



# PLANNING AN ETHICAL DATA STRATEGY FOR JUSTICE TRANSFORMATION:

Tools for Creating your own Data Strategy

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# Brainstorming Tool: Developing Your Data Principles, Part I

The following two charts will help you synthesize your stakeholder engagement and outside research in order to brainstorm your data principles. On this page, list common data opportunities shared by your stakeholders in the left-most column. In the second column, write down any examples you find in your research on how other jurisdictions have realized this opportunity. In the third column, reflect on how realizing this opportunity may advance your initiative's overall goals. And, in the fourth column, note what your initiative would need to do to realize the opportunity. Text from the fourth column can be directly incorporated into your initiative's data principles.

## Data opportunities identified by stakeholders

**EXAMPLE:** Data can help program partners have a shared understanding of successes and challenges

## What has this looked like in other initiatives?

**EXAMPLE:** MAP, in NYC, shares data at every community meeting to help guide discussions

## How could this opportunity advance our initiative's goals?

**EXAMPLE:** Sharing data at community meetings could help all partners work together to figure out how to improve our program

## What would it take to realize this opportunity?

**EXAMPLE:** We need to collect data people care about, we need a plan to share it at our meetings.

# Brainstorming Tool: Developing Your Data Principles, Part II

In the left most column, list common data concerns or feared outcomes shared by your stakeholders. In the second column, note examples of this negative outcome in other initiatives. In the third column, reflect on how this negative outcome may endanger your initiative goals. And, in the fourth column, note what your initiative needs to do to reduce the risk of this outcome occurring. As with the first page, content from the fourth column can be directly incorporated in your initiatives data principles.

## Stakeholders' concerns or feared outcomes

**EXAMPLE:** Data analysis may lead us to focus on what can be measured, instead of on what matters

## What has this looked like in other initiatives?

**EXAMPLE:** "Tyranny of Metrics" has hurt other programs

## How could this feared outcome endanger our initiative's goals?

**EXAMPLE:** It would shift our focus from helping youth and it could harm our relationship with our partners and the community

## What would it take to prevent this feared outcome or alleviate this concern?

**EXAMPLE:** Balancing quantitative data with qualitative information, analyzing data with our partners so that we make sure it says what we think it does

# Identifying Data Needs Template

This template will help you plan how you can use data to measure success of your initiative and highlight areas where you may need to change policy or programming to better reach your goals. Write one of your initiative’s goals above each table. Then, fill out the cells. Starting from the left, list guiding questions, brainstorm potential indicators that will help you answer the question, and note where you’ll get the required data. Finally, list the specific data points—such as questions on forms and fields from external data sources that you will need to construct your indicators. Feel free to note when you’ll work with others to finalize any portion of the chart. An example from the YDD project precedes three blank templates— create more as you see fit!

**EXAMPLE GOAL:** *Reduce the overall number of youth arrests, referrals to probation and petitions filed*

GUIDING QUESTION	POTENTIAL INDICATORS	DATA SOURCE(S)	SPECIFIC DATA POINTS NEEDED
<b>Are referrals replacing arrests or is diversion “widening the net”?</b>	Number and types of offenses diverted in a given year compared to number and types of offenses arrested	YDD referral records, current arrest data	Alleged offense (for referral and arrest data)
	Types of cases arrested pre-YDD vs. types of cases diverted in YDD	YDD referral records, previous years’ arrest data	Alleged offense (for referral and arrest data)
	Extended length of time between alleged offense and diversion referral	YDD referral records	Incident date, referral date
<b>What percent of diversions are successfully completed?</b>	Number of youth participating in, refusing, or completing program requirements	Number of youth participating in, refusing, or completing program requirements	Enrollment status + enrollment date, completion status + completion date
<b>What percent of referrals to diversion end in arrest, referral to probation, or filed petitions?</b>	Percent of referrals to diversion ending in arrest, referral to probation, or filed petitions	YDD records + law enforcement and probation records	YDD youth + LE disposition codes, probation disposition codes
<b>What barriers do youth face in completing diversion?</b>	Number and reason codes for non-enrollment and non-completion	YDD referral, enrollment, and completion updates records	Non-enrollment and non-completion codes (e.g. guardian declined, provider unable to make contact, etc.)
	Participant and family feedback on barriers to youth enrollment, participation, and success	Surveys or interviews with youth and families	To be determined by evaluators
	Community based provider feedback on barriers to youth enrollment, participation and success	Surveys or interviews with community based providers	To be determined by evaluators

INITIATIVE GOAL:

GUIDING QUESTION	POTENTIAL INDICATORS	DATA SOURCE(S)	SPECIFIC DATA POINTS NEEDED
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

INITIATIVE GOAL:

GUIDING QUESTION	POTENTIAL INDICATORS	DATA SOURCE(S)	SPECIFIC DATA POINTS NEEDED
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

INITIATIVE GOAL:

GUIDING QUESTION	POTENTIAL INDICATORS	DATA SOURCE(S)	SPECIFIC DATA POINTS NEEDED
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

# Tool: Best Practice Inventory

This worksheet will help your initiative determine how to adopt best practices for reducing the risk of data collection, sharing, and analysis. The first column describes recognized best practices for minimizing data risks. The next three columns ask you to describe how you'll align your initiative's data practices these principles. First, you'll note the ways in which your own practices align with this best practice. Then, you'll identify additional ways to align this practice. Finally, you'll write down next steps—including stakeholders to consult—to ensure that you create such practices. The first row is completed as an example. Feel free to add some of your initiative's data principles as additional rows.

BEST PRACTICE	CURRENT ALIGNED PRACTICES	ADDITIONAL WAYS TO ALIGN WITH THIS PRACTICE	NEXT STEPS AND STAKEHOLDERS TO CONSULT
<p><b>EXAMPLE:</b> —Be transparent about data practices</p>	<p><b>EXAMPLE:</b> —We've reformatted our consent form to make it more clear how data will be used —We've shared our data principles on our website</p>	<p><b>EXAMPLE:</b> —On our website, we could publish a list of all data elements collected and a summary of a) who we share data with and b) the type of data analysis we're conducting</p>	<p><b>EXAMPLE:</b> —Create a website page for data practices —Talk to our stakeholders about other information we should share on our website</p>
<p><b>Be transparent about data practices</b> Transparency powers accountability. When you share information about your data practices, the community can help identify when you've strayed from your principles or are taking actions that could expose your data to risk.</p>			
<p><b>Minimize data collection and retention</b> The more data you have, and the longer you keep it, the higher the risk that the data will be breached. Minimizing the data you collect and deleting data at designated intervals will reduce the risk of a data breach or leak.</p>			
<p><b>Limit data sharing</b> Each time data is shared, new vulnerabilities arise. To reduce risks, limit data sharing to only mission-critical needs and ensure that the group you share data with also enacts these best practices.</p>			

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**Enumerate data uses in your consent form**

*Government data is increasingly used in applications beyond their original purposes, which can increase the risk that the application will harm the data subject. You can prevent this mission-drift of data by listing out the uses of data in your participant consent form and precluding all uses not listed in the form.*

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**Comply with all relevant data privacy law and regulations**

*Data privacy law and regulations provide a baseline of practices that reduce data risks. HIPAA, for example, mandates certain technical and operational safeguards. Discussing relevant regulations with your legal and technical teams will ensure that you're in compliance and help you reduce the risk of data.*

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**Ensure security of data systems**

*Nearly half of local government face daily cybersecurity threats. There are a number of technical solutions—such as encryption, two-step verification, system auditing, and central role management—that can help prevent or minimizing the impact of a breach. Consult with your IT or technical teams to ensure that your system is as secure as possible.*

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**BEST PRACTICE****CURRENT ALIGNED PRACTICES****ADDITIONAL WAYS TO ALIGN WITH THIS PRACTICE****NEXT STEPS AND STAKEHOLDERS TO CONSULT**

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**Ensure data quality**

*Data analysis based on flawed data can skew understanding and lead to harmful outcomes. Creating practices to confirm data quality will help reduce the risk of flawed data analysis.*

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**Substantively engage participants and implementation partners in data analysis**

*Poorly designed data analysis can devalue participants and implementation partners' lived expertise and lead your initiative to draw incorrect conclusions from data. By engaging participants and implementation partners in data analysis, you'll ensure their expertise is reflected in the data and in decisions based on data analysis.*

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**Regularly review data practices to ensure that they still align with goals, principles, and best practices**

*Reducing risks and living up to data principles is an ongoing process. Building in times to review your practices within your initiative and with your stakeholders can help ensure your initiative continues to live up to its data principles and goals.*

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# Tool: Planning your Initiative's Engagement

## Create a list of key stakeholders

Your data vision should be informed by the stakeholders of your initiative, including decision makers, participants, implementation partners, experts, and advocates. Use this tool to list the groups or individuals you wish to engage about their perspective on data and determine how best to reach out to them.

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INITIATIVE DECISION MAKERS

PROGRAM PARTICIPANTS

IMPLEMENTATION PARTNERS

EXPERTS AND ADVOCATES IN THE FIELD

LEGAL AND TECH PARTNERS

OTHER

## **Design engagement strategies specific to each phase**

### **PHASE I: DRAFTING DATA PRINCIPLES**

WHAT DO WE WANT TO LEARN? WHAT QUESTIONS DO WE NEED ANSWERED?

WHAT ARE THE POWER DYNAMICS OR OTHER INTERPERSONAL DYNAMICS AT PLAY THAT MIGHT MAKE AMPLIFY SOME VOICES AT THE EXCLUSION OF OTHERS? HOW CAN THESE DYNAMICS BE BALANCED?

WHEN AND HOW WILL WE ENGAGE FOLKS (E.G., ONE-ON-ONE, IN SMALL GROUPS, AS A FULL COLLABORATIVE) TO ANSWER EACH QUESTION?

WHO IS BEST SUITED TO FACILITATE EACH PART OF OUR ENGAGEMENT STRATEGY? WHAT TOOLS (E.G., GROUND RULES, FACILITATION TOOLS, AGENDA ITEMS, RESEARCH OR DATA, DISCUSSION PROMPTS, ROOM SET-UP, CONSENSUS PROCESSES) WILL BE MOST USEFUL?

## **Design engagement strategies specific to each phase**

### **PHASE II: USING DATA TO MONITOR AND IMPROVE YOUR INITIATIVE**

WHAT DO WE WANT TO LEARN? WHAT QUESTIONS DO WE NEED ANSWERED?

WHAT ARE THE POWER DYNAMICS OR OTHER INTERPERSONAL DYNAMICS AT PLAY THAT MIGHT MAKE AMPLIFY SOME VOICES AT THE EXCLUSION OF OTHERS? HOW CAN THESE DYNAMICS BE BALANCED?

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## **Design engagement strategies specific to each phase**

### **PHASE III: PROTECTING AGAINST DATA RISKS AND HARMS**

WHAT DO WE WANT TO LEARN? WHAT QUESTIONS DO WE NEED ANSWERED?

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