



19 SEP 2018



Dear 

On 4 July 2018, you emailed the Ministry requesting, under the Official Information Act 1982, the following information:

- *Any memos, reports or briefing notes, including drafts, prepared by officials relating to the mental health and employment social bond pilot since 1 March 2018. Please provide me with any letters, emails, telephone call logs or meeting notes sent or received by officials since 1 March 2018.*

As discussed on 5 July 2018, administrative emails will not be considered in scope of your request. You also requested all correspondence relating to your Official Information Act request.

Please find enclosed, 17 documents which are captured by your request, following your request in March 2018. You will note that the names of some individuals are withheld under section 9(2)(a) of the Official Information Act (the Act) in order to protect the privacy of natural persons. The need to protect the privacy of these individuals outweighs any public interest in this information.

The contact details of some individuals have been withheld under section 9(2)(k) of the Act in order to reduce the possibility of staff being exposed to phishing and other scams. This is because information released under the Act may end up in the public domain, for example, on websites including the Ministry's own website.

Information is also withheld under section 9(2)(g)(i) of the Act to protect the effective conduct of public affairs through the free and frank expression of opinions. I believe the greater public interest is in the ability of individuals to express opinions in the course of their duty.

Date	Title
March 2018	Recover at Work Good News Story – March 2018
9 April 2018	Email: Good New Story & Pilot Update
12 April 2018	Email: Recover at Work mental health and employment social bond Investor Advisory Group meeting 16 April
12 April 2018	Email: GST Number
16 April 2018	TTNT IAG meeting minutes and actions– 16 April 2018
16 April 2018	TTNT IAG agenda – 16 April 2018
26 April 2018	Email: Social Bonds
27 April 2018	Email: FW: Social Bonds
31 May 2018	TTNT IAG meeting minutes and actions– 31 May 2018
31 May 2018	TTNT IAG agenda– 31 May 2018
May 2018	TTNT Investor Report
28 June 2018	Email: FW: Client Question
9 July 2018	Email: FW: Questions re mental health and employment social bond pilot
14 July 2018	Memo: Update on the Supporting People with mental illness to gain and sustain employment
13 August 2018	Email: RE: Questions re mental health and employment social bond pilot
31 August 2018	Email: RE: Social bonds OIA
10 September 2018	Report: Official Information Act Request

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

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

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

If you wish to discuss this response 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 the mental health and employment social bond pilot, 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

Viv Rickard  
**Deputy Chief Executive, Service Delivery**

## Recover @ Work good news story – March 2018

Client 'H' was referred to the Recover @ Work Programme in January 2018. H had been diagnosed with depression and post-traumatic stress disorder (PTSD). At the time of referral H was still experiencing heightened symptoms as a result of the diagnoses and these were not well managed. At the time of the Occupational Therapist (OT) assessment it was identified that to assist H into work and for this to be sustainable the first things which would need to occur was for H to improve their sleep habits, reduce anxiety and improve H's confidence in themselves. At the assessment H had estimated getting only 3 hours of sleep per night due to heightened anxiety and poor sleep habits. H also had high anxiety about gaining employment as her diagnoses had resulted from a work incident.

Given the above the OT commenced intensive work with H in developing and implementing improved sleep habits, practicing anxiety management strategies in real life scenarios and working on strengths identification. The Employment Consultant (EC) met with H and identified a strong work candidate who had lost confidence in themselves due to circumstances surrounding a work incident. The EC commenced working with H to identify an industry they were motivated to work in. This assisted in helping to reduce H's anxieties surrounding returning to the workforce given they were excited to work in this area. Furthermore the EC worked alongside the OT on strengths identification, reviewing their current CV and starting to look at potential job opportunities.

As the OT's interventions surrounding reducing anxiety and improving sleep hygiene started to impact H, their confidence about returning to the workforce grew and the EC commenced assisting them to then apply for advertised vacancies online. At the beginning of March 2018, H applied for a full time position with the assistance of the EC and was successful in securing full time employment. H has been employed for 4 weeks to date and although they have experienced some up's and down's since starting work, they report that with the support of their OT and EC they have managed to continue in employment versus drop out of employment. H has identified at times they felt like quitting was the easier option however the OT and EC would assist them through these days. Overall H is happy to be in employment and can see that the hard days are getting less and easier to manage due to their growing faith in their own abilities. This is all occurring with the ongoing help of the OT and EC.



**APM Workcare Limited NZBN 94 290 3099 4515**

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www.apm-nz.co.nz | T 0800 967 522 | F +64 9 415 0739

s 9(2)(a) OIA

**From:** s 9(2)(a)  
**Sent:** Monday, 9 April 2018 11:54 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** FW: Good New Story & Pilot Update  
**Attachments:** Good News Story\_060418.pdf

FYI

**From:** s 9(2)(a) OIA [mailto:s 9(2)(a) OIA @apmworkcare.co.nz]  
**Sent:** Monday, 9 April 2018 11:23 a.m.  
**To:** s 9(2)(a) OIA Peter Anderson  
**Subject:** RE: Good New Story & Pilot Update

Hello Peter and s 9(2)(a) OIA

Apologies for the delay in getting this to you, I was not in the office on Friday.

Find attached last week's good new story. In relation to referrals we received 5 last week as follows:

Site	Week ending 06/03/18
Clendon	3
Manukau	0
Manurewa	0
Papakura	1
Pukekohe	0
Waiuku	1

Peter, are you free tomorrow to catch up? I am happy to come to Ellerslie and am free in the afternoon from 2:00pm

Kind regards  
s 9(2)(a) OIA

s 9(2)(a) OIA | Team Coordinator/Occupational Therapist

M s 9(2)(a) OIA | W apm-nz.co.nz  
E s 9(2)(a) OIA | @apmworkcare.co.nz



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**From:** Carl Bakker <carl@acuo.co.nz>  
**Sent:** Thursday, 12 April 2018 6:24 p.m.  
**To:** Peter Anderson; s 9(2)(a) OIA ; Kelvin Moffatt  
**Cc:** s 9(2)(a) OIA @apmworkcare.co.nz; s 9(2)(a) OIA  
**Subject:** Recover at Work mental health and employment social bond Investor Advisory Group meeting 16 April  
**Attachments:** TTNT IAG agenda 16 April 2018.docx

Attached is the agenda for this meeting and below is the summary table in referrals, enrolments and placements. While referrals have become more steady since our last meeting, they are still cumulatively below levels envisaged when the bond was negotiated, so will feature as a key item for the discussion. Note: the bond contract set out an expectation of service delivery to 1700 participants, or 340 enrollees per annum- about 20 per month. While referrals are near this level now, there is a high rate of referees who are not contactable or who are not interested in the service, so enrolments fall well below expected levels.

The Stats so far – Note April is an estimate at this point

	Referrals	Enrolments	Placements	Workmonths	Workmonths Per Model
Feb-17	0				
Mar-17	3				
Apr-17	5				
May-17	17	6			
Jun-17	23	5			
Jul-17	26	8	1	1	45
Aug-17	21	12	4		
Sep-17	15	7	2		
Oct-17	37	17	0	12	135
Nov-17	11	7	4		
Dec-17	7	6	1		
Jan-18	20	5	3	30	229
Feb-18	27	13	3		
Mar-18	25	8	8		
Apr-18	25	8	4	59	318
<b>Total</b>	<b>262</b>	<b>102</b>	<b>30</b>	<b>102</b>	<b>727</b>

Regards

*Carl*

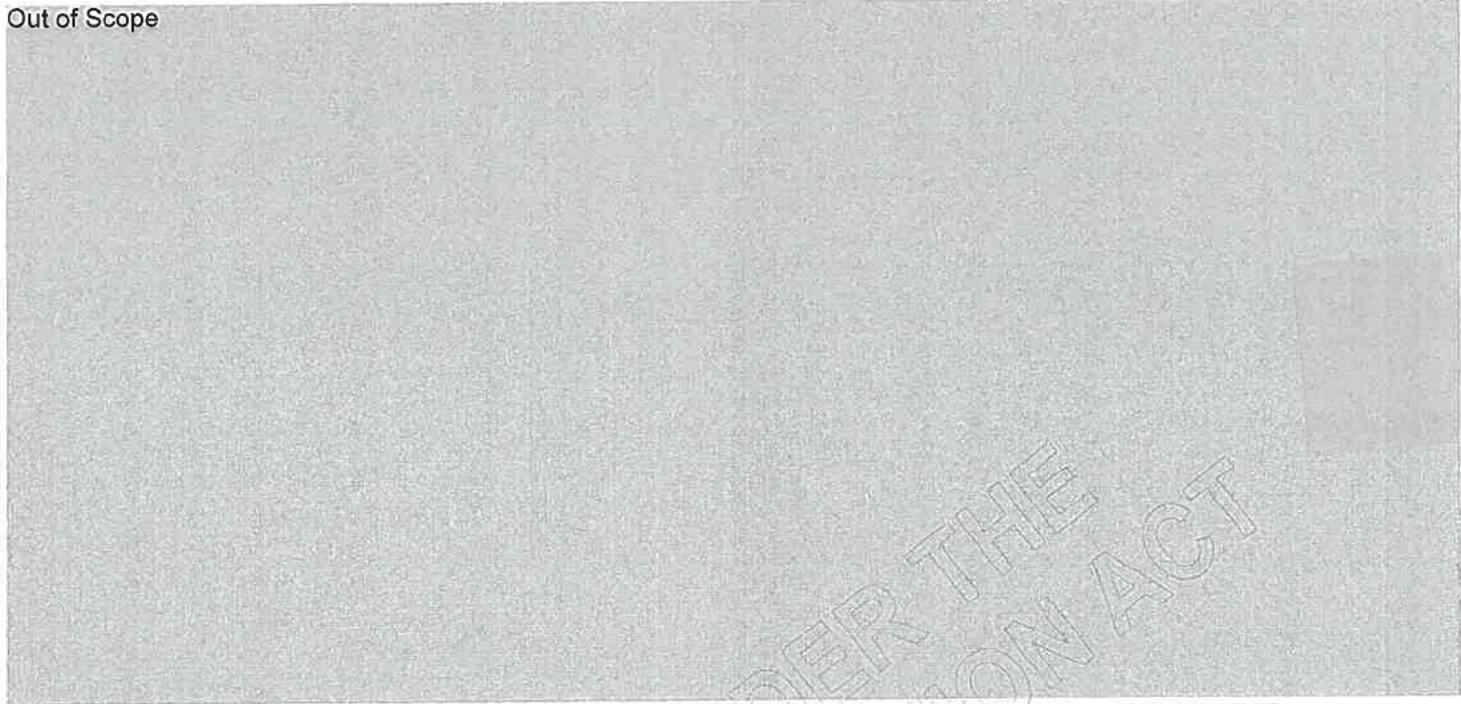
Carl Bakker | Managing Director, Acuo Ltd

Mob: +64 21 977 702 | [carl@acuo.co.nz](mailto:carl@acuo.co.nz)



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Out of Scope



**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 12 April 2018 8:45 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** RE: APM

Hi s 9(2)(a) OIA

Thanks for your email. Apologies for delay...I did think that I had responded to this advice.

I would agree to the removal of the clause in the Constitution. This in effect means that the Directors of TTNT do not need to also prioritise the holding company's interests thereby effectively ignoring the subsidiaries interests. The Directors however would still need to be cognisant of the holding company to an extent to ensure that its decisions in relation to the subsidiary do not have an adverse flow-on effect from the holding company through to the subsidiary. In other words there should always a natural consideration of the holding companies interest.

Let me know if any questions on this.

Regards

s 9(2)(a) OIA  
Senior Solicitor | Corporate Advisory  
Ministry of Social Development and Oranga Tamariki Shared Legal Service  
☎ s 9(2)(k) OIA | ✉ s 9(2)(a) OIA @msd.govt.nz  
📍 SAS House | Level 4 | 89 The Terrace | PO Box 1556 | Wellington | New Zealand





This email may include legal advice and be legally privileged. It should not be sent outside the Ministry without further legal advice.

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**From:** s 9(2)(a) OIA  
**Sent:** Wednesday, 11 April 2018 2:31 p.m.  
**To:** s 9(2)(a) OIA  
**Subject:** APM

Hi s 9(2)(a)  
OIA

Hope you are well.

I am hoping you may be able to provide an update on the constitution change for APM which we have been discussing over a few months?

Any information be much appreciated.

Kind Regards,

s 9(2)(a) OIA | **National Contracts**

P: s 9(2)(k) OIA

PO Box 1556, Wellington 6140

E s 9(2)(a) OIA

[@msd.govt.nz](mailto:s 9(2)(a) OIA)

Out of Scope

**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 12 April 2018 10:16 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** RE: GST Number

Hi s 9(2)(a) OIA

Hope your well.

Just wondering how you are getting on with arranging an invoice to be submitted?

Kind Regards,

s 9(2)(a) OIA | National Contracts

P: s 9(2)(k) OIA

PO Box 1556, Wellington 6140

E: s 9(2)(a) OIA

[@msd.govt.nz](mailto:s 9(2)(a) OIA @msd.govt.nz)



**From:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz]  
**Sent:** Friday, 16 March 2018 10:40 a.m.  
**To:** s 9(2)(a) OIA [redacted]  
**Subject:** RE: GST Number

Thank you s 9(2)(a) OIA [redacted]

Will do

Regards  
s 9(2)(a) OIA [redacted]

National Manager - Business Support and Finance

Unit 1B, 25 Airborne Road, Rosedale, Auckland 0632  
T 0800 Workcare (967522) | M s 9(2)(k) [redacted] | W apm-nz.co.nz  
E s 9(2)(a) [redacted]@apmworkcare.co.nz



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**From:** s 9(2)(a) OIA [redacted]@msd.govt.nz]  
**Sent:** Friday, 16 March 2018 10:32 AM  
**To:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz>  
**Subject:** RE: GST Number

Hi s 9(2)(a) OIA [redacted]

Myself and my manager have both looked at the invoices and believe these to be correct.

Please send through a tax invoice and I will arrange for payment to be made.

Thanks,

s 9(2)(a) OIA | National Contracts

P: s 9(2)(k) OIA | E: s 9(2)(a) OIA @msd.govt.nz

PO Box 1556, Wellington 6140

---

**From:** s 9(2)(a) OIA @apmworkcare.co.nz]

**Sent:** Thursday, 8 March 2018 2:48 p.m.

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

**Subject:** RE: GST Number

Thanks s 9(2)

(a)  
OIA

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**From:** s 9(2)(a) OIA @msd.govt.nz]

**Sent:** Thursday, 8 March 2018 11:46 AM

**To:** s 9(2)(a) OIA @apmworkcare.co.nz>

**Subject:** RE: GST Number

Hi s 9(2)(a) OIA

Thank you.

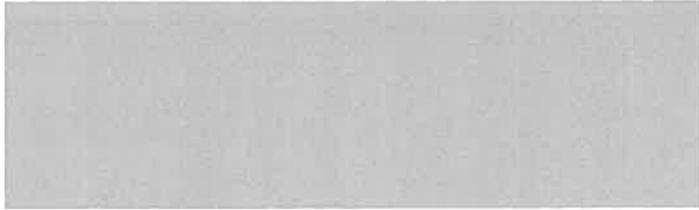
I am in an all day workshop today but will look at this tomorrow.

Thanks,

s 9(2)(a) OIA | National Contracts

P: s 9(2)(k) OIA | E: s 9(2)(a) OIA @msd.govt.nz

PO Box 1556, Wellington 6140



**From:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz]  
**Sent:** Wednesday, 7 March 2018 12:01 p.m.  
**To:** s 9(2)(a) OIA [redacted]  
**Cc:** Karen Came  
**Subject:** RE: GST Number

Hi s 9(2)(a) OIA [redacted]

Our CFO has asked me to send the draft invoice calculations to the person at MSD responsible for approving our invoices for payment. I understand that will be you s 9(2)(a) OIA [redacted]. Given the complexity of the calculations involved, he wishes to confirm that we have calculated the fees correctly before he sends the final invoices.

Please see attached.  
 I look forward to your confirmation.

Kind Regards  
 s 9(2)(a) OIA [redacted]

National Manager - Business Support and Finance

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**From:** s 9(2)(a) OIA [redacted]@msd.govt.nz]  
**Sent:** Tuesday, 6 March 2018 12:08 PM  
**To:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz  
**Subject:** RE: GST Number

Thanks s 9(2)(a) OIA

I hear one is on the way.

Have a good day.

Cheers,

s 9(2)(a) OIA National Contracts

P: s 9(2)(k) OIA

E: s 9(2)(a) OIA

@msd.govt.nz

PO Box 1556, Wellington 6140



**From:** s 9(2)(a) OIA @apmworkcare.co.nz

**Sent:** Tuesday, 6 March 2018 12:06 p.m.

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

**Cc:**

**Subject:** RE: GST Number

Hi s 9(2)

(a)

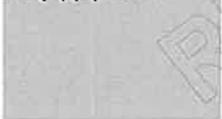
OIA

It's about time we sent you an invoice don't you think?

I will arrange with Finance.

Kind regards

s 9(2)(a) OIA



National Manager - Business Support and Finance

Unit 1B, 25 Airborne Road, Rosedale, Auckland 0632

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E s 9(2)(a) @apmworkcare.co.nz

OIA



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**From:** s 9(2)(a) OIA [redacted]@msd.govt.nz  
**Sent:** Tuesday, 6 March 2018 11:32 AM  
**To:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz>  
**Cc:** s 9(2)(a) OIA [redacted]@apmworkcare.co.nz>  
**Subject:** GST Number

Hi s 9(2)(a) OIA [redacted]

I have taken the lead for Social Bonds from s 9(2)(a) OIA [redacted]

Just after your GST number please for Te Tautoko Nga Tangata Limited.

Kind Regards,

s 9(2)(a) OIA [redacted] | National Contracts

P: s 9(2)(k) OIA [redacted] | E: s 9(2)(a) OIA [redacted]@msd.govt.nz

PO Box 1556, Wellington 6140



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# APM WorkCare/Te Tautoko Nga Tangata Ltd

## Improving mental health and employment Social Bond

Minutes of Investor Advisory Group meeting Monday 16 April, 10:30-12:45 at Janssen office, 507 Mount Wellington Highway

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Attendees: Karen Came, s 9(2)(a) OIA [REDACTED]  
s 9(2)(a) OIA [REDACTED]. From MSD s 9(2)(a) OIA [REDACTED], Peter Anderson, and Kelvin Moffatt for items 1 and 2  
Apologies: s 9(2)(a) [REDACTED]

### Discussion/Agreed actions

1. Progress report. Discussion focused on the core problem, very low referrals especially of clients with work interest/obligations in >15 hours/week. This is despite considerable efforts to build greater awareness. APM are working with GPs and others to generate direct referrals, currently forming some 25% of their enrolments.
  - a. Total referrals to end April are 125, with 53 enrolments. Some 55% of enrolled clients have work obligations of < 15 hours per week (and at that level do not generate outcome payments). This compares to levels estimated in pre-bond contracting of around 30 eligible clients per month, and a contract that envisaged issues around capping the flow. Under the contract MSD does not guarantee the number of referrals but does undertake to “endeavour to refer appropriate clients to the Services” (Appendix 1).
  - b. Despite a brief lift after the case manager workshop, referrals of eligible clients have reverted to low levels.
  - c. APM are demonstrating strong performance in placing clients into work (current rate is around 50%, as against a 43% expectation in the contract. Given that many are though less than 15 hours this creates a contract revenue issue.
  - d. MSD were strongly supportive of the quality of the services being offered, and identified issues around the possible lack of motivation for many urban clients. In discussions officials confirmed they could not suggest any improvements or changes to the Services.
  - e. Officials now indicated that adding to referral flows as a result of Work to Wellness contract renegotiations from 1 July was much less likely than suggested at the previous meeting.
  - f. MSD offered a number of further possible actions to try to improve referral flows:
    - i. Making referrals when clients first register
    - ii. Offering workshops on the services to all staff
    - iii. MSD supporting a marketing programme with local GPs to build better understanding
2. Kelvin reported that an OIA regarding the bond had been received from NZ Doctor, and which had three reports in scope. He would send materials to APM for comment prior to release. Investors would consider whether any proactive comment from them would be useful. Kelvin also commented that on the basis of volumes and outcomes achieved to date the bond was costly compared to some other alternatives. Discussion on this highlighted that this outcome was a somewhat unanticipated one where the contract provided higher outcome payments for very low client flows- so the result

would be lower costs than alternatives if client flows were higher (with investors bearing the risks for non-achievement).

3. Investors discussed financial returns and future steps if enrolment flows remained so far below expected volumes. They confirmed their interest in trying to ensure this form of outcome contracting was well tested and wanted to explore any additional avenues for performance auditing/outcome evaluation. s 9(2)(a) to review this with MSD who have funding for evaluation.
4. Next meeting set for Thursday 31 May 10:30 am at Janssen offices, 507 Mount Wellington Highway, Mount Wellington.

s 9(2)(a)

Advisor TTNT

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# Te Tautoko Nga Tangata Ltd

## Investor Advisory Group meeting Tuesday 8 February, 10:30-12:30

At Janssen Office, 507 Mt Wellington Highway, Mt Wellington, Auckland 1060

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Expected participants: Karen Came, s 9(2)(a) OIA [REDACTED] and Carl Bakker. From MSD, s 9(2)(a) OIA [REDACTED], Peter Anderson (Area Manager Auckland South) and Kelvin Moffatt (General Manager, Service and Contracts Management) will attend for part of the meeting.

### Agenda

1. Introductions
2. Review of progress to date
  - a. Investor report (attached): Enrolments and placements, Karen
  - b. Financial report (attached): Costs and revenues, Carl Bakker, s 9(2)(a) OIA [REDACTED] Karen
3. Discussion
  - a. Rates of referral which remain very low-MSD representatives to discuss.
  - b. Review of actions agreed at last meeting, identification of possible new actions.
4. Other business
  - a. TTNT constitution change update, Karen
5. Investor discussion
  - a. APM non-billing
  - b. Underperformance triggers
6. Next meeting- at end of next billing period- early July- or before then?

### Attachments

- A. Investor Report April 2017
- B. Financial quarterly update report
- C. Recover@Work Social Bond Financial modelling
- D. Minutes of last meeting 8 February 2018

Out of Scope

On 26/04/2018, at 9:30 AM, s 9(2)(a) OIA [redacted] @msd.govt.nz> wrote:

**Hi Kelvin**

s 9(2)(a) OIA [redacted] is away for the rest of the week but should be able to help you with your request next week. Feel free to book a meeting with him to discuss.

Cheers

s 9(2)(a) OIA [redacted]

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**From:** Kelvin Moffatt

**Sent:** Friday, 20 April 2018 5:26 p.m.

**To:** s 9(2)(a) OIA [redacted]

**Subject:** Social Bonds

s 9(2)(a) OIA [redacted]

Is someone in your team able to do a bit of analysis?

Wanting to compare potential participants against referrals and subsequent enrolments in the social bonds versus Work to Wellness.

Kelvin Moffatt

General Manager, Service and Contracts Management

Ministry of Social Development

s 9(2)(k) OIA [redacted]

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

## OIA\_Requests (MSD)

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**From:** Kelvin Moffatt  
**Sent:** Friday, 27 April 2018 10:05 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** FW: Social Bonds

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development  
04 9136751

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

---

**From:** s 9(2)(a) OIA  
**Sent:** Monday, 23 April 2018 12:06 p.m.  
**To:** Kelvin Moffatt  
**Subject:** RE: Social Bonds

Hi Kelvin the Service Centres are Queen St, Waiheke Island, Tamaki, Glenfield, Highland Park, Albany Browns Bay, Takapuna and Otahuhu.

The anytime contracted volume is 160 and current referred clients as at 21<sup>st</sup> march is 105. Enrolled clients 87.

Hope this helps

Ciao s 9(2)(a) OIA

---

**From:** Kelvin Moffatt  
**Sent:** Monday, 23 April 2018 11:52 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** RE: Social Bonds

How many annual participants on their W2W contract and what service centres are covered?

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development  
04 9136751

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

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**From:** Kelvin Moffatt  
**Sent:** Monday, 23 April 2018 11:47 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** RE: Social Bonds

Yes – it would mean ending their W2W contract.

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development  
04 9136751

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

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**From:** s 9(2)(a) OIA  
**Sent:** Monday, 23 April 2018 10:28 a.m.  
**To:** Kelvin Moffatt  
**Subject:** RE: Social Bonds

Hi Kelvin re your email my thinking is that for a number of reasons that this would work well for both NATO and ourselves. One of the reasons for attempting to streamline our contracts here in Auckland is to make it far more effective from a site referral process. It should be a simple thing I know but the less providers in this space re referrals especially when it is the same provider makes very good sense from a practical point of view.

I am presuming that they will end their Work to Wellness programme yes? If that is the case it would be a total agreement for myself and the region would be very happy. I am still a tad concerned re the exclusion percentage from this provider although taking into account site issues as well looking at the cases it is something I was going to discuss with them.

Hope this helps

Ciao for now s 9(2)(a) OIA

---

**From:** Kelvin Moffatt  
**Sent:** Monday, 23 April 2018 8:35 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** Social Bonds

Interested in your thoughts as to whether we would want to transfer the APM Work to Wellness service centre into the social bond programme (within the current social bond contract)?

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development  
s 9(2)(k) OIA

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

# APM WorkCare/Te Tautoko Nga Tangata Ltd

## Improving mental health and employment Social Bond

Minutes of Investor Advisory Group meeting Thursday 31 May, 10:30-12:30 at Janssen office, 507 Mount Wellington Highway

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Attendees: Karen Came, s 9(2)(a) OIA [REDACTED] and Carl Bakker.  
From MSD s 9(2)(a) OIA [REDACTED], Peter Anderson, and s 9(2)(a) [REDACTED] attended for item 1.

### Discussion/Agreed actions

1. Progress report. Referrals from MSD remain very low and variable, but placement success is high for those who are enrolled (above 40%). This is despite considerable APM activity with MSD offices and case managers. Some further steps were discussed:
  - a. APM to increase its focus on connecting directly with GPs/clinics. **MSD (Peter) would finalise wording in a letter that could be sent (by 1 June), and offered to prepare promotional video material (with APM input).**
  - b. A model where an OT was paced in GP clinics was discussed (trialled in Nelson and Wellington). This has had mixed results, **an unresolved question was whether MSD was interested in funding a trial associated with the bond s 9(2) /Peter**
  - c. MSD s 9(2)(a) OIA [REDACTED] has made an offer to APM that would shift Work to Wellness clients into the bond- details were not discussed. **APM is considering this- Karen**
  - d. Investors confirmed their strong support for using this bond as a way to learn about how differing arrangements could improve the achievement of better outcomes- leading to discussion of some form of early evaluation- this was seen as desirable given high placement success. **MSD (Karen/Peter) would provide a response on what might be possible for an evaluation that:**
    - i. Examined the extent to which the referral challenge was similar to other programmes for these clients
    - ii. Whether the conversion/placement rate was higher than similar programmes
  - e. Investors were interested in meeting with the Auckland Commissioner to discuss the programme. **Anne would work to set up this meeting.**
2. Next meeting set for Wednesday 8 August 10:30 am at Janssen offices, 507 Mount Wellington Highway, Mount Wellington.

Carl Bakker  
Advisor TTNT

# Te Tautoko Nga Tangata Ltd

## Investor Advisory Group meeting Thursday 31 May, 10:30-12:30

At Janssen offices, 507 Mt Wellington Highway, Mt Wellington, Auckland 1060

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Expected participants: Karen Came, s 9(2)(a) OIA [REDACTED] and Carl Bakker.  
From MSD, s 9(2)(a) OIA [REDACTED], Peter Anderson (Area Manager Auckland South) and possibly Kelvin Moffatt (General Manager, Service and Contracts Management) will attend for part of the meeting.

### Agenda

1. Introductions
2. Review of progress to date
  - a. Investor report (attached): Enrolments and placements, Karen
3. Discussion
  - a. Rates of referral which remain very low-MSD representatives to discuss.
  - b. Review of actions agreed at last meeting, identification of possible new actions.
  - c. Possible approaches to early evaluation of placement success.
4. Other business
  - a. OIA release- any further attention?
5. Investor only discussion
6. Next meeting- shortly after end of next billing period- early August? Perhaps Wed 8 or Thursday 9 August

### Attachments

- A. Investor Report May 2018
- B. Minutes of last meeting April 2018

# Te Tautoko Nga Tangata

## Investor Report

May 2018

### Update since 16 April Meeting

- Referral Volumes have not improved despite the tireless efforts of the APM team.
- MSD have been invoiced \$118,720 + GST for the first 12 month period in accordance with the Outcome Agreement. We expect to receive payment this month. The next invoice is due to be sent in August.
- We note the first Class A Capital Repayment of \$100,000 is due to be made in July this year.

s 9(2)(a) OIA Social Bond Team Report from last week follows

### Relationships

- 21.05.18 – Presentation to Clendon Medical Centre doctors, 2 x doctors very interested in service so will continue to develop this relationship;
- 21.05.18 – Counties employment forum meeting, note that all the W2W and a significant number of other employment contracts have been put on notice for a further 3 months until MSD have finished a review of all employment contracts. Geneva Elevator have reportedly lost the PATHs contract (mental health and disability contract);
- 23.05.18 – Follow-up with Manurewa Medical Centre with questions from practice manager. I am hoping to get an audience with their GP's in the next few weeks;
- 24.05.18 – Conversations with s 9(2)(a) OIA at MSD to follow-up actions including letter of support s 9(2)(a) advised I needed to speak with Peter again as she was unsure as to who this action had been allocated to. She also could not provide me with dates for education sessions with their different teams. They are currently working through this;
- 24.05.18 – Met with HCID in Manukau, they have apparently got some referrals to send through however they are having difficulty contacting the clients to gain their permission;
- 24.05.18 – Attempted to contact Peter Anderson, MSD, to discuss conversation with s 9(2)(a) I have left him a message requesting call back. OIA

### Focus for Next Week

- 28.05.18 – Caseload review of our cases to continue to progress current client base;
- 31.05.18 – Investor meeting;
- Focus on Pukekohe GP's for marketing;
- Following up Manurewa and Papakura doctors for marketing dates.

The Stats so far

	Referrals	Enrolments	Placements	Workmonths Actual
Feb-17	0			
Mar-17	3			
Apr-17	5			
May-17	17	6		
Jun-17	23	5		
Jul-17	26	8	1	1
Aug-17	21	12	4	
Sep-17	15	7	2	
Oct-17	37	17	0	12
Nov-17	11	7	4	
Dec-17	7	6	1	
Jan-18	20	5	3	30
Feb-18	27	13	3	
Mar-18	25	8	8	
Apr-18	18	8	3	59
May-18	14	10	7	19
<b>Total</b>	<b>269</b>	<b>112</b>	<b>36</b>	<b>121</b>

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s 9(2)(a) OIA

**From:** s 9(2)(a)  
**Sent:** Thursday, 28 June 2018 4:57 p.m.  
**To:** s 9(2)(a) OIA  
**Cc:** s 9(2)(a) OIA  
**Subject:** FW: Client Question

Hi s 9(2)(a) OIA

See email trail below. Can you please ensure notes are on clients record regarding the re-referral to APMs Recover at work programme once client is ready/fit to participate on the service again 😊

Thank you  
s 9(2)(a) OIA

---

**From:** s 9(2)(a) OIA [mailto:s 9(2)(a) OIA@apmworkcare.co.nz]  
**Sent:** Thursday, 28 June 2018 3:38 p.m.  
**To:** s 9(2)(a) OIA  
**Cc:** s 9(2)(a) OIA  
**Subject:** RE: Client Question

Hi Nalisha

The client in question is one of s 9(2)(a) at Papakura, s 9(2)(a) OIA

We will process a withdrawal from service at this time. I have cc'ed the therapists involved and s 9(2)(a) OIA for their reference.

s 9(2)(a) OIA – can you please discuss and then someone contact the client to advise we will withdraw her from service until fit to engage and at this point s 9(2)(a) OIA can contact us to refer back in again.

Kind regards

s 9(2)(a)  
OIA

| Team Coordinator/Occupational Therapist

M s 9(2)(k) OIA | W apm-nz.co.nz  
E s 9(2)(a) OIA@apmworkcare.co.nz



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**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 28 June 2018 12:04 PM  
**To:** s 9(2)(a) OIA  
**Subject:** RE: Client Question

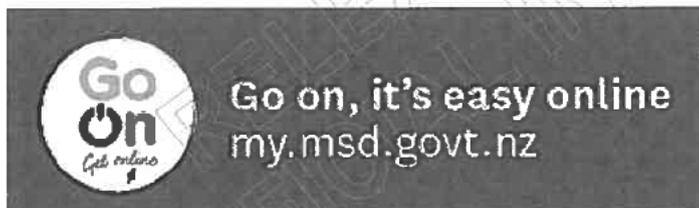
Hi s 9(2)(a) OIA

Thanks for bringing this to my attention.

Its great that APM has thought about the future support for this client. However I would suggest it would be best if the client is withdrawn from the service and then re- referred once she is ready to go on the service again. If you can let me know which site the client was referred from, I can get in touch with the Programme Coordinator of that site and let them know to put notes on the clients record of the re-referral once the client is ready.

Thanks

s 9(2)(a) OIA  
Regional Contracts Manager - Auckland Region  
**Internal DDI:** s 9(2) **External DDI:** s 9(2)(k) OIA **Email:** s 9(2)(a) OIA @msd.govt.nz  
Ministry of (k) OIA Development, Building A, 65 Main Highway, Ellerslie, Auckland  
Private Bag 68-911, Newton, Auckland 1145



---

**From:** s 9(2)(a) OIA [mailto:s 9(2)(a) OIA@apmworkcare.co.nz]  
**Sent:** Thursday, 28 June 2018 7:59 a.m.  
**To:** s 9(2)(a) OIA  
**Subject:** Client Question

Hi s 9(2)(a) OIA

I have a specific query for you regarding a client enrolled in our service.

s 9(2)(a) OIA

The case manager has asked if we can put her file on hold until she has recovered from surgery as he wants her to get the full benefit of the service. Are we able to do this? i.e. put her file on hold for up to 3 months until she receives a medical certificate stating she is fit to resume job search?

From our perspective the client has been making really good progress with our service and ideally we don't want to exit her as we think we could assist her into employment. As I understand it the client would like to continue to engage with our service once all this is behind her.

I appreciate this is an out of the box scenario hence why I am asking.

Kind regards

s 9(2)(a) OIA

s 9(2)(a) OIA

Team Coordinator/Occupational Therapist

M s 9(2)(k) OIA | W [apm-nz.co.nz](http://apm-nz.co.nz)

E s 9(2)(a) OIA | [apmworkcare.co.nz](http://apmworkcare.co.nz)



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s 9(2)(a) OIA

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**From:** s 9(2)(a) OIA  
**Sent:** Monday, 9 July 2018 4:08 p.m.  
**To:** s 9(2)(a) OIA  
**Subject:** FW: Questions re mental health and employment social bond pilot

**Follow Up Flag:** Follow up  
**Flag Status:** Flagged

Hi s 9(2)(a) OIA

Nothing from Policy.

Cheers  
s 9(2)(a) OIA

---

**From:** Policy\_DCE\_Office (MSD)  
**Sent:** Friday, 6 July 2018 4:47 p.m.  
**To:** s 9(2)(a)  
**Subject:** RE: Questions re mental health and employment social bond pilot

Thanks s 9(2)(a) OIA

---

**From:** s 9(2)(a)  
**Sent:** Friday, 6 July 2018 4:46 p.m.  
**To:** Policy\_DCE\_Office (MSD)  
**Subject:** FW: Questions re mental health and employment social bond pilot

Hi s 9(2)(a) OIA

No, we don't have anything.

s 9(2)(a) OIA

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**From:** s 9(2)(a) OIA  
**Sent:** Friday, 6 July 2018 8:44 a.m.  
**To:** s 9(2)(a)  
**Subject:** RE: Questions re mental health and employment social bond pilot

No haven't done anything related to the Bonds

---

**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 5 July 2018 5:35 p.m.  
**To:** s 9(2)(a) OIA  
**Subject:** FW: Questions re mental health and employment social bond pilot

Do you have any info on this?

s 9(2)(a) OIA

---

**From:** Policy\_DCE\_Office (MSD)  
**Sent:** Thursday, 5 July 2018 4:12 p.m.  
**To:** s 9(2)(a) OIA  
**Subject:** FW: Questions re mental health and employment social bond pilot

Hi

This is Service Delivery's, but MaES have asked if we can check to see if Policy has any information in scope regarding the mental health and employment social bond pilot.

Can you let me know please

Cheers and thanks  
s 9(2)(a) OIA

---

**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 5 July 2018 11:43 a.m.  
**To:** DCE\_Office\_ServiceDelivery (MSD); Policy\_DCE\_Office (MSD)  
**Subject:** FW: Questions re mental health and employment social bond pilot

Hi team

New OIA from Virginia McMillan regarding the mental health and employment social bond pilot.

Please advise if you are aware of other areas that might have info in scope or who have done work around the Social bond since 1 March 2018, perhaps finance in preparation for budget?

**Policy-** copied you in to check if you have anything in scope.

Thanks

s 9(2)(a) OIA

<b>OIA Number</b>	
<b>Requester Name and title (Where are they from)</b>	Virginia McMillan (Journalist, NZ Doctor)
<b>Details of the request</b>	I request the following information under the terms of the Official Information Act 1982: any memos, reports or briefing notes, including drafts, prepared by officials relating to the mental health and employment social bond pilot since 1 March 2018. Please provide me with any letters, emails, telephone call logs or meeting notes sent or received by officials since 1 March 2018.

<p>Background of Requester (what do we think has prompted request?)</p> <p>Previous similar requests by requester</p> <p>Previous relevant OIA's on subject (attached to email)</p> <p>Recent news articles or Ministry Media statements on the topic</p> <p>Other relevant information</p>	<p>Ms Virginia McMillan is the Wellington Correspondent for New Zealand Doctor. The media team are responding to questions 1-4 in the email trail below, question five above is going through the OIA process.</p> <p>On 13 June 2018, Ms McMillan received a response to her three separate requests regarding the Pilot which had been merged. A copy of the response is attached for your reference. The information released showed that the number of clients who have been assisted by APM Workcare into employment is trending significantly below contract expectations.</p> <p>The Social Bond programme was introduced in February 2017 by the former Government. The programme seeks to assist people with mental illness to find and maintain employment. Incentives are provided to APM Workcare to assist these people into employment. The return to the provider is reflective of the outcomes achieved.</p> <p>On 4 July 2018, Ms McMillan published an article titled 'Contract talks and a cone of silence after social bond pilot's shaky start' in NZ doctor, we are attempting to gain access to the article (subscription only) but the subheading is "A mental health "social bond" programme which aimed to find work for people with a mental health diagnosis is drastically below its key targets for helping people"</p> <p>On 15 June 2018, Ms McMillan published an article titled "The quietest initiative ever. Social bond's numbers not looking flash".</p> <p>The Ministry has received a number of requests for information regarding the Social Bond project and APM Workcare.</p> <ol style="list-style-type: none"> <li>1. On 13 April 2017, s 9(2)(a) OIA [redacted] was provided with information regarding the Social Bond programme.</li> <li>2. On 4 May 2017, s 9(2)(a) OIA [redacted] was provided with information regarding the contracted outcomes and payment timeframes for the Social Bond programme.</li> <li>3. On 9 October 2017, s 9(2)(a) OIA [redacted] was provided with a copy of the Subcontractor's Letter and the Outcome Agreement with APM Workcare for the delivery of the social bond programme.</li> </ol>
<p><b>Proposed approach (if any at this stage)</b></p> <p><b>Risks</b></p>	<p>Identify and risk assess docs in scope.</p>
<p><b>Meeting required? (who else needs to be invited?)</b></p>	<p>Please advise</p>
<p><b>Information Due by</b></p>	<p>5 July 2018</p>

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**From:** Virginia McMillan [mailto:vmcmillan@nzdoctor.co.nz]  
**Sent:** Wednesday, 4 July 2018 1:52 p.m.  
**To:** Nell Husband  
**Cc:** Lee.Harris-Royal@parliament.govt.nz  
**Subject:** Questions re mental health and employment social bond pilot

Kia Ora, Nell

Questions re mental health and employment social bond pilot: Some may require OIA, but others should be straightforward information held and views held/judgements made in the ministry. I am seeking an interview with Ruth Bound, please, to give her overview of what has been achieved so far, where challenges remain, and looking to the future of this project. I am copying in the minister's office to this email in case the minister need to respond if there is a political decision-making element to some of the questions. Thanks very much.

1.

The Ministry of Social Development appears to have already paid \$241,000 for outcomes achieved by the mental health and employment social bond pilot, at least according to Budget 2018 documents. They also indicated the total would rise to \$633,000 for the full-year to 30 June, and expected the same to be spent in the year ending 30 June 2019.

Question: These figures are a matter of public record. Please confirm the above accurately reflects the non-departmental spending in this area - eg, the final figure for 30 June 2018 may differ from that anticipated. If so, please provide it.

2.

Again, as indicated in Budget 2018, is the total spending allocation of the former National Government (\$3.8 million for outcome payments, as well as \$340,000 for administration, for the years 2017 to 2021) still available in the MSD budget to be made over that period?

3.

What outcome in a client, group of clients, trial site, workplace, whole pilot (or other) actually triggers a payment to the provider?

4.

Payments apparently have been made during a time when numbers were low. Can Ruth Bound please comment on why.

5.

I request the following information under the terms of the Official Information Act 1982: any memos, reports or briefing notes, including drafts, prepared by officials relating to the mental health and employment social bond pilot since 1 March 2018. Please provide me with any letters, emails, telephone call logs or meeting notes sent or received by officials since 1 March 2018.

ngā mihi nui

Virginia

Cc: Lee Harris-Royal

Virginia McMillan

Freelance Journalist

Wellington Correspondent | New Zealand Doctor | [nzdoctor.co.nz](http://nzdoctor.co.nz)

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# Memo

**To:**

**CC:**

**From:** Kelvin Moffatt, General Manager Service and Contracts Management

**Date:** 14 July 2018

**Security level:** IN CONFIDENCE

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## **Update on the Supporting People with mental illness to gain and sustain employment (Pilot Social Bonds Transaction)**

### **Purpose**

This memo provides you with a summary on the Supporting People with mental illness to gain and sustain employment (Pilot Social Bonds Transaction).

### **Background**

In November 2016, the Ministry of Health (MoH) approached the Ministry of Social Development (MSD) to administer the Supporting People with mental illness to gain and sustain employment (Pilot Social Bonds Transaction) on behalf of the Crown. The pilot social bond transaction was subsequently approved by Cabinet in December 2016.

The Supporting People with mental illness to gain and sustain employment is New Zealand's first pilot social bond transaction. The service intends to support 1,700 people with mental illness into work over a six year period. Three private investors have raised the capital to fund the pilot social bond transaction, these three investors are; Wilberforce Foundation, Janssen, and Prospect Investment Management Ltd. A joint venture Te Tautoko Nga Tangata Limited (TTNT) holds the social bonds contract.

The current service provider of the Pilot Social Bonds Transaction is APM Workcare Limited (APM) who has also taken an investment position in TTNT. APM is also contracted by MSD for other health and employment related services, including Work to Wellness, which services a similar client cohort.

The Supporting People with mental illness to gain and sustain employment agreement was intended to commence in February 2017 as a programme available to clients referred from six Service Centres in the Auckland Region being; Clendon, Manukau, Manurewa, Papakura, Pukekohe and Waiuku.

## Current Performance of the Pilot Social Bonds Transaction

The service was contracted by MSD from February 2017, however APM were recruiting staff to deliver the service through to April 2017. This late on-boarding of staff contributed to the low referrals over the initial period of the contract.

The Pilot Social Bond Transaction relies heavily on referrals from MSD to ensure the service provider gets participants and can meet the performance targets within the agreement. The service provider can also self-source referrals through the community. To date APM has had limited uptake in sourcing referrals from the community

Investor returns are based on the performance of the Pilot Social Bond Transaction in achieving sustained employment outcomes. The return is calculated based on the number of employment months being achieved by the service provider. In order to achieve the expected target outcomes and a return for the investor the service provider needs a steady and high rate of referrals to ensure they have capacity to place clients into employment.

The contracted agreement targets for the Pilot Social Bonds Transaction are calculated based on cumulative number of employment months achieved (up to 12 months per individual) from the commencement date of the service being February 2017:

Time of payment – number of months after the Commencement Date of the Outcome Agreement	Target Employment Months (non-cumulative)
<b>6 – August 2017</b>	45
<b>12 – February 2018</b>	364
<b>18 – August 2018</b>	687
<b>24 – February 2018</b>	859
<b>30 – August 2019</b>	1009
<b>36 – February 2020</b>	1160
<b>42 – August 2020</b>	1307
<b>48 – February 2021</b>	1455
<b>54 – August 2021</b>	1656
<b>60 – February 2022</b>	1977
<b>66 – August 2022</b>	1772
<b>72 – February 2023</b>	1571

Auckland region hold the day to day relationship with TTNT and responsible for referrals and with national office service and contracts management providing an overview of this initiative.

It was clear by October that even with APM fully staffed referral rates were well below target and impacting on the ability to achieve targeted employment months.

Performance as at the 6<sup>th</sup> November 2017 (9 months after contract start and six months after full staffing) is outlined below:

APM Workcare Limited – Performance as at November 2017		
<b>Referral</b>	151	
<b>Enrolled</b>	59	
<b>Awaiting Enrolment</b>	25	
<b>Withdrawn</b>	5	
<b>Completed</b>	0	
<b>Declined</b>	46	
<b>Employment</b>	Fulltime	3
	Part-time	5

The following table advises the months of which employment was gained, number of clients and part-time or full time employment

Month of Employment	Number of Clients	Full time / Part time
<b>May 2017</b>	1	Part-time
<b>July 2017</b>	1	Full Time
<b>August 2017</b>	4	3 Part-time 1 Full time
<b>October 2017</b>	1	Full Time
<b>November 2017</b>	1	Part-time

Under the agreement, the target for cumulative employment months at 6 months is 45 and at 12 months 364 cumulative. At 9 months, the provider had achieved 14 cumulative employment months.

APM is a large provider of employment placement services to MSD, with a good record of achievement. MSD met with the General Manager of APM twice in October 2017 to discuss concerns on referrals and actions to help address this. MSD also met with the TTNT investors in October 2017 and the parties set a number of tasks from that meeting to help increase volumes.

MSD senior management were provided with an update on service performance in November 2017 (and December 2017 and February 2018).

#### **Comparison of the Pilot Social Bonds Transaction and Work to Wellness Service**

The Work to Wellness service supports clients with diagnosed mental health conditions to gain work and achieve sustainable employment and is similar in client cohort, set up and expected outcomes to the Social Bonds Transaction.

Region	Total Referrals (1 April – 31 Oct)	Current Enrolments	Contract Capacity (F17)	%
<b>Auckland Metro</b>				
APM Workcare Limited	84	54	160	34%
In-Work NZ Limited – Auckland	140	101	190	53%
Wise Group (Mental Health Solutions) - Auckland	68	42	150	28%
<b>Total Auckland</b>	<b>292</b>	<b>197</b>	<b>500</b>	<b>39%</b>
<b>Canterbury</b>				
Wise Group (Mental Health Solutions) - Canterbury	75	45	150	30%
<b>Central</b>				
APM Workcare Limited – Central	170	82	200	41%
<b>Southern</b>				
APM Workcare Limited – Southern	93	63	100	63%
<b>Waikato</b>				
APM Workcare Limited – Waikato	98	31	100	31%
<b>Grand Total</b>	<b>728</b>	<b>418</b>	<b>1050</b>	<b>40%</b>

The table showed that Auckland Regions referrals versus the service capacity was 39% for the period 01 April 2017 to 31 October 2017, and this was in line with the national

enrolment percentage of 40 per cent. This comparison for a service targeting a similar client cohort shows that suitable levels referrals were being generated compare to contract targets. However Work to Wellness is a more established programme developed with input from the frontline and familiar with case managers and programme coordinators, and anecdotal feedback was that the same degree of awareness and confidence to refer to the social bonds programme had not yet been established.

It was noted that the targets in the social bonds contract appeared more ambitious than those in current established programmes with a history of previous referral levels.

### **Key Differences in the Work to Wellness and Social Bonds Transaction Agreements**

- Length of contract  
A Work to Wellness contract is generally for a 12 month period with a 12 month right of renewal if performance targets are met.  
The Social Bonds Transaction contract has been sent for 6 years with an expiry of 31 January 2023 with set performance reviews of two years and every six months thereafter.
- Exiting and convenience clause  
under the social bonds contract there are three termination clauses. These are:
  - 1) Termination for convenience due to Purchasing Agency default or following a specific change in law, this required the Purchasing Agency to affectively pay out future forgone profits.
  - 2) Termination due to Underperformance.  
The clause provides that either the Ministry or the Provider may terminate the Outcome Agreement immediately by notice to the other party if an "Underperformance Event" occurs. The clause provides that if the total number of employment months for all the participants is less than the prescribed number of employment months at 6 monthly intervals from 1 February 2017, this is an underperformance event.
  - 3) Termination due to Provider default or for other reasons. This is a standard clause in MSD contracts.

As per most of Service Delivery contracts, there is no termination for convenience clause under the Work to Wellness contract.

- Consumer Price Index Adjustments

Under the Pilot Social Bonds Transaction contract, the Provider is entitled to adjust the "Assessment" payment and the Initial Employment Outcomes Amount on an annual basis, one year after the date of execution of the agreement and on each anniversary thereafter

### **Strategies to increase performance of the Pilot Social Bonds Transaction**

APM Workcare Limited, the Investors representatives, General Manager Services and Contracts Management and Auckland Region staff met to discuss strategies to support increasing referrals to the Pilot Social Bonds Transaction. The following lists the support areas across the parties that were agreed to be implemented to increase referrals;

APM Workcare Limited will;

- Attend a South Area meeting with site managers

- APM to deliver wellness seminars at Wednesday briefs to offer staff better insights into the service being provided
- APM to attend the HCID seminar to match clients with provider programmes with MSD staff on the 23<sup>rd</sup> of November
- Provide fortnightly reports to the region for tracking referrals, enrolments and outcomes

The Auckland Region will support the Pilot Social Bonds Transaction by;

- Meeting with Auckland South Area Managers to highlight operational issues identified and seek solutions
- Meet with individual site Managers and identify any issues / barriers specific
- Meet with the Papakura Programme Co-ordinator to gain an understanding of what is working well for this site to replicate at other sites
- Meet with Manukau and Manurewa Programme Co-ordinators to understand any barriers around client referrals
- Continue to provide a target for each site for client contact and referrals
- Auckland Regional Office will provide a report of the clients with a diagnosed mental health condition to distribute to Service Centres for follow up.

Performance of the service provider as at 16<sup>th</sup> February 2018 is outlined as below:

APM Workcare Limited – Performance as at February 2018		
<b>Referral</b>	179	
<b>Enrolled</b>	83	
<b>Withdrawn</b>	11	
<b>Completed with no outcome</b>	8	
<b>Declined</b>	65	
<b>Employment</b>	Fulltime	7
	Part-time	9
<b>Employment Months Achieved</b>	60	
<b>Percentage of Target</b>	16.5%	

### Strategies to increase performance of the Pilot Social Bonds Transactions

Employment months achieved remained well below target at 16.5% (non-performance is set at 60% of target). A key contributor to this poor performance has been a low rate of referrals.

APM Workcare Limited, the Investors representatives, General Manager Services and Contracts Management and the Auckland Region Senior Contracts Manager have worked together to put in place strategies to support increasing referrals to the Pilot Social Bonds Transactions.

Even with the joint approach, there has been little success in increasing the referrals. Due to this, both the Provider and the Investors have mentioned a possible exit if referrals do not improve.

In addition, the poor performance results in a higher cost per participant to MSD.

### Performance as at March 2018

While referrals and participant numbers had improved in recent months, the employment months are still well below target. Performance of the service provider as at the 29th March 2018 is outlined in the below.

APM Workcare Limited – Performance as at March 2018		
<b>Referral</b>	262	
<b>Enrolled</b>	102	
<b>Withdrawn</b>	19	
<b>Completed with no outcome</b>	12	
<b>Declined</b>	91	
<b>Employment</b>	Fulltime	13
	Part-time	11
<b>Employment Months Achieved</b>	102	
<b>Percentage of Target</b>	21.9%	

### Payments

Payment calculations under the contract mean that if target performance under the Pilot Social Bonds Transaction is achieved then the contract is cost effective for MSD at around \$5,000 per participant per 12 months outcome versus \$9,000 under a Work to Wellness contract.

However the payment calculation means that in the event of underperformance, while the total cost goes down, the cost per individual outcome goes up.

TTNT has submitted a draft invoice to MSD for verification. This has been verified but a final tax invoice has not yet been presented by TTNT (reminders have been sent).

At below 60% of the target performance, either party have the option to terminate the contract due to underperformance. At this poor level of performance, it would be in MSD's best interest to consider terminating the current agreement and replace this service with a Work to Wellness type service meeting the needs of the client group as the cost per outcome rises under the current contract.

MSD will be tracking performance in line with the contract performance reporting requirements at 6 monthly contract intervals meaning effectively the provider would come under formal notice of intent to terminate in August 2018 if performance did not meet minimum requirements by 1 February 2019.

It is unlikely based on current performance that the Social Bonds Transaction contract will meet the required targets. In this event MSD would be considering termination and would ensure senior management and the Ministers office were informed prior to termination.

### Next Steps

While performance against targets had been poor, anecdotal feedback by clients engaged in the service was good and the service being delivered was seen by individuals enrolled as valuable. Also there were some learning's that could be applied to improve the Work to Wellness service. These learning's are also aligned to feedback received as part of the

Work to Wellness draft evaluation findings. There was therefore a desire to retain the service for clients but restructure it under an amended Work to Wellness contract, which potentially offered better value for money as payments were linked directly to outcomes and it would be a service offer more familiar to frontline and likely to improve referral rates.

Modelling of the service targets and associated payment regime showed a disconnect between that derived value and the total value of the contract. MSD was unable to determine the cause and whether this was due to an error in target setting or other cause.

Senior management agreed that MSD should signal early its intent to withdraw from the current contract if performance rates did not meet the non-performance event targets specified in the contract at February 2019. And that following that an offer to terminate the current contract by mutual agreement and replace with a modified Work to Wellness contract should be made. That the intended modifications should capture those learning's from the current contract and recent evaluations.

Primarily these involved a more rigorous assessment process by a suitably qualified health care professional at entry to the service, the ability for clients to take "time out" and put the work readiness part of the service on hold for a period of time, and then re-enter, and flexibility to achieve 12 months employment within an 18 month window rather than continuous employment. Again this allowed the client to potentially take time out and reengage without being formally exited from the programme. These elements of flexibility seemed to work well for those clients who suffered mental health relapses.

The Ministers office had been advised that the service was not meeting targets. The Ministers office was further advised in early April that the performance and possible exit of the current contract if performance targets were not met by February 2019 would be raised with the provider in April. With intent to negotiate withdrawal by mutual agreement and replacing the service with an amended Work to Wellness contract.

The General Manager Service and Contracts Management met with the Auckland Region and TTNT in April 2018 to discuss the service performance and possible future termination of the contract.

Subsequent to that meeting an offer was made by MSD to negotiate a withdrawal of the current service and replace it with a modified Work to Wellness contract, and align targets with current client numbers.

In May The Treasury were informed of MSD's intent to negotiate a withdrawal of the current social bond service and replace it with a modified Work to Wellness contract.

In early July agreement in principle was reached with APM on a modified Work to Wellness contract. This would replace both the current social bonds service and the existing APM Work to Wellness contract in Auckland. It is also anticipated that similar changes would be negotiated across the other Work to Wellness contracts MSD holds.

Currently APM is in discussions with the other investors to see if this agreement is acceptable to them.

s 9(2)(a) OIA

**From:** s 9(2)(a) OIA  
**Sent:** Monday, 13 August 2018 3:26 p.m.  
**To:** s 9(2)(a) OIA ; Policy\_DCE\_Office (MSD); s 9(2)(a) OIA  
**Cc:** s 9(2)(a) OIA ; DCE\_Office\_ServiceDelivery (MSD)  
**Subject:** RE: Questions re mental health and employment social bond pilot

Hi

Nothing from me either. There has been a recent article though, that I think refers to the OIA request.  
Cheers

s 9(2)(a) OIA

## Mental health social bond money unpaid, National's \$100m investment evaporates

Virginia McMillan

[vmcmillan@nzdoctor.co.nz](mailto:vmcmillan@nzdoctor.co.nz)

Thursday 2 August 2018, 06:47 AM



A mental health social bond hasn't been a money-spinner for private investors

National's mental health "social bond" hasn't earned its private investors their hoped-for profit – they haven't yet been paid a cent.

The bond saw Australian-headquartered APM Workcare contracted early last year to help mentally unwell people into work.

The investors have the potential to earn up to 17 per cent on some of the \$1.5 million they put up. But APM hasn't invoiced the Government for work done, and it's understood it hasn't met targets for the number of clients in employment.

The mental health back-to-work programme was intended as a pilot for social bonds, which reward investors when successful. Announcing the concept in 2013, then health minister Tony Ryall said, “if it doesn't work, we don't have to pay”.

Investors in the bond are Christian charity the Wilberforce Foundation, pharmaceutical company Janssen and property firm Prospect Investment Management.

*New Zealand Doctor* asked the bond supervisor, the Ministry of Social Development, for latest information on how the programme is going.

We previously reported performance as at 1 March. This was way under par, amid problems getting enough referrals for the support services being offered at six south Auckland sites.

In a statement this week in response to questions, ministry general manager service and contracts management Kelvin Moffatt says no invoices have been received.

The ministry still has \$633,000 available for the year to 30 June for service outcomes yet to be invoiced, says Mr Moffatt, who was not available for interview.

## **\$4 million still in the kitty**

The total spending allocation of the former National Government (\$3.8 million for outcome payments, as well as \$340,000 for administration, for the years 2017 to 2021) is still available to the ministry.

Payments will be made under the terms of the contract, once invoices are received and the employment months claimed have been verified by the ministry, he says.

To seek more details, *New Zealand Doctor* invoked the Official Information Act, but has now been advised our latest request has been delayed while the ministry consults on it.

The Ministry of Health was involved in the bond's design stages.

## **Last-gasp initiatives dropped**

Meanwhile, National MP Chris Bishop obtained confirmation that \$100 million for other mental health social investments, as designed by National last year, has been dropped.

The money, tagged in the May 2017 Budget, was later chopped up into projects that included primary care support and training in mental health, up to \$25 million over four years.

With Labour's David Clark the health minister, those initiatives have lapsed.

One has been used, in part, in the Mana Ake initiative to deliver mental health support to Canterbury and Kaikōura school children, Dr Clark says in written answers to Mr Bishop's questions.

But he says the others have not progressed.

The funding allocated by National was never appropriated, Dr Clark says in his answers.

## **Read more from our archives**

Go to the Vault/Archive Pre-August 2017

Paste in the headline below:

- Pilot schemes recognise GPs are doing it tough with mental healthcare - 15 August 2017

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**From:** s 9(2)(a) OIA  
**Sent:** Monday, 13 August 2018 3:04 p.m.  
**To:** Policy\_DCE\_Office (MSD); s 9(2)(a) OIA  
**Cc:** s 9(2)(a) OIA ; DCE\_Office\_ServiceDelivery (MSD); s 9(2)(a) OIA  
**Subject:** RE: Questions re mental health and employment social bond pilot

s  
9(2)  
(a)

We did not provide any information from the Health and Disability Employment Team and from memory OIA did not provide any information either.

s 9(2)(a) OIA

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**From:** Policy\_DCE\_Office (MSD)  
**Sent:** Monday, 13 August 2018 3:01 p.m.  
**To:** s 9(2)(a) OIA  
**Cc:** s 9(2)(a) OIA ; DCE\_Office\_ServiceDelivery (MSD); Policy\_DCE\_Office (MSD); s 9(2)(a) OIA  
**Subject:** FW: Questions re mental health and employment social bond pilot

Hi s 9(2)(a) OIA

Can you give me a little more information please? I see there is a response signed out by Ruth Bound – was there supposed to have been a meeting?

Our OIA Tracker shows this OIA assigned to SD and complete from Policy's perspective with a **response sent to MaES 9 July**.

s 9(2)(a) OIA The Policy OIA Tracker shows you were sent the information at the time. Does this ring any bells? Was there a meeting?

Regards, s 9(2)(a) OIA

Contractor  
DCE Office, Policy

Phone: s 9(2)(k) OIA (mobile) – [www.msd.govt.nz](http://www.msd.govt.nz)  
Ministry of Social Development, The Aurora Centre, 56 The Terrace, PO Box 1556, Wellington 6140

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**From:** s 9(2)(a) OIA  
**Sent:** Thursday, 9 August 2018 11:56 a.m.  
**To:** DCE\_Office\_ServiceDelivery (MSD); Policy\_DCE\_Office (MSD)  
**Subject:** FW: Questions re mental health and employment social bond pilot

Hi team,

I have taken over this OIA as (a) s 9(2) OIA has been off sick for the past few weeks. Have you met regarding this OIA?

Thanks,

s 9(2)(a) OIA

s 9(2)(a) OIA

**From:** Kelvin Moffatt  
**Sent:** Friday, 31 August 2018 11:29 a.m.  
**To:** s 9(2)(a) OIA  
**Cc:**  
**Subject:** RE: Social bonds OIA

**Follow Up Flag:** Follow up  
**Flag Status:** Flagged

Hi s 9(2)(a) OIA

I have a meeting with APM and the investors on Monday – hoping I can finalise everything (at least in principle) then – so let's assume at this stage it is names only.

Yes you are correct the risk is poor overall performance – particularly the poor rate of client referrals from MSD compared to programme expectations (of clients participating the outcomes have been pretty reasonable).

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development

s 9(2)(k) OIA

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

**From:** s 9(2)(a) OIA  
**Sent:** Friday, 31 August 2018 11:24 a.m.  
**To:** Kelvin Moffatt  
**Cc:** s 9(2)(a) OIA  
**Subject:** RE: Social bonds OIA

Hi Kelvin,

Thanks for that 😊

Does this mean we would be looking at releasing all of the info except for names?

In terms of risk, the key risks look to be around the poor outcomes from the contract, is there anything else that comes to mind?

Cheers

s 9(2)(a) OIA

**From:** Kelvin Moffatt  
**Sent:** Thursday, 30 August 2018 2:55 p.m.  
**To:** s 9(2)(a) OIA  
**Cc:**  
**Subject:** RE: Social bonds OIA

Hi s 9(2)(a) OIA

Yes s 9(2)

(a)  
OIA

Yes withhold any names except Karen and myself.

While we're still waiting for final acceptance of the contract – the only figure yet to be resolved is the new assessment fee.

Kelvin Moffatt  
General Manager, Service and Contracts Management  
Ministry of Social Development

s 9(2)(k) OIA

The Aurora Centre | Level 10 | 55-66 The Terrace | P O Box 1556 | Wellington 6140 | New Zealand

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

**Sent:** Thursday, 30 August 2018 2:00 p.m.

**To:** Kelvin Moffatt

**Cc:** s 9(2)(a) OIA

**Subject:** RE: Social bonds OIA

Hi Kelvin,

I tried to give you a call earlier today but couldn't get hold of you. I was calling as I had a chat with MAES about this OIA - they are in the process of putting the response together to the requestor.

The original request was:

*I request the following information under the terms of the Official Information Act 1982: any memos, reports or briefing notes, including drafts, prepared by officials relating to the mental health and employment social bond pilot since 1 March 2018. Please provide me with any letters, emails, telephone call logs or meeting notes sent or received by officials since 1 March 2018.*

I have a couple of things I want to ask (let me know if you'd prefer to meet again to discuss):

- Can you let me know what the password is to the documents in the attached spread sheet? – happy to go to s 9(2)(a) OIA directly if that's easier for you.
- Withholding of information – I recall that we were going to withhold all names except for your name and Karen, and that there were some other details that would need to be withheld otherwise they could prejudice negotiations. Can you let me know if the new contract negotiations been finalised, and if there is any other information that you think will need to be withheld?

Happy to discuss ☺

Cheers

s 9(2)(a) OIA

s 9(2)(a) OIA

Advisor | Issue Resolution

s 9(2)(k) OIA

Desk 8.2.42 | 56 The Terrace, Wellington

Strengths: Communication | Learner | Harmony | Woo | Empathy

Service Delivery Values: Hononga | Whakawhanaungatanga | Kotahitanga | Manaakitanga | Whakanui

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

**Sent:** Tuesday, 17 July 2018 2:08 p.m.

**To:** Kelvin Moffatt  
**Subject:** RE: Social bonds OIA

Hi Kelvin,

Thank you so much for the three emails and your work on this one!

Warm regards  
s 9(2)(a) OIA

Out of Scope

RELEASED UNDER THE  
OFFICIAL INFORMATION ACT



# Report

**Date:** 10 September 2018      **Security Level:** In Confidence  
**To:** Viv Rickard, Deputy Chief Executive, Service Delivery

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**Official Information Act Request: McMillan, Virginia (New Zealand Doctor) – Copies of memos, reports, briefing notes prepared by officials, letters, emails, telephone calls and meeting notes sent or received by officials relating to the mental health and employment social bond pilot since 1 March 2018.**

## Recommended actions

It is recommended that you:

- 1 **Note** the contents of this report.
- 2 **Sign** the attached letter to Virginia McMillan.
- 3 **Note** that the response letter will be published on the Ministry of Social Development website.

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Elisabeth Brunt  
General Manager  
Ministerial and Executive Services

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Date

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Viv Rickard  
Deputy Chief Executive  
Service Delivery

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Date

## Due Date

- 1 The requestor was advised of the need to extend the time required to respond to this request on 1 August 2018. A decision is due on or before 12 September 2018.
- 2 On 5 July 2018, a Ministerial and Executive Services Advisor contacted Ms Virginia McMillan to discuss the scope of her request. Ms McMillan advised that she would like all information including correspondence related to her request, and agreed to exclude emails that are administrative in nature.

## Background

- 3 Ms McMillan is the Wellington Correspondent for New Zealand Doctor. This is her third request for information to the Ministry.
- 4 The Social Bond programme was introduced in February 2017 by the former Government. The programme seeks to assist people with a mental illness to find and maintain employment.
- 5 The bond will be delivered by APM Workcare. APM Workcare is an experienced and successful provider of vocational rehabilitation and disability services. They have assisted more than 24,000 people across the country to return to work after injury or unemployment, using a model of individualised support and wrap-around care. Incentives are provided to APM Workcare to assist these people into employment. The return to the provider is reflective of the outcomes achieved.
- 6 On 13 June 2018, the Ministry provided Ms McMillan with copies of reports provided to and/or written by the Ministry on the APM Workcare social bond since it started working with participants. A copy of this response is attached for your reference.
- 7 Ms McMillan has advised that she is preparing an article for New Zealand Doctor about the Social Bond Pilot.
- 8 Ms McMillan has requested additional information as outlined in her original request. The Ministry's media team is currently responding to these questions.
- 9 The Ministry has received a number of requests for information regarding the Social Bond project and APM Workcare. Relevant examples are outlined below and copies of each response are attached for your reference.
  - On 13 April 2017, s 9(2)(a) OIA [redacted] was provided with information regarding the Social Bond programme.
  - On 4 May 2017, s 9(2)(a) OIA [redacted] was provided with information regarding the contracted outcomes and payment timeframes for the Social Bond programme.
  - On 9 October 2017, s 9(2)(a) OIA [redacted] was provided with a copy of the Subcontractor's Letter and the Outcome Agreement with APM Workcare for the delivery of the Social Bond programme.

## Suggested Response

- 10 Ms McMillan is provided with 16 documents. Information is withheld from these documents under section 9(2)(g)(i), 9(2)(a) and 9(2)(k) of the Official Information Act (the Act) as outlined in the Record of Decision on page 4.
- 11 As per correspondence with Ms McMillan, emails that are administrative in nature are excluded from this response.

## Risks and Issues

12 s 9(2)(g)(i) OIA

13

## Consultation

- 14 Service Delivery has been involved in this response, from compiling the relevant information to consulting on risks and the proposed response.
- 15 The Minister's Office has been made aware of this request and will be provided with a copy of the response for the office's information, if requested.
- 16 A sign-off sheet is attached and tagged in the file.

File Reference: //OIA//07/18-16331

## Record of Decision

### Has the requestor sought urgency?

No.

### Can the information be identified? Can it be found? What do we think the requestor is asking for?

### Will answering the request require substantial collation and research?

### What are the countervailing reasons to withhold the information? How do the Public Interest and the reasons to withhold weigh up?

The names of some individuals and Social Bond Reports which display client information for the months of March to July 2018 are withheld under section 9(2)(a) of the Act in order to protect the privacy of natural persons. The need to protect the privacy of these individuals outweighs any public interest in this information.

The contact details of some individuals have been withheld under section 9(2)(k) of the Act in order to reduce the possibility of staff being exposed to phishing and other scams. This is because information released under the Act may end up in the public domain, for example, on websites including the Ministry's own website.

Information relating to risks and issues of the release of this information is withheld under section 9(2)(g)(i) of the Act to protect the effective conduct of public affairs through the free and frank expression of opinions. I believe the greater public interest is in the ability of individuals to express opinions in the course of their duty.

Information that is not in scope of this request is noted as 'Out of Scope.'

## Sign Off Sheet

<b>Quality Assurance</b> <b>Name:</b> s 9(2)(a) OIA <b>Date:</b> 10/4/2018	s 9(2)(a) OIA <b>Manager, MaES</b> <b>Date:</b>
<i>The response meets the criteria set out on the QA Sheet</i>	<i>The response is in accordance with the requirements of the Act, addresses the scope of the request, is of good general quality, and has been properly consulted on.</i>

<b>Elisabeth Brunt</b> <b>General Manager, MaES</b> <b>Date:</b>	<b>Communications Consulted</b> <b>Team member consulted:</b> <b>Date:</b>
<i>The response addresses the scope of the request, is, of good quality and has been completed in accordance with the provisions of the Official Information Act.</i>	<b>Notes:</b>

### Business Unit One:

<b>General Manager</b> <b>Name:</b> <b>Date:</b>	<b>Deputy Chief Executive</b> <b>Name:</b> <b>Date:</b>
<i>All information within the scope of this official information request has been identified by my business unit, provided to OPI, properly documented in this response, approved for release to the requestor and on the Ministry's website, or withholding in part or in full, and is factually correct.</i>	

### Business Unit Two:

<b>General Manager</b> <b>Name:</b> <b>Date:</b>	<b>Deputy Chief Executive</b> <b>Name:</b> <b>Date:</b>
<i>All information within the scope of this official information request has been identified by my business unit, provided to OPI, properly documented in this response, approved for release to the requestor and on the Ministry's website, or withholding in part or in full, and is factually correct.</i>	

### Comments / Caveats:

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## Document Table

The following documentation has been scoped and identified in consultation with Service Delivery.

No.	Date	Title	Decision	OIA Section(s)	Previously Released?
1.	March 2018	Recover at Work Good News Story - March 2018	Release in full	N/A	No
2.	9 April 2018	Email: Good New Story & Pilot Update	Release in part	9(2)(a) 9(2)(k)	No
3.	12 April 2018	Email: Recover at Work mental health and employment social bond Investor Advisory Group meeting 16 April	Release in part	9(2)(a) 9(2)(k)	No
4.	12 April 2018	Email: GST Number	Release in part	9(2)(a) 9(2)(k)	No
5.	16 April 2018	TTNT IAG meeting minutes and actions- 16 April 2018	Release in part	9(2)(a)	No
6.	16 April 2018	TTNT IAG agenda - 16 April 2018	Release in part	9(2)(a)	No
7.	26 April 2018	Email: Social Bonds	Release in part	9(2)(a) Out of Scope	No
8.	27 April 2018	Email: FW: Social Bonds	Release in part	9(2)(a) 9(2)(k)	No
9.	31 May 2018	TTNT IAG meeting minutes and actions- 31 May 2018	Release in part	9(2)(a)	No

10.	31 May 2018	TTNT IAG agenda- 31 May 2018	Release in part	9(2)(a)	No
11.	May 2018	TTNT Investor Report	Release in part	9(2)(a)	No
12.	28 June 2018	Email: FW: Client Question	Release in part	9(2)(a) 9(2)(k)	No
13.	9 July 2018	Email: FW: Questions re mental health and employment social bond pilot	Release in part	9(2)(a) 9(2)(k)	No
14.	14 July 2018	Memo: Update on the Supporting People with mental illness to gain and sustain employment	Release in full	N/A	No.
15.	March, April, May, June and July.	Client spreadsheets - Social Bonds Reports - March, April, May, June and July.	Withhold	9(2)(a)	No
16.	13 August 2018	Email: RE: Questions re mental health and employment social bond pilot	Release in part	9(2)(a) 9(2)(k)	No
17.	31 August 2018	Email: RE: Social bonds OIA	Release in part	9(2)(a) 9(2)(k) Out of Scope	No
18.	10 September 2018	Report: Official Information Act Request.	Release in part	9(2)(a) 9(2)(g)(i)	No

# Official Parliamentary Team – Checklists

## Chief Executive's Response

Report tagged to file	/
Original request placed directly behind report to Chief Executive and tagged with a yellow "letter to CE" tag	/
Response and any information proposed for release is placed in a coloured plastic file	/
All documentation proposed for release is marked with the 'Released Under the Official Information Act' stamp	/
All documentation proposed to be withheld is printed on pink paper	/
Duplicate set of documents recommended for release (that have not previously been released) is to be retained by OPI for filing	/

## Official Parliamentary Team – Peer Review

I have consulted the Official and Parliamentary Team Quality Assurance checklist and am confident that the response and the report are of a high standard and in accordance with the Official Information Act 1982.  
s 9(2)(a) OIA

Name

Ministerial and Executive Services Advisor  
Official and Parliamentary Information Team

Date

10/9/18

**Comments:**

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