

## C.3: Worksheet — Pre-Engagement Planning

### 1. Prepare answers to basic questions on process and substance

Informing *and* engaging stakeholders at the same time is a challenge. Ensure that enough time is set aside to bring everyone up to speed on the basics of how data could be used and protected, particularly with non-technical stakeholders.

IDS should be able to communicate to stakeholders (at least preliminarily) about:

#### › Personnel:

- Who will have ultimate decision-making authority?
- Who are the subject matter experts?
- Who will be stakeholders' primary point of contact?
- Who else will be participating in the engagement exercise?

#### › Process:

- What aspects of the IDS or use case will stakeholders be able to influence?
- How long is the engagement intended to last?
- Will discussions be held in person or online?
- Will discussions, attendance, or other notes be made public, kept confidential, or other (e.g., "Chatham House Rule,"<sup>38</sup> subject to Freedom of Information requests, etc.)?

#### › Proposed goals of the IDS:

- How will the IDS or IDS use case benefit the community?
- What questions will the IDS or IDS use case answer?
- What policy outcomes could this IDS or IDS use case lead to?
- How likely are those outcomes?
- How does this IDS or use case fit into the mission or agenda of other internal stakeholders or key elected officials?
- How and when will results be shared?

#### › Proposed privacy and ethical considerations:

- What legal or ethical codes will apply to your use of administrative data?
- What are potential risks to individuals' privacy and civil liberties?
- Could the data reflect biases (including racial or socioeconomic)?
- How (besides this engagement) has the IDS incorporated community input and expectations around data and privacy?
- Which communities will be most likely to benefit from the IDS or use case?
- Which communities could be excluded or harmed?

#### › Proposed data and privacy protocols:

- What specific data elements would the IDS or IDS use case include?
- How (besides this engagement) will impacted communities be given notice about how their data is used and protected?
- Who will have access to the IDS's data, and how will they be vetted and supervised?
- How long will the data be retained?
- How will data be secured?
- What if there is a data breach?
- How will data be de-identified?
- What will happen to the data after the IDS or use case ends?
- What oversight or remedies might be offered if privacy is violated?
- Will other government entities have access to the data (e.g., law enforcement, federal agencies, etc.)?
- What efforts will the IDS take to account for systemic data biases?

**Tips:**

- › Do not arrive at an engagement activity with firm and finalized plans about how data will be used and protected, but also do not arrive with a blank slate. Engagement leaders can strike a balance by providing clear and detailed proposals for how the IDS or use case *might* progress for stakeholders to respond to, as well as by providing time for stakeholders to suggest their own alternatives.
- › Make this information available to the public beforehand, in a variety of formats, and invite questions in advance of your engagement activities.

**2. Identify what informational or discussion materials you will need**

Particularly when bringing stakeholders together to discuss issues like privacy and appropriate data use, providing baseline informational materials about the IDS and its proposed use case is critical to ensuring everyone is on the same page and can meaningfully participate in your engagement activity.

Based on your answers above, identify what kinds of substantive materials will need to be generated to ensure a productive engagement. Items to consider include:

- › Proposed scope of your IDS or use case (research questions, methodology, budget, timeline, metrics of success)
- › Engagement plan (timeline, activities, decision-making, results)
- › Communications materials (FAQs, one-pagers, infographics, videos, visual aids)
- › Technical explainers (law, data, security, privacy, research methods)
- › Bibliographies, literature reviews, or related academic works
- › Biographies and contact information (IDS staff, researchers, invited experts, engagement participants)
- › Expert opinions, reports, or impact assessments (privacy, ethical, environmental, de-identification)

**Tips:**

- › Multiple versions of informational documents may be necessary, depending on the breadth of the engagement, language or literacy differences among participants, and the technical sophistication of different stakeholders.
- › Consider inviting subject matter experts to translate technical information into plain language that everyone can understand.