



Summary of Policies, Guidance and MOUs provided

On 29 June 2018, MPI provided the SSC inquiry team with internal policies and guidance for employees regarding the application of the State Services Code of Conduct. Details of these policies are set out at Table 1.

On 13 July 2018, MPI provided the SSC inquiry team with the policies regarding the security of private information, as well as some MOUs with other agencies related to the sharing of private information. Details of these policies are set out in Table 2.

Table 1: Policies and Guidance regarding application of Code of Conduct (MPI and former MAF only)

POLICIES AND ASSOCIATED GUIDANCE	PURPOSE	
MAF Code of Conduct 2008 and 2011	The Code of Conduct sets out the principles that guide the day-to-day decisions and behaviour by staff, providing a common set of behaviours and expectations, outlining how public servants must conduct affairs of the agency, so that their work holds up to public scrutiny. The organisation's responsibilities as an employer were also covered in the code.	
MPI Code of Conduct 2014		
Conflicts of Interest Guidelines 2007, 2012, 2014		The Conflicts of Interest Guidelines set out a framework for managers and employees to manage conflict of interest situations.
Dealing with Misconduct Guidelines 2007, 2017		The Dealing with Misconduct Guidelines set out the approach to addressing allegations of employee misconduct and help support the process.
Performance and Behaviour Improvement 2007 – updated in 2014 - Improving Poor Performance Guidelines/Guideline 2014		The 2014 Improving Poor Performance Guidelines updated the 2007 Performance and Behaviour Improvement Guidelines, and set out the organisation's approach to working with employees to improve their performance.
Addressing Bullying and Harassment Guidelines 2014		The Bullying & Harassment Guidelines were introduced in 2014. They are designed to outline the steps that need to be taken to address these concerns.
Protected Disclosures Procedures 2012, 2014	The Protected Disclosures Procedures set out the process for making a protected disclosure.	
Fraud & Theft Policy 2008, 2012, 2014 Fraud, Theft & Corruption Policy 2018	The historic versions of the Fraud & Theft policy largely focus on setting out the key requirements and accountabilities for the prevention, reporting and investigation of fraud and theft within the organisation. The recent 2018 revision to the Fraud, Theft and Corruption Policy provides some more explicit rules around responsibilities. It also includes corruption for the first time.	



POLICIES AND ASSOCIATED GUIDANCE	PURPOSE
<p>Health, Safety and Wellbeing Policy 2009, 2011, 2017</p> <p>Health and Safety Policy Extract</p> <p>Safety and Wellbeing procedures 2009, 2011, 2015</p>	<p>The Health, Safety and Wellbeing Policy and procedures emphasise the organisation's commitment to continuous improvement in health, safety and wellbeing performance. They define the framework and requirements by which the organisation will achieve compliance with the Health and Safety at Work Act 2015 and associated legislation and regulations.</p>
<p>Recordkeeping Policy 2009</p> <p>Recordkeeping Guidelines 2009</p>	<p>The Recordkeeping Policy and guidelines provided a framework for the creation, management and maintenance of full and accurate records.</p>
<p>High Value Public Data Release Policy 2015</p> <p>Information Management Policy 2015</p> <p>Data and Information Management Principles 2015</p>	<p>The High Value Public Data Release Policy is designed to establish a common objective for the organisation's high value public data under the Declaration on Open and Transparent Government. The policy assists in supporting consistency and transparency for decision making activities and communication on the release of our high value public data.</p> <p>The Information Management Policy provides guidance and direction on the management of the organisation's information, and establishes recordkeeping accountability across the organisation. The policy outlines staff responsibilities for the creation, maintenance and lifecycle management of these records to ensure the organisation meets its internal operational and reporting needs, and also its external accountability and legislative requirements.</p>
<p>Security Policy 2017</p> <p>Security Manual 2015</p> <p>Security poster</p> <p>Managing Intellectual Property Guidelines 2012</p> <p>Acceptable Use of Computing and Communication Equipment and Services Policy 2011 (no longer a policy)</p> <p>Information Systems and Services Policy 2010 (no longer a policy)</p>	<p>The Security Policy sets out the responsibilities and requirements to safeguard all information, personnel and physical assets in the care of the organisation.</p> <p>The Security Manual contains the guidelines that employees need to help them comply with those security standards and processes set in place by the organisation.</p> <p>The Managing Intellectual Property guidelines outline how the organisation intends to manage intellectual property and in particular whether or not IP outputs of contracts should be commercialised, and if so, by whom, and on what terms and conditions.</p> <p>The acceptable use of computing policy sets out expectations of staff around the use of technology.</p>



POLICIES AND ASSOCIATED GUIDANCE	PURPOSE
Privacy Management Policy 2016	The Privacy Management Policy is designed to set out the organisation's responsibilities for managing information in accordance with the Privacy Act and to set out how the organisation manages any inquiries or investigation by the Privacy Commissioner.



Table 2: Policies and MOUs regarding security of private information

Name of policy	Comment
MOUs between MAF and NZ Customs Service (various 2003 to 2012)	Various MOUs that include coverage of elements of information sharing and security between the two agencies.
Memorandum of understanding between MAF and NZ Police 1999	The purpose of this MOU was to establish and promote a collaborative working relationship between the two parties. It remained in force until 2010.
Memorandum of understanding between MPI and NZ Police June 2017	The purpose of this memorandum is to enhance cooperation and coordination between the parties.
MAF Handling of Classified Documents April 2007	Sets out the rules and requirements around handling classified documents. Was replaced in May 2014 with the MPI Information Security Policy.
MAF Information Management April 2007	Sets out the framework for information management within legacy MAF. New MPI Information Management policy created in 2015.
MAF Business Operational Policy – Use of Human Sources and Other External Parties for intelligence information July 2008	This covered legacy MAF principles and protocols for the use of external parties for intelligence information, including the terms of the authorisation and peer review processes, collection of information, information management, conduct, payments, review and oversight.
MAF Security Policy September 2011	This policy sets out key principles and requirements for safeguarding people, physical and information assets in the care of MAF. Has been replaced by the MPI Security Policy
MPI Information Security Manual May 2012	This was a resource for staff, contractors and service providers with guidance on safeguarding people, physical and information assets. It was replaced by the Security Manual.
Guide to the Use and Disclosure of Information May 2016	This was a guide created by the MPI Legal Services team on the use and disclosure of data and information held by MPI.
MPI Standard Operating Procedures – Release of Police Information to MPI (August 2013) and ITOC staff contacting the MPI National Communications Centre (November 2013)	These set out procedures for releasing information to MPI Communications Centre staff, MPI Intelligence and Targeting staff, and MPI Compliance officers.
MPI Standard Operating Procedure for MPI Liaison to the National Command and Coordination Centre August 2017	Sets out processes for making requests for information to and from MPI and NZ Police. Developed following the signing of the new MOU.
MFish/MPI Compliance Communication Centre Usage Policy 2009 and 2013	This provided instructions for officers in the field about how to use the MFish/MPI Compliance Communications Centre for officer health and safety, operations and reporting purposes.
New Zealand Food Safety Authority policy – Information Security and Handling 2008	Sets out the processes for managing classified and sensitive information in the legacy NZFSA. Superseded when NZFSA merged with MAF in July 2010.



Name of policy	Comment
New Zealand Food Safety Authority policy – Personal Information August 2009	This policy sets out legacy NZFSA requirements for managing personal information. Superseded when NZFSA merged with MAF in July 2010.
Memorandum of understanding between NZ Food Safety Authority and NZ Police September 2009	This MOU provided a framework for the relationship between the parties, how they will work together and share information. Superseded when NZFSA merged with MAF in July 2010.
MFish Information Management Policy April 1999	This policy sets out MFish approach to managing information. It was superseded by MPI Information Management policies when MAF and MFish merged in 2011.
Memo on principles of sharing information with NZ Police August 2010	Contains details of MFish and NZ Police practices on information sharing and security