Public Reporting Policy Development Packet

Public reporting is the publishing of information that has no restricted access. Information or data that contain personally identifying information cannot be released in public reports. Public reports are generated to: (a) meet federal reporting requirements, (b) meet state reporting requirements, (c) address local and state program accountability and improvement needs, and (d) provide information to the general public. A public reporting policy should describe methods for aggregation and de-identification of data to maintain child and family privacy as well as a process for the review of public reports to ensure compliance with these policy requirements. Please see the DaSy Data Governance and Management Toolkit for more information on Public Reporting Policies and other data governance policies.

How to Use This Packet

1. Review and Complete the Considerations Worksheet for Public Reporting Policy

The considerations include questions about general policy implementation and the procedures associated with work covered by this policy. A team knowledgeable about this content and the procedures should convene to discuss these considerations. The team assembled should, include but not necessarily be limited to relevant and knowledgeable Part C or Part B 619 staff. (Others might include, IT, broader data governance committee members, etc.)

Each lettered consideration in this worksheet references a corresponding number in the Public Reporting Policy Template. Consideration-specific notes should be captured on this worksheet and be used to refine the applicable section of the Public Reporting Policy Template. After reflection and discussion by the team, a Part C or Part B 619 program may opt to exclude consideration content in their final policy.

1. Use Responses to the Considerations to Complete the Public Reporting Policy Template

The Public Reporting Policy Template is a fully modifiable document so that the resulting policy can be adapted to align with other states policies. Where appropriate, some basic content is included in the template; however, the content can and should be edited, added to, or deleted so the resulting policy accurately reflects the Part C or Part B data governance in this area. It may also be helpful to add links to policies referenced within the template.

The Public Reporting Policy Template has 12 sections and there are one or more considerations that relate to each section. Sections vary in their depth and complexity, but all are important to fully describe the policy and the data governance and procedures covered by the policy. Each numbered section in this template references a corresponding letter in the Considerations Worksheet for Public Reporting Policy. Once the policy is completed, there is no need to keep the lettered cross references to the associated considerations.

If you have questions about or would like assistance with this work, please contact: DaSy‑Center@sri.com

Considerations Worksheet for Public Reporting Policy

| Considerations Worksheet for Public Reporting Policy  |
| --- |
| *Considerations* | *Template Section* | *Notes/Status* | *Draft Language* |
| 1. Which federal laws/regulations (IDEA and FERPA) related to public reporting apply to the Part C or Part B 619 program?
 | 1.1 | *See policy template for draft language.* |  |
| 1. What, if any, additional state agency policies related to public reporting apply to the Part C or Part B 619 program?
 | 1.2 |  |  |
| 1. What specific Part C or Part B 619 policies or procedures, if any, exist and apply to public reporting?
 | 1.3 |  |  |
| 1. When did/does this policy take effect?
 | 2 |  |  |
| 1. Which Part C or Part B 619 role should be contacted for more information on this policy?
 | 3 |  |  |
| 1. How frequently will this policy be reviewed and, if needed, updated?
 | 4.1 |  |  |
| 1. What mechanisms will be used to collect user and other stakeholder input for consideration in the review and possible revisions to this policy?
 | 4.2 |  |  |
| 1. Where can the public access this policy?
 | 5.1 |  |  |
| 1. How will interested members of the public be informed of this policy?
 | 5.2 |  |  |
| 1. What parties (including participating agencies) will be required to follow this policy?
 | 6 |  |  |
| 1. What is the purpose of the Public Reporting Policy?
 | 7 | *See policy template for draft language.* |  |
| 1. What is the definition of public reporting?
 | 8 | *See policy template for draft language.* |  |
| 1. What data systems and data reported from these systems are covered by this Public Reporting Policy?
 | 9 |  |  |
| 1. Which role is responsible for establishing and managing policies and procedures related to this policy?
 | 10.1 |  |  |
| 1. Which role is responsible for monitoring adherence to this policy?
 | 10.2 |  |  |
| 1. Which role is responsible for addressing questions regarding this policy?
 | 10.3 |  |  |
| 1. Which role is responsible for securing or providing training and technical assistance on data public reporting?
 | 10.4 |  |  |
| 1. Which role is responsible for addressing failures to adhere to this policy?
 | 10.5 |  |  |
| 1. Which role is responsible for receiving reports of violations of this policy within the agency?
 | 10.6 |  |  |
| 1. Which role(s) is responsible for ensuring that the public report to be published does not include PII? (E.g., Display of data—crosstabs, subgroups, cell size.)
 | 11.1.1 |  |  |
| 1. Which role is responsible for informing the public when a report is posted/ substantially changed/ corrected?
 | 11.1.2 |  |  |
| 1. Which role is responsible for reviewing new or updated reports to ensure that only de-identified data are reported and that the report user cannot identify individual children or families?
 | 11.2.1 |  |  |
| 1. Which role is responsible for receiving reports of accidental release of PII or violations of minimum cell or n-size rules and initiating Data Breach Response Policy procedures?
 | 11.2.2 |  |  |
| 1. Which role is responsible for trainings to support public reporting?
 | 12.1 |  |  |
| 1. Which role is responsible for documentation to support public reporting?
 | 12.2 |  |  |
| 1. Which role is responsible for collecting user input to support public reporting?
 | 12.3 |  |  |

Public Reporting Policy Template for
NAME OF PART C/PART B 619 PROGRAM

1. Requirements
	1. NAME OF STATE is federally required to collect and report PART C OR PART B 619 data and collects such data through data systems noted below in section 9, Policy Application. The federal requirements (statutes/regulations/rules/policies) that apply to public reporting of data/information: (a)

34 CFR Part 303 – Part C Regulations

34 CFR 303.701(c)

34 CFR 303.702(b)(1)

34 CFR 303.702(b)(2)

34 CFR 303.702(b)(3)

34 CFR 303.720

34 CFR 303.72134 CFR 303.722

34 CFR 303.724

34 CFR Part 300 – Part B Regulations

34 CFR 300.601(b)(1)

34 CFR 300.602(b)(1)

34 CFR 300.602(b)(2)

34 CFR 300.602(b)(3)

34 CFR 300.640

34 CFR 300.642

* 1. The state requirements (statutes/regulations/rules/policies) that apply to public reporting are: (b)

*(insert relevant state requirement)*

*(insert relevant state requirement)*

* 1. The PART C OR PART B 619 policies or procedures that apply to public reporting are: (c)

*(insert relevant Part C or Part B 619 policy/procedure)*

*(insert relevant Part C or Part B 619 policy/procedure)*

1. Effective Policy Date

*(insert date)* (d)

1. Point of Contact

*(insert Part C or Part B 619 role or other contact as applicable)* (e)

1. Revisions

4.1 The Public Reporting Policy will be reviewed and updated as needed/or *(insert frequency).* (f)

4.2 PART C OR PART B 619 will collect users and other stakeholders’ input through the following mechanisms to review and revise public reporting policies and procedures. *(insert mechanisms)* (g)

4.3 Below is a listing of all policy revisions completed to date: *(insert version number, date, and associated notes)*

1. Access

5.1 The Public Reporting Policy will be available to the public at *(insert URL).* (h)

5.2 Interested members of the public will be informed by *(insert mechanisms)*. (i)

1. Relevant Parties

This policy applies to those who collect, maintain, use, manage, operate, report or are otherwise active in the control of data used in public reporting regardless of format. This includes staff from NAME OF LOCAL AND STATE PROGRAMS/AGENCIES. All local and state programs, agencies, contractors, and staff identified in this policy must adhere to this policy. (j)

1. Purpose

The purpose of this public reporting policy is to establish authority and a process for ensuring protection of PART C/PART B 619 personally identifiable information (PII) and other important data when publicly reporting data/information from the PART C/PART B 619 PROGRAM NAME. (k)

1. Definition

*Public reporting* is the publishing of information that has no restricted access. Such publicly reported data do not contain PII.

*Personally identifiable information* (PII) as defined by FERPA regulations at 34 CFR 99.3 includes information that can be used to distinguish or trace an individual’s identity either [directly](https://studentprivacy.ed.gov/glossary#glossary-node-210) or [indirectly](https://studentprivacy.ed.gov/glossary#glossary-node-227) through linkages with other information (e.g., name, address, student ID, birthdate, social security number). (l)

1. Policy Application

The following PART C/PART B 619 PROGRAM NAME data systems are covered by this Public Reporting Policy. (m)

| Data System | Description |
| --- | --- |
| *(data system name)* | *(description)* |
| *(data system name)* | *(description)* |
| *(data system name)* | *(description)* |
| *(insert data systems as needed)* | *(description)* |

1. Responsibilities

The table below outlines the specific responsibilities and roles related to public reporting.

| Responsibilities | Data System | Role Responsible (by data system) |
| --- | --- | --- |
| 10.1 Establish and manage procedures related to this policy. (n) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| 10.2 Monitor adherence to this policy. (o) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| 10.3 Address questions regarding this policy. (p) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| 10.4 Secure or provide training and technical assistance on data requests. (q) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| 10.5 Address failures to adhere to this policy. (r) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| 10.6 Receive reports of violations of this policy within the agency. (s) | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |
| *(insert other responsibilities as needed)* | *(data system name)**(data system name)* | *(role responsible)**(role responsible)* |

1. Procedures

The table below includes the procedures used to support this Public Reporting Policy.

| Procedures | Role Responsible |
| --- | --- |
| 11.1 Data Reports Planning and Management  |  |
| 11.1.1 Review information in Part C/Part B 619 reports prior to release to ensure protection of PII. (t) | *(role responsible)**(role responsible)* |
| 11.1.2 Inform the public when a report is posted/ substantially changed/ corrected (e.g., email, announcement on webpage). (u) | *(role responsible)**(role responsible)* |
| 11.2 Data De-identification/ Disclosure Avoidance |  |
| 11.2.1 Review new or updated public reports containing Part C/Part B 619 data prior to publication to ensure that only de-identified data are reported and that the report user cannot identify individual children or families. (v) | *(role responsible)**(role responsible)* |
| 11.2.2 Receive reports of accidental release of PII or violating minimum cell size and initiate Data Breach Response procedures (if applicable). (w) | *(role responsible)**(role responsible)* |
| *(insert additional responsibilities as needed)* | *(role responsible)**(role responsible)* |

1. Responsibilities for Supporting Public Reporting Policy

The table below includes the roles responsible for the tools and supports for this Public Reporting Policy.

| Responsibilities | Role Responsible | Location |
| --- | --- | --- |
| 12.1 Training(s) that support this policy. (x)*(Training 1 name and description)**(Training 2 name and description)**(Include all trainings)* | *(role responsible)**(role responsible)* | *(insert URL training location)* |
| 12.2 Documentation that supports this policy. (y)*(Document 1 name and description)**(Document 2 name and description)**(Include all documents, including any applicable forms or reports)* | *((role responsible)**(role responsible)* | *(insert URL document location)* |
| 12.3 User input that is collected and used to support this policy. (z)*(User input 1 description of input)**(User input 2 description of input)**(Include all user inputs)* | *(role responsible)**(role responsible)* | *(insert URL or location with applicable content)* |
| *(insert additional tools/supports as needed)* | *(role responsible)* | *(insert URL or location with applicable content)* |