Report

Date:	1 December 2016	**Security Level:** IN CONFIDENCE	
To:	Hon Jo Goodhew, Associate Minister for Social Development		
Cc:	Hon Anne Tolley, Minister for Social Development		

Status update on Community Investment's collection of Individual Client Level Data and Information Communications Technology solutions

Purpose

1   The purpose of this report is to give you an update on the implementation of Client Level Data collection and the supporting Information and Communication's Technology data capture solutions that are being rolled out.

Recommended actions

It is recommended that you:

1   **note** this report provides an update on two critical components of the Social Investment System we are building through the Community Investment Strategy: Individual Client Level Data and the Information Technology mechanisms that will support its collection storage and use.

2   **note** that we have established the contractual requirements to collect Client Level Data in 23% of our programmes and services and will begin our first data collection in April 2017, allowing time for providers and Community Investment to establish secure processes for the data collection and transfer.

3   **note** that we have initiated a collaborative process with officials and Non-Government Organisation's (providers) to manage issues and risks with the collection and use of data on an identifiable basis from 1 July 2017 for all providers.

4   **note** that we have a three-pronged approach to developing the Information Technology (IT) systems to support data collection, transfer and storage:

    4.1   A basic immediate solution (spreadsheet) that is about to be made available to the first phase of providers collecting data.
    4.2   An IT platform that we will develop and manage in conjunction with providers and an IT partner.
    4.3   Engagement with third party vendors of client management systems (CMS), and with large providers with their own CMS, to enable automated data exchange in the format we require.

5   **note** that we are working closely with the Social Investment Unit on data exchange.

6   **agree** we will provide another update to you in March 2017.

AGREE/DISAGREE

Roberts

Maree Roberts
Associate Deputy Chief Executive
Community Investment

1 December 2016

Date

Hon Jo Goodhew
Associate Minister for Social Development

Date

Background

2   The Community Investment Strategy (CIS) is being implemented through six key elements:

- focusing more clearly on priority results
- building the evidence base
- improving the quality of data collection
- setting a clear direction for funding
- simplifying compliance requirements
- building provider capability.

3   The collection of Individual Client Level Data (ICLD) and client results data are critical to enable us to understand who is using the programmes and service we fund and what results they are getting.

4   This report provides an update on the following two projects:

- Individual Client Level Data (ICLD) project
- Information and Communications Technology (ICT) project.

Individual Client Level Data

What is ICLD?

5   ICLD includes information about a client that typically doesn't change over time and is identifiable by its nature. It identifies who clients are, where they are located, what programmes and services they receive and when they receive them.

6   It also includes additional information that tells us what and when programmes or services were accessed.

7   ICLD data includes the following information:

Client demographic information	Name, Date of birth, Country of birth, Gender, Address, Ethnicity, Iwi
Clients dependants (where appropriate)	Number of dependants, Date of birth of youngest dependant
Service detail	Programme / service name, source of referral, start date, end date and satisfaction with the service

8   The collection of ICLD will enable Community Investment (CI) to identify which client groups (such as teen parents) accessed which programmes and services and compare them with the client groups we think should have received these programmes and services. We will do this by using the data in a non-identifiable way, comparing individual demographic data such as age, ethnicity, gender and dependants etc.

Phase One ICLD Collection (non-identifiable data use) update

9   The first phase of introducing ICLD requirements has been applied to 23% of our funded programmes and services and will be non-identifiable. The second phase to start from 1 July 2017 will see us begin to collect and use ICLD for all our funded programmes and services in an identifiable way.

10 We have made the following progress to date:

- Group One and Group Two programmes and services (list of programmes and services attached as Appendix One) have outcome agreements and service specifications/guidelines in place that include the ICLD requirements.

- An interim data collection tool (spreadsheet) and instructions have been developed and sent to programmes and services from group one and are currently being sent to group two These instructions include both the 'how to use' the data collection tool and also how to use the Shared Workspace (Department of Internal Affairs provider portal) where providers will upload the spreadsheet.

- Data analysts in Community Investment have been trained to use the Shared Workspace which will ensure they are able to get the data and move it appropriately into the MSD Data Warehouse securely.

- ICLD Q&A's have been published on Ministry of Social Development (MSD) website http://www.msd.govt.nz/about-msd-and-our-work/work-programmes/community-investment-strategy/individual-client-level-data-collection.html

11 MSD will receive the first set of data from phase one of the group one and group two programmes and services collection on 10 April 2017.

Phase Two ICLD Collection (identifiable data use)

12 As part of building a Social Investment System, we need ICLD and client results data to help us better understand the needs of clients, and the types of interventions that are likely to work. We will then be able to better identify target groups of programme and service users and recognise if a programme or service is effective.

13 From 1 July 2017 we will be collecting ICLD for all our remaining programmes and services (where there is an individual client), not identified in phase one above. This data will then be used in an identifiable way for specific purposes.

14 We intend to use this ICLD for purposes such as:

- to plan, implement and improve the programmes and services we fund
- to help us understand whether these programmes and services are producing positive results for clients
- to provide advice to the government about the programmes and services we fund
- auditing, reporting and research purposes to improve programmes and services to clients.

15 We will also take a wider view to learn more about other programmes and services accessed by clients, by sharing and comparing ICLD with other agencies, such as the Ministries of Education, Health and Justice.

16 We have received correspondence from a range of sources that express concerns about the Phase Two approach, and identify issues with it. We have been working closely with MSD Privacy and Legal advisors, the Privacy Commission, as well as the Social Investment Unit to understand possible responses to these concerns and issues.

17 We are planning a collaborative approach to resolving them that will involve conducting a series of workshops with a working group of officials from Office of the Privacy Commission, Human Rights Commission and with members of ComVoices and the NGO Advisory Group community sector to work through possible solutions for moving into the ICLD phase two process.

18 We plan to have a final set of documents and/or standards no later than 31 March 2017 to implement ICLD phase two on 1 July 2017.

19 We will also complete concurrently an end to end business process on collecting, storing and analysing data.

Moving to Results

20 We are implementing and trialling a number of things to do with results that include the following:

20.1 introducing results measures through the use of the Results Measurement Framework into a number of our programmes and services.

20.2 trialling results based contracting where results are set at the contract level, as opposed to the programme or service level and hope to have some outcomes from this project in March / April 2017.

21 All programmes and services are required to have client level results in place no later than 1 July 2018.

Information and Communications Technology

22 Information and Communication Technology (ICT) is a key component in being able to collect and store data in a safe and secure way. The data we are going to collect is integral for us to better understand the programmes and services we fund and the results they are delivering.

23 We have a three-pronged approach to developing the Information Technology (IT) systems to support data collection, transfer and storage:

23.1 A basic immediate solution (spreadsheet) that is about to be made available to the first phase of providers collecting data.

23.2 An IT platform that we will develop and manage in conjunction with providers and an IT partner.

23.3 Engagement with third party vendors of client management systems (CMS), and with large providers with their own CMS, to enable automated data exchange in the format we require.

Basic Immediate Solution

24 To meet immediate ministerial expectations on ICLD requirements, a temporary ICT solution (spreadsheet) has been implemented from 1 July 2016 for a number of programmes and services (please see appendix one for more information).

Limitations of temporary ICT solution

25 The initial temporary solution has no ability to collect ICLD on a larger scale as the information being collected is an 'all manual process' and in many cases requires double data entry on the provider's behalf.

26 This temporary solution also cannot collect client results data, which must be in place for all programmes and services (where there is an individual client) by 1 July 2018.

Interim IT platform

27 To be able to collect the data we require effectively, we need an ICT solution that is able to initially provide ICLD on a large scale and then also be able to collect client results data going forward.

28 We have continued to work with our Information Technology (IT) team, who have completed the procurement of an ICT system that is able to collect the ICLD we require and over the long term will be able to be modified to collect the client results data we are rolling out, due for completion on 1 July 2018.

29 Proof of concept will be implemented with three providers. Testing will be completed over one week beginning 8 December 2016. Following this the trial 'go live' date is 10 January 2017 and will run for approx. three months. This will enable MSD to gather end user feedback to establish whether the system meets the needs of CI and to capture required changes to be delivered, prior to rolling the system out for broader scale use by 1 July 2017.

Existing client management systems

30 There are a number of Client Management Systems (CMS) being used across the provider sector. MSD has also invested in larger providers developing their own CMS through the Capability Investment Resource. We will bring the larger providers together and map out what would be required to ensure those CMS are able to generate files containing the data we require in the format needed.

31 This approach could also make use of the data exchange processes (the so-called "data highway") that the Social Investment Unit is developing. Community Investment is working closely with the Social Investment Unit in testing the data exchange mechanism with a provider, and will be an integral part of rolling the data exchange facility out over the next calendar year.

Future provision

32 We will continue to work with the Investing in Children's programme on requirements for the Ministry of Vulnerable Children, Oranga Tamariki.

Next steps

33 We will come back to you in March 2017 with a further update on the progress with implementing ICLD and the IT solution to support this.

Appendix

Appendix One – Initial Programmes and Services with ICLD Collection

File ref: REP/16/12/1573

9(2)(a) - Privacy of another

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Appendix One – Initial Programmes and Services with ICLD Collection

Initial collection of ICLD from 1 July 2016 is for the following programmes and services a:

Programme or service title	Data collection in place
Family Start (using their current IT solution FSNet)	Individual client level data and client results data
Social Workers in Schools	Individual client level data
Youth Workers in Secondary Schools	Individual client level data
Multi Agency Support Services in Secondary Schools	Individual client level data
Harmful Sexual Behaviour services for non-mandated men programmes	Client results data at the service level only (not individual recorded results)
Stand – Intensive Family Wrap Around Service	Individual client level data

A further three services were then also included in the temporary solution from 1 November 2016 as follows:

Programme or service title	Data collection in place
Building Financial Capability	Individual client level data and client results data at the service level only (not individual recorded results)
STAND – Family Therapy	Individual client level data
Community Finance	Individual client level data and client results data at the service level only (not individual recorded results)