

Systems Building through Governance Processes























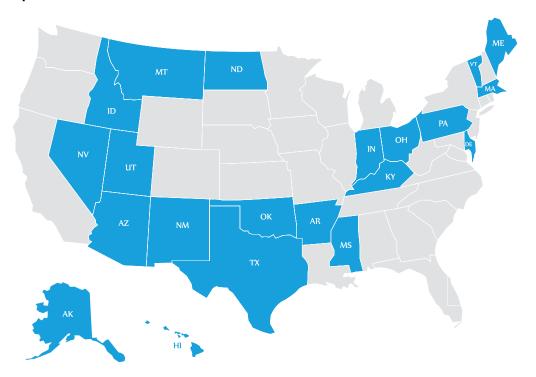




Introduction to In Brief: Learning from the New Round of PDG B-5 Systems Building Grants

Twenty-one states are drawing on the Preschool Development Birth through Five Renewal Grant (PDG B-5 Renewal) to advance their early childhood care and education (ECCE) systems. These states are undertaking a rich and broad variety of work with this infusion of resources. The BUILD Initiative, ZERO TO THREE, and Start Early, all of whom are members of the National TA Collaborative to Maximize Federal Early Childhood Investments, collaborated on these briefs to share critical early childhood issues that states and their partners are addressing by using the information available in the PDG B-5 Renewal applications. These grants not only provide immediate benefits and long-term systems implications for the states and their communities; they also shed light on the state of the field, which we attempt to outline through this set of briefs.

Figure 1 Map of PDG B-5 Renewal States 2023



PDG B-5 Renewal Grants are being used by states across a wide range of content areas in the early childhood care and education system, and in a variety of ways. The federal funding provides a systems framework and seeks to offer flexibility within that framework. The federal funding came with overall guidance focused on coordinating the programs and services within the early childhood care and education system. It aimed to help young children enter kindergarten prepared and ready to succeed by targeting support to populations the states deem priorities based on their assessments of need, particularly their new understanding of the impact of COVID on families and communities. The guidance placed significant emphasis on the early childhood care and education workforce and doing what it would take to attract, train, and retain the workforce needed to maintain high-quality and supportive environments that promote child development and can meet families' unique logistical, linguistic, cultural, and financial needs. Within that broad framework, however, states had enormous latitude. This series of briefs will make clear that states are charting their own course, with many strategies being used to develop and improve their early childhood systems.

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States are using the federal funding to build capacity, create infrastructure, provide direct services, and pilot work that is new for them. This work is occurring within a broad framework provided by the federal government. As the review of the grant applications in this series of briefs will make clear, states chart their own course when it comes to early

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childhood systems development. States are working in many varied and exciting ways as they use these resources to take action to improve their ECCE systems; they are undertaking many different projects and initiatives and, often, multiple projects under each of the required activities.

Our review suggests that states seem hesitant to take too long a view for their PDG B-5 Renewal plans. There are many possible explanations for this. Perhaps it is because each iteration of the federal PDG B-5 competition has been different, and states do not see PDG B-5 as a stable, continuous funding source. It could also be that state decisions that seem to focus on the shorter term could stem from the need to manage expectations and produce near-term results. There could be a lack of confidence amongst the state and territory grantees that state funding will be available to sustain the work. Or it may be that the broad framework used in the PDG B-5 competition, with so many possibilities identified with each of the required activity areas, detracts from states' ability to have a sharp focus, and leads to many responsive, diffuse strategies. We must ask: Would the children and families who want and need early childhood care and education, the workforce that delivers it every day, and the states be better off if the states understood that they could choose to have a concentrated focus on a few projects rather than on so many?

This series of briefs focuses attention on several topics within PDG B-5 Renewal implementation activities. Not all critical topics or aspects of PDG B-5 Renewal plans are covered, such as updates to needs assessment and strategic plans, but we anticipate that other organizations will continue to analyze this rich set of plans and share their analyses. We note, as well, that the briefs are grounded in the plans submitted by the states to the federal government. States may modify their plans, and their grant submissions did not allow for the states to provide in-depth information.

To access the full set of briefs in this series, which are being produced throughout 2023, please visit: https://buildinitiative.org/learningfrompdgb-5systemsbuildinggrants/

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Why Systems Building through Governance Processes

Governance processes—such as how decisions are made and who contributes to decision making—are major contributors to the development of each state and community's early childhood care and education (ECCE) system. PDG B-5 Renewal plans address this important element of systems building. While governance discussion in ECCE often

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centers on questions about the form of governance at the state level (coordinated across multiple agencies, consolidated into one agency), PDG B-5 Renewal requires states to address the process of governance, specifically focusing on issues of participation in and contribution to decision making by a variety of constituents who are impacted by choices that state agencies make.

Key aspects of governance processes that contribute to systems building that are addressed through PDG B-5 renewal include:

- · How state plans engage critical constituents, especially families and providers of ECCE services, in the development and implementation of their work.
- The role of State Early Childhood Advisory Councils in policy and programmatic decision making.
- How states plan to work together when multiple state agencies are contributors to the state's ECCE system.
- States' sustainability plans for work spawned by PDG B-5 Renewal.

Additionally, some state PDG B-5 Renewal plans are considering not only governance processes at the state government organizational level, but also the processes to support community ECCE systems building.

State governments typically have formal opportunities for those interested in or impacted by formal government decisions—such as legislation or regulation—to weigh in through obligations for open meetings, open records, and public opportunity to comment on formal public policy and regulations within state agencies. The focus on participation in governmental processes for PDG B-5 Renewal plans is less on these formal regulatory and legislative processes, and more on input into state agency policy and program decision making from ideation through implementation.

There are many valid reasons to focus on who and how people participate in governance processes. People from different communities bring different ways of knowing about issues to the table. And, as reflected in PDG B-5 Renewal plans, states certainly seem to understand that there is more work to do to ensure family members or early childhood workforce members contribute in this way. When multiple perspectives are involved, processes can be slowed down, especially as family and workforce members come from communities, but not necessarily single organizations. Thus, these individual community members who are not necessarily "at the table" representing an organization--may not themselves be as unified in how they understand a problem, conceptualize a solution, or see the ultimate goal. States can act more as a facilitator as they recognize the need for more family and provider voices in planning, policy, and implementation. States can move away from unilateral decision making and towards participatory



















decision making. This sort of change can confer important benefits to state governance, making it more adaptive and aiding legitimacy, transparency, accountability, responsiveness, and equity. An inclusive, welcoming approach to multiple voices—especially those of families and ECCE providers—is in keeping with checks and balances, a core democratic concept, drawing upon multiple perspectives in considering options, and ensuring that those with authority have provided sufficient, meaningful opportunity for diverse input.

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Discussion of Systems Building through Governance Processes

Table 1 provides an overview of five areas, along with more than two dozen strategies, that are addressed by state plans for PDG B-5 Renewal in the area of systems building through governance processes. The five areas are 1) Advisory Council representation, 2) family voice in state policy and implementation, 3) state agency partnerships, 4) community systems building, and 5) sustainability. Discussion of each of these five areas, with highlights from the strategies being used, is found after the table.

¹ See B. Cosens et al, Governing complexity: Integrating science, governance, and law to manage accelerating change in the globalized commons, Proceedings of the National Academy of Sciences 2021, Volume 118, retrieved from https://www.pnas.org/doi/10.1073/pnas.2102798118.



















Table 1. Governance Process Strategy Overview

GOVERNANCE PROCESS STRATEGY	AK	AZ	AR	DE	HI	ID	IN	KY	ME	MA	MS	MT	NV	NM	ND	OK	ОН	PA	TX	UT	
Advisory Council Representation																					
Broaden representation on existing Advisory Council(s)	•					•			•												
Leverage existing Advisory Council(s)	•	•	•	•	•		•	•	•	•	•	•	•	•	•	•	•	•	•	•	
Expand Regional Councils											•										Ī
Family Voice in State Policy and Implementation																					
Create new Family Council			•				•			•		•									T
Add families to Statewide Advisory Council						•			•											•	
Leverage existing Family Advisory Council														•			•				
Create Regional Family Advisory Council											•										
Create new state Family Engagement staff lead													•								
Use existing state Family Engagement staff lead																		•			
Provide leadership support to families																		•			Ι
Pay families to participate			•																	•	
State Agency Partnerships																					
Leverage existing infrastructure (i.e., work groups, committees)				•	•											•			•		Ī
Create PDG B-5 specific state work groups										•											
Build system thinking capacity															•						
Community Systems Building																					
Create local strategic plans						•															Ī
Tap local collaboratives for systems coordination								•			•										
Accelerate local collaboratives														•							Ī
Pilot local collaboratives										•											
Sustainability																					
PDG B-5 used to build capacity/system	•	•					•			•					•	•			•		Ī
Locals create sustainability plans			•																		
Seek greater efficiencies, blended funding, and alignment			•					•				•				•		•		•	Ī
Use PDG B-5 to test new systems approach				•																	
Use evaluation results					•				•	•			•			•	•				Ī
Identify public or private replacement funds							•					•		•		•	•			•	
Create a sustainability plan								•		•				•							
Engage partners								•	•	•		•	•	•			•	•			
Dedicate staff to advance sustainability											•										Ī
Providers meet to reinforce best practices					•							-									

























Table 2. Advisory Council Representation

	AK	ΑZ	AR	DE	н	ID	IN	KY	ME	МА	MS	MT	NV	NM	ND	ок	ОН	PA	ТХ	UT	VT
Broaden representation on existing Advisory Council(s)	•					•			•												
Leverage existing Advisory Council(s)	•	•	•	•	•		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Expand Regional Councils											•										

All states responded affirmatively to prompts in the federal PDG B-5 Renewal guidance about using their state early childhood advisory council in their PDG B-5 Renewal work. Massachusetts and New Mexico noted that they would be using multiple advisory groups to assist with PDG B-5 Renewal. Massachusetts named a new Family Advisory Council and existing Workforce Advisory Council, and State Early Childhood Advisory Council. New Mexico noted its Tribal Advisory Council, Family Leadership Council, and Early Childhood Education and Care Advisory Council, indicating that use of all three of these bodies would also meet its equity goals. Broadening representation to include more people is a strategy being used by Arkansas, Idaho and Maine. Indiana noted that it had recently expanded provider participation in its council, based on a new statutory authorization that places additional emphasis on provider voice. Indiana notes that its newly constituted council includes a family child care home provider, a representative of a large center-based network, and that the state law also requires representation from at least one Head Start, one school, and community and business leaders.

> Indiana recently expanded provider participation in its council, based on a new statutory authorization that places additional emphasis on provider voice, including a family child care home provider, a representative of a large center-based network, and representation from at least one Head Start and one school.



























Table 3. Family Voice in State Policy and Implementation

	AR	ID	IN	ME	MA	MS	MT	NV	NM	ОН	PA	UT	VT
Create new Family Council	•		•		•		•						
Add families to Statewide Advisory Council		•		•								•	
Leverage existing Family Advisory Council									•	•			•
Create Regional Family Advisory Council						•							
Create new state Family Engagement staff lead								•					
Use existing state Family Engagement staff lead											•		
Provide leadership support to families to facilitate meaningful participation											•		•
Pay families to participate	•											•	•

States are proposing several different strategies to engage families in the design and implementation of state policy. But one strategy stands out amongst all of them, and that is the use of Family Advisory Councils. Four states—Arkansas, Indiana, Massachusetts, and Montana--are creating new Family Advisory Councils; three states—New Mexico, Ohio and Vermont—are leveraging existing Family Advisory Councils. Of note is the approach being used in Ohio, where this work is being connected to existing infrastructure for family voice that exists outside of state government. Ohio is using existing groups organized and staffed by nonprofit organizations outside of government, including an advocacy organization. Three states are adding families to their Statewide Advisory Councils or statewide groups, including Idaho, Maine, and Utah. For Maine, they are using their Early Childhood Comprehensive Systems grant Collaborating Partners Advisory Group (CPAG) to provide guidance and input; half of the 40 participants are parent representatives or represent parent serving organizations.

Having dedicated family engagement staff leadership within state agencies is another facet of the work. Two state PDG B-5 Renewal plans note that they are doing this—Nevada is creating a new position within the state to serve as a family engagement lead, and Pennsylvania is leveraging its existing staff lead in this area. Both Pennsylvania and Vermont are supporting families in their participation by providing them with leadership support to build their capacity to be part of the process.

Three of the state plans explicitly note that they are compensating families to participate with direct funding or gift cards: Arkansas, Utah, and Vermont.



























Table 4. State Agency Partnerships

	DE	ні	MA	ND	ОК	TX
Leverage existing infrastructure (i.e., work groups, committees) for state agency partnership	•	•			•	•
Create PDG B-5 specific work groups for state agency partnerships			•			
Build capacity for system thinking				•		

For many states, the work of PDG B-5 Renewal spans more than one state agency, and some states addressed how they plan to work across their organizations to ensure that they are making the most of intra-agency opportunities, whether they are as simple as sharing information (networking), sharing plans and looking to cooperate in planning or implementing, or as complex as co-designing and actively collaborating on PDG B-5 Renewal work. Delaware, Hawaii, Oklahoma and Texas are relying on their existing infrastructure, such as work

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groups or inter-agency liaisons, that will be leveraged to ensure communication, coordination, and possibly collaboration across state agencies. Massachusetts plans to create a work group to ensure communication and coordination. One state, North Dakota, indicated that the work requires a deeper understanding of systems thinking and noted it will be working with consultants to build its capacity in this area.























Table 5. Community Systems Building

	ID	КҮ	MA	MS	NM
Create local strategic plans through local collaboratives	•				
Tap local collaboratives for systems coordination		•		•	
Accelerate systems building through local collaboratives					•
Pilot many types of local collaboratives to determine future collaboratives			•		

The PDG B-5 Renewal plans show that a few states called out a community dimension to their systemsbuilding approach. There are different ways that states are working with communities as part of an intentional approach to systems building for early childhood care and education.

Idaho has pre-existing local collaboratives with an early childhood focus that are supported by a combination of public and private funds. As part of PDG B-5 Renewal, these collaboratives will be putting together their own strategic plans that, in turn, will inform state documents.

Two states—Kentucky and Mississippi—indicate that local collaboratives in their states will play a key role as systems coordinators at the local level. Kentucky uses its local workforce board catchment areas. These local collaborations focus on aligning birth-to-five programs and strategies, reducing duplication, and leveraging additional resources. Early childhood profiles (data sets) are provided to the collaborative. Other capacitybuilding supports will be provided, in collaboration with Partners for Rural Impact, that address continuous quality improvement, progress monitoring, learning supports, and cross-sector partnership to assist with sustainability. Mississippi will continue many existing cross-agency projects to sustain, enhance, and provide seamless services such as the Mississippi Transition Toolkit for Families and early provider and a partnership with family resource and referral centers across the state to provide multi-agency family engagement fairs for the purpose of exposing families to the many resources various state agencies provide while delivering one united message.

In New Mexico, PDG B-5 funds are set aside to support existing local collaboratives through an accelerator program that will focus on strategic analysis, building the capacity for change, and supporting catalytic efforts.

Massachusetts is seeking to pilot diverse local collaborative approaches. Massachusetts plans to use subgrants to local lead organizations that bring together, and secure participation from, local partners across the full spectrum of ECCE programs—defined by Massachusetts as Head Start, public school programs, Family Resource Centers, community-based centers and family child care providers, and a broad range of service providers. The focus is on a comprehensive, coordinated local system serving families, educators, and programs with attention to services for infants and toddlers as well as preschoolers. From the expected diversity of approaches that are proposed and implemented, Massachusetts plans to identify effective local models of coordination that can be integrated into the larger statewide system, and hopes to bring this investment to scale.





















Table 6. Sustainability

	AK	ΑZ	AR	DE	НІ	IN	KY	ME	MA	MS	МТ	NV	NM	ND	ОК	ОН	PA	ТХ	UT	VT
Capacity Impacts																				
PDG B-5 used to build capacity/system	•	•				•			•					•	•			•		
Locals create sustainability plans			•																	
Seek greater efficiencies, blended funding, and alignment			•				•				•				•		•		•	
Use PDG B-5 to test new systems approach; sustain what works				•																
Critical Elements																				
Use evaluation results to inform what to seek to sustain					•			•	•			•			•	•				•
Seek to identify public or private replacement funds						•					•		•		•	•			•	
Create a sustainability plan							•		•				•							
Engage partners to achieve sustainability							•	•	•		•	•	•			•	•			
Dedicate staff to advance sustainability										•										
Providers will meet and support each to sustain best practices					•															

PDG B-5 Renewal plans all have a section dedicated to discussing sustainability. Creating the conditions for sustainability, and achieving sustainability, is difficult, challenging work that requires a focus from day one on change and improvement efforts. Many of the states providing information on their plans in this area have listed multiple strategies. Drawing upon this section of state plans, the most common strategies (with at least six to eight states mentioning them) are noted below.

- Focusing PDG B-5 Renewal on systems building that will leave its own footprint and legacy without necessarily continuing funding investments from PDG B-5, as reflected in plans from Alaska, Arizona, Indiana, Massachusetts, North Dakota, Oklahoma, and Texas.
- Sustaining successful efforts by seeking improvements in alignments or efficiencies that could allow for continued funding of PDG B-5 Renewal work, as reflected in plans from Arkansas, Kentucky, Montana, Oklahoma, Pennsylvania, and Utah.
- Using evaluation results to inform what should be considered for sustainability, as reflected in plans from Delaware, Maine, Massachusetts, Nevada, North Dakota, Oklahoma, and Vermont.













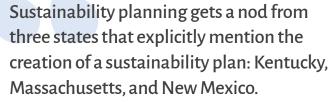






- Actively seeking public and/or private replacements funds to allow for sustainability of PDG B-5 Renewal efforts, as reflected in plans from Hawaii, Mississippi, New Mexico, Oklahoma, Ohio, and Utah.
- Working with partners in the broader community to create support for and pursue sustainability, as reflected in plans from Kentucky, Maine, Massachusetts, Montana, Nevada, New Mexico, Ohio, and Pennsylvania.

These are not the only approaches mentioned. Sustainability planning gets a nod from three states that explicitly mention the creation of a sustainability plan: Kentucky, Massachusetts, and New Mexico. Additionally, Mississippi plans to hire staff to help focus on sustainability. Arkansas is asking locals to create their own sustainability plans. Delaware plans to use PDG B-5 Renewal to test out new systems approaches and to apply those that are successful to its whole system.

























PDG B-5 Renewal provided states with opportunities to further articulate how they are working in crucial areas to strengthen the contribution of families and ECCE providers to state policy and implementation; to conceive of community and state systems; and to tackle sustainability proactively. Within each of these areas, there is much to build on and much more to do; we call out actions for both state and federal leaders to undertake.

Steps to strengthen family and ECCE provider contribution to state policy and implementation. The contribution of many partners, including families and early childhood care and education providers, to state systems policy and implementation is critical if we are ever to attain an equitable, fair, and just approach to early childhood care and education. Beyond the work outlined in PDG B-5 Renewal plans to create family advisory councils and to add families and providers to these bodies, there are other opportunities for this work to be as robust as possible and to result in the most meaningful benefits.

Effective participation takes intentional effort by everyone involved. Some PDG B-5 Renewal plans call out support for this to take place, whether working with state staff, council participants, or families and providers.

State leaders should be asking if there are enough family and provider representatives who are impacted by the state's policies and programs on these advisory groups to yield impact and influence. There is power in numbers. Also, families and providers' views may not always be seen by all participants as the most relevant, or may be dismissed based on implicit or explicit biases involving race, ethnicity, gender, geography, and/or class. Providing for sufficient numbers of families and providers who are directly impacted by state policy and implementation decisions is critical.

Effective participation takes intentional effort by everyone involved. Some PDG B-5 Renewal plans call out support for this to take place, whether working with state staff, council participants, or families and providers. Each represents a constituency that needs support. For example, active listening practices can be tough to implement in environments that do not have clear principles of delegated leadership and authority. Changing norms and practices that ensure that those who have often been at the margin in state policy and implementation discussions is a big undertaking.

Family members and providers who are being asked to contribute their time and expertise often do not have jobs that include these activities, raising the issue of payment. At least three PDG B-5 Renewal plans call for payment. Beyond this issue, meetings are often scheduled at the convenience of those with standard day-time job schedules. As part of an intentional approach, issues such as meeting time of day and meeting location also should be addressed to ensure effective participation.

Whether through future rounds of PDG B-5 grantmaking or other ways, more focus is needed on strategies with sufficient depth and breadth so that the conversation about relying on the expertise of families and providers in public-sector policymaking and implementation does more than scratch the surface.

PDG B-5 Renewal plans show a pattern of using or creating family advisory councils. With so many of these gaining support through PDG B-5 Renewal, we recommend opportunities to bring together participants and

















staff from these councils from around the country to learn from one another. Another strategy to explore is the development of participatory evaluation so that it is possible to identify solid practices to support this work in the context of state early childhood education and care systems development.

Community and state systems. Working with others across unit, division, and organizational boundaries is an essential aspect of systems building. It is hard enough to share information and keep others informed. Greater investment of time and effort is needed for collaboration. While the risks may be higher, the potential impacts are also greater. As the federal government and states consider the multiple governmental entities that need to work together effectively for systems building and implementation, consideration should be given to legitimizing resource allocation and to focusing on this topic as equally important to how the needs of children, families, and the workforce are more meaningfully addressed.

While PDG B-5 Renewal plans are not meant to reveal all of a state's work, the few states that elected to discuss community systems building and its connection to state systems building stands out. This is an area for future growth and opportunity.

A comprehensive approach to sustainability. Providing some information on sustainability was a requirement for all applicants, and continued federal insistence on this topic, whether in the context of competitive, one-time grants or ongoing public investment, will aid everyone who is committed to having a well-financed, equitable, quality early childhood system that puts the needs of children and their families first and values the early care and education workforce members who do the day-to-day heavy lifting. More is known about how to approach sustainability and some of the key elements that can be helpful to achieving sustainability. Getting information to states through federal grant guidance (application processes) and promotion of existing guides and briefs on the topic, would help elevate the importance of comprehensive sustainability planning and strategy, and help states more comprehensively from day one. This is especially critical for future iterations of PDG B-5 or other grant programs that are not designed to yield ongoing operating funds, so that efforts—whether they are basic or innovative—can lead to change and durability beyond the grant period.



