



# Report

**Date:** 1 September 2016

**Security Level:** IN CONFIDENCE

**To:** Hon Jo Goodhew, Associate Minister for Social Development

**Cc:** Hon Anne Tolley, Minister for Social Development

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## Status update on Community Investment's collection of client data and the supporting Information Communications Technology solutions

### Purpose of the report

- 1 The purpose of this report is to give you an update on the implementation of client level data collection and the supporting data capture solutions that are being rolled out.

### Recommended actions

It is recommended that you:

- 1 **note** that we are working with providers to ensure the appropriate clauses are being added to contracts
- 2 **note** that we are putting interim data capture solutions in place while the longer term Information Communications Technology (ICT) solution is being developed
- 3 **note** that we are currently developing a budget bid for the funding of the NGO System which will be presented to Ministers for approval by December 2016.

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Peter Galvin  
General Manager, Community Investment

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Date

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Hon Jo Goodhew  
Associate Minister for Social Development

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Date

## **We are developing a learning system, collecting client level data and result data is essential to this system**

- 2 To further apply a social investment approach, the Community Investment Strategy is developing a learning system. This learning system is based on the principles of a commissioning model. The collection of client level and result data are essential to the business intelligence required for this model.
- 3 Feedback from providers who have developed their own results-based measures suggests that the social investment approach is a big change for some people. While providers will be familiar with results-based measures, social investment requires a fairly sophisticated ability to analyse and interpret data.

### *We are collecting two kinds of data – client level and results data*

- 4 Client level data is basic demographic data. We are collecting the data by contract therefore we will know what sort of service the client has received. Client level data will enable us to understand our clients better and the programmes and services that they receive. The client level data that will be captured is included in the table below.

|  |   |
|--|---|
| Client demographic information         | Name, Date of birth, Gender , Ethnicity, Iwi, Address |
| Clients dependants (where appropriate) | Name, Date of birth                                   |
| Service detail                         | Service name, Service start date, Service end date.   |

- 5 Short term result data is the data we will use to show the results achieved by a cohort of people, this will help us to target cohorts of people.
- 6 Longer term data is the data we will use to show the outcomes that the customer has been able to achieve from the services he or she received. This data gives us an understanding of the effectiveness of that service or intervention.

Data for anonymised analysis is being collected and we are putting the mechanisms in place necessary to analyse identifiable data

- 7 In June, we reported to you that in the short term we will be able to use the data in an anonymised way to understand more about cohorts of people (groups) [REP/16/6/733 refers]. In the longer term, we will be able to use identifiable data to understand more about specific individuals and families.
- 8 There are a number of legal, privacy questions that are posed by using identifiable data which we are currently working though:
  - What are the conditions and consent required to use identifiable data under the Privacy and Official Information Act?
  - What support needs to be put in place to manage provider and client concern about sharing their information
  - What are the conditions of storing and sharing identifiable data?

By 1 July 2017 MSD will implement the solutions required from the questions posed above so that we can start using the data collects in an identifiable way.

### *We have begun a phased approach to data collection*

- 9 Community Investment funds a wide variety of service providers all with varying degrees of data collection tools, capabilities and skills. Therefore, not everyone is starting from the same point and some providers will require more of our support than others.
- 10 We are therefore taking a phased approach to implementing data collection requirements. We are starting with the providers who are more advanced in their

data capture capabilities and our approach focuses on rolling out these three key elements:

- appropriate clauses being added to provider contracts Outcome Agreements/Service specifications
- identification and development of interim data capture options
- communications and service provider capability development.

11 The implementation of these three elements is described in more detail in the following three sections.

### **We are working with providers to ensure the appropriate clauses are being added to contracts**

12 By 1 July 2017 we will have the requirement to collect client level data in 100 percent of our contracts. We are doing this by working with providers to ensure the appropriate clauses are being added to Outcome Agreements/Service specifications section of their contracts.

13 As we do this, we are working with providers to ensure they understand what this type of data collection requires, for example seeking consent, types of data required, and expected standards of data collection.

14 The phased approach starts with the providers who are more advanced in their data capture capabilities. We are rolling out the contractual requirements in three groups.

#### *Group One*

15 The 2016/17 contracts for six of our larger programmes are in place and require the collection and reporting of client level data and results data. This equates to 23 percent of our total investment portfolio and includes these services:

- Family Start
- Social Workers in Schools
- Youth Workers in Schools
- Multi-agency services in Schools
- Stand's health camps
- Harmful Sexual Behaviour services

#### *Group Two*

16 By 1 November 2016, the second group of programmes and services will have contracts in place that require the collection and reporting of client level and results data:

- Building Financial Capability
- STAND – Family Therapy
- Community Finance

#### *Group Three*

By 1 July 2017 we will identify the remaining programmes and services that will have contractual data collection requirements in place. A report has been run that has identified a possible group of remaining programmes and services, this report still needs to be quality checked with the programme owner to ensure that it is a programme or service that delivers a service to individual clients.

## **We are putting interim data capture solutions in place while the longer term ICT solution is being developed**

- 17 There is not currently a data capture ICT system in place that can support the collection of client level or results data from all providers. We are working on getting a long term solution in place however that will take time so interim solutions have been developed.

*We have two interim data capture solutions, one for Family Start providers and one for the rest of providers*

- 18 We require an interim process to collect and store the first collection of data in the from December 2016.
- 19 MSD has explored various options on how to collect client level data from service providers. Two separate processes have been identified for the 23 percent of funded programmes and services that are to provide client level data in 2016/2017.
- 20 The first process is the one that Family Start providers will follow. The second is the one that the remaining providers will follow. These solutions will only be in place until the ICT longer term solution is available in 2017/2018.

*Family Start are using FSNet*

- 21 Family Start providers are using an existing CI system called FSNet. This currently captures the client level data we need from the Family Start programme. This process will cover 13% of the 23% of providers.

*Remaining providers will use ~~an~~ excel based data capture tool*

- 22 The remaining providers within the 23 percent, do not have a CI system to capture data. Some providers that are delivering these programmes and services have existing systems in place that are provided by a third party IT vendor, while others have no system.
- 23 MSD has explored a number of data capture options since December 2015 to understand what would meet the needs of providers, particularly when you consider that the technical capability of providers is varied.
- 24 The preferred approach is to develop a data capture specification which will be provided in an excel sheet. The excel sheet will also provide key areas of validation and drop down lists where appropriate (e.g. ethnicity, iwi, suburb etc.). This will help to ensure consistency and support an improvement in data quality.
- 25 The data capture specification will be sent to existing third party IT vendors which supply systems to service providers. The intent is to support the third party IT vendors to develop templates that the service provider can use to run a report and then send it to CI.
- 26 This is positive as it supports service providers to use their existing IT systems to reduce reporting burden through streamlining reporting. In addition, it enables the opportunity for third party IT vendors to remain in the market to preserve market competitiveness.
- 27 The specification will also help to lift vendor capability. The vendors will need to be able to develop a reporting template which is able to generate correct data so that the data CI receives is accurate and it does not include, for example, data from a different provider. In addition, consistency in the use of data such as iwi is important to ensure that the data CI receives is accurate and correct. Vendors will then be able to build on this capability to look at, the more complex area, of client level results.
- 28 For providers that do not have any systems in place they can use the excel sheet to enter client level data and then to provide this to CI. This is a good stepping stone for providers with limited technological capability. A simplistic, but effective, approach will provide the opportunity for providers to familiarise themselves with the collection of client level data and data quality. The tool is very simple and requires

very little training. However instructions will be provided and contact details supplied if there are any questions.

- 29 In addition they will be supported to enter accurate data through the inclusion of drop down lists within the document. This will help to build a foundation capability in providers that can be built on when capturing, more complex, client level results.
- 30 We will work with providers on the use of the data capture tool as we roll it out to them. Our stakeholder engagement with providers will be happening between October 2016 to December 2016, this is an opportunity for CI to talk more about data level collection

*We will use the DIA portal to get data from providers to Community Investment*

- 31 CI has approached the Department of Internal Affairs (DIA) to use the DIA shared workspace portal. Providers will be given secure access to the DIA portal. They can then upload their report to the DIA portal. Once secured within the portal then CI staff can download the reports into secure Ministry systems to complete the analysis on client level data.
- 32 The DIA portal provides an established, secure, and easy process to share sensitive level data (e.g. client level data). This mechanism is already used by providers, other agencies, and other programmes, such as the Children’s Action Plan teams. DIA would not have access to this data.

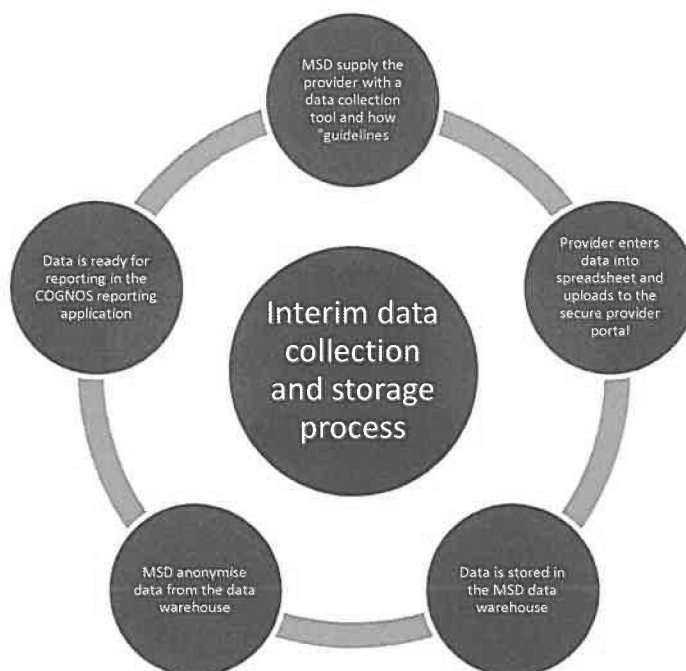
*We are working on a longer term ICT solution to capture and store data*

- 33 The longer term solution is to secure funding for a Non-Government Organisation (NGO) information system that will be able to collect client level data and client results.
- 34 We expect this system will be a part of the Ministry of Vulnerable Children Oranga Tamariki (Oranga Tamariki) technology ecosystem that has been outlined in the Expert Panel Advisory Groups Final Report

35 **9(2)(f)(iv) - Active Consideration**

- 36 We anticipate the new NGO system can be used by CI to collect the required data from 2017/2018.

**Figure One – The interim data collection and storage process.**



## **We have a communications plan, messaging around data collection will be consistent**

- 37 Tailored messaging has been developed around the collection of client level data that will be consistent across any updates/changes to contracts, outcome agreements, training guidelines, service specifications, FAQ's, risk statements or web content.
- 38 In September we are communicating with providers who are required to collect data about the data capture tool (reporting template and shared workspace portal) which will be used, how to use it, what to expect, and who to contact with questions. Key messages are currently being developed with CI Communications team.

### *We are supporting the development of provider capability*

- 39 To ensure providers are well positioned to operate effectively in the new mode we are working with them to develop their capability in the following ways:
- Training with the Institute of Directors
  - Prototype Akena – introducing measures and monitoring them with small group of providers (in the next 6 months)
  - Working with Superu on:
    - Training workshops, using good practice tools, where participant providers are assisted in navigating access to relevant resources to help them become evaluation ready and to develop their capacity to use information
    - Providing supporting material and tools for providers, including on-line support and materials to help them use the tools, and to build their confidence in using evidence, doing good evaluation and determining “what works”
    - Developing e-learning tools, so that providers and others can undertake training at dates and locations that suit them, to develop intervention logics and outcome frameworks, use good practice tools and better demonstrate programme impact
    - Sharing information on standards of evidence, so providers can understand the importance of collecting, using and sharing good information for programme funding and management.

## **We have a legal, privacy and human rights work stream underway which is ensuring our solutions comply with expected standards**

- 40 We have started to explore the Legal, privacy and human rights implications of collecting identifiable data and using that data by 1 July 2017.
- 41 We are preparing a privacy impact assessment as a first step to a more technical engagement with the Privacy Commissioner.

### **Next steps**

- 42 We will continue to update you with progress on the:
- negotiations regarding the ICT solution
  - privacy impact assessment process
  - roll out of contractual obligations and associated communications..

## Appendix One

### Timing of the Implementation

There are six phases to the collection of ICLD and cohort result data they are outlined below:

| Phased Approach of Implementation |  |   |                 |
|-----------------------------------|--|---|-----------------|
| Phase                             | Description  | Programmes and Services   | Date            |
| Phase One                         | Clauses added to outcome agreements and service specifications   | Family Start<br>Social Workers in Schools (SWIS)<br>Multi Agency Support Services in Secondary Schools (MASSiSS)<br>Youth Workers in Secondary Schools (YWiSS)<br>STAND – Intensive Family Wrap Around Services<br>Harmful Sexual Behaviour | 1 July 2016     |
| Phase Two                         | Clauses added to outcome agreements and service specifications   | Building Financial Capability<br>STAND – Family Therapy<br>Community Finance  | 1 November 2016 |
| Phase Three                       | CI will start to receive data collection and will be able to evaluate the data collected, how it is used and whether it is providing the information we need.  |   | December 2016   |
| Phase Four                        | All remaining eligible programmes and services will have client level data collection requirements in place  |   | 1 July 2017     |
| Phase Five                        | Appropriate tools and processes will be in place to be able to share identifiable client level data across MSD service lines or across agencies for the purpose of targeting any intervention, or provision of service to an identifiable individual |   | 1 July 2017     |
| Phase Six                         | All contracts will have result measures  |   | 1 July 2018     |