



**MINISTRY OF SOCIAL
DEVELOPMENT**

TE MANATŪ WHAKAHIATO ORA

16 MAR 2017



On 3 October 2016 you emailed the Ministry requesting, under the Official Information Act 1982, the following information:

- *Any advice provided to Ministers of the Crown regarding the gathering and reporting of Individual Client Level Data by Community Investment funded providers.*
- *Any Cabinet Papers prepared regarding the practice of gathering and reporting of Individual Client Level Data by Community Investment funded providers.*
- *Any assessments of the likely impact of the practice of gathering and reporting of Individual Client Level Data by Community Investment funded providers.*
- *Any advice provided to MSD from the Office of the Privacy Commissioner regarding the practice of gathering and reporting collection of Individual Client Level Data by Community Investment funded providers.*

Firstly I would like to express my apologies for the length of time it has taken to respond to your request. The information you requested was located throughout many different documents and additional time was required to ensure all of the information was identified and collated.

As you are aware, the Ministry has introduced Individual Client Level Data (ICLD) collection requirements into providers' contracts to better understand who is using the programmes and services that it funds and the impact of those programmes and services.

As the Ministry continues to implement the Community Investment Strategy, it is developing the use of a social investment approach. Social investment is about improving the lives of New Zealanders by applying rigorous and evidence-based investment practices to social services. In order to apply this approach, the Ministry needs to collect ICLD to better understand the types of clients accessing services, and the types of interventions that are likely to work. The Ministry will then be able to refine programme and service target groups and work with providers to improve the effectiveness of these programmes and services.

Please find enclosed copies of the documents specific to the collation of ICLD in the table below:

Document number	Date	Title
1	16 July 2015	Community Investment Strategy: Roadmap for engagement
2	17 September 2015	Community Investment Strategy: Outline for December 2015
3	30 November 2015	Community Investment Strategy: Progress on the Implementation Plan to December 2015 – Cabinet Paper
4	9 December 2015	Community Investment Strategy: October line by line review outcomes & plan for result based measures in contracts
5	4 March 2016	Community Investment Strategy – Implementation to June 2016
6	15 March 2016	Community Investment Strategy: Contracting changes from 1 July 2016
7	31 March 2016	Community Investment Strategy: Update on Significant Reprioritisation of Funding from Second Tranche of Line-by-Line Reviews – Cabinet Paper
8	4 April 2016	Community Investment Strategy: Further detail on contracting changes from 1 July 2016
9	10 May 2016	Community Investment Strategy: The Vision, Key Deliverables and Return on Investment
10	20 June 2016	Community Investment Strategy: Revised version of the Results Measurement Framework
11	22 August 2016	Community Investment Strategy 2016 Update – Cabinet Paper

Please note that the example letter referred to in the Appendix of the report titled '*Community Investment Strategy: Contracting changes from 1 July 2016*' contains fictitious people's details and the company referred to in the letter.

The following documents are specific to the collection of ICLD and are enclosed:

- '*Community Investment Strategy: Customer Personal Data Sharing Consent*', dated 24 May 2016
- '*The collection and use of Community Investment client level data*', dated 24 June 2016
- '*Update on the collection of ICLD*', dated 29 September 2016

You will note that the names of some individuals are withheld under section 9(2)(a) of the Act in order to protect the privacy of natural persons. The need to protect the privacy of these individuals outweighs any public interest in this information.

The Ministry has verbally consulted with the Office of the Privacy Commissioner concerning ICLD a number of times since 2015 to ensure that it collects and stores client level data appropriately. The Ministry is currently working through the additional privacy, legal and practical considerations for the implementation of ICLD

collection under phase two. This includes the completion of a Privacy Impact Assessment in consultation with the Office of the Privacy Commission and the Government Chief Privacy Officer.

The principles and purposes of the Official Information Act 1982 under which you made your request are:

- to create greater openness and transparency about the plans, work and activities of the Government,
- to increase the ability of the public to participate in the making and administration of our laws and policies and
- to lead to greater accountability in the conduct of public affairs.

This Ministry fully supports those principles and purposes. The Ministry therefore intends to make the information contained in this letter and any attached documents available to the wider public shortly. The Ministry will do this by publishing this letter and attachments on the Ministry of Social Development's website. Your personal details will be deleted and the Ministry will not publish any information that would identify you as the person who requested the information.

If you wish to discuss this response regarding the collation of Individual Client Level Data with us, please feel free to contact OIA_Requests@msd.govt.nz.

If you are not satisfied with this response, you have the right to seek an investigation and review by the Ombudsman. Information about how to make a complaint is available at www.ombudsman.parliament.nz or 0800 802 602.

Yours sincerely



Maree Roberts
**Associate Deputy Chief Executive
Community Investment**



Report

Date: 16 July 2015

Security Level: IN CONFIDENCE

To: Hon Jo Goodhew, Associate Minister for Social Development

Community Investment Strategy: Roadmap for engagement

Purpose of the report

- 1 This report proposes a regionally led and nationally supported engagement approach for the implementation of the Community Investment Strategy (the Strategy).
- 2 This 'regionally led' approach supports Community Investment's regional managers to work in partnership with contracted service providers and other stakeholders to decide which investment decisions will best improve results for vulnerable people in that region. This work will be 'nationally supported' through the provision of a clear framework within which these decisions can be made.

Out of scope

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Out of scope

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Murray Edridge
Deputy Chief Executive
Community Investment

Date

Hon Jo Goodhew
Associate Minister for Social Development

Date

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- 9 The Strategy will provide a clear framework and support to enable this at the national level. It sets a common agenda (through its priority results), and a shared measurement system to define success (through building evidence of effectiveness, a results measurement framework; and improved data collection).

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REP/15/6/615

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Report

Date: 17 September 2015

Security Level: IN CONFIDENCE

To: Hon Anne Tolley, Minister for Social Development

Hon Jo Goodhew, Associate Minister for Social Development

Community Investment Strategy: Outline for December 2015 Cabinet Paper

Purpose of the report

The Cabinet Social Policy Committee has invited a report back with an update on the progress of the implementation of the Community Investment Strategy in December 2015. This report provides an outline of what we intend that the December progress report on the Community Investment Strategy will look like.

Out of scope

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Murray Edridge
Deputy CE, Community Investment
Community Investment

Date

18/09/2015

Hon Anne Tolley
Minister for Social Development

Date

23-9-15

Hon Jo Goodhew
Associate Minister for Social Development

Date

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File ref: REP/15/9/990

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Appendix One: Outline for December 2015 Cabinet Paper

Community Investment Strategy - Progress on the Implementation Plan

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Out of scope

**Element Three:
Improving the
Quality of Data
Collection**

How is data now informing MSD's social service purchasing?

We will advise how our decision making is being informed by the use of population level **data analysis**. This includes data on the need for, and purchase of services for the most vulnerable people informing the Line by Line Review, the development of regional funding allocation models, and annual purchasing plans.

We will update Cabinet on the use of **client level data** as a key tool for implementation and implications for providers.

We will update Cabinet on work to examine Community Investment's **ICT infrastructure** needs. This aims to support the Community Investment Strategy to gather and report on results based measures through a provider contracting system. We will present options to address these issues.

We will also advise of our work with MBIE to trial Results Scorecard **provider reporting software** with some providers, and how we are considering the suitability of it and other options for wider rollout.

Out of scope

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Appendix Two

Original Cabinet paper: Agreed summary actions under each of the six work-streams

Out of scope		
Improving the quality of data collection	Data collection needs will be refined by testing in providers' contracts, and MSD will begin to collect population-level data on the people using its services. Information Analysis Platform (IAP) for data storage will be costed and a plan put in place.	Client data will be collected in providers' contracts unless privacy issues prevent this. Planning and purchasing will be informed by demand and supply and cross-government strategic analysis, including options for data matching common clients across agencies. MSD IAP will collect results data from providers and population analysis of community needs.
Out of scope		

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3.1 Data Analysis: Needs mapping & planning [SI]	<ul style="list-style-type: none"> Establish what do we need, what will iMSD provide, what is CI role. Business case to Governance Group for the development of a web based Regional Data Tool. 				
	<ul style="list-style-type: none"> Initial scoping for the development of a web based Regional Data Tool. 	<ul style="list-style-type: none"> Development of preferred option. 			<ul style="list-style-type: none"> Preferred tools available for use by engagement.
3.2 ICT Infrastructure & Tools [BST]	<ul style="list-style-type: none"> Alignment with MSD ICT roadmap Stocktake of CI current ICT needs 	<ul style="list-style-type: none"> Meet with MSD re: ICT needs. Dedicated IT resources to drive ICT project agreed by Governance Group 			<ul style="list-style-type: none"> Indicative ICT business case to Governance Group. Contribute to Cabinet report back: refer possible budget bid forthcoming
	<ul style="list-style-type: none"> ICT roadmap problem definition and scoping MBIE Provider Results Scorecard reporting, software trials (through to June 2019). 				
3.3 Client Level Data Collection [SI]	<ul style="list-style-type: none"> Memo to Information Management Governance Committee (IMGC) to establish a Client Level Data Collection working group across MSD. 	<ul style="list-style-type: none"> contribute to cross MSD working group 			<ul style="list-style-type: none"> Contribute to Cabinet report back: progress on Client Level Data Collection (as relevant to Strategy)

Chair
Cabinet Social Policy Committee

**COMMUNITY INVESTMENT STRATEGY: PROGRESS ON THE IMPLEMENTATION
PLAN TO DECEMBER 2015**

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Out of scope

Improving the quality of data collection

- Data collection and analysis of the demand for services by vulnerable people will inform MSD's purchasing.
- Client level data collection will be captured through provider's contracts.
- ICT infrastructure to support the implementation of the Strategy is being investigated.

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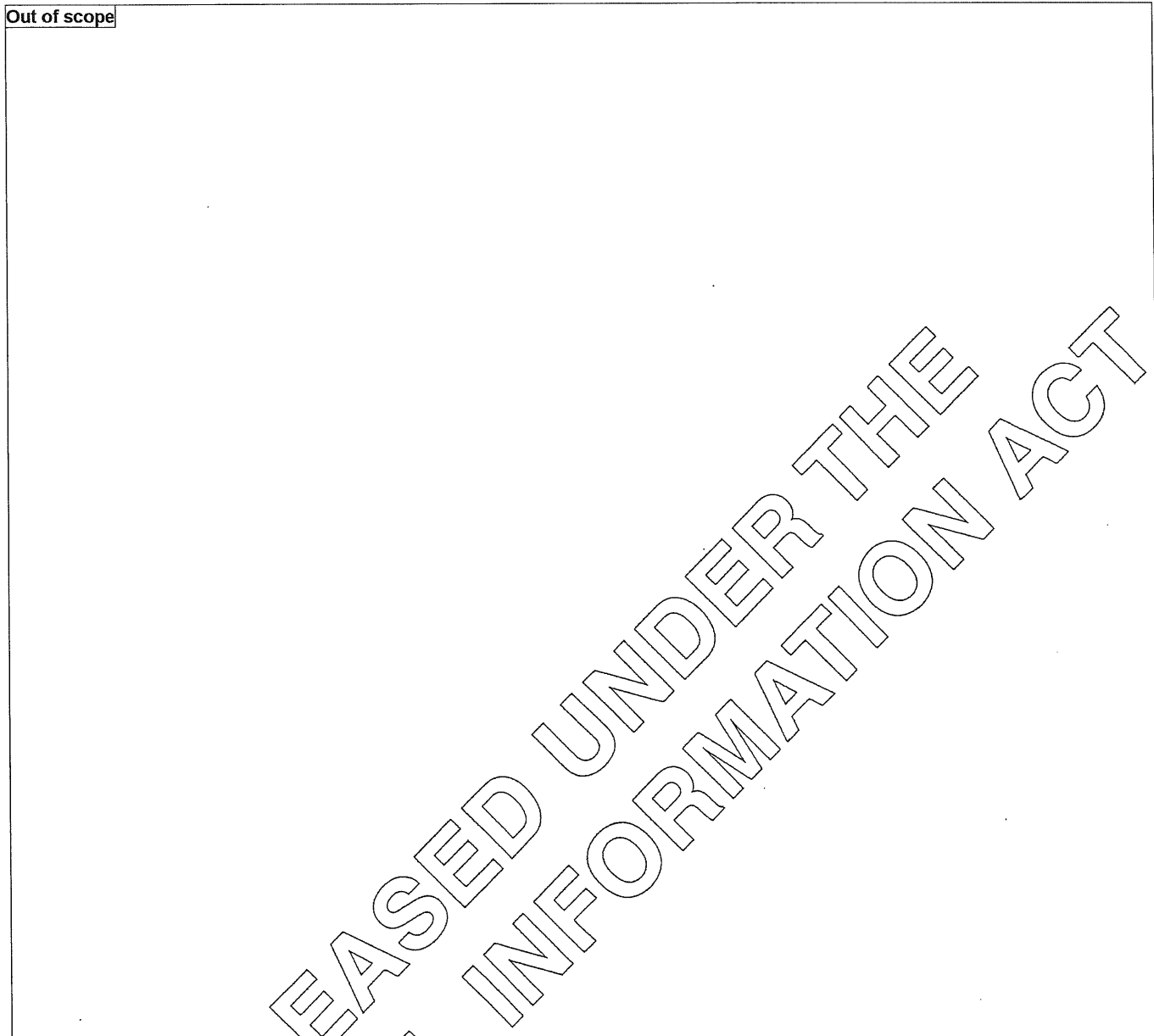
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Element Three: Improving the Quality of Data Collection

Data collection and analysis

34 MSD are using population level data to inform the line by line review, and the analysis of Community Investment and MYD programmes, services and initiatives. MSD are building data analysis about the need for, and supply of services which will increasingly allow MSD to identify which client gaps need to be better targeted and in which localities what types of services are required.

Client level data collection

35 MSD have developed specifications that identify the core individual client level data that MSD needs to capture through provider's contracts. This is in line with other cross Government initiatives, including the Social Sector Integration Change Programme. The individual client level data reflects the results based measures that will be inserted into provider's contracts over time, so that it will be clear what results are being purchased for different types of clients.

ICT infrastructure

- 36 Community Investment's current ICT capability does not enable MSD to readily gather and analyse information that supports the delivery of and reporting on the results achieved by the Community Investment Strategy. MSD is currently undertaking a stocktake of existing ICT infrastructure and a gap analysis to identify needs for wider MSD and its service providers. A business case will be drafted for fit-for-purpose ICT infrastructure during the first half of 2016. Throughout this process, MSD will be cognisant of the impact and potential for a wider (high level) Social Sector approach to ICT solutions. An ideal outcome would be a single ICT solution across all funding agencies of government.
- 37 Significant investment will be required to ensure fit-for-purpose ICT capability is in place to support the success of the Community Investment Strategy. MSD is not in a position to fund the required IT infrastructure development and implementation. Currently MSD's IT capital plan is fully subscribed and it will be necessary to secure funding through new capital injection or from across the Social Sector. It is intended that the fit-for-purpose ICT capability will be scalable and appropriate for the wider Social Sector. If new resourcing is not secured, the Community Investment Strategy is unlikely to succeed.

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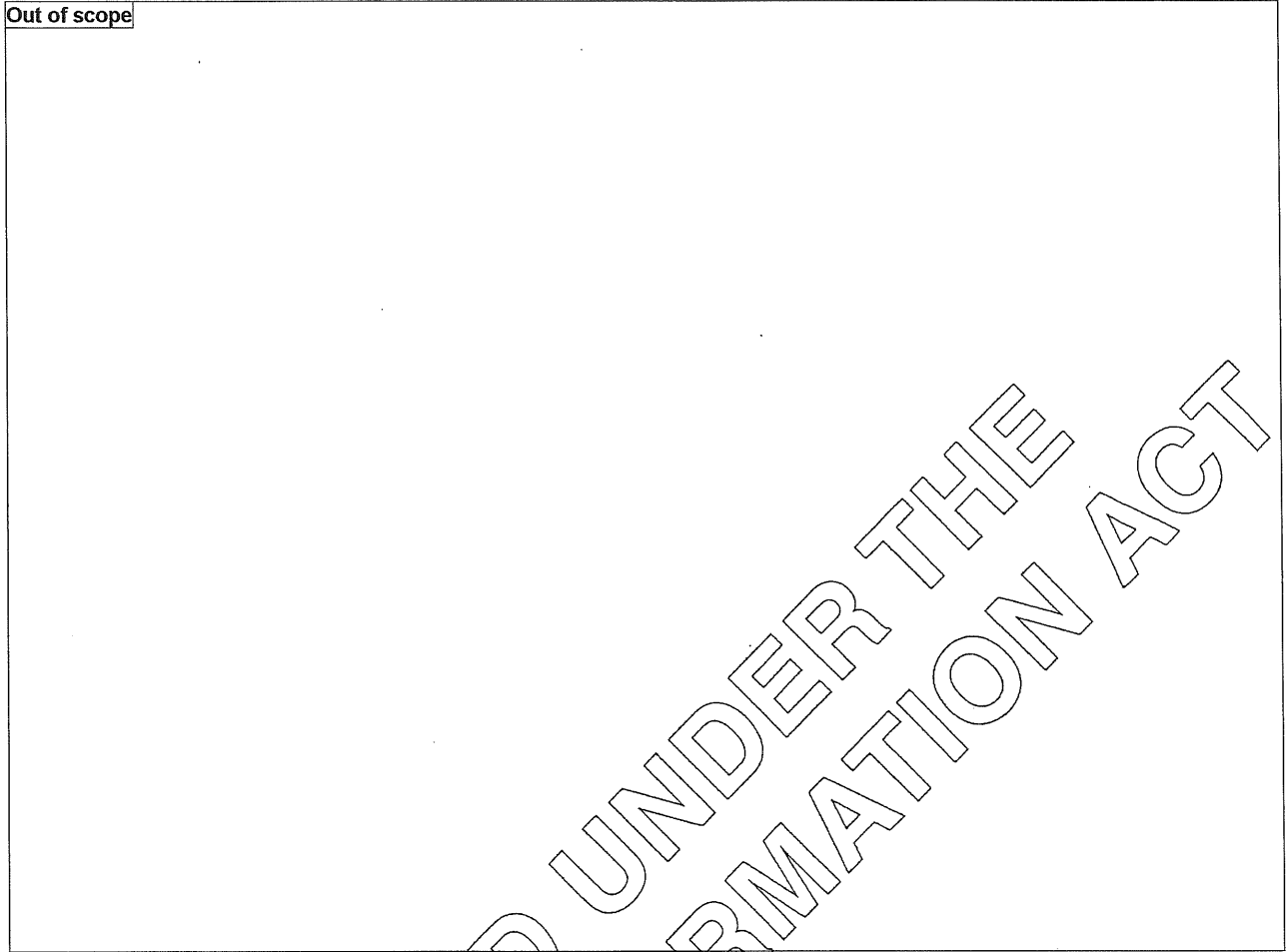
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Hon Jo Goodhew
Associate Minister for Social Development

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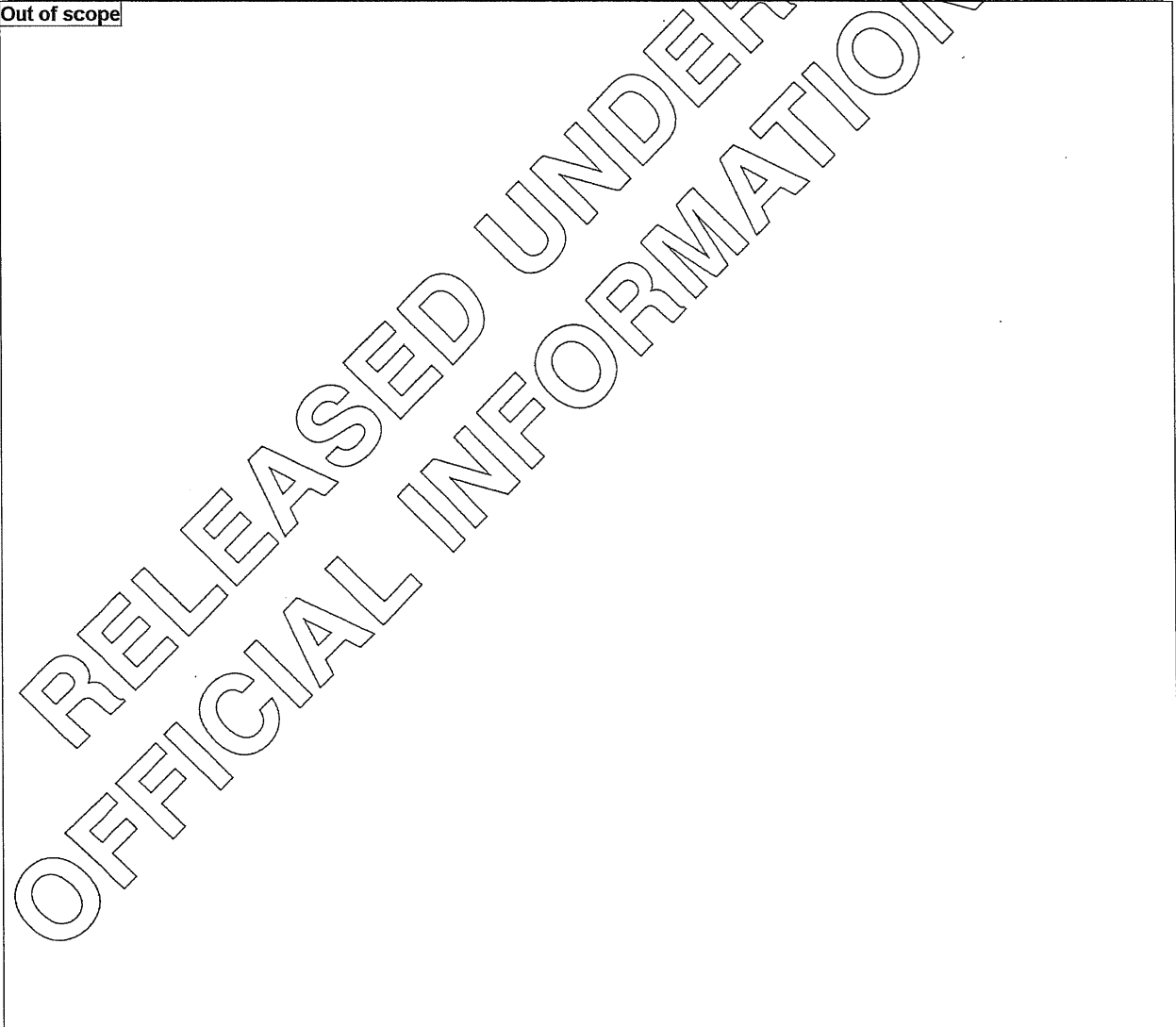
Appendix One: Actions under each of the six elements of the Community Investment Strategy (summary)

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<p>Improving the quality of data collection</p>	<p>MSD is using population level data to analyse how to better target the funding of services.</p> <p>Specifications have been developed that identify the core individual client level data that MSD needs to capture through provider's contacts.</p> <p>A stocktake is underway of existing ICT infrastructure and a gap analysis to identify needs for both Community Investment and service providers.</p>	<p>Data collection needs will be refined by testing in providers' contracts, and MSD will begin to collect population-level data on the people using its services.</p> <p>Manual data collection, ingestion and reporting capabilities are in place.</p>	<p>Client data will be collected in providers' contracts unless privacy issues prevent this.</p> <p>Planning and purchasing will be informed by demand and supply and cross-government strategic analysis, including options for data matching common clients across agencies.</p> <p>Social sector provider portal implemented.</p> <p>Data from all providers is collected, matched and reported.</p> <p>ICT systems managing MSD clients, providers and contracts are tightly linked.</p>
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Report

Date: 8 December 2015 **Security Level:** IN CONFIDENCE
To: Hon Jo Goodhew, Associate Minister for Social Development
Cc: Hon Anne Tolley, Minister for Social Development

Community Investment Strategy: October line by line review outcomes & plan for result based measures in contracts

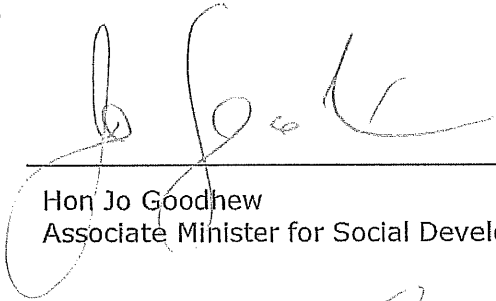
Purpose of the report

- 1 You have asked for a paper outlining the progress we have made on services with completed line by line reviews, and our process to enable changes to provider's contracts (including result based measures) by July 2016.

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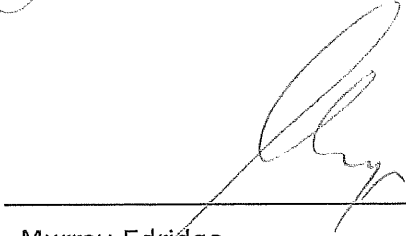


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Hon Jo Goodhew
Associate Minister for Social Development

10/12/15
Date



Murray Edridge
Deputy Chief Executive
Community Investment

8/2/2015
Date

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Out of scope

- 8 MSD also intends to require providers to supply individual client level data (ICLD), to enable results to be tracked in a meaningful way, including tracking longer term outcomes through data matching from government agency data bases. For example, if a cohort of young people has been supported to engage with their schooling by addressing barriers to learning, this data matching might track the proportion who achieved NCEA Level 2 at 12 months post intervention.
- 9 To start with, basic identifying information will be collected from providers with a minimum being name, address, gender, date of birth and ethnicity. Where possible, we intend to implement this in provider's contracts from July 2016. In the long run we intend that individual client result measures are linked so that we can assess the outcome of an intervention for each client.

¹ <https://www.familyservices.govt.nz/working-with-us/funding-and-contracting/results-based-accountability/>

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Report

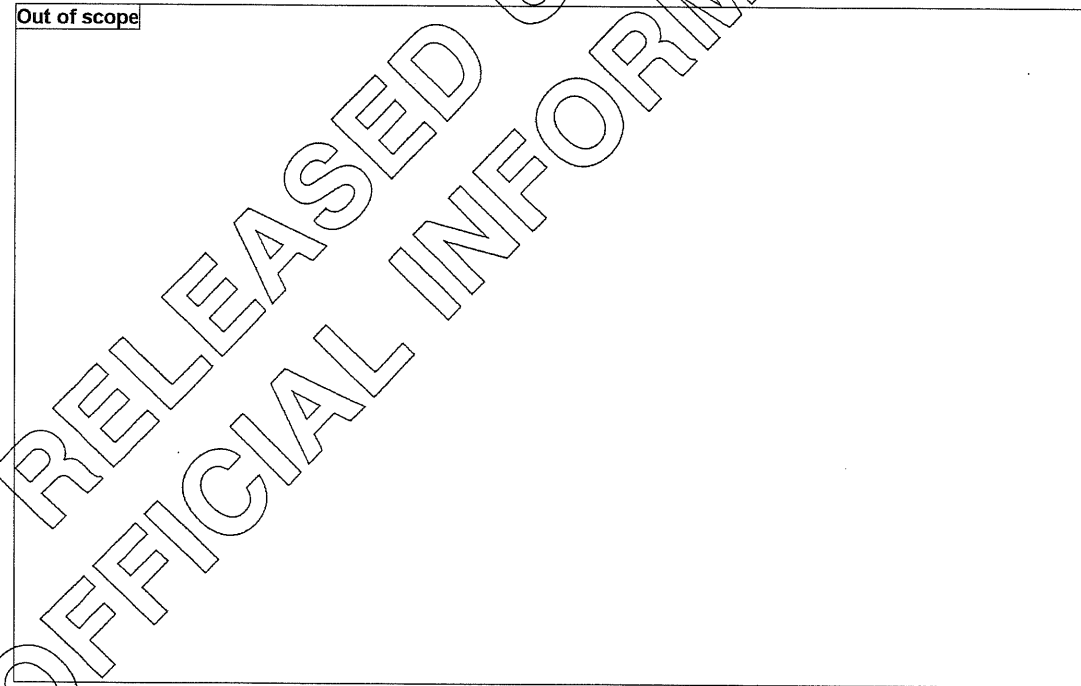
Date: 4 March 2016 **Security Level:** IN CONFIDENCE
To: Hon Jo Goodhew, Associate Minister for Social Development
Cc: Hon Anne Tolley, Minister for Social Development

Community Investment Strategy: Implementation to June 2016

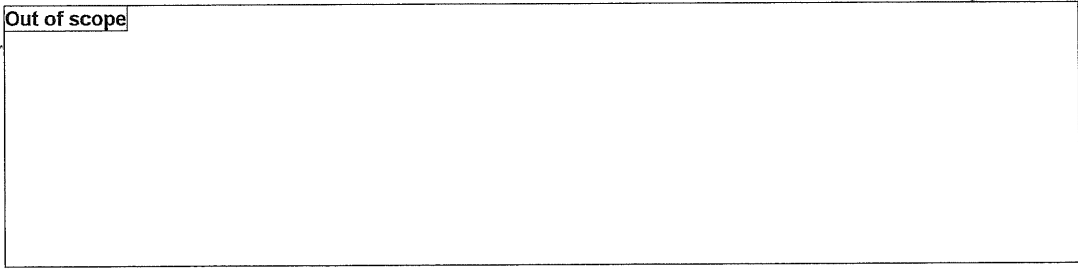
Purpose

- 1 This paper provides you with an update on the Community Investment Strategy priorities and timeframes to June 2016. It sets out the recommendations of the line by line review of programmes and services to date, and their proposed treatment.

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Murray Edridge
Deputy CE, Community Investment

~~4/08/2016~~
Date

Hon Jo Goodhew
Associate Minister for Social Development

5/3/16
Date

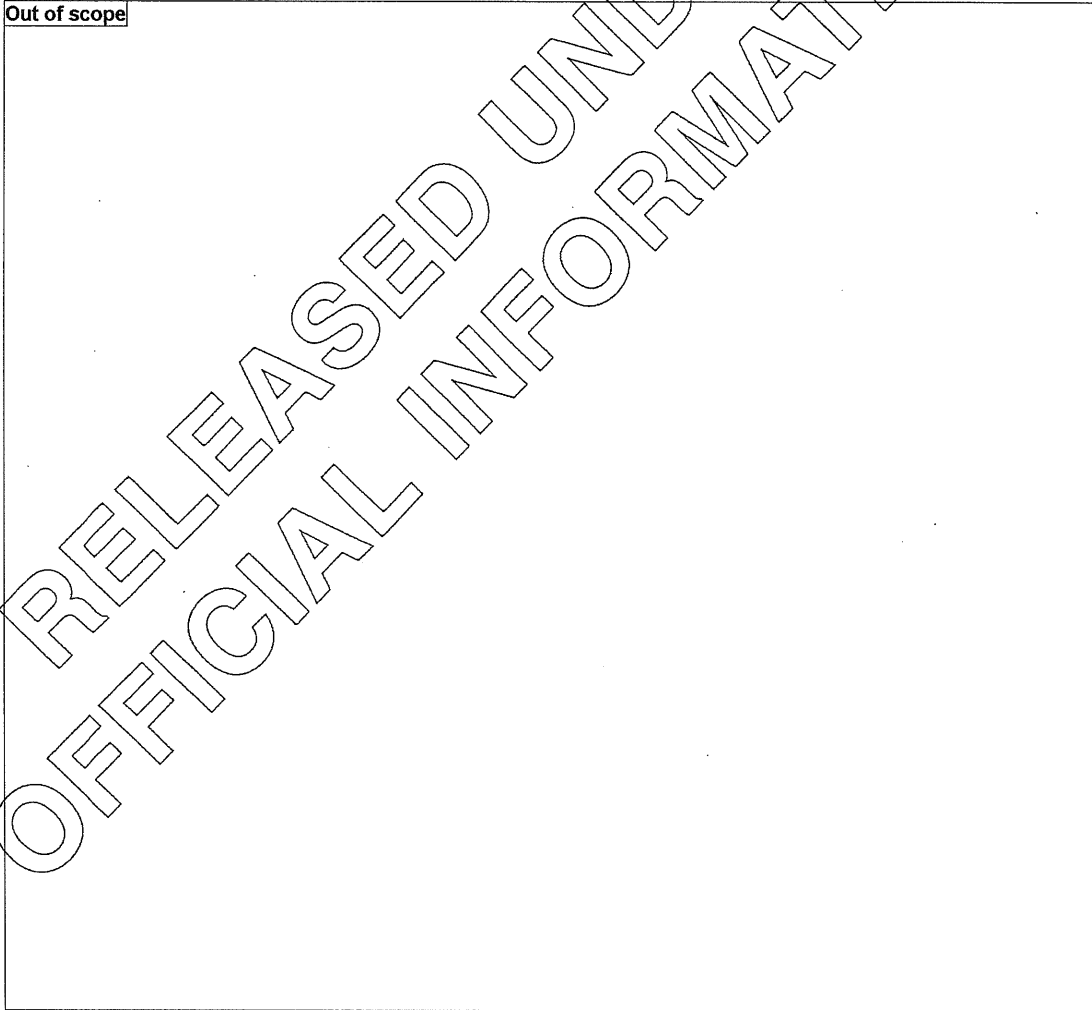
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We are making good progress in implementing our three-year change programme

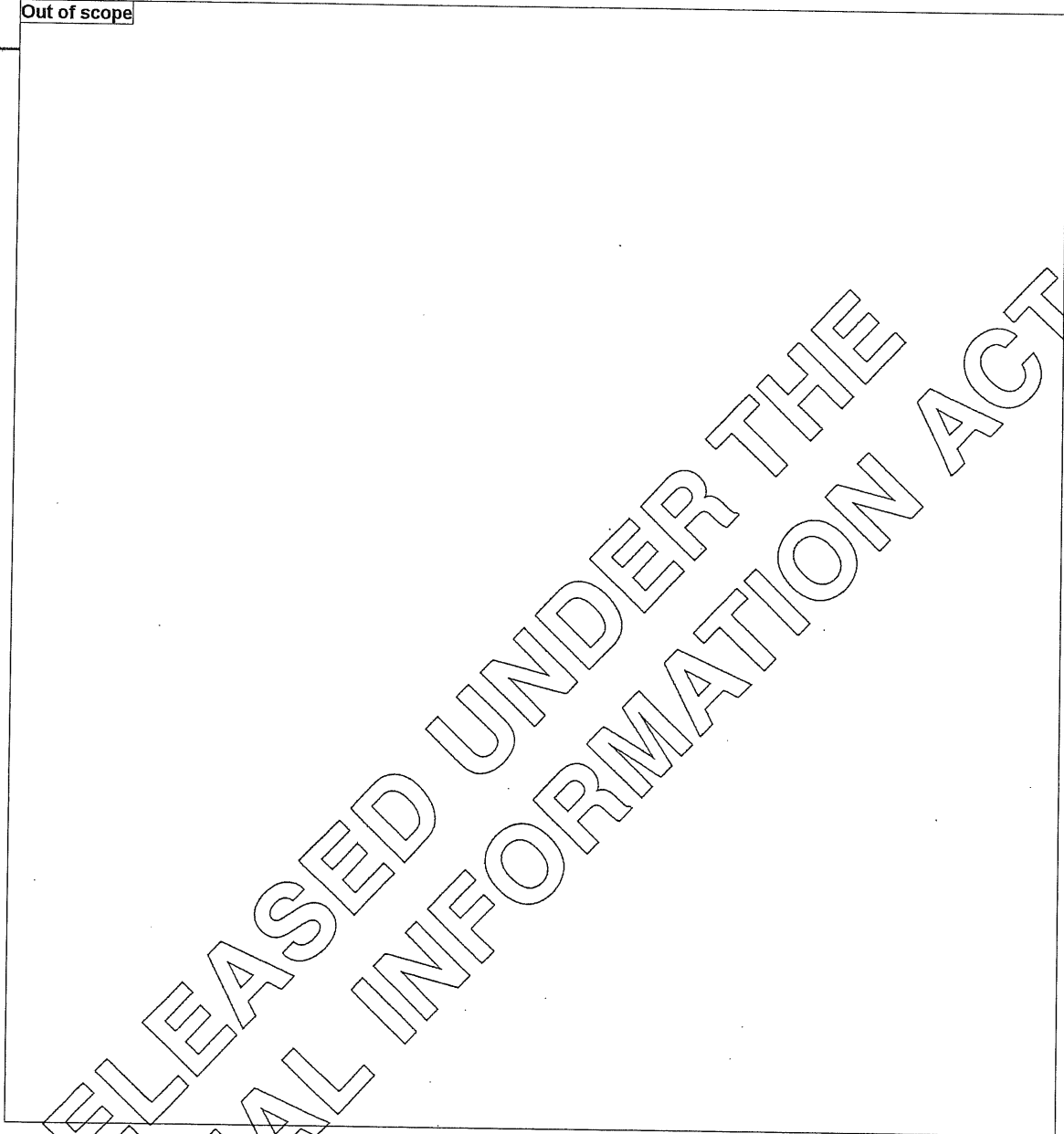
- 2 We have made good progress on the first stages of the three year implementation of the Community Investment Strategy (the Strategy). The next three to six months will see the work to date impacting on contracts. The main focus for this period is on ensuring the smooth implementation and communication of changes to provider contracts starting on 1 July 2016.

- 3 We have revised and updated Strategy priorities for the period to the end of June 2016. Our priorities are:
 - Line by Line Review and Service Redesign
 - Results Measures and Client Data Collection
 - Redesign of Contracts
 - Contract Management
 - Communications
 - Community / Stakeholder Engagement
 - Provider Capability
 - ICT.

Out of scope



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Results Measures and Client Data Collection

- 10 We are currently developing results based performance measures aligned to the Results Measurement Framework for the programmes and services listed below (this will be largely complete by the end April).
- 11 We will implement these together with client data collection in targeted provider contracts starting from 1 July 2016. These contracts comprise 23.5% of Strategy funding.

Out of scope



Out of scope

Redesign of Contracts

- 12 The significant contractual changes we are introducing reflect the things we are focused on improving – collecting client level data, which will mean we can understand results, and using measures that align to the priority areas for vulnerable children, young people and adults.

Out of scope

- Inclusion of provisions which provide the Ministry with legal rights to require co-operation on disengagement – specifically around the transition of services and the transfer of any data, including client records relating to the service.

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ICT Infrastructure

- 37 Between now and 1 July 2016 we are working with our current service provider (IBM NZ Ltd) to trial and implement a data capture portal. This will allow us to collect and analyse client data and results from providers across a selection of the services⁹ that will have results based measures and client data in place from July.
- 38 The work will include ensuring that any potential data security and privacy issues are identified and mitigated. We want a system that is efficient for the Ministry, and minimises compliance for providers.
- 39 What we learn from the trial over the next several months will help to inform a business case that confirms requirements and options. We will provide you with a briefing on this in June 2016.

Out of scope

⁹ Namely SWIS, YWISS and MASSISS.

Out of scope

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Report

Date: 15 March 2016

Security Level: IN CONFIDENCE

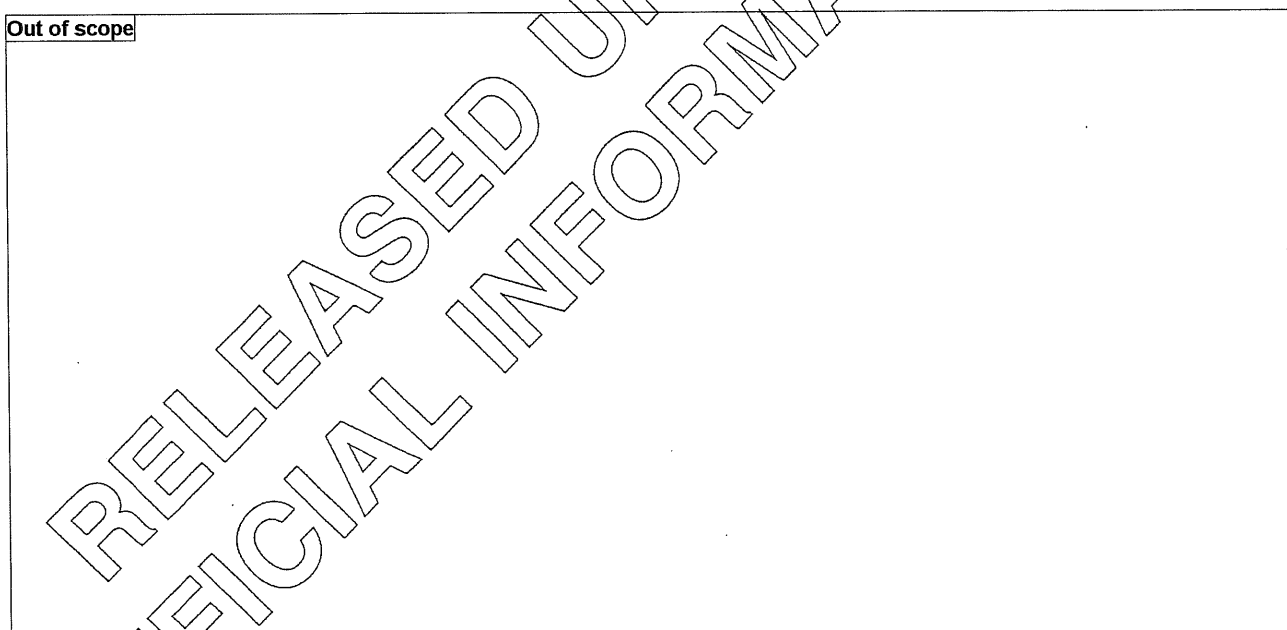
To: Hon Anne Tolley Minister for Social Development

Community Investment Strategy: Contracting changes from 1 July 2016

Purpose of the report

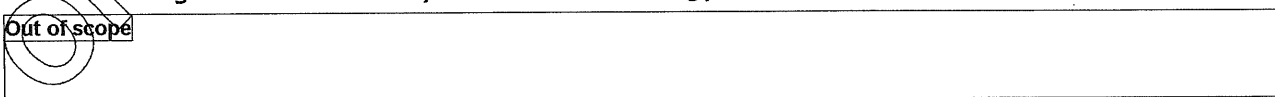
- 1 This report describes the ways in which Community Investment contracts will be different from 1 July 2016. Changes are being made to contract design and management which will contribute to the wider system change being brought about by the Community Investment Strategy.

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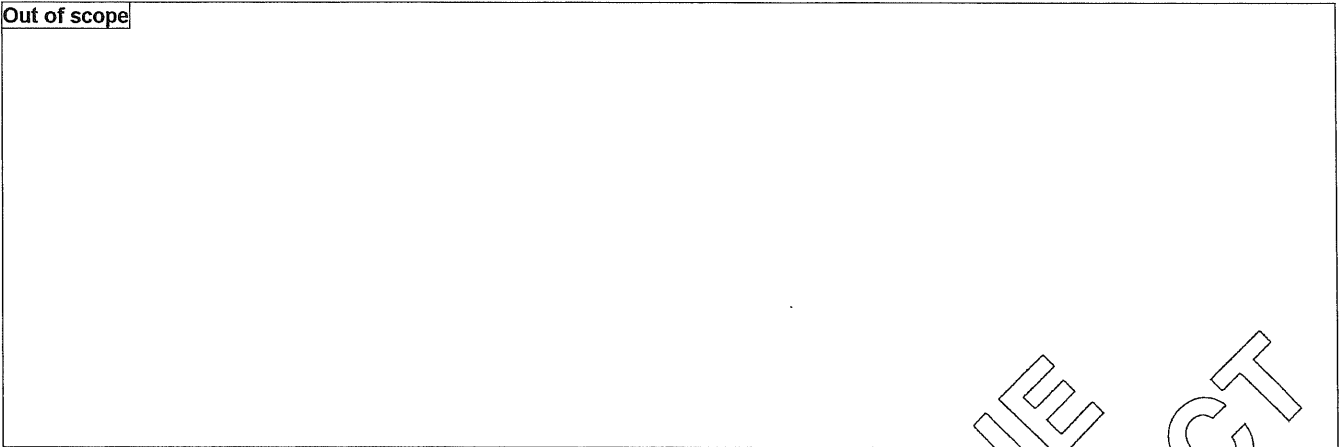


- established client level data collection in contracts covering 23% of funding in the Community Investment Strategy

Out of scope



Out of scope



Murray Edridge
Deputy Chief Executive
Community Investment

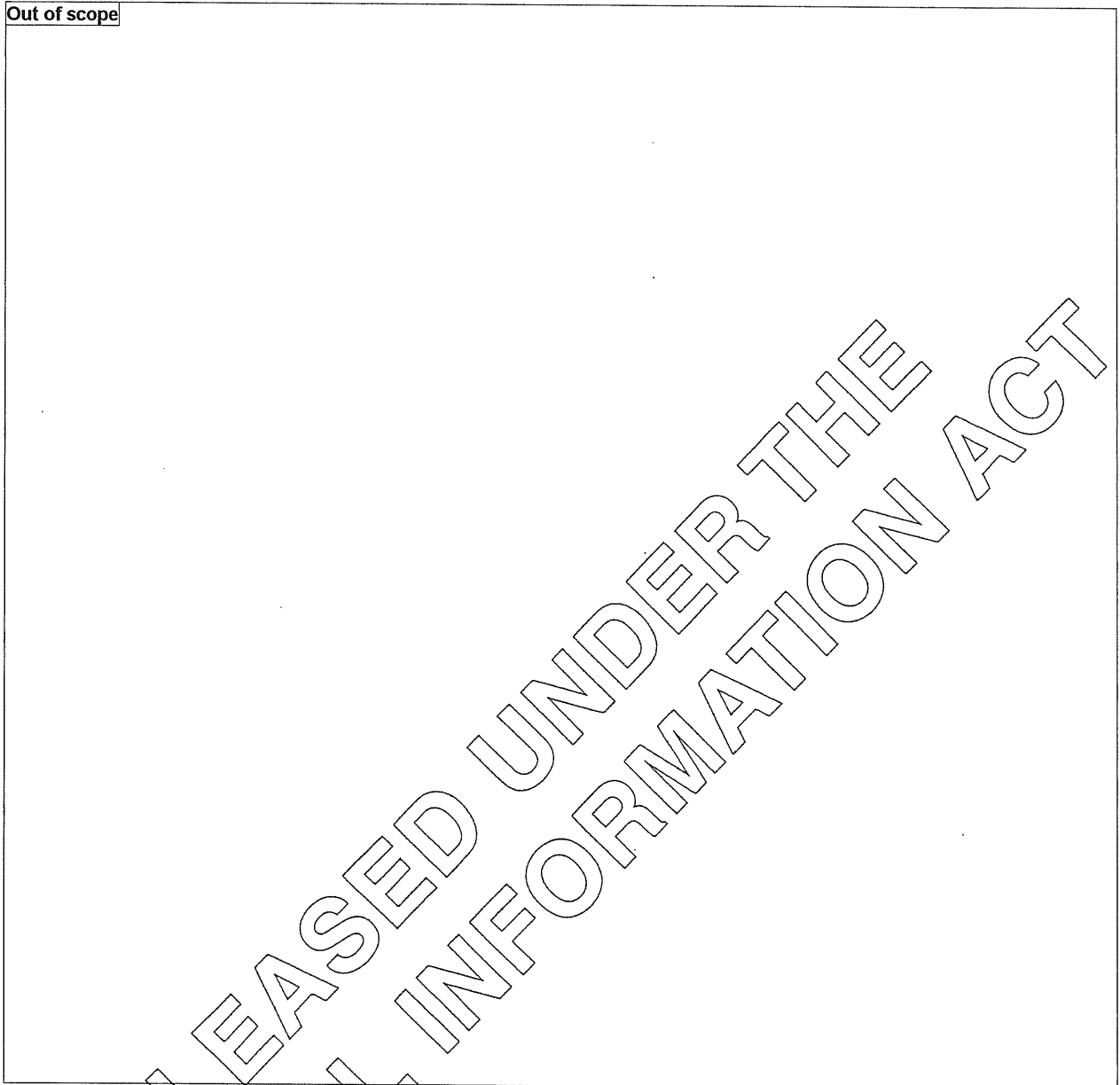
15 March 2016.
Date

Hon. Anne Tolley
Minister for Social Development

21-3-16
Date

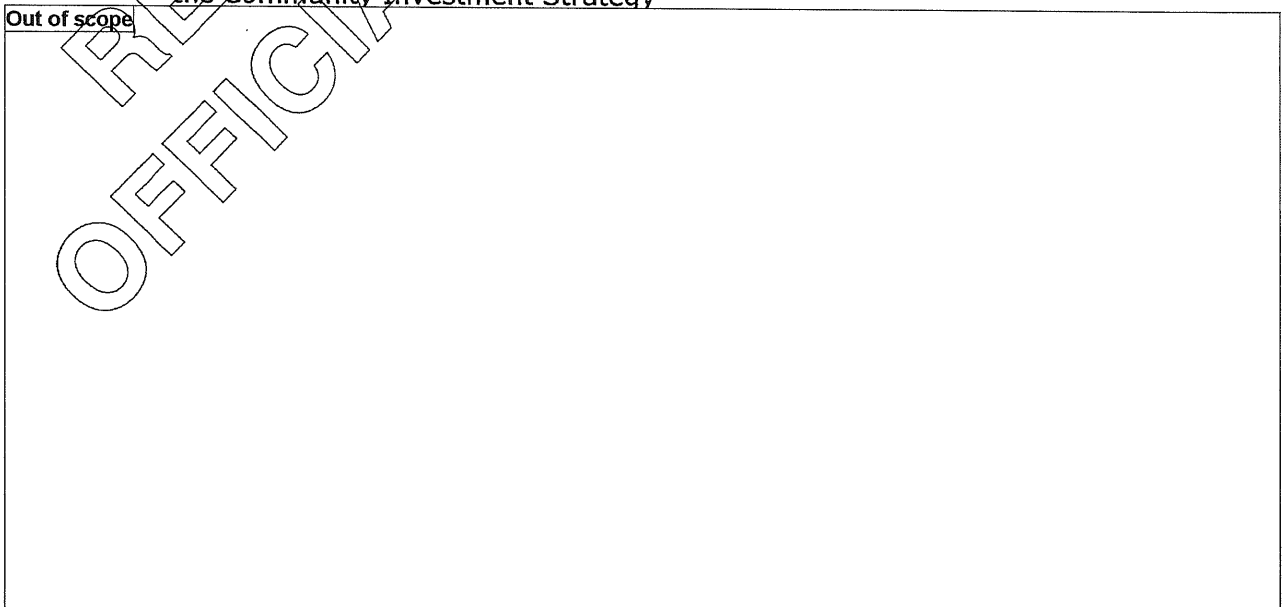
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5.4 established client level data collection in contracts covering 23% of funding in the Community Investment Strategy

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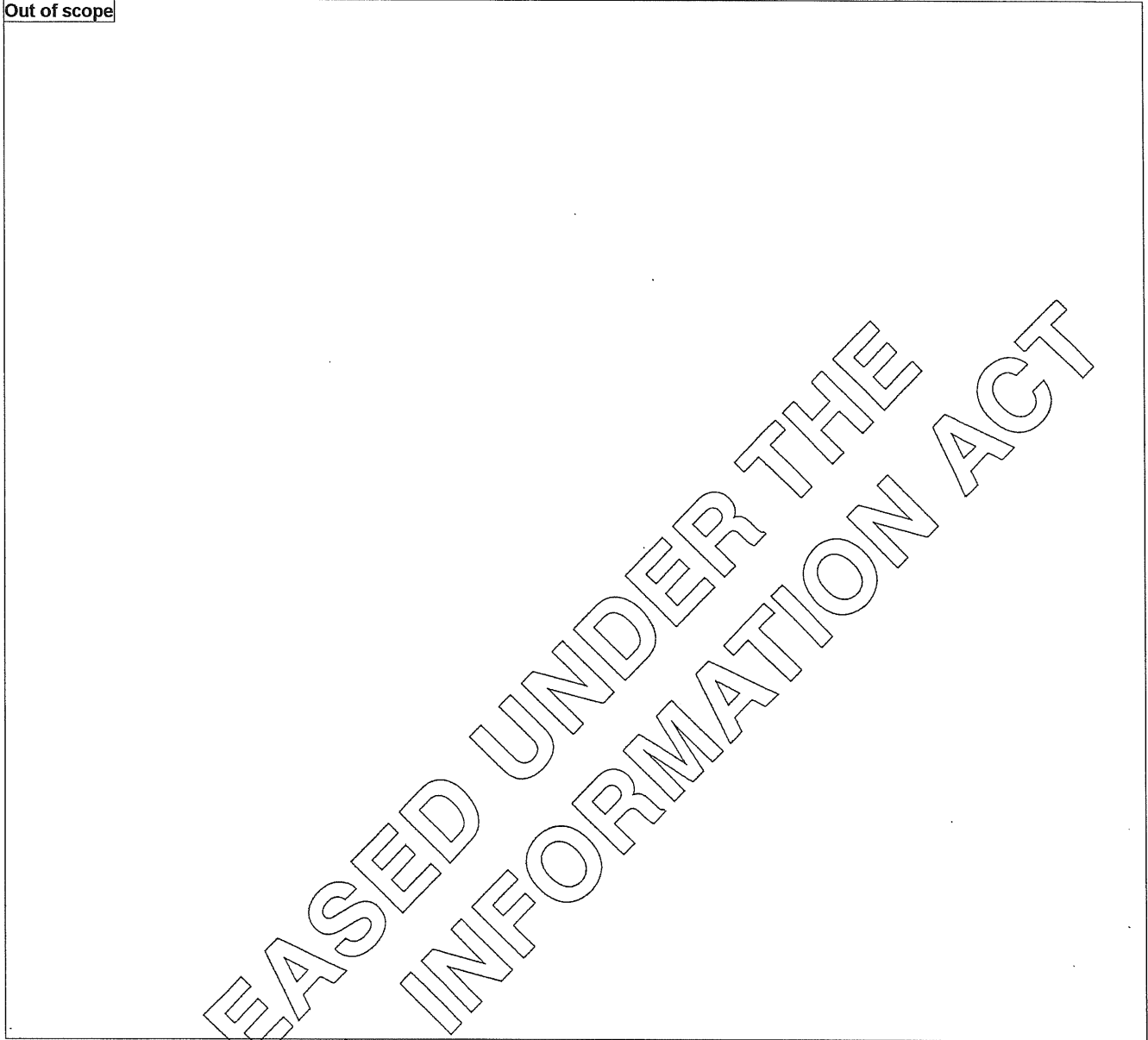
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Client level data will be included in contracts covering 23% of funding in the Community Investment Strategy

- 19 From 1 July 2016, the contracts listed in Table One (excluding grants for SKIP) will include requirements to collect data on individual clients. This is to enable us to learn more about what works for different types of clients and groups of clients.
- 20 Access to information that identifies individuals will be very tightly managed and requirements for clients to consent to the sharing of their information between providers will be rigidly adhered to. The Privacy Commissioner's Office has been kept informed of the changes.
- 21 Aggregated statistical information on clients will be more widely available for use by providers. We are trialling a data capture portal to collect this data from providers.
- 22 By collecting information on clients, and then assessing the effectiveness of different providers and programmes in achieving results for clients, we will have the basis of a system that can:
 - track results for individual clients (and cohorts of clients) in a meaningful way - first through the Results Measurement Framework, and eventually through data matching.
 - build an evidence base about who is accessing our services, where, and what works for different types of client cohorts.
 - enable effective practice to spread, and foster innovative new solutions through the shared measurement of results for different client cohorts.

Out of scope



File ref: REP/16/3/238

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Chair
Cabinet Social Policy Committee

**COMMUNITY INVESTMENT STRATEGY: UPDATE ON SIGNIFICANT
REPRIORITISATION OF FUNDING FROM SECOND TRANCHE OF LINE-BY-LINE
REVIEWS**

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Out of scope

- 32 The Ministry is also considering potential new or amended clauses to support best management of contracts and protect service provision and client data. These include step-in clauses that will improve the Ministry's ability to ensure service continuity in the event that a provider fails to deliver. Other clauses relate to legal rights to require provider co-operation on disengagement, including transition of services and transfer of data; audit rights; and tighter clauses around reporting and financial consequences where the Ministry has concerns about provider solvency.

Out of scope

Providers are receiving regular, clear and timely communications

- 34 The major focus is on letting providers know about the changes they will see in their contracts from 1 July 2016, including through face-to-face meetings and online resources. Where possible, the Ministry will communicate with providers before the end of March 2016, in order to give 90 days' notice of changes. Timing of decisions may reduce this notification period, but the Ministry will still be able to give more than 60 days' notice to providers (twice the legal requirement of 30 days).

Out of scope

Out of scope

- 38 In regard to other issues, we expect that there will be some concerns raised from those providers where we are exiting services or funding, and we will tailor our communications approach to manage these. All providers will be contacted to let them know what is happening to their services. These communications will be based on a set of key messages, with tailored messages developed for those for whom changes will have particular effects.

Communities and stakeholders are being informed, involved and engaged in collaborative ways

- 39 The Ministry's approach to stakeholder engagement is to inform stakeholders about the Strategy, to involve them through sharing data and receiving information about priority populations, and to collaborate with them, using the Strategy as a framework for shared planning. This has included revitalising the Regional Community Forums to work alongside the Ministry on Strategy implementation.

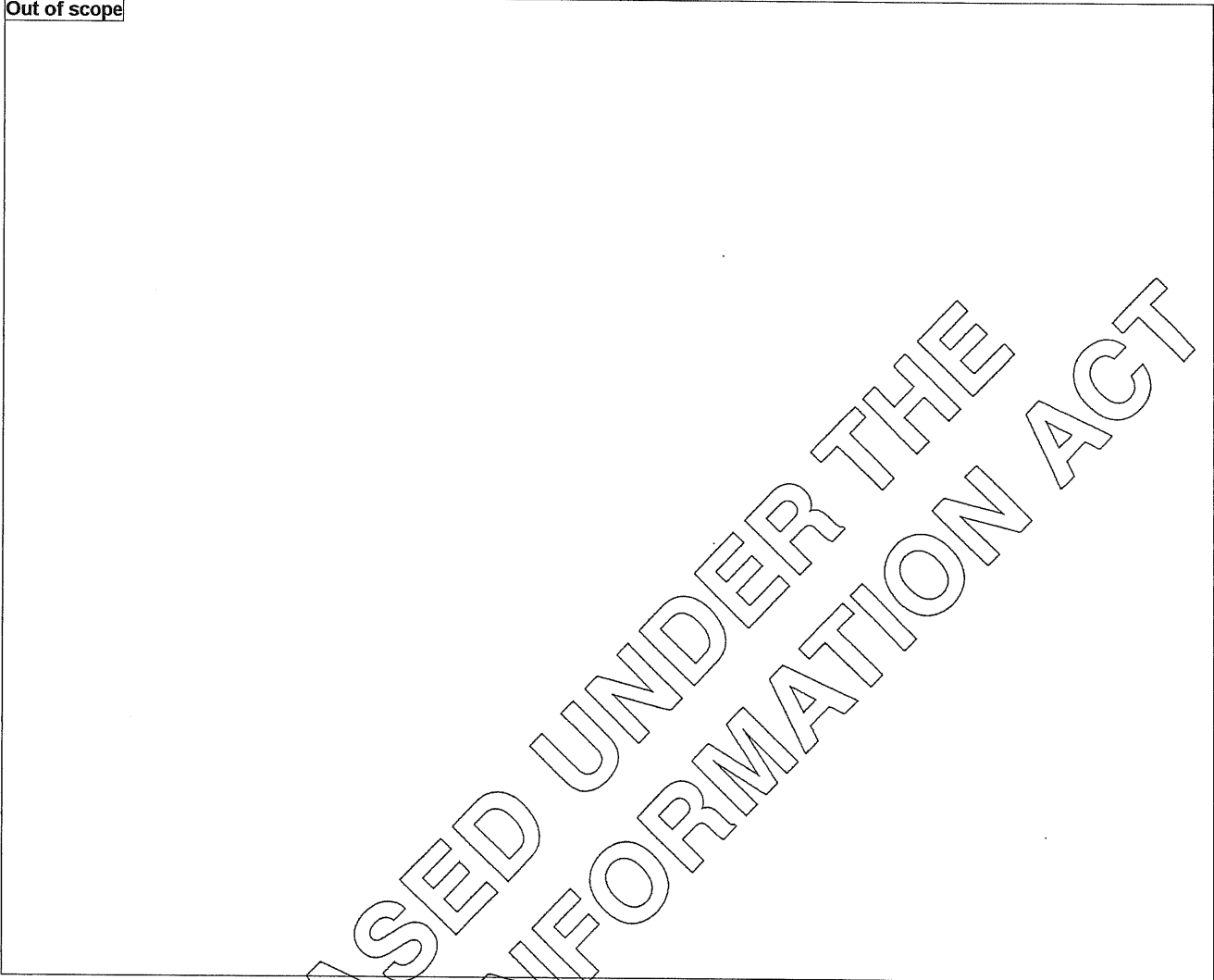
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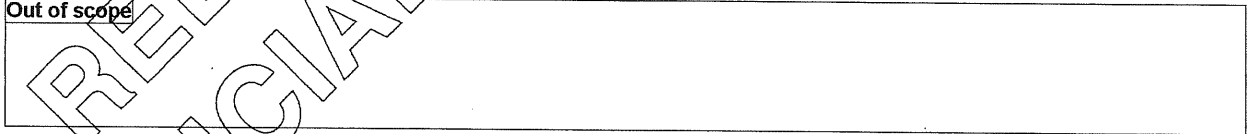
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Out of scope



- 6 **Note** progress on other Community Investment Strategy priorities relating to developing results-based performance measures and collecting client data; redesigning contracts; managing contracts; communications; engaging communities and stakeholders; supporting provider capability; and developing ICT infrastructure

Out of scope



Hon Jo Goodhew
Associate Minister for Social Development

____ / ____ / ____

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Report

Date: 4 April 2016

Security Level: IN CONFIDENCE

To: Hon Bill English, Minister of Finance

Hon Anne Tolley, Minister for Social Development

Hon Jo Goodhew, Associate Minister for Social Development

Community Investment Strategy: Further detail on contracting changes from 1 July 2016

Purpose of the report

- 1 This report provides further detail on changes to contract management and contract redesign that will be made from 1 July 2016 as a result of work being completed under the Community Investment Strategy.

Recommended actions

It is recommended that you:

- 1 **note** you have asked for further detail on contract changes that will be made from 1 July 2016 specifically in relation to Results Measurement Framework, Client Level Data and contracting arrangements

Yes / No

2 **Out of scope**

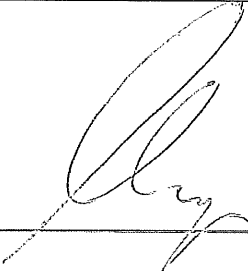
3

- 4 **note** we have attached a contract template, filled in for Social Workers in Schools, that shows the changes relating to Result Measures and Client Level Data

Yes / No

5

Out of scope



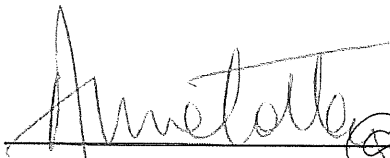
Murray Edridge
Deputy Chief Executive
Community Investment

4 April 2016

Date

Hon Bill English
Minister of Finance

Date



Hon Anne Tolley
Minister for Social Development

5-4-16

Date

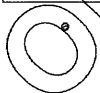
Hon Jo Goodhew
Associate Minister for Social Development

Date

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It requires the collection of individual data so we know who the provider is working with to enable us to monitor the immediate and longer results for customer (Service Specification – Section 6 Reporting)

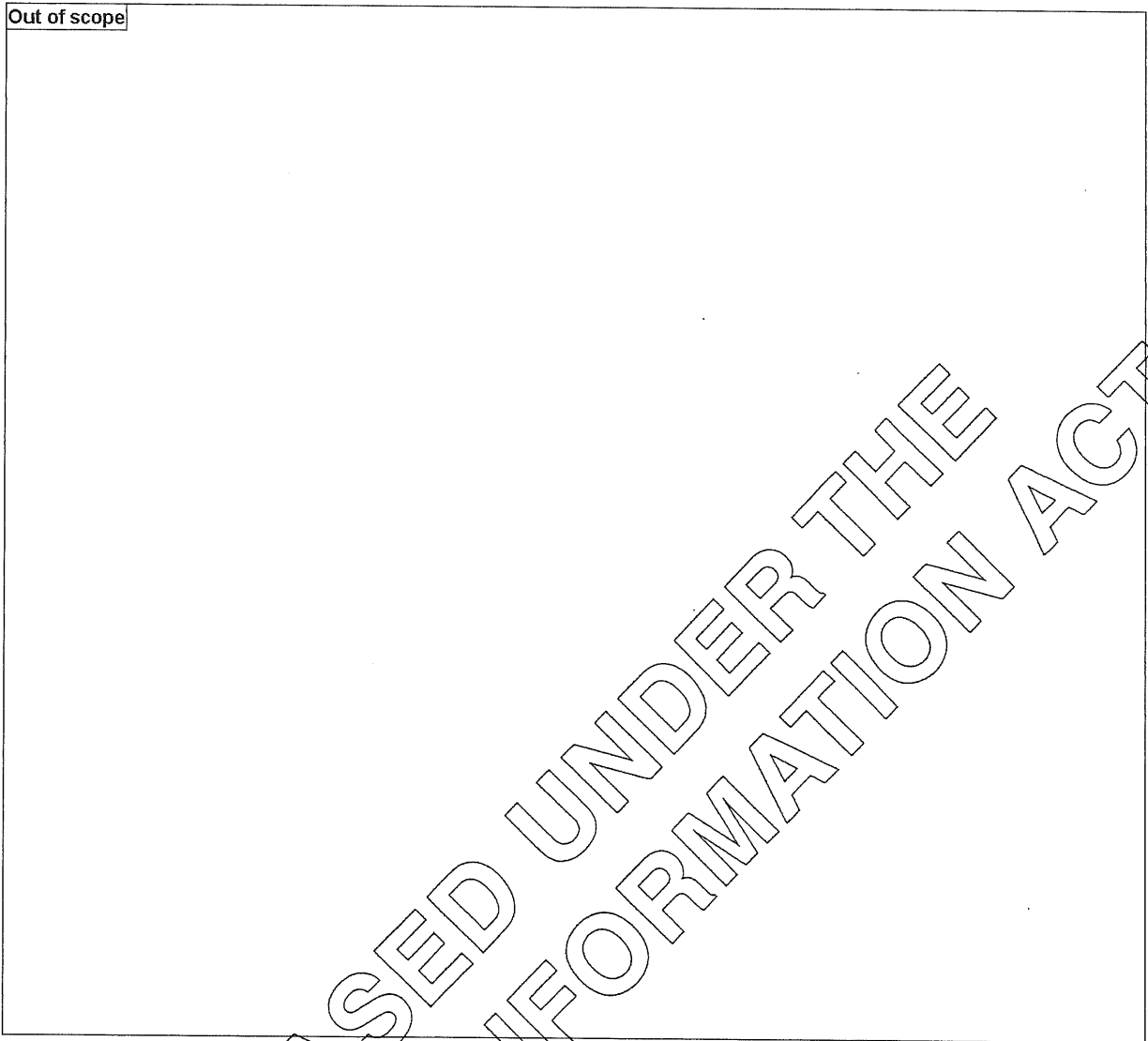
8

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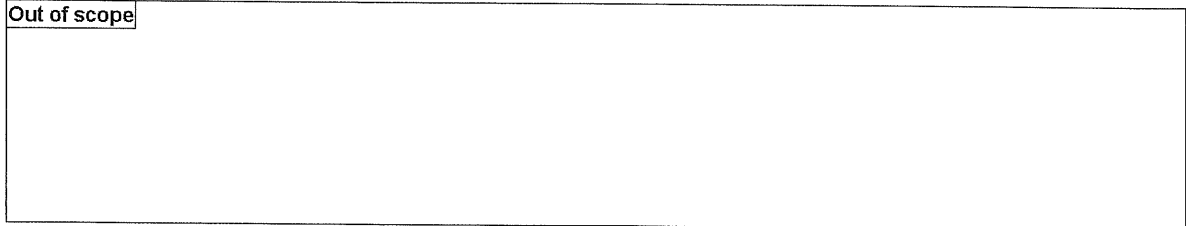
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The new contract template includes provision for collecting and managing individual data

- 15 The new contracting arrangements depend on the collection of individual level data.
- 16 New provisions to include *requirements to collect data on individual clients* have been added to the Outcome Agreement and Service Specification documents. This provision includes requirements for clients to consent to the sharing of their information with the Ministry. This will allow us to track results for individual clients through the reported measures under the results measurement framework.
- 17 Data collection provisions can be found in Clause Six and Appendix Three of the Outcome Agreement and Section Six of the Service Specification.
- 18 We note that MBIE are proposing to include additional clauses to their Framework Terms and Conditions that will address legal requirements on providers and purchasing agencies in regard to client level data collection.

Out of scope



Out of scope

Appendices

Mock-up of the SWIS contract for the 2016/17 financial year

- **Appendix One:** Example MBIE Framework Terms and Conditions (separate document)
- **Appendix Two:** Example Outcome Agreement (separate document)
[Results measures in Clause Four and Appendix One. Data collection provisions in Clause Six and Appendix Three]
- **Appendix Three:** Example Service Specification (separate document)
[Results measures in Section Five. Data collection provisions in Section Six]

Appendix Four: Example new contractual clause – Step In rights (Attached)

File ref: REP/16/4/330

Appendix Four

Out of scope, Pages 7-16 removed as out of scope

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