



This component has been excerpted from the complete **System Framework**.

Glossary terms appear underlined. The glossary of terms, their definitions and references for this and other **System Framework** components are online at:

**<http://ectacenter.org/sysframe>**

The ECTA Center is a collaborative effort between the Frank Porter Graham Child Development Institute; SRI International; PACER Center; University of Colorado, Denver; University of South Florida; Puckett Institute; RTI International; University of Nebraska Medical Center; and Walsh Taylor Associates. Additional information about the ECTA Center can be found at [ectacenter.org](http://ectacenter.org)

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The purpose of the Governance component of the System Framework is to guide state Part C and 619 Coordinators, their staff and partners in making certain there is established enforceable decision-making authority to effectively implement the statewide system and that leadership advocates for and leverages sufficient fiscal and human resources to support quality services throughout the state. The focus of this component is to make certain that structures and partnerships are in place to support effective, efficient statewide service delivery systems for Part C and 619 that provide equitable access to services for all eligible children and their families.

Governance supports Part C and 619 state systems' organizational structures and placement of authority for making program, policy, fiscal, and standards decisions as well as implementing effective practices. Governance responds to this need for authority by creating policies, state laws, regulations, interagency agreements and other enforceable mechanisms. The governance component, built upon the vision, mission and/or purpose of the system, intersects with the other components of the framework serving as the foundation or authority that underpins each component.

Characteristics of effective governance include participation, input by stakeholders, consensus, transparency, responsiveness, and effective communication. It is essential that state leadership develops collaborative partnerships that include roles and responsibilities for all state and regional and/or local system entities within the system. Equally important is the role of governance in recruiting and supporting family leadership and maximizing meaningful family engagement in the development and implementation of the system. The system should have mechanisms in place that facilitate clear communication, collaboration and relationship-building with stakeholders and partners at all levels.

This component includes vision, mission and/or purpose; legal foundations; administrative structures; and leadership and performance management. Vision, mission, and/or purpose guide decisions and provide direction for quality comprehensive and coordinated Part C and Section 619 statewide systems. Legal foundations provide the authority and direction to effectively implement the Part C/619 statewide systems and support the coordination of systems and services across all agencies involved with young children and their families. Administrative structures include state and regional and/or local system entities, with assigned roles and responsibilities, designed to carry out IDEA and related federal and state mandates to ensure statewide implementation of the system including the provision of services. State leadership and management address advocacy for and leveraging of fiscal and human resources for implementation and oversight of the statewide system. This includes promoting strategies that facilitate clear communication and collaboration to build and maintain relationships between and among Part C and Section 619 stakeholders and partners.

## Subcomponent 1: Vision, mission and/or purpose

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**Quality Indicator GV1:** Vision, mission and/or purpose guide decisions and provide direction for quality comprehensive and coordinated Part C and Section 619 statewide systems.

### Elements of Quality

- a. Core values, beliefs, guiding principles and current evidence-based practices are the foundation for public statements of vision/mission/purpose.
- b. These public statements are consistent with The Individuals with Disabilities Education Act (IDEA).
- c. These public statements address who the program serves, what the program does and the intended outcomes for children and families.
- d. These public statements are developed with input from all stakeholders.
- e. These public statements are readily available (e.g. on the website, in a parent handbook, etc.) and effectively communicated to all stakeholders including practitioners, families, and community partners.
- f. These public statements are clear and understood by staff, local program administrators and families.
- g. System level decisions (e.g. fiscal, data, standards, personnel, monitoring), programmatic decisions (e.g. services and supports) and strategic planning are guided by the public statements of vision/mission/purpose.
- h. These public statements are reviewed and revised as necessary with stakeholder input.
- i. These Part C and 619 public statements of vision, mission and/or purpose are recognized as an integral part of the broader early care and education public statements and strategic plans.

## Subcomponent 2: Legal Foundations

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**Quality Indicator GV2:** Legal foundations (e.g. statutes, regulations, interagency agreements and/or policies) provide the authority and direction to effectively implement the Part C and 619 statewide systems.

### Elements of Quality

- a. Legal foundations are aligned with IDEA and other federal and state mandates.
- b. Legal foundations are developed with input from stakeholders.
- c. Legal foundations are clearly written and provide details needed for implementation at the local level.
- d. Legal foundations support and do not hinder the implementation of evidence-based practices.
- e. Legal foundations are readily available and communicated to stakeholders and partners.
- f. Legal foundations provide the authority for the state to monitor implementation.
- g. Legal foundations are reviewed and revised as necessary with stakeholder input, using existing data and other pertinent information.
- h. Legal foundations support coordination of systems and services across all early care and education programs.

## Subcomponent 3: Administrative Structures

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**Quality Indicator GV3:** Administrative structures such as state and regional and/or local system entities are designed to carry out IDEA and related federal and state mandates to ensure statewide implementation of the system including provision of services.

### Elements of Quality

- a. Part C and 619 lead agencies assign all required components of IDEA and related federal and state mandates to entities within the state.
- b. Information about the state system components and how to access services is widely available and understood by providers, families and the general public.
- c. Decisions about Part C and 619 state, and regional and/or local system structures facilitate collaboration and service delivery across early care and education programs.
- d. Part C and 619 lead agencies design state, and regional and/or local entities to ensure equitable access to services statewide.
- e. Part C and 619 lead agencies evaluate the structure of entities assigned for state, regional and local implementation on an ongoing basis and revise as needed to ensure equitable delivery of services.

**Quality Indicator GV4:** State and regional and/or local system entities enforce roles and responsibilities for implementing IDEA and other federal and state mandates.

### Elements of Quality

- a. State Part C and 619 agencies and partners have enforceable roles and responsibilities established through clearly written state laws, regulations, policies, procedures, contracts, or agreements.
- b. Regional and local entities have enforceable roles and responsibilities for provision of direct services established through clearly written state laws, regulations, policies, procedures, contracts, or agreements.
- c. Administrators, practitioners and other agency personnel, at all levels of the system, understand and perform their roles and responsibilities in accordance with the lines of decision-making within the state structure.
- d. There is an ongoing process for reviewing and revising, as necessary, the designation of roles and responsibilities.

**Quality Indicator GV5:** State and regional and/or local system entities are designed to maximize meaningful family engagement in the development and implementation of the system.

**Elements of Quality**

- a. Decisions about system structures support equitable representation of families on the state Interagency Coordinating Council (ICC), local ICCs, task forces, and committees.
- b. Part C and 619 state staff or representatives support (e.g. through stipends, transportation, information and preparation, convenient time and location, mentoring, FTE, consulting fee) family members' active roles on councils, committees, and task forces to allow their full participation and input into system decisions related to areas such as policies, training and TA, monitoring, and program improvement.
- c. There are ongoing system-wide efforts to recruit families that are representative of the demographics of the state and local communities and support their leadership development.
- d. There is an ongoing process for evaluating and improving meaningful family engagement in the system.

## Subcomponent 4: Leadership and Performance Management

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**Quality Indicator GV6:** State leadership advocates for and leverages fiscal and human resources to meet the needs for implementation and oversight of the statewide system and services.

### Elements of Quality

- a. State leadership continuously uses information and data to identify fiscal and human resource needs for system implementation and oversight (personnel, data system, monitoring, standards, and finance).
- b. State leadership effectively seeks and garners federal, state, and/or local resources to meet the needs of the statewide system.
- c. State leadership allocates sufficient resources to perform the administrative duties and responsibilities required under IDEA and other state or federal mandates (e.g. Part C and 619 lead agency FTE, proportion of the budget for infrastructure vs. services).
- d. State leadership assists local programs/districts to problem-solve and identify creative strategies to address fiscal and human resource challenges to promote implementation of evidence-based practices.
- e. State leadership seeks and supports opportunities for collaborating with other agencies/community partners to share fiscal and human resources across all early care and education initiatives.

**Quality Indicator GV7:** Leaders use written priorities with corresponding strategic plan(s) and evaluation to drive ongoing system improvement.

### Elements of Quality

- a. The vision/mission/purpose drives Part C and 619 priorities and strategic plan(s).
- b. The priorities and strategic plan(s) are based on data (e.g. monitoring, data systems, demographic projections) about the systems and services.
- c. The priorities and strategic plan(s) are developed with input from all relevant stakeholders.
- d. The priorities and strategic plan(s) provide clear and detailed information with regard to short and long term goals, strategies, responsible individuals, timelines, and benchmarks for evaluation.
- e. The priorities and strategic plan(s) are sanctioned and supported by those in authority.
- f. The priorities and strategic plan(s) are coordinated or aligned across agency partners (Part C, 619 and other early care and education initiatives) to ensure collaborative impact.
- g. The priorities and strategic plan(s) are transparent and communicated with all stakeholders.
- h. Part C and 619 state staff or representatives monitor the progress of the priorities and strategic plans and review and revise them as necessary based on data on progress and changing context.

**Quality Indicator GV8:** Part C and 619 state staff or representatives use and promote strategies that facilitate clear communication and collaboration, and build and maintain relationships between and among Part C and Section 619 stakeholders and partners.

### **Elements of Quality**

- a. A written formal communication process is in place that includes multi-level strategies detailing how information is shared, input is received, and responses are given (feedback loops) with stakeholders and partners at all levels of the system.
- b. Part C and 619 state staff or representatives monitor progress of the written communication process, reviewing and revising it as necessary, based on data on progress and changing context.
- c. Leaders use and encourage strategies that promote frank, respectful discussions and facilitate the development and maintenance of long-term collaborative relationships across agencies and partners.
- d. Leaders continuously gather and use information from stakeholders and partners at all levels of the system to inform decisions, influence state policy, and improve the system.
- e. Leaders regularly inform legislators, funders and public/private partners about the benefits and accomplishments of Part C and 619, and the continuing needs of the system related to the strategic plan.
- f. Leaders implement an effective public awareness campaign to ensure families and referral sources are aware of the benefits of program and how to access services.