids to the provider, it was another parent ... We would bump into each other in the parking lot, and she would say, 'How do you like it here?' And she would tell me some things that she didn't like. And I would think, 'I don't know. I feel like I have to move my kids out of the program.'

– San Fernando Valley Parent

26. Provide easily accessible online child care facility records so parents can easily access any reported complaints or violations.
27. Offer support for parents when selecting providers. For example, facilitate parent meet ups to discuss child care options and advertise counseling services for selecting a provider.
28. Develop an application or online database that provides more comprehensive information about child care providers in parents' communities. Information could allow a parent to filter based on: (a) whether the provider take subsidies or not; (b) if the provider has current availability; (c) provider hours of operation; (d) whether the provider offers meals or diapers; (e) if the provider offers care on nights or weekends; and (f) the languages spoken in the facility. Provider profiles could include pictures and videos of the program, philosophy of the provider, certifications and educational background, background checks, easy link to licensing for violations, and reviews by parents who have used the program. Parents could also apply for child care assistance online.



Reforming Existing Policies



And I decided back in 2012-2013 I want to go back to school. My worker said, "We don't help the Master's program, only for Bachelors. And I said, 'But I want to get a Master's degree, what do I need to do?' So she said, 'If you work part-time, we can save your information and you're working part-time, you're still on the program, then you can go to school.' So that was a challenge. Go to school full-time, and work part-time, to show that I was working doing an activity, so that I could qualify for the child care program, and still go to school. It was hard!

– San Fernando Valley Parent

And there are programs for migrants, but the program for migrants requires for you to move every year, every 12 months – from one place to another, that's very hard. It is very hard on the children to move that many times. It is already hard to take them from one country to another, so then moving from one home to another, from one town to another [is very hard].

– Fresno Parent

29. Clarify or reform migrant child care regulations to not require a parent to move out of the county within 12 months to remain eligible for services.
30. Enforce and implement 2017 policy changes around variable income and 12-month eligibility.
31. Increase funding for child care so families are not on waiting lists, can access services without enrolling in CalWORKs, and gaps in service provision are minimized.
32. Offer support for students pursuing a Master's degree; allow parents to receive beyond two semesters of support.



Parents' Message to Policymakers

At the end of each focus group, parents were asked what they feel policymakers should know about their lives. Primarily, parents communicated that they are working hard to create the best life for their children. Parents are not receiving a subsidy because they are lazy; rather, they need affordable, quality child care to support their economic and social mobility. At the same time, parents are selective about their child care providers and while parents may need child care, they take care and caution in choosing the right provider.

Moreover, parents believe that child care is an investment, and having safe and enriching environments for children to grow and learn is good for society. Parents feel that legislatures do not understand the daily struggles of low-income parents. Policymakers must talk to and listen to parents in order to create changes in the child care system that promote family well-being and economic mobility.

I just feel like [policymakers] don't understand us because they're born into wealth. I don't know if all of them are like that, but a lot of them are born into wealth so they don't understand our struggles and they need to be more open to working parents that are just trying to make it. They're going on with their lives and totally different lives. Just be more open to us because we really just want to have a better life just like them.

– Bay Area Parent

Appendix

A. Los Angeles – Inglewood Write-Up

B. Los Angeles – San Fernando Valley Write-Up

C. Fresno Write-Up

D. Bay Area Write-Up

Los Angeles - Inglewood Focus Group Write Up

Name of Location: Crystal Stairs, Inc.

Name of Supporting Organization: Community Voices

City: Inglewood

Focus Group Facilitators: Mary Ignatius and Laura Pryor

Date of Visit: September 14, 2018

Focus Group Participants: Seven mothers from the Inglewood neighborhood in Los Angeles with a range of 1-5 children each. All mothers were recipients of subsidized child care.

Ideal Child Care Scenario

Parents painted a very clear picture of the qualities comprising their ideal child care scenario. Parents explained (as described below) how they would like to learn about child care options, how they would like to go about selecting the right provider, how they would like to navigate the system, and their definition of child care quality.

How Parents Would Like to Learn about Child Care Options

- **Child care resources are provided to families in the hospital** after the mother has given birth. Furthermore, child care options are offered and discussed during pre-natal care visits and during follow-up appointments.
- Child care resources provided to families contain several different options that make **child care accessible to all populations**, including: students, single-parent households, families with multiple children, and families with alternative work schedules.

How Parents Want to Choose the Right Provider

- To save time, **parents want to know about a provider's hours prior to calling the provider on the phone**. Furthermore, parents would like a list of days that the provider is unavailable during the calendar year (i.e. winter break, school holidays). This information will help parents determine if a provider will match their work schedule.
- Parents want **all providers to write and advertise philosophy statements reflecting the provider's child care practice**. These statements include a brief explanation of the provider's approach for caring for youth, as well as any special credentials, strengths, or certifications the provider may have. Philosophy statements can help parents know if the provider is culturally aligned and shares the same values as the family.

“But to have a history about [the providers], and even if they can do a write up about their philosophy, because I think even in-home daycare has some type of philosophy, like, how they feel about children. Because if you hear how someone feels about children or something, you can kind of get a feel of if that's the right fit for you.”

- Families want to be able to **trust their child care providers**. Thus, ideally, parents can easily access provider's records of violations and complaints to feel secure that their child is in a safe environment. Families want providers to offer a free facilities tour to new families looking to enroll their child. Furthermore, they would like workshops on how to address the anxiety they feel about leaving their children with child care providers they do not know.

Definition of Quality Child Care

- As mentioned, families want to build trust with their provider. This can be built through **providers supplying daily check-ins and progress reports** on each family's child. Additionally, parents want cameras inside the facility that show video updates throughout the day.
- Some families prefer **a small number of providers interacting with their child**. Furthermore, providers ideally have a **small provider-to-child ratio**.
- Families value providers that are on the cutting-edge of early childhood education programming and curriculum. Ideally, **providers undergo continued education** and integrate an educational curriculum into their child care programming.

“That's one of the things that I love about where my son goes. She actually keeps taking courses. And it makes her different. It's one of those things like doctors. Doctors have to continuously be learning. Lawyers have to continually be learning, you just can't stop. And even when I worked as a manager, they constantly had us taking classes, and I'm like, ‘Well yeah, even a caretaker should, too’.”

- Families work very hard to keep their children healthy and want to ensure that their child is not exposed to illnesses while at child care. Thus, ideally, **providers have consistent and strict policies around caring for sick children**.
- In addition to providers ensuring quality child care, families believe that the state also has a role. Specifically, families feel that ideally, **the state performs regular inspections and site-checks**.

Reality/Challenges

Parents discussed how their ideal child care scenario fell short of their actual experience. The points below outline the key challenges that parents face for accessing and maintaining quality child care.

Accessing Child Care

- **Parents seeking child care are often put on extensive waiting lists.** One mother reported that it took her 10-12 months to obtain child care due to the time it took to get off of the waiting list. Because of this delay, this mother had to leave her job and was not able to successfully find a new job until she secured child care.
- Even for parents who are not on the waiting list, **child care can still be difficult to find.** One mother discussed how she spent days calling list after list of possible providers. This was a time consuming and inefficient process, especially for busy single mothers. One mother described her experience calling from a list of providers:

“When I was calling [the providers on the list]...then it was well, ‘We don’t do these hours, we don’t do this’ and I’m like, ‘What?’, and also, ‘Right now we don’t have any spots open.’ Well then, what, why am I calling you?”

- **Parents who work in the evening often must change their job** due to the lack of child care outside of typical business hours.

“I had to let a great paying second job go because I couldn't find childcare in the evening.”

- Often, child care providers take extended breaks during the holidays or during school holidays. However, many parents still need to work during these days, yet they are not able to include a second child care provider on their subsidy.

“I was gonna say, that’s another issue because there are some providers who keep the school schedule so they’re closed on certain days like Columbus Day. But you still have to work on those days so it’s like you need that other provider to cover those holidays because you can’t take off that day. That’s a burden on you if the school’s out.”

- When discussing child care options, parents felt strongly that **choosing family, friend, or neighbor care did not mean they didn’t care about quality.**

*“Trust me, **just because it has a label of family, friends, doesn’t mean we’re not being picky of who we choose**, we’re being very selective, like you were saying with your three month, we’re being very selective, with the reason behind so in order to get that person quality that we trust, well they’re going have to pay quality too.”*

“We’re single parents for a reason, like most of us...That makes a difference, why we’re very selective, we don’t trust as it is, we have trust issues...So trust me we do our background check our way, we don’t take the decision lightly.”

“She was saying her twins were born premature, and my son was premature and I was actually advised not to send him to a daycare....I had to wait eight months before I could send him ”

Navigating the Child Care System's Policies and Procedures

- Parents reported **inconsistent case worker practices**. Specifically, some case workers allow recertifications via email while others do not. Also, some case workers provide more detailed and informative information than others. Lack of case worker competence directly impacts the time it takes for families to receive child care.

"My situation was a little different, the lady I had, I guess they had to let her go. So they lost all my paperwork, they had to go back, re-find everything, and then, I guess they spread out everybody's stuff, and then half of one lady had half my stuff, then the other lady. So I had two different ladies calling me. I was going to say, 'I give up', luckily I know three people that work here so I had to use my resources."

- Families are subject to pay family fees on a sliding scale once their income reaches 40% of the state median income. **Some parents have a variable income (for example, substitute teachers) and receive surprising/unexpected family fees without notification** of a family fee increase. Most families are on a budget and a sudden increase in child care costs can be very problematic.

"I'm a single parent, so I'm on a budget, and you want me to pay like a hundred and something dollars, and you just now telling me? That's not in the budget this month. And if I don't have it, my child can't go to daycare? That's a problem."

"I was substitute teaching, so it's like, whenever they have vacant if I'm assigned to a school for a month, which is the max I can work there, then yeah, there's a surge. And then next month, I only work a couple days, so they were charging me the parent fee, and then it wasn't changed, and I was like, 'But I don't even make that much anymore.'"

- As parents discussed the difficulties with navigating the paperwork required to maintain their child care, they discussed the challenges that arose if something was wrong with their submitted paperwork. Specifically, parents noted that **payment to providers has been delayed without notification**. As a result, parents become vulnerable to losing their child care.

"I didn't even get [the payment delay] in writing. I found out about it, because the child care provider said, 'They're not paying me, and I can no longer watch your child until you pay me.' And I was like, 'What are you talking about?'"

- Another challenge of navigating the child care system is **judgement and poor treatment from county case workers**. One parent shared that she unexpectedly had to seek support for child care when she experienced domestic violence. The county case workers were not supportive of her situation, which made the navigation process even more difficult.

"Because, I'm bruised and I had a cut lip, so I show up like ... Like I told her, 'I've never asked for anything. Look at my social security. Never. I've always put in. I worked 15 years. I'm old. 15 Years I've put into the system.' And she almost made me cry. She made me wait until the end of the day to file."

"I did feel, from county, very judged. Oh, my god, every time you go you feel so judged. Like, 'What do you want? What do you need?' I have had one that's been amazing. Thank god she's been the same one. And a gentleman. Older man. Amazing. But everyone else has been like you're taking their money. That is not their money. They make you feel that. That's been through my experience the last few years, it's just very judgey."

- Parents discussed the constant need to submit paperwork and recertify. This paperwork process puts additional strain on parents' busy schedules. Particularly, **paperwork demands often come up without enough warning**, adding additional strain to parents' lives.

"The office that I work for is in Long Beach, but I don't work there. So, I would have to go through, because you don't want to fax it, it might get lost. It's your personal ... So, I have to take time off to go there and then if they're not busy, they'll fill it out, if not, you got to leave it there and you got to go back and get it. Because, [the subsidy provider] doesn't take it email. So, it's like, that's why we have email and fax nowadays. But, they won't accept it. So then I got to go back and get it."

"I guess so many people don't realize how stressful it is, because, it's already hard enough trying to find good childcare, especially in LA. There's a lot out there, but there's limited good child care. And then you're already struggling with, I got to go to work, I got to take care of the baby, I got to cook, clean, I got to do all this, and then take care of yourself. So, you're already stretched thin, and then you have somebody who's just like, 'I need this paperwork and you didn't do ...' And I'm just like, 'Had you asked me that in the beginning, when I was ...' Or, give me a notice and don't say I need it by the end of the week and it's Wednesday."

"I was stressed out at one time, where I was like, 'You know what? I'm just going to have take care of my baby and I guess we going to be poor and broke, because I just...it's stressful. It's really stressful.'"

- Additionally, **parents have faced breakages in child care when giving birth to a new child**. In one case, the subsidizing agency assumed that a mother would take leave from school after she had her child and therefore stopped her child care subsidy. However, the mother went back to school immediately after giving birth and still depended on the subsidy to finish her degree.

"So, I had my child on a Monday, went back to school on that Tuesday. [The subsidy provider] stopped it. They stopped it. I'm thinking like, 'Why she stopped it?' That's why. Because, they didn't pay her. And that's you saw she just got this year. They didn't pay her, because they said, I guess, I wasn't going back to school. I was like, 'No. I went back to school.' Once my worker got with them, then they fixed it, but it was that gap. "

- **Filling out time logs is very cumbersome**. Parents must log every day and at a different time each day. For many families, they are on a set routine and not only is it

burdensome to fill out a timesheet, but they are in fact showing up at the same time every day.

"I have three kids...at the same daycare. So I have to do three different time sheets. I don't have time to do that in the morning."

- Child care regulations stating that a parent cannot live in the same home as the provider. This has raised challenges for parents, particularly around infant care. For example, **parents would like to pay their own parents to watch their newborn**, but this is not allowed under family, friend and neighbor care. As a result, some parents had to quit their jobs.

"I had to quit my job, because they said no, I can't do that and I wasn't about to leave my three month old with a daycare provider I was like oh no, forget I'll just ... I'm not gonna send my daughter to daycare."

"Yeah it comes to the point where you have to quit jobs, and you can't go, jobs are there but you can't take it because of a little rule."

"Because when you have a premature child, they haven't gone through the fetal development yet, you have the trimester, if your child is premature they have to go through those certain trimester it takes them longer because they're out of the womb but they have to feel like they're still there in order to have a proper development. If you give them to someone who doesn't have that, type of bond or even just it's your mother so she has the same type of hormones"

Recommendations

Parents considered their current child care challenges in light of their idea child care scenario, and suggested the following set of recommendations:

1. Better pay for providers, particularly family/friend/neighbor pay.
2. Seamless/continuous paperwork when transferring from Stage 1 to Stage 2 child care and when adding a second child.
3. Consistently and timely pay for providers.
4. Providers are required to complete continued education.
5. Provider facilities are inspected annually and facility records are easily accessible online.
6. Families receive support around how to pick the best child care option; families have access to workshops and parent groups to help make child care decisions.
7. Employment verified through pay stubs.
8. Recent policy changes around variable income and 12-month eligibility are enforced and implemented.

Concluding Thoughts: What do Policymakers Need to Know?

The following quotations exemplify parents' overall thoughts on what policymakers need to know about the realities of findings and keeping quality child care for low-income families.

*"I got a lot on my plate. I'm back and forth to court with my child's father, I'm doing this, trying to work. It's a lot. So, that's the last thing you need. Is to have to be concerned, and be even more stressed, about how you're going to take care of childcare. **Because, you need childcare in order to work. It's like a catch 22. I can't work unless I have childcare.**"*

"I've worked more being on the system, then working."

"You have to choose your job to meet the schedule of your child care provider."

Los Angeles – San Fernando Valley Focus Group Write Up

Name of Location: The Child Care Resource Center

City: Chatsworth

Focus Group Facilitators: Mary Ignatius and Laura Pryor

Date of Visit: September 15, 2018

Focus Group Participants: Eight mothers and two fathers from the San Fernando Valley area with a range of 1-8 children each. Seven of the families were current recipients of subsidized child care and one family was a former recipient of subsidized child care.

Ideal Child Care Scenario

Focus group participants were asked to describe their ideal child care scenarios and how they would like their child care journey to unfold from pregnancy forward. The points outlined below reflect parents' hopes and dreams for accessing and maintaining quality child care.

Child Care Access

- **Child care outreach workers are abundant and available** to inform families about child care options prior to their child's birth. Parents can easily find out about child care options, similar to how other services are advertised.

"There should be outreach to let people know [about child care subsidies], because I'm always telling people like go apply to CCRC, go apply. Just like when you get pregnant, they tell you about WIC and stuff."

- Parents want to be as efficient as possible with their time and resources. Therefore, having quality **child care options that are close to home and/or work** allows parents to minimize travel time and child care costs.
- **Foster families also need child care, and the process for obtaining child care should be barrier free.** Foster families often have unique contexts and circumstances that should be considered when they apply for child care.
- Parents recognize the importance of child care, regardless of family background characteristics. Therefore, ideally, **child care is available and accessible to all families, regardless of income.**
- Many families have multiple children and therefore need multiple child care subsidies. Ideally, the **process for adding a second child into an existing subsidy is readily**

available and seamless. Parents do not have to go on the waiting list when adding more children.

"If when you're pregnant again, say you're already on the program, because you're pregnant again. I heard that we must still wait. It's another waiting process. It should be easier to add the second and third child in."

Selecting the Appropriate Provider

- Parents appreciate and value the opinion of other parents when making their child care provider decision. It would be ideal to have a **system mirroring "Yelp" for child care provider reviews to help parents make child care selection decisions.** This review page should show different certifications, provider specialties, and parent opinions.
- In addition to an online or virtual application for selecting child care providers, parents also value face-to-face conversations with other parents. To facilitate these in-person conversations around child care provider selection, **families can ideally attend parent support groups at a location apart from potential child care providers.**

"Because I remember I when I would take my kids to the provider. It was another parent ... We would bump into each other in the parking lot, and she would be like, "How do you like it here?" And she would tell me some things that she didn't like, and me too. And I was like, "I don't know I'd feel like I have to move my kids out of the program."

- Families communicated the importance of getting an in-person sense for a provider's environment prior to enrolling a child. Ideally, **providers offer tours of their facilities for new families prior to enrolling.**

"The touring of the school is really important, because that's when you get the feel for is this the right place."

Navigating the Child Care System

- Depending on a parent's income, they will pay a family fee in addition to the subsidy. Parents located in cities with higher costs of living may have tighter budgets than other families in less high-demand areas. Therefore, ideally, the **family fee reflects a fair payment structure that acknowledges differences in rent across locations.**

"Yeah, so subtracting your rent, subtracting your basic needs. Subtract that, then see how much income I have, and then sort of base the family fee off of that."

- Parents lead busy lives with many competing demands. To help minimize burdens on parents, **the child care recertification process should be easy to navigate, relatively seamless, and allow for consistent acceptance of documents via email or fax.**

Child Care Quality

- Families want to establish and maintain trust in their child care providers. To help promote that trust, **providers should ideally have cameras throughout the facility and provide progress reports on their child** (i.e. including their eating and napping schedule).
- Parents want to ensure that their **children are given high-quality and nutritious food** when they are not in their care. Ideally, all providers have quality nutrition options to feed their children.
- Many parents attend child development and parenting courses and see this as connected to their child's provider. It would be ideal for **child care facilities and other parent/child development organizations to collaborate and offer parent workshops** at the child care facility.

"And I was talking about I went to a parenting class, it's called Eco Parenting, and it teaches non violent empathy skills for kids. I feel like that should be incorporated with the provider's program, because it's so important, and it's so supportive to continuing to provide the care for the children."

- Some parents have children that have gone through traumatic experiences. As a result, they may have certain behaviors that require a trauma-informed response from providers. Thus, ideally, **providers undergo training on trauma-informed care.**
- Regardless of the requirements for providers, all providers should ideally be qualified. Part of this qualification process should **be pursuing ongoing education around child development.**
- Additionally, provider facilities should be safe and welcoming for children of all ages. Furthermore, one parent suggested that part of facility tours should include a chance to talk to other parent's attending the program.

" Make sure when they go into child care, they have a place where the parents can all talk without the childcare there. So the parents can tell you, 'This is what you're coming into. This is what they eat, how it is.'"

Reality/Challenges

Parents' descriptions of their ideal child care scenario were however, often far from the reality and challenges they experienced. The following points highlight the key challenges faced by parents.

Child Care Access

- **Low-income parents stated that they were sometimes denied or put on the waiting list when seeking a child care subsidy.** One parent was put on the waiting list for a year. She was ultimately able to get child care when a provider called on the parent's behalf and requested that the parent receive a subsidy. For those parents that are on the waiting list or denied, they pay out of pocket and struggle to achieve economic stability.

"Even just getting in the waiting list. A lot of people get denied. I know a lot of people that seem to qualify, but just got denied for whatever reason. And I'm like, 'You should be able to get it. You're single parents or ... And I just don't know about the application process now. I think it's a little bit more difficult.'"

- **Parents who work non-traditional hours struggle to find quality child care** that meets their schedule. Overall, there is a lack of child care options for parents with alternative work schedules.

"Because for me, I work six days a week. So I need providers that are available for Saturdays...some Saturdays I can't work 'cause I don't have a sitter."

- Additionally, some parents work more than eight hours a day or have long commute times. Several child care **providers are strict about their pick-up times and are unwilling to accommodate parents who may need a later pick-up time.** Current regulations allow for travel time based on commute, but administrators often give a **general 30 minute allowance instead.**

"She won't go after 6:00. And [the provider's] kind of like, 'Why can't you get off, and take 'em back to work?' He literally has the kids [at work] for half an hour more, an hour-"

"Considering also the driving time, 'cause I work far! I work in West LA, and I live out here in the Valley, so it takes me about an hour everyday to get there. I had to really fight for that travel time to get an extra hour of my child care, because I needed it."

- Low-income parents who are also full-time students qualify for child care subsidies and are not required to work. However, once a parent moves beyond a Bachelor's degree, this support is not provided. Specifically, **low-income parents seeking a Master's must work part-time in order to receive a child care subsidy.**

"And I decided back in 2012-2013 I want to go back to school. My worker was like, 'We don't help the Master program, only for Bachelors. And I was like, 'But I want to get a Master's degree, what do I need to do?' So she was like, 'But if you work part time, we can save your information and you're working part time, you're still on the program, then you can go to school. So that was a challenge. Go to school full-time, and work part-time, to show that I was working doing an activity, so that I could qualify for the program, and still go to school. It was hard!'"

- Parents communicated that **the paid leave offered to mothers is not sufficient** when they also have to pay for child care for an earlier child. As a result, parents choose to not take paid leave and return to work immediately after giving birth so that they can retain their income.

“With my first one yeah. With my second one, I couldn't afford it. I literally was put on bedrest, but I was still working from home. Literally, that's what happened. I went into labor, had my baby on Saturday morning. I was supposed to get discharged Monday morning, but that didn't happen, so that was the only day I took off, and then Tuesday I was back to work.”

“Because with the paid family leave, my ... Based upon my family's needs here would still stay the same, and I was like ... Yeah, that's not going to work, because I'm not going to get my full check.”

- Additionally, **foster parents face a specific set of issues when trying to obtain subsidized child care**. Often, they do not have the right paperwork or information needed to enroll. There is a clear lack of resources to help foster parents access the child care system.

“Another thing too, as foster parents, even though it's my nephew, they do not provide birth certificate. They would just give me a copy... It takes months. So for me to come in and do the whole application stuff for a niece or nephew, they ask for social security card, they ask for the birth certificate, the medic help. I didn't have any of that.”

Navigating the Child Care System

- **Re-certification paperwork is extremely burdensome for low-income parents**. The amount of paperwork adds extra steps that places additional strain on parents' busy lives.

“Once you get the application, the re-certifications are a drag! We have to submit the same stuff! I'm already, I'm fixing to print out a whole stack of birth certificates, because everywhere they want it. Is something going to change?”

“I think maybe it would help, maybe just submitting the tax returns would be a lot easier by myself. I don't get pay stubs, I get paid cash. So I'm self-employed. It makes it a little bit harder to have to provide the proof for myself when I don't have paycheck stubs.”

- More specifically, **physically going to the county office to enroll and recertify is very challenging for parents or in some cases, they may be charged for collecting the forms**. Often, parents must take time off of work to complete the necessary recertification steps.

“The CCRC cannot reimburse that \$25 dollars. So every year, [my brother] has to get another form from his doctor, and they charge \$25 dollars, and his doctor takes a week, sometimes 10 days to return.”

- Sometimes, parents may forget a small step in the paperwork or make a small error. Instead of allowing parents time to correct the error, their child care subsidy may be cut off. This **lack of leniency with paperwork and detail required often results in holds and gaps in child care. When asked if they ever wanted to give their subsidy up because of the paperwork requirements, approximately 90% of participants raised their hands.**
- Parents also reported **rigid and inconsistent case worker practices.** Sometimes, case workers will lose important paperwork or allow email extensions to some parents but not others. This lack of consistency and disorganization adds additional obstacles for parents trying to navigate the child care system.

"And they won't admit like that they lost it. And it's like, it's fine we're all human, but [don't blame the parent]."

"Be consistent. Like, her caseworker wouldn't give her an extension on an email or phone call, and our case worker did. She gave us another 10 days to get that returned."

"They lose all the paper work, I don't know what the workers are doing. But in my case, every time I go [to social services], I will make copies, I will stamp it, I will make copies of the stamp. And I will need two copies."

- In July 2017, a new law went into effect stating that parents can keep their affordable child care until their income reaches 85% of the state median income. However, before this law was put into place, the ceiling on how much money parents can make forced some parents to reduce their income levels.

"I actually had ... When I got hired, when I was done with my program in school, they gave me an offer by phone, and then I called my case worker and she said it was over the bracket. So I had to call HR and say, "I need to take this [lower] amount,""

- Stage Two time logs require parents to check in and out of child care at different times every day. **Parents have busy schedules and find that the time logs are overly burdensome.**

Child Care Quality

- **Families with children who have special needs reported an overall lack of providers** with special needs experience and qualifications. In one case, a provider thought she was qualified, but then asked a parent of a special needs child to not bring her child back after the provider realized she did not have the skills to care for him.
- Parents also reported stories of **neglectful and unjust provider practices.** In general, some parents found it very difficult to find a provider that they could trust with their child.

“Then at the time, my daughter was three years old, so she would speak up. And then she would tell me, “Mom, the baby cried all day. Mom, they didn’t change diaper. So that’s how I [found out] because she would tell me.”

“Yeah, and since I was the oldest, they would have me make some pancakes, and I thought they’d be for everyone. But, they gave my brothers half an apple, and the family had [the pancakes]” – daughter of focus group parent

Recommendations

Parents reflected on their ideal child care scenario in light of the reality and challenges they face and produced the following set of recommendations.

1. Allow parents to re-certify via email.
2. Mandate consistent case worker practices.
3. Create more child care options for alternative work schedules.
4. Incentivize providers to offer more child care hours in a day.
5. Create neutral spaces for parents to talk about child care quality and child care provider selection.
6. Facilitate collaborations between child care providers and parenting resources.
7. Mandate ongoing training and education for providers.
8. Child care payment structures reflect the local cost of living.
9. Allow for longer travel time allotments, particularly in high traffic areas like Los Angeles
10. Allow for some documentation, such as birth certificates or medical forms to be collected one time and be stored electronically.

Concluding Thoughts: What do Policymakers Need to Know?

When asked what policymakers need to know about child care for low income parents, parents responded with the following comments.

- **Parents are trying hard to make it** and get out of poverty, but the system often makes it difficult for them to do so.

“What I really want them to know is to be a little bit more reality based, on what real families are going through, and the struggle in a way that we have kids, we have jobs, we go to school. We’re trying to better our self.”

- **Child care is not affordable** for low-income parents, but it is necessary for economic and social mobility.

"I would want them to know for sure childcare is not affordable. So it doesn't even seem possible for some people to get it, but it is fundamental. Like the kids, it doesn't matter the family situation or what not. They're safe, they're learning, and society's going to be better for that."

- **Child care is good for children and good for society;** all parents should have access to child care.

"Well because we for sure, if it wasn't available, who knows where the kids are. Who's abusing them or what not. It could happen anywhere, obviously. Even in the centers. But, to facilitate a school and training, and what they've learned could teach these kids how to be in the world, it makes a huge difference. So, the alternative is no childcare, and people are still going to have babies, still going to have children, but they're going to be where?"

Fresno Focus Group Write Up

Name of Location: Central Valley Services Network

Name of Supporting Organization: Parent Voices Fresno

City: Fresno

Focus Group Facilitators: Mary Ignatius

Date of Visit: September 26, 2018

Focus Group Participants: Seven mothers participated in the focus group. Each woman has one to four children and are current or former recipients of child care. These women all came from Fresno and surrounding cities.

Ideal Child Care Scenario

While reflecting on their child care journeys, the parents in this focus group discussed what they would like to experience throughout the process of finding and maintaining quality child care. Key points from this discussion are highlighted below.

How Parents Would Like to Learn about Child Care Options

- Primarily, parents would like to **find out about child care options when they are in the hospital or at the doctor's office.**
- While at the doctor's office, ideally, the **doctor should connect the parent to a social worker** who can assist with enrolling the parent in a child care subsidy program.
- Furthermore, **child care subsidy information is advertised in easily accessible places** such as the television and radio. This information is provided in multiple languages. Also, employers inform parents about various child care options that meet their work schedule.
- Government funds are enough to ensure that **no child is left on the waiting list.**

How Parents Want to Navigate the Child Care System

- When a parent gives birth, the **system offers up to one year of paid family leave.**
- Additionally, **child care options are readily available for parents that must go on disability leave.**

"I think when you're pregnant is when you go to the doctor and they say, 'Ok, you're pregnant' and they send you to the social worker, who tells you what food you're going to eat and everything...They ask, 'Are you a single mom?' 'Do you have your partner?' That's when they can offer help."

- Many parents in the Fresno area work in agriculture. As a result, their work schedule and location often follow the crops and the regulations put forth by the Migrant Program. To accommodate this work schedule and movement, the **child care system should be seamless from one county to the next**. Parents can smoothly move their child to a new provider in a new county. Furthermore, migrant parents need flexibility and care offered early in the mornings and late in the evenings because their schedule is unknown.

" [I receive my schedule] that day. Because it can be twelve hours, depending on orders that one has to do. You always know what time you're going to enter, but never in packaging-you never know what time you're going out."

" We can leave 30 minutes early by not taking our 30 minute lunch break. But there is not an afternoon dismissal schedule, on all the days. There are different departure times"

How Parents Want to Choose the Right Provider

- Parents can **easily find out about child care provider quality through helpful apps or call centers**. For example, the app would include recommendations from parents, background information on the provider including background checks of criminal history, and a description of activities and resources offered at the facility.

"Ok, like a rating that—you know—recommendation, like someone says, 'Oh this person is a good provider' and that way you get good feedback. So recommendations...Ok, so parents among parents - she has a good provider, she recommends, then you know, she shares that information with her so it's parents rating."

- Additionally, **information on the type of provider and the subsidies that are accepted at the facility is easy for parents to find**. Furthermore, it should be clear if providers will enroll children without documentation.

"Also knowing what kind of provider is this? How it works? Is it subsidized? Is it migrant?"

- For parents to find out about the range of providers available to them, **providers should advertise their services on the internet**, such as a Facebook advertisement.

Definition of Quality Child Care

- Parents have the **option of receiving text and photo updates of their child at least three times per day**. This will help the parent build trust and confidence in the provider.

- **Quality child care is available at all hours and all days of the year** to accommodate parents' work and school schedules. Parents who work in agriculture often hold irregular hours, including nights and weekends. Ideally, providers can and will accommodate their alternative schedules.
- **Every school has an after-school program until 7pm** that includes nutrition. Furthermore, parents are allowed to use their vouchers to find after-school care for their children.
- **The provider is a cultural fit for the child and the parents.** This means that the provider can help the child learn both English and their parents' language (if not English).
- Child care providers offer **high quality nutrition options.**
- The child care **provider follows an early learning curriculum and can assist children with their school assignments.** Moreover, providers are proactive about asking children about homework and ensure that children complete their assignments.

"But what I like about the provider is that there, since a very young age, they start drawing, writing the alphabet, their name. So by the time they go to school— Because, in my case, my girls went to child care at a much older age, so later in school they struggled a lot. This is due to the language but also— they learned to read almost until third grade. And my other child, the boy, he was in child care from a very young age. So, in kindergarten, in first grade, he already knew how to read. And I think that helped him, the things they taught him at the provider helped him. Because they follow a routine."

"Not all providers are the same. Some do not help with school activities, and they do not ask the children if they have homework."

- Child care providers are qualified, and **the facility is safe.**

"First and foremost, you look into the fact that you have a good provider, that your child is going to be safe."

Reality/Challenges

As parents reflected on their experiences with the child care system, they brought up several challenges that illustrated the reality of their situations. These challenges are outlined in the points below.

Accessing Quality Child Care

- Most of the parents participating in this focus group immigrated to the US from other countries and often move to and from different counties. Several **parents were not told about child care resources** when moving to Fresno. One parent stated that she stopped receiving cash aid when she moved to Fresno and nobody informed her that she still

qualified for child care services. In general, parents are not given sufficient information about child care resources.

"No, one of my classmates actually told me, like, 'Hey, you should apply.' And I applied. You have to really self-advocate."

- In addition to parents not receiving enough information, some parents explained that they were told mis-information or provided no information at all. Specifically, **parents were given the wrong information regarding where their child care voucher could be accepted.**

"I had never asked for 3 days of sick leave, and even though one of my children had his appendix operated on, I asked for a week to be with my son and in fact I was pregnant with my other baby. I was not paid for those sick days. And my son was operated on and my employer never notified me that I had the right to ask for sick days."

- Parents discussed **the meaning of cultural and linguistic preservation. When asked if they feared their children will lose their language and culture, 100% of the participants raised their hands.**

"Because you cannot be speaking Spanish all day [while you are working]. And you do not want them to lose that."

"With mine, so they answer me in English, I say, 'I do not understand you, tell me in Spanish to understand you. But I tell them, 'I do not understand what you say...And then at school she speaks pure English. Pure English. And then if they go elsewhere, they speak pure English.'"

- Rural towns, such as those outside of Fresno, offer a **limited number of providers.** Parents are therefore left with options that do not meet their quality and schedule standards.

"There's only 3 providers. The one stopped, so then there were 2 providers. And one I didn't feel comfortable with, so then she was my only choice."

"And you cannot stay at work because something happens with the provider, you depend on the provider, you have to get off work suddenly. It has happened to me many times, I've been very close to losing jobs, I have even become sick due to the stress of not wanting to lose the job, because of the providers – there is no one, you can find no one to take care of the children."

- Parents reported that some **providers will not enroll their children if the child or their parents do not have documentation or social security cards.**

"I struggled a lot to be able to get help to take care of them. In welfare I asked for childcare but they said no, because my children needed to have social security cards. Since I am an immigrant, my children are immigrants, we do not have social security cards. So, that was a limitation. I had to pay for someone to take care of my 2 boys. Back then I was a single mother. I called different places, but they always required for my children to have social security cards. Right now I can't remember the

names of the places that I called asking for childcare, but they said that my children had to have social security cards, otherwise they were not eligible. So, my children suffered more.”

- Because parents’ schedules change week-to-week and sometimes day-to-day, it is difficult to find a provider that can accommodate shifting schedules and weekend hours. Parents are also trying to balance school schedules with work schedules so they can learn English and obtain a better job. However, **balancing school, work, and child care schedules is incredibly difficult.**
- In many cases, **parents have turned down jobs because they cannot find a child care provider** that accommodates their work schedule.
- Parents commented on how some child care providers are not qualified and do not have a safe environment.

“I was going to change from a home, because sometimes my child told me that they gave her pinches... Who are watching the children, right? Let nothing bad happen. But in family child care, even if they have a license, you do not know how safe your children are.”

Navigating the Child Care System’s Policies and Procedures

- When parents move from one county to another to accommodate the Migrant Program and/or their job, they have **lost their child care and were forced to reapply**. This has resulted in gaps in service and inefficiency for the parent.

“I got it in Merced— the financial help to be able to overcome a problem that I had. And I started working. They helped me— they soon sent me help to take care of my child. And they were helping me with all that, stamps, food, MediCal, money, childcare— I started to thrive. They offered me a job here in Fresno. When I moved here, a friend of mine helped me to take care of the child. This was only during my adjustment period. Here I applied to other places, but they didn’t tell me that I could notify about what I had left back in Merced. So, I notified them late, 2 years later— After leaving Merced, I couldn’t get any help.”

- Parents discussed how **some providers can set very strict pick-up times** that do not accommodate their work schedules. Because there are so few providers in these rural areas, parents do not have more flexible child care options.

“So I had to commute to Hanford and if I wasn’t back in Huron by 5:30, then they were going to stop my services. So I had to move to Hanford.”

- Given the typical income for a parent working in agriculture, **child care is not affordable**. One parent stated that she spent \$800 per month out of pocket for child care, which equated to her monthly cost of rent.

- The **pre-July 2017 cap on income was problematic**. Parents reported that they would exceed the maximum income to qualify for a subsidy, but they still could not afford child care without the subsidy.
- **Updating contact information is cumbersome for parents who move frequently**, such as those in the Migrant Program. As a result, breakages in service provision happen.

"One problem that we see is that they return the mail to us, because if you write your address wrong, or if you move, or your income changes, all this changes, and it is your responsibility to update your information in the program. Otherwise, they are unable to do modifications unless you call and update your file. You have to call them, again, and again, and again. Parents don't have time for that."

- The Migrant Program offers subsidies specifically for migrant agricultural workers. However, to qualify for services, parents must move to a new county at least once during a twelve-month period. However, this **constant moving is often not necessary to work in agriculture and results in parents having gaps in service provision and overall instability**.

"The qualification, you have to be migrant, so you have to move every 12 months or else you don't qualify."

"Because locally—the season for the tomato is like, you know, summer. And then you have a different fruit. So, ok. Tomatoes here, the other factory for lettuce, whatever. Garlic is over here. This is done, ok. So here, but all are in nearby cities. So, you don't necessarily have to move when the season changes."

"And there are programs for immigrants, but the program for immigrants requires for you to move every year, every 12 months – from one place to another, that's very hard. It is very hard on the children to move that many times. It is hard to take them from one country to another, moving from one home to another, from one town to another."

"That was also my experience, when I arrived from Mexico, I applied to the immigrant program, but after a year I lost it since I was not able to migrate somewhere else."

"Because a child goes to a school, you have to move to another place and change them from school...we want stability."

- **Child care in the summertime brings a distinct challenge** because children are not in school and do not have access to after-school programs. Parents do not know where to send their children in the summer, especially if parents do not have friends or family nearby.
- Parents sometimes **struggle to find providers that are a good cultural fit**. Specifically, parents fear that their children may lose the ability to speak their native language if they are not with a multilingual provider.

"My children, when they answer me in English, I say, 'I do not understand you, tell me in Spanish to understand you.' And then at school he speaks pure English. Pure English. And then if they go elsewhere, they speak pure English."

- Parents who work in agriculture have schedules that often change weekly; parents do not know their schedules in advance. Often, parents will receive their schedule the day of, and their work shift could be for up to twelve hours. Therefore, it is **difficult to find a provider with flexible and weekend hours**.

Recommendations

Given parents' perspectives on both their ideal child care scenario and their reality, the focus group conversation produced a set of recommendations for improving the early learning system.

1. Clarify or reform migrant child care regulations to not require a parent to move out of the county within 12 months to remain eligible for services.

2. Allow all children, regardless of their documentation status, to access child care.

"Ok, so in general, what I wish, ideally, would be that no child is on the waiting list. That there is enough funds so that every child can access the services."

3. Offer support and incentives for individuals to become child care providers and extend the hours of existing providers to provide more non-traditional care hours, particularly in rural areas and particularly for bi-lingual child care providers.

4. Provide support to providers to improve their skills and continue their education related to child development.

"And that's because—it goes back, again, there needs to be funding for staff to go out and train because that's why she's doing good, because she's part of the provider network and the staff go out and train the providers. They go with books and activities and all that, so if there's no staff—no money for staff to do that, then it affects the quality"

5. Advertise child care in accessible places and in multiple languages.

"When you first arrive from another place, you know no one, you know nothing, and you lack a lot of information. It's just that there, you— first, you arrive looking for what you have available. People, who can help take care of your child, and asking where to find a job. There should be more information. I don't know, at the stations, in the radio."

6. Train case workers to provide comprehensive information about child care resources that are culturally and linguistically accessible
7. Mandate employers to provide at least one year of paid family leave.

8. Provide training for providers on how to work with children who have special needs.
9. Mandate regular inspections of provider facilities.
10. Create seamless systems for transferring parent information across counties.
11. Put employers in touch with child care subsidy administrators so the recertification and outreach process is more efficient.

“To send the information from the workplace— so, there should be a direct contact between your employer and the childcare services. So that we could have permission to be able to do— to take care of these matters. To have your employer give you permission without a penalty— — that could harm your work and to be able to keep doing your work at ease. My employer also has information from here, but he doesn’t— they do not put us in contact directly with these programs and let us, parents, be able to keep working at ease.”

“Families want information about their rights and it should be provided with cultural sensitivity and in accessible languages.”

Concluding Thoughts: What do Policymakers Need to Know?

Parents closed the focus group conversation with the following concluding thoughts.

- Parents who are stuck in the system **do not have time to advocate for their rights** because they are just trying to survive.
- **Rural areas need more providers and more child care options.** Opening new child care facilities is good for the community and good for the economy.

“If one cannot work, you are not helping the taxes nor the system, you are not helping for the environment to improve. Because you are stuck in a situation where you cannot work. Then, you become— you need financial support, you need stamps— so, it makes everything worse because you are not able to work. If you don’t have someone who can take care of your children, how are you going to do that? Anyhow, to be able to progress and help the community we need more jobs, also for the providers, so that one has the possibility to go on. And also help the system grow.”

Bay Area Focus Group Write Up

Name of Location: California Child Care Resource and Referral Network

Name of Supporting Organization: Parent Voices San Francisco

City: San Francisco

Focus Group Facilitators: Mary Ignatius and Laura Pryor

Date of Visit: October 1, 2018

Focus Group Participants: Nine mothers and one daughter from the San Francisco Bay Area with a range of 1-4 children each. Three mothers live in San Francisco, three mothers live in Oakland, two mothers (and daughter) live in Hayward, and one mother (joined by phone) lives in Pittsburg. All mothers were recipients of subsidized child care.

Ideal Child Care Scenario

Parents at the focus group had a very clear vision of their ideal child care scenario. This scenario followed the child care process since before their child was born all the way until 18. The points below outline parents' hopes and wishes for the child care system.

How Parents Would Like to Learn about Child Care Options

- **Parent access to child care begins before their child is born.** For example, hospitals, pre-natal appointments, and birthing centers all provide information about child care options to parents.

In the dream world it is like, 'You have a baby. Here's a voucher.'

- Outreach to parents about child care mirrors other public efforts to disseminate information. For example, similar to a job fair, **the city or the county hosts a "child care fair"** in which parents learn about various child care options and how to navigate the system.

"I think that the [city/county] should have some kind of child care fair. Like how they have these wedding events and you can meet all the vendors. And you can go to all these different events where you meet all these different companies and that kind of stuff. I think they should do the same thing for child care. Maybe twice a year or something so people who are pregnant or planning on getting pregnant can go in and get information about that kind of stuff."

- Furthermore, parents are exposed to and reminded of child care options through **easily accessible advertisements** such as buses, internet ads, and television commercials.

“So kind of like, right now they're promoting normalize breastfeeding. So it's all on the buses. So the same thing like childcare, all this stuff, just promoting childcare. So people just start getting used to it.”

- These advertisements for child care are provided in multiple languages. Furthermore, **Cultural navigators help immigrant parents** understand and use the child care subsidy system.

“I think some of the bilingual people can help with translation. But there should be a cultural connection to help us to understand. Maybe if somebody who came from our country can work with us and explain the systems, that would help. It's different from somebody that lives here or born here, even if they speak Spanish.”

How Parents Want to Navigate the Child Care System

- Parents applying for child care subsidies do not get put on a waitlist. Instead, child care subsidies are approved at the time CalWORKS is approved.; all social service programs start at the same time for the parent. Once a parent signs up for child care, **there is no delay in service provision**. Navigating the child care system is not confusing.
- The process for obtaining child care should be the **same for children with special needs**. Parents do not have to jump through any additional hoops to receive a child care subsidy for a child that may have special needs.
- When a parent obtains child care, **there are no gaps in the system and services are seamless**. The system follows the child to determine eligibility, as opposed to following the parent. At the same time, parents' child care choices should be honored and respected.

“Where the system is broken because the system follows the parent to determine eligibility for childcare. When the system should be following the child to determine their eligibility for childcare. So we need a system that follows the child to determine eligibility. Regardless of what the parent situation is. The reason why I say this is because we have parents who are working. We have parents that are trying to attend college. We have parents that are domestic violence survivors who need therapy. We have parents that are also incapacitated because they have a situation where they have a medical diagnosis. We have ADA disabled parents as well as children with special needs. Or you have a CPS case parent, family. A homeless family. Or family that's been reunited after being in foster care. I think we need to look at those type of layers. And I feel like if we had a system that actually followed the child, it would just take those gaps away. No child should have to wait.”

- **Child care policies are consistent across the state**. For example, a parent from Alameda should be able to receive the same services as a parent from San Francisco.

- Parents experience **case workers that are judgement free and treat them with respect and dignity**. The case workers exude a culture of positivity and are fair to all family structures.

“I would love to see a culture of positivity happen within childcare or just be ‘hey, congratulations that you’re even thinking about childcare. We know it’s going to be a bumpy ride and we’re here to help you blast off.’ Do a little life coaching with us.”

- **Social services offices are welcoming spaces for parents of all backgrounds.** Offices have INS-Free Zones signs as well as gender neutral bathrooms, especially for transgender and non-binary parents. All forms include non-binary gender options. For example, instead of “Name of Mother and Name of Father” it would state, “Parent 1 and Parent 2 with an option to mark a box that states Parent 2 is not in the picture. Additionally, social service offices have an outside playground or onsite child care for children.

How Parents Want to Choose the Right Provider

- When selecting a potential provider, **parents have the option to meet the provider one-on-one** to discuss the facility’s curriculum and the provider’s approach. The provider also offers tours. Alternatively, parents can go to an online source to learn more details about the facility.
- **Child care subsidy vouchers are accepted at all child care facilities.** Therefore, parents can choose their provider from a range of high-quality options. Parents do not have to settle based on where their vouchers are or are not accepted. The amount of the subsidy should also be increased to meet the true cost of the market, otherwise the most child care options may be out of reach to a low income parent who cannot afford high co-payments.
- Additionally, **child care facilities are co-located at high schools** so parents with older children or teen parents can easily access child care.

Definition of Quality Child Care

- For many parents, quality child care not only means a safe and enriching environment, but also **flexible hours, including nights and weekends**. Many parents have alternative works schedules and require child care options with non-traditional hours.

“We can access child care by following the child’s eligibility, the child is eligible regardless of what the activities are of the parent, the child is eligible and then they honor the parents’ choices.”

“In my dream world of childcare, we have flexible childcare centers that work on the weekends, that work in the evenings, because some of us have weekend jobs. Some of us work at night, past pm, and it puts children in dangerous situations because you’re having to try and figure out ‘What am I

going to do with my child?’ And you may not make the best decision to where to have your child because you’re so desperate.”

- **Child care facilities practice inclusion.** Providers are open to and skilled at caring for children with special needs.
- **Quality child care is available in parents’ neighborhoods.** Parents do not have to travel out of their way to pick up and drop off their children at a child care facility.

“The other thing is, you shouldn’t have to feel like you have to go outside of your neighborhood to find quality, and that’s another thing, if you don’t have transportation, even if a slot opens up on the R&R, the wait list, some parents turn it down, like are you kidding me? My job is over here, I have to go all the way on the other side of town to drop my child off and go all the way to the other side of town for work, and you don’t have a car to do that? That’s crazy.”

Reality/Challenges

Parents’ vision for their ideal child care scenario was informed by the reality of their child care situation and the challenges they faced navigating the system. The points below outline those key challenges that reflect parents’ realities.

Accessing Quality Child Care

- **Parents that have immigrated to California are often not willing to sign up** to receive a child care subsidy because they are intimidated by new immigration laws.
- **Outreach about childcare subsidies is poor.** Many parents did not know that resources existed.
- **Several providers do not offer a safe environment,** and the county/state does not provide adequate oversight to ensure safety in every provider’s facility. As a result, there are several child care providers with persistently unsafe environments.

“One of the challenges for me was, I had a provider who, when we first met I did my tour and I did my visit, and everything was all shiny and cute, and then I found out later that this person was drinking while they had the kids and they were in possession of other stuff. And so, the reality is the state/county is not following up with these providers, the oversight is not there.”

- Furthermore, parents feel that **existing child care options do not offer adequate mental health services** for youth.
- Parents often need to wait on an **extensive waiting list to obtain a child care subsidy.** One parent reported that she had to wait ten years to get off of the waitlist. As a result, her older children often cared for the younger children, or the children would be cared for by their elderly grandmother.

“Yeah, I was on a wait list for ten whole years, maybe eleven, and just waiting updating, updating, I went bananas. Updating, updating, updating, so it was a long process and it was really hard because I had my ailing grandmother caring for my kids and she has dementia, and I have to check on grandma so I'm at work and I'm nervous, calling all the time.”

- **The subsidy amount is very small in relation to the cost of child care.** Often, the subsidy combined with private scholarships is still not enough to pay the full cost of child care. Child care options become limited when parents can only afford a select number of providers. Parents feel like they are “working for the child care.”

“And a lot of parents do that because I think they're at their end. And they're like, ‘I thought I could figure out childcare without the subsidy with all this.’ Because I was gonna go back to work. But then they realized it cost so much money. That they would actually go into debt with their job. And that's where I was at.”

“I feel like you have the parent who's on CalWorks trying to get off CalWorks and needs childcare to get off. Then you have the parent who has a job and has to leave their job and get on CalWorks just to get childcare. That is ridiculous. We're creating recidivism. We're creating recidivism of poverty.”

“I was working for the childcare. I worked 12 hours a day, seven days a week, and I still couldn't afford childcare because I had to pay my mom.”

- Because providers know that many parents are desperate for affordable child care, **parents stated that they have been taken advantage of by providers.** For example, one mother shared how her provider that cared for her children in the evenings would not open her door until midnight, even if the parent arrived earlier, thus forcing the parent to pay more money.

“What happened was I would get off at 11 o'clock at night. The provider lived near that BART station and I would get her from the childcare and the lady wouldn't open the door until 12 o'clock midnight. And I had to call the police, which routes you to the highway patrol and when 12 o'clock midnight came and the police came and she opened the door. So it's like when you talk about quality, she wanted her money.”

Navigating the Child Care System's Policies and Procedures

- Parents want to be able to look for and start a job as soon as possible. The availability of child care directly impacts the speed of that process. **Parents experience a significant time gap between the time a parent applied for a child care subsidy and when the subsidy was actually received.** Parents commented that this delay was very problematic for their employment situation and overall stability.

“I can work or go to school, you have to have already started those things. But then you have to have a series of appointments that are like a month apart. First you meet with the worker. Then you go to whatever the SSA office [county welfare department] is and then you go to Child Care

Links [child care subsidy administration agency]. And then you know, all these things. So after 45, 60 days, you could have been working. But you're still chasing your tail."

"So when I was actually approved, from that day like, okay you approved, it was like two to three months! And then I kept saying, 'What can I do to fast forward and move this?' I told them, I said, 'I have a job waiting for me in three weeks, four weeks.' And they were like, 'No, you just have to wait.' And I'm like, 'Wait, but I thought the whole point of this service was get me employed.' And it's just so funny because the system, in a way, it makes you believe it's a lie."

- Furthermore, **case workers encourage parents to sign up for CalWORKS just to get child care**; however, they may not need the additional benefits. As a result, parents must complete an extensive amount of paperwork and in many cases, must complete the Welfare to Work program when it may not be necessary.

"I had to wait that 40, 50 days and I lost the ability to go back to my job. And I was even telling while I was applying for CalWorks, 'I'm only applying to get your childcare. I need childcare.' I have a possible job waiting for me. I don't need to go through all this workforce thing."

- Parents communicated that they already feel self-conscious and vulnerable when seeking assistance. The social services caseworkers often exacerbate these feelings through rude, judgmental, and unhelpful behavior. As a result, **parents feel that they are treated like a statistic**.

"I remember on the birth certificate, it says only one parent, I was grilled by the person when I was applying for childcare, 'So, what about the father, what about the father, what about the father?' All these things, and what was sad to me about that is they were assuming so many different things about me: my sexuality, my gender, the society of this world. So, the childcare system, to me, that's very interesting that it can be very, very heteronormative, and that's very unfair to LGBTQ parents, it's very unfair to parents who are single parents or solo parents by choice."

"And so going to social services was just a terrible experience and it wasn't ... I didn't feel like ... You're already feeling like you're at the bottom of the barrel because you had to get to that point. And so for you to be treated like trash that rolled up inside the gutter, it's just not helpful."

"Parents get scrutinized, we get stressed out, it makes you almost want to give up. You get so stressed out, you get dehumanized, you're not talked to with dignity. "

- In addition to poor treatment, **parents feel that child care services are fear-based**. For example, if a parent is claiming domestic violence, they must show proof; however, it may be unsafe to retrieve this documentation. Parents report that there is a lot of pressure from social services agencies to disclose sensitive information that parents are often not comfortable sharing.

"When you apply for CalWORKS they ask you for the father's information and say, 'We're going to make him pay for the service we provided you on the tail end.' And then all throughout the CalWORKS time, I would get letters from Child Support saying, 'Do you know or have you seen? Have

you heard ...?' Blah, blah, blah. All these things and wanting me to go ... Have my put myself in jeopardy to go look at him for that. So it's very much ... Like I said, for me, I just felt like very fear based."

- One parent explained that she encountered **unfair legal practices associated with CalWORKs**, specifically around the policies and procedures for identifying as a single parent. She knew of a family in which the father, who was there without the mother's permission, was sent to jail for being present at the mother's home when she had claimed she was a single parent.
- Parents also feel like **the process and paperwork for obtaining and maintaining child care is very cumbersome**, which is an added stress for busy parents. Parents stated that going through all the paperwork and processes to keep the child care is like a full-time job in and of itself. Many parents get so frustrated that they ask themselves "Is it worth it?" to try to find quality and affordable child care.

"As much as I've done, and I've been with Parent Voices for over 10 years now doing childcare advocacy work, it still was so confusing for me to get it with my son, and then once I kind of got the system navigation down to get him childcare, it was a whole other ballgame because I had a daughter with special needs, so I had to learn how to navigate the system all over again with other layers and changes to my family, and it shouldn't be this confusing. Even the smartest of the smartest in this room have been confused by the child care system."

Recommendations

Specific policy recommendations emerged from the parents' discussion around their ideal child care scenario. These recommendations are as follows:

1. **Child care subsidy programs should be heavily advertised.** These advertisements should be accessible to all communities, languages, and communicated through cultural navigators when appropriate.
2. **Parents can sign up for child care subsidies when they are pregnant;** this is consistent with other programs such HUD-provided services.

"Even with the housing authority. You can put on a member, as long as you are over six months pregnant. So even HUD, federal HUD, will allow you to put an extra member as long as you are more than six months pregnant. So that's crazy to me that you can't do that with child care"

3. **The child care subsidy offers an incentive for parents to attend ECE courses.** This incentive would allow parents to have the resources to learn important information about child development.

"I also feel that not every parent comes from an early childhood education background, so those of us who have ECE knowledge are going to know what to look for. For parents who may not have that ECE knowledge, how come there isn't some kind of incentive for parents when they're either going through the birthing, prenatal process or they've already had their child, like 'you know what, you can be exempt from the time clock' or 'you can get that paid leave for a year off from work, but we ask that you at least attend every so often early childhood education workshop or a class,' because I think that as parents, every parent should have ECE backgrounds, because you're working with your child. It would help you so much and lessen the stress."

4. **Parents with children under the age of two should be able to apply for child care at the location of their choice.** In other words, the case worker should meet the parent at a location that is convenient for the parent; this may be the lobby in an apartment building or a public park.

"In San Francisco, the way that they run EBT. Is that a lot of the EBT people will come to you. Because we want to make sure we put food in your mouth and that's what federal government, I mean city government thinks. I think that should apply to anyone applying for CalWORKs under age two. So maybe you don't have to go to CalWORKs office."

5. **Paid family leave is offered for one to two years.** Two years is consistent with WHO policies for breastfeeding. Furthermore, at least the first year of family leave is paid at 100% of the parents' salary. Perhaps identify a way to combine CalWORKs and Paid Family Leave that could at least help a low-income parent get to 100% wage replacement.

"CalWORK says that if you have a child 2 and under, you're exempt, automatically click the box. I asked them one time, 'Well, why is that?,' and they said 'The World Health Organization says minimum 2 years breastfeeding.' So, they want to make that open and available, and so I think the same thing with paid family leave. So if CalWORKs has that two year mark, that should be across the board, and I would say that if the World Health Organization says it, CalWORK says it, just to follow that. So I would say two years paid family leave, period."

6. **Child care subsidies should be offered to parents who have a moderate income.**

Furthermore, the subsidy amount should be relative to the SMI in each county.

"I think we should have low to moderate income parents on the childcare subsidies, and I know that can be controversial with the state, but the thing is, I think it's sad when parents have to say no to a pay increase because they'll lose their childcare support. It should go up to moderate income, period, across the state, hands down, middle income families, there are a lot of them that are paycheck to paycheck as well, and if they lost their job, it doesn't mean they're not employable. So, I actually think it should go up to moderate income, and again it would be based on per county."

7. **Social services offices are welcoming and inclusive places.** This means that child care is provided on site, gender neutral bathrooms are provided, and forms reflect all family structures. Furthermore, breastfeeding is normalized and accommodated through breast feeding stations (such as [Mamava](#)) in CalWORKS offices.

"I remember when I was applying for CalWorks I was told to cover up, which is actually illegal. So I think they should have signs saying, 'You can breastfeed however you want. It's your legal California right.'"

"I had to feed, chest feed my baby every 15, 30 minutes, right? They're so little. And at the same time, the CalWorks person is like, 'Oh, sorry. I have to stop.' We literally stopped what we were doing and she had to leave."

- 8. The child care system should practice cultural sensitivity,** and practices should reflect an openness and acceptance of all family structures.

"I think that we need to look at cultural sensitivity. I think that even whether you're born here or not born here, families have all these different cultural dynamics. We look at LGBTQIA families. Where do they fit in this process and in the navigation in this system, so let's look at cultural sensitivity in the language, how people are being talked to, and also what resources for child care that are available."

- 9. All child care providers are paid at least minimum wage,** regardless of whether they are exempt or non-exempt.

- 10. Child care subsidies should be available until children are 17 years old.**

"My dream would be... you know, because I noticed 13, 14, 15, 16, 17, at that age group they're still children. So, I think that at that age group, it's really hard for them to stay focused and they can lose track or lose sight of dreams or whatever have you, and they may be left alone a lot, which helps them get in trouble, so my dream would be to have childcare maybe until 17. Because my daughter was left alone a lot, and it's kind of hard, but that's how I feel."

- 11. Child care should be universal,** regardless of a parents' background.

Concluding Thoughts: What do Policymakers Need to Know?

At the close of the focus group, parents reflected on the key points that legislatures need to know about the lives of parents when making policy decisions.

- **Legislatures do not understand parents' struggles** and do not know what is best for low-income parents. Legislatures need to engage meaningfully with the community to gain a deeper understanding of families' lives.

"I think because they live in such a different world than we do, I think if they are able to see a day in a life some kind of way into a life of different cultures, something like that, like a video of a day in a life, different cultures, for example, different demographics or genders, then they kind of get a peek into what are the challenges of one's day. They can ... Because they really can't relate or understand."

- **The child care system is broken, but it can be fixed.**

“So that's literally where the system failed me. And if it didn't, if I got into CalWORKS right away, I would've been off to CalWORKS in a month or two instead of ... How long I been on it now? Ever since the baby was four or five months. A few years.”

- **Child care is important for society;** legislators should look at it as an investment.
- **Child care needs to be equitable and inclusive.**
- **Legislators should work to correct the system, not the families.**
- **Parents are working hard to better themselves;** they are not lazy or asking for handouts.

“I just feel like they don't understand us because they're born into wealth. I don't know if all of them are like that, but a lot of them are born into wealth so they don't understand our struggles and they need to be more open to working parents that are just trying to make it. They're going on with their lives and totally different lives. Just be more open to us because we really just want to have a better life just like them. We were not born rich.”

- **Stop putting all families in one box;** respect all family structures.
- **It is not easy for parents to find quality child care.** Often, older children or elderly grandparents end up providing care.



GreatSchools, Inc.

Consolidated Financial Statements

December 31, 2017
(With Comparative Totals for 2016)



TABLE OF CONTENTS

	<u>Page No.</u>
Independent Auditor's Report	1 - 2
Consolidated Statement of Financial Position	3
Consolidated Statement of Activities	4
Consolidated Statement of Functional Expenses	5
Consolidated Statement of Cash Flows	6
Notes to Consolidated Financial Statements	7 - 14

INDEPENDENT AUDITOR'S REPORT

Board of Directors
GreatSchools, Inc.
Oakland, California

We have audited the accompanying consolidated financial statements of GreatSchools, Inc. (a California nonprofit corporation) (the "Organization"), which comprise the consolidated statement of financial position as of December 31, 2017, and the related consolidated statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these consolidated financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of GreatSchools, Inc. as of December 31, 2017, and the changes in their net assets and their cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Summarized Comparative Information

We have previously audited GreatSchools, Inc.'s 2016 consolidated financial statements, and our report dated November 17, 2017 expressed an unmodified opinion on those audited consolidated financial statements. In our opinion, the summarized comparative information presented herein as of and for the year ended December 31, 2016, is consistent, in all material respects, with the audited consolidated financial statements from which it has been derived.

A handwritten signature in black ink that reads "Armanino LLP". The signature is written in a cursive, flowing style.

Armanino^{LLP}
San Francisco, California

July 16, 2018

GreatSchools, Inc.
Consolidated Statement of Financial Position
December 31, 2017
(With Comparative Totals for 2016)

	<u>2017</u>	<u>2016</u>
ASSETS		
Current assets		
Cash and cash equivalents	\$ 2,123,626	\$ 2,283,424
Investments	483,665	483,472
Accounts receivable, net	873,409	899,211
Grants receivable	1,495,000	329,600
Prepaid expenses	<u>176,229</u>	<u>320,181</u>
Total current assets	<u>5,151,929</u>	<u>4,315,888</u>
Non-current assets		
Property and equipment, net	116,980	205,519
Deposits	37,858	37,858
Grants receivable, net of current portion	<u>362,000</u>	<u>-</u>
Total non-current assets	<u>516,838</u>	<u>243,377</u>
Total assets	<u>\$ 5,668,767</u>	<u>\$ 4,559,265</u>
LIABILITIES AND NET ASSETS		
Current liabilities		
Accounts payable	\$ 79,747	\$ 62,497
Security deposits	12,000	-
Accrued expenses	88,897	156,898
Accrued vacation payable	182,260	177,633
Deferred revenue	<u>460,494</u>	<u>488,815</u>
Total current liabilities	<u>823,398</u>	<u>885,843</u>
Net assets		
Unrestricted	2,054,246	2,508,943
Temporarily restricted	<u>2,791,123</u>	<u>1,164,479</u>
Total net assets	<u>4,845,369</u>	<u>3,673,422</u>
Total liabilities and net assets	<u>\$ 5,668,767</u>	<u>\$ 4,559,265</u>

The accompanying notes are an integral part of these consolidated financial statements.

GreatSchools, Inc.
Consolidated Statement of Activities
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>2017 Total</u>	<u>2016 Total</u>
Revenues, gains and other support				
Contributions	\$ 2,023,145	\$ 3,212,000	\$ 5,235,145	\$ 4,922,471
Donated services	120,000	-	120,000	107,477
Licensing/royalty/co-branding	1,579,654	-	1,579,654	1,451,116
Website activity	1,121,858	-	1,121,858	1,586,206
Fees for service	189,667	-	189,667	872,582
Other	100,772	-	100,772	1,590
Net assets released from restriction	<u>1,585,356</u>	<u>(1,585,356)</u>	<u>-</u>	<u>-</u>
Total revenues, gains and other support	<u>6,720,452</u>	<u>1,626,644</u>	<u>8,347,096</u>	<u>8,941,442</u>
Functional expenses				
Program services	6,361,386	-	6,361,386	7,753,884
Management and general	545,755	-	545,755	1,133,480
Fundraising	<u>268,008</u>	<u>-</u>	<u>268,008</u>	<u>444,858</u>
Total functional expenses	<u>7,175,149</u>	<u>-</u>	<u>7,175,149</u>	<u>9,332,222</u>
Change in net assets	(454,697)	1,626,644	1,171,947	(390,780)
Net assets, beginning of year	<u>2,508,943</u>	<u>1,164,479</u>	<u>3,673,422</u>	<u>4,064,202</u>
Net assets, end of year	<u><u>\$ 2,054,246</u></u>	<u><u>\$ 2,791,123</u></u>	<u><u>\$ 4,845,369</u></u>	<u><u>\$ 3,673,422</u></u>

The accompanying notes are an integral part of these consolidated financial statements.

GreatSchools, Inc.
Consolidated Statement of Functional Expenses
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	Program Services	Management and General	Fundraising	2017 Total	2016 Total
Salaries and benefits	\$ 4,508,688	\$ 241,246	\$ 184,345	\$ 4,934,279	\$ 6,291,396
Consultants	561,072	-	-	561,072	621,174
Travel and events	50,986	46,055	10,480	107,521	148,253
Content	67,651	-	-	67,651	209,204
Data center and web hosting	257,818	10,324	9,063	277,205	191,281
Technology and software	111,722	35,355	595	147,672	118,092
Advertising and marketing	32,978	-	-	32,978	465,646
Research and analytics	31,682	149	-	31,831	201,193
Printing	8,998	715	640	10,353	11,356
Professional fees	142,709	54,751	10,478	207,938	262,365
Rent and occupancy	433,597	45,057	39,471	518,125	467,699
Office expense	3,879	19,125	140	23,144	38,409
Professional development	453	10,286	38	10,777	35,886
Recruiting	5,383	13,502	-	18,885	45,039
Insurance, fees and other	30,043	55,185	2,233	87,461	74,642
Phones and internet	26,855	4,998	2,554	34,407	39,086
Depreciation expense	86,872	9,007	7,971	103,850	111,501
	<u>\$ 6,361,386</u>	<u>\$ 545,755</u>	<u>\$ 268,008</u>	<u>\$ 7,175,149</u>	<u>\$ 9,332,222</u>

The accompanying notes are an integral part of these consolidated financial statements.

GreatSchools, Inc.
Consolidated Statement of Cash Flows
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	<u>2017</u>	<u>2016</u>
Cash flows from operating activities		
Change in net assets	\$ 1,171,947	\$ (390,780)
Adjustments to reconcile change in net assets to net cash used in operating activities		
Depreciation and amortization	103,850	111,501
Changes in operating assets and liabilities		
Accounts receivable, net	25,802	253,123
Grant receivables	(1,527,400)	(299,901)
Prepaid expenses	143,952	(92,751)
Accounts payable	17,250	(156,871)
Deposits payable	12,000	-
Accrued expenses	(68,001)	(266,137)
Accrued vacation payable	4,627	(55,027)
Deferred revenue	(28,321)	(483,383)
Net cash used in operating activities	<u>(144,294)</u>	<u>(1,380,226)</u>
Cash flows from investing activities		
Redemption of certificates of deposit	483,472	483,278
Purchase of certificates of deposit	(483,665)	(483,472)
Acquisition of property of equipment	(15,311)	(49,100)
Net cash used in investing activities	<u>(15,504)</u>	<u>(49,294)</u>
Net decrease in cash and cash equivalents	(159,798)	(1,429,520)
Cash and cash equivalents, beginning of year	<u>2,283,424</u>	<u>3,712,944</u>
Cash and cash equivalents, end of year	<u><u>\$ 2,123,626</u></u>	<u><u>\$ 2,283,424</u></u>

The accompanying notes are an integral part of these consolidated financial statements.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

1. NATURE OF OPERATIONS

GreatSchools, Inc. (the "Organization" or "GreatSchools") is a nonprofit corporation that was organized in the State of California in 1998. The mission of the Organization, a 501(c)(3) tax-exempt entity, is to provide parents with the information and resources they need to choose schools, support their children's education and advocate for educational excellence. The Organization provides, via its web site, an online guide to elementary, middle and high schools in addition to resources (like Guided Search and "Milestones") for parents to choose better schools and help their children be more successful in school.

GreatSchools is the leading national source of school information for parents. With a Webby-award winning website, GreatSchools.org reached over 50 million unique visitors and almost half of American families with school-age children in 2017. GreatSchools.org contains in-depth profiles of over 200,000 Pre K-12 schools and more than 1.5 million parent and community ratings and reviews of schools.

GreatSchools.org also provides resources for parents to see how their kids are progressing in their education. These parenting resources contain videos, articles, and other resources that help parents understand what educational excellence looks like at each step of their child's learning journey and address both academic, social and emotional development by providing parents with tips about what their children should be learning, how to cultivate character strengths such as persistence and character development, and how to partner effectively with teachers.

Millions of parents come to GreatSchools for advice, and our thousands of articles, worksheets, and videos answer their questions and help them encourage and support learning.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting and financial statement presentation

The accompanying financial statements are prepared on the accrual basis of accounting. The Organization reports information regarding its financial position and activities in three classes of net assets: unrestricted, temporarily restricted and permanently restricted.

- *Unrestricted net assets* - represent the portion of net assets that is neither temporarily nor permanently restricted by donor-imposed stipulations. These net assets are intended for use by management and the Board of Directors for general operations.
- *Temporarily restricted net assets* - represent the portion of net assets for which use is limited by donor-imposed stipulations that either expire by passage of time or can be fulfilled and removed by actions of the Organization.
- *Permanently restricted net assets* - represent the portion of net assets for which use is permanently limited by donor-imposed stipulations that neither expire by passage of time nor can be removed by actions of the Organization. There were no permanently restricted net assets at December 31, 2017.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Principles of consolidation

The consolidated financial statements include the accounts of GreatSchools and its wholly-owned subsidiary, Family Engagement Labs, LLC. Family Engagement Labs, LLC was formed during 2016 in order to better promote the creation of digital tools and publishing information for families, schools and education related to improving the collaboration between families and schools to improve student outcomes. All significant inter-entity transactions and accounts have been eliminated upon consolidation.

Cash and cash equivalents

For purposes of the statement of cash flows, all highly liquid investments with original maturity dates of three months or less are considered to be cash and cash equivalents. The Organization maintains its cash in bank deposit accounts which, at times, may be in excess of federally insured limits. Management believes it is not exposed to any significant risks on cash accounts.

Investments

Investments which consist of certificates of deposit are valued at their fair values as determined primarily by quoted market prices. Investments received through gifts are recorded at estimated fair value at the date of donation. Gains and losses that result from market fluctuations are recognized in the period such fluctuations occur. Realized and unrealized gains or losses are calculated on an adjusted cost basis. Dividend and interest income are accrued when earned. Investments at December 31, 2017 amounted to \$483,665 and consisted of certificates of deposit.

Receivables

Website and licensing receivables are stated at the amount management expects to collect from outstanding balances. An allowance for doubtful accounts is maintained based on past experiences and other circumstances. Account balances are charged off against the allowance for doubtful accounts after all means of collection have been exhausted and the potential for recovery is considered remote. The allowance for doubtful accounts amounted to \$79,822 at December 31, 2017.

Property and equipment

Purchased property and equipment is carried at cost. Donated property and equipment is recorded at fair value as of the date of receipt. Assets acquired with a cost or fair value greater than \$1,500 are capitalized. Maintenance and repairs are expensed as incurred. Assets retired or sold are removed from the property accounts, with gains or losses on disposal included in income.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Property and equipment (continued)

Depreciation of property and equipment is provided by use of the straight-line method over the lesser of the estimated three to seven year useful lives of the equipment or the related lease term. Purchased intangible assets are carried at cost. These assets include the domain name and web site development costs. Amortization of intangible assets is provided by use of the straight-line method over the estimated three to five year useful lives of the intangibles. Intangible assets are fully amortized as of December 31, 2017.

The Organization reviews long-lived tangible and intangible assets for impairment when circumstances indicate the carrying amount of an asset may not be recoverable. Impairment is recognized if the fair value of the asset is less than the carrying value. When an impairment loss is recognized, the asset's carrying value is reduced to its estimated fair value.

Deferred revenues

Program service fee revenue received that relates to future periods is recorded as deferred revenue and amortized into income as earned.

Contributions

Contributions received are recorded as unrestricted, temporarily restricted, or permanently restricted support, depending on the existence or nature of any donor restrictions. All donor-restricted contributions are reported as increases in temporarily or permanently restricted net assets depending on the nature of the restriction. Contributions, including unconditional promises to give, are recognized as revenues in the period the promise is received. Conditional promises to give are not recognized until they become unconditional; that is when the conditions on which they depend are substantially met. Contributions that are promised in one year but are not expected to be collected until after the end of that year are discounted at an appropriate discount rate commensurate with the risks involved. Amortization of any such discounts is recorded as additional contribution revenue in accordance with donor-imposed restrictions, if any, on the contributions. An allowance for doubtful contributions receivable is provided based upon management's judgment including factors such as prior collection history, type of contribution and current aging of contributions receivable. Management has determined that an allowance for doubtful contributions receivable is not necessary at December 31, 2017.

Donated goods and services

Donated goods and services that would typically need to be purchased if not donated are recognized in the accompanying financial statements as contributions when such goods and services (a) enhance non-financial assets or (b) require specialized skills that are provided by individuals possessing those skills. Usually the Organization receives such donated goods and services for software, computer parts and legal services.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Website activity income and expense

Website activity income generated on the Organization's website from advertisement placements is a function of website page views and price. The Organization's current partners are education-related firms, real estate and mortgage professionals, consumer companies, and Google. Website activity income is recognized as it is earned and for the year ended December 31, 2017 amounted to \$1,121,858. Related website activity expenses are recognized as incurred and consist of expenses allocable against website activity income based on managerial assumptions.

The Organization also incurs website development costs and has determined that no website development costs were eligible for capitalization. Website development costs amounted to approximately \$2,300,000 for the year ended December 31, 2017.

Revenue recognition

Licensing/royalty/co-branding revenue and fees for service are recognized as revenue when earned. Payments received related to future periods are reported as deferred revenue.

Functional expenses

The costs of providing the various programs and supporting services have been summarized on a functional basis in the statement of activities. Accordingly, certain costs have been allocated amongst program services and supporting services based on management estimates.

Advertising costs

Advertising costs are charged to expense as incurred and amounted to \$21,051 for the year ended December 31, 2017.

Income taxes

There is no provision for federal or state taxes on income since the Organization is a tax-exempt entity under Internal Revenue Code Section 501(c)(3) and California Revenue and Taxation Code 23701(d). The Organization has evaluated its current tax positions and has concluded that as of December 31, 2017, the Organization does not have any significant uncertain tax positions for which a reserve would be necessary and that no unrelated business taxable income arising from its website activity is subject to taxation.

Use of estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Prior year summarized information

The financial statements include certain prior year summarized comparative information in total, but not by net asset class. Such summarized information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with the Organization's financial statements for the year ended December 31, 2016, from which the summarized information was derived.

Subsequent events

The Organization has evaluated subsequent events through July 16, 2018, the date the financial statements were available to be issued. No other subsequent events have occurred that would have a material impact on the presentation of the Organization's financial statements.

3. GRANTS RECEIVABLE

Grants receivable consist of the following:

Receivable in less than one year	\$ 1,495,000
Receivable in one to five years	<u>362,000</u>
	<u><u>\$ 1,857,000</u></u>

4. PROPERTY AND EQUIPMENT

Property and equipment consist of the following:

Equipment	\$ 564,227
Software	30,979
Leasehold improvements	52,969
Less accumulated depreciation and amortization	<u>(531,195)</u>
	<u><u>\$ 116,980</u></u>

Depreciation and amortization expense for 2017 amounted to \$103,850.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

5. TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets were restricted by donors to the following purposes:

General support - time restricted	\$ 1,000,000
GreatSchools Grade by Grade Newsletter	844,043
GreatSchools College Success Award	564,028
Family Engagement Labs	<u>383,052</u>
	<u><u>\$ 2,791,123</u></u>

Net assets were released from donor restrictions by incurring expenses satisfying the restricted purpose or by occurrence of other events specified by donors as follows:

Common Core project	\$ 164,479
GreatKids educational projects	800,000
GreatSchools Grade by Grade Newsletter	17,957
GreatSchools College Success Award	235,972
Family Engagement Labs	<u>366,948</u>
	<u><u>\$ 1,585,356</u></u>

6. DONATED SERVICES

The Organization received donated legal services with a fair value of \$120,000 during the year ended December 31, 2017.

7. RETIREMENT PLAN

The Organization has a defined contribution savings plan under the salary deferral provision of Internal Revenue Code Section 403(b). Employees can choose to have a specified dollar amount or a percentage of their salaries invested in mutual funds or a managed plan of their choice each pay period. The Organization provides a matching contribution of \$0.50 for each \$1.00 up to a maximum of \$1,000 per employee per year. The total matching contribution expense for the year ended December 31, 2017 was \$22,295.

8. COMMITMENTS AND CONTINGENCIES

Lease commitments

The Organization leases equipment and facilities under long-term operating leases expiring in various years.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

8. COMMITMENTS AND CONTINGENCIES (continued)

Lease commitments (continued)

The scheduled minimum lease payments under the lease terms are as follows:

Year ending December 31,

2018	\$ 518,532
2019	138,846
2020	<u>1,410</u>
	<u>\$ 658,788</u>

Rental expense under all operating leases for the year ended December 31, 2017 was \$518,125.

During 2017, the Organization entered into short term sublease agreements to lease a portion of its office space. The sublease terms include monthly payments ranging from \$2,000 to \$10,000 and expire through March 2018. Rental income for the year ended December 31, 2017 was \$98,525 and is included in other income in the accompanying consolidated statement of activities.

Risks and uncertainties

The Organization depends heavily on contributions, fundraising events and grants for its revenue. The ability of the Organization to attract support and revenues that are comparable to prior years may be dependent upon current and future overall economic conditions and the continued deductibility for income tax purposes of donations to the Organization. While the Organization's Board of Directors believes the Organization has the resources to continue its programs, its ability to do so and the extent to which it continues may be dependent on the above factors.

9. CONCENTRATIONS

The Organization's total revenues for 2017 includes \$3,300,000 received from two foundations. This amount represents approximately 40% of total revenues for the year ended December 31, 2017.

Credit risk

Financial instruments, which potentially subject the Organization to concentrations of credit risk, consist principally of cash investments and short term investments. The potential concentration of credit risk pertaining to cash investments will vary throughout the year depending upon the level of cash deposits versus amounts insured.

GreatSchools, Inc.
Notes to Consolidated Financial Statements
December 31, 2017

10. CONDITIONAL PROMISES TO GIVE

The Organization has a conditional promise from a foundation that is contingent upon the Organization meeting agreed upon milestones. Since this grant represents a conditional promise to give, it is not recorded as contribution revenue until donor conditions are met. The conditional promise to give outstanding totals \$2,000,000 as of December 31, 2017.

Santa Clara County Office of Education

Key Message Recommendations

Your Messages Bring Your Brand to Life

Key messages should be a part of a library of talking and writing points you use in communicating with your target audiences. Think of your messages as the cornerstone of your written and verbal communications for years to come.

Consistent, repetitive use of your key messages will contribute greatly to the ability of administrators, partners, parents, providers, and other supporters to communicate effectively on behalf of the parent portal.

Santa Clara County Office of Education

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Who's Our Audience?

Key Stakeholders



Parents Pérez
Parents/guardians



Carla Child
Large, well-funded
early learning and
childcare provider



Grandma Gerty
Independent care
provider



Ronny Resource
Resource and
referral agency
staff member



Partner Panav
Supporter of early
learning

Parents Pérez

PARENTS/GUARDIANS



After engaging with the portal, this is how we expect this audience to feel:

“When I engage with the parent portal, I feel delighted. I love having the best, most up-to-date information about early learning and childcare options right at my fingertips. I want to set my kids up for success early in their lives—the portal is one important step on my path to doing so.”

How they are feeling without the parent portal: Frustrated and confused—they don’t know where to go for information they trust. Will their children miss out because they can’t find information on the best early learning and childcare options in their neighborhood?

What they need from the parent portal:

- Easy-to-navigate information that they can understand
- A place with reviews, enrollment information, openings, financial aid, etc.
- Mobile-friendly access in a variety of languages
- A way to ask questions and get accurate answers quickly

What the parent portal needs from them:

- Be advocates for the parent portal and tell others about it
- Provide program reviews
- Provide feedback to improve the portal
- Encourage providers to keep information accurate and current

Carla Child

LARGE, WELL-FUNDED EARLY LEARNING AND CHILDCARE PROVIDER



After engaging with the portal, this is how we expect this audience to feel:

“When I engage with the parent portal, I feel assured. I appreciate having a central place to share information and attract right-fit families to my services. The benefits of the portal outweigh the work.”

How she is feeling without the parent portal: Interested. She’s understands how the parent portal will make her job easier, and she knows that parents need a central source for accurate, current information.

What she needs from the parent portal:

- A way to for a member of her team to easily update their program information
- An efficient means to market/recruit right-fit families
- Streamlined enrollment process
- A way to recruit qualified staff

What the parent portal needs from her:

- Active participation in keeping information updated
- Encourage other providers to participate
- Buy-in to a universal application/enrollment process
- Accurate information

Grandma Gerty

INDEPENDENT CARE PROVIDER



After engaging with the portal, this is how we expect this audience to feel:

“When I engage with the parent portal, I feel relieved. I appreciate having a central place to market my services. I hope the benefits of the portal outweigh the work.”

How she is feeling without the parent portal: Overwhelmed. She’s not totally sure how the parent portal will make her job easier, but she knows that parents need a central source for accurate, current information.

What she needs from the parent portal:

- Support so she can easily update her program information
- An efficient means to market/recruit right-fit families
- Assurance she can understand the technology
- A way to stay connected to the broader early learning space

What the parent portal needs from her:

- Active participation in keeping information updated
- Encourage other providers and families to participate
- Buy-in to a universal application/enrollment process
- Accurate information

Ronny Resource

RESOURCE AND REFERRAL AGENCY STAFF MEMBER



After engaging with the portal, this is how we expect this audience to feel:

“When I engage with the parent portal, I feel excited. I appreciate having the most up-to-date information in one place to assist families. Now I feel like a true navigator, helping families find the best programs and services for their needs.”

How he is feeling without the parent portal: Uncertain and threatened. He feels like the portal may eliminate the need for his job, when in reality, while his job may change, the portal will make his job easier.

What he needs from the parent portal:

- A way to easily find up-to-date information
- An efficient way to share information with families
- Streamlined way to provide feedback

What the parent portal needs from him:

- Active use of the portal
- Show families how to use the portal
- Encourage families and other resource and referral agencies to use the portal

Partner Panav

EARLY LEARNING SUPPORTER



After engaging with the portal, this is how we expect this audience to feel:

“When I engage with the parent portal, I feel excited. This is exactly what we need to ensure every family in California can easily locate and assess the best in learning and childcare.”

How he is feeling without the parent portal: Ready! He sees this as a necessary step in elevating early learning, and the data from the portal will be important to justifying his/his organization’s support.

What he needs from the parent portal:

Assurance that the portal is easy to use and navigate

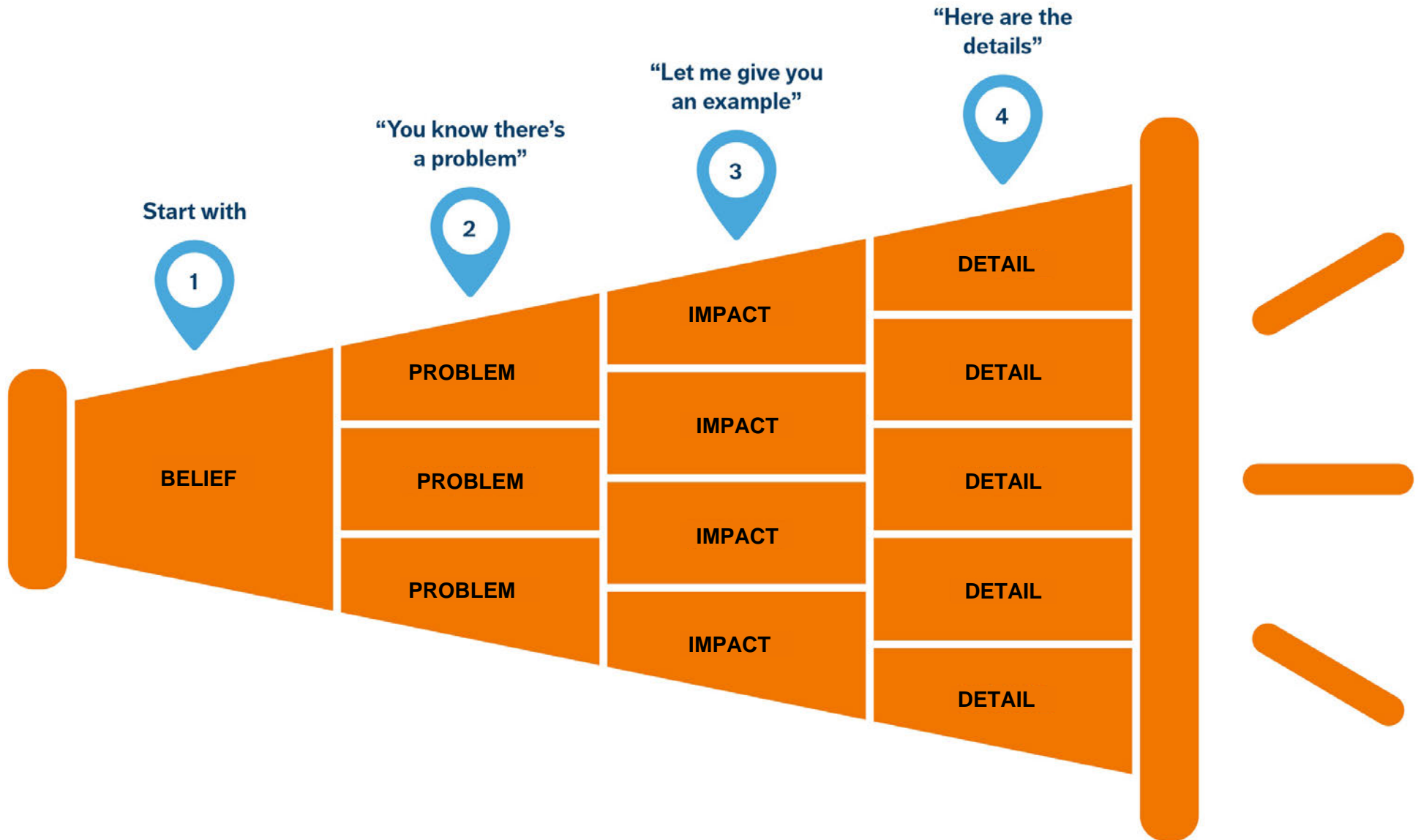
Data that supports his cause

What the parent portal needs from him:

Be an ambassador of the portal

Continue to support the portal

Key Messages



Key Messages

Belief Message

The Belief Message provides high-level information about the parent portal, sharing a sense of your vision and insight into why you are needed. It uses action verbs to **SHOW** what you do day to day. There is only one belief message, which should be memorized and used throughout the school.

Where to use your belief message: On the homepage of the portal and in all communications introducing the portal (handouts, grant applications, etc.).

Problem Messages

Problem Messages explain **WHY** the parent portal exists. They show the challenges in society and in locating quality early learning and childcare services that give rise to the need for your portal or they point to an opportunity that the portal uniquely seizes.

Where to use your problem messages: In communications that “make the case” for the portal (grant applications, pitches to supporters). Problem messages can also be effective communications on secondary pages of the portal and should help guide site navigation and user flow as they point to opportunities to make the experience better for parents and partners alike.

Key Messages (continued)

Impact Messages

Impact Messages show what happens as a result of the parent portal. Not a recitation of data points, these messages use personal examples to bring to life the impact the portal has had or will have in the future. Impact messages are anecdotes that illustrate, in a very human way, WHAT happens in the world when the parent portal accomplishes its aims.

Where to use your impact messages: In communications that show the impact of the portal (grant applications, pitches to supporters). Impact messages are powerful in social media and newsletter/e-newsletter communications to bring others into your WHY and move them to action.

Detail Messages

Detail Messages elaborate on HOW the parent portal works. These messages invite readers and listeners to engage with and benefit from the features and programs presented by the portal.

Where to use your detail messages: In informing the structure and features of the portal in its planning and funding phases. Detail messages are also powerful within the portal to help emphasize benefits of the features. Further, detail messages can be effective in a “portal 101” handout or guide as well as pop-ups for additional information within the portal.

Introductory Statement

The parent portal is California's one-stop website for up-to-date information on early learning and childcare services.

Belief Message

Every family in California needs to easily locate and assess the best in learning and childcare. With the parent portal, this reality is within a click.

By providing access to accurate information, the portal makes it simple to understand how to compare, apply for, and afford the best in learning and childcare right in your neighborhood.

Belief Message continued

Parent Ending: Because when you have up-to-date information in one spot, you can make informed decisions that are best for your young child and your family.

Provider Alternate Ending: Because when you share up-to-date information about your programs and openings, you can attract right-fit families, leaving more time for you to do what you do best.

Resource and Referral Alternate Ending: Because when you have up-to-date information in one spot, you can help families make informed decisions that are best for their young child and their family.

Belief Message continued

Supporter Ending: Because when families have up-to-date information in one spot, they can make informed decisions that are best for our children.

*To be used based on the audience

Belief Message continued

Why This Works

- Positions quality early learning and childcare as a basic right.
- Clearly identifies the benefits the parent portal provides to parents/guardians (decision makers).
- Hints at the local appeal/offerings of the portal though “your neighborhood.”
- Conveys the overall benefit of early learning and childcare without getting into the weeds.

Problem Messages

1. Start with the Belief Message
2. Next, add one of the following problem messages:

Problem messages are meant to answer the question:
“Why is the parent portal needed? Because...”

Problem Messages continued

Waitlists wreak havoc on planning (parents/guardians)

You're juggling a lot, and not knowing whether or not your child will get into a quality childcare or early learning program can be stressful. With up-to-date information and enrollment availability, you are empowered through the parent portal to make decisions and plan without wondering "what if."

Inconsistency of information and searching can drive you crazy (parents/guardians)

Trying to find accurate information about quality childcare and early learning programs in your neighborhood takes time and can be frustrating. You might give up searching or settle for less-than-ideal choices. Plus, what information can you believe? How will you know which reviews are accurate? It's easy to second-guess a decision if you're not sure what's truthful. That's exactly why the parent portal provides the most accurate information on childcare and early learning programs in one spot. Life's stressful enough—the portal makes planning for your young child's safety, care, and learning easier.

Problem Messages continued

Quality isn't clear-cut (parents/guardians)

It can be difficult to decipher what “quality” childcare and early learning mean. Quality to one person could mean something totally different to another. Add to this the daunting reality of trying to understand the intricacies of state licensing, professional qualifications, and safety protocols. You want the best for your child, but it's not clear what the “best” even means. That's why the parent portal unpacks all the lingo and criteria for you. By clearly outlining quality in terms of x, y, z*, the portal gives you all the information you need to make an informed decision, without all the confusion.

Early learning and childcare shouldn't be left to chance (parents/guardians)

Many things in life are contingent on who you know, where you live, or how much you make. Your child's learning and well-being shouldn't be. The parent portal puts all parents on the same playing field with equal access to the most up-to-date information about early learning and childcare. The portal ensures that your child's future isn't left to chance or luck; it's powered by information right at your fingertips.

*To be informed by specifics of the parent portal.

Problem Messages continued

You can start planning for the best now (parents/guardians)

As you look forward to welcoming your child into the world, you're thinking of everything you need to do to keep your child safe, fed, and loved. While there are lots of immediate needs your child will have, early learning options might not be on your mind. But studies show that learning starts from day one. Now's the perfect time to research the best in learning and childcare options for your unborn loved one. The parent portal makes it easy for you, offering accurate information you can trust about early learning and childcare options right in your neighborhood.

Problem Messages continued

We all want the same thing (providers)

Different programs, different needs, yet we all have one thing in common—we want to ensure our children have the best in early learning and childcare options. And that means not just filling all our open spots, but also making sure families find programs that fit their needs. The parent portal lets us all work toward the same goal, while ensuring kids get the best care and education right in their own neighborhood.

Waitlists send the wrong message (providers)

What if you no longer had a waitlist, but rather a funnel of right-fit families ready to enroll in your program when openings arise? And those right-fit families also had options—so if they didn't get into your program or if your program was full, they still had quality early learning and childcare options. The parent portal takes waitlists out of the equation and provides parents and guardians with up-to-date information on openings.

Problem Messages continued

Respect isn't easy to come by (providers)

Early childhood learning and childcare often get mistaken for babysitting. But you offer children so much more than protection while their parents are at school or work—you offer children the patience, guidance, and care to learn and grow in a safe environment. The parent portal highlights your professional approach to early learning and childcare and educates parents on the benefits. The portal helps parents value your services as more than babysitting—it positions you as partner in their child's development (something you've always been!).

You need more time to do what you do best (providers)

Of all the things that go into caring for California's children, administrative duties can sometimes be an afterthought. While documentation and adhering to best practices are necessary, we know that maintaining enrollment information may not be the first priority. The parent portal not only makes this process easier, but it also serves as a real-time marketing platform that promotes your programs. The portal makes it a breeze to stay up to date with your openings and ensure your program information is accurate so we right-fit families find you.

Problem Messages continued

The portal will enhance your job, not eliminate it (resource and referral)

You have been helping families find right-fit early learning and childcare services for years. And you have done it all while navigating various resources and relying on information that is often outdated or inaccurate. The parent portal is here to make your job easier and to truly ensure you have the most up-to-date information to best advise families. Imagine only needing to look in one place for enrollment information, openings, reviews, and more. Plus, the portal will make it easier for you to help families understand their choices and navigate to the resources that best meet their needs.

Your support matters (supporter)

We are on the brink of ensuring every family in California can easily locate and access the best in learning and childcare thanks to the parent portal. Now it's time to spread the word, encourage providers to participate, rally partners like your organization to continue to support the work, and educate families on how to utilize the portal. Together, we can make sure every child in California has the best in early learning and childcare!

Impact Messages

1. Start with the Belief Message
2. Next, share a Problem Message
3. Then, share an anecdote (Impact Message)

Anecdotes should be developed as the portal is launched and used. Anecdotes should reinforce the benefits the portal provides to key target audiences.

Impact Messages

As you develop anecdotes about the parent portal, you should follow the below formula for effective, compelling messages.

1. Introduce the characters
2. Introduce the problem and a hurdle or two
3. Position the parent portal as the solution
4. Show how the characters/situation improved with the parent portal
5. Explain why this could only have happened because of the parent portal

Detail Messages

1. Start with your Belief Message
2. Share a Problem Message
3. Tell an anecdote (Impact Message)
4. Expand on the specifics of your program via a Detail Message

(Note: You are in the strongest position to provide further specifics. Detail messages should link to clear benefits and reinforce elements of the portal.)

Your detail messages begin on the next page.

Detail Messages continued

Parent Portal / Reviews

When parents can rely on trustworthy information and reviews, they can more easily make informed decisions about early learning and childcare programs. With accurate, up-to-date information you can trust—all in one central place—the parent portal takes the guesswork out of finding and applying for the best learning and childcare options.

Tailored User Experience for All

When all parents can access early learning and childcare information that makes sense, they can find the programs and services that are best for their children and their families. The parent portal puts the parent at the center—it's built around the parent experience and takes into account language and cultural barriers that could leave some parents feeling confused or uninformed.

Referral capabilities

When early learning and childcare providers work together to find right-fit placements for kids, more of our children will learn and grow in settings right for their needs. The parent portal makes it possible for schools, providers, and community resources to share the most current information about enrollment, openings, and assistance so parents can make informed decisions and so kids get into the programs that best meet their needs.

Detail Messages continued

Staff recruitment

When potential staff can review early learning and childhood programs through the lens of parents, they can find careers that best fit their passions and expertise. The parent portal isn't just for parents—it's a central place to learn about quality early learning and childcare options across California. From parent reviews to search functionality, it helps users assess quality options with consistent, up-to-date information across all programs and providers.

Search functionality

When parents can easily search one site for reviews, curriculum, openings, program locations, and more, they can make informed decisions about early learning and childcare programs for their children. The parent portal places parents as the center of the search experience. The parent portal combines up-to-date, accurate information and reviews in one place so that families can easily find and enroll in the best learning and childcare options for their children.

Provider message: When parents can easily search one site for reviews, curriculum, openings, program locations, and more, they can make informed decisions about early learning and childcare programs for their children. The parent portal makes it easy for you to share updated information so you can spend your time doing what you do best, while attracting right-fit families to your programs.

Sound Bites / Key Phrases That Support the Portal

Sound bites and key phrases are powerful additions to the usual verbiage someone might use when talking about the parent portal, allowing speakers to retain their own style while improving the impact and “stickiness” of the messages received by their audiences.

- Within a click
- Early learning and childcare options in your neighborhood
- The best in learning and childcare
- The portal makes planning for your young child’s safety, care, and learning easier.
- Make an informed decision, without all the confusion
- We all have one thing in common—we want to ensure our children have the best in early learning and childcare options.
- Quality isn’t clear-cut.
- Early learning and childcare shouldn’t be left to chance.
- Partner in their child’s development
- Early learning and childcare information that makes sense
- More of our children will learn and grow in settings right for their needs.

Next Steps

Feedback and Testing

Melinda and team to test messages at Tuesday, October 29 work group. Melinda and team to *provide single-minded written feedback* to Mission Minded by Friday, November 8th.

Final Draft

Mission Minded to incorporate feedback and provide final messages by **Tuesday, November 19.**

Thank you.

Name of State	Site URL	Usability	Registration	Department	Information Provided	Notes
New Jersey	http://www.grownjkids.gov/ParentsFamilies/ProviderSearch	3	No	New Jersey Dept. of Human Services Division of Family Development	Rating: Distance: Program Type: Center-Based Setting County: License #: School District Program Name: Address Phone:	Rating System is not highly used. Each search is based on county or zip code. There is not link to a website for the provider. Most counties only have center based participants.
Vermont	http://www.brightfuture.vt.us/vtcc/reset.do?0Mmr3gjmkz13-SgYEiWekr3%3dxguw3YEa.aU7zaiu.xnn.xGOOF-Og-Gq%2bSS%256UOq%256UhS.0DGgwEkeUs3peYY.wjRszYgwUVm3kmLmkkUs_umUkYAgsUWVjUVm3mWgwkwmpwUVm31mLUjsegkz13SG0DqOqGqS0FOSD	4	No	Vermont Agency of Human Services, Department for Children and Families, Child Development Division	Provider Name Contact Information Town Program Type Last Updated Vacancy and Capacity Information Program Information Provider Schedule and Services Achievement and Accreditations Site Visits	This is the most comprehensive site I have found. It give up to date detailed information on many childcare providers.
New York	Broken into 7 regions with their own search but they all seem to use the same National Association of Child Care Resource and Referral Agencies site to host their search	1	Yes	Early Care & Learning Council	Business Name First Name Street Address City Phone Type Of Care Click here for More Info Days & Hours Medication - MAT Click here for More Info Transportation Special Needs Click here for More Info Meals Click here for More Info Environment Additional Care Services Financial Assistance	It seems to be all hosted by https://www.childcareaware.org/ but it is very difficult to use statewide. You need to link into from 7 different sites depending on your region. Not sufficient search filtering options
Hawaii	https://www.patchhawaii.org/	2	Yes	PATCH	Business Name First Name Street Address City Phone Type Of Care Click here for More Info Days & Hours Medication - MAT Click here for More Info Transportation Special Needs Click here for More Info Meals Click here for More Info Environment Additional Care Services Financial Assistance	Same host as NY. I was unable to get results

New Mexico	http://www.newmexicokids.org/parents-and-families-3/child-care-search/details/?id=4432	3		UNM Early Childhood Services Center, New Mexico Kids Resource and Referral	Name Address County Email Website Quality Rating Ages Served Hours of Operation Schedule Environment Special Needs Languages License ID: Type of Care Meals Financial Assistance Animals / Pets	
West Virginia	https://dhhr.wv.gov/bcf/Childcare/Pages/ChildCareSearch/Child-Care-Locator.aspx	3	No	West Virginia Department of Health and Human Resources- Division of Early Care	Agency Name Address 1 Address 2 City Zip Code County Phone DHHR Licensing Specialist License Type License Expires Contact Title Capacity Details Corrective Action Plans	It was really hard to find. Not sufficient search filtering options
Connecticut	https://search.211childcare.org/listings	4	No	2-1-1 Child Care	Phone Website Capacity Ages Served Hours of Operation Fees by Age Group Special Needs Experience Accreditations School Districts Languages Spoken Licensing Status	Very easy to find and use. The filter were straight forward. Only state with a comparison function

IT Requirements for Contractors

In the boilerplate for most CDE contracts, there is a section entitled "IT Requirements." This section contains language that requires contractors to adhere to specific standards for any "Web Product," which can be anything from a full-blown Web application or Web site to the development of a simple PDF document that must be posted to the Web. This language should also be included in RFPs and related documents to ensure that contractors are aware of their requirements prior to submitting a proposal. What follows is the IT Requirements language.

IT Requirements (revised 4/22/2010)

For contracts that require the Contractor to develop, modify or maintain any type of Web product (which includes but is not limited to a Web page, Web document, Web site, Web application, or other Web service), or contracts that include a Web product as a deliverable or result, Contractor hereby agrees to adhere to the following California Department of Education (CDE) standards:

1. All Web site and application pages/documents that can be seen by users must be reviewed and approved as required by the CDE's DEAM 3900 process. Contractor agrees to work through the CDE Contract Monitor for this agreement to ensure the DEAM 3900 process is implemented.
2. Web sites and Web applications must adhere to the appropriate CDE Web standards as specified at <http://www.cde.ca.gov/re/di/ws/webstandards.asp> (CDE Internet).
3. Contractor must provide the application and/or Web site source code, collected data, and project documentation in a form to be specified by the CDE according to the following time frame:
 - a. For new sites/applications: Within 30 days of implementation. For multi-year agreements, material must also be provided annually on the contract date anniversary during the contract period.
 - b. For existing sites/applications: Within 90 days of the contract renewal or amendment execution. For multi-year agreements, material must also be provided annually on the contract date anniversary during the contract period.
4. Contractor shall monitor the Web site/application on a monthly basis (or more frequently if necessary) to identify and correct the following issues:
 - a. Broken links

Early Learning Data Governance

- b. Data content
 - c. Usability issues
 - d. Circumstances where the contractual agreement is not followed
- 5. Contractor agrees to not violate any proprietary rights or laws (i.e., privacy, confidentiality, copyright, commercial use, hate speech, pornography, software/media downloading, etc.). Also, the Contractor agrees to make all reasonable efforts to protect the copyright of CDE content and to obtain permission from the CDE Press to use any potentially copyrighted CDE material, or before allowing any other entity to publish copyrighted CDE content.
- 6. Contractor agrees that any Web applications, Web sites, data or other files which may be needed to restore the system in the event of disaster are backed up redundantly, and that a detailed, tested plan exists for such a restoration.
- 7. Contractor shall provide the CDE with Web site usage reports on a monthly basis during the contract period for each Web page, document or file which can be viewed by users. Additionally, Contractor shall provide an easy mechanism for users to provide feedback on the site/application, such as a feedback form.