# Data Governance Checklist

Source: https://www.fdot.gov/cim/division/dg.shtm

The Florida Statutes defines data governance as **"the practice of organizing, classifying, securing, and implementing policies, procedures, and standards for the effective use of an organization's data."** It ensures that an organization's data is formally managed to facilitate the use of information for strategic planning and key decision-making.

As a corporate asset, **data has value well beyond immediate needs** so it must be carefully managed throughout its entire life cycle. Data life cycle management is key to the flow of the information assets throughout an organization, from planning and creation to the time when data becomes obsolete and is no longer needed.

The **Data Governance Checklist**, managed by Enterprise Data Stewards, is intended to be a quick-reference guide for important data governance considerations in Transportation Technology projects. The checklist is a living document that is updated as needed to assist with the Department's governance efforts.

When initiating any new technology project, staff should refer to **official agency guidelines** as defined in the department's current policies and procedures.
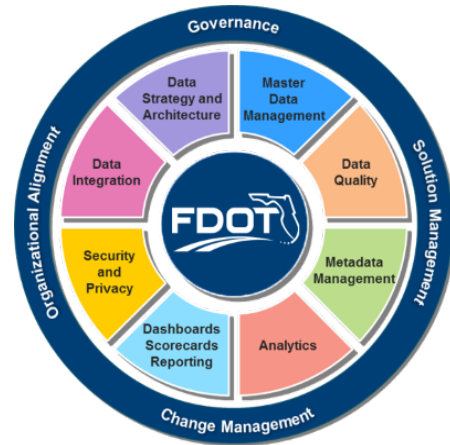


**Key Sections:**
Pre-Planning
Decision-Making Authority
Data Inventories / Content Management
Data Access
Data Integration
Data Quality
Data Records Management
Data Security and Risk Management
Data Volume
Standard Policies and Procedures
Tools
Change Management

| Data Governance Checklist | | | | | |
|---|---|---|---|---|---|
| **PRE-PLANNING** | | | | | |
| **Considerations** | | **Phase** | **Yes** | **No** | **Comments** |
| 01 | Have you considered how the methods used to develop the project (outsourcing, hybrid approach, etc.) could impact agency costs? | **Planning** | | | |
| 02 | Have you agreed upon and documented the process that both parties will follow when a technology-related contract ends (disentanglement)? | **Planning** | | | |

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| 03 | Have you considered if there are any additional costs to obtain or migrate agency data once a technology-related contract ends (data download, staff support, alternate storage solution, extended hosting, time required for data migration)? | **Planning** | | | |

**DECISION-MAKING AUTHORITY**

| **Considerations** | **Phase** | **Yes** | **No** | **Comments** |
|---|---|---|---|---|
| 04 Has your technology project received executive approval for acquisition or development in accordance with the [Technology Proposal Process](#)? | **Initiation** | | | |
| 05 Has an Assistant Secretary provided final approval for the funding source prioritization? | **Initiation** | | | |
| 06 Have you determined how the data will support agency business decisions or actions? | **Planning** | | | |

**DATA INVENTORIES / CONTENT MANAGEMENT**

| **Considerations** | **Phase** | **Yes** | **No** | **Comments** |
|---|---|---|---|---|
| 07 Have you identified the owner and functional coordinator for your application? | **Initiation** | | | |
| 08 Have you provided a listing of the key project stakeholders to your [Enterprise Data Steward](#)? | **Planning** | | | |
| 09 Have you contacted the [Enterprise Data Steward](#) for your functional area to register your application/tool in the [Technology Asset Inventory](#)? | **Planning** | | | |
| 10 Have you contacted the [Enterprise Data Steward](#) for your functional area to register any dynamic reports related to your application/tool in the [Technology Asset Inventory](#)? | **Planning** | | | |
| 11 Have you defined the key business terms for your application? | **Execution** | | | |
| 12 Have you defined the technical metadata for your application? | **Execution** | | | |
| 13 Have you defined the business metadata for your application? | **Execution** | | | |

| | | Data Governance Checklist | | | | |
|---|---|---|---|---|---|---|

| | | | Phase | Yes | No | Comments |
|---|---|---|---|---|---|---|
| 14 | Have you determined if your data would reside domestically in the United States in accordance with Rule 60GG-4.002(6), F.A.C.? | | Planning | | | |

**DATA ACCESS**

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 15 | Does your application contain data that could be considered personally identifiable information (PII), is sensitive or confidential in nature, and is exempt from public records requests by statute? | Initiation | | | |
| 16 | Do you understand the data structures and how they support the business functions? | Planning | | | |
| 17 | Have you defined a strategy for transforming data elements into useful information? | Planning | | | |
| 18 | Have you identified ways to query data and present it in a useable format? | Planning | | | |
| 19 | Have you clearly defined the method for extracting, transforming, and loading (ETL) your application data? | Execution | | | |

**DATA INTEGRATION**

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 20 | Have you considered the need for integration with current and future technologies managed in other business areas? | Planning | | | |
| 21 | Have you considered other business areas that may be impacted by your application? If so, have you considered adding additional fields to further interoperability? | Planning | | | |
| 22 | Has the process for data quality assurance been clearly defined? | Planning | | | |
| 23 | Have you considered building upon existing data structures that can be reused often? | Planning | | | |
| 24 | Does your application have any associated application programming interfaces (APIs) or related services for data sharing? | Execution | | | |

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**DATA QUALITY**

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 25 | Have you provided copies of your application user guides to the Transportation Technology Process Quality and Improvement Division for your business area? | Execution | | | |
| 26 | Are standard department formats used for your application data (see Technology Resource Standards - Database Design Standards)? | Execution | | | |
| 27 | Are the definitions for the data (for example table codes) clearly defined so that the same references are used throughout (see Technology Resource Standards – Database Design Standards)? | Execution | | | |
| 28 | When definitions are applied, are the values reliable and consistent (see Technology Resource Standards – Database Design Standards)? | Execution | | | |
| 29 | Have you considered the use of pre-populated menus, autocompletion or type-ahead features to prevent data quality issues? | Planning | | | |
| 30 | Have you considered making your application mobile responsive so that it is optimized for devices of different sizes, thereby supporting data quality? | Planning | | | |

**DATA RECORDS MANAGEMENT**

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 31 | Has a records retention schedule been set/identified for your application data? | Planning | | | |
| 32 | Is your application data stored on-premises (within the department's networks)? | Execution | | | |
| 33 | Is your application data stored externally (outside of the department's networks)? | Execution | | | |
| 34 | Have you identified where the current back-ups exist for your data? | Execution | | | |
| 35 | Have you identified the staff that need to be involved in the data management process? | Execution | | | |

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| 36 | If your application data will be hosted by a third-party, have you documented the process and identified any additional costs that may be associated with downloading or removing your data from the cloud/platform? | **Planning** | | | |
| 37 | If your data requires a data agreement, has Civil Integrated Management; Information Technology, Information Security and the Office of the General Counsel been contacted to review the document prior to its execution? | **Planning** | | | |
| 38 | Has a copy of your signed data agreement been included in the Department's statewide repository in accordance with Rule 60GG-5, F.A.C. | **Planning** | | | |

## DATA SECURITY AND RISK MANAGEMENT

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 39 | Has a security plan been completed or updated for your application? | **Execution** | | | |
| 40 | Are you creating any risks for the agency by publishing any confidential, sensitive, or proprietary data? | **Planning** | | | |
| 41 | Could your application or its data be deemed critical in accordance with Florida Administrative Code 60GG-2? If so, have you contacted your Enterprise Data Steward to document this information? | **Planning** | | | |

## DATA VOLUME

| | Considerations | Phase | Yes | No | Comments |
|---|---|---|---|---|---|
| 42 | Have you considered the amount of storage that will be needed for the volume of data produced by your application each year and in subsequent years in accordance with the records retention policy? | **Planning** | | | |
| 43 | Will there be any immediate (substantial) impacts to the department's existing storage? | **Planning** | | | |
| 44 | Will a large amount of data be migrated with your project? | **Planning** | | | |

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| 45 | Have you considered how often the data will need to be accessed or updated? | **Planning** | | | |
| **STANDARD POLICIES AND PROCEDURES** | | | | | |
| **Considerations** | | **Phase** | **Yes** | **No** | **Comments** |
| 46 | Have you reviewed the key agency guidelines, policies, and procedures for your data/application project (see below)? | **Planning** | | | |
| 47 | Have you identified the relevant business processes, and the data that supports it? | **Planning** | | | |
| 48 | Is this application or its related data mandated by state or federal law? Have these legal mandates been shared with your Enterprise Data Steward? | **Initiation** | | | |
| **TOOLS** | | | | | |
| **Considerations** | | **Phase** | **Yes** | **No** | **Comments** |
| 49 | Can existing agency tools, that are Department standards, be used to solve your business problem? | **Planning** | | | |
| **CHANGE MANAGEMENT** | | | | | |
| **Considerations** | | **Phase** | **Yes** | **No** | **Comments** |
| 50 | Have you considered what training resources may be needed to facilitate the adoption of this new tool/resource? | **Planning** | | | |

**Related Forms, Policies and Procedures**

*Data Governance* (Policy 001-325-064)
*This policy establishes data governance as a priority for the Florida Department of Transportation.*

*Records Management* (Procedure 050-020-025)
*The application of systematic controls applied to record information required in the operation of the Department's business and instituted to achieve control over records from the time of their creation to their ultimate disposition.*

*Security and Use of Information Technology* (Procedure 325-060-020)
*It is the policy of the Department of Transportation to treat information and information technology resources as strategic assets and to protect those assets from misuse, abuse, and loss through the management of a comprehensive information technology resources security program.*

*Technology Resource Standards*
*Application development standards for technology projects.*

[Transportation Technology Manual](#) *(Procedure 325-000-002)*
*The Transportation Technology (TT) Manual contains the standards, guidelines, and requirements related to information technology resources. The Manual ensures consistency for the proper acquisition, security, use, distribution, and disposal of information and information technology resources, and helps to ensure that information and information technology resources are used to maximum efficiency.*

**Related Laws, Rules, and Regulations**

*Florida Statutes*
- [Communications and Data Processing](#) *- Chapter 282, Florida Statutes*
  - [Cloud First Policy in State Agencies](#) *- Section 282.206, Florida Statutes*
  - [Cybersecurity](#) *– Section 282.318, Florida Statutes*
  - [State Data Catalog and Data Dictionary](#) *- Section 282.0051(3)(a)(b), Florida Statutes*
- [Computer Related Crimes](#) *- Chapter 815, Florida Statutes*
- [Public Records](#) *– Chapter 119, Florida Statutes*
- [Safety and Security Services](#) *- Section 281.301, Florida Statutes*

*Florida Administrative Codes*

- [Cloud Computing](#) *- Rule 60GG-4, Florida Administrative Code*
  - [Cloud Procurement and Contractual Elements](#) *(Geographic Location of Data) - Rule 60GG-4.002(6), Florida Administrative Code*
- [Florida Cybersecurity Standards](#) *- Rule 60GG-2, Florida Administrative Code*
- [Records Management - Standards and Requirements](#) *- Rule 1B-26, Florida Administrative Code*
  - [Electronic Recordkeeping](#) *– Rule 1B-26.003, Florida Administrative Code*
  - [Microfilm Standards](#) *- Rule 1B-26.0021, Florida Administrative Code*
- [Records Retention Scheduling and Disposition](#) *– Rule 1B-24, Florida Administrative Code*

*Other Laws and Regulations*
- [Copyright Law of the United States](#) *- Title 17, United States Code*
- [General Records Schedule GS1-SL for State and Local Government Agencies](#) *– Florida Department of State*
- [Government-in-the-Sunshine Manual](#) *– Exemptions, Florida Office of the Attorney General*
- [Managing Florida's Public Records](#) *– Florida Department of State*
- [Section 508](#) *– Rehabilitation Act of 1973*
- [U.S. Patent and Trademark Office](#) *- Rules of Practice and Federal Statutes*

**Other References**

- *Business Metadata - Information that provides meaning and context to the business data of the organization.*
- *Key Business Terms – The unique terminology used in a functional business area.*
- *Project Phases*
  - *Initiation – The beginning of the project where its objectives, scope, purpose and deliverables are produced.*
  - *Planning – The second phase of a project where a set of plans are created to help guide your team through the execution and closure phases of the project.*
  - *Execution – The longest phase of the project with the most deliverables and outputs.*
  - *Closure – The final phase of the project where all deliverables are now complete.*

- *Technical Metadata - Information that provides meaning and context to the technical data of the organization.*

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