



Task Force on State Agency Collaboration and Data Sharing

Action Plan

Table of contents

Governor’s letter.....	ii
Section 1: Executive summary.....	01
Section 2: Recommendations.....	05
Recommendation 1.....	06
Recommendation 2.....	09
Recommendation 3.....	12
Recommendation 4.....	14
Recommendation 5.....	15
Recommendation 6.....	16
Funding recommendations.....	17
Potential statutory changes.....	20
Conclusion.....	21
Appendix A.....	22
Appendix B.....	24
Appendix C.....	28
Appendix D.....	36

The Honorable Spencer J. Cox,

Over the past six months, the Task Force on State Agency Collaboration and Data Sharing has been meeting, as required in Executive Order 2023-01. This Task Force, which is composed of several members from your Cabinet, has met monthly to develop the following plan. This plan supports the goal of your administration to have a first-in-class customer experience for those engaging with the state government. To that end, it is responsive to the basic premise of the order which is that in order to ensure all Utahns have the opportunity to experience the highest quality of life, the state government must be collaborative, flexible, efficient, and citizen centered.

The following plan meets the requirements outlined in the executive order. It was developed collaboratively amongst the Task Force members and many state employees who served in critical work groups to address the following issues: data sharing, legal matters, operational issues, budget and finance.

The Task Force and its working groups engaged in extensive research, which included meeting with states across the country that have already developed state infrastructure to engage in data sharing, collaboration and shared responsibility in serving residents. Significant attention was given to balancing the need of government to collect and share data to develop a citizen-centered state government with an individual's right to privacy with respect to involvement with government departments and programs. The plan includes several recommendations regarding this issue, as well as recommendations regarding next steps to establish the necessary infrastructure to realize the objectives of the executive order. While some recommendations may be implemented in the near term, many of the recommendations will require further development and refinement over the course of several years.

We are grateful to you and Lieutenant Governor Henderson for entrusting the Task Force with the important objectives and directives of the executive order. At your direction, we all stand ready to continue our work in advancing objectives and recommendations contained in this plan.

Sincerely,

Task Force on State Agency Collaboration and Data Sharing



Section 1: Executive summary

While Utah is ranked among the best states in the nation for upward mobility, economic indicators, and health; Utahns are still confronted with significant challenges. These challenges include a lack of affordable housing, increasing poor mental health, and rising economic challenges such as inflation, higher costs, and a limited labor supply.

Whereas, Utah is ranked among the highest in the nation for economic strength, growth, employment, fiscal stability, health care, and education;

Whereas, notwithstanding these achievements, Utah's residents face significant challenges, examples of which include affordable housing, mental and physical health, high suicide rates among adolescents and teens, increasing rates of early death in adults 65-74, inflation, and environmental challenges including air quality and water supply;¹

Addressing challenges while maintaining Utah's high quality of life requires a flexible, efficient, and citizen-centered state government that is responsive to the needs of Utahns. Seeking the most efficient use of resources within the executive branch by bolstering state agency collaboration and cooperation is essential to providing Utah citizens with the highest quality government services and an effective state response to the difficult issues Utahns face.

Creating a responsive, efficient, and human-centered system requires leveraging data to inform decision-making and effectively target resources; a no-wrong-door, customer-focused government system; and the removal of financial and regulatory barriers at the state and federal level to meet the needs of citizens.

Much work has been done in Utah to try and address complex social issues such as poverty and economic stability, domestic violence, prison recidivism rates, and homelessness. Many state agencies, task forces, and other groups have collaborated and collected data to help address these challenges including the work done on intergenerational poverty, homelessness, and criminal justice. However, data sharing and inter-agency collaboration continue to encounter barriers.

Whereas, opportunities exist to strengthen collaboration across state agencies through the sharing of resources, research, evaluation, information, and data among agencies;

Whereas, strengthening collaboration and expanding information and data sharing among state agencies will enable state government to better address challenges facing Utahns and provide Utahns the best services possible;²

¹ [Executive-Order-2023-01-1](#)

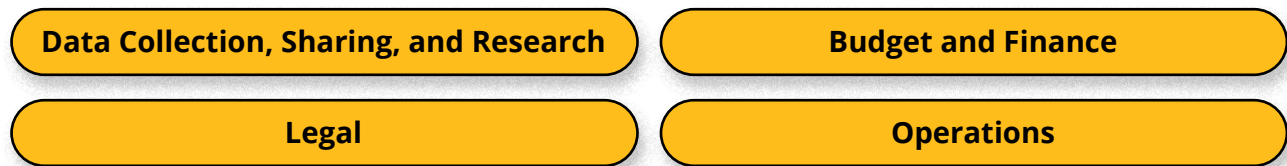
² [2023-01-1](#)

On February 1, 2023, Governor Spencer Cox issued Executive Order (Order) 2023-01, creating a time-limited Task Force on state agency collaboration and data sharing.³ Under the Order, the Task Force on State Agency Collaboration and Data Sharing was directed to create an action plan with concrete steps to strengthen state agency collaboration and expand information and data sharing across state agencies to better address challenges facing Utahns and provide Utahns the best services possible.

The Task Force began its work in February 2023. During the initial phase, the Task Force agreed upon the scope and structure of the work. The initial Task Force meeting in February resulted in two action items for the Task Force members to complete: selecting high-level issues that cross multiple state agencies to help build a scope-defining case study and identifying additional staff to include to help move the work forward.

A survey of Task Force members was conducted to focus efforts and to develop the plan around issues that overlap their respective agencies. The survey results indicated an interest in better understanding levers leading to economic instability among Utahns, including poor mental health, incidence of domestic violence, and homelessness. A case study was developed around these levers to facilitate discussion and identify a focus.⁴

Additionally, four work groups were established that included Task Force members and staff they identified from their respective agencies. The work groups comprised four target areas:

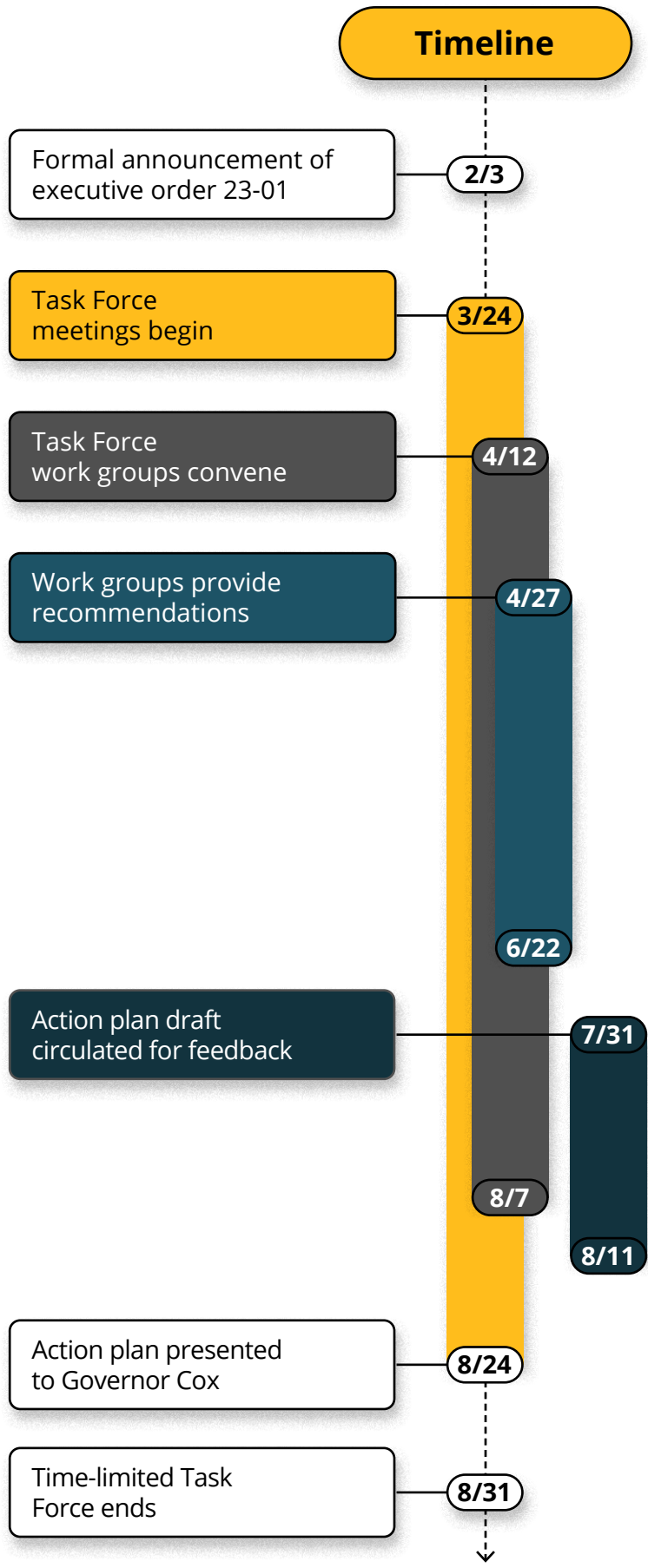


The work groups scheduled bi-weekly meetings to work through the requirements and provide recommendations for the Task Force to consider.

The recommendations from the work groups led to strategic decision points for the Task Force to consider. The resulting action plan contains recommendations for foundational activities including governance, planning, and infrastructure; adopting standard policies and procedures across agencies; the expansion of statewide data analytics capabilities; resolving legal barriers; and options for funding sources to advance the recommendations.

³ Appendix A. Task Force Members

⁴ Appendix B. Case Study Proposal



While there are many interagency efforts underway in Utah, efforts to establish partnerships and collaboration between agencies have continued to encounter obstacles. The Task Force identified multiple foundational barriers including:



Section 2: Recommendations

Recommendations in brief

- 1 Establishment of a long-term coordinated governance structure to oversee an enterprise model of sharing data across agencies.
- 2 Investment and development of a state government data analytics center.
- 3 Development, maintenance, and agency support of standardized statewide records management policies and procedures.
- 4 Require agencies to maintain accurate data inventories.
- 5 Development of statewide standardized data request form and data-sharing agreement templates.
- 6 Development of a standard framework for legal analysis.

Recommendation 1:**Establish a coordinated governance structure**

A thoughtfully established governance system can reduce the risk to individual agencies through shared decision-making, increase transparency about data-sharing agreements, and enable learning across agencies.

Implementing a statewide enterprise collaboration and data-sharing model highlights inherent conflicts in access, ownership, decision-making powers, and inconsistent policies and procedures.

For years, agencies have provided unique programs and services to the public, setting up a multitude of built-in data silos that cannot communicate with each other and are hard to break down. Sharing data across agencies breaks down those silos and helps the government to operate as a statewide enterprise rather than a collection of agencies.

A well-designed data governance program typically includes a governance team, a steering committee that acts as the governing body, and a group of data stewards. The governance team, governing body, and the data stewards work together to create the standards and policies for governing data, as well as implementation and enforcement procedures that are primarily carried out by the data stewards.

As the work of the Task Force progressed, the Data Collection, Sharing, and Research work group and the Operations work group determined that lack of centralized ownership and guidance has made it difficult for agencies to break out of their silos. Without direction or a centralized resource, agencies are left to make their own determinations. There is no one entity advocating for funding or for work to progress on large-scale solutioning of cross-agency issues, nor is there any consistent resource to provide technical assistance as laws or policies conflict, or where technology is inadequate.

The Task Force determined that establishing an interagency governance structure with clearly defined ownership, roles, and responsibilities is critical to enabling executive branch agencies to operate with consistent and well-defined policies and procedures.

At minimum, the Task Force recommends the following:

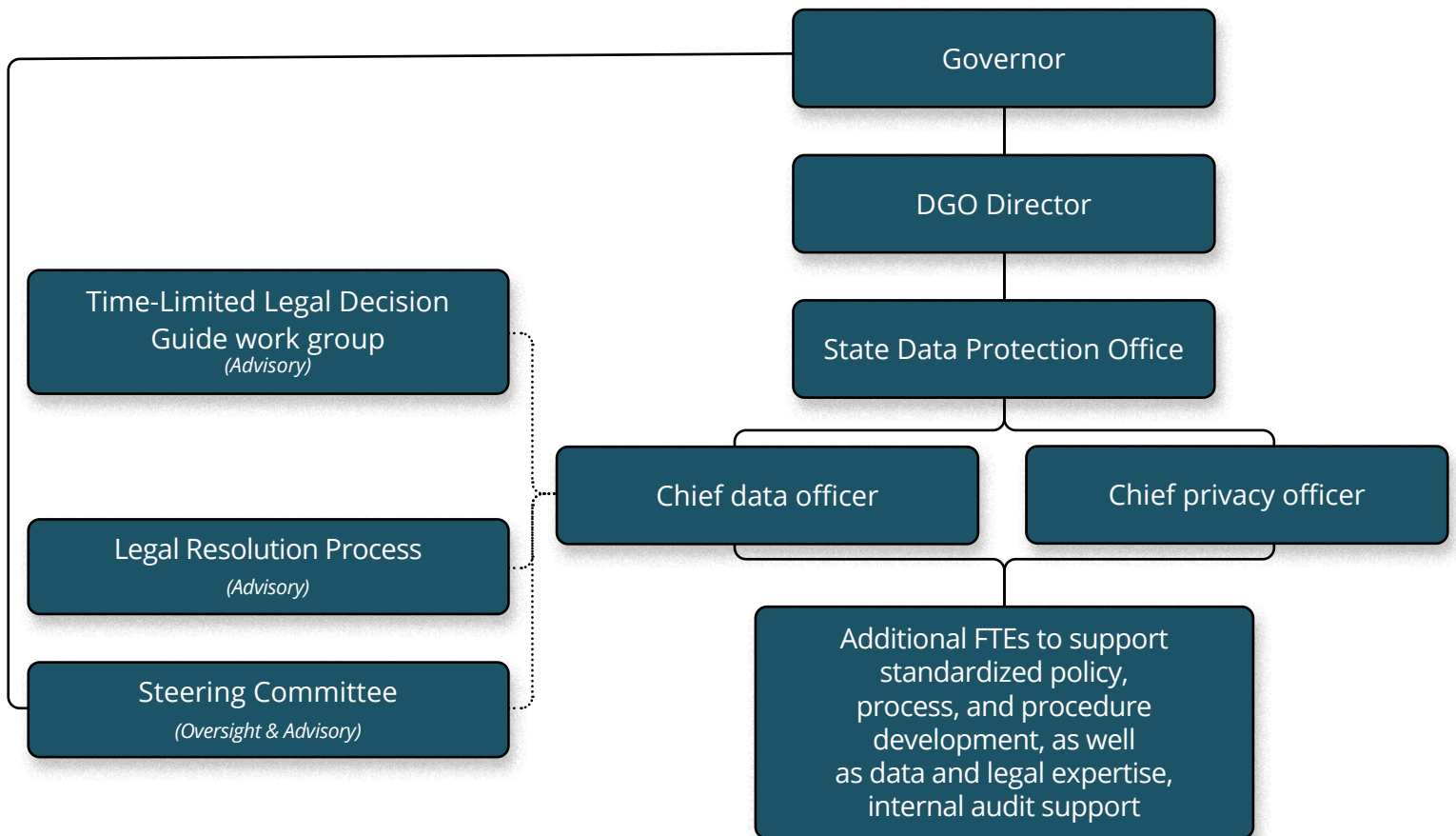
- Creation of a State Data Protection Office.
- Appointment of a State Data-Sharing Officer.
- Additional FTE support for evaluating funding mechanisms and waiver requirements.
- Creation of a Steering Committee that includes representatives from all Executive branch agencies.

A successful governance process must include the following six common attributes:⁵

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

Proposed governance structure

The Task Force recommends implementing, through an Executive Order, a long-term governance structure for this purpose with a defined governance structure and process. The governance structure should include the following components:



1. A State Data Protection Office housed within the Department of Government Operations (DGO)
 - Appointment of a state data-sharing officer to be housed within the Data Protection Office.
 - Additional FTEs to support standardized policy, process, and procedure development as well as data and legal expertise.
 - Internal audit support.
2. A Utah Enterprise Data-Sharing and Collaboration Steering Committee
3. Under the guidance of a Steering Committee, DGO shall have primary responsibility for implementing a state enterprise data-sharing program within the executive branch of state government.
4. The following shall be represented on the Steering Committee:
 - Each department shall designate a representative with decision-making authority;
 - The state data-sharing officer, shall serve as the chairperson of the Steering Committee;
 - The Governor's Office of Planning and Budget;
 - The Chief privacy officer;

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- The state archivist; and
 - The Attorney General's Office may designate a representative.
5. The Steering Committee shall consult with the Personal Privacy Oversight Commission as established by Utah Code Annotated §63C-24-201 to ensure best practices.
 6. The Steering Committee shall carry out advisory functions for DGO including:
 - Evaluating and promoting enterprise level projects that aim to address challenges facing Utahns and provide all citizens with the best services possible.
 - Reviewing and recommending policies and procedures to be implemented by state departments and agencies to assure compliance with state and federal privacy laws and the promotion of effective information security and privacy.
 - Recommending strategies to enhance awareness, education, and understanding of information security best practices and online measures intended to protect the personally identifiable information (PII) of residents of this state.
 - Identifying information security and privacy protection risks within state government regarding data-sharing practices, and recommending risk mitigation strategies, methods, and procedures to be adopted by state departments and agencies to lessen these risks.
 7. The Steering Committee shall provide an annual report to GOPB that will include:
 - Recommendations for funding when necessary.
 - Progress on accomplishing the goals and responsibilities of the program.

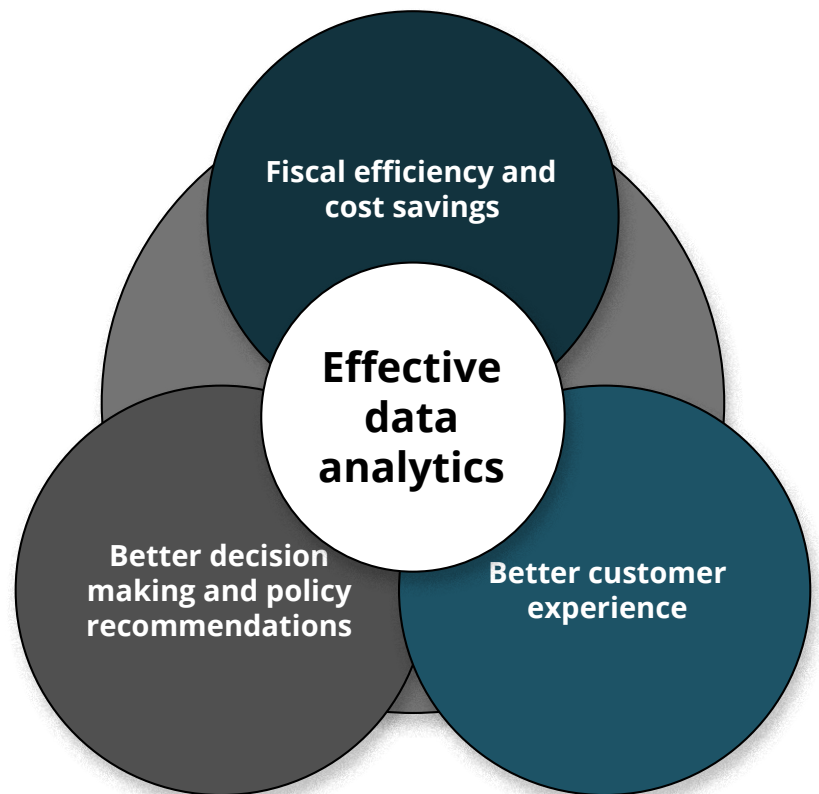
Recommendation 2:**Establish a Utah data analytics center**

State executive branch agencies collectively manage a lot of data. Currently, the data collected is managed by each state agency with data sharing across state agencies occurring on a limited basis. Through strengthened collaboration and expanding information and data sharing among state agencies, the state government will become better informed and equipped to address challenges facing Utahns and provide Utahns the best services possible.

The data managed throughout the state provides a magnitude of potential insight into needs, trends, costs, risk drivers, and efficiencies that should be used to power better decision-making, reduce risks, and leverage opportunities for improvement and growth. However, without the processes and technology for bringing the data together in a meaningful and secure way, it does not matter how much data the state manages.

The proposed governance structure outlined in the first recommendation provides the administrative infrastructure and helps identify opportunities where data sharing and integration will generate greater efficiencies and improve service delivery by state agencies, institutions, and departments.

The next pieces of the puzzle are the technological and human resources needed to help agencies transform existing data assets into an information utility⁶ for the state's policy and operational leaders. Information utility is vital if leaders are to make the best program investment decisions, appropriately manage resources, and improve financial programs, budgets, and results.

**Similar to the GDAC, Utah's structure could support myriad projects including:**

- Detecting and preventing fraud, waste, and improper payments.
- Employee misclassification and underground economy harm mitigation.
- The Criminal Justice Law Enforcement Automated Data Services (CJLEADS).
- Criminal investigative case management.
- Sex offender compliance alerting program.
- Child Welfare ASSIST (CWA) application.
- Juvenile justice recidivism dashboards, service directory catalog, and service directory integration with CJLEADS.

⁶ Information utility means the end data product supplies the end-user with information that is useful for intended purposes.

The Task Force met with North Carolina's chief data officer to learn about their state's Government Data Analytics Center (GDAC). The Task Force determined that a similar infrastructure with all of the relevant technology is a model the Task Force recommends adopting.

The key function of the GDAC is the management of data sharing and integration initiatives, including identifying opportunities where data sharing and integration can generate greater efficiencies and improve service delivery by state agencies, institutions, and departments.

A deep dive into the functions and capabilities of North Carolina's GDAC led to researching existing resources within Utah to build out similar capabilities, allowing for a comprehensive resource solution to sharing data across agencies. The Task Force determined that a similar approach will break down government silos, and allow state government to operate as a statewide enterprise rather than a collection of agencies.

Fortunately, Utah has the foundation for an enterprise data system similar to the GDAC. In 2017 the Utah Data Research Center (UDRC) was created by the Utah Legislature.⁷ Currently the UDRC integrates disaggregated data from:

- The Utah Department of Commerce
- The Utah Department of Health and Human Services
- The Utah Department of Workforce Services
- The Utah System of Higher Education
- The Utah State Board of Education

The data provided from the partner agencies constitute the preschool-to-grade-20-to-workforce pipeline (P20W). The P20W captures the behavior of individuals starting in early childhood, continuing through primary and secondary schools and higher education, and lastly as they enter and move through the workforce. The data are stored on an annual basis and are considered, as a set, longitudinal—allowing for the study of long-term patterns.

While the current scope of the UDRC is limited to the P20W pipeline, its intent and function makes it a logical place to consider expansion into a shared data analytics center for all executive branch agencies. This would require additional investment and statutory changes to expand the current scope of the UDRC.

Statute would need to be changed to reflect a broader scope of responsibility for UDRC including a statewide data integration and data-sharing initiative, that under the direction of the governor and in consultation with the Steering Committee and the state data-sharing officer, would identify data integration and business intelligence opportunities that will generate greater efficiencies in, and improved service delivery by state agencies.

Proposed statutory changes would also direct all executive branch agencies to participate and may include general duties of executive branch agencies including specific data sets that the UDRC shall be granted access to. North Carolina has a robust statute for the North Carolina GDAC that could serve as a model.⁸

Additional costs for the UDRC include:

- Onboarding fees for adding additional executive branch agencies as data partners.
- Ongoing costs for personnel and maintenance.

Staff at UDRC have provided some estimates, however, a full building block should be developed by the State Data Protection Office and UDRC.

⁷ Utah Code Annotated § 53B-33

⁸ [North Carolina G.S. 143B-1385 Page 1 Part 8. Government Data Analytics Center. § 143B-1385. Government Data Analytics Center.](#)

In addition to existing components within UDRC, the Division of Technology Services (DTS) also has technical components and expertise that would support GDAC infrastructure.. Currently, much of the data is stored in software applications either built by DTS or within commercial solutions managed by DTS. The integration of data between systems is a specialized skill usually managed by DTS. Data warehousing, business intelligence systems, and integration tools are all managed by DTS roles. DTS already has many architects and developers doing this type of work, so there is a synergy in hiring for these skill sets. The residual knowledge about the details of the applications that currently house the data are found in DTS roles. Other important components found in DTS include:

- A strong finance team that manages various types of funding models including
 - The ISF model, successfully billing other agencies for services based on rates and special billing agreements
 - General fund allocations
 - Grants
- Administrative infrastructure
- Active management of an application inventory
- Development of an inventory of data integrations
- Development of an inventory of record sets
- The Utah Geospatial Resource Center (UGRC)
 - This team has 12 FTE and manages a broad set of geospatial data for a wide array of uses.
- The Open Data Portal
 - This is currently managed by 1 full time FTE with leadership and assistance from the state Chief Technology Officer
- The Controlled Substance Database
 - This is a team of 4 FTE in DTS, funded by grants, that manages an important data process and system.

The Task Force recommends investment and development of a state government data analytics center by leveraging existing foundational elements that already exist within UDRC and DTS.

Upon the establishment of the analytics center, additional recommendations are needed to address and ensure there is necessary guidance and guardrails in place to implement effective records management practices. This includes standardization of policies and processes, as well as establishing recommendations relating to legal issues. The following sections in this Action Plan addresses these additional recommendations.

Recommendation 3:

Develop statewide records management policies and procedures

Mature records management practices are the foundation necessary to expand sharing of information and data across state agencies.

Before the state can unlock the full collaborative power of data sharing, the Task Force determined there must be an established pathway for agencies towards mature records management. This is a critical foundational step, similar to establishing the governing body. In April of this year the Governor released Executive Order 2023-06 directing the Chief Privacy Officer to develop a strategic privacy plan to safeguard the personal information of Utahns. The Chief Privacy Officer presented this to the Task Force and recommended that we work together on recommendations, as the goals proved complementary to the strategic direction the Task Force, particularly the Data Collection, Sharing, and Research Work group was taking.

Of paramount importance is adherence to data protection and privacy regulations, both at the state level and with regards to federal regulations. The work of the Task Force has determined that a significant barrier to accomplishing the goals stated in the Order are the siloed and often insufficient records management programs within agencies. A state agency that does not have a mature records management program will find implementation and management of a data privacy program difficult and sharing data equally challenging.

The Government Records Access and Management Act (GRAMA)⁹, and the Division of Archives and Records Service (DARS)¹⁰, provide statutory requirements for records management and privacy; however, state agencies are currently responsible for creating, implementing, and maintaining their own records management program policies and procedures. The Task Force has concluded through initial assessments that state agencies do not have mature records management practices. Mature records management practices are the foundation necessary to expand sharing of information and data across state agencies.

Therefore, the Task Force recommends standardization to ease the burdens associated with a siloed approach to records management with regards to sharing data across agencies.

With respect to records management, the Task Force makes the following recommendations:

- Require state agencies to adopt a standard set of definitions and taxonomy across all agencies in Utah for records management and privacy programs.
- Require state agencies to adopt a standard set of generally applicable records management program policies.
- Require state agencies to adopt a standard set of generally applicable privacy program policies.
- Require state agencies to formally adopt a privacy framework.
- Adopt a single privacy by design policy that is generally applicable to all state agencies.
- Adopt a single privacy by default policy that is generally applicable to all state agencies.
- Adopt a single de-identification and anonymization policy that is generally applicable to all state agencies.
- Develop standardized business processes and procedures for data collection, classification, and sharing.

⁹ Title 63G, Chapter 2, Government Records Access and Management Act (GRAMA)

¹⁰ Title 63A, Chapter 12, Division of Archives and Records Service (DARS)

- Require all state agencies to maintain a data inventory.
- Require Chief Administrative Officers (CAO) to complete annual Records and Privacy Management Training.

Additional recommendation

In addition, Utah Code¹¹ allows the sharing of private, controlled, or protected records and record series to another governmental entity, and other specific entities when the use of the record or record series produces a public benefit that is greater than or equal to the individual privacy right that protects the records. However, there is ambiguity in who and how the decision is made as to whether public benefit is greater than or equal to individual privacy rights. Therefore, the Task Force recommends a statutory change or guidance from the Governor regarding Utah Code Annotated §63-2-206(2)(a)(iii) to require that there is a demonstration of a public benefit that outweighs an individual right to privacy, how that demonstration should occur, and who makes the final decision.¹²

11 Utah Code Annotated §63-2-206(2)(a)(iii)

12 [Utah Code Annotated §63G-2-206](#)

Recommendation 4:

Require agencies to maintain accurate data inventories

In Utah, state agencies that collect or use personal information in a record series are required to file a statement with the state archivist that explains the purposes for which the personal information is collected and used. Utah Code § 63G-2-601(1)(b). The statements are a public record that constrain use of the record series only for those purposes given in the statement or for which another governmental entity may use the record under Section § 63G-2-206. Utah Code § 63G-2-601(1)(b), (4)(a) and (b). The filed statements act as an inventory of an agency's records series where most non-public PII may be processed as well as a transparency and accountability mechanism that the public may review to ensure PII is being appropriately processed. However, deficient records management practices have resulted in inaccurate and outdated record sets. The record sets that do exist are challenging to search and use.

The Task Force recommends that all state agencies be required to maintain a data inventory. Inventories that agencies should maintain include:

- Record series containing personally identifiable information (PII);
- Physical record repositories containing PII;
- PII collection methods;
- IT systems that may process PII;
- Third party processors of PII; and
- PII data-sharing activities with other entities, including government entities, researchers and other parties.

Through its work, the Task Force learned of national research conducted by the Center for Regional Economic Competitiveness (CREC). The CREC created the State Data Sharing (SDS) Initiative, which seeks to improve public policy program outcomes by enabling evidence-based policymaking.¹³ This supports rigorous policy analysis and program evaluation through greater sharing of state administrative records. The CREC research and [report](#) summarizes the experience of five participating states. It addresses issues of collaboration and addresses their states' data sharing practices. Like the Task Force, the participating states identified establishing data inventories as a priority. Many researchers acknowledged that they were not familiar with what data other agencies collected, so they did not know what data was available making requesting specific data elements challenging. Researchers need to know the context of administrative data sets, what is collected, how it is collected, how it is stored, and how variables are defined. These elements of data inventories help analysts determine how to use the data sets correctly for research and evaluation projects. Data sharing requests require procedures (FAQs, forms, templates, online queries) and criteria for accepting the requests, steps for determining eligibility and appropriateness of the requested data use, and ensuring that data use remains in compliance with operating data sharing agreements, including maintaining the data in a safe and secure environment. Even small steps toward standardization of data inventories and access requests can help streamline the data sharing process for both data stewards and users.

¹³ [State Data Sharing Initiative is implemented by the Center for Regional Economic Competitiveness \(CREC\), with support from the Laura and John Arnold Foundation. Established in 2000, CREC is a national 501\(c\)3 non-profit research group based in Arlington, Virginia. |](#)

Recommendation 5:**Develop statewide standardized data request form and data-sharing agreement templates**

Data sharing would be advanced through the development of more standardized data sharing requests and agreements to be used across state government. Flexible agreements encourage consistency across agencies by using a single template or set of templates that can be adapted for different uses. Durable agreements stand the test of time and can be used for different arrangements between the same parties, reducing the frequency with which new agreements need to be drafted and negotiated.

A clearly documented data request process facilitates successful requests. As outlined in previous sections, the Task Force identified the lack of standardization as a significant challenge that needs to be addressed in order to meet the objectives of the Order. This section covers some of the supporting documents to develop as part of a comprehensive data request process. The data request process must abide by the regulations and laws that apply to each dataset.

Data sharing requests require procedures and criteria for accepting the requests, steps for determining eligibility and appropriateness of the requested data use, and ensuring that data use remains in compliance with operating data-sharing agreements, including maintaining the data in a safe and secure environment. Providing agencies with standardized data request forms and data-sharing agreement templates that allow for appropriate modification will ensure that minimum requirements are met.

The Task Force recommends the development and adoption of statewide standardized data request form and data-sharing agreement (DSA) templates.

Agency Assistant Attorneys General (AAGs) should be consulted in the drafting and review process to ensure templates and forms are compliant with appropriate statutes and other authorities.

Recommendation 6:

Develop a legal resolution process and decision guide for agencies

The Executive Order directed the Task Force to identify barriers to strengthened collaboration and expanded information and data sharing. The Legal Work group concluded that a frequent, and often pervasive, barrier to the development of agency collaboration through integrated and shared data systems are the many overlapping federal and state confidentiality and privacy laws governing the collection, use, and disclosure of administrative data. Dozens of federal regulations, as well as state statute, govern data sets and at times have competing provisions regarding data sharing. There are different interpretations and understanding of applicable federal regulations and state law which leads to inconsistent data-sharing practices among agencies.

Collaborative partnerships overcome the challenges related to navigating privacy regulations by establishing an appropriate legal decision guide and legal principles for evaluating data-sharing proposals and the common legal requirements for implementing proposals. A resolution process will also allow agencies to work together for solutions and develop a common understanding of the governing regulations and law.

The Task Force recommends the initiation of a formal resolution process, informed by legal and data experts, for evaluating conflicting legal opinions. This process should operate under a set of guiding principles.

The Task Force recommends the following:

- Develop a resolution process for evaluating conflicting legal advice regarding data privacy and data-sharing practices. The resolution process should adhere to the following guiding principles:
 - The process should be driven by the understanding that the state is an enterprise;
 - The role of agency counsel is to inform and help mitigate risks;
 - The goal is to strengthen collaboration through sharing of resources, including data sharing;
 - The purpose of the resolution process is to find a resolution, even if it means the requestor does not get all the elements it requests or parameters around an exchange are more stringent than expected;
 - Each agency representative should be prepared to describe and explain the legal boundaries and justifications from their view point. Conversely, each representative should be prepared to understand and discuss the other relevant viewpoints;
 - The resolution process should always answer the question “what CAN we do.” The thinking should be based on problem solving, rather than a binary yes or no response; and
 - Avoid approaches that limit collaboration based primarily upon the argument that the limits are the established practices of the agency.
- Establish a legal work group composed of legal representatives from key agencies to develop a legal decision guide for evaluating data sharing agreements and align with the Executive Order goals of greater agency collaboration and increasing data sharing at its core. The work group coordinates and consults with the Attorney General’s Office and receives additional guidance from the State Data Protection Office. The legal work group should also establish a method for updating the legal decision guide on a regular basis.

Funding recommendations

The Executive Order directed the Task Force to identify any needed administrative resources as well as possible funding sources. This included exploring the possibility of braiding funding and identifying any federal waivers needed for possible funding sources.

The final recommendations from the Task Force include several that will require funding.

Funding will be required for the following Task Force recommendations:

1. A State Data Protection Office housed within the Department of Government Operations (DGO)
 - Appointment of a State Data-Sharing Officer
 - Additional staff to support the following:
 - Development and maintenance of standardized policies and procedures as outlined in the Task Force recommendations;
 - Agency support to adopt standardized policies and procedures;
 - Legal expertise regarding data management and sharing practices;
 - Technical expertise regarding data management and sharing practices; and
 - Internal audit support.
2. Additional FTE to support staffing the Steering Committee
3. Development of a state government data analytics center.

The Budget and Finance Work group explored four options for funding solutions. Costs first need to be evaluated based on the overall action plan to guide the best possible funding path available. The funding work group recommended four options to the Task Force:

- A** General Fund appropriation to a centralized program in the Department of Government Operations.
- B** Internal Service Fund (ISF) rates (a centralized program would need to be tasked with the responsibility).
- C** Braided funding by all participating agencies (agencies pay their own costs, such as AAGs, staff that participate in ongoing interagency coordination, costs to share data from their systems, and costs for their systems to access data from other systems, etc).
- D** Pilot with a smaller group of agencies on an existing data-sharing project, such as the Criminal Justice Data Integration project, before scaling out as an enterprise initiative.

Option A: General fund appropriation

This option could be used to pay for centralized project management staff, legal counsel through the AG's Office, and system upgrades to improve data sharing. The biggest advantage of this funding model is that it would provide dedicated resources. A secondary advantage is that, if funding is on-going, it would not require an annual budget request, rate hearing and approval, or carry a risk of losing federal or grant funds.

The biggest challenge of this funding model is that it does not leverage federal funds and restricted accounts, which significantly increases the General Fund appropriations that would have to be provided by the legislature.

Option B: Internal Service Fund (ISF) rates

Another option for funding is an internal service fund (ISF) rate. An ISF rate can be used to pull in funding from multiple sources including federal funds and restricted accounts.

The biggest advantage of using an ISF model is that an ISF would help to facilitate the blending of funds from multiple sources by receiving approval from the state legislature and the federal government one time each; eliminating the need for a separate waiver for each federal funding source and a budget request for each state source. A secondary advantage is that ISF rates pass through an annual Rate Committee review and state funding impacts are calculated and funded through the normal budget process. As federal funds come and go, federal approval would remain intact. This allows for expansion and contraction of the program or agency receiving the braided funding as part of normal budgeting processes.

A challenge for the ISF model is determining how to appropriately assign the cost to agencies relative to the benefit they receive for the service. Another challenge, if a new ISF is created, is receiving initial federal approval for the ISF or for the ISF rate.

If an ISF is chosen as the appropriate funding model, the committee recommends using an existing ISF for funding requirements that are small and can logically be covered by the existing ISF. The resources required to use an existing ISF would be negligible and allow for a scaling up of funding if the data sharing program expands. If rate adjustments, or a new rate, are determined necessary, the regular rate setting process can be employed to review and approve any changes.

If a centralized data sharing program is created, it may become necessary to create a separate ISF to fund it. The process to create an ISF is outlined below.

To create an ISF, step one is approval from the state legislature. In that process, an explanation justifying the need for an ISF is required as well as a calculation of the proposed rates. Included in the approval request, is the estimated impact the new rates would have on existing state funded agency budgets.

Step two, is to receive approval to charge agency federal programs an ISF rate, to begin the following information needs to be included in the statewide Cost Allocation Plan (SWCAP) federal report:

1. Description of the services provided
2. Description of the procedures used to charge the costs of services to users
3. List of rates and how the rates were calculated
4. Financial statements
5. Revenue break out by source - agencies and funds

The SWCAP is then reviewed and approved by Cost Allocation Services (CAS). For new ISFs, additional details may be required.

In the past, CAS required all the information prior to the fiscal year the new ISF would actually start to charge for services. However, CAS does not actually approve a new ISF until they have reviewed and approved the SWCAP containing the ISF request. Since the state does not currently have a CAS federal negotiator, Finance recommends including all information in the SWCAP for the fiscal year the ISF will actually start charging for services.

Option C: Braided funding by agencies

Blended and braided funding both involve combining two or more sources (or “streams”) of funding to support a program or activity. Braided funding pools blend multiple funding streams toward one purpose while separately tracking and reporting on each source of funding. In this context, the proposal would be for agencies to pool their respective funding sources together to fund the elements that are relevant to their data sharing needs.

A benefit for braided funding is the potential to not require an additional appropriation of state funds due to agencies absorbing costs within existing funding sources. This funding model is more practical if costs are relatively minimal. Also, the extent of agencies involved in the data sharing influences whether or not a more state-wide funding recommendation (such as an ISF rate) is better for justifying federal participation.

A challenge with blended and braided funding is that participating agencies may not have sufficient funds to pay the data sharing needs. Agencies may be able to better absorb one-time versus ongoing costs. Agencies will need to work through funding restrictions and limitations including the ability to justify the benefit to the non-state sources in order to leverage participation. This could be a challenge and may need to continue to be addressed with funding changes.

Option D: Pilot with an existing data sharing project

This option is a scaled down version of Option C. In this option, a smaller group of agencies with a data sharing need, each internally fund their portion of the costs. Additionally, the agencies can prove a working concept that can be scaled to a larger group. A recent example of this is the Customer Experience initiative. A smaller group of agencies combined funding to cover the first year of the Customer Experience initiative. This allowed for the initiative to begin quickly, because it did not have to wait for a budgetary cycle, a rate setting hearing, General Session, ISF approval, or federal waivers. The work was done to develop a functioning model that could be deployed to the larger group. Consequently, it facilitated the subsequent General Fund request, which successfully funded the second year of the initiative.

The biggest advantage to this option is the speed to deployment and relatively low risk of failure. Removing the initial barriers to receive funding, removes months or even years to receiving funds, and the use of current funds does not initially increase future funding obligations.

The biggest challenge is the same as Option C, in that agencies that should participate may not have the necessary funds to participate. Failing to have the right agencies in the group initiative may not allow for a true proof of concept and make determining value or scaling efforts difficult to accomplish.

Potential statutory changes

The action plan has outlined some recommendations for statutory changes including:

- Statutory changes to expand the current scope of the UDRC
- Statutory change (or guidance from the Governor) regarding Utah Code Annotated §63G-2-206(2)(a) (iii) to require that there is a demonstration of a public benefit that outweighs an individual right to privacy, how that demonstration should occur, and who makes the final decision.

The Task Force has determined that additional statutory changes may be identified and requested should the recommendations set forth in this action plan be implemented.

Some changes might include additional changes to GRAMA and DARS, others may be to each agency's specific data sharing statutes that further specify that certain data sets can be shared with other agencies and the parameters under which sharing should occur.

Conclusion

Utah faces a series of challenges that will be difficult, if not impossible, for any single agency to address alone. Many issues cut across more than one agency and in those instances, leveraging state government as a single enterprise rather than a loose-knit confederation of agencies, boards, commissions, and programs will produce better outcomes for citizens.

The Task Force established by Executive Order 2023-01 allowed for the gathering of experts across the participating agencies and directed extensive research and staff work conducted over seven months, in order to produce the recommendations contained in this action plan.

The Task Force submits these recommendations for the Governor's consideration. Should the recommendations be accepted, additional work will need to be done to implement them moving forward.

Appendix A: Participating agencies and staff

The Task Force consisted of the following members:

The Executive Director of the Department of Health and Human Services, Chair

The Executive Director of the Governor’s Office of Planning and Budget

The Executive Director of the Department of Corrections

The Executive Director of the Department of Public Safety

The Executive Director of the Commission on Criminal and Juvenile Justice

The Executive Director of the Utah Department of Government Operations

The Chief Information Officer for the State of Utah

The State Homeless Services Coordinator

The Chief Privacy Officer

Staff from the Utah Data Research Center (UDRC) participated in the Data Collection, Sharing, and Research Work group

UDRC also presented to the Task Force on UDRC’s infrastructure and technological capabilities.

Four work groups convened including:

Data Collection, Sharing, and Research

Budget and Finance

Legal

Operations

Additionally, 26 staff members from all participating agencies and assistant attorney generals supported the work.

Data Collection, Sharing, and Research Work Group		
<i>Role</i>	<i>Agency</i>	<i>Name</i>
Staff Support	GOPB	Jill Curry
Staff Support	DPS	Kristy Rigby
Government Operations Privacy Officer	Governor's Office	Christopher Bramwell
Staff Support	Governor's Office	Joseph Jensen
Staff Support	DPS	Melanie Marlowe
Executive Director	CCJJ	Tom Ross
Staff Support	UDC	Julie Christenson
State Homeless Services Coordinator	Governor's Office	Wayne Niederhauser
Research	CCJJ	Ben Peterson
Data	CCJJ	Mei Xue
Research and Evaluation	DHHS	Rick Little
Staff Support	DHHS	Dean Weedon
Staff Support	DWS	Amanda McPeck
Staff Support	DHHS/DTS	Rachael Stewart
Staff Support	DHHS	Nate Winters
Records Officer	UDC	Blaine Hansen

Budget and Finance Work Group		
Staff Support	GOPB	Jill Curry
Staff Support	GOPB	Jeff Mottishaw
Staff Support	DHHS	Krisann Humphreys Bacon
Staff Support	DHHS	Nate Winters
Staff Support	CCJJ	Ken Matthews

Legal Work Group		
Staff Support	Governor's Office	Micah Vorwaller
Staff Support	Governor's Office	Joseph Jensen
Staff Support	DWS	Amanda McPeck
Staff Support	CCJJ	Dan Strong
Staff Support	DHHS	Shannon Thoman-Black
Staff Support	DHHS	Krisann Humphreys Bacon
Staff Support	DHHS (AAG's Office)	Bri Murphy
Staff Support	DHHS	Nate Winters
Staff Support	AAG's Office	Dave Sonnenreich

Operations Work Group		
Staff Support	DGO	Marilee Richins
Staff Support	DPS	Melanie Marlowe
Staff Support	GOPB	Rachel Stone
Staff Support	UDC	Steve Gehrke
Staff Support	DHHS	Shannon Thoman-Black

Appendix B: Case study proposal

The purpose of this case study is to work through a concrete, hypothetical example upon which the requirements of this Executive Order will be met. This is not designed to establish a solution to the hypothetical issue outlined in this case study.

Central Issue

Despite being one of the highest ranked states in the nation for economic strength, growth, employment, fiscal stability, health care, and education, Utah still faces challenges. We know that there are pockets of the population that are not thriving and that there are systemic barriers and generational issues that make it difficult for all Utahns to have the same opportunities to live safe, healthy lives. Addressing challenges while maintaining Utah's high quality of life requires a collaborative, flexible, efficient and customer-focused state government.

Background

A lot of work has been done in our State to address complex social issues such as poverty and economic stability, domestic violence, recidivism rates, and homelessness. Many state agencies, task forces, and other groups have collaborated and collected data to help address some of the issues facing Utahns.

For example, we know from the work done by the Intergenerational Poverty (IGP) Initiative that poverty can perpetuate a cycle in families when early childhood development, education, family economic stability and health issues are not properly addressed. When those needs are not met, children grow up disadvantaged—economically, cognitively and socially—which makes it harder to climb the economic ladder as adults. The longer someone is disadvantaged in childhood, the more likely they will remain so as adults. The 2021 IGP report states that nearly 195,000 children in Utah are at risk of remaining in poverty as adults and more Utahns experienced intergenerational poverty in 2020 than in 2019.¹⁴

Another good example comes from the Commission on Criminal and Juvenile Justice's (CCJJ) analysis on community supervision and its impact on the growth of Utah's prison population. The report states that since 2012, both the probation and parole populations have increased by 17.8% and 47.1%, respectively, due largely to a growth in admissions.¹⁵

Every few years, the Utah Domestic Violence Coalition conducts statewide needs assessments to assess the current state of domestic violence victim services and victims' needs in Utah. The most recent report cites data that shows one in four adult homicides are domestic violence-related, and that 1 in 10 males or 2 in 11 females will experience interpersonal violence. In 2018, a report from the Utah Department of Health showed that intimate partner violence affected 18.1% of adult females and 10% of adult men.¹⁶

Current research indicates that mental well being is correlated with the likelihood that an individual will be economically stable¹⁷, and in some respects that Utah rates lower when compared to other states for mental well being.¹⁸

Survey Results and Case Study Proposal

Based on the Task Force survey results, there is interest in better understanding levers leading to instability among Utahns, including poor mental health, incidence of domestic violence, homelessness, and other challenges. These levers will be understood among the population of Utahns who have been incarcerated.

14 <https://jobs.utah.gov/edo/intergenerational/igp21.pdf>

15 <https://justice.utah.gov/wp-content/uploads/Utah-CCJJ-brief-and-recommendations-9-9-20.pdf>

16 <https://udvc.org/wp-content/uploads/2023/03/2022-UDVC-UNA-Final-Report-.pdf>

17 [The Relationship Between Financial Worries and Psychological Distress Among U.S. Adults](#)

18 https://ibis.health.utah.gov/ibisph-view/indicator/complete_profile/Dep.html

Intended Result

In alignment with Governor Cox's emphasis on people and opportunities for all, the intended result is that all Utahns' have the opportunity to be healthy, safe and economically stable.

Target Population

Individuals who have been incarcerated through the adult correctional system. This population is further defined as those who were incarcerated in the adult correctional system in the past 10 years.

Hypothetical example of an Individual within the Target Population

Jacob will be 32 years old in February. He has a history of opioid addiction but he's been drug-free for seven months. He was served in the juvenile justice system and later spent 18 months in prison after being convicted for felony domestic violence before release on parole. He has not finished high school and lives with his disabled mother in a two bedroom apartment they are in danger of losing due to rent increases. He experienced domestic violence and homelessness as a child. His girlfriend and newborn baby also live in the home. He has been convicted twice for DUI and lost his driver license. Jacob is looking for work but has no specific skills." How many potential touch points with the state government can be inferred from this family's circumstances?

1. Housing
2. Child care
3. WIC
4. SNAP
5. Medicaid
6. Paternity
7. Courts
8. High school/GED
9. Child and Family Services
10. Juvenile Justice
11. Driver License
12. Job training/employment
13. Disability services
14. Substance use services
15. Adult Probation and Parole
16. Others?

Focusing on a target population using incarceration status will narrow the defined scope to allow this case study to guide the plan. By examining the work being done and data collected independently by state agencies, the case study can provide multi-layered and nuanced context that can be used to develop the plan set forth in the Executive Order.

We will focus on touchpoints with accessing State services through our respective agencies.

Required Components of the Action Plan

1. **Specific objectives that state government can accomplish through strengthened state agency collaboration and expanded sharing of information and data across state agencies;**

The case study will outline specific objectives related to the intended result. For instance, would allow correctional facilities to know if an inmate experienced domestic abuse and tailor rehabilitation treatment incorporating this information.

2. **Concrete steps to strengthen collaboration and expand information and data sharing, and a proposed timeline for completion of those steps;**

As we develop the case study we will work to identify concrete steps needed. We anticipate the exercise will identify numerous opportunities for improvement, from amending statute to strengthening MOU agreements between agencies, to continuing to expand the One Utah culture of collaboration in an effort to better serve Utahns.

3. **Legal, policy, or other barriers to strengthened collaboration and expanded information and data sharing;**

As collaborative and data-sharing needs are identified by the case study exercise, barriers to those needs can be categorized and extrapolated to apply to the overall goal of the executive order.

4. **Consideration of, and compliance with, data privacy and security requirements;**

Protecting the privacy of Utahns and ensuring data is only used for intended purposes is a high priority for the State. Ensuring security requirements and data privacy best practices are addressed during the case study will support the Executive Order's charge to the agencies to use its privileged access to PII to support positive outcomes for Utahns.

5. **Whether a formal structure is needed for data sharing across state agencies, and, if so, what the structure should be;**

The case study exercise will create the opportunity to identify the optimal structure for data sharing, and whether that should be a regulated, formal system applied consistently across all executive agencies or if there are nuances and differences that would require individualized structures for each agency.

6. **Any needed administrative resources to accomplish the purposes of this Order, including the possibility of a state data warehouse;**

The case study exercise will create the opportunity to enumerate optimal resources to carry out the intent of the Order. This includes monetary resources, physical resources, human resources and digital resources.

7. **Whether any additional executive orders or directives by the governor are needed to accomplish the purposes of this Order;**

Walking through the case study will give an opportunity to identify additional barriers or complications the executive order did not foresee. The plan will include recommendations on future action to support the objectives of the Executive Order.

8. **Whether changes to state law are needed to strengthen state agency collaboration and expand information and data sharing by state agencies;**

Utilize the case study to evaluate if any statutory changes would be needed to accomplish the intended result, particularly where statute is based in outdated models or antiquated technology solutions.

9. Identification of funding sources to accomplish the purposes of this Order and the recommendations in the Action Plan, including the possibility of braiding funding from several sources;

Utilizing the list of necessary resources identified from applying objective 6, the budget work group can provide recommendations on the possibility of braiding multiple funding sources.

10. Any federal waivers needed for possible funding sources; and

While Utah invests a considerable amount of general funds to serve its population, federal funds make up a large portion of the budget utilized by human and health focused services. Building on the work accomplished in objectives 6 and 9, the work group will be able to identify funding gaps that could be filled with federal funds and where waivers may be necessary to alter our usage of these funds to fit the necessary collaboration and data interoperability for Utah to ensure progress toward its goal of all individuals having the opportunity for economic stability and healthy lives.

11. Any other information as determined by the Task Force.

The case study exercise gives the task force the opportunity to identify additional needs, unanticipated shortfalls, and potential barriers to achieving inter-agency collaboration, data sharing, and cooperation.

Potential Work groups

- Data collection, sharing and research
- Legal
- Budget and Finance

Appendix C: State agency collaboration & data sharing use cases

In order to demonstrate potential effectiveness of data sharing and analytics and why an investment of resources by the state can save money, improve lives, avoid unnecessary future costs, and enhance operational efficiency and compliance the Task Force has collected and developed a library of use cases to serve as examples of what this proposal could accomplish. Identifying use cases and demonstrating the business value of data sharing will be critical.

How Connecticut Matched Its Medicaid and Homelessness Data to Improve Health through Housing

States working to improve the health of people experiencing homelessness can match their Medicaid data with [Homeless Management Information Systems](#) (HMIS) data to track which populations are using housing services and which have the greatest unmet need. [HMIS](#) are databases that housing service providers and [Continuum of Care](#) (CoCs) community and state agencies use to collect and aggregate demographic and service-use information for individuals and families experiencing and at risk of homelessness.¹⁹

Washington's Integrated Client Database

The Washington Department of Social and Health Services (DSHS) maintains integrated client databases that link data across multiple sectors including Medicaid, behavioral health and housing.

Washington State's Department of Social and Health Services (DSHS) maintains integrated longitudinal client databases containing more than two decades of detailed service risks, history, costs, and outcomes. Known as the Integrated Client Databases, the information it contains supports cost-benefit and cost offset analyses, program evaluations, operational program decisions, geographical analyses and timely in-depth research. The data systems span three state agencies (DSHS, Health Care Authority, and Department of Children, Youth and Family Services).²⁰

Washington Department of Social and Health Services: Identifying Homeless and Unstably Housed DSHS Clients in Multiple Service Systems

This [report](#) combines administrative data from multiple service systems to identify homeless and unstably housed DSHS clients. By leveraging data from the Automated Client Eligibility System (ACES) and four other data systems, we identify an additional 39,267 (or 27 percent more) homeless DSHS clients in State Fiscal Year 2010 than when ACES is used alone. Homeless clients are more likely than those in the overall DSHS client population to be African American and Native American, live in high density urban areas, have mental illness and substance abuse problems, receive medical treatment for injuries, and receive cash and/or food assistance.

19 [Q&A: How Connecticut Matched Its Medicaid and Homelessness Data to Improve Health through Housing - NASHP](#)
20 [DSHS Integrated Client Databases](#)

Harnessing Cross-Systems Data to Keep Families Together

Effectively implementing housing solutions that strengthen families often requires coordination of data and services across the boundaries of the systems that families frequently are involved with, such as child welfare, housing, homelessness response, behavioral health, education, and justice. When such systems can talk with each other and share information, they can more effectively address families' needs and assist them in meeting their reunification, preservation, housing stability, and wellness goals.

This [brief](#) provides guidance on how child welfare, housing, and other systems can share data, including a brief overview of approaches to data sharing, the critical data elements needed for planning and service delivery, and a 10-step process to help communities get started. The concepts presented are largely transferable to sharing data across systems working with children, youth, and families.

Approach	Description	Purpose	Benefits	Considerations
Client Specific Care Coordination	Staff from different agencies share information on a specific client's needs, status, and goals.	To coordinate care across systems to address a specific client's or family's needs.	Requires minimal level of effort to put in place from an administrative perspective (MOU between agencies and client consent).	Does not provide aggregated information to inform broader system planning and resource development and allocation.
One Time Data Match	Historical data from different systems are matched to identify populations served in both systems.	To identify target population characteristics that can inform planning, prioritization and strategy.	Builds political will and shared accountability. Helps drive resource development and strategic allocation. Can be used multiple times to track and inform outcomes.	Must have a data use agreement and client releases of information to protect family privacy, which can be a lengthy process to put in place. May not provide deidentified information that can be used to match services to specific individuals or families.
Integrated Data Systems	Different systems regularly share data through a defined data exchange process or shared data system.	To coordinate housing and services interventions for all shared active clients.	Provides real time data for use in decision making, continuous quality improvement and service delivery. Provides regular tracking and reporting of outcomes. Can be used to provide families access to their own data.	Requires infrastructure and staffing to support data system administration and management. Can take longer to resource and develop. Data can be shared in a single direction or bi-directionally.

Data Integration Across Jail & Homeless Services

The Corporation for Supportive Housing (CSH) selected the Center for Data Science and Public Policy (DSaPP) at the University of Chicago to develop a web-based data integration tool, which was completed in 2018. The tool connects county jail administrative data from the justice system to homeless system data, through communities' Homeless Management Information Systems (HMIS). The tool utilizes a matching algorithm developed using machine learning, which can match the integrated data by personal identifiers and report the overlap between systems to administrators. The data match can be done repeatedly over time, and can be used to understand the service profiles of persons who have long histories of engagement with these systems, advance policy, and programmatic solutions to address the needs of these persons and system service gaps.²¹

Data Warehouse and Performance Dashboards: Boston, MA.

The [City of Boston](#) created a consolidated data warehouse in 2019, which as of early 2020 held 330GB of data from across 31 city departments. This was the culmination of a multi-year effort that was among the signature accomplishments of the city's former Chief Data Officer. This single source of data, along with

²¹ [CSH-Data-Integration-Blueprint_20190321_FINAL.pdf](#)

a centralized mapping platform, makes analytics projects easier for the Citywide Analytics Team and also provides an easy point of access for all data analysts in city government. After creating the consolidated data warehouse, separate data sets could be streamlined – like the three different data sets about the details of streets that could be combined into one authoritative source across departments. When the COVID-19 outbreak hit this city, having data already in one location enabled the Citywide Analytics Team to rapidly pull together executive information for the mayor, and as Boston’s Chief Data Officer Stefanie Costa Leabo notes, “with the infrastructure in place, we were able to spin up a dashboard for the mayor in a week with some key indicators, and then to roll that out publicly within a couple of weeks.”

Real-time Transit Data Helps City of Boston to Optimize Bus Routes. Going beyond peer-to-peer horizontal data sharing and reaching vertical data sharing, the city of Boston is also using real time data feeds from the State of Massachusetts’ transit agency to gain insight that helps optimize bus routing. The state transit agency makes real time bus location data available via an API and this data is used by city transportation planners to visualize bus performance across different routes and along key city corridors. Important policy questions can be explored, such as what days of the week, times of day or particular sections of the city most need a new dedicated bus lane, or to have transit signals changed to speed overall traffic.

Connecticut’s Preschool through 20 Workforce Information Network

[P20 WIN](#) is Connecticut’s state longitudinal data system. Our work is a collaboration of 11 state agencies, higher education institutions, and nonprofits to inform sound policy and practice to ensure that individuals can successfully navigate supportive services and education pathways into the workforce. P20 WIN’s governance structure uses two governing bodies, and two legal agreements and Data Sharing Agreements, to securely share data across agencies. Please note that data are never used to identify specific individuals.

Data sharing in Connecticut

The [Data Sharing Playbook](#) is a resource for those navigating the data sharing process in Connecticut state government. The playbook presents strategies for enabling data sharing, making data requests, responding to requests, and transferring and linking data.

North Carolina Identifying Fraud, Reinforcing Public Trust

As part of Government Data Analytics Center (GDAC), the North Carolina Financial Accountability and Compliance Technology System (NC FACTS) helps ensure compliance while detecting and preventing fraud, waste and improper payments. By integrating data from across the state, analytics can detect questionable payment issues in an automated, proactive way.

- Unemployment insurance analysis effectively identifies employer tax and wage reporting compliance, as well as fraud and improper payments for benefit claims. Relying on GDAC, the Department of Employment Services added extra cross-checks to identify fictitious employers; then it shut down this fraudulent scheme. This saved the state an estimated \$5.2 million.
- Workers’ compensation insurance coverage analysis identifies businesses operating in North Carolina that fail to comply with insurance coverage requirements. Initial enforcement efforts issued noncompliance charges against employers within the first three months.
- The Department of Revenue recently began a visionary effort within GDAC’s enterprise fraud initiative that will use advanced analytics to bolster North Carolina’s investigatory tax audit and recovery abilities.

N.C. Department of Insurance – Industrial Commission

NCIC leverages the data and analytics within GDAC to identify businesses that have failed to maintain Workers’ Compensation insurance. Employers identified as being out of compliance are at risk of being served potential civil penalties and/or criminal charges.

North Carolina Employee Misclassification and Underground Economy

GDAC has developed tools to mitigate harms from the underground economy, or businesses that utilize schemes to conceal or misrepresent (mis-classify) their employee population to avoid one or more employer responsibilities related to wages, payroll taxes, insurance, licensing, safety or other regulatory requirements.

North Carolina Criminal Justice Law Enforcement Automated Data Services (CJLEADS)

The Criminal Justice Law Enforcement Automated Data Services (CJLEADS) is a foundational cornerstone of GDAC. This application supports criminal justice professionals by providing access to criminal records on any device at any time, around the clock and throughout the year. With a user base exceeding 25,000, the CJLEADS application provides:

- A comprehensive view of an offender's records and photographic images
- Alerting capability notifying a user of an offender's change in status
- Access to real-time warrant information
- Access to real-time license and registration information associated with drivers, motor vehicles, hunting, fishing and vessels
- Access to real-time pretrial release order information
- Access to federal data

North Carolina Criminal Investigative Case Management (MEMEX)

Session Law 2015-241 §7A.2© directed the State CIO through GDAC to manage and coordinate the deployment of an intelligence-based investigative case management system. Working with the SBI's N.C. Information Sharing and Analysis Center, GDAC has completed the development of a system that provides:

- A scalable case management capability
- The ability to incorporate and integrate data from existing investigations and sources
- The ability to manage investigators and investigation documentation, such as interviews, property and evidence, offenses, charges and court dispositions
- Integrated workflow to assist in guiding the user through the entire case management life cycle

North Carolina Crime Lab Analytics

GDAC is supporting the N.C. Department of Justice's (NCDOJ) State Crime Lab to expand access to information to investigators, DNA scientists, prosecutors and other criminal justice professionals to improve operational effectiveness and reduce costs.

North Carolina Sex Offender Compliance Alerting Program

Partnering with the SBI, GDAC developed a Sex Offender Compliance and Alerting program to identify individuals who may be out of compliance with sex offender reporting. The program identifies data anomalies and generates alerts for individuals who are required to register and maintain their North Carolina sex offender registration information. The program also identifies out-of-state sex offenders who may be subject to registration due to their North Carolina presence. As of January 2021, this program had been implemented by 48 county sheriffs' offices. Since 2020, approximately 595 offenders had been brought into compliance.

North Carolina Governor Crime Commission – Criminal Justice Analysis Reporting Warehouse

The NCDPS Governor's Crime Commission Criminal Justice Analytics Center (CJAC) centralizes data sources across the criminal justice arena. This repository of data, combined with next-generation SAS tools, will enable CJAC to develop program measures and provide on-demand reporting and analytical support to the N.C. Governor's Crime Commission.

North Carolina Child Protective Services

Session Law 2014-100 §12C.1.(e) directed NCDHHS to coordinate with GDAC to establish and implement a Child Protective Services Pilot Program to enhance coordination of services and information sharing. The law also appropriated a sum of \$300,000 to assist in supporting the program's development and implementation. Session Law 2015-241 §12C.11.(a) (House Bill 97) directed continued collaboration between NCDHHS and NCDIT to enhance the pilot, including:

- Development of a dashboard linking the family to the child
- Development of a comprehensive profile of a child to include demographic and caretaker information and indicators or flags of other services, including but not limited to prior assessments of the child, eligibility for food and 25 nutrition programs, Work First/Temporary Assistance for Needy Families, Medicaid and subsidized child care
- Rebrand the Child Protective Service Pilot as the Child Welfare Accessing and Searching Sensitive Information through Technology (CW ASSIST) in the fourth quarter of calendar year 2016
- Successfully roll out the Child Welfare ASSIST (CWA) application to county and state child protective services staff in early 2017; currently, there are approximately 3,500 active users

North Carolina Juvenile Justice

The NCPDS Division of Juvenile Justice is committed to the reduction and prevention of juvenile delinquency by effectively intervening, educating and treating youth; strengthening families; and improving public safety. GDAC solutions supporting the Division of Juvenile Justice include:

- Recidivism dashboards – integration of juvenile record data with adult criminal courts and probation records for the generation of various metrics associated with recidivism
- Researcher-ready datasets – preparation of matched and de-identified researcher ready datasets
- Service Directory Catalog – a service management and cataloging mechanism for service providers and the state
- Juvenile Justice Service Directory public portal: <https://www.ncdps.gov/juvenile-justice/servicedirectory>
- Service Directory integration with CJLEADS

North Carolina N.C. Integrated Care for Kids (NC InCK)

N.C. Integrated Care for Kids (NC InCK) is an innovative model to promote child and family well-being in central North Carolina that aims to integrate needs and services beyond healthcare to provide more holistic care to children and their families. NCDHHS is participating in the NC InCK project, which is a seven-year pilot with Duke and the University of North Carolina that utilizes grant funds from the U.S. Centers for Medicare and Medicaid Services (CMS) to improve the integration of medical and social services care, reduce out-of-home placement and improve health outcomes for Medicaid and Children's Health Insurance Plan-insured children in five North Carolina counties: Alamance, Orange, Durham, Granville and Vance.

To identify services to meet the participants' needs and the pilot's objectives, the NC InCK Pilot will utilize data from Medicaid (NCDHHS Division of Health Benefits), education (N.C. Department of Public Instruction) and juvenile justice (NCDPS Division of Juvenile Justice) to risk stratify the participating population.

The scope of GDAC is to generate risk stratification files by integrating Medicaid, education and juvenile justice data sources by assigning a risk score to a child based on the business rules for the NC InCK Pilot.

North Carolina Medicaid Analytics

NCDHHS manages the delivery of health and human-related services for all North Carolinians, especially the state's most vulnerable citizens – children, elderly, disabled and low-income families. In the state fiscal year 2021 (July 1, 2020, through June 30, 2021), N.C. Medicaid provided 2.3 million people in North Carolina with health care coverage.

Session Law 2015-241 §12A.17.(b) directed NCDHHS to coordinate with GDAC to develop a pilot program that applies analytics to Medicaid data to maximize health care savings and efficiencies and optimize positive impacts on health outcomes.

Further, Session Law 2015-241 §7A.2.(c) directed NCDHHS to share claims and encounter data with GDAC to support outcome-based analysis of services and programs and population health analytics associated with the Medicaid and local management entity/managed care organization (LME/MCO) patient population.

Session Law 2016-94 § 12A.17. (b1) directed NCDHHS to coordinate with GDAC to continue the phased development, implementation and operationalization of the pilot program for Medicaid claims analytics and population health management. The scope of the program was expanded in 2019-2020 to include the following:

- Integrate new data sources, such as Medicaid beneficiary files, Health Effectiveness Data and Information Set quality measure data and LME/MCO encounter data
- Automate ongoing data feeds to support operational requirements
- Customized reporting and analytics capabilities
- Developed a monthly extract of priority data elements to Medicaid and Standard Plan Prepaid Health Plans to support clinical quality measurements, including:
 - Comprehensive diabetes care
 - Controlling high blood pressure
 - Screening for depression and follow-up

North Carolina Controlled Substance Reporting System

The NCDHHS Division of Mental Health Developmental Disabilities and Substance Abuse Services manages the N.C. Controlled Substances Reporting System (CSRS). The CSRS collects information on dispensed controlled substance prescriptions and makes this information available to prescribers and dispensers. The system is used as a clinical tool to improve patient care and safety while avoiding potential drug interactions and helps identify individuals who may need a referral to substance use disorder services.

Session Law 2015-241 directed the integration of the CSRS with the state-designated HIE, NC HealthConnex. The integration was completed in 2020 and provides an alternative pathway for health care providers and pharmacists to check the system prior to prescribing or dispensing controlled substances per their STOP Act requirements.

Session Law 2017-57, Section 11A.6 directed the development and implementation of software for the performance of advanced analytics within GDAC. The objectives outlined in law include the:

- Enhancement and automation of reports under General Statute 90-113.74
- Development and utilization of advanced analytics to achieve the purposes specified in General Statute 90- 113.71
- Aggregation of relevant data sources, including those available within GDAC
- Enhancement of NCDHHS's ability to deploy advanced analytics to improve opioid prescribing practices, identify unusual prescribing patterns and detect behaviors indicative of misuse, addiction or criminal activity

North Carolina N.C. Longitudinal Data System

N.C. General Statute 116E defines the N.C. Longitudinal Data System (NCLDS) as a statewide data system containing individual-level student and workforce data. The purpose of this system is to facilitate and enable the exchange of data among agencies and institutions within the state to support the analysis of educational programs, performance and longitudinal outcomes.

GDAC is charged with developing an implementation plan for and providing general oversight and direction of this enterprise system. Data contributors to NCLDS include:

- N.C. Early Childhood Integrated Data System (NC ECIDS) – provides integrated early childhood education, health and social service data from participating agencies and is administered by NCDHHS
- N.C. SchoolWorks – provides access to data from early learning to workforce and is administered by NCDPI
- Common Follow-Up System (CFS) – provides a repository of workforce and education data and is administered by the NCDOC Labor and Economic Analysis Division

In 2018, in response to a request from the Governor to formalize plans for NCLDS, GDAC collaborated with the N.C. Education Cabinet to form a NCLDS work group to guide the mission and deliverables of the NCLDS modernization road map for the NCLDS Study. The study identified eight priority recommendations, including that NCLDS be defined and set up as a system that links data across the data systems identified above. GDAC is addressing this recommendation by integrating data from its contributor systems via a framework that, when complete, will efficiently enable longitudinal analysis of student and system outcomes across the education and workforce continuum.

North Carolina Common Follow-Up System

N.C. General Statute 96-30 – 96-35 directs the NCDOC Labor and Economic Analysis Division to operate the CFS. This system evaluates the performance and effectiveness of the state's job training, education and placement programs by measuring participants' presence in the workforce.

Session Law 2014-100 directed NCDOC to develop a plan to transfer CFS's information and capabilities to GDAC. The objective of the migration and modernization of CFS was to improve access to the state's longitudinal data, providing flexibility and scalability and advanced data analysis capabilities associated with workforce and educational program operation and performance

North Carolina N.C. Licensure and Credential Repository

In partnership with NCDOC, NCCCS and NCDPI, GDAC is developing a centralized Licensure and Credential Repository, which will be used to help inform the state on the relationship between education and training programs, workforce credentials and employment outcomes.

North Carolina COVID-19 Education Recovery Dashboards

North Carolina received funding from the Governor's Emergency Education Relief Funds (GEER) under the Coronavirus Aid, Relief and Economic Security Act and GEER II under the Coronavirus Response and Relief Supplementary Act. Both GEER I and GEER II are administered at the federal level by the U.S. Department of Education.

The Governor has directed GEER II funds to GDAC to develop and publish an Education Recovery Dashboard (ERD) in collaboration with N.C. Pandemic Recovery Office. The ERD is intended to help the state assess how the pandemic has affected North Carolina's pre-kindergarten through college (P-20) education pipeline and track progress toward recovery from the pandemic at the local, regional and state levels across the P-20 pipeline.

North Carolina NC eLink (Formerly Enterprise Entity Resolution)

This enterprise solution provides a standard protocol to match like records across entities for consistency and accuracy. The goal of NC eLink is to provide a reusable cross-match capability to standardize matching and improve data sharing across entities.

Appendix D: Additional references

- [North Carolina Department of Information Technology Data Classification and Handling Policy](#)
- [State Data Sharing Initiative Legal Guide to Administrative Data Sharing for Economic and Workforce Development](#)
- [How States Use Data to Inform Decisions: A national review of the use of administrative data to improve state decision-making](#)
- [Connecticut's Legal Issues in Interagency Data Sharing Report](#)
- [N.C. Government Data Analytics Center | NCDIT](#)
- [North Carolina Department of Health and Human Services Data Sharing Guidebook](#)
 - [NCDHHS Data Asset Inventory](#)
 - [NCDHHS Data Asset Inventory Form](#)
- [California's Data Exchange Framework](#)
- [A Community-Centered Approach to Data Sharing and Policy Change: Lessons for Advancing Health Equity](#)