4 April 2019

9(2)(a)
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Tēnā Koe 9(2)(a)

Request for documents under the Official Information Act 1982

Thank you for the emails received from your office on 7 March 2019. 9(2)(a) requested copies of the following documents:

1 December 2017	Data Protection and Use Policy update
11 December 2017	The Place Based Initiatives
15 December 2017	Data Protection ad Use Policy: Social Investment Engagement Options
9 January 2018	Social Investment Narrative and Data Protection and Use Policy: Public Engagement Outline
8 March 2018	The Place-Based Initiatives: Options
15 June 2018	Measuring the Wellbeing impacts of Public Policy: Social Housing
10 August 2018	Interim Report on the 'Your voice, your data, your say on social wellbeing' engagement process

Please find attached as an appendix, copies of the requested papers. You will note that the contact details of 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.

If you are not satisfied with this response regarding the release of the requested documents, 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.

Ngā mihi

Alma Shaw
Senior Ministerial Adviser

Proactive release Authorised by the Social Investment Agency

SIA
SOCIAL
INVESTMENT
AGENCY
ORANGA TANGATA

Data Protection and Use Policy Update

Date:	1 December 2017
Security level:	In Confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

To provide a summary of the work completed to date in developing a Data Protection and Use Policy (the Policy), in order for you to make decisions on the approach going forward. This briefing includes details on the policy development and engagement process, formation of the Working Group, governance approach and timeframe.

Recommendations

It is recommended you:

1.	**Note** the amendments to the original Terms of Reference following our discussions with you, including timeline updates and a greater emphasis on engagement.	☐ Yes	☐ No
2.	**Agree** to the Terms of Reference set out in Appendix one.	☐ Yes	☐ No
3.	**Agree** to the engagement approach, scope and proposed timings which would deliver a comprehensive Policy by September 2018, as set out in this briefing.	☐ Yes	☐ No
4.	**Note** that we will provide options to you for including engagement on the social investment narrative more broadly by Monday, 18 December.	☐ Yes	☐ No
5.	**Note** that once we have your agreement to recommendation 3 we plan to publish information on the process for policy development on the SIA website to build public awareness.	☐ Yes	☐ No
6.	**Note** that we will provide you with a draft Cabinet paper in the New Year setting out notice of and the approach to the Policy, as the basis for discussion with your Cabinet colleagues.	☐ Yes	☐ No

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Hon Carmel Sepuloni
Minister for Social Development

Danny Mollan
General Manager, Data & Infrastructure
Social Investment Agency

Update

Background

1. In 2016 the Ministry of Social Development (MSD) began rolling out funding contracts that required non-government organisations to disclose identifying personal information about service users. The Privacy Commissioner conducted an inquiry and concluded that the approach was inconsistent with the principles of the Privacy Act and should be amended. The need for a Data Protection and Use Policy (the Policy) emerged following the Privacy Commissioner's report.

2. Ministers requested that the Social Investment Agency (SIA) supported by Statistics NZ, develop a Data Protection and Use Policy to support government's focus on improving social sector effectiveness. The Policy developed in close collaboration with the social sector, including with users of social services, will make it easier to understand the safe, ethical and transparent use of social sector data and how to go about it.

3. The scope of the Policy must include the breadth of the social sector: justice, health, education, welfare, children/child safety, and research functions.

Terms of Reference

4. The Terms of Reference (ToR) set out the context and scope of the Policy and detail the proposed governance and support for the project, including establishment of a Working Group. The original ToR was approved by the previous Minister. Following discussions with you we have made some amendments to the original ToR to reflect timeline changes and provide greater emphasis on engagement. Refer to Appendix one.

Policy Development

5. The engagement process will usefully and authentically inform the Policy development process through online and direct engagement with service providers, service users, Iwi and Pacific people. The breadth of the engagement is critical to developing a sound Policy.

6. Engagement will occur in two phases with an initial feedback gathering phase followed by a more targeted consultation process once the Policy is drafted. It will be important to apply sufficient time and scope to this second phase of the engagement to ensure a robust outcome. We anticipate the process of direct engagement, Policy development and consultation to take six months, with this resulting in the eventual Policy. Refer to timeline in Appendix five.

7. Engagement will occur by direct and online methods. The direct engagement will include agencies, providers and their frontline staff, in parallel with Iwi, Pacific communities and service users. The direct engagement process and material will be made public and as such we expect a high level of public and media interest in this phase of the engagement process.

8. Direct engagement will take place throughout New Zealand, and the SIA will invite as broad as possible a spectrum of representative participants to engage in providing input into the draft Policy. Engagement sessions will cover three streams; agencies; Non-Government Organisations (NGOs) and peak bodies; and service users including Iwi and Pacific people. We are currently evaluating the locations and engagement session types with the Working Group

and early indications are that there will be upwards of 50 sessions across all stakeholder groups.

9. Engagement will include discussion on key potential elements of the Policy and pose targeted questions on these topics to participants, in order to engage in meaningful dialogue and provide a genuine opportunity for input on what should be included in the eventual policy. The proposed key topics for engagement are included in Appendix two.

10. Public engagement on developing the Policy was originally scheduled for mid-November 2017. The timeline was set last May to align with renewal of contracts for the Ministry of Social Development in early 2018.

11. We suggest that the initial engagement phase commences towards the end of March 2018 to allow the project time to prepare the content and develop a suitable engagement approach for each individual audience. This timing also ensures that we do not conflict with the Census in early March.

12. Following your recommendation we are exploring the options for engaging with the social sector, including service users, on the Social Investment narrative more generally.

Governance

13. A Working Group was established to assist the project team in the development of the Policy. The group is comprised of social sector representatives whose main function is to ensure that the Policy will be valued and used by the social sector once completed. Their role is to:

    • Ensure that appropriate engagement occurs to fully develop and realise the work.
    • Provide advice on how to collaborate effectively with NGOs, Iwi, Pacific people and service users.
    • Ensure consistent, regular and open communication as the work progresses.

14. The membership of the Working Group has been confirmed and consists of representatives from; Ministry of Social Development, Ministry for Children Oranga Tamariki, Stats NZ, Office of the Privacy Commissioner, Te Puni Kōkiri, Ministry for Pacific People, the NGO sector and also includes a client representative. We are in the process of identifying an independent data consultant, who will also join the group. The names of the Working Group members are set out in Appendix three.

15. To date the Working Group has met three times, with a focus on the engagement strategy, content and material for engagement, whilst also providing assistance with navigating the social sector. The next meeting is scheduled for the afternoon of Monday, 4 December 2017.

16. The Working Group has agreed that good supporting material, with the right input, should be developed before the public and online engagement processes begins. The Group has also confirmed the need to ensure broad opportunities for all willing people and organisations to engage.

17. An independent chair would be beneficial in navigating the relationship between government and non-government members of the Working Group, including reaching decisions. The Working Group is currently chaired by the Acting Chief Executive of the SIA, Dorothy Adams, until a chair is appointed. We have detailed the names put forward to the previous Minister in

Appendix four. We would be interested in discussing options for the Chair with you, and in the event that these candidates are considered suitable, we would need to reconfirm their availability for the position.

18. The project also requires formal governance. This is to ensure that desired outcomes will be achieved by reviewing the trajectory, methodology and processes that the project is implementing. Given the nature of the work, it is appropriate to frame this in the context of formal data system leadership across government. Whilst it remains ideal that this work is joined into data system governance, it would be sensible, whilst data system governance forms up, to enable discussion and confirmation of the approach with your Cabinet colleagues. If you agree, we will prepare a Cabinet briefing for information for your review with a view to the discussion taking place in the New Year, as per the recommendation.

Next Steps

1. We will prepare a briefing which provides options for including engagement on the social investment narrative more broadly by Monday, 18 December.

2. We will provide you with a draft Cabinet paper in the New Year setting out notice of and the approach to the Policy, as the basis for discussion with your Cabinet colleagues.

3. We will continue to develop the format of the engagement sessions, using a targeted and tailored approach suitable for each of the audiences. We anticipate a stable framework to be completed and tested internally with SIA by Wednesday, 20 December 2017, ready for presentation to the Working Group in late January 2018.

4. Develop the content and engagement approach specific for direct service user engagement. This material will be the same content which is launched as part of the online platform to invite feedback from the public more broadly.

Contacts

Name	Position	Contact number	✓ First contact
Dorothy Adams	Acting Chief Executive	[9(2)(a)]	☑
Danny Mollan	General Manager, Data and Infrastructure	[9(2)(a)]	☐

Minister's comments

Attachments

Appendix one - Terms of Reference for Data Protection and Use Policy Working Group

Appendix two - Key Topics for engagement

Appendix three - Working Group members

Appendix four - Working Group Independent Chair options

Appendix five - Timeline

Appendix one - Terms of Reference for Data Protection and Use Policy Working Group

Purpose

This document outlines the Terms of Reference (ToR), and planned approach, to deliver the Data Protection and Use Policy (the Policy). This Policy will inform, clarify and guide the use of data for social service delivery including for social investment purposes. The Policy will help build trust and confidence with agencies and providers involved in the delivery of social services.

The policy context – the existing landscape

The Policy is being developed within a wider context of related work. This related work recognises that the increased value and quantity of data raises questions about the appropriate boundaries of use, how to balance collective value against individual risk, and what tools we need to inform those judgements.

The 'we' in this context is not only the government, but any organisation making richer use of information to deliver value, and collecting additional information to make further gains.

In the context of the Policy, all organisations providing resources, or services, into the wider system of social services share a common aim to: *increase the effectiveness and value of those services, while preserving the trust of those served by them*. If data is to play an effective role in these efforts we need commonly agreed guidance on how and why information is collected and used. We need to ensure value and trust are built and retained across all aspects of data gathering and use.

To this end we need to be clear about where the Policy itself sits, and how it relates to the work around it, including considerations of legislative context. We propose that the role of the Policy is:

1. Focused on exchanges of data between clients, providers, and funders of social services, where the exchanges are intended to improve outcomes in some manner.
2. Most relevant to the overlap in interests between government agencies, and Non-Government Organisations (NGOs) who also work with the clients of those agencies.
3. To define the range of potential purposes and uses that span social sector service delivery and social investment in detail.
4. In each case, to explore what options exist to implement approaches that achieve each purpose.
5. For all of the above to elicit principles, and/or common elements of the implementation approaches identified, that will build trust and confidence.

The following observations are useful to anchor the thinking about the proposed Policy:

- The data, the value of the outcomes, and trust in the approach rest with the client.
- Providers play a critical role as 'collectors' of data.
- The client groups of funding organisations (e.g. agencies), and service delivery organisations (e.g. NGOs) are an intersection. The latter is not a subset of the former, so a general perception that funding organisations or NGOs 'own' the client data as a consequence of funding arrangements doesn't usefully inform a broad policy.
- Data must flow around the social sector to maximise collective value.

To guide the thinking there are a range of usage scenarios which can help inform and develop the policy.

Table 1: Social investment data usage scenarios

Usage scenario	Purpose
1. **Understanding populations**	Exploring the major characteristics and patterns that describe a given population, for example: 'what do we know about the earlier and subsequent interactions of a person that eventually accesses mental health services'?
2. **Developing valuation and other models**	Developing rich valuation and other whole-of-life models that allow us to measure service effectiveness, ex-post cost benefit, or develop new investment strategies.
3. **Measuring effectiveness**	Using the valuation models to develop ex-post cost benefit, whole of life models for populations and services. It tells us what works and for whom.
4. **Developing investment strategies**	Applying insights to construct new or varied investment approaches and ex-ante cost benefit analyses.
5. **Developing commissioning tools**	Developing tools, approaches and methods to implement investment strategies. This includes defining the feedback loops that allow us to iterate.
6. **Performance management**	Measuring the performance of delivered services by collecting those KPIs set out in purchasing contracts. Performance management is not the same as understanding effectiveness. The former measures contracted KPIs, the latter implements a feedback loop by examining a wider range of factors.
7. **Improving service delivery**	Operational delivery practices enabled by a social investment approach that improve the fit between those most in need, and the services available to address those needs. Examples include: • richer analytical insight made available for *all* service delivery organisations in the system • The access to client details for contract recovery requirements.

The first step in consultation is to listen to the wider group of stakeholders to hear what their own needs and interests are and to accommodate those needs where they make sense.

Out of scope

Anything beyond the use of data for social sector delivery is out of scope of the Policy, but it is expected this work will inform broader data management policy, including standards. The main purpose of the Policy is to establish the relationships between the purposes and use of data to build and maintain trust. The Policy is not about specific implementation choices for ICT systems. The policy will not identify individual agency/NGO options for ICT systems for the collection and storage of client information.

Governing the work

For the Policy to be valuable the governance approach needs to address two main considerations:

- Making sure it fits within the landscape, and meets its purpose.

- Ensuring that it will be valued and used once completed.

Who does the work?

We propose that a Working Group is formed to inform the development of the policy. The Group's main function will be the second of the two considerations above. Their role is to:

- Ensure that appropriate consultation occurs to fully develop and realise the work.
- Provide advice on how to collaborate effectively with NGOs, Iwi, Pacific peoples and service users.
- Ensure consistent, regular and open communication as the work progresses.

With these in mind the Working Group will be composed of:

- SIA and Statistics NZ officials tasked with leading the work.
- NGO advisors with a breadth of service delivery experience.
- Iwi and Pacific advisors
- Senior manager Ministry of Social Development (MSD).
- Data Futures Partnership representative.
- Client representatives group(s).

We will also involve the Office of the Privacy Commissioner in order to enable them to provide appropriate advice.

Individual Working Group members do not represent their organisations in that role (the organisations will be engaged directly during the progression of the work) but offer their collective expertise and experience about the sector to support the Group's functions. The Chair's role is critical in synthesising that collective voice of the Working Group and conveying its advice to decision-makers. We are therefore proposing that the Chair be independent to support the Group's work in this way.

Independence in the Chair's role is also important because it can be expected that the range of views on this topic will be diverse. A key role of the Working Group will be to convey those diverse views to decision-makers and where they are substantive, recommend options balancing the views of the wider community obtained through the engagement process.

Who provides advice?

The Working Group is supported by a Project Team drawn from the SIA and Statistics NZ, with necessary skills as support is needed. The Project Team will act as secretariat to the Working Group and will seek advice from subject matter experts and with other related areas of work, such as work on the Data Commons. The following areas of expertise are considered key:

- Government Chief Privacy Officer (GCPO)
- Legal expertise
- Independent Data Consultant
- Senior manager Oranga Tamariki
- Engagement advisor
- Workshop design and facilitations expertise

Diagram 1: Project Team & Governance Arrangement


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┌─────────────────────────────┐
│  Social Investment Agency   │
│         Minister            │
└─────────────────────────────┘

┌─────────────────────────────┐      ┌──────────────────────────┐
│     Project Sponsor         │      │ Data Systems Governance  │
│ (acting SIA Chief Executive)│      │          (TBD)           │
└─────────────────────────────┘      └──────────────────────────┘

┌─────────────────────────────┐
│       Working Group:        │
│                             │
│  • Independent Chair        │
│  • MSD                      │
│  • MVCOT                    │
│  • SSPA                     │
│  • Women's Refuge           │
│  • Stats NZ                 │
│  • Family Help Trust        │
│  • Wise Group               │
│  • OPC                      │
│  • TPK                      │
│  • Pacific People's         │
│  • Client                   │
└─────────────────────────────┘

┌─────────────────────────────┐      ┌──────────────────────────┐
│      SIA Project Team:      │      │  Agency Advisory Groups  │
│                             │      │      (as required)       │
│  • General Manager          │      │ E.g. case studies/examples│
│  • Project Manager          │      └──────────────────────────┘
│  • Strategic Advisor        │
│  • Engagement Specialist    │
│  • Legal Expert             │
│  • Stats NZ Representative   │
└─────────────────────────────┘
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Approach and timing

The following approach is proposed, consisting of ten main phases and spanning approximately ten months through until the end of September 2018. Each phase will start with governance engagement, to give effect to the Working Group's accountabilities, and will involve reviewing the outputs of the previous phase, each being an input into the next.

Details of how the Working Group and Data System Governance will manage key approval points will be worked through with the Working Group, with early agreement to milestones and agreement to a way for momentum of the work to be maintained.

The table below highlights some key milestone dates for the policy development.

Table 2: Approach and timing

Date	Milestone
Early November 2017	Draft engagement content issued to Working Group for feedback
December 2017	Initial information on the Policy process published online via the SIA website
Mid-December 2017	Working Group approve content for engagement with NGOs and Agencies
Late December 2017	Workshop design drafted and tested internally with SIA participants
Late February	Discussion on options for how the Policy will be adopted or enforced once produced, to ensure maximum benefit for the sector
March - June 2017	Online and direct engagement with stakeholders and the public nationally to solicit input on the draft Policy
Late April	Policy adoption options confirmed
June – July 2018	Collate and synthesise input and prepare draft Policy; check-in on whether sufficient input has been received; publish/distribute summary of input to participants and invite feedback (ask: did we get it right?); test draft Policy with selected participants and adjust as required.
July – September 2018	Publish/distribute draft Policy and solicit feedback from participants on draft (second phase of consultation)
30 September 2018	Publish and distribute final Policy and summary of input/feedback.

The Policy is a policy-design process (stage 1) anticipated to be followed by a number of activities in the various agencies in order for them to adopt and align to it (stage 2). It is prudent to consider this work in light of the full programme of work that is likely to eventuate, with a wider policy viewpoint of the overall programme for the design, implementation and policy adoption of the Policy is anticipated to span three years.
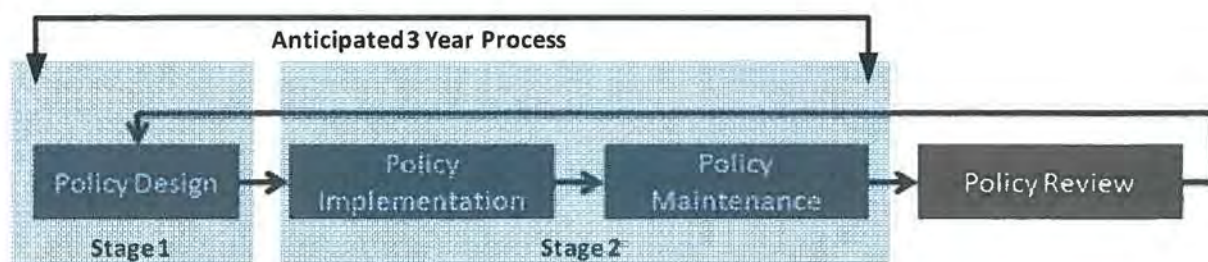
Appendix two - Key Topics for engagement

The particular focus of the engagement discussion will be based on the following:

Topics: including principles and key themes which have emerged from research findings of a similar nature.

Only what you need

Organisations should only collect personal information when it is necessary to fulfil the purpose for which it has been collected. If other methods such as de-identification or confidentialisation can be used to achieve that purpose, that should be the preferred choice. The purpose of collection of personal information should always be clearly explained, documented and adhered to.

Effective communication

Good communication about what kind of personal information is collected, how personal information is used, and how individuals can query uses and management of their information is important in building and maintaining confidence across the social sector.

Reciprocity & diversity

Insights are not just about facts and figures, but also about the richer context in which people and communities use social services. By enabling organisations and communities to tell their own story in their own way, and by understanding more about what data / information would help them and their service users, the information could be used to deliver the greatest value to all those who need it.

Opt in, Opt out and Consent

When is there a case for opt-out or opt-in? How could consent practices work? Issues and considerations to build trust and safety.

Te Ao Māori

Exploration and understanding of Māori perspectives and concerns about the collection, storage, use and sharing of personal information by the social sector and its potential benefits is key to informing the development of a suitable Policy and guidelines.

Pacific People

Actively understanding the culture, values and experiences of Pacific people in New Zealand, their interactions with social services and their knowledge and level of acceptance of the potential benefits of sharing their personal information will help inform a Policy that reflects their needs.

Capacity

Collecting, storing, using and sharing personal information can require time, training, expertise in a range of disciplines, consideration of a variety of issues, and capacity to achieve these requirements. Organisations should have tools in place to do this work.

Safety

Safety of personal information is key to building confidence in the social sector's collection and use of that information. Appropriate safeguards and processes will assist in maintaining the safety of information and addressing risks to breaches of safety that may occur.

1. **What we've already learned and what we'd like to learn more about**: a collection of synthesised feedback from existing research material. The collated information is the response from over 6,641 individuals in relation to the use of personal information which have been collected from the following sources:
   - Methodist Mission Southern (January-June 2016)
   - Office of the Privacy Commissioner (OPC) Privacy Survey (March-April 2016)
   - Data Futures Partnership (June 2016)
   - ComVoices ICLD issues paper (November 2016)
   - OPC Inquiry into MSD's collection of ICLD from NGOs (February 2017)
   - Data Futures Partnership (February-March 2017)
   - ComVoices ICLD feedback (March 2017)
   - Sexual Violence Crisis Support Services feedback on ICLD (April 2017)
   - Tūhono Trust and Data Futures Partnership (April-May 2017)
   - Kiwi Counts – State Services Commission (June 2017)
   - Ministry for Pacific Peoples: Contemporary Pacific Status Report, (June 2017)
   - Pacific Policy Analysis Tool: Kapasa
   - Te Mana Raraunga: Māori Data Sovereignty Network Charter and other policies

2. **Tools:** A collection of guides and digital tools, e.g. help to navigate through legal frameworks. Examples of consent forms and other useful tools and forms for people to use may be included. Participants will be asked what other tools may be useful to them.
3. **Implementation:** The way in which the eventual Policy may be adopted and aligned to by the social sector.

Appendix three - Working Group members

The Working Group currently comprises:

- Brenda Pilott (Social Service Providers Aotearoa)
- Dr Ang Jury (Women's Refuge)
- Libby Robins (Family Help Trust)
- Julie Nelson (Wise Group)
- Rachael Milichich (Statistics NZ)
- Kay Brereton (client representative, Beneficiary Advisory Group)
- Nic Blakeley (MSD)
- Jen Ritchie-Campbell (Oranga Tamariki)
- Michael Harrison (Office of the Privacy Commissioner)
- Darin Bishop (Te Puni Kokiri)
- [9(2)(a)]

Appendix four- Working Group Independent Chair options

The following people have previously been presented as options for the Working Group

Independent Chair. Note we would need to approach any of the above potential candidates again in order to ascertain their availability to assist, if required.
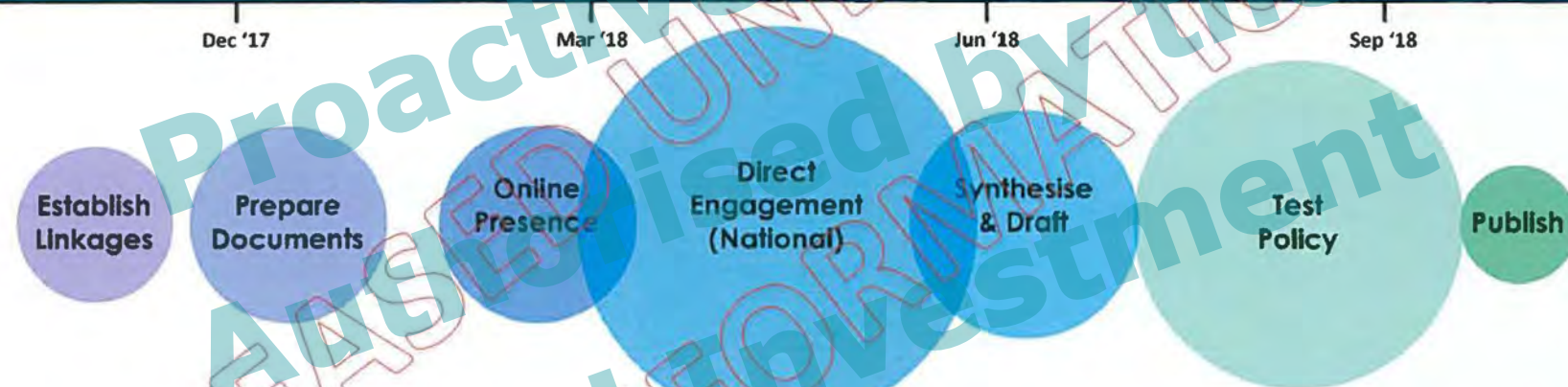
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Appendix five- Timeline

SIA | SOCIAL INVESTMENT AGENCY ORANGA TANGATA

DPUP Project Overview

Dec '17 — Mar '18 — Jun '18 — Sep '18

Establish Linkages

Prepare Documents

Online Presence

Direct Engagement (National)

Synthesise & Draft

Test Policy

Publish

Establish Linkages
- Identify all areas of related work
- Agree areas of shared interest and review existing findings so that development of the DPUP is both informed by, and informs related work.
- Brief social sector organisations on the DPUP
- Establish Working Group and assess additional governance mechanisms

Prepare Documents
The documents will provide context and will form the base of the engagement material. In detail they will:
- Outline the motivation and purpose of the policy
- Outline key concepts and their relationship to better use of data
- Explain the concepts and topics of discussion which will form the eventual Policy
- Detail the engagement approach and strategy to be agreed by the Working Group
- Detail the proposed timeframe for the work

Online Presence
To broaden and improve access to the discussion we will provide an online channel to enable others to contribute, and as a means to promulgate the policy once complete.

The process will be phased to provide information about:
- Initial launch on the process (transparency and expectations management) of the DPUP
- Second launch will invite comment on the same engagement material that will be used in the direct engagement sessions with service users

Direct Engagement (National)
We will undertake direct engagement with the following parties in parallel, and also in conjunction with the online platform:
Agencies
NGOs
Frontline staff
Service users

This engagement will focus on topics which have resulted from feedback across a number of similar exercises and surveys

The discussion will focus on safeguards, capacity and implementation which will form the basis of the eventual Policy

Synthesise & Draft
Following the direct and online engagement phase the project team will collate, digest and synthesise the findings captured

An initial draft Policy will be developed. This will form the basis of the second 'reflect back' and testing of the Policy

The draft Policy will also be published online for public comment.

Test Policy
The second phase of engagement will involve a targeted approach and discussion with NGOs and agencies specifically

We will consult with stakeholders on the feedback which has formed a draft Policy and solicit further feedback and input.

Confirm options for the Policy alignment/adoption. Early indications are that there is a preference for something binding, as opposed to a voluntary alignment strategy.

Publish
The final Policy will be published online, and communicated to all contributors.

The Place-Based Initiatives

Date:	11 December 2017
Security level:	In confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

This briefing provides you with an overview of the three Place-Based Initiatives and the Place-Based National Support Team.

The briefing precedes report backs to Cabinet from each of the Place-Based Initiatives and the Place-Based National Support Team, expected in February 2018, which will set out their future objectives and seek to draw down funding from the Place-Based Initiative Contingency beyond 30 June 2018.

Recommendations

It is recommended you:

1. **Note** that the three Place-Based Initiatives and the National Support Team will report to Cabinet shortly, outlining objectives and seeking funding for the three years beyond 30 June 2018. ☐ Yes ☐ No

2. **Note** that the report back process will be an opportunity for Ministers to review the direction of the Place-Based Initiatives, as well as governance and reporting lines. ☐ Yes ☐ No

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Hon Carmel Sepuloni
Minister for Social Development

Danny Mollan
Director, Data and Commissioning
Social Investment Agency

The Place-Based Initiatives

1   The Place-Based Initiatives (PBIs) developed out of early social investment work exploring how to improve outcomes for at-risk 0-24 year olds. Appendix one details the thinking behind and development of the PBI model.

2   In April 2016, Cabinet agreed to three PBIs from a list of eight possible starting locations [CAB-15-MIN-0281 refers]:

  •   Kainga Ora in Northland, led by the Minister of Education [CAB-16-MIN-0178 refers].

  •   The Social Investment Board South Auckland (SIB SA), led by the Minister of State Services [CAB-16-MIN-0177 refers].

  •   Manaaki Tairāwhiti in Gisborne/Wairoa, led by the Minister of Social Development [CAB-16-MIN-0179 refers].

3   Appendix two provides a breakdown of the PBI model and its configuration in each location. Appendix three details the approaches and interventions being applied in each.

The National Support Team

4   The PBIs are supported by a small Place-Based National Support Team (NST) located in the Social Investment Agency (SIA), established by Cabinet in July 2016 [CAB-16-MIN-0341 refers].

5   *Evaluation*. The SIA is currently scoping the evaluation of the PBIs, having picked this up from SuPeru. Once the evaluation strategy is confirmed, and decisions on Cabinet papers agreed, a provider will be sought.

6   *Interim assessment*. The SIA is finalising an internal report into the PBIs' relative progress and effectiveness in meeting their objectives, any system level learnings to be drawn from these, and opportunities arising. Once completed, we will brief you on our findings.

Current funding

7   A tagged contingency fund was approved for the PBIs and NST in Budget 2016 [CAB-16-MIN-0186 refers], and two years of funding - to 30 June 2018 - was drawn down. The table below shows how funding was split between the four appropriations concerned.

Place-Based appropriation	Location of appropriation	Available contingency / (draw down) - $m			
		2016/17	2017/18	2018/19	Out years
Budget 2016 contingency		4.000	5.000	5.000	5.000
Northland PBI	Education	(1.645)	(1.683)		
SIB South Auckland	SSC	(1.500)	(2.000)		
Manaaki Tairāwhiti PBI	MSD	(0.151)	(0.225)		
National Support	MSD until 1 July 2017, then SIA	(0.610)	(1.020)		
Balance remaining / to be drawn down		**0.094 ***	**0.072 ***	**5.000**	**5.000**

* The remaining contingency for 2016/17 and 2017/18, totalling $166,000, was drawn down in August 2017 to implement the initial phase of Manaaki Tairāwhiti's '50 Families' project [CAB-17-MIN-116 refers].

Next steps

8   The PBIs and NST will report back to Cabinet in early 2018, outlining future objectives and seeking funding for the three years from 1 July 2018. This is unlikely to be before February 2018.

Contacts

Name	Position	Contact number	✓ First contact
Danny Mollan	Director, Data and Commissioning	[9(2)(a)]	☑

Minister's comments

Attachments

Appendix one - The Place-Based Model

Appendix two - The PBI model and current configurations

Appendix three - The PBIs – approaches and intervention models

Appendix one - The Place-Based Model

Origins and theoretical underpinnings

The three PBIs developed out of early social investment work exploring how to improve outcomes for at-risk 0-24 year olds.

In 2015, the Social Sector Investment Change Programme (the forerunner to the Social Investment Unit and Social Investment Agency) identified that New Zealand's most vulnerable families have to navigate a complex set of social services when they are least equipped to do so. The 2015 Productivity Commission report on More Effective Social Services reached similar conclusions.

The Social Sector Investment Change Programme's work identified that better integration of services and moving decisions on these to the local level could improve outcomes for at-risk populations. This work drew on studies into collective impact models, such as that of Canada's Tamarack Institute[1]. Collective impact is an advanced form of collaboration that brings together different sectors around a common agenda to solve large and complex problems.

The Tamarack Institute identified five interconnected components that can produce strong alignment and lead to large scale results: a common agenda; sharing measurement; mutually reinforcing activities; continuous communication; and access to dedicated, independent backbone support.

Applying the model

In New Zealand, the PBIs give effect to the model by moving decision-making to local social sector leaders. Their collective decisions can be expected to be better informed by, and more effectively address, local underlying causes and individual and family circumstances.

Place-based approaches develop and apply social investment methods locally by equipping local leaders to make informed decisions that:

- Draw on data and analytics to better understand the outcomes and resourcing required for the local target population.
- Use this alongside local intelligence and engagement to make evidence-based investment decisions about services and other interventions that deliver better outcomes for the target population.

Testing what works at the local and system level

The PBI's varying approaches provide an opportunity to test and learn which have the greatest impact for vulnerable populations with complex needs requiring multi-agency responses, and what is sustainable, scalable and transferable.

The PBIs started with different local leadership models and are progressing at different speeds. This reflects the leadership structures and levels of local capacity and capability in each community prior to implementation. All three PBIs could evolve into Social Investment Boards (SIBs) with the

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[1] www.tamarackcommunity.ca/collectiveimpact

power to start, stop or adapt contracts. The SIB South Auckland is the furthest progressed in this respect, having operated with a governing SIB from the outset.

The PBIs are based on a tight-loose-tight framework: tight about specifying success and target populations, loose on how local leaders will deliver, and tight on measuring achievement. For example, high level outcomes and target populations were specified by Cabinet but local leaders can choose specific outcomes and populations to focus on within those. In common, the PBIs are shifting decision-making closer to the front line, streamlining existing local governance arrangements and creating collective ownership of shared priorities.

National support functions

The early PBI work determined that a dedicated national-level support team would be needed to ensure appropriate application of social investment knowledge and resources (including access to data and evidence), develop investment proposals and present cost benefit analyses, establish a common approach to measurement and evaluation, and collect and apply lessons learned. As well as day-to-day support on emerging issues, the NST has the following core functions:

- **Providing access to useable data and evidence.** The NST has worked with the PBIs to access and interpret information from the Integrated Data Infrastructure to assist them with their decision-making. The NST is funding a full-time data analyst to assist the PBIs.

- **Working with the PBIs and agencies to determine if current decision rights allow the PBIs the flexibility they need to make effective collective decisions.** The NST created 'decision maps' to understand how agency processes connect with the PBIs, particularly regarding critical programmes and services.

- **Evaluation of the PBIs and PBI model.** Cabinet mandated that the PBIs are each responsible for evaluating progress towards local outcomes while the NST will provide overarching evaluation of the PBI model.

- **Setting up feedback loops.** The NST has facilitated the identification and sharing of key lessons among the PBIs and with agencies. Over time this will be combined with learnings from formal evaluation.

Into the future, we foresee a subtle shift in NST activities. With the PBI model having achieved greater maturity and levels of understanding, the NST can now focus less on activities helping the PBIs navigate the system and adopt a more hands on role to assist the PBIs to achieve their objectives and tell the place-based story in the context of social investment. We anticipate requiring less funding from the PBI Contingency to fulfil these functions.

Appendix two - The PBI model and current configurations

Principles of Place-Based Initiatives

The three Place-Based Initiatives (PBIs) aim to improve outcomes for at-risk children and their families/whānau by giving local social sector leaders the flexibility and support to collectively tailor responses to what works in their communities. All three initiatives are based on a tight-loose-tight framework:

- Tight: specify target populations and the outcomes you are working on
- Loose: the local leaders are free to choose how they meet the outcomes agreed
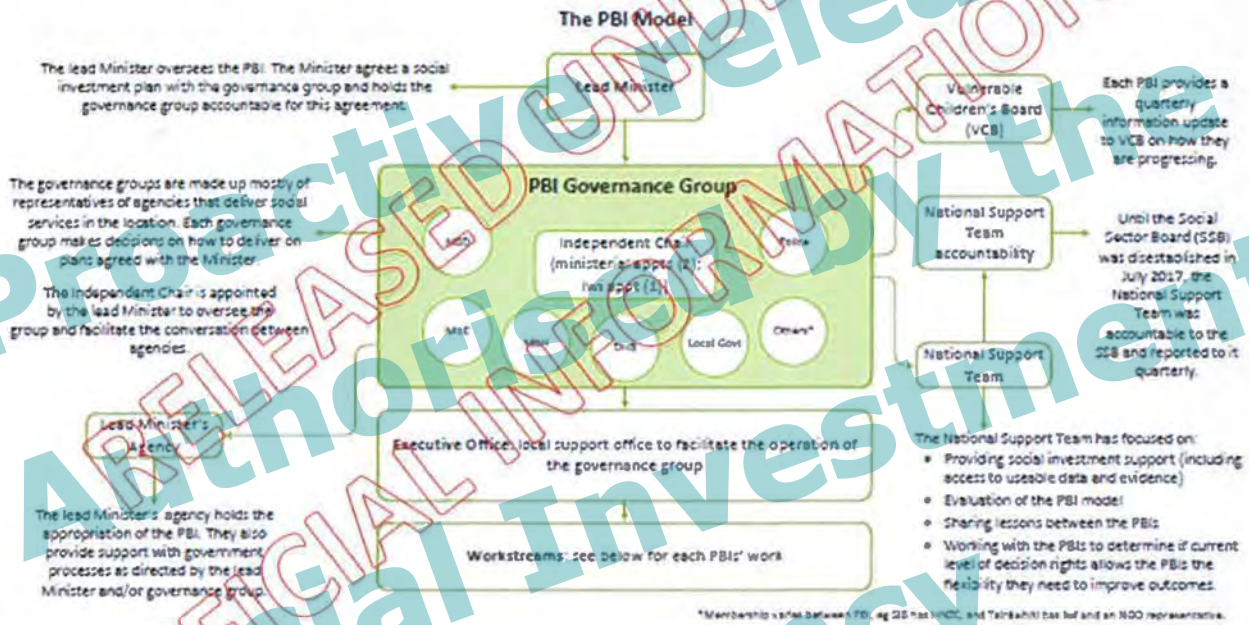- Tight: measure what is being achieved

Within five years all three PBIs are aiming to become social investment boards with the power to start, stop or adapt contracts. They are working towards this at different rates, reflecting local capacity and capability.

The PBIs are applying social investment at the local level

Social investment is improving the lives of New Zealanders by better understanding what they need, what works for whom (and at what cost), and how to adjust government investments to better meet need. Improved lives means happier, healthier, more productive people, which usually means less demand for government services.

The PBIs are developing and applying social investment methods locally. The PBIs are equipping local leaders to make informed decisions that:

- draw on data and analytics to better understand the outcomes and resourcing required for the local target population; and
- uses this alongside local intelligence and engagement to make evidence-based investment decisions about services and interventions that deliver better outcomes for the local target population.

The PBI Model

The lead Minister oversees the PBI. The Minister agrees a social investment plan with the governance group and holds the governance group accountable for this agreement.

The governance groups are made up mostly of representatives of agencies that deliver social services in the location. Each governance group makes decisions on how to deliver on plans agreed with the Minister.

The Independent Chair is appointed by the lead Minister to oversee the group and facilitate the conversation between agencies.

The lead Minister's agency holds the appropriation of the PBI. They also provide support with government processes as directed by the lead Minister and/or governance group.

Each PBI provides a quarterly information update to VCB on how they are progressing.

Until the Social Sector Board (SSB) was disestablished in July 2017, the National Support Team was accountable to the SSB and reported to it quarterly.

The National Support Team has focused on:
- Providing social investment support (including access to useable data and evidence)
- Evaluation of the PBI model
- Sharing lessons between the PBIs
- Working with the PBIs to determine if current level of decision rights allows the PBIs the flexibility they need to improve outcomes.

*Membership varies between PBI, eg SSB has HNZC, and Tairāwhiti has Iwi and an NGO representative.

Summary of the three PBIs

Kainga Ora (Northland)	Social Investment Board South Auckland	Manaaki Tairāwhiti (Gisborne/Wairoa)
Initial Lead Minister: Minister of Education	Initial Lead Minister: Minister of State Services	Initial Lead Minister: Minister of Social Development
Chair (non-voting): Harry Burkhardt (Chairman Ngāti Kurī Trust Board)	Chair (non-voting): Sandra Alofivae (South Auckland-based children's Barrister)	Co-Chairs (voting): Ronald Nepe (CE Te Rūnanga o Tūranganui a Kiwa) and Herewini Te Koha (CE Te Rūnanganui o Ngāti Porou)
Lead Minister's Agency: Ministry of Education	Lead Minister's Agency: State Services Commission	Lead Minister's Agency: Ministry of Social Development
Starting Population: 570 at-risk children and young people in the first year	Starting Population: 0-5 year olds with two or more risk factors (approximately 1300 children)	Starting Population: At-risk hard to engage families (starting with 50 families)
Starting Locations: Otangarei, Kaitaia and Kaikohe	Starting Location: Māngere	Starting Locations: Determined by 50 families' locations
Priority Actions: • 570 children and their whānau and families have an integrated service plan • Creating Community Action Plans for Kaitaia, Kaikohe and Otangarei • Initiating integrated agency responses as children are identified • Testing where there are gaps in agency service provision.	Priority Actions: • Improving universal coverage and access to targeted services • Optimising internal and cross-agency infrastructure and processes • Five interventions settings: Family Harm, Housing Support Service (vulnerable tenancies), Start Well (in-home visitation), Early Childhood Education, Alcohol and Drug/Mental Health.	Priority Actions: • Consolidated 12 existing social sector governance groups to drive service improvements • Beginning '50 families' project to identify service and practice improvements to deliver better results from existing services • A cross-agency triage process for Whangaia Nga Pa Harakeke, the Children's Team, and a Health initiative, E Tipu E Rea.

Relationship with other work: PBIs are working locally to ensure alignment with the Regional Economic Development (RED) Growth Programme, Whānau Ora and Children's Teams.

Appendix three - The PBIs – approaches and intervention models

The three PBIs started with different local leadership models and have progressed at different speeds. This is due to the leadership structures that existed in each community prior to the PBIs and the local capacity and capability in each place.

The PBIs have adopted different sets of priorities due to the unique needs of their communities. While each PBI population contains high numbers and proportions of the at-risk 0-24 year olds prioritised by Government, the specific needs of each population vary. Accordingly each PBI has taken different approaches, focused on specific subsets of the target population.

Kainga Ora (Northland)

Kainga Ora, the PBI in Northland, was established with the goal of helping the estimated 6,000 at-risk children/young people and their families in Northland achieve better economic and social outcomes. The name, Kainga Ora, reflects the importance of the home environment, the "kainga", which is fundamental to the development of the child and the maturing of the adult.

Kainga Ora, under independent chair Harry Burkhardt, has scaled up the existing Northland Social Wellbeing Governance Group and is initially focusing on working with three communities: Kaikohe, Kaitaia, and the Whangarei suburb of Otangarei. Kainga Ora is working to identify children and young people at risk of poor outcomes and ensure that each at-risk child has one assessment and one shared plan. The 'Kainga ora Table' operating model brings together agency and stakeholder experts. Local knowledge and intelligence is drawn on to consider the full range of issues facing each child and Kainga network, identify service gaps, and design and test prototype responses. Kainga Ora has also supported the creation of Project Action Groups which include non-government social service providers, community leaders, and strategic partners to create community action plans for each area.

Kainga Ora is continuing to build operational and governance capacity as it works towards the establishment of a Social Investment Board. Kainga Ora has explored a diverse range of community interventions, and is in the process of determining its future strategic focus and the level of ongoing funding required to achieve this.

Changing the way agencies work

Family Harm table. A key outcome has been the development of the Family Harm table (or 'Kainga Ora table') to triage the needs of children and their whānau. The table has progressed from working off Police incident reports to a wider agency referral system – utilising information from multiple sources indicating family harm.

Methamphetamine addiction. A serious issue confronting families is methamphetamine addiction. Kainga Ora has commenced a new service to refer addicted pregnant women, and those with children aged 0-3, to Northland District Health Board (DHB). The evidence is that most such mothers would otherwise not access services.

Long-term family harm. A business case is being developed to provide additional resourcing from the agencies contributing to the Family Harm table to enable them to work on the deeper problems facing families with long-term issues.

Youth not in employment, education or training (NEETs). The Ministry of Social Development (MSD) has found that 55% of Northland NEETs' lack of work readiness is predominantly health related. This can relate to both physical and mental health, and includes congenital conditions like Foetal Alcohol and Drug Syndrome. Kainga Ora has coordinated a new service model that assesses needs and treatment to be delivered through the DHB.

Working in Communities

Kainga Ora is addressing unmet community needs in order to build trust with at-risk and disengaged communities and whānau.

In Otangarei, Kainga Ora has:

- Utilised seed funding to direct purchase a pilot of the iMOKO health service (a technology led delivery approach) for Otangarei Kura (96 children aged 5-12 years old) to evaluate whether there should be further government investment. The service will provide one-stop healthcare for children of the kura relating to four common ailments - head lice, strep throat, skin infections and anaemia - and have prescriptions sent to a local pharmacy without a doctor's visit.
- Instituted unified healthcare and social plans for each child at Otangarei Kura based on information provided to the Whānau-Tahi client management system.
- Identified and accessed partners and funding for a community playground for 0-6 year olds, completed in August 2017.
- Identified and trained community champions to engage with whānau utilising the playground and link them with services, including B4 School Checks, Plunket, and early childhood education (ECE).

In Kaikohe, Kainga Ora has:

- Met a long-standing community need (identified through the Social Sector trials and other initiatives) for a safe space for youth to meet, socialise and complete homework.
- Made plans to purchase and broker services for youth, including family planning, health care, drug and alcohol, trauma counselling, education support and training, and employment pathways. Kainga Ora will contribute $100,000 towards staffing and the direct purchasing of services where gaps exist.

In Kaitaia, Kainga Ora has:

- Supported the development of Whiria te Muka, an Iwi and Police led partnership to address family harm in Kaitaia, along the lines of the Family Harm table model.

Social Investment Board South Auckland

The Social Investment Board South Auckland (SIB SA), under independent chair Sandra Alofivae, is focused on an estimated 1,300 0-5 year olds and their families at risk of poor social and health outcomes, initially in Māngere. They are aiming to reduce the number of children experiencing substantiated physical abuse, increase the number of children participating in ECE and reduce the number of preventable childhood hospitalisations for illnesses.

The SIB SA, comprises MSD, Ministry of Health (MoH), Counties Manukau DHB (CMDHB), Ministry of Justice, Ministry of Education (MoE), Police, Te Puni Kōkiri, Ministry for Pacific Peoples,

Department of Corrections, Housing New Zealand Corporation, Oranga Tamariki, and Auckland Council.

Where practical, the SIB SA has expanded some prototype initiatives into South Auckland beyond Māngere, and it will continue to do so where intervention is not cost effective in Māngere alone. Potential duplication with existing governance groups will be managed as needed.

The SIB SA has taken a 'learn by doing' approach to information sharing, with a Statement of Intent (SOI) relating to information sharing agreed by the Board in February and updated in August 2017. The SOI is broadly aligned with the information-sharing provisions in the Vulnerable Children Oranga Tamariki Act 2017, and the SIB SA has stipulated that no one be worse off as a result of information sharing. Baseline data has been collated from across agencies and NGOs to establish the SIB SA's analytic base.

The SIB SA's activities are focused on three work streams: improving access to universal and targeted services; optimising cross agency systems; and prototyping five interventions areas - expanded on below.

The SIB SA has established a clear direction of travel, and will be focused on accelerating the delivery of interventions already in train. Where practical, it will continue to expand the delivery of prototype interventions across South Auckland beyond Māngere. The SIB SA has signalled it will be seeking to maintain its current level of funding from the PBI contingency.

Improving universal coverage and access to targeted services

The SIB SA has focussed on improving the up-take of targeted services and increasing the coverage of universal services such as maternity, Well Child Tamariki Ora, primary care, oral health and ECE. Evidence and insights are being gathered to ensure that learnings from related intervention areas (see below) feed back into, and shape existing service delivery, and options are being explored on information sharing to ensure children are proactively offered universal services.

Optimising cross agency systems

SIB agencies are working together to improve internal and cross-agency infrastructure, systems and processes to support SIB objectives, as well as identify gaps and new opportunities. Examples of activities to date are:

- Collaboration in the Family Harm initiative, including back-end improvements within agencies to streamline referral processes.
- The co-design and trialling of a new way of working at the Māngere Work & Income site, drawing on feedback from the community, individuals and families, to enhance wrap-around services for vulnerable families.
- Housing New Zealand's use of tailored household plans to engage more intensively and provide wrap-around services for families early in their tenancy.

Prototype intervention areas

The SIB SA is prototyping five intervention areas that will, to greater or lesser degrees, adapt and combine agencies' resources, programmes and services. These are:

Family Harm, Whāngaia Na Pa Harekeke model – a joint approach of MSD, Police, Corrections, MoH and Oranga Tamariki. The Interagency Safety Assessment Meeting (SAM) table is established,

the aim being to reduce the negative impact of repeat exposure to family violence on the development of children. An estimated 400 assessments of Māngere whānau with children 0-5 years are to be undertaken in the 2017/18 year. The SIB SA will develop a social investment case to reorganise resources to reduce repeat incidences of family harm across all of South Auckland.

Housing Support Service – joint venture of Housing New Zealand Corporation, MSD and CMDHB. The aim is to intervene early in vulnerable tenancies to reduce transience of 0-5 year olds and their whānau, with a target to assess 50 Māngere families in the 2017/18 year.

Alcohol and Drug/ Mental Health – Police joint venture of CMDHB and MoH, with the aim of reducing alcohol-related harm by equipping frontline staff to deliver the Alcohol ABC Assessment and Brief Intervention tool. The objective is to intervene before alcohol issues escalate and require high-level specialist intervention. The SIB SA is working with approximately 50 frontline staff to embed the practice during the 2017/18 year.

Start Well Māngere – joint approach of CMDHB, MoH and MSD. This intervention will integrate health and social home-based visits to provide support for high-needs mothers and their babies that is intensive, flexible and holistic. Visits and service design for 100 young mothers (under 20 years) is targeted in the first year of operation.

Early Childhood Education – joint venture of MoE, MSD and Auckland Council. This involves co-designing an approach with Māngere ECEs, parents and whānau to strengthen ECE quality and build positive parenting communities to support children's readiness for school, with the target of 24 ECE centres engaged in the 2017/18 year.

Manaaki Tairāwhiti

The Gisborne/Wairoa-based PBI, under independent co-chairs Ronald Nepe and Herewini Te Koha, has focused on consolidating 12 existing governance and advisory groups to create a single governance group, Maanaki Tairāwhiti, and on expanding the mandate of the new group to drive service and practice improvements in the region. The success of the change management process involved owes much to the group's strong cross-sector relationships.

Manaaki Tairāwhiti, which to date has operated on a relatively low level of funding from the PBI contingency, has signalled it will seek modest additional funding to enable it to move towards a social investment operating model and, over time, consider transitioning to a Social Investment Board with greater capacity to commission tailored interventions.

Community-led action plans

Manaaki Tairāwhiti is developing community action plans (CAPs) that align with the work of its composite governance, advisory groups and networks. The CAPs support the delivery of activities being undertaken in the community, while joining up the governance for community safety, disability, primary prevention of family violence, social inclusion and youth. CAPs will also be developed for social housing and in Wairoa.

Whānau Voice

Manaaki Tairāwhiti commissioned research to better understand the experience of whānau accessing social services - Whānau Voice. Common factors identified have focused attention on:

- Enabling a support system underpinned by the tikanga of the Tairāwhiti context and that puts whānau at the centre of decision-making.

- Building on what works well in its community and identifying service duplication and/or gaps to ensure a seamless approach to social service provision based on whānau need.
- Investing in people and systems that navigate the whānau towards wellbeing.
- Reviewing policies and processes, particularly those detrimental to the whānau by inadvertently perpetuating whānau dependence, frustration and stress.

An integrated operating model

Manaaki Tairāwhiti is using a cross-agency triage process based on Whāngaia Ngā Pā Harakeke (a Police and Iwi partnership to reduce family harm), Tairāwhiti Children's Teams, and the Hauora Tairāwhiti initiative focused on under-fives - E Tipu E Rea.

Daily triage meetings follow a Family Violence Risk Assessment and Management Framework and involve Police, Oranga Tamariki, Children's team, Corrections, MoH, Iwi Social Services, Accident Compensation Corporation and Women's Refuge. This facilitates information sharing among agencies, with the triage table collectively agreeing on the most appropriate referral pathway for the client or whānau.

'50 Families' project

The '50 Families' project involves working innovatively with a cohort of 50 families for 12 months to build an understanding of the service landscape in Tairāwhiti. The project does not involve new services, instead seeking to strengthen existing cross-agency initiatives, programmes and services by addressing the system barriers that currently slow or stop families from making progress. Vulnerable whānau with complex needs will be identified through the cross-agency triage process. In August 2017 Cabinet approved additional funding of $166,000 towards the $256,000 cost of implementation.

System improvement

Manaaki Tairāwhiti has undertaken a 12-week State Services Commission Systems Improvement programme funded by the SIA, involving coaching and support designed to:

- Build capability to understand and build a body of evidence of what is happening across the system from the client's perspective, irrespective of agency boundaries.
- Create a baseline to help measure the effectiveness of future interventions and inform future funding decisions.
- Develop a shared understanding of the current system, starting at the joint triage table to provide insights and connections to Health initiatives (including emergency family harm screening, E Tipu E Rea Well Child Service, and Vulnerable Pregnant Mothers Case Management) and Corrections.

Ongoing work in support of these outcomes will be aligned with the '50 Families' project.

SIA
SOCIAL INVESTMENT AGENCY ORANGA TANGATA

Data Protection and Use Policy: Social Investment Engagement Options

Date:	15 December 2017
Security level:	In Confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

This briefing provides you with three options for including the Social Investment narrative in the Data Protection and Use Policy (the Policy) engagement process.

Recommendations

It is recommended you:

1. **Note** we have identified three options for including the Social Investment narrative in the Policy engagement process.	☐ Yes	☐ No
2. **Agree** to Option 1, which involves including the Social Investment narrative in all engagement sessions.	☐ Yes	☐ No
3. **Note** engagement feedback will be provided to you on the Social Investment narrative by the end of June 2018.	☐ Yes	☐ No

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Hon Carmel Sepuloni
Minister for Social Development

Danny Mollan
Director, Data and Commissioning
Social Investment Agency

Background

1. The Social Investment Agency (SIA) is planning an engagement process for the Data Protection and Use Policy (the Policy), which commences in late March 2018 and runs through until September 2018.

2. The engagement process will inform the Policy development process through online and direct engagement with service providers, service users, and Iwi and Pacific peoples. The breadth of the engagement is critical to developing a sound Policy.

3. You have asked us to include in that engagement, discussion on social investment more broadly. The purpose of engaging on the Social Investment narrative is to understand for the first time what the public thinks social investment means, how they expect this Government to approach it, and how feedback could help inform the future direction and work programme of the SIA.

4. This briefing presents the options for how to include the Social Investment narrative as a basis for engagement discussions.

Engagement Process

5. Engagement will occur in two phases with an initial feedback gathering phase commencing in March 2018, followed by a more targeted consultation process once the Policy is drafted. We anticipate the process to take six months.

6. The format of the engagement sessions will vary for each audience. The workshop format that is used for Non-Government Organisations (NGOs), peak bodies and agencies will differ from the more informal, but equally important discussions that will take place with service users.

7. Direct engagement will take place throughout New Zealand and will cover three streams: agencies; NGOs and peak bodies; and service users, including Iwi and Pacific peoples.

The Social Investment Narrative

8. Much of the social investment concept is intrinsic to the draft Policy engagement material and process we have developed to date. Topics such as reciprocity, purpose of collection and sharing of information, the right information for the right use, capacity and specific discussions on Te Ao Māori and Pacific peoples, will to some degree overlap with the Social Investment narrative and form the foundation for further discussion.

9. The opportunity to include the Social Investment narrative as part of the Policy engagement process will allow us to have a more open and comprehensive discussion on the intrinsically linked topics as part of the Policy development sessions.

10. We have identified three options for advancing the discussion on the Social Investment narrative through direct engagement.

Option 1: Include in all engagement

11. We would use a public-facing version of the Social Investment narrative as part of the **Policy** engagement process, with all audiences identified to be part of the Policy engagement. This option would invite the broadest spectrum of participation and allows a genuine opportunity for all interested participants to provide feedback and input.

12. Engagement would occur with agencies, NGOs and peak bodies, and service users, including Iwi and Pacific people. We are currently evaluating the engagement schedule with the Policy Working Group, with early indications suggesting upwards of 50 sessions nationwide.

13. This phase of engagement will take approximately three months and should allow the project team time to collate and synthesise feedback to have findings on the social investment component reported to you by the end of June 2018, at the earliest.

14. **Summary:** this option is our preferred option as it is inclusive of all audiences, overlaps with the Policy topics, and is an efficient use of resources and participants time. It also allows us to produce an output in a reasonable timeframe.

Option 2: Target specific audiences

15. We could target specific participants identified as part of the Policy engagement process – those who may have the most interest in providing feedback on the topic. The audience would include representatives from agencies, peak bodies and NGOs at a leadership level.

16. We estimate 15 half-day sessions for the Policy engagement, occurring in the main centres, and inviting feedback from broad and diverse service types, including Iwi and Pacific peoples.

17. This option would invite a reasonably broad spectrum of participation whilst allowing for a targeted and focused discussion with those most interested in the topic. It also ensures that the wider engagement on the Policy development is not diluted or confused and there is less risk of engagement participant fatigue.

18. Engagement with these participants is scheduled to take place at the beginning of phase one in the engagement process, with us targeting these groups in the main city centres rather than regionally. Having this engagement and feedback provided early would allow ample time for the project team to collate and synthesise feedback to have findings on the Social Investment narrative reported to you by the end of June 2018, with potential for this to be sooner if required.

19. **Summary:** this option still delivers a reasonable result however it risks being seen as selective and whilst it may elicit rich information it does not maximise the richer benefits of broad and inclusive engagement.

Option 3: Independent engagement

20. The SIA would design and deliver a separate road show, which focuses solely on the Social Investment narrative and does not include any specific discussion on the Policy. This would be conducted by a separate team internally at the SIA.

21. The road show would run in parallel with the engagement process on the Policy development and would occur in largely the same locations as Options 1 and 2.

22. **Summary:** whilst this option may be able to be advanced quicker there are risks to confusing people as there would be a tendency to avoid overflow effects between the topics, but as we've observed there are natural overlaps.

Recommendation

23. It is our recommendation that Option 1 is further developed, as on balance it provides the broadest spectrum of participation. Upon assessing the risks versus benefits with Option 2, the risk of the process coming under scrutiny given the narrower and targeted engagement audience, outweighs the benefits of having this work completed sooner. We believe Option 3 presents a risk of engagement fatigue given it will be running in parallel with the Policy engagement.

Next Steps

24. Following your review and feedback on the Social Investment narrative, we would like an opportunity to discuss further with you the objectives and outcomes of the engagement discussion.

25. Following your approval of one of the options, we will further develop our engagement strategy to include the broader discussion.

Contacts

Name	Position	Contact number	✓ First contact
Dorothy Adams	Acting Chief Executive	[9(2)(a)]	☐
Danny Mollan	Director, Data and Commissioning	[9(2)(a)]	☑

Minister's comments

Social Investment Narrative, and Data Protection and Use Policy:
Public Engagement Outline

Date:	9 January 2018
Security level:	In Confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

To provide further detail on the national engagement process that we intend to use to develop the Data Protection and Use Policy (the Policy) and to test the social investment narrative.

Recommendations

It is recommended you:

1. **Agree** to the engagement process outlined in this briefing. ☐ Yes ☐ No

2. **Note** that we will provide further detail to you following our Policy Working Group meeting on 31 January 2018. ☐ Yes ☐ No

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Hon Carmel Sepuloni
Minister for Social Development

Danny Mollan
Director, Data and Commissioning
Social Investment Agency

Background

1. The Social Investment Agency (SIA) is planning an engagement process to test the social investment narrative, and to develop the Data Protection and Use Policy (the Policy). This will commence in late March and run through until September, with the objective of a final Policy being presented to Cabinet in late September.

2. The engagement process will inform the Policy development through online and direct engagement with service providers, service users, Māori, Pacific peoples and those with disabilities. The breadth of the engagement is critical to developing a sound Policy.

3. To test the social investment narrative we intend to use a public-facing version of the narrative as part of the Policy engagement process, with all audiences already identified to be part of the Policy engagement.

Engagement Process Summary

4. Engagement will occur in two phases with an initial feedback gathering phase commencing in March, followed by a more targeted consultation process once the Policy is drafted in July. It will be important to apply sufficient time and scope to this second phase of the engagement to ensure a robust outcome.

5. The format of the engagement sessions will vary for each audience. The workshop format that is used for the Non-Government Organisations (NGOs), peak bodies and agencies will differ from the more informal, but equally important discussions, which will take place with service users.

6. Engagement will occur by direct and online methods. The direct engagement will take place throughout New Zealand and will cover three streams: agencies; NGOs and peak bodies; and service users including Māori, Pacific peoples and those with disabilities.

7. Engagement will occur with Māori and Iwi groups aligned with the approach that will be set out in the Crown/Māori relationship framework, currently under development. We will prepare a joint briefing to you and Minister Henare further detailing the options for Māori and Iwi engagement.

8. The direct engagement process and material will be made public through an online channel, and as such we expect a high level of public and media interest in this phase of the engagement process.

9. Engagement will include discussion on key potential elements of the Policy, and pose targeted questions on these topics to participants, in order to engage in meaningful dialogue and provide a genuine opportunity for input on what should be included in the eventual policy. The proposed key topics for engagement, which result from existing research, are attached as Appendix one. Participants will also be offered the opportunity to provide feedback on any other aspects of the potential Policy they would like to.

10. We will limit or minimise practical barriers to involvement, both from a cost and physical perspective, by providing widespread opportunities geographically, multiple channels, and options for anonymous feedback in all forums.

Key Engagement Milestones

11. A summary of key engagement milestones, with a particular focus on milestones with public interfaces is detailed below.

31 January	Working Group to provide input on NGO workshop design and approve recommended content for engagement with NGOs and agencies. Working Group will also provide feedback on initial engagement session locations and audiences.
Late-February	**Cabinet paper:** - Noting the Data Protection & Use Policy development process. - Draft Social Investment Narrative.
Late-February	Initial information on the Policy process published online via the SIA website (following Cabinet approval).
March	Invitations for initial workshop sessions issued.
Mid-March	Schedule for engagement sessions and locations published on SIA website.
30 March	Online content and feedback form launched.
End of March - June	Online and nationwide direct engagement. Direct engagement will occur firstly in the major cities and with agency and NGO audiences, to allow the SIA to easily fine-tune the workshop design if required.
June	Preliminary Ministerial report on results of Policy engagement.
July	**Possible Cabinet paper:** - Options for Policy adoption/alignment. - Final Social Investment Narrative.
July - August	Collate and synthesise feedback and check whether sufficient input has been received. Publish a summary of input to participants and invite feedback (ask: did we get it right?). Prepare draft Policy.
August	**Possible Cabinet paper:** - Draft Data Protection & Use Policy.
August - September	Publish/distribute draft Policy and solicit feedback from participants on draft (second phase of consultation).
30 September	**Possible Cabinet paper:** - Final Data Protection & Use Policy.
October	Publish and distribute final Policy and summary of input/feedback.

Engagement Objectives

12. The objectives of the engagement are to:

- Demonstrate an understanding of feedback previously provided, by discussing a series of key topics identified in existing research and engagement material. Refer to Appendix one for further details.

- Ensure a thorough understanding of issues and concerns about collection, use, sharing and storage of personal information.

- Ensure an understanding of the needs of providers with respect to data and insights. Understanding how insights can be provided to organisations to assist them with providing more effective services.

- Hear the views of providers (at both management and front-line worker levels) and of people using social services. All feedback gathered during the initial engagement phase will be considered thoroughly in the development and finalisation of the Policy. Where possible we will provide an explanation where input is not incorporated into the Policy, with this being published online when the Policy is made available.

- Through a robust process, build and develop public trust and confidence in the collection and use of personal information.

13. The initial engagement phase from late March through until June will allow the SIA to prepare a draft Policy that is well-informed, and developed with input from the people and organisations that will use it.

14. The initial engagement phase will also gather feedback on social investment more broadly, and we will have this summarised for you in July.

Engagement Audiences

15. The SIA will invite the broadest possible spectrum of representative participants to engage in providing input into the draft Policy. Our research findings suggest that gender, age and demographics have a significant impact on viewpoints.

16. There will be an extensive range of knowledge and experience represented at direct engagement workshops, with provider participants generally being knowledgeable about the sector and the engagement topics and key themes. The three main engagement groupings are shown in the following diagram:

Service Users
- Disabilities
- Iwi
- Pacific peoples
- Māori
- Youth
- Housing
- Family Violence
- Whānau services
- Mental health
- Drug and alcohol addiction
- General hardship
- Sexual violence
- Beneficiaries
- Learning support

Government Agencies
- Ministry for Social Development
- Ministry for Children, Oranga Tamariki
- Ministry of Justice
- Ministry of Education
- Ministry of Health
- Office of the Privacy Commissioner
- Ministry for Pacific People
- Te Puni Kōkiri
- Statistics NZ
- Office for Disability Issues
- Ministry for Business Innovation and Employment
- Department of Internal Affairs

NGOs
- Social sector NGOs
- Peak bodies
- Māori groups
- Disability groups
- Iwi groups
- Pacific peoples

Direct Engagement

NGOs, Peak Bodies and Agencies

17. The SIA will be reaching out to providers, peak bodies, and agencies to participate in national and regional engagement workshops.

18. The format of the engagement sessions is yet to be fully developed and tested. The SIA completed an internal test workshop in December 2017 and the next iteration of the design will be tested with an NGO audience on 23 January. We anticipate feedback from this session will allow us to present a final format to the Working Group for approval on 31 January.

19. We are recommending two facilitation teams comprised of two facilitators, a subject matter expert, cultural support, and a scribe.

20. We have previously indicated that there would be upwards of 50 engagement sessions across all stakeholder groups nationwide. We will have further recommendations to the Working Group at the next meeting on 31 January, following analysis of the service types, sector coverage, and quantity, by geographic region.

Service Users

21. We will create opportunities to have a direct conversation with service users. We want a genuine opportunity to hear their concerns, thoughts, and opinions directly. Whilst it is possible that service users may attend the workshops catered for NGOs, the service user specific sessions will be of a more appropriate nature.

22. The format for this engagement will be through face to face conversations with facilitators, and will occur individually or in small groups of no more than 5-6 (to ensure everyone in the

group has a chance to speak), in neutral and private settings. Rather than table an engagement document as the basis for the discussion, we believe it will be more appropriate to adapt the themes from the engagement workshop-design to be expressed from a service user perspective, and for use in a more intimate conversational setting.

23. The SIA is seeking assistance from social sector agencies, NGOs and peak bodies to help connect us to people willing to participate in this way. There was agreement from the Working Group that the best approach was to speak directly with government agencies' 'client reference groups', those core common teams that work with the NGOs and their service users, as it utilises existing communication channels and relationships.

24. Engagement with service users will occur in the same geographic locations as the service provider workshops, however, may be run on different days and at alternative locations.

Online Engagement

25. Service users, service provider staff and the general public will also be able to provide feedback online if they are unable to attend an engagement session, or if they would feel more comfortable doing so in this forum.

26. The online platform will be launched at the same time as the direct engagement commences. It will offer an opportunity for participation and feedback on the same material as the face to face consultation. The online forum will run in parallel to the direct engagement.

27. Identified or anonymous feedback can be provided via a form or by email, and the feedback format will invite participants to identify in general terms the sector of interest under which their comments are provided: e.g. public, service user, social service worker, key functional areas of interest (e.g. education, health etc.).

Next Steps

28. Following further analysis of providers, service types and geographic locations, we will prepare a briefing which summarises the recommended locations and audiences for workshop sessions as advised by the Working Group meeting on 31 January.

29. We will prepare a joint briefing to you and Minister Henare detailing the options for Māori and Iwi engagement, following the proposed Crown/Māori relationship framework being presented at Waitangi.

30. We will develop the content and engagement approach specific for direct service user engagement. This material will be the same content that is launched as part of the online platform, to invite feedback from the public more broadly.

Contacts

Name	Position	Contact number	✓ First contact
Dorothy Adams	Acting Chief Executive	[9(2)(a)]	☐
Danny Mollan	Director, Data and Commissioning	[9(2)(a)]	☑

Minister's comments

Attachments

Appendix one - Key Topics for engagement

Appendix one - Key Topics for engagement

The particular focus of the Policy engagement discussion will be based on the following:

Only What is Needed
Personal information collected from service users should only be used for a clearly explained, necessary purpose. If that purpose can be achieved by using de-identified or confidentialised information, that should be the preferred choice. In other words, the social sector should only be collecting, sharing and using personal information that is needed.

Transparency and Communication
Good communication about what kind of personal information is collected, how personal information is used, and how individuals can query uses and management of their information is important in building and maintaining confidence across the social sector.

Mutual Value
Information isn't just 'facts and figures'. In terms of social sector policy, it's also about the whole context in which people and communities use social services. Social sector organisations and communities – including cultural communities and whānau – should be part of 'telling the story' in their own way. If the goal of sharing information is to deliver the best possible services to those who need it, then information also shouldn't just flow one way to government, but should also flow back to providers. They should be able to use the insights that are developed from shared information to help them deliver better services to their own communities.

Opt-in/Opt-out and Consent
When is there a case for opt-out or opt-in? How could consent practices work? Issues and considerations to build trust and safety.

Safety
Safety of personal information is key to confidence in its collection and use. Appropriate safeguards and accountabilities will assist in minimising risks and maintaining confidence. At the same time, the capacity to use and store information safely requires time, training, expertise in a range of disciplines, and consideration of multiple complex issues.

To provide context to the discussion we will demonstrate our understanding of issues and concerns previously raised through a collection of synthesised feedback from existing research material. The collated information is the response from over 6,641 individuals in relation to the use of personal information, which have been collected from the following sources:

- Methodist Mission Southern (January-June 2016).
- Office of the Privacy Commissioner (OPC) Privacy Survey (March-April 2016).
- Data Futures Partnership (June 2016).
- ComVoices ICLD issues paper (November 2016).
- OPC Inquiry into the Ministry of Social Development's collection of ICLD from NGOs (February 2017).
- Data Futures Partnership (February-March 2017).

- ComVoices ICLD feedback (March 2017).
- Sexual Violence Crisis Support Services feedback on ICLD (April 2017).
- Tūhono Trust and Data Futures Partnership (April-May 2017).
- Kiwi Counts – State Services Commission (June 2017).
- Ministry for Pacific Peoples: Contemporary Pacific Status Report (June 2017).
- Pacific Policy Analysis Tool: Kapasa.
- Te Mana Raraunga: Māori Data Sovereignty Network Charter and other policies.

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Investing in what works for better lives

The Place-Based Initiatives: options

Date:	8 March 2018
Security level:	In confidence
To:	Hon Chris Hipkins, Minister of Education, Minister of State Services
	Hon Carmel Sepuloni, Minister for Social Development

Purpose

This paper seeks your agreement to decisions on the future of the Place-Based Initiatives (PBIs), which are reflected in the attached draft Cabinet paper.

Recommendations

It is recommended you:

1. **Agree** to one Cabinet paper on the future of the PBIs.	☐ Yes	☐ No
2. **Agree** that the PBIs in South Auckland and Tairāwhiti are making progress and should be continued for now.	☐ Yes	☐ No
3. **Agree** that the model as implemented to date in Northland is not fit for purpose.	☐ Yes	☐ No
4. **Agree** to a draw-down from the PBI contingency for the PBIs in South Auckland and Tairāwhiti for an interim period of six months (1 July to 31 December 2018)	☐ Yes	☐ No
5. **Agree** that, subject to Treasury advice, no additional funding will be provided to the Northland PBI, Kāinga Ora, and that its accumulated underspend (up to $800,000) will instead be carried forward for the period 1 July to 31 December 2018.	☐ Yes	☐ No
6. **Agree** that if the underspend cannot be transferred, a draw down from the PBI contingency be provided for Kāinga Ora to continue to 31 December 2018.	☐ Yes	☐ No
7. **Agree** that the Social Investment Agency will work with the Ministry of Education to support Kāinga Ora to move to a new operating model with a refocused executive office by 1 July 2018.	☐ Yes	☐ No
8. **Agree** that the SIA will work with the Ministry of Education and Kāinga Ora to identify a local body to hold the accumulated underspend post 1 July 2018.	☐ Yes	☐ No
9. **Agree** that the national Social Investment Board will provide governance oversight of the PBIs until future arrangements are confirmed.	☐ Yes	☐ No

10. **Agree** that longer-term arrangements for the three PBIs will be confirmed later in 2018 once this Government's approach to social investment has been agreed. ☐ Yes ☐ No

11. **Provide** any comment on the attached draft Cabinet paper by Friday 16 March 2018. ☐ Yes ☐ No

12. **Forward** this briefing to Ministers Mahuta and Henare for their information. ☐ Yes ☐ No

Alistair Mason
Principal Advisor
Social Investment Agency

Hon Chris Hipkins
Minister of Education and State Services

Hon Carmel Sepuloni
Minister for Social Development

Background

1. The previous Government established three PBIs in April 2016: Kāinga Ora in Te Tai Tokerau/Northland, led by the Minister of Education; the South Auckland Social Investment Board (SIB South Auckland), led by the Minister of State Services; and Manaaki Tairāwhiti in Gisborne and Wairoa, led by the Minister of Social Development. Cabinet also established a National Support Team (NST) for the PBIs, now based in the Social Investment Agency (SIA).

2. The options presented in this paper for the three PBIs draw on:

   - In-principle decisions reached at your meeting with Minister Henare on 19 February.

   - Officials' subsequent deliberations on options for the Northland Place-Based Initiative (PBI).

   - Treasury advice on requirements for further drawdown from the PBI contingency.

   - Discussion at the 1 March meeting of the national Social Investment Board.

Outcomes from the 19 February Ministerial meeting

3. At the meeting, in-principle agreement was reached that:

   - It makes sense that the four separate Cabinet papers originally planned - one from each of the PBIs and the National Support Team - should be folded into one (A draft PBI Cabinet paper is attached to this briefing).

   - Future arrangements for the PBIs, even if interim, need to be confirmed as soon as possible (Treasury has advised that this will need to be early April to meet Budget requirements).

   - At the suggestion of the State Services Commission, the national Social Investment Board should provide governance oversight of the PBIs at least until future arrangements have been confirmed.

   - The PBIs in South Auckland and Tairāwhiti are making progress and should be continued, but the PBI in Northland, Kāinga Ora, should not continue in its current form.

   - In view of the breadth of changes under consideration, drawing down the remaining three years' contingency funding be taken off the table, and that there be an interim draw down of a further six months (i.e. to the end of 2018) for two of the PBIs (South Auckland and Tairāwhiti), while funding for Northland, Kāinga Ora, can be met from existing budget underspend.

4. You asked for further advice on future options for Northland, Kāinga Ora, and on the wider decisions required for the PBIs. These are covered below.

Options for Northland

5. Much of the current deliberations centre on the need to chart a different course in Northland. The Ministry of Education (MoE) advises that the past two years have demonstrated that the model currently implemented in Northland is not fit for purpose, because:

   - The role of a government department (in this case the MoE) as central fund-holder and employer for Kāinga Ora created governance and operating tensions for the MoE, the governance group, and the Independent Chair, in terms of decision making and financial accountabilities. This has constrained Kāinga Ora's ability to act autonomously and be fully accountable for decisions taken.

- Results-based accountabilities drove Kāinga Ora to focus on achieving specific targets for at-risk children and young people, and distracted their attention from broader investment analysis that could redirect agency expenditure to more effectively address the needs of the at-risk population. As a result, progress was slower than expected.

6. Kāinga Ora commissioned an independent review of the operating model in September 2017 that identified issues with vision, programme logic, and operating approach. This warranted a complete rethink of workforce competencies and work programme. This has also resulted in a substantial accumulated underspend (up to $800,000).

7. In Northland, therefore, we propose:

- That the Social Investment Agency and MoE support Kāinga Ora to move to a new operating model, with a re-purposed executive office by 1 July, utilising its accumulated underspend.

- Subject to Treasury advice and further development options by the Social Investment Agency and MoE, to transfer Kāinga Ora's accumulated underspend to a local body to enable Kāinga Ora to exercise greater funding flexibility and autonomy.

- To explore potential complementary or other cross-social sector approaches in Northland, and provide you with advice on this in time for any decisions on arrangements from 1 January 2019.

8. If the Kāinga Ora underspend cannot be transferred to 2018/19, an interim draw down for six months from the contingency will also be required to enable these options for Kāinga Ora to be progressed.

Other issues

9. **Cabinet process.** To our enquiry whether Minister of Finance sign-off would suffice for this interim drawdown, Treasury has advised that Cabinet approval will be required, but that a short paper would be adequate. We have therefore prepared the attached brief Cabinet paper at this stage, for your consideration, with a more detailed paper to follow later in the year.

10. **Governance.** While decisions have yet to be made regarding the future arrangements for social investment and oversight of the PBIs, the national Social Investment Board is the logical group to provide governance and advice to Ministers regarding the PBIs. At the Ministerial meeting on 19 February, you agreed to this approach.

Next steps

11. Feedback on the attached draft Cabinet paper will be incorporated into a final version with the view of getting the Cabinet Social Wellbeing Committee's agreement to arrangements for the period 1 July to 31 December 2018.

12. A further Cabinet paper will follow later in the year, allowing for realignment of the PBIs with this Government's approach to social investment, and seeking agreement to longer-term arrangements for the PBIs.

Contacts

Name	Position	Contact number	✓ First contact
Alistair Mason	Principal Advisor	[9(2)(a)]	☐
[9(2)(a)]	[9(2)(a)]	[9(2)(a)]	☑

SIA
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Investing in what works for better lives

Briefing

Measuring the wellbeing impacts of public policy: social housing

Date:	15 June 2018
Security level:	In Confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

The purpose of this briefing is to let you know that we plan to publish a report in July 2018 that shows how we have applied our new approach to measuring changes in wellbeing to social housing. The paper is called *Measuring the wellbeing impacts of public policy: social housing. Using linked administrative and survey data to evaluate the wellbeing impacts of receiving social housing.* A copy is with your office.

I presented the preliminary findings from this work at the Presbyterian Support Northern Lecture Series on Improving Child Wellbeing on 8 June in Wellington. I will be presenting them again at the same event in Auckland on 22 June. This has raised the profile of the work. I gave a radio interview on 14 June discussing the findings which will be aired either this Sunday morning or next. We have also been asked for interviews by Stuff, the Dominion Post and Newsroom.

The findings on social housing may also be of interest to a number of Ministers.

Recommendations

It is recommended you:

1.	**Note** that we plan to publish a paper in July that shows how we have applied our new approach to measuring changes in wellbeing to social housing.	☐ Yes ☐ No
2.	**Forward** this briefing to Rt Hon Jacinda Ardern in her role as Minister for Child Poverty Reduction.	☐ Yes ☐ No
3.	**Forward** this briefing to Hon Grant Robertson in his role as Minister of Finance.	☐ Yes ☐ No
4.	**Forward** this briefing to Hon Phil Twyford in his role as Minister of Housing and Urban Development.	☐ Yes ☐ No
5.	**Forward** this briefing to Hon Dr David Clark in his role as Minister of Health.	☐ Yes ☐ No
6.	**Forward** this briefing to Hon Jenny Salesa in her role as Associate Minister of Housing and Urban Development.	☐ Yes ☐ No

7.	**Forward** this briefing to Hon Tracey Martin in her role as Minister for Children.	☐ Yes	☐ No
8.	**Forward** this briefing to Hon Peeni Henare in his role as Associate Minister for Social Development.	☐ Yes	☐ No
9.	**Note** that Social Investment Agency officials are available to brief you and/or other Ministers on our new approach to measuring changes in wellbeing and social housing impacts.	☐ Yes	☐ No

Hon Carmel Sepuloni
Minister for Social Development

Dorothy Adams
Acting Chief Executive, SIA

Background

1. Over the last year the Social Investment Agency (SIA) has been developing an approach to measuring individual wellbeing. Investing for social wellbeing is about getting the right help to the people who need it at the right time. Measuring wellbeing can help determine whether that help is actually making a genuine and lasting difference in the lives of New Zealanders by explicitly defining and quantifying outcomes, and allowing us to see how they have changed as a result of a service. The wellbeing measurement approach involves looking to see if a social service is making an individual, family or whānau healthier, happier, has led to a new job or change in earnings, or improved their social connections or sense of cultural identity for example.

2. Our first application of the approach has been to social housing. The purpose of this is to test and demonstrate the new method, but we have also made some preliminary findings about the impact of social housing on wellbeing. This research also builds on our earlier analysis on social housing, which focussed on the fiscal impacts. We have prepared a technical paper that summarises our application of the wellbeing measurement approach to social housing, which is undergoing a final expert review.

3. We plan to publish the social housing paper on the SIA website in July. Approximately one week later we plan to release a paper outlining the wellbeing measurement approach itself. This outlines why we are interested in wellbeing measurement, how we developed the model and approach, the wellbeing domains and approach we are using, and how the approach fits with existing wellbeing frameworks. The two papers are designed to introduce the approach, show how it can be used, and seek interest from others in working with us to apply it to new areas, and further hone it. In time, we hope that the approach can be used by agencies and providers across the social system.

4. We also plan to present the findings at the Conference on Well-being and Public Policy being held in Wellington in September, and potentially other forums.

5. We summarise the social housing paper below. There may be minor changes as we receive final expert feedback.

Summary of paper - Measuring the wellbeing impacts of public policy: social housing

6. We identified the difference in self-reported wellbeing outcomes for groups of people before and after being placed in social housing, by linking the New Zealand General Social Survey (NZGSS) and Housing New Zealand data in the Integrated Data Infrastructure (IDI).

7. We considered impacts on wellbeing associated with:

   a. Housing (eg household crowding and mould).

   b. Impacts on other parts of people's lives (eg their health, their social contact and their safety).

   c. Wellbeing overall.

8. We also considered how these gains in wellbeing could be valued for the purposes of cost-benefit analysis.

Findings – impact of social housing on wellbeing

9. We found the following, which need to be interpreted with care, given the limitations of our analysis:

   a. **Housing conditions appear to generally improve for people placed into social housing**. Mould, general housing condition, crowding and satisfaction with housing all improve. However, we didn't find a significant difference in whether people found their houses cold – possibly because this may be driven by income, rather than housing.

   b. **Feelings of safety appear to deteriorate when people move into social housing.** While overall wellbeing improved, perceived safety worsened.

   c. **People appear to feel they have more free time after being placed in a social house.** Further research is required to understand why this is the case.

   d. **Life satisfaction appears to improve following social housing placement**. It appears that social housing placement lifts people's overall assessment of their life.

10. The following chart summarises the changes in wellbeing outcomes we found before and after placement in social housing. All positive scores on the chart represent an improvement in the person's wellbeing and all negative scores a deterioration (ie a positive score on 'low life satisfaction' means that the proportion of people with low life satisfaction decreased).

Change in wellbeing before and after placement in social housing: all outcomes
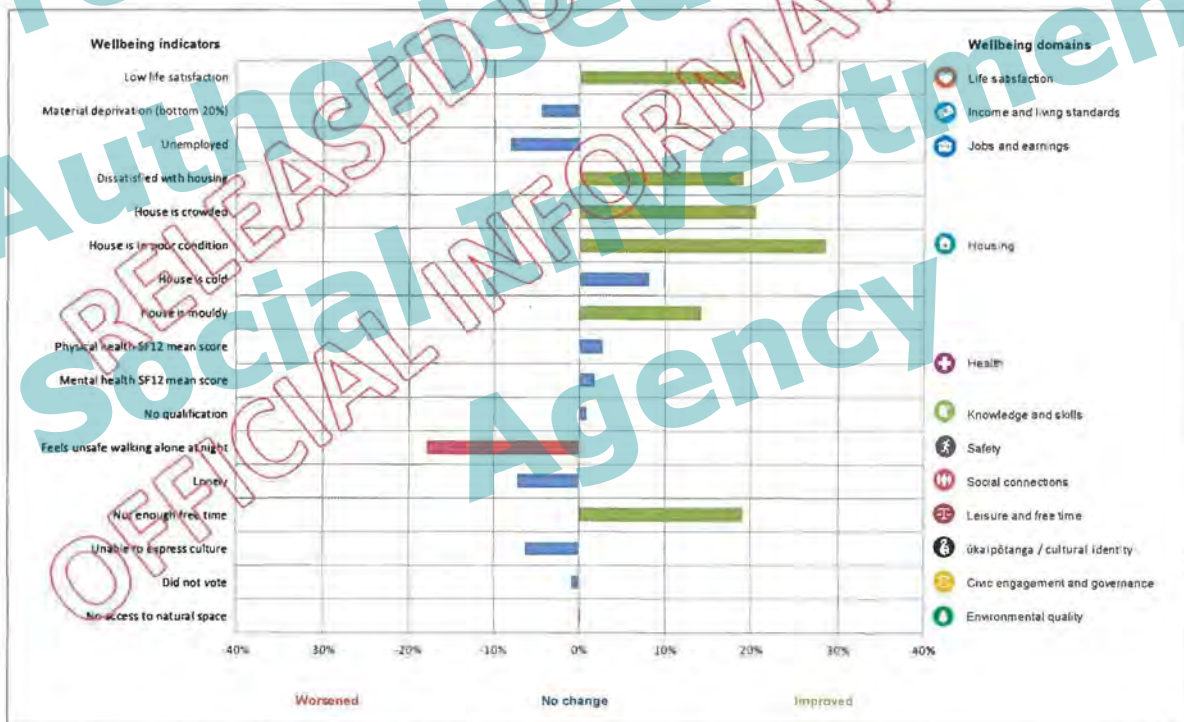
Note: The dimensions shown in the graph are largely based on those included in the OECD Framework for measuring well-being and progress (OECD, 2011).

11. This research is exploratory and the results have limitations:

   a. The **sample size is small**. We were restricted by the number of people placed in a Housing New Zealand house who were also interviewed in the NZGSS in the same year – only 132 observations. This means that fewer of our findings were statistically

significant and we found it harder to control for methodological issues. We only present findings above that are significant and valid.

b. There is a **bias in the sample of people** we can observe in the NZGSS as it is easier to find people after they are placed in social housing. Many people who apply for social housing do not have a permanent address, which makes them harder to survey. This means that the situation of people in our 'before' group may have actually **been worse** than the NZGSS suggests. This means that the analysis tends to underestimate the evaluated gains in terms of housing quality and life satisfaction.

c. The **time frame is limited**. We used a method to compare people's wellbeing before and after being placed in social housing. We were able to get a picture of people's circumstances that is representative of their situation approximately 247 days before, and 196 days after, being placed in social housing. This means we were able to see some changes in wellbeing, but those that might emerge after a longer time period (such as reductions in respiratory disease) were not captured.

d. Wellbeing impacts are for **before and after placement**, rather than a control and treatment group. This means that some of the changes people experienced may be because outcomes change over time, rather than as a direct result of being placed in social housing, meaning that some gains might be overestimated.

What we learnt about wellbeing measurement

12. This analysis put into practice the wellbeing measurement approach, and underpinning analytical techniques we have developed, and gave us insights into how the approach can be improved and extended. Key findings in terms of the approach:

a. It is possible to provide a meaningful picture of the wellbeing impact of a policy intervention across the full range of wellbeing domains using data that already exists in the IDI. What we can do for social housing we can do for other policy interventions.

b. Survey data, in particular the NZGSS, is especially valuable in providing information about wellbeing changes when evaluating the effectiveness of social policy interventions.

c. Survey data could be designed to take advantage of the IDI much better by eliminating unnecessary variables that are already available in the IDI, and increasing sample sizes.

Next steps

13. We plan to use the wellbeing measurement approach and the same analytical techniques to investigate the wellbeing impacts of other social system interventions. We have started working on the impact of transitions off benefit and into employment. Over time we plan to apply the approach to measuring the effectiveness of government responses to challenges such as mental health and financial hardship.

14. We also plan to extend the analysis of the impact of social housing by looking at wellbeing impacts over the longer-term and from a family perspective, the economic impact of social housing receipt, and extending previous work looking at service usage and cost. Given the current focus on child wellbeing and poverty reduction we also plan to work with Oranga Tamariki to make sure that our scope covers their interests in child wellbeing, and that we improve our understanding of who makes up households that receive social housing. We also plan to reach out to experts in whānau wellbeing to determine how we can build this understanding into our work. We will also look at ways to deal with some of the limitations

outlined with our current research by increasing our sample size and taking a longer term view for example.

15. We will explore with Statistics New Zealand the data investments required to support the practical use of the wellbeing measurement approach and the techniques we have applied to the analysis of social housing.

Contacts

Name	Position	Contact number	✓ First contact
Doug Lambert	Director Measurement and Insights	[9(2)(a)]	☐
Dorothy Adams	Acting Chief Executive	[9(2)(a)]	☑

IDI disclaimer

Access to the anonymised data used in this study was provided by Statistics New Zealand in accordance with security and confidentiality provisions of the Statistics Act 1975, and secrecy provisions of the Tax Administration Act 1994. The findings are not Official Statistics. The results in this briefing are the work of the authors, not Statistics NZ and have been confidentialised to protect individuals, households, businesses, and other organisations from identification. See *Measuring the wellbeing impacts of public policy: social housing* for the full disclaimer.

SIA
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Investing in what works for better lives

Interim report on the 'Your voice, your data, your say on social wellbeing' engagement process

Date:	10 August 2018
Security level:	In Confidence
To:	Hon Carmel Sepuloni, Minister for Social Development

Purpose

This briefing provides a summary of emerging themes from the national engagement process, 'Your voice, your data, your say on social wellbeing', for the investing for social wellbeing approach and the Data Protection and Use Policy.

Recommendations

It is recommended you:

1. **Note** the engagement process is being well received and is establishing expectations about the nature of on-going engagements.	☐ Yes	☐ No
2. **Note** the emerging themes, set out in this report, from the engagement, particularly a central theme about establishing a different kind of partnership across the social sector.	☐ Yes	☐ No
3. **Note** the emerging themes have come predominately from engagements involving government and non-government agencies. The themes are likely to evolve as we hear more, especially from Māori groups, Pacific peoples, service users and representatives from the disability sector.	☐ Yes	☐ No
4. **Note** there is increasing overlap between the investing for social wellbeing, and Data Protection and Use themes, which signpost issues to consider as we move from engagement and synthesis to recommendations.	☐ Yes	☐ No

Hon Carmel Sepuloni	**Dorothy Adams**
Minister for Social Development	Acting Chief Executive
	Social Investment Agency

Introduction

1. On 1 May 2018 [SIA 2017-0351 refers] we briefed you on the Social Investment Agency's (SIA's) national engagement process, 'Your voice, your data, your say on social wellbeing', to develop an approach to investing for social wellbeing (the approach), and a Data Protection and Use Policy (the Policy). We are now partway through the engagements and this report updates you on how the process is going and what we are hearing as we synthesise the participant feedback.

2. The engagement style is being well received by participants and we have already reached a wide range of people in national agencies and regional service providers. We have begun synthesising the workshop notes and survey responses by identifying common and salient ideas and suggestions within each engagement. A summary of these ideas is being sent back to participants to show them how we are making sense of the large volume of information. These ideas and suggestions are then grouped into themes (categories). The synthesising work is being undertaken by a team of SIA and NGO providers who have been seconded to the SIA to assist with the work.

3. There is a set of common ideas being discussed across the workshops so far. These themes have come predominately from engagements involving non-government and government agencies. The emerging themes will evolve, and more ideas will be raised as we hear from more participants, especially groups like service users, Māori groups, Pacific peoples and disabled people.

4. We are seeing more overlap in themes across the approach and the Policy than was anticipated. Importantly, many of the themes centre on the idea of establishing a different kind of partnership within the social sector.[1] This idea has implications for how to progress development of the approach and the Policy.

5. We will discuss these emerging themes with you at the next Agency meeting on 13 August, and you may wish to discuss them with your colleagues.

The engagement is being well received

6. The engagement has already reached a wide and varied group of people with different ideas and backgrounds, which is providing insightful feedback. To date there have been 25 sessions with regional service providers, which includes representatives from non-government agencies, government frontline staff and local government officials. There have also been eight national government agency workshops.

7. Approximately 55 engagements are planned for the next five weeks. We will meet with more regional service providers (including non-government agencies, charities, frontline government staff and local government representatives). We have also scheduled more specific engagements with service user groups, Pacific service providers, iwi and national

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[1] This includes national government agencies such as the Ministry for Social Development, frontline government service delivery agencies such as Work and Income, and organisations contracted to deliver social services on their behalf including non-government agencies and charities.

Māori collectives with an interest in data, Māori service providers, District Health Boards and representatives from disability groups.

8. Participant feedback about the engagement process and workshop design has been overwhelmingly positive. There is a common view that engaging early and broadly is highly valued by participants. It is seen as a positive first step in creating processes to work together for positive change across the sector. For example, participants have noted "[it was] great to include us at such an early stage of the process", and "[we] trust in the organisers of this workshop that it is an authentic process".

The emerging themes centre on the idea of establishing a different kind of partnership across the social sector

9. So far, we have identified a number of themes from the synthesis of engagement material (the full list can be found in appendix one). These are the most common and salient points arising across the range of engagements mostly from non-government organisations and some frontline government agency staff and local government representatives. There are other issues and ideas being raised, but at this point we are waiting to see how feedback from additional engagements develops those ideas further.

Overarching theme: There is a need to establish a different kind of partnership

10. Many of the emerging themes centre on a challenge to the government and government agencies to establish a different kind of partnership across the social sector. Service providers want to work differently with government and many national agency representatives agree there needs to be changes in how they work with the sector. Service providers are willing and eager to discuss what a different kind of partnership could look like. However, they are wary about whether there is a similar commitment across government and national agencies.

11. Participants agree that trust needs to be built between government agencies and service providers and users. There are many strong views about how this should happen in practice. A developing argument is that building trust requires a change in what 'working together' looks like.

12. At the moment the participants' suggestions for how working together could look different fall into a number of broad groups. They are viewed as ways for government agencies to value service providers as expert partners in creating positive social change. The groups are:

- A shift in culture and behaviour to create more positive and respectful interactions. The way people interact and treat each other is said to have been negatively affected by competitive funding and contract management approaches.

- Setting the objectives and vision for the sector together so diverse views and priorities are taken into account.

- Addressing silos across government agencies is also needed to support a different way of working. Many participants have talked of the frustrations, confusion and excessive workloads created by silos, which create duplication and contradiction of processes (for example funding and contracting processes).

- Creating more shared decision making throughout the sector which would help make sure that what we do to achieve the vision, and how we measure our progress towards it, is agreed collectively.

Overlapping theme: Ensure a two-way street for data, information and insights

13. There is a call for ensuring an open, two way street for data, information and insights across the sector. Part of this is about 'closing the loop' and making sure information flows out of government agencies. Those who give information need to know how it is used, what decisions are made using it, and the impact it has. Knowing these things are key to rebuilding trust, and means service providers can be transparent with service users about data use and the potential benefits. There is a lot of concern across the sector about data collection and use.

14. Service providers also want government agencies to help them access information, such as community demographics, to help with planning and service design. Returning insights, findings about what works, and evaluation evidence, is a way of empowering service providers to be able to make more informed decisions about their services. Going further than just being provided evidence, many want to be enabled to create and share their own evidence of what is working.

15. There is a sense that the knowledge landscape for the sector as a whole would be richer if we jointly defined what kind of information, insights, and evidence would be useful, and how to best create them. Service providers have a level of understanding about what is working and how services are delivered that government agencies do not. This means insights created together will be of a higher quality and more valuable. Data, information and insights need to be viewed more as a valuable community and sector asset that service providers, communities, and service users all have a stake in.

Investing for social wellbeing theme: Create flexibility to enable locally led solutions

16. There is a lot of discussion in engagements about a desire for more flexibility to enable more locally-led solutions. Many participants wish to see grassroots initiatives enabled and supported as equally impactful as nationally driven ideas. This would include working together with communities more to define their priorities and outcomes. It also suggests a need to empower greater decision rights closer to communities, and by service providers, about service design and delivery.

Investing for social wellbeing theme: The language of the approach should be more inclusive and the concept of 'social wellbeing' needs further development

17. There is feedback about how the language of the approach, and the current description of the social wellbeing concept, needs to be expanded further. Some believe Māori concepts and frameworks are missing. Some think that while the approach talks of putting people at the centre, whānau and family centred models, and ways to be more community focused, should be included more overtly in the approach.

18. Importantly there is a view that further development on the approach's language and scope should be done with the sector. Doing so is an example of the kind of partnership being called for more generally.

Data Protection and Use Policy theme: Consent and privacy practices need improvement

19. There are many examples and suggestions coming through the engagement highlighting where and how consent and privacy practices need improvement. There are such a wide range of situations and contexts, and a spectrum of knowledge amongst people, that any 'one size fits all' response will fail to make any significant improvements. This emphasises how important it is that the development of guidance, training and support, in navigating these complex issues, must be done alongside those who will use them.

Potential implications of the emerging themes

20. Though deeper analysis and consideration of implementation options is yet to be undertaken, the emerging themes are signposting issues to consider as we move from engagement and synthesis to recommendations. Overall there is an indication of an eagerness for broad system change in how government and government agencies work alongside services providers and users. In addition, the themes raise possible questions which, while not a reflection of any conclusive findings, are worth considering now. Some of these questions are:

- How would accountabilities be shared throughout the social sector in the process of enabling an improved balance between nationally-led initiatives and greater flexibility at a local level?

- How do you manage the tensions that will inevitably arise as a result of some of the suggestions provided through the feedback – eg locally-led and evidenced-based solutions can come into conflict?

- What would a different kind of relationship look like between government agencies and service providers, given the wide range of purposes for those relationships?

- How do we bring the various strands of wellbeing work underway together, to avoid disjointed implementation and confusion?

- Do governance structures across the sector need to alter to enable the kind of change suggested? For example what is the role of national governance groups, such as the Social Wellbeing Board, versus the role of local governance groups, such as the Place-Based Initiatives?

- How do government agencies and service providers balance the time and resource demands of more effective collaboration, with a desire to 'get on and do', and try new things?

- How might government agencies align their systems and processes (like contracting and funding) to create an environment where it is easier for service providers and government agencies to work together?

21. In addition to the emerging challenge of establishing a different kind of partnership, many workshop participants have indicated they would like to remain involved in discussions and thinking post-engagement. These points underline the importance of collaboration in the next phases of work on the approach and the Policy.

Next steps

22. We will continue to synthesise and analyse new feedback from the remaining engagements. From here we will develop a final set of findings and themes from the engagement process, based on what participants have told us. These findings will be inputs into any further work on the approach and development of the final Policy.

23. We will continue to update you through our fortnightly dashboard reporting and Agency meetings on how the engagement is going and what we are hearing. This will inform your considerations of the content of the Cabinet papers.

24. At the next agency meeting on 13 August we would like to talk with you about the timing of the Policy report back. We would also like to discuss the implications of the emerging themes for the investing in social wellbeing approach Cabinet paper due in October.

25. We will invite you and your colleagues to a walk-through session to give you a more in-depth view of the process we are undertaking to turn workshop discussions into themes. This will allow you to have a sense of the evolving nature of expectations and implications from the engagement.

Contacts

Name	Position	Contact number	✓ First contact
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Appendices

Appendix one: Emerging themes – what participants are telling us

Emerging themes – what participants are telling us

Overarching theme: There is a need to establish a different kind of partnership

To build trust there must be collaboration between government agencies, service providers and service users across all stages of work affecting the social sector. Changes to policies, practices and processes, and new interventions and initiatives, should be designed together. Service providers should be treated as valued partners with national government agencies. This means designing the next steps of the investing for social wellbeing approach and data protection and use policy, and creating the solutions to the emerging themes together.

Overlapping Themes

Ensure a two way street for data, information and insights
- Close the loop of data sharing – make sure information flows out of government agencies, as well as into them.
- Providers need to be told how the information they provided was used, what decisions were made using it, or the impact it had.
- Government agencies and service providers need to decide together what information, data, and insights are useful, and how to create them.
- Service providers should be better supported to create and share their own evidence about what is working.
- Service providers would benefit from having more community-level statistics, service information, and information about service need, so they can plan and design services that are fit for purpose for their communities.

Build sector capability and capacity across the sector to ensure any changes are successful
- The sector has struggled to build a big enough workforce with the right mix of skills and experience to meet current, or future demand for social services. Many service providers already rely heavily on volunteers, and finding people with the right skills and time is getting harder.
- Many service providers need support to develop IT systems and data infrastructure to enable them to improve data collection, use, sharing and storage.

Stories matter – it needs to be easier to safely use them
- Stories provide context about what is happening in people's lives, providing a richer and more insightful picture. Service providers value this kind of information and want government agencies to value it more.
- While stories are valued, people are also afraid of how they may be used against people.
- Robust reporting processes need to be created to share, store and use this kind of information.

Investing for social wellbeing

There is strong support for the proposed investing for social wellbeing approach
- The approach is a shift in the right direction for the social sector.
- There are some calls for the approach to be more innovative, go further and not just 'tinker at the edges'.
- There are questions about how something so high level will be implemented successfully and make practical differences to how services are delivered.

The concept of 'social wellbeing' needs further development
- The concept may not be framed right yet, and the scope is not clear enough for participants to identify which parts of the sector and people's lives it may influence.
- There are questions about whether 'social' is too narrow and excludes economic aspects of wellbeing.
- A strength of the concept is that it does not presuppose a view of what wellbeing looks like for people or communities.

The language of the approach needs to be more inclusive
- Māori worldviews, values, language and frameworks are missing from the language of the investing for social wellbeing approach.
- Whānau and family centred models should be included in the approach. We should not just focus on putting individual people at the centre.

Create flexibility to enable locally led solutions
- Locally designed solutions can be equally, if not more, valuable than ones designed nationally or regionally.
- Devolve decision-making about service provision to communities to ensure they are based on locally set objectives.

Data protection and use policy

Purpose is at the core of everything to do with data
- How data is used should be central to any decisions about collection or sharing.
- Collection and use should bring benefit to service users that can be explained to them, or the data should not be used.
- There is confusion across government agencies and service providers about what data will be used for, and this can make it hard to get true consent.
- There is still a lot of concern about data use across the sector.

Consent and privacy practices need improvement
- Consent should be approached as a dynamic conversation that gets reviewed and repeated over time.
- Consent should be sought separately for different data uses (service provision, reporting, and research/analytics).
- There is some anxiety and confusion about 'grey areas' in privacy and consent rules and regulations (such as working with children or when the serious harm criteria for breaching confidentiality is reached).

Data rights are not clear
- There are divergent views about who should have the final say about what happens with different kinds of data.
- Some people believe that data belongs to an individual even when it is anonymous, some view it as a taonga.
- Other people believe that de-identified aggregated data does not 'belong' to an individual and can be used freely for research and analytics.

It is challenging to navigate the data landscape
- The various requirements and obligations under legislation create a complicated landscape for people to navigate.
- As well as legislation, there are professional codes of practice, contracting requirements, and published guidelines, that often create more confusion.