ANNOTATED BIBLIOGRAPHY

Research and Evaluation Capacity Building

A Resource Guide for Child Care and Development Fund Lead Agencies (Revised 2019)

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Introduction to This Resource Guide

The 2014 reauthorization of the Child Care and Development Block Grant (CCDBG) Act and related regulatory changes provide a key opportunity to evaluate the effect of Child Care and Development Fund (CCDF) policy changes on children, families, and providers, and on the operations of CCDF lead agencies. The Administration for Children and Families (ACF) has funded grants for CCDF lead agencies to plan an evaluation of these policy changes, build their research and evaluation capacity, and identify gaps in data to track child, family, and provider outcomes. Also through funding from ACF, the Urban Institute is supporting those grantees and other CCDF lead agencies as they plan and conduct rigorous research to inform new policies and initiatives in response to the 2014 CCDBG Act.

This resource guide contains a list of selected publications and other tools to support states, territories, and tribes seeking to build research and evaluation capacity. A previous edition of this resource guide, released in June 2018, can be found here: https://urbn.is/2L1DHun. This 2019 edition contains publications that were released or came to the authors’ attention after completion of the earlier edition.

For agencies that are new to evaluation or have limited research resources, the prospect of designing and implementing a high-quality evaluation may be daunting, especially given the abundance of available resources. This guide provides a concise, curated list of user-friendly and practical resources focused on tools with the greatest relevance to child care subsidy agencies. The guide sorts resources in each section alphabetically by title and includes tools categorized as follows:

- comprehensive resources on program evaluation
- logic models
- evaluation design and planning
- building organizational research and evaluation capacity
- working with evaluators
- working with administrative data

We encourage users of this bibliography to use the links to quickly scan most of the listed resources in a section to determine which best meet their particular need. In addition, many documents listed in the section “Comprehensive Resources on Program Evaluation” contain useful information on other topic areas. For users looking for an introduction to research and evaluation principles, we recommend starting with the material listed in that section. Although the guide is designed for CCDF lead agencies...
implementing policy changes in response to the reauthorization of the CCDBG Act of 2014, it can also serve as a general resource for state agencies, researchers, and technical assistance providers in child care and other human services sectors. We anticipate that this guide may be updated with new resources in 2020, following the approach to identifying and selecting resources outlined in the appendix. If there are resources you would like to suggest for inclusion, please write to CCDBGbibliography@urban.org.
Comprehensive Resources on Program Evaluation

This section includes comprehensive guides to program evaluation. Each tool covers multiple topics such as motivations for conducting evaluation, steps for planning and carrying out evaluation projects from start to finish, research and data collection methods, and other considerations, including staffing, stakeholder involvement, and cultural and contextual responsiveness. For a comprehensive introduction to research and evaluation principles, readers might consider *The Program Manager’s Guide to Evaluation or the Introduction to Program Evaluation for Public Health Programs: A Self-Study Guide*. Readers seeking a brief introduction to evaluation concepts might consider the *Systems Building Resource Guide 8: Program Evaluation and Continuous Quality Improvement or Thinking About How to Evaluate Your Program? These Strategies Will Get You Started*. 

The 2002 User-Friendly Handbook for Project Evaluation

This guide is aimed at education program managers seeking information to help manage evaluation projects and communicate with evaluators. The handbook includes chapters on the reasons for conducting evaluations and the types of evaluation, the steps in an evaluation (defining a conceptual model, research questions, and measurable outcomes; specifying the evaluation design; collecting data; conducting analysis; and reporting on findings), quantitative and qualitative data collection methods, and strategies for culturally responsive evaluations. It also includes a glossary of common terms and tips for finding an evaluator.


Introduction to Program Evaluation for Public Health Programs: A Self-Study Guide

This how-to guide is designed to help managers and staff in public, private, and community public health programs “plan, design, implement and use comprehensive evaluation in a practical way...[and] ensure
that evaluations meet the diverse needs of internal and external stakeholders.” The guide is organized around six steps: (1) engage stakeholders, (2) describe the program, (3) focus the evaluation, (4) gather credible evidence, (5) justify conclusions, and (6) ensure use of evaluation findings and share lessons learned. The guide includes worksheets and checklists for each of these steps. It may be useful for many organizations beyond the public health field, including CCDF lead agencies, seeking actionable information about how to engage in evaluation activities that meet the needs of a diverse range of stakeholders.


### The Program Manager’s Guide to Evaluation, Second Edition

This tool provides information to help human services program managers understand each step in the evaluation process so they can be actively involved in evaluation, whether assisted by outside evaluators or in-house agency staff. The guide addresses the following questions: Why evaluate your program? What is program evaluation? Who should conduct your evaluation? How do you hire and manage an outside evaluator? How do you prepare for an evaluation? What should you include in an evaluation plan? How do you get the information you need for your evaluation? How do you make sense of evaluation information? How can you report what you have learned? The guide also includes a glossary and list of additional evaluation resources.


### The Quality Rating and Improvement System (QRIS) Evaluation Toolkit

This toolkit for state CCDF administrators, early care and education practitioners, and others working on child care systems describes how a QRIS works, the importance of QRIS evaluation, and how to design and implement an evaluation of a QRIS. The guide includes QRIS-specific examples of key steps.
in the evaluation process, including logic models, research questions, data sources, and research design. Although its content and examples are very specific to the evaluation of a QRIS, the guide includes a comprehensive set of concepts that can be applied to a range of evaluation topics.


Systems Building Resource Guide 8: Program Evaluation and Continuous Quality Improvement

This short guide provides a general overview of program evaluation and continuous quality improvement for CCDF state administrators and other early childhood partners not familiar with evaluation. The guide covers the purpose of evaluation and common concerns and considerations, explains program evaluation in general (including the cost of evaluation and how to find an evaluator), and offers additional resources. This is the only resource included in this section that provides an overview of a continuous quality improvement process and the role of evaluation data in that process.


Thinking About How to Evaluate Your Program? These Strategies Will Get You Started

This article contains strategies human services program practitioners can use when preparing and implementing program evaluations. It defines important terms and offers practical ideas about (1) how to specify program activities, indicators, and outcomes of interest and (2) how to collect data on the indicators for the purpose of assessing the quality and quantity of program achievements. It employs illustrative examples for an early childhood education intervention and offers tips for adapting the examples to other types of initiatives.

Logic Models

A program logic model (or theory of change) serves as an important starting point in evaluation planning. Logic models are visual summaries of programs that articulate how key program features relate to expected outcomes. They can help evaluators define appropriate research questions, focus the evaluation design, and determine what data need to be collected about program inputs, activities, outputs, and outcomes. This section includes two types of resources: tools to help agencies develop logic models and examples of logic models used in prior child care research projects.¹

Developing a Logic Model

This short brief explains why public and private organizations should consider developing logic models and shows the connections between logic models and data collection plans. It includes descriptions of the basic components of logic models and data collection plans and provides examples for a hypothetical program to reduce child maltreatment.


A Guide to Developing an Outcome Logic Model and Measurement Plan

This presentation guides users through the steps needed to produce a logic model and related outcome measurement plan. It includes templates and examples relevant to early childhood education and after-school programs. Although prepared for nonprofit organizations, the concepts and tips are broadly applicable to the work of both public and private human services organizations.


¹ See also the sources cited in the “Comprehensive Resources on Program Evaluation” section, many of which contain chapters on logic models or theories of change.
Supporting Infants and Toddlers in Child Care, A Strategic Planning Approach: The Logic Model

This short presentation from the Supporting Family, Friend, and Neighbor Child Care Strategic Planning Tool Kit explains the role of logic models in strategic planning, defines the key elements in a logic model, and offers an example logic model for an infant/toddler specialist network. The tool is designed for states planning for the use of targeted infant and toddler funding.


Tips for Developing Logic Models

This poster presents brief guidelines for dealing with issues that commonly arise when developing a logic model. It tackles four common issues: what level of detail to include, which categories of information to include, how to distinguish between outputs and outcomes, and how to use a logic model to plan and evaluate a program. The resource is useful for program staff and leadership at a range of organizations.


Kellogg Foundation Logic Model Development Guide

This guide contains a comprehensive explanation of how to develop and use different types of logic models. Although targeted at nonprofit agencies, it provides practical tools—including exercises, examples, templates, and checklists—useful for any type of organization developing logic models and using them in evaluation design.

Examples from Child Care Research Projects

The following reports include examples of logic models developed for early childhood systems research projects:


Evaluation Design and Planning

This section includes resources to support agencies working to design an evaluation and write an evaluation plan. The resources are grouped into five categories: general resources, process evaluations, outcome evaluations, writing an evaluation plan, and evaluation questions and indicators.

General Resources

The Administration for Children and Families Common Framework for Research and Evaluation

This report describes six types of research and evaluation, aiming to inform potential Administration for Children and Families grantees about the rationale for choosing a given study type. For each type, the report defines the overarching purpose, the nature of evidence that can be obtained, and aspects of research design that contribute to high-quality evidence. It also provides examples of reports covering each type, including descriptive studies (foundational, exploratory, and design and development) and impact studies (efficacy, effectiveness, and scale-up).


A Framework for Evaluating Systems Initiatives

This paper supports stakeholders planning and evaluating early childhood systems initiatives. The paper defines five distinct areas of focus for systems initiatives; presents a “theory of change menu” that

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2 Process evaluation “examines the extent to which a program is operating as intended by assessing ongoing program operations and whether the targeted population is being served” (Office of Planning, Research, and Evaluation, 2010, The Program Manager’s Guide to Evaluation, Washington, DC: US Department of Health and Human Services, 100). Outcome evaluation is “designed to assess the extent to which a program or intervention affects participants according to specific variables or data elements. These results are expected to be caused by program activities and tested by comparison of results across sample groups in the target population. Also known as impact and summative evaluation” (Office of Planning, Research, and Evaluation, 99).

3 Many of the sources cited in the “Comprehensive Resources on Program Evaluation” section include chapters that also cover these topics.
outlines the types of activities, outcomes, and impacts associated with each focus area; and details the evaluation questions, designs, and methodologies that apply to each of the five focus areas.


### Qualitative Evaluation Checklist

This checklist helps evaluators determine whether qualitative methods align with their evaluation goals and provides information about factors to consider when planning a qualitative inquiry. The checklist covers a comprehensive set of topics, from aligning a specific qualitative approach with an evaluation’s expected uses to data collection, analysis, and reporting.


### Research Connections’ “Research Methods” Web Pages

These web pages offer a general orientation to research methods. The landing page includes a concise listing of different research designs, data collection methods, and analytic techniques. Links take readers to additional pages with more in-depth definitions of key concepts.

- “Study Design and Analysis,” Child Care and Early Education Research Connections, accessed October 2, 2017, [http://www.researchconnections.org/content/childcare/understand/methods.html](http://www.researchconnections.org/content/childcare/understand/methods.html).

### Selecting an Evaluation Approach

This short report discusses “programmatic and contextual factors to consider when choosing an evaluation approach, reviews the most common types of evaluation designs, and offers a critique of common myths and misconceptions regarding various evaluation designs and research methods.” Written for recipients of child welfare discretionary grants from the US Department of Health and Human Services, the concepts and examples are readily generalized to other issue areas.

Process Evaluations

Formative Evaluation Toolkit

This toolkit introduces formative evaluation and its use for evaluating implementation and early outcomes. It provides questions and resources to help programs prepare for formative evaluation and step-by-step guidance on designing and conducting formative evaluation. The toolkit was written for child welfare agencies to use in partnership with program evaluators, and it uses an example of a fictional child welfare agency implementing an in-home parenting visiting program. Yet it should be useful to other human service agencies.


This brief, part of a series on practical evaluation methods, provides a short overview of process evaluations. It describes why process evaluations are important and when they should be conducted, outlines steps to conduct a process evaluation, and includes an overview of an after-school program evaluation as an example. The brief is written for agencies that operate after-school programs but is also relevant for CCDF lead agencies and others interested in process evaluations.


Outcome Evaluations

Building Strong Evidence in Challenging Contexts: Alternatives to Traditional Randomized Controlled Trials

This meeting summary discusses alternatives to randomized controlled trials (RCTs). The three-page brief contains links to PowerPoint presentations on several rigorous alternative research designs for studying program impacts.


This report introduces randomized controlled trials (RCTs), including an overview of what RCTs are and when and why to conduct them, guidance on conducting RCTs, and common concerns associated with them. The report is intended to be used by human services programs.


Outcome Evaluation: A Guide for Out-of-School Time Practitioners

This brief provides an overview of outcome evaluations, describing why outcome evaluations are important and when they should be conducted and outlining steps to conduct an evaluation. The brief is written for child care program managers and funders.


Quasi-Experimental Evaluations

This brief examines different types of quasi-experimental designs for evaluations. It explains what can be learned from quasi-experimental designs, when they are useful, the different types of designs, and the risks and obstacles involved. The brief is written for child care program managers and funders.


This brief provides an overview of random assignment designs for evaluation studies, including why they are important and when they are useful, and explains the process of implementing random assignment evaluations in out-of-school time programs. The brief is written for child care program managers and funders.

Writing an Evaluation Plan

Designing Evaluations

This paper "introduces key issues in planning evaluation studies...to best meet decision makers' needs while accounting for the constraints evaluators face. It describes different types of evaluations...the process of designing evaluation studies, and key issues to consider toward ensuring overall study quality." The paper is intended to support the work of federal program evaluators in the US Government Accountability Office, but the guidance is also broadly applicable to state and local government evaluators.


Developing an Effective Evaluation Plan

This workbook describes what evaluation plans are, why they are important, what components to include, and how to develop effective evaluation plans. It provides detail on issues such as engaging stakeholders in planning, developing evaluation questions, choosing data sources and methods, budgeting, and disseminating results. In addition, it includes worksheets and other practical tools that can be used when developing an evaluation plan. The workbook is aimed at managers, administrators, and evaluators of public health programs, but the concepts, exercises, and worksheets are easy to generalize to other public programs.


Evaluation Plan Workbook

This workbook introduces the concepts and processes involved in planning a program evaluation. It walks users through the process of developing plans to evaluate a program's implementation and outcomes, including a series of specific action steps related to defining program activities, indicators for outputs and outcomes, and data collection methods. The document also includes two short evaluation plan templates, one for implementation evaluation and one for outcome evaluation. The templates can
be used to record information as users carry out the recommended action steps. The workbook is useful for anyone interested in understanding and implementing evaluation plans.


**How to Write an Evaluation Plan and Report**

This presentation offers a brief overview of the purpose and components of an evaluation plan and lists key considerations for addressing each component. The resource was developed for AmeriCorps grantees and is appropriate for staff involved in evaluation planning at various types of organizations.


**Quality Investments: How to Use Administrative Data and Other Sources to Evaluate What is Working, Slides from Webinar Sessions 1 and 2**

These two webinars are from a three-part series focused on evaluation of child care quality initiatives. The series is designed to help states and territories learn about options for evaluation, identify their own evaluation needs and opportunities, develop an evaluation plan, and report on findings. Session one in the series is an introduction to evaluation plans and use of evaluation in state planning and decisionmaking.

Session two focuses on data needed to implement an evaluation plan including information about how to determine data needs, identify data sources, and work with administrative and other data sources. Both sessions include examples from state quality improvement research projects.


Evaluation Questions and Indicators

Criteria for Selection of High-Performing Indicators: A Checklist to Inform Monitoring and Evaluation

This checklist provides criteria for assessing the quality of potential evaluation indicators. It is designed to facilitate a dialogue among stakeholders for indicator selection, ensure linkages between indicators and evaluation questions, and aid in the planning of data collection that reflects the intended use of findings. The resource is designed for use in the early stage of evaluation planning by staff responsible for evaluation and monitoring at various types of organizations.


Evaluation Questions Checklist

This concise checklist provides information about the characteristics of good evaluation questions. The tool is designed to "aid in developing effective and appropriate evaluation questions and in assessing the quality of existing questions." The resource is appropriate for use by staff involved in evaluation planning at various types of organizations.


A Practical Guide for Engaging Stakeholders in Developing Evaluation Questions

This guide describes a five-step process for engaging stakeholders in developing evaluation questions. It includes practical tips and worksheets to help organizations identify relevant stakeholders, choose among engagement approaches, and address challenges to working with stakeholders. The guide is written for organizations receiving grants from foundations, but the concepts are broadly applicable to any public or private agency seeking to develop research questions that support credible, relevant, and useful evaluation findings.

Building Organizational Capacity for Research and Evaluation

This section lists general resources on how to build organizational capacity for research and self-assessment tools that can help agencies identify and prioritize their capacity-building needs.

General Resources

Building Evaluation Capacity in Human Services Organizations

This brief defines evaluation capacity, explains why internal evaluation capacity is important, and describes specific steps organizations can take to build evaluation capacity. It is written for human service organizations and includes examples from both public and private agencies.


A Checklist for Building Organizational Evaluation Capacity

This checklist covers action steps organizations or agencies can take to increase their capacity to conduct and use evaluation as part of their regular operations. Topics covered include organizational context, structures that can build evaluation capacity, and resources for evaluation.


Self-Assessment Tools

Elements to Build Capacity for Evaluation and Accountability: Discussion Guide

This discussion guide is organized around six elements of capacity building for evaluation and accountability: establish a culture of accountability; develop a long-range strategic evaluation plan;
partner with researchers and experts; ensure data quality; engage families, community leaders, and legislators; and communicate results simply and often. The guide includes questions to support discussion among planning and stakeholder groups and suggested strategies for addressing each of the six elements. It was developed for Early Head Start–Child Care Partnership grantees.


Research and Evaluation Capacity: Self-Assessment Tool and Discussion Guide for CCDF Lead Agencies

This tool is designed to help CCDF lead agencies assess their research and evaluation strengths and needs. Part one invites agencies to consider how their organization is doing in seven major areas of research and evaluation capacity. Part two helps agencies define overarching goals for their capacity-building efforts.

Part three helps agencies articulate key questions about how to address the gaps and goals identified in the first two parts.

Working with Evaluators

This section includes resources with information and guidance related to selecting and working with internal and external evaluators.4

Community Toolbox, “Choosing Evaluators”

These web pages are part of a larger online publication designed to support community change and improvement efforts. This section focuses on considerations in choosing an evaluator, including how to decide between external and in-house evaluators and what to look for in an evaluator. Additional pages include suggested interview questions for prospective evaluators and a PowerPoint presentation summarizing key points from the main text. The resource is written for community-based organizations but is also appropriate for any type of organization interested in working with a program evaluator.


Five Steps for Selecting an Evaluator: A Guide for Out-of-School Time Practitioners

This brief, part of a series on practical evaluation methods, describes five steps for choosing an effective evaluator, including a discussion of trade-offs between working with internal and external evaluators. The brief also addresses the question of how much evaluations cost. It was developed for child care service delivery agencies interested in evaluation.


4 Many of the sources cited in the “Comprehensive Resources on Program Evaluation” section also include sections related to working with evaluators.
Guidelines for Working with Third-Party Evaluators

This comprehensive resource describes how to plan for, find, hire, and work with third-party project evaluators. The guide includes a needs assessment to help organizations decide if a third-party evaluation is needed or if the work can be done in-house. It also includes chapters on finding and hiring a third-party evaluator, monitoring and managing the evaluator’s work, and closing out the project. Subsections cover evaluation budgeting, developing a scope of work and request for proposals, contracting, and otherwise defining expectations for the evaluator. A brief evaluation primer is included as an appendix. The guide was developed for Department of Education Office of Special Education Programs grantees and project officers.


Hiring an Evaluation Consultant

This white paper describes six critical skills to look for in an evaluation consultant. It also includes strategies for finding an evaluation firm and improving the request for proposal process. The guide was developed for nonprofits, but the ideas are useful for a range of organizations interested in an innovative perspective on finding and assessing the qualifications of evaluation consultants.


Opportunities through State Agency Research Partnerships for Using Administrative Data to Support Early Care and Education

This report describes state early childhood agency research partnerships in three states: Georgia, Oregon, and South Carolina. One partnership includes an agency’s internal research team and two include external researchers. The report includes insights from members of these partnerships on the benefits and challenges of the partnerships and advice on sustaining them. The report also highlights how the partnerships have used administrative data to address questions of interest to state early childhood agencies.
Working with Administrative Data

This section includes resources with information and guidance related to working with administrative data, organized into four subsections. The “General Resources” subsection covers materials that offer an overview of key considerations in working with administrative data or data systems. It also includes links to three web pages offering additional resources. The “Data Management, Governance, and Linking” subsection contains resources that focus more specifically on how to work with administrative data. The “State Examples” subsection includes reports that summarize specific state experiences with administrative data, including the questions they seek to answer, their systems for collecting and managing administrative data, and key lessons learned. The “Indicator and Use Examples” subsection contains resources that offer lists of key administrative data variables relevant to the early care and education sector and presentations that offer an overview of general use cases for early childhood administrative data.5

General Resources

Answering Key Questions with an Early Childhood Data System

This document provides examples of questions states have sought to answer using statewide early childhood longitudinal data systems, explains the utility of specifying clear policy questions, and outlines how to do so. This product is intended for state policymakers interested in using and sharing early childhood data.


This tool helps state policymakers develop coordinated state early care and education data systems. The tool identifies six key policy questions states may want to answer and describes 10 fundamentals of systems for collecting and managing data to address those questions. The tool also outlines additional policies, practices, and structures that state policymakers must establish to ensure appropriate access to data and build stakeholder capacity to use data to guide decisionmaking. It also provides examples of

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5 Many of the sources cited in the “Comprehensive Resources on Program Evaluation” section also address issues related to working with administrative data.
how stakeholders throughout the early care and education system use data for continuous improvement.


**Considerations in Preparing to Analyze Administrative Data to Address Child Care and Early Education Research Questions**

This resource provides information to help new and experienced researchers and state program staff identify and address potential issues related to working with early care and education administrative data. The report contains sections on understanding the scope and limitations of administrative data, selecting variables to analyze, assessing the feasibility of the plan, preparing a data request, and developing and maintaining adequate data documentation.


**The Integration of Early Childhood Data**

This report is designed to help states better use early childhood program data to improve service delivery. The report puts forward a vision for integrated early childhood data systems and describes how states can use these systems in decisionmaking. The report also provides key considerations around integrating and linking data based on lessons learned from states engaged in developing data systems and from established best practices. Eight states engaged in this work are profiled. Appendices include information on federal supports for data integration, links to additional resources, and a summary of key data privacy laws and regulations that may affect early childhood data.

**Issues in Accessing and Using Administrative Data**

This brief provides an overview of key considerations for state agency staff and researchers accessing administrative data to conduct social policy research. The brief highlights four aspects of access: determining availability, receiving the data, merging datasets, and understanding what the data mean. It also discusses the importance of relationship building, capacity building, and valuing both confidentiality and access in overcoming challenges to working with administrative data.


**Putting Administrative Data to Work: A Toolkit for State Agencies on Advancing Data Integration and Data-Sharing Efforts to Support Sound Policy and Program Development**

This comprehensive resource is designed to help state early childhood agencies understand and strengthen critical components of their data and research infrastructure. The toolkit provides practical tips and illustrative examples organized around four “getting started” steps (secure commitment from agency leadership, determine enhancement needs, evaluate resources to address needs, and general project management/implementation guidelines) and four areas of infrastructure enhancement (data quality, data linking/integration, data access, and research capacity).


**Stacking the Blocks: A Look at Integrated Data Strategies**

This chapter in the BUILD Initiative’s e-book, *Rising to the Challenge: Building Effective Systems for Young Children and Families*, describes the goals state Race to the Top–Early Learning Challenge grantees established for their early learning data systems and lays out five building blocks for states to strengthen their data systems, including examples of state activities under each building block. The chapter also discusses obstacles and strategies for success drawn from the experiences of the grantees. This resource is useful for state early care and education staff seeking examples of efforts to develop early learning data systems to improve service delivery and child outcomes.
Web Pages with Additional Resources on Administrative Data

The following web pages provide additional resources on using early care and administrative data. Note that key resources from these web pages have already been selected for inclusion in the resource guide.


Data Management, Governance, and Linking

Confidentiality Issues: Addressing Questions about Sharing Data among Organizations

The Early Learning Challenge Technical Assistance program’s community of practice on developmental screening hosted this webinar. Experts discussed confidentiality issues around sharing developmental screening data and putting these data or other sensitive data on children into statewide databases. A written summary outlines key points on sharing data covered by federal privacy rules and regulations, as well as common questions and answers. This content is potentially useful for staff from organizations serving children who are interested in sharing sensitive data on the children they serve.

Data De-Identification: An Overview of Basic Terms

This document reviews key concepts and strategies around data de-identification (“minimizing the risk of unintended disclosure of the identity of individuals and information about them”) and provides explanations of key terms. The document is intended for state staff administering Individuals with Disabilities Education Act early childhood programs but is useful for anyone seeking to understand key privacy and confidentiality concepts as they apply to early childhood data.


Data Governance and Stewardship Data Governance Checklist

These resources are designed to help agencies establish data governance systems to ensure availability, confidentiality, and integrity of data. The first document is a brief that defines data governance and “lists the ten key components of a comprehensive data governance program and summarizes critical issues that should be considered when designing the program.” The second document is a checklist for agencies establishing and maintaining a data governance program. The resources are written for education agencies but serve as a useful starting point for those working on systems spanning early childhood and other issue areas.


Data Security Checklist

This resource is a checklist of critical components stakeholders should incorporate when developing a data security program (i.e., the management of technology, people, and processes to ensure security of organizational data). It also explains the importance of data security in an organizational data governance structure. This resource is intended for education agencies but is helpful for any stakeholder interested in building a data security program.

Determining the Feasibility of Using State Early Care and Education Administrative Data

This resource provides information to help new and experienced researchers and state program staff identify and discuss key considerations when working with early care and education administrative data. The report contains sections on data stewardship and management, data contracts and coordination, and data usability.


Early Childhood Data Governance in Action! An Introduction Initial Steps to Establish Data Governance

These two briefs provide an introduction to data governance and outline a list of initial steps for establishing an early childhood data governance structure. The first brief describes four central principles for effective data governance models and explains the roles and responsibilities of different groups and individuals involved in data governance. The second brief outlines the steps needed to establish an organizational structure, operational plan, and processes and decisions related to data governance for an early childhood integrated data system. The primary audience is state agency staff involved in developing early childhood data systems.


Research Practice Partnerships: Developing Data-Sharing Agreements

This web page offers resources related to developing data-sharing agreements between government agencies and institutions of higher learning. It includes answers to common questions about data-sharing agreements and links to sample agreements and other resources. The site is designed to support research–practice partnerships in educational systems.

Guidelines for Developing Data-Sharing Agreements to Use State Administrative Data for Early Care and Education Research

This resource provides guidance on preparing data-sharing agreements for the use of state early childhood administrative data. The resource also includes steps needed to develop a data-sharing agreement, components an agreement should have, links to additional resources on data-sharing agreements, and examples of data-sharing agreements. This guidance is supplemented throughout with advice from researchers experienced in developing data-sharing agreements.


Roadmap for Early Childhood and K–12 Data Linkages: Key Focus Areas to Ensure Quality Implementation

This report provides guidance for policymakers building data systems to understand whether state policies and programs are successfully preparing children for school. The resource highlights seven recommended areas for states to focus on: state capacity; data governance; privacy, security, and transparency; linking, matching, and sharing; data quality; data access and use; and stakeholder engagement. The report also includes examples of state efforts in each area. Although focused on supporting linkages between early childhood data and K–12 data systems, many of the principles are broadly applicable to all types of early childhood administrative data.

State Examples

A Look at Maryland’s Early Childhood Data System
A Look at Pennsylvania’s Early Childhood Data System

These two briefs are from of a series of case studies that “document states’ progress toward building and using early childhood data systems.” The briefs for Maryland and Pennsylvania each include an overview of policy, history, vertical and horizontal linkages, data access, reporting and use, and advice for other states.


Improving the Lives of Young Children through Data

This brief gives overviews of data integration projects undertaken in three states to inform policymaking relevant to families and young children. Each project used early childhood data to answer questions about how young children interact with public programs and systems.


Linking Early Childhood and K12 Data: A State Example from Kentucky

This brief provides an overview of how Kentucky is using data from its statewide longitudinal data system to examine the scope and impact of early childhood education. The resource details how research products resulting from these efforts are informing stakeholders in the early care and education field and offers best practices and lessons learned.

Maryland: Establishing Partnerships to Build Data Use Capacity

This brief provides guidance on how state agencies can partner with institutions of higher education to promote data-informed decisionmaking. It highlights lessons learned through a partnership between the Maryland State Department of Education and the Johns Hopkins University Center for Technology in Education around services for children with disabilities. The brief presents a list of state agency needs that are addressed by the partnership; describes benefits of the partnership for state agencies, institutions of higher education, and other stakeholders; and offers a list of guiding questions for state agencies considering a data use partnership with an institution of higher education.


Putting the Pieces Together: New York Early Learning Program Data Systems

This resource describes a process undertaken by a consortium of stakeholders in New York to assess the state’s capacity to answer a key policy question: Which children have access to high-quality early care and education programs? It offers an example to state agencies of how to conduct an inventory of early care and education data systems and variables as part of strategic planning for an integrated data system to support better understanding of a state’s early learning landscape.


Strengthening Workforce Data to Support Quality: State Spotlight on Oregon

This resource provides a case study of Oregon’s workforce data infrastructure and the state’s use of data to improve the early care and education workforce.

Sample Indicators and Use Examples

Core Data Elements for Early Childhood and School-Age Registries

This resource provides users with information about key workforce indicators that can be captured through administrative data systems, including definitions, purpose, and best practices for variable capture and management.


INQUIRE Data Toolkit

This toolkit is designed to help state administrators and researchers build data infrastructures to answer policy questions related to quality rating and improvement systems, other quality improvement initiatives, and professional development activities. The toolkit includes a linkages guide that outlines key research questions and a dictionary of common data elements. Stakeholders can use the toolkit as they identify priority questions, determine what data are and are not being collected, develop and implement a plan to collect necessary data elements, perform analysis, and use the results of those analyses.


The Role of Administrative Data within Economic Evaluation

This presentation provides an overview of different types of economic evaluation (cost, cost-effectiveness, cost-savings, and benefit-cost analysis) and administrative data sources applicable to each type. It also includes an illustrative example of an economic evaluation of an early childhood intervention.

The Role of the Policy Context in Using and Understanding Administrative Data

This presentation provides an overview of how the policy context (rules and policies, processes and procedures, and the broader environment programs operate in) shapes how administrative data are collected and defined, who is included in datasets, and how findings are interpreted. The content includes illustrative examples related to child care subsidy policy questions.

Appendix. Approach to Identifying and Selecting Resources for the Guide

The primary purpose of this resource guide is to support CCDBG Implementation Research and Evaluation Planning grantees and other state, territory, and tribal CCDF lead agencies seeking to build research and evaluation capacity by gathering the most relevant resources available to them in one place.

Search Methods for the Initial Version of the Guide

The guide presents resources in selected topic areas that we identified through four methods:

1. Scans of selected websites (focusing on those most likely to yield materials of use to CCDF lead agencies).
   - Resources from the US Department of Health and Human Services, Department of Education, and other initiatives
     - US Department of Health and Human Services, Administration for Children and Families (ACF), Office of Planning, Research, and Evaluation
     - ACF’s Early Childhood T/TA System
     - Office of Child Care’s Child Care State Capacity Building Center, Early Childhood Systems Building Resource Guide
   - BUILD Initiative
     - QRIS National Learning Network
     - INQUIRE Quality Initiatives Research and Evaluation Consortium
     - Design Options for Home Visiting Evaluation
     - Child Welfare Information Gateway
     - Working with Administrative Data (on the Child Care and Early Education Research Connections website)
» National Center for Education Statistics Statewide Longitudinal Data Systems Grant Program publications
» Regional Educational Laboratory Northeast and Islands at the Education Development Center
» Race to the Top–Early Learning Challenge Technical Assistance Center

- Websites focused on evaluation
  » Early Childhood Data Collaborative
  » The Evaluation Center at Western Michigan University
  » The Evaluation Exchange at Harvard Family Research Project
  » American Evaluation Association
  » Centers for Disease Control Program Performance and Evaluation Office

- National Science Foundation Online Evaluation Resource Library State government association websites
  » National Governors Association
  » American Public Human Services Association

2. Targeted keyword searches for relevant resources on the Child Care and Early Education Research Connections website using the following terms:
- research capacity
- evaluation capacity
- data sharing

3. Suggestions from project staff, the Office of Planning, Research, and Evaluation, CCDBG Implementation Research and Evaluation Planning grantees, other state and territory lead agencies, and other users of the guide.6

Follow-up on promising citations found in resources on the sites above and in another resource guide produced for child welfare agencies.7

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6 The first version of the guide only includes suggestions from project staff and the Office of Planning, Research, and Evaluation. Later updates will incorporate suggestions from these other sources.

Criteria for Selecting Resources

These search methods yielded thousands of potential resources. Because the purpose of this guide is to help CCDF lead agencies quickly identify tools that are most likely to meet their information needs, we established criteria to guide our decisions about which resources to list in the guide. In addition, we generally limited the number of resources to no more than eight in a given category or subcategory and chose to include the most relevant. Our criteria for inclusion were as follows:

- Is it relevant to one of the topic categories?
- Is it relevant for CCDF lead agencies?
- Is it user-friendly?
- Was it published after 2001? (This criterion may be relaxed if the resource meets a unique need that is not addressed by more recent resources.)
- Is it freely available online? (This criterion may be relaxed if the resource meets a unique need not addressed by a free, readily available resource.)
- Is it minimally duplicative of other resources included in the guide? (In cases where materials were duplicative, we selected the one that best addressed the other criteria.)

Periodic Updates

The resource guide was initially published in June 2018, based on a search of materials released before July 31, 2017. It has been revised to contain additional materials that were released or came to our attention by February 28, 2019. These additional materials were identified by reviewing resources added to Research Connections and the OPRE website between August 2017 and February 2019, using the criteria specified above. We focused on these two sites because searching them yielded nearly all of the resources included in the initial version of the guide.

We expect to release one more updated resource guide with additional or alternative resources, chosen in consultation with the project officer to best meet the needs of grantees and other CCDF lead agencies.
ABOUT THE CENTER FOR SUPPORTING RESEARCH ON CCDBG IMPLEMENTATION
This tool is a product of the Center for Supporting Research on Child Care and Development Block Grant (CCDBG) Implementation. The Center supports the Administration for Children and Families (ACF) in learning from research on policies implemented in response to the goals of the CCDBG Act of 2014. Through a contract awarded to the Urban Institute, ACF is helping Child Care and Development Fund lead agencies and their partners build capacity to conduct high-quality, rigorous research; informing the development of evidence on CCDBG programs; and facilitating learning from state-, territory- and tribal-level research on the CCDBG.

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