



22 SEP 2017

Dear

On 8 June 2017, you emailed the Ministry requesting, under the Official Information Act 1982, information regarding the collection of Individual Client Level Data (ICLD) from social services. Part of your request was transferred to the Ministry for Vulnerable Children, Oranga Tamariki to respond to. The Ministry of Social Development is responding to the following:

- *Any reports, briefings, aide memoirs, research, and advice given to the Minister or Ministry executives that are about, or include mention of, the Privacy Impact Assessment completed by MSD on the collection of Individual Client Level Data from social services from 1 September 2016 to 31 March 2017.*
- *Any correspondence (including emails) to or from the Minister or Ministry executives that are about, or include mention of, the Privacy Impact assessment completed by MSD on the collection of Individual Client Level data from social services from 1 September 2016 to 31 March 2017?*

The review of the Ministry's decisions relating to the IT system used to capture ICLD was led by an independent reviewer. The outcome of this review was released to the public on 16 May 2017 at [www.msd.govt.nz/about-msd-and-our-work/newsroom/media-releases/2017/no-privacy-breach-says-independent-review.html](http://www.msd.govt.nz/about-msd-and-our-work/newsroom/media-releases/2017/no-privacy-breach-says-independent-review.html). Whilst the report confirmed that no privacy breach of any personal data had occurred the Ministry has accepted that there are useful lessons to be drawn from the report, particularly in regard to governance structures relating to the project.

Future work regarding client data will be led by the Social Investment Agency. An advisory group will assist the agency to provide oversight and lead the work to identify, evaluate and recommend a robust approach. It will bring together a number of agencies, as well as the Government Chief Information Officer, the Office of the Privacy Commissioner, and independent data consultants. The advisory group will ensure that appropriate security and privacy assessments are completed. It will also identify and approve risk mitigation, and develop and oversee engagement with key partners.

Although you have requested documents to or from the Minister or Ministry executives, the enclosed documents include all identified correspondence about Privacy Impact Assessments in regards to the collection of ICLD, regardless of the role of the individual sending/receiving the information.

The following enclosed documents refer to two privacy impact assessments for work that has now been superseded, by the work currently being undertaken by the Social Investment Agency. Both of the Privacy Impact Assessments referred to in the emails, although in scope of your request, are not included. This is because both documents were not finalised on the basis that this work has been superseded by work currently being undertaken by the Social Investment Unit.

Date	Title
29 September 2016	Aide-Memoire: Update on the Collection of ICLD
15 September 2016	Email: Feedback from [title partially redacted]
6 October 2016	Email: Client level data
11 October 2016	Email: Client level data discussion
11 November 2016	Email: [title partially redacted] PIA
15 November 2016	Email: Privacy Impact Assessment (PIA) ICLD – Phase Two
8 December 2016	Email: CICI PIA
13 December 2016	Email: Re: Privacy Impact Assessment - CICI
13 February 2017	Email: ICLD collection report (spreadsheet)
28 February 2017	Email: ICLD Privacy Impact Assessment

Please find enclosed in Appendix One, a glossary of acronyms detailed within these documents.

The following two documents have been made publicly available, and can be found on the Ministry's website at: <http://www.msd.govt.nz/about-msd-and-our-work/newsroom/media-releases/2017/further-release-of-individual-client-level-data-documents.html>

- *'Status Update on Community Investment's collection of client level data and the supporting information communications technology'*, dated 1 September 2016
- Aide-Mémoire, *'Individual client level data'*, dated 24 February 2017.

I have excluded copies of information previously provided to you in the Ministry's response of 26 May 2017.

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

Some information is also withheld under section 9(2)(f)(iv) of the Official Information Act as it is under active consideration. The release of this information is likely to prejudice the ability of government to consider advice and the wider public interest of effective government would not be served.

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

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

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

If you wish to discuss this response with us, please feel free to contact [OIA\\_Requests@msd.govt.nz](mailto:OIA_Requests@msd.govt.nz).

If you are not satisfied with this response regarding reports, advice and correspondence relating to the collection of ICLD, 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](http://www.ombudsman.parliament.nz) or 0800 802 602.

Yours sincerely



Nadine Kilmister  
**Director of the Office of the Chief Executive**

**Appendix One:**

<b>Acronym</b>	<b>Term</b>
<b>UCVII</b>	Unified Customers View
<b>SWIFTT</b>	Social Welfare Information Today for Tomorrow
<b>CYRAS</b>	Care and Protection; Youth Justice; Residences; Adoption; Services
<b>CMS</b>	Client Management System
<b>CISO</b>	Chief Information Security Officer
<b>SIU</b>	Social Investment Unit
<b>IAP</b>	Information Analysis Platform
<b>QQ</b>	Qualifications Questionnaire
<b>ICT</b>	Information Communications Technology
<b>CICI</b>	Community Investment Customer Interface
<b>SRA</b>	Security Risk Assessment
<b>SIDEX</b>	(refer to CICI)
<b>UAT</b>	User Acceptance Testing
<b>CI</b>	Community Investment
<b>OPC</b>	Office Of The Privacy Commissioner
<b>PHRAE</b>	Privacy Human Rights and Ethics
<b>BFC</b>	Building Financial Capability



# Aide-mémoire



**MINISTRY OF SOCIAL  
DEVELOPMENT**  
TE MANATŪ WHAKAHIATO ORA

**Date:** 29 September 2016 **Security Level:** IN CONFIDENCE

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

## Update on the collection of Individual Client Level Data

### Purpose

This aide-memoire provides you with feedback from the recent meeting of the NGO Advisory Group's (on 5 September) on the collection of individual client level data, and signals the likelihood of a broader public debate on this topic as a result of letting contracts for Building Financial Capability (BFC) services.

### Background

The NGO Advisory Group (the Group) meetings are held quarterly to provide the Group with an update of Ministers key priorities, and seek their input to decisions facing Community Investment (CI) with regard to the Community Investment Strategy (the Strategy).

CI is progressing two workstreams that are likely to generate public interest in the next month:

- The requirement for all providers to collect individual client level data by 1 July 2017, on the basis that it can be used on an identifiable basis for specific purposes
- The letting of contracts for the new BFC services from 1 November which will include the collection of identifiable client level data for use on an unidentifiable basis until 30 June 2017, followed by use on an identifiable basis from 1 July 2017.

### The Group are concerned about how the data collection requirements will be perceived and received by the NGO sector

Data ownership has been an on-going discussion with the Group, along with discussions concerning the ethical and legal issues of shared customer data. At the most recent meeting, CI staff outlined the intent to collect individual client level data and use it in an identifiable way for specific purposes. The Group expressed the following particular concerns with this intent:

- the impact on the trust that customers, particularly those who are difficult to engage in support services,

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will have in providers

- compliance with the requirements of the Privacy Act and the consent that they believe will be required from customers
- the provision of client's personal information to the Ministry
- the ethics of providers not receiving funding if clients do not consent to share personal data, and the financial impact on them
- the safety of data being shared between providers and CI, and the risk of personal information being disclosed
- the cost to providers of a new data collection system
- the likely quality of the data collected given the financial pressures the Group argue that providers are under
- the potential for international criticism.

The Group strongly advised that we work closely with the Privacy Commissioner (which we intend to do), and to expect a strong public reaction from providers. We also expect to work with the Government Chief Privacy Officer (GCPO) on these issues.

None of the issues identified are new to the debate about the use of identifiable client information and it is fair to say that the sector is divided in their views on this. Ministers have strongly and repeatedly signalled that this is the direction that contracting will need to move in to enable implementation of a social investment approach.

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**We will be signalling this intent to a wider audience in the next month**

We are in the process of finalising the procurement of new BFC services.

We will include a clause on the requirement to collect individual client level data. Given these are multi-year contracts we will also signal the intent to move from using this data in a non-identifiable way (which is the case for the current financial year) to using it on an identifiable basis from 1 July 2017.

We intend to include a clause in the contract that signals this intent and briefly outlines that we will work through the privacy, practical and ethical aspects of this approach over the next six months.

This approach is consistent with the approach we outlined in our recent briefing to you on this topic [REP/16/9/1137 refers].

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**We are committed to implementing the client level data collection requirements**

We have work underway to advance how we implement this data collection requirement:

- we are engaged with the Social Investment Unit (SIU) on what they have learned through their work on client-level data collection, including their work with key stakeholders in this area such as the NZ Data Futures

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Forum, the Privacy Commissioner and the GCPO

- we have included the Lead of the SIU on the governance of our prototype project for results-based contracting, which includes a specific focus on data collection and will draw on their expertise in our work with providers
- we are working on a Privacy Impact Assessment (PIA) to identify any potential privacy risks and mitigations. We will engage with the Privacy Commissioner on the PIA and align it with the PIA work that the SIU has already progressed.

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**There is a risk of a public reaction to the collection and use of identifiable data and we are preparing for it**

In addition to the advice of the Group, we have had both informal and formal feedback that providers will raise their concerns about the data collection requirements and intended use with you directly and in the public domain. For example, Trevor McGlinchey, in his capacity as Executive Officer of New Zealand Council of Christian Social Services published a think piece on 28 September on Community Scoop reiterating many of the concerns noted above. This reaction needs to be balanced against other feedback we have had from providers about the necessity of collecting this type of data if we are to make better investments in social services and to improve those services.

We have been preparing a communications plan to manage our response to these concerns. The communications plan will include key messages like:

- the purpose and importance of client level data collection to determining what works best for particular clients and how effective these services have been for them
- the benefits that we expect customers and providers will see from the analysis of the data we collect
- the fact that other parts of the social sector operate in this way already – like Health, Work and Income
- a sense of what we will use identifiable client level data for and what we won't, that this is a first step which will be closely managed across Government with input from the Privacy Commissioner.

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**Our response at this stage is limited by what we can definitively say at this stage**

Ideally, we would be able to give the public (including providers, and current and potential clients) a clear idea of when we will and won't be using individual client level data on an identifiable basis. That picture would potentially limit the scope of public concern, and focus the debate on how the data is collected, managed and used.

There is an ongoing public discussion being progressed through the Data Futures Partnership, and ongoing discussion between Ministers, over the past two years about the nature and use of

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identifiable data by Government. As part of this work the SIU have been working with the Privacy Commissioner and the GCPO on how the matching and analysis of data needs to be managed so that clients' privacy rights are protected. This work is being progressed through a Privacy Impact Assessment (PIA).

Until we have clarity, we will have to refer to the process as evolutionary with careful consideration with the appropriate parties such as the Privacy Commissioner and the GCPO involved as the principle mechanism for resolving it. We will be testing how to manage the data collection and analysis through the prototype we have on results-based contracting. We will explore how best to engage with existing data use forums such as the NZ Data Futures Forum on practical ways to collect and use identifiable data.

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**We will work with the BFC sector to collect, manage and use client level data**

We are meeting with the budget services sector umbrella groups on Thursday 6 October to discuss how best to engage providers in the collection, management and use of client level data. We have also prepared material for our staff to use when negotiating new contracts with successful BFC providers.

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**We will keep you updated as work with stakeholders progresses**

We will liaise with your office in the preparation of the communications plan for both BFC procurement and the broader issue of client level data.

We will keep you update with the progress of the PIA process, and with any public commentary that may arise and our response to it.

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Author: Peter Galvin, General Manager Community Outcomes & Services, Community Investment

Responsible manager: Bryan Wilson, Associated Deputy Chief Executive, Community Investment

**File Reference:** REP/ 16/9/1143

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Thursday, 15 September, 2016 9:59 AM  
**To:** 9(2)(a) - Privacy of another  
**Cc:**  
**Subject:** RE: Feedback from 9(2)(a)

I think we just need agreement on who's sub project the tasks fit under.

Cheers

**From:** 9(2)(a)  
**Sent:** Thursday, 15 September 2016 9:45 a.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: Feedback from 9(2)(a)

This is really good information 9(2)(a) thank you so much for coming back and sharing this with the project team. I can already see the additional tasks that are not on the CLD data work plan at this time. Are you guys happy for me to add these into the plan or do you prefer to add them yourselves?

Kind Regards

9(2)(a)  
Senior Advisor  
Project Manager  
CLD Project  
Ministry of Social Development  
Phone: 9(2)(a)

**From:** 9(2)(a)  
**Sent:** Wednesday, 14 September 2016 3:38 p.m.  
**To:** 9(2)(a)  
**Subject:** Feedback from 9(2)(a)

Hi there

I met with 9(2)(a) (MSD Legal) today to seek sign-off of the Client Level Data section for the BFC Guidelines. 9(2)(a) had consulted with 9(2)(a) prior to meeting with me and 9(2)(a) has given the following feedback. You may already know this information, some of which sits outside my brief, but could be in yours.

- The toolkit for providers about the data collection tool should include Privacy Act Guidance for Providers
- There should be a review undertaken of any of the controls required for MSD staff who will be handling CLD
- How will data be quality managed? If the analyst identifies an error in client details, how will the query be managed, because the contract manager does not see the CLD.
- Will the Ministry be seeking to evidence Consent is obtained?
- How will the Ministry manage a situation where a client withdraws their consent?
- How long will consent last? This needs to be clear on a consent form.
- Is the Ministry going to ask providers to keep a record of the number of clients that refused to give permission, and the reasons why?
- If we are sharing CLD with other agencies we will need an Interagency Sharing Agreement.
- A Security Risk Assessment (SRA) and Privacy Impact Assessment (PIA) should be completed in the new tool.

Cheers

RELEASED UNDER THE  
OFFICIAL INFORMATION ACT

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Thursday, 06 October, 2016 9:12 AM  
**To:** 9(2)(a)  
**Subject:** RE: Client level data

Thanks 9(2)(a), most appreciated ☺

**From:** 9(2)(a)  
**Sent:** Thursday, 06 October, 2016 8:55 AM  
**To:** 9(2)(a)  
**Subject:** RE: Client level data

Hi 9(2)(a)

This PIA template is a work in progress – we are developing a new, improved version but it's not ready. So, as of today, this is the best we have.

Yell out if you need a hand.

Cheers

9(2)(a)

**Principal Advisor Privacy | Information Privacy, Policy, Practice | Organisational Solutions**

Contact: DDI: 9(2)(a)  
Level 6, The Aurora Centre, 56 The Terrace, Wellington

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Please consider the environment before printing this email and its attachments.  
Avoid printing, or print double-sided if you can.

**From:** 9(2)(a)  
**Sent:** Wednesday, 5 October 2016 4:20 p.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: Client level data

Hi 9(2)(a)

9(2)(a)

As mentioned earlier I met with 9(2)(a) and 9(2)(a) last week. I confirmed they have already drafted a PIA and PEHR on the collection and use of CLD on an identifiable basis. My plan is to leverage off SIU's current iterations.

Are you able to provide me with a PIA template to complete?

In terms of messaging, 9(2)(a) is in the process of drafting the communication package for ICLD collection. If you have access to any messaging across the other initiatives you've mentioned it would be good for 9(2)(a) to be able to review this so we can align messaging. Feel free to send what you have through and 9(2)(a) and I can review it.

9(2)(a)

Thanks,



9(2)(a) | General Manager Advisor, Community Outcomes & Services  
Community Investment | Ministry of Social Development - Te Manatu Whakahiato Ora  
DDI 9(2)(a) | Level 17, The Aurora Centre, 56 The Terrace, Wellington 6140



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**From:** 9(2)(a)  
**Sent:** Friday, 30 September, 2016 7:31 AM  
**To:** 9(2)(a)  
**Cc:**   
**Subject:** RE: Client level data

Hi 9(2)(a)

I understand that CI will be working with the SIU to design the privacy components of the overall solution. You'll need to do a privacy impact assessment, so I am assuming that 9(2)(a) will draft this for you. They'll need to work with our Privacy function to ensure they follow the Ministry's processes – they can get in touch with 9(2)(a) for advice (cc'ed) and the PIA will need to be endorsed by our chief privacy officer 9(2)(a).

Can you please also ensure I am kept in the loop regarding any communications and advice to the Minister. We have a number of other large information sharing initiatives underway and need to ensure that messaging and approaches are aligned.

Many thanks,

9(2)(a)

Director Information Sharing  
Information Privacy, Policy and Practice  
Ministry of Social Development - Te Manatū Whakahiato Ora

D2D 9(2)(a)  
DDI  
MB

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**From:** 9(2)(a)  
**Sent:** Wednesday, 28 September 2016 10:07 a.m.  
**To:** 9(2)(a)  
**Cc:**   
**Subject:** RE: Client level data

Hi 9(2)(a)

I am meeting with 9(2)(a) from the SIU tomorrow to progress this work. We intend to work in partnership with them on the privacy elements to this work stream. In terms of the ICT side, unfortunately, I am not able to assist with this as I am not sure where this has got to. I assume this still sits with but 9(2)(a) should be able to clarify.

9(2)(a)

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**From:** 9(2)(a)  
**Sent:** Wednesday, 28 September, 2016 8:28 AM  
**To:** 9(2)(a)  
**Cc:**   
**Subject:** RE: Client level data



Thanks [9(2)(a)]

As you move this work through, would I be able to see the PIA for this please.

Also when we get more into the IT solution and talk with [9(2)(a)] would be useful if I could see the C&A and SRA assessment for the solution.

Many thanks

[9(2)(a)]

[9(2)(a)] Senior DCE Advisor, Community Investment  
D2D [9(2)(a)]

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**From:** [9(2)(a)]  
**Sent:** Friday, 23 September 2016 9:56 a.m.  
**To:** [9(2)(a)]  
**Cc:** [9(2)(a)]  
**Subject:** RE: Client level data

We have been talking to [9(2)(a)] and [9(2)(a)] had conversations/meetings earlier on with the Privacy Commission.

**From:** [9(2)(a)]  
**Sent:** Friday, 23 September, 2016 9:38 AM  
**To:** [9(2)(a)]  
**Cc:** [9(2)(a)]  
**Subject:** FW: Client level data

Hiya can one of you please respond to [9(2)(a)] re the email below

Cheers

**From:** [9(2)(a)]  
**Sent:** Thursday, 22 September 2016 1:04 p.m.  
**To:** [9(2)(a)]  
**Subject:** Client level data

Hi there

Do you know who we have been engaging with from the Privacy team in [9(2)(a)] area???

[9(2)(a)]

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 11 October, 2016 9:48 AM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: Client Level Data discussion

Hi 9(2)(a)

We are in the process of revising it as part of our consultation process – we have one more conversation with GCRO to go so we will then revise the document and get it to you next week.

Cheers

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Monday, 10 October 2016 2:56 p.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: Client Level Data discussion

Thanks for this. I was wondering if you could also send us a soft copy of the "Discussion paper on the legal permissions for Data Exchange"?

I understand you gave 9(2)(a) a hard copy when you met the other week but we are keen to get a soft copy if possible.

Thanks,

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 04 October, 2016 3:53 PM  
**To:** 9(2)(a)  
**Subject:** RE: Client Level Data discussion

Hi 9(2)(a)

Sorry we meant to send these but got distracted by a few other things.

Just to update you – we had a meeting with the OPC yesterday to discuss changing direction from consent towards use of similar purpose. Overall the meeting was productive with OPC giving us some tips around improving the framing of discussion. Their issues remain about:

- how to manage the opt out provisions and
- how personal data will be managed once it is in the system to ensure that similar purpose is actually adhered to.

Happy to discuss further.

Cheers

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 4 October 2016 3:19 p.m.

To: 9(2)(a)

Subject: RE: Client Level Data discussion

Hiya,

Now I am back my long weekend I thought it would be good to follow up our conversation from last week.

Am I able to get a copy of the PIA and PHRAE documents as discussed? I am aware there will further iterations of both but am keen to review these as they currently stand so I can start getting my head around all this stuff, particularly as I will be on leave for three weeks from October 17<sup>th</sup>.

Thanks,

9(2)(a)

From: 9(2)(a)

Sent: Wednesday, 28 September, 2016 9:43 AM

To: 9(2)(a)

Cc:

Subject: RE: Client Level Data discussion

[UNCLASSIFIED]

Hi 9(2)(a)

9(2)(a) and I could meet with you tomorrow. We can do 10 tomorrow morning if you can anything after lunch is out for us I'm afraid.

Cheers

9(2)(a)

From: 9(2)(a)

Sent: Wednesday, 28 September 2016 9:25 a.m.

To: 9(2)(a)

Cc:

Subject: Client Level Data discussion

Hi 9(2)(a)

I am hoping you will have some time available to meet and progress your discussion with 9(2)(a) last week, perhaps tomorrow?

Apologies for the late request. I was away sick yesterday and have leave Friday and Monday. Is this doable for you?

Thanks,

9(2)(a)

| General Manager Advisor, Community Outcomes & Services

Community Investment | Ministry of Social Development - Te Manatu Whakahiato Ora

DDI 9(2)(a) | Level 3, West Block, Ballantrae Place | P O Box 1556 | Wellington 6140



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9(2)(a)

**From:** 9(2)(a)  
**Sent:** Friday, 11 November, 2016 7:29 AM  
**To:** 9(2)(a)  
**Subject:** Re: PIA  
**9(2)(f)(iv) - Active Consideration**

Hi 9(2)(a)

I'm not sure if you received a response to this query in my absence but I can confirm that I am not working on a PIA for SIDEX/9(2)(a) I assume this would sit with the relevant people in IT....

In terms of today's meeting, unfortunately I am still sick so won't be in the office today. Can we reschedule for next week? 9(2)(a) has access to my calendar if need be.

Regards,

9(2)(a)

Sent from my iPhone

On 20/10/2016, at 12:17 PM, 9(2)(a) wrote:

Hi 9(2)(a)

9(2)(f)(iv)

I am looking into privacy requirements for the project, in particular Privacy Impact Assessments. I am in the very early stages of getting to understand the whole scope of this project so I may be contacting the wrong person.

My very basic understanding is that anonymized personal information is currently being shared via spreadsheets with consent from clients. From the 1<sup>st</sup> July the data will no longer be anonymized and will be the system used to facilitate sharing the information?

9(2)(f)(iv)

9(2)(f)(iv)

9(2)(a) and I plan to meet about the adoption of the system and the PIA required for this. However a lot of consideration will need to be given to the privacy aspect of switching from sharing anonymized data to personal information. I believe this is where your team comes in?

9(2)(a)

Would you like to meet with and I? This would possibly be tomorrow but is yet to be confirmed.

Thank you,

9(2)(a)

Senior Privacy Advisor | Information, Privacy, Policy and Practice | Organisational Solutions

DDI: 9(2)(a)

Ext:

Level 6, 56 The Terrace, Wellington

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9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 15 November, 2016 4:44 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** Privacy Impact Assessment (PIA) ICLD - Phase Two

Hi 9(2)(a)

I received the message that our meeting today was cancelled as you were in the office. I just wanted to flag that we have some WPQ's to respond to which refer to completion of a PIA and note 9(2)(a) comment below regarding consideration of a PIA for phase one.

My understanding is that this was determined unnecessary on the basis we would not be using data collected in phase one for data matching. Can you please confirm if this is not the case?

Thanks,

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 15 November, 2016 10:27 AM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** FW: Accepted: Privacy Impact Assessment (PIA) ICLD - Phase Two

Hi 9(2)(a)

9(2)(a) was going to clarify for me in this meeting today whether the collection of data in phase one required a PIA.  
9(2)(a) was going to run this passed one of her senior colleagues for us.

9(2)(a) is aware of this, it came as a result with our meeting a few weeks ago with 9(2)(a) (iMSD) she had said she was certain that a PIA would be required as part of the collection of phase one data, she also said that her team were not resourced to do this for CI, so that CI would need to pick this up alongside the end to end business process, would you mind finding out from 9(2)(a) if this is going to be a requirement please.

Thank you 9(2)(a)

Regards

9(2)(a)  
Project Manager - ICLD  
Community Investment  
Ministry of Social Development  
Phone: 9(2)(a)

-----Original Appointment-----

**From:** 9(2)(a)  
**Sent:** Sunday, 13 November 2016 11:53 p.m.  
**To:** 9(2)(a)  
**Subject:** Accepted: Privacy Impact Assessment (PIA) ICLD - Phase Two  
**When:** 9(2)(a)  
**Where:** 56T\_Mtg\_L15\_Rm\_15.2

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Thursday, 08 December, 2016 1:15 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: CICI PIA  
**Attachments:** Privacy Impact Assessment - CICI.docx

Hi 9(2)(a)

As discussed here are the points we need clarified or a decision made on to inform the PIA -

1. Will the final report providers run from CICI have identifiable ICLD in it or will the identifiable variables be stripped away first?
2. If it will have identifiable ICLD then will we (our data analysts, CIA's etc) have access to the report and therefore have access to identifiable data?
3. Do we expect the pilot providers to follow the same requirements as the phase one provider with regards to notifying clients that their information will be collect and shared with us?
  - o We need to bear in mind here that even if we won't have access to the data - because it's held in the cloud - we still have responsibility for it (along with IBM) because we have supplied CICI to the pilot providers.
4. If the pilot providers are required to notify the client and the client does not want their ICLD shared/entered into CICI are the implications on the provider the same? My thoughts are 'no' as these providers do not have ICLD requirements in their contract
  - o If a client does not want their ICLD entered into CICI but the provider does so anyway (whether inadvertently or not) will the consequences be the same as phase one providers? I think this is a 'yes' as they are still contractual obliged to work within the Privacy Act

I think these are the main points we talked over. Once I have answers to these questions or a decision has been made I will update the PIA.

Please note the PIA attached is still in draft and captures my understanding of this project prior to gaining clarification this morning. I am therefore pulling out all references to phase one processes that are not applicable.

Thanks,  
9(2)(a)

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**From:** 9(2)(a)  
**Sent:** Tuesday, 22 November, 2016 3:47 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: CICI PIA

9(2)(a)  
Cool so are you now completing the next phase?

---

**From:** 9(2)(a)  
**Sent:** Tuesday, 22 November 2016 3:20 p.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** Re: CICI PIA

Hi 9(2)(a)

The document needs to be completed by the business and I have done some of it which needs to be reviewed and completed as this is business related. Then consult with **9(2)(a)** Privacy Advisor to finalise. We need this to be completed at the latest by 1 Dec.

Regards,

**9(2)(a)**

Sent from my iPhone

On 22/11/2016, at 2:56 PM, **9(2)(a)** wrote:

Hiya so not to sound a bit stupid but what do we do with the PIA now?

---

**From:** **9(2)(a)**

**Sent:** Tuesday, 22 November 2016 2:39 p.m.

**To:** **9(2)(a)**

**Cc:**

**Subject:** FW: CICI PIA

Hi **9(2)(a)**

As discussed attached is the PIA for SIDEX.

Regards,

**9(2)(a)**

Project Manager

DDI - **9(2)(a)**

Mob:

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**From:** **9(2)(a)**

**Sent:** Wednesday, 9 November 2016 3:56 p.m.

**To:** **9(2)(a)**

**Subject:** CIP PIA

Hi **9(2)(a)**

As we discussed, I started the PIA but it seems that the Business are the right people to write this but I am happy to help.

We need to finish this before we go to UAT on 5 Dec. It would be really helpful if we can get someone to complete the document.

Regards,

**9(2)(a)**



9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 13 December, 2016 1:05 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** Re: Privacy Impact Assessment - CICI

Hi 9(2)(a)

Do you have some time this afternoon for me to clarify some of the details around this PIA?

Sent from my iPhone

On 13/12/2016, at 12:06 PM, 9(2)(a) wrote:

Hi 9(2)(a)

We will go through this at the scheduled meeting on Monday. 9(2)(a) advised this PIA needs to be confirmed by Friday. I can't see this happening as it needs some work. Whether or not the PIA can be endorsed with the issues highlighted by CISO will be decided by 9(2)(a)

In the meantime I would revisit principle 1-4 (collection) as we both feel this needs the most work. It would be best to relook at the prompts in the PIA template.

Thanks,

9(2)(a)

Senior Privacy Advisor | Information, Privacy, Policy and Practice | Organisational Solutions

DDI: 9(2)(a)

Ext:

Level 6, 56 The Terrace, Wellington

#### Our Purpose

*We help New Zealanders to help themselves to be safe, strong and independent.*

*Ko tā mātou he whakamānā tangata kia tū haumarū, kia tū kaha, kia tū motuhake.*

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**From:** 9(2)(a)  
**Sent:** Monday, 12 December 2016 11:15 p.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: Privacy Impact Assessment - CICI

Hey,

Here's the updated version.

There are some sections that require further ICT detail which 9(2)(a) will need to provide, unfortunately this detail was not captured in the SRA. You will also note that I am awaiting clarification on the retention of the data from Information Management. 9(2)(a) will need to confirm what the disposal process is via IBM.



I got a bit stuck on the 5.2 after filling in the controls. I assume I need to provide additional information but I'm not sure what else to provide as most of these controls are ICT related, perhaps 9(2)(a) can assist with this?

Let me know if you have any feedback as we need to get this progressed asap.

Thanks,  
9(2)(a)

---

**From:** 9(2)(a)  
**Sent:** Monday, 12 December, 2016 9:35 AM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** Privacy Impact Assessment - CICI

Hi 9(2)(a)

Here is where we have got to with the PIA. I have had to start making changes to the 'story' as I have covered details which I have since found are out of scope.

I will continue to work on this today but do have a couple of meetings I can't get out of.

9(2)(a)

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9(2)(a)

**From:** 9(2)(a)  
**Sent:** Monday, 13 February, 2017 3:03 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** ICLD collection report (spreadsheet)

Hi both,

As discussed I followed this up with 9(2)(a) and he has confirmed that no discussion took place regarding a QQ or any type of security assessment on the ICLD spreadsheet. No mention of one needing to be done let alone who by (when [redacted] was leading the project) so we will need to follow up with the Security team about what is required. 9(2)(a)

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Monday, 13 February, 2017 12:10 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: ICLD collection report (spreadsheet)

Hi 9(2)(a)

No, we advised that CI should develop a spreadsheet and we worked with 9(2)(a) et al to develop it. However we were advised that the CICI project would commence with MSD IT and this would be the vehicle as the spreadsheet idea was not well received. We had already started the process for the shared workspace and so we completed that. However we were not advised that the spreadsheet would be used so we did not do anything further with this and CI transitioned to work with MSD IT. We were no longer involved. I don't know if the spreadsheet was used at all - presumably if it is then CI have worked with MSD IT on this.

9(2)(a)

Technology Programme Manager  
Technology and Channels  
Investing in Children Programme

t: 9(2)(a)  
e: 9(2)(a) | w: [www.msd.govt.nz](http://www.msd.govt.nz)

Te Kaupapa Hāpai i ngā Tamariki  
Investing in Children Programme

**From:** 9(2)(a)  
**Sent:** Monday, 13 February 2017 10:04 a.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** ICLD collection report (spreadsheet)

Hi 9(2)(a)

I am currently writing the Privacy Impact Assessment for the ICLD project. Following a conversation with the Privacy team on Friday I understand a QQ should have been completed on the spreadsheet developed for collecting ICLD. As you were leading the ICT project at the time the spreadsheet was

initially developed as you able to confirm whether a QQ was completed? If so, can I get a copy to attach to the PIA?

Thanks,

9(2)(a) | General Manager Advisor, Community Outcomes & Services  
Community Investment | Ministry of Social Development - Te Manatu Whakahiato Ora  
DDI 9(2)(a) | Level 17, The Aurora Centre, 56 The Terrace, Wellington 6140



MSD Purpose:

We help New Zealanders to help themselves to be safe, strong and independent

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9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 28 February, 2017 2:43 PM  
**To:** 9(2)(a)  
**Subject:** ICLD Privacy Impact Assessment

Hi,

I asked Data Warehouse peeps to confirm if my understanding of process re: accuracy and correction is correct for the PIA and received this response. I am aware that any changes that are made to clients record in UCVII, SWIFTT, CYRAS maps across to IAP so I am unclear as to why they are saying data in IAP shouldn't be changed. I wondered if you could shed some light on this for me as I'm not sure Legal are the right people to clarify this question.

Thanks,

9(2)(a)

**From:** 9(2)(a)  
**Sent:** Tuesday, 28 February, 2017 12:53 PM  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: ICLD Privacy Impact Assessment

Hi 9(2)(a)

Firstly note that this is my opinion and not necessarily the opinion of MSD:

The individual NGOs are collecting the data and are responsible for data integrity. MSD's function in this process is to receive and collate the data.

MSD should not be changing the data. Should a request for a correction be made, it should be directed to the NGO who entered it.

Regardless of the above, I recommend that the question be directed to the Legal team.

Regards

9(2)(a)

Senior Data Warehouse Analyst  
IAP Team

**From:** 9(2)(a)  
**Sent:** Tuesday, 28 February 2017 11:07 a.m.  
**To:** 9(2)(a)  
**Cc:**  
**Subject:** RE: ICLD Privacy Impact Assessment

Hi 9(2)(a)

I recommend that you send iCLD questions related to IAP direct to 9(2)(a)

Regards

9(2)(a)

IAP - Data Warehouse | IT Applications  
Ministry of Social Development |

D2D: 9(2)(a)

From: 9(2)(a)

Sent: Tuesday, 28 February 2017 11:00 a.m.

To: 9(2)(a)

Subject: ICLD Privacy Impact Assessment

Hi 9(2)(a)

I am hoping you are able to provide some advice on the PIA content I have drafted regarding principles 7 & 8 as some of it relates to management of data within IAP. I am attempting to keep the content as simple as possible but want to ensure it is accurate. Below is what I have drafted so far, the highlighted content is what I am particularly interested in your thoughts on.

Can you help?

Thanks

9(2)(a)

#### 4.1 Principles 7 and 8 – Correction and Accuracy of information

Privacy Principle	Description
<b>Principle 7: Correction of personal information</b>	The individual concerned is entitled to request correction of their personal information and request that a statement of correction be attached to the information if correction is not approved by the Ministry.
<b>Principle 8: Accuracy etc, of personal information is checked prior to use</b>	The Ministry shall not use personal information without taking reasonable steps to ensure that it is accurate, up to date, complete, relevant and is not misleading.

#### Analysis

The Ministry understands that providers' operational procedures take into account accuracy of information collected and a process for correction of any information which is be deemed incorrect by an individual. We expect providers to continue to utilise their established procedures to ensure they continue to comply with principles 7 and 8 of the Act. As the information we will hold on individuals will be collected by providers the Ministry will rely on these providers to ensure the information they report is accurate and up to date.

Should an individual believe the information we hold on them is inaccurate they will have the ability to request a correction in accordance with the Ministry's current processes. However, current requests the Ministry receives of this nature pertain to information captured in CMS such as UCVII or CYRAS while the Ministry will not be capturing ICLD collected by providers in a CMS. ICLD collected by providers will be put straight into IAP. While we have the ability to amend data loaded directly to IAP we are unable to attach file notes, such as a request for correction, to reflect the change.

On the basis the Ministry is unable to utilise the current process for documenting a refusal to correct information. Due to the Ministry's inability to attach a statement of correction to an individual's 'file' we would follow up the accuracy concern with the provider collected to information. The Ministry discuss the request for correction with the provider and ask that they consider correcting their file and/or attaching a statement of correction to the file they hold on the individual concerned.

**From:** 9(2)(a) [redacted]  
**Sent:** Friday, 17 February 2017 1:57 p.m.  
**To:** 9(2)(a) [redacted]  
**Subject:** RE: IAP Security Process

Thanks for the chat. I've just checked in with 9(2)(a) [redacted] the Project Manager and she's advised that we commenced conversations with a number of people on your team the other week, namely 9(2)(a) [redacted]. So it appears I'm just out of the loop. 9(2)(a) [redacted] is going to invite me to future meetings so I get the advice needed for the PIA direct from the source ©