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| Victorian Alcohol and Drug Collection (VADC)Compilation and Submission Specification2019-20 |
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Department of Health

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| **VADC Compilation and Submission Specification - Version Control** |
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| To receive this publication in an accessible format email vadc\_data@dhhs.vic.gov.auAuthorised and published by the Victorian Government, 1 Treasury Place, Melbourne.© State of Victoria, Department of Health and Human Services, June 2019Where the term ‘Aboriginal’ is used it refers to both Aboriginal and Torres Strait Islander people. Indigenous is retained when it is part of the title of a report, program or quotation.Available at [VADc web page](https://www2.health.vic.gov.au/alcohol-and-drugs/funding-and-reporting-aod-services/data-collection) <https://www2.health.vic.gov.au/alcohol-and-drugs/funding-and-reporting-aod-services/data-collection> |
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| **2019.01.01.01** | 03 June 2019 | **Document release changes*** 3 Change to business rules for reporting periods
* 4.2 New File component Entity identifiers (optional for 2019-20)
* 5.5 Scenarios moved to Appendix 10
* 7 File validation - validations moved from XSD to the VADC processing routine
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Contents

[1 Introduction 7](#_Toc10632112)

[1.1 Background 7](#_Toc10632113)

[1.2 Purpose 7](#_Toc10632114)

[1.3 Audience 7](#_Toc10632115)

[1.4 Scope 8](#_Toc10632116)

[1.5 History and development 8](#_Toc10632117)

[1.6 Data release and confidentiality 8](#_Toc10632118)

[1.7 Document history 9](#_Toc10632119)

[1.8 Contact information 9](#_Toc10632120)

[2 Data concepts 10](#_Toc10632121)

[2.1 Reporting periods 10](#_Toc10632122)

[2.2 File naming 10](#_Toc10632123)

[3 File structure 11](#_Toc10632124)

[3.1 File component: Submission instance 11](#_Toc10632125)

[3.2 File component: Entity Identifiers 13](#_Toc10632126)

[3.3 File component: Client 14](#_Toc10632127)

[3.4 File component: Service Event 15](#_Toc10632128)

[3.4.1 Contact 18](#_Toc10632129)

[3.4.2 Referral 19](#_Toc10632130)

[3.4.3 Outcome measure 20](#_Toc10632131)

[4 File compilation 22](#_Toc10632132)

[4.1 Outlets 22](#_Toc10632133)

[4.2 Reporting periods 23](#_Toc10632134)

[4.3 Action codes 23](#_Toc10632135)

[4.4 Data requirements 25](#_Toc10632136)

[4.5 Compilation scenarios 25](#_Toc10632137)

[5 File submission 26](#_Toc10632138)

[5.1 Submission rules 26](#_Toc10632139)

[5.1.1 Data submission timelines 26](#_Toc10632140)

[5.1.2 Penalties and exemptions 26](#_Toc10632141)

[5.1.3 Submission responsibility 27](#_Toc10632142)

[5.1.4 Submission criteria 27](#_Toc10632143)

[6 File validation 28](#_Toc10632144)

[7 Element mapping 31](#_Toc10632145)

[8 End of financial year reporting 35](#_Toc10632146)

[8.1 Test submissions for 1 July changes 35](#_Toc10632147)

[9 Appendix 36](#_Toc10632148)

# Introduction

## Background

The drug treatment service system within the State of Victoria provides a range of assessment, treatment and support services to adults and young people who have alcohol and/or drug use problems, and to their families and carers. The Victorian Government purchases these alcohol and drug treatment services from over 100 independent agencies on behalf of the community.

Public AOD treatment services funded by the Department of Health and Human Services (DHHS) are provided to eligible Victorians in community health services, and Victorian rural hospitals.

The Victorian Alcohol and Drug Collection (VADC) is used primarily to monitor service provider performance and to inform service planning and policy development.

This document should be read in association with the VADC Data Specification.

Service Providers are required to submit the VADC to the Department of Health and Human Services using the standards and guidelines which are set out in this document.

## Purpose

The purpose of the Victorian Alcohol and Drug Collection (VADC) Compilation and Submission Specification is to provide guidance on the expected file naming and format, file compilation, rules for submission, and definition of the validation process of data submissions for the Victorian Alcohol and Drug Collection to the Department of Health and Human Services.

## Audience

The intended audience for the Victorian Alcohol and Drug Collection (VADC) Compilation and Submission Specification includes:

* Department of Health and Human Services staff (data collection custodians and program managers) responsible for the development and management of data collections and associated documentation
* funded organisations who deliver public AOD services, and those staff that administer, validate and submit the VADC to the Department of Health and Human Services
* software vendors who develop and provide software solutions for the collection, storage and reporting of data

## Scope

The scope of the Victorian Alcohol and Drug Collection Compilation and Submission Specification is outlined below.

*In Scope*

* File naming
* File structure – including submission instance, client and Service Event data elements and sub-elements
* File compilation – multiple submissions
* File submission – submission rules, frequency
* File validation

*Out of Scope*

* Service provider file validation and extraction methods
* Managed File Transfer (MFT) portal details
* DHHS content validation methods
* Validation report content

## History and development

The Victorian Alcohol and Drug Collection (VADC) Data Specification was developed with input from a Project Reference Group (PRG) with membership from community health service providers both Metropolitan, and Rural, Australian Community Support Organisation (ACSO) and from peak governing body Victorian Alcohol and Drug Association (VAADA). The Compilation and Submission Specification was developed as a supporting document to the VADC Data Specification. Background information was gathered by a series of site visits and survey to obtain AOD service provider feedback with regards to format and submission capability. Internal DHHS stakeholders were also consulted with regards to existing toolsets and departmental capability.

## Data release and confidentiality

The principal user for all data elements specified in this data set is the Department of Health and Human Services.

All data collection and reporting requirements administered by the department are required to comply with the Information Privacy Act 2000 and the Health Records Act 2001, and to act compatibly with the Charter of Human Rights and Responsibilities Act 2006.

Elements of the State Alcohol and Drug Treatment Service Utilisation Data Collection are forwarded annually to the Australian Health and Welfare (AIHW) for inclusion in the Alcohol and Other Drugs National Minimum Dataset (AODS NMDS). Clients should be informed that some of the information provided will be sent to the Commonwealth government for planning and statistical purposes. This information is de-identified beforesubmission.

## Document history

This is the third published version of the document, since the redevelopment of the AODS data collection in 2017.

This version of the VADC Compilation and Submission Specification aligns with VADC Data Specification 2019.01.01.

## Contact information

For further information regarding the Alcohol and other Drug Collection, contact:

Department of Health and Human Services
50 Lonsdale Street, Melbourne, Victoria, 3000
vadc\_data@dhhs.vic.gov.au

# Data concepts

## Reporting periods

A Reporting Period is the fundamental division of data in the system. It indicates in which month activity happened. Each reporting period is a snapshot, a moment in time.

Each file must contain only data from a single reporting period. It is best practice and will avoid complex data problems if each Reporting Period is corrected and accepted before the subsequent Reporting Period is submitted.

Note: Each reporting period is an atomic data unit. This means that April’s data does not update March’s data. It is a snapshot in its own right.

It is important that a reporting period’s data can be corrected and resubmitted at any point in the future. History by reporting period should be stored in the source system.

## File naming

Files must be named according to the specified naming convention. If the convention is not followed, the automated processing system will not recognise the submission.

Table 1: Data Submission File names

| Filename | NNNNNNNNN\_MMYYYY.xml |
| --- | --- |
| Source | Code | Description |
| Outlet code | NNN | First component of Outlet code - 3 characters that distinguish Service Provider |
| NN | Second component of Outlet code – 2 characters that distinguish Service area |
| NNNN | Third component of Outlet code – 4 characters that distinguish service site |
| Reporting period | MM | Month of relevant reporting period |
| YYYY | Year of relevant reporting period |

Note: The date contained in the filename is for the relevant reporting period.

The file may only contain data from a single service provider and single reporting period (as denoted in the file name).

A file may include data for multiple outlets. Where one file includes submission for multiple outlets the file name can reference any of the outlet codes being submitted within the file.

Where an organisation is responsible for submitting data for more than one outlet, it is their choice whether to send one file per outlet (ie one submission instance), or one file per service provider (ie multiple submission instances).

# File structure

The VADC file structure is XML based and must be submitted according to the provided XML schema definition (XSD) file.

The VADC schema definition is available for download from the VADC data specification and supporting documentation webpage from the VADC website located here:

[VADC web page](%20https%3A/www2.health.vic.gov.au/alcohol-and-drugs/funding-and-reporting-aod-services/data-collection) <https://www2.health.vic.gov.au/alcohol-and-drugs/funding-and-reporting-aod-services/data-collection>

The file structure is made of a several key components. The following sections describe the structure of those components.

## File component: Submission instance

A submission instance is defined as the data for one outlet, for one reporting period. Each file is able to contain multiple submission instances where data is being submitted by a service provider or consortium lead that operates out of multiple outlets.

The data within each submission instance is uniquely identified by the outlet code and the reporting period. No two submission instances can exist within a file with the same outlet code. The reporting period of the submission instance(s) must match that in the filename.

**Each new reporting period requires a file submission, regardless of whether or not there is new reportable service activity within a reporting period.**

Where there is no reportable service activity nor open Service Events for a reporting period, the file will include submission instance header details only.

Records associated with open Service Events must be submitted even if there is no activity associated with the open Service Events during the reporting period.

Submission instances must contain:

* Client and Service Event records for Service Events that were open at the start of the reporting period or were opened during that reporting period.
	+ Note: Client and Service Event records must be submitted for Open Service Events regardless of whether or not there have been changes to the Client or Service Event records during the reporting period
	+ Note: This includes Service events which were opened and closed in the same reporting period
* Client and Service Event records for Service Events that have already been submitted for that reporting period but require updating
* Service Event and/or Client records that require Deletion.
	+ Note: This is an administrative action to remove data which should never have existed at all.

Figure 1 shows an overview of the XSD with root element and the first two levels of child elements.

Figure 1: XML schema, first three levels



The XML fragment below implements the XSD diagrammatically represented above.

Figure 2: Example XML fragment, first three levels

Note: The XML can be formed in one of two ways. Both are valid. The former is preferred, as it is easier to associate Clients with their Service Events when looking at the file (& is made possible by the <xs:choice maxOccurs="unbounded">).

**Format 1**

<submission>

 <submission\_instance>

 <reporting\_period>022017</reporting\_period>

 <outlet\_code>123010001</outlet\_code>

 <extract\_date>090320172359</extract\_date>

 <client>...</client>

 <service\_event>...</service\_event>

 <service\_event>...</service\_event>

 <client>...</client>

 <service\_event>...</service\_event>

 <service\_event>...</service\_event>

 </submission\_instance>

 <submission\_instance>…</submission\_instance>

 <submission\_instance>…</submission\_instance>

</submission>

**Format 2**

<submission>

 <submission\_instance>

 <reporting\_period>022017</reporting\_period>

 <outlet\_code>123010001</outlet\_code>

 <extract\_date>090320172359</extract\_date>

 <client>...</client>

 <client>...</client>

 <service\_event>...</service\_event>

 <service\_event>...</service\_event>

 <service\_event>...</service\_event>

 <service\_event>...</service\_event>

 </submission\_instance>

 <submission\_instance>…</submission\_instance>

 <submission\_instance>…</submission\_instance>

</submission>

Note, there can be multiple Service Event elements for a given client within a submission instance if the client receives more than one Service Event Type or Service Stream from the same Outlet during the reporting period.

## File component: Entity Identifiers

A new XML data item (tag) is being added to each of the child elements. This is the identity. Client and Service Event both have identifiers to uniquely identify them for an outlet. This is being extended to all entities. These new data items are fully optional for 2019-20: If they are not provided, the system will continue to function in 2019-2020 as it did in 2018-2019. Files which were accepted in the past, will not fail due to this change. However, in any file, either all these identity tags must be present, or all must be missing/null. The intention is that it will become mandatory in the 2020-2021 year onwards.

Now outlets have the facility to add a unique identifier to allow other entities, Dependant, Contact, Referral, Outcome Measure & Drug of Concern. In the feedback xls file, errors will be pinpointed, for example to the exact drug of concern, rather than one of the DoCs for one of the OMs for a Service Event.

Contact, Referral and Outcome Measure child records are cumulative within VADC file submissions. This means that once a Contact, Referral or Outcome Measure has been associated with a Service Event, it needs to be submitted with that Service Event Record in all subsequent Reporting Periods while that Service Event is open. The Service Event contains all cumulative child records, therefore will not just have the new child records that occur during those later reporting periods; this includes the Reporting Period when the end date is reported. Once the identities are mandatory, we will be able to verify this during validation.

## File component: Client

The Client element and associated child elements (from herein referred to as the *Client Record*) is used to submit data about a client and any dependants they may have. The record is a repeating set of elements for each client. Figure 3 shows the client element and all associated child elements within the XSD.

A Client Record should always be submitted where there has been Service Event activity regardless of whether the Client Record has changed since the previous submission.

The Dependant record and associated data elements do not have to be submitted if the client does not have any dependants.

Data within the Client Record should be an accurate reflection of the service’s understanding at time of the Service Event end date for closed Service Events or at the end of the Reporting Period for open Service Events.

Figure 3: Client record within the XSD



The XML fragment below implements the XSD diagrammatically represented above.

Figure 4: Example XML fragment, client record

<client>

 <action>I</action>

 <outlet\_client\_id>1234567890</outlet\_client\_id>

 <content>

 <acquired\_brain\_injury>2</acquired\_brain\_injury>

 <country\_of\_birth>1101</country\_of\_birth>

 <date\_first\_registered>03082012</date\_first\_registered>

 <date\_of\_birth>03111980</date\_of\_birth>

 <dob\_accuracy\_ind>AAA</dob\_accuracy\_ind>

 <gender\_identity>2</gender\_identity>

 <ihi>6532541258274532</ihi>

 <lgb\_flag>2</lgb\_flag>

 <locality\_name>Melbourne</locality\_name>

 <maltreatment\_code>1</maltreatment\_code>

 <maltreatment\_perpetrator>2</maltreatment\_perpetrator>

 <medicare\_number>56325412541</medicare\_number>

 <mental\_health\_diagnosis>1</mental\_health\_diagnosis>

 <need\_for\_interpreter>9</need\_for\_interpreter>

 <postcode>3015</postcode>

 <preferred\_language>1201</preferred\_language>

 <refugee\_status>1</refugee\_status>

 <sex\_at\_birth>2</sex\_at\_birth>

 <slk>AHGIJ031119802</slk>

<dependant>

 <outlet\_dependant\_id>1234567890</outlet\_dependant\_id>

<child\_protection\_order\_flag>3</child\_protection\_order\_flag>

<living\_with\_flag>9</living\_with\_flag>

<vulnerable\_flag>9</vulnerable\_flag>

<year\_of\_birth>1990</year\_of\_birth>

 </dependant>

 </content>

</client>

## File component: Service Event

The Service Event element and associated child elements (from herein referred to as the *Service Event Record*) is used to submit data about the Service Event and associated:

* Contacts
* Outcome measures (including drugs of concern)
* Referrals

The associated elements must be submitted in the context of a Service Event and cannot exist individually.

Service Event Records must be associated with a Client Record within a given submission instance.

The Contact, Referral and Outcome Measure child records, and associated data elements, of the Service Event element do not have to be submitted if no Contact, Referral or Outcome Measure records exists for the Service Event, respectively.

Multiple Contacts, Outcome Measures and Outgoing Referrals can be submitted within a given Service Event Record (only one Incoming Referral is permitted in the Data VADC Data Specification – see Section 5.7.2).

Contact, Referral and Outcome Measure child records are cumulative within VADC file submissions. This means that once a Contact, Referral or Outcome Measure has been associated with a Service Event, it needs to be submitted with that Service Event Record in all subsequent Reporting Periods. The Service Event will not just have the new child records that occur during those later reporting periods; this includes the Reporting Period when the end date is reported.

Individual Contact, Referral and Outcome Measure child records do not have to be in a specified order.

Figure 5 shows the Service Event element and all associated child elements (not expanded) within the XSD.

Figure 5: Service Event record within the XSD



The XML fragment below represents the XSD diagrammatically represented above.

Figure 6: Example XML fragment, Service Event record

<service\_event>

 <action>I</action>

 <outlet\_service\_event\_id>9876543210</outlet\_service\_event\_id>

 <content>

 <assessment\_completed\_date>12012017</assessment\_completed\_date>

 <course\_length>1</course\_length>

<did\_not\_attend>0</did\_not\_attend>

 <end\_date>15022017</end\_date>

 <end\_reason>11</end\_reason>

 <event\_type>4</event\_type>

 <forensic\_type>12</forensic\_type>

 <funding\_source>102</funding\_source>

 <indigenous\_status>3</indigenous\_status>

 <mascot\_score>2</mascot\_score>

 <outlet\_client\_id>1234567890</outlet\_client\_id>

 <percent\_course\_completed>4</percent\_course\_completed>

 <presenting\_drug\_concern>2101</presenting\_drug\_concern>

 <service\_delivery\_setting>1</service\_delivery\_setting>

 <service\_stream>60</service\_stream>

 <significant\_goal\_achieved>1</significant\_goal\_achieved>

 <start\_date>15012017</start\_date>

 <target\_population>3</target\_population>

 <tier>9</tier>

 <contact>

 …

 </contact>

 <referral>

 …

 </referral>

 <outcome\_measure>

 …

 </outcome\_measure>

 </content>

</service\_event>

### Contact

Figure 7 shows the expanded child Contact element within the XSD. Figure 8 shows the associated example XML fragment.

Contact child records and associated data elements do not have to be submitted if no Contacts exist for the Service Event.

Multiple Contacts can be submitted within a given Service Event record.

Contact child records are cumulative within VADC file submissions. This means that once a Contact has been associated with a Service Event, it needs to be submitted with that Service Event Record in all subsequent Reporting Periods, not just the child records that occurr during those reporting periods.

Figure 7: Child contact element within the Service Event record within the XSD



Figure 8: Example XML fragment, child contact element within the Service Event record

<contact>

 <outlet\_contact\_id>1234567890</outlet\_contact\_id>

<contact\_date>160220170930</contact\_date>

 <contact\_duration>30</contact\_duration>

 <contact\_method>1</contact\_method>

 <contact\_type>9</contact\_type>

 <number\_facilitators\_present>2</number\_facilitators\_present>

 <number\_service\_recipients>10</number\_service\_recipients>

 <relationship\_to\_client>7</relationship\_to\_client>

</contact>

### Referral

Figure 9 shows the expanded child referral element within the XSD. Figure 10 shows the associated example XML fragment.

Referral child records and associated data elements do not have to be submitted if no Referrals exist for the Service Event.

Multiple outgoing Referrals (but only one Incoming Referral) can be submitted within a given Service Event record.

Referral child records are cumulative within VADC file submissions. This means that once a Referral has been associated with a Service Event, it needs to be submitted with that Service Event Record in all subsequent Reporting Periods, not just the child records that occurr during those reporting periods.

Figure 9: Child referral element within the Service Event record within the XSD



Figure 10: Example XML fragment, child referral element within the Service Event record

<referral>

 <outlet\_referral\_id>1234567890</outlet\_referral\_id>

 <acso\_identifier>5325415</acso\_identifier>

 <direction>2</direction>

 <referral\_date>23012017</referral\_date>

 <referral\_service\_type>20</referral\_service\_type>

 <referral\_provider\_type>4</referral\_provider\_type>

</referral>

### Outcome measure

Figure 11 shows the expanded child referral element within the XSD. Figure 12 shows the associated example XML fragment.

Outcome Measure child records and associated data elements do not have to be submitted if no Outcomes exist for the Service Event at the time of submission.

If an Outcome Measure record is submitted, a Drug of Concern child record and associated data elements must be submitted.

Multiple Outcome Measures can be submitted within a given Service Event record.

Outcome Measure child records are cumulative within VADC file submissions. This means that once an Outcome Measure has been associated with a Service Event, it needs to be submitted with that Service Event Record in all subsequent Reporting Periods, not just the child records that occurr during those reporting periods.

Figure 11: Child outcome measure element within the Service Event record within the XSD



Figure 12: Example XML fragment, child outcome measures element within the Service Event record

<outcome\_measure>

 <outlet\_outcome\_measure\_id>1234567890</outlet\_outcome\_measure\_id>

 <accommodation\_type>12</accommodation\_type>

 <arrested\_last\_four\_weeks>2</arrested\_last\_four\_weeks>

 <audit\_score>5</audit\_score>

 <client\_review\_date>23012017</client\_review\_date>

 <days\_injected\_last\_four\_weeks>5</days\_injected\_last\_four\_weeks>

 <dudit\_score>5</dudit\_score>

 <employment\_status>5</employment\_status>

 <k10\_score>25</k10\_score>

 <physical\_health>0</physical\_health>

 <psychological\_health>0</psychological\_health>

 <quality\_of\_life>0</quality\_of\_life>

 <risk\_to\_others>3</risk\_to\_others>

 <risk\_to\_self>1</risk\_to\_self>

 <unemployed\_not\_training>1</unemployed\_not\_training>

 <violent\_last\_four\_weeks>2</violent\_last\_four\_weeks>

 <drug\_of\_concern>

 <outlet\_drug\_of\_concern\_id>12345678</outlet\_drug\_of\_concern\_id>

 <date\_last\_use>02012017</date\_last\_use>

 <drug\_name>2101</drug\_name>

 <frequency\_30\_day>9</frequency\_30\_day>

 <method\_of\_use>1</method\_of\_use>

 <principal\_concern>9</principal\_concern>

 <volume>1</volume>

 <volume\_units>9</volume\_units>

 </drug\_of\_concern>

</outcome\_measure>

# File compilation

A submission file is able to contain multiple submission instances that are uniquely defined by an outlet code and a reporting period. This allows data from multiple outlets to be submitted in a single file where the file is being submitted by a service provider or consortium lead.

## Outlets

Multiple outlets are handled through the use of additional submission instances within a file with differing outlet codes provided the first three digits of the outlet are the same (service provider is the same).

The XML code fragment below shows an example of submission instances for two outlets within a single file.

Figure 13: Example XML fragment, multiple outlets within a single file

<submission>

<!--submission instance for outlet 123010001 for current period-->

 <submission\_instance>

 <reporting\_period>022017</reporting\_period>

 <outlet\_code>123010001</outlet\_code>

 <extract\_date>090320172359</extract\_date>

 <client>...</client>

 <service\_event>...</service\_event>

 </submission\_instance>

<!--submission instance for outlet 123010002 for current period-->

 <submission\_instance>

 <reporting\_period>022017</reporting\_period>

 <outlet\_code>123010002</outlet\_code>

 <extract\_date>090320172359</extract\_date>

 <client>...</client>

 <service\_event>...</service\_event>

 </submission\_instance>

</submission>

## Reporting periods

Unlike multiple outlet IDs within a single file submission, multiple reporting periods cannot be submitted through the use of multiple submission instances in the same file. A separate file is required for reporting separate reporting periods. Refer to [2.1 Reporting periods](#_Reporting_periods)

## Action codes

An ‘Action’ element exists against each Client record and Service Event record. It is used to indicate:

* A Service Event and associated Client record is being submitted for the first or subsequent time for that Reporting Period.
* A Service Event &/or Client which has been previously submitted for that Reporting Period is being Deleted.

There are three permissible Action codes.

Table 2: Technical XSD element mapping

|  |  |  |
| --- | --- | --- |
| Action Code | Meaning | Usage |
| I | Insert | The standard Action code to be used. Should be used for:* any Service Event and associated Client activity when submitted for the first time for that reporting period
* to amend Service Event and Client Records associated with data that has been submitted & accepted/rejected already for that reporting period.
 |
| U | Update | .Used to indicate an amendment is being made to a Service Event and/or associated Client record for a closed Service Event that was submitted in a previous reporting period. For data processing and validation, this is treated as an Insert Action. |
| D | Delete | Where a Service Event and/or associated Client record has been submitted in error and needs to be deleted. This code is not to be used for corrections where there is an intention to resubmit the record. In that scenario, the Update or Insert Action codes should be used instead. The exception for this is where data has been submitted for the wrong Client/Service Event/Reporting Period. This would need to be deleted and then subsequently inserted (using separate files). |

The Insert Action code will always be used for Service Events and associated Client records reported for the current reporting period, whether it is a first advice or a correction. The U action is optional & may be retired in a future version.

The Delete Action can be used for either open or closed Service Events and/or associated Client records.

Figure 23 in Appendix 10, shows that the Action element together with the reporting period and either the Outlet Client Identifier or Outlet Service Event identifier allows a record to be uniquely identified and specifies the processing action to take. Note that when you specify a Delete action, only the Client/Service Event record associated with the Action for that reporting period will be Deleted. All data submitted is Reporting Period specific, so only those periods where the data needs to be changed need resubmission.

Figure 14: Action code



## Data requirements

The data that must be provided for the Client record and Service Event record differs depending on the Action code specified.

Table 3: Action code Dependant data requirements

|  |  |
| --- | --- |
| Action code | Data Required |
| Insert (and Update) | Full recordThe full Client and Service Event record must be submitted. This includes all child elements under the content element.Details must be an accurate reflection of the service’s understanding at time of Service Event End Date for closed Service Events or at the end of the reporting period for open Service Events. |
| Delete | Record headerOnly information needed to identify the record to be deleted is required. That is the Action code, and either the Outlet Client Identifier or Outlet Service Event Identifier are required. The content element and all child elements are not required.See Section 5.5.2.3 for more information regarding the Delete Action |

## Compilation scenarios

The appendix has scenarios indicating the data submission requirements under different circumstances.

# File submission

## Submission rules

Data is required to be compiled into the specified XML format and submitted via the Managed File Transfer (MFT) portal.

DHHS will advise reporting Service Providers of alternate submission arrangements if requirements change.

### Data submission timelines

Service Providers will submit data to the VADC according to the following timelines:

* Submissions to the Department of Health and Human Services must be made monthly.
* The deadline for submission is the 15th of the month following the reporting period
* Where the 15th of the month falls on a weekend or public holiday, the deadline does not change, but service providers must ensure submissions are loaded via Managed File Transfer (MFT) on the business day prior to the deadline
* The reporting period runs from the first day of the month to the last day of the month.
* Resubmission of data for the same Reporting Period can be made to address critical errors which caused failed submission. However, the Extract Date must clearly identify the most recent extract.
* Further it is strongly recommended that a reporting period be completely corrected before sending the next, where possible.
* It is suggested that where multiple reporting periods are ready to be submitted, that they are submitted chronologically one at a time, & each is notified as accepted before the next reporting period is submitted. (A single exception to this is noted later)

### Penalties and exemptions

Where Service Providers are non-compliant with the timelines, the department may apply penalties as detailed in the Victorian Health Policy and Funding Guidelines at: https://www2.health.vic.gov.au/about/policy-and-funding-guidelines

Data that is flagged as unfit for reporting and analysis will be regarded as non-compliant.

If difficulties are anticipated in meeting the monthly timelines, the service provider must contact the relevant departmental regional Program Advisor indicating:

* the nature of the difficulties,
* remedial actions being taken, and
* the expected transmission schedule.

Program Advisors will subsequently advise the Service Provider regarding whether an extension to the reporting deadline is granted.

Extensions and exemptions will only be considered for circumstances beyond the control of the service provider. Software problems are, of themselves, insufficient justification for late submission of data. Service Providers are expected to have arrangements in place with their software vendor to ensure that statutory reporting requirements are met.

Requests for extension and exemption will only be considered if received prior to the relevant deadline.

Non-compliance penalties are assessed after the June Reporting period submission deadline taking into account the Service Provider’s submission performance for the financial year.

### Submission responsibility

It is the Service Providers responsibility to ensure that data submitted to the department is a true and accurate representation of actual service activity conducted. Where data is corrected in a data submission following validation errors, it is expected that Service Providers also update the system/s that maintains and manages this data.

It is recommended that where there is a single centralised Client Management System (CMS) used across a Consortium, that a single consolidated data submission from the Consortium which represents the data from all their member outlets, is submitted via the lead service provider (agency).

Where this is not the case, each outlet will need to compile and submit its own file to the Consortia lead for submissions to the department.

### Submission criteria

Data submitted for the relevant reporting period should only contain reportable service activity including;

* When one or more elements within a Service Event record remains open, or is added or modified including any of its child elements, during the reporting period e.g. creation of an entirely new Service Event or a small update such as the addition of a contact to a Service Event
* Whenever a Service Event record is submitted due to reportable service activity, the associated client record should also be submitted
* When data that has been submitted previously in error or requires amendment, then amendments can be submitted in the current reporting period
* Where there is no open or closed Service Events for a Reporting Period, the XML will include submission instance header details only.

# File validation

Files will be validated using a three-step validation approach and also diagrammatically represented in Figure 15. Acquisition Flow.

**First step:** Service Providers should validate their data prior to submission to reduce the number of submissions and associated administrative overheads that they potentially will incur. Service Providers can use manual or automated methods, to ensure that data prior to extraction is consistent with actual service activity and meets defined business rules.

Of importance is the accuracy of the data elements used to generate the Statistical Linkage Key (SLK), and associated SLK’s. These must be accurate to ensure that the department can reliably use these SLK’s to uniquely count client records.

As a minimum it is also recommended to validate the following data elements including:

For COT (Course of Treatment) or EOC (Episode of Care) funded activity:

* Forensic type
* Funding source
* Service stream
* Start and End dates
* Significant goal achieved

For DTAU (Drug Treatment Activity Unit) funded activity:

* Forensic type
* Indigenous status
* Service stream
* Funding source
* Course length
* Target population
* Start and End dates

**Second step:** File structure will be validated against the XSD on submission via the Manged File Transfer (MFT)portal.

Submitted files that fail validation against the XSD will be rejected and not processed further, and the Service Provider notified.

It is expected that Service Providers will need an XML validator program, to validate their XML file structure. Service Providers can use a variety of XML editors, including Open source XML Notepad, to correct basic XML tag errors.

Any files rejected due to a structural validation failure will be required to be resubmitted in full.

The Service Provider will be notified upon successful re-submission.

Note that from 2019-20 many of the business rules previously enforced in the XSD have been moved to validations in the VADC processing routine.

**Third step:** The submitted files content will then be validated by the Department of Health and Human Services via a series of edit/validation rule checks. (See Section 6. VADC Data Specification). These edit/validation rules can have two distinct statuses of Error or Warning. A validity report will be sent to the Service Provider, with the number and status of the content validation errors for actioning appropriately.

In Table 4 below, the statuses are described along with the potential problem and service provider action that is required:

Table 4: Content validation status

|  |  |  |
| --- | --- | --- |
| Status | Problem | Action |
| Error | Data item/s in the record did not meet the criteria specified in the business rules, or are potentially inaccurate. They may impact data integrity and/or funding. | Service provider determines the cause of the error, corrects it and resubmits the data item in the following month. This must be repeated until zero errors are achieved for each monthly data file. |
| Warning | Record was accepted but data item/s in the record was questionable. These are warnings to take note of something, not considered as errors. | Service Provider checks that the data is valid. If necessary, the data is corrected and resubmitted in the next month’s submission. |

Figure 15: Acquisition Flow


# Element mapping

The tables below contain the mapping from XSD element to the corresponding data element as specified in the VADC Data Specification.

Note: outlet\_contact\_id, outlet\_dependant\_id, outlet\_referral\_id, outlet\_outcome\_measure\_id, outlet\_drug\_of\_concern\_id are new optional fields for 2019-2020.

Table 5: Client XSD element mapping

|  |
| --- |
| Client |
| XML Element Name | Data Element Name |
| acquired\_brain\_injury | Client – acquired brain injury |
| country\_of\_birth | Client – country of birth |
| date\_first\_registered | Client – date first registered |
| date\_of\_birth | Client – date of birth |
| dob\_accuracy\_ind | Client – date of birth accuracy |
| child\_protection\_order\_flag | Client – Dependant child protection order flag |
| living\_with\_flag | Client – Dependant living with flag |
| vulnerable\_flag | Client – Dependant vulnerable flag |
| year\_of\_birth | Client – Dependant year of birth |
| gender\_identity | Client – gender identity |
| ihi | Client – individual health identifier |
| lgb\_flag | Client – LGB flag |
| locality\_name | Client – locality name |
| maltreatment\_code | Client—maltreatment code |
| maltreatment\_perpetrator | Client—maltreatment perpetrator |
| medicare\_number | Client – Medicare card number |
| mental\_health\_diagnosis | Client – mental health diagnosis |
| need\_for\_interpreter | Client – need for interpreter services |
| outlet\_client\_id | Outlet – outlet client identifier |
| postcode | Client – postcode |
| preferred\_language | Client – preferred language |
| refugee\_status | Client – refugee status |
| sex\_at\_birth | Client – sex at birth |
| slk | Client – statistical linkage key 581 |

Table 6: Contact XSD element mapping

|  |
| --- |
| Contact |
| XML Element Name | Data Element Name |
| contact\_date | Contact – contact date |
| contact\_duration | Contact – contact duration |
| contact\_method | Contact – contact method |
| contact\_type | Contact – contact type |
| number\_facilitators\_present | Contact – number facilitators present |
| number\_service\_recipients | Contact – number service recipients |
| outlet\_contact\_id (optional in 2019-2020) | Contact – outlet contact identifier |
| relationship\_to\_client | Contact – relationship to client |

Table 7: Drug Concern XSD element mapping

|  |
| --- |
| Drug Concern |
| XML Element Name | Data Element Name |
| date\_last\_use | Drug Concern – date last use |
| drug\_name | Drug Concern – drug name |
| frequency\_30\_day | Drug Concern – frequency last 30 days |
| method\_of\_use | Drug Concern – method of use |
| outlet\_drug\_of\_concern\_id (optional in 2019-2020) | Drug Concern – outlet drug identifier |
| principal\_concern | Drug Concern – principal concern |
| volume | Drug Concern – volume |
| volume\_units | Drug Concern – volume units |

Table 8: Service Event XSD element mapping

|  |
| --- |
| Service Event |
| XML Element Name | Data Element Name |
| assessment\_completed\_date | Event – assessment completed date |
| course\_length | Event – course length |
| did\_not\_attend | Event – did not attend |
| end\_date | Event – end date |
| end\_reason | Event – end reason |
| event\_type | Event – event type |
| forensic\_type | Event – forensic type |
| funding\_source | Event – funding source |
| indigenous\_status | Event – indigenous status |
| mascot\_score | Event – MASCOT score |
| outlet\_client\_id | Outlet – outlet client identifier |
| outlet\_service\_event\_id | Outlet – outlet Service Event identifier |
| percent\_course\_completed | Event – percentage course completed |
| presenting\_drug\_concern | Event – presenting drug of concern |
| service\_delivery\_setting | Event – service delivery setting |
| service\_stream | Event – service stream |
| significant\_goal\_achieved | Event – significant goal achieved |
| start\_date | Event – start date |
| target\_population | Event – target population |
| tier | Event – TIER |

Table 9: Outcome measure XSD element mapping

|  |  |
| --- | --- |
| Outcome measure |  |
| XML Element Name | Data Element Name |
| accommodation\_type | Outcomes – accommodation type |
| arrested\_last\_four\_weeks | Outcomes – arrested last four weeks |
| audit\_score | Outcomes – AUDIT score |
| client\_review\_date | Outcomes – client review date |
| days\_injected\_last\_four\_weeks | Outcomes – days injected last four weeks |
| dudit\_score | Outcomes – DUDIT score |
| employment\_status | Outcomes – employment status |
| k10\_score | Outcomes – K10 score |
| outlet\_outcome\_measure\_id (optional in 2019-2020) | Outcomes – outlet outcome identifier |
| physical\_health | Outcomes – physical health |
| psychological\_health | Outcomes – psychological health |
| quality\_of\_life | Outcomes – quality of life |
| risk\_to\_others | Outcomes – risk to others |
| risk\_to\_self | Outcomes – risk to self |
| unemployed\_not\_training | Outcomes – unemployed not training |
| violent\_last\_four\_weeks | Outcomes –violent last four weeks |

Table 10: Outlet XSD element mapping

|  |
| --- |
| Outlet |
| XML Element Name | Data Element Name |
| outlet\_code | Outlet – outlet code |

Table 11: Referral XSD element mapping

|  |
| --- |
| Referral |
| XML Element Name | Data Element Name |
| acso\_identifier | Referral – ACSO identifier |
| direction | Referral – direction |
| outlet\_referral\_id (optional in 2019-2020) | Referral – outlet referral identifier |
| referral\_date | Referral – referral date |
| referral\_service\_type | Referral – referral service type |
| referral\_provider\_type | Referral – referral provider type |

Table 12: Technical XSD element mapping

|  |
| --- |
| Technical |
| XML Element Name | Data Element Name |
| Action | Technical - action |
| extract\_date | Technical – extract date |
| reporting\_period | Technical – reporting period |

NOTE: outlet\_contact\_id, outlet\_dependant\_id, outlet\_referral\_id, outlet\_outcome\_measure\_id, outlet\_drug\_of\_concern\_id are all new fields. They are optional, which means they do not need to appear in the XML file. However, consistency is required. They are either must all be used, or they must all be absent (or NULL).

They, like outlet\_client\_id and outlet\_service\_event\_id, must be unique and persist across an outlet. There is no verification of this in this year’s load, but it is expected to be present once these are manadatory fields.

# End of financial year reporting

As shown in the table below:

* Submissions with reporting periods prior to July 2019 must use 2018-19 format/values for all records
* For submissions where reporting period is July 2019 onwards, the service event end Date of the episode determines the format/values applicable
	+ - Service event end date prior to 1 July 2019 must use 2018-19 format/values in a separate XML file submission using the corresponding reporting period
		- Service event End Date 1 July 2019 or later must use 2019-20 format/values
		- For clients in an open service event on 30 June 2019 this may involve updating service event data previously reported in a June submission from 2018-19 to format/values to 2019-20 format/values

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Service Event Start Date | Service Event End Date | Service evend ID | Format / Values | Possible format / values |
| June submission |  |  |  |  |
| 01/06/2019 | 30/06/2019 | 0000055555 | 2018-19  | All records (2018-19 format) |
| 20/06/2019 | [null] | 0000066666 | 2018-19 |
| July submission |  |  |  | The Service event end date determines format/values |
| 25/06/2019 | 30/06/2019 | 0000077777 | 2018-19 | Closed service events prior to 1 July 2019 (2018-19 format) |
| 20/06/2019 | [null] | 0000066666 | 2019-20 | Remaining in or end dated from 1 July 2019 (2019-20 format) |
| 01/07/2019 | 10/07/2019 | 0000088888 | 2019-20 |
| 02/07/2019 | [null] | 0000033333 | 2019-20 |

## Test submissions for 1 July changes

Information regarding testing for 1 July changes will be published later in the VADC Bulletin.

Contact VADC\_data@dhhs.vic.gov.au to add your name to the Bulletin mailing list.

# Appendix

**Figure 16: Example XML where no open or closed Service Event or associated Client records are reported for March reporting period**

<submission>

<submission\_instance>

 <reporting\_period>032017</reporting\_period>

 <outlet\_code>123456789</outlet\_code>

 <extract\_date>140120182359</extract\_date>

 <!--No Client or Service Event data required if not activity for the Reporting period-->

</submission\_instance>

</submission>

See Section 5.5.3.2 for further use cases and XML code fragments regarding the Update Action.

#### Delete Action – Service Event record needs deletion from previous reporting period

A closed Service Event and associated Client record was submitted to the department for the February 2017 reporting period. In March 2017, it was discovered that the Service Event record was submitted in error and should not have been submitted.

Note, the Delete Action should primarily be used for Service Event records. Delete Actions for Client records can only be used when all Service Events associated with a Client are also being deleted.

The Delete action is the only scenario where the full Client/Service Event record is not required. The only information that should be included is that which allows the record to be identified. This is the reporting period and the outlet client identifier. None of the content client child elements are required.

Figure 17: Example element within the Service Event record



Figure 18: Example XML fragment, Service Event record deletion from previous period

*Example submission fragment*

<submission\_instance>

<reporting\_period>022017</reporting\_period>

<outlet\_code>123010001</outlet\_code>

<extract\_date>090520172359</extract\_date>

<service\_event>

 <action>D</action>

 <outlet\_service\_event\_id>1234567890</outlet\_service\_event\_id>

</service\_event>

</submission\_instance>

|  |
| --- |
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