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| Victorian Alcohol and Drug Collection (VADC)Compilation and Submission Specification2020-21 |
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Department of Health

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| Victorian Alcohol and Drug Collection (VADC)Compilation and Submission Specification2020-21 |
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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, April 2020 Where 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 http://go.vic.gov.au/awXeql |
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* Update section 5.1.2 Data submission compliance
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* Add section 5.1.4 CMS system migration
* Update section 6.1 File validation
* Add section 6.2 Service Event Statement
* Update section 8 End of financial year reporting
* Update section 9.1 No activity submission for reporting period
* Update section 9.2 Delete action
* Add section 9.3 Reporting period submission scenarios and VADC validations
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Contents

[1 Introduction 8](#_Toc38894268)

[1.1 Background 8](#_Toc38894269)

[1.2 Purpose 8](#_Toc38894270)

[1.3 Audience 8](#_Toc38894271)

[1.4 Scope 8](#_Toc38894272)

[1.5 History and development 9](#_Toc38894273)

[1.6 Data release and confidentiality 9](#_Toc38894274)

[1.7 Document history 9](#_Toc38894275)

[1.8 Contact information 9](#_Toc38894276)

[2 Data concepts 10](#_Toc38894277)

[2.1 Reporting periods 10](#_Toc38894278)

[2.2 File naming 10](#_Toc38894279)

[3 File structure 11](#_Toc38894280)

[3.1 File component: Submission instance 11](#_Toc38894281)

[3.2 File component: Entity Identifiers 13](#_Toc38894282)

[3.3 File component: Client 14](#_Toc38894283)

[3.4 File component: Service Event 15](#_Toc38894284)

[3.4.1 Contact 18](#_Toc38894285)

[3.4.2 Referral 19](#_Toc38894286)

[3.4.3 Outcome measure 20](#_Toc38894287)

[4 File compilation 22](#_Toc38894288)

[4.1 Outlets 22](#_Toc38894289)

[4.2 Reporting periods 22](#_Toc38894290)

[4.3 Action codes 22](#_Toc38894291)

[4.4 Data requirements 24](#_Toc38894292)

[4.5 Client merges 24](#_Toc38894293)

[4.6 Deletions 24](#_Toc38894294)

[4.7 Implicit deletions 25](#_Toc38894295)

[4.8 Compilation scenarios 25](#_Toc38894296)

[4.9 Incorrect submissions 25](#_Toc38894297)

[5 File submission 26](#_Toc38894298)

[5.1 Submission rules 26](#_Toc38894299)

[5.1.1 Data submission timelines 26](#_Toc38894300)

[5.1.2 Data submission compliance 26](#_Toc38894301)

[5.1.3 Aggregate reporting 26](#_Toc38894302)

[5.1.4 CMS system migration 27](#_Toc38894303)

[5.1.5 Submission responsibility 27](#_Toc38894304)

[5.1.6 Submission criteria 27](#_Toc38894305)

[6 File validation and data reconciliation 28](#_Toc38894306)

[6.1 File validation 28](#_Toc38894307)

[6.2 Service Event Statement 29](#_Toc38894308)

[7 Element mapping 31](#_Toc38894309)

[8 End of financial year reporting 35](#_Toc38894310)

[8.1 Format 35](#_Toc38894311)

[8.2 Test submissions for 1 July changes 35](#_Toc38894312)

[9 Appendix 36](#_Toc38894313)

[9.1 No activity submission for reporting period 36](#_Toc38894314)

[9.2 Delete Action - service event record needs deletion from previous reporting period 36](#_Toc38894315)

[9.3 Reporting period submission scenarios and VADC validations 37](#_Toc38894316)

[9.3.1 VADC01 Delete has no corresponding prior entry for reporting period 37](#_Toc38894317)

[9.3.2 VADC02 Outlet is missing open service event from previous reporting period 37](#_Toc38894318)

[9.3.3 VADC03 Client is missing open service event from previous reporting period 37](#_Toc38894319)

[9.3.4 VADC04 Service event was already closed in an earlier reporting period 38](#_Toc38894320)

[9.3.5 VADC05 Service event is closing but is still open in a later reporting period 38](#_Toc38894321)

[9.3.6 VADC06 'Unclosed' service event will need to be reported in all later reporting periods until its new end date 38](#_Toc38894322)

[9.3.7 VADC07 Service event ID not unique 39](#_Toc38894323)

[9.3.8 VADC08 SLK not unique 39](#_Toc38894324)

# 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 and any VADC Bulletins published on the VADC website <http://go.vic.gov.au/awXeql>

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 before submission.

## Document history

This document applies to the 2020-21 financial year.

## Contact information

For further information regarding the Victorian Alcohol and 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 must 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 contains 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 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. Refer to Section 9.1 in Appendix for submission example.

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 events 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 there have been changes to the client or service event records during the reporting period. 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 below shows an overview of the XSD with root element and the first two levels of child elements.

Figure 1: Example XML fragment



The XML fragment below implements the XSD diagrammatically represented above.

Figure 2: Example XML fragment

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 (and is made possible by the <xs:choice maxOccurs="unbounded">).

**Format A**

<submission>

 <submission\_instance>

 <reporting\_period>022020</reporting\_period>

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

 <extract\_date>090320201230</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 B**

<submission>

 <submission\_instance>

 <reporting\_period>022020</reporting\_period>

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

 <extract\_date>090320201230</extract\_date>

 <client>...</client>

 <client>...</client>

 <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

Clients and service events both have identifiers to uniquely identify them for an outlet. This has been extended to all entities - Dependant, Contact, Referral, Outcome Measure and Drug of Concern. These additional entity identifiers are optional: if they are not provided, the system will continue to function. In any file, either all additional entity identifiers must be present, or all must be missing / NULL.

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.

## File component: Client

The Client element and associated child elements (from here 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 below 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 here 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. Refer to Section 5.7.2 in the Data VADC Data Specification).

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 below 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>12012020</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>15012020</start\_date>

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

 <tier>9</tier>

 <contact>

 …

 </contact>

 <referral>

 …

 </referral>

 <outcome\_measure>

 …

 </outcome\_measure>

 </content>

</service\_event>

### Contact

Figures below shows the expanded child Contact element within the XSD and 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 occur 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>160220200930</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

Figures below shows the expanded child referral element within the XSD and 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 occur 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

Figures shows the expanded child referral element within the XSD and 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 open service event at the time of submission, or if the event type is Presentation, Support and Review. Only Assessment and Treatment event types require the Outcome Measure group to be submitted upon closure of the event.

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 occur 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>23012020</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>02012020</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 can 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. A submission file must only contain data from a single service provider and single reporting period (as denoted in the file name).

## 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 (the same service provider).

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>022020</reporting\_period>

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

 <extract\_date>090320201230</extract\_date>

 <client>...</client>

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

 </submission\_instance>

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

 <submission\_instance>

 <reporting\_period>022020</reporting\_period>

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

 <extract\_date>090320201230</extract\_date>

 <client>...</client>

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

 </submission\_instance>

</submission>

## Reporting periods

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 and/or client which has been previously submitted for that reporting period is being deleted.

There are three permissible action codes.

Table 2: Action Codes

|  |  |  |
| --- | --- | --- |
| Action Code | Meaning | Usage |
| I | Insert | Used for any service event and associated client record when submitted for the first time for that reporting periodANDto amend previously submitted service event and client records for that reporting period. **Failing to resubmit all applicable service events for that client will result in implicit deletions of already accepted service events for that reporting period.**  |
| U | Update | Used for updating service event and/or associated client records for a service event that was submitted in a previous reporting period. **For VADC data processing and validation, Update action is treated as an Insert action (refer to above).**The Insert action code will always be used for service event and associated client records reported for the current reporting period, whether it is a first advice or a correction. The Update action is optional and may be retired in a future version.  |
| D | Delete | The Delete action can be used for either open or closed service events and/or associated client records, where record that has been submitted in error needs to be deleted. Note, 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).  |

Figure below 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 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 4.6 and 9.2 for more information regarding the Delete Action |

## Client merges

VADC does not have merge functionality. The following should be considered when merging clients in your CMS.

Retain the original client ID. Where it is not possible to retain the original client ID, and the new client ID has been submitted, *VADC07 Service event ID not unique* will trigger because previously accepted service event IDs exist in the VADC database against a different client ID.

To avoid triggering VADC07, determine which client ID you want to report all the service event activity for. Delete all records for the incorrectly submitted client ID and resubmit the merged activity under the primary client ID. Start deletions with the reporting period when the client first registered (refer to Section 5.1.3 Client-date first registered-DDMMYYYY, VADC Data Specification) and continue in sequence to most current.

**Note:** Refer to section 9.3.7 of this document for further information regarding VADC07.

## Deletions

**Table 4: Deletions**

**4a) To delete Client/s and all Service Events, submit:**

|  |  |
| --- | --- |
| **Action** | **Outcome**  |
| A full Client with content and action type D for a specific reporting period, OR | Client and all its dependent entities deleted |
| A heading-only Client with action type D for a specific reporting period | Client and all its dependent entities deleted |

**4b) To delete a single Service Event and NOT the Client, where Client has one Service Event, submit:**

|  |  |
| --- | --- |
| **Action** | **Outcome**  |
| A heading-only Service Event with action type D (without associated Client), OR | Service Event and all its dependent entities deleted |
| A full Client with content and action type I/U and a Service Event with content and action type D | Service Event and all its dependent entities deleted. Client record updated with any appropriate changes |

**4c) To delete a single Service Event and NOT the Client, where Client has multiple Service Events, submit:**

|  |  |
| --- | --- |
| **Action** | **Outcome**  |
| A heading-only Service Event with action type D (without associated Client), OR | Service Event and all its dependent entities deleted |
| A full Client with content and action type I/U and a Service Event with content and action type D Insert all other Service Events attached to the client wish to be retained | Service Event and all its dependent entities deleted. Client record updated with any appropriate changes |

## Implicit deletions

Where a submission instance for a reporting period contains Insert or Update actions, it must contain all service events that were previously submitted within that reporting period. If this extract requirement is not followed, service events will be implicitly deleted from the DHHS VADC database.

**Example:**

Client ID 999 with service event ID 001 and 002 submitted and accepted into the VADC database for 032020 reporting period. If client ID 999 is resubmitted with service event ID 001 only, the other service event with ID 002 will be implicitly deleted.

**Note:** Only service events can be implicitly deleted. Client records cannot be implicitly deleted.

## Compilation scenarios

Refer to Section 9 Appendix for scenarios indicating the data submission requirements under different circumstances.

## Incorrect submissions

Where an extract has been submitted for an incorrect outlet ID, notify VADC\_data@dhhs.vic.gov.au immediately, including the file name, date and approximate time the file was submitted, the outlet ID it was submitted against and the correct outlet ID it was intended for.

# File submission

## Submission rules

Data is required to be compiled into the specified XML format and submitted via the Managed File Transfer (MFT) portal. Refer to MFT User Guide, found here <https://www2.health.vic.gov.au/alcohol-and-drugs/funding-and-reporting-aod-services/reporting-for-aod-services/data-collection>.

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

### Data submission timelines

Service Providers must 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
* 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 the failed submission. However, the extract date within the xml file (DDMMYYYYHHMM) must clearly identify the most recent extract.
* It is strongly recommended that all errors are corrected before resubmission
* Unless specified otherwise, extracts must be submitted sequentially one at a time, ensuring all records are fully accepted and errors corrected before the next reporting period is submitted.

### Data submission compliance

Where service providers are non-compliant with the timelines, the department may apply penalties. 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 and the VADC data team indicating:

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

### Aggregate reporting

An aggregate submission of treatment activity will be required if a service provider is unable to meet client-level data reporting obligations. This may occur, for example, when an AOD service provider is not able to extract data due to an IT system failure. The purpose of the aggregate report is to ensure the department can continue to monitor performance against targets until client-level data reporting capabilities are restored. The information in the aggregate submission will also allow the department to meet its own reporting obligations.

Once issues have been resolved, service providers must submit client-level VADC data for the affected period/s, even though aggregate information has been provided.

### CMS system migration

Where a service provider is migrating from one Client Management System (CMS) to another provided by a different vendor, the service provider must:

1. Notify VADC\_data@dhhs.vic.gov.au of new CMS implementation timeframes, and to arrange VADC data submission testing to ensure system is VADC compliant.
2. Must ensure that client ID and service event IDs relating to previously submitted and currently active service events are migrated to the new CMS system. Service event IDs and Client IDs cannot be reused for different clients and service events, from the same outlet ID.

### Submission responsibility

It is the Service Provider’s 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 submission to the department.

### Submission criteria

**Each new reporting period requires a file submission, regardless of whether or not there is new reportable service activity within a reporting period.** Refer to Section 3.1 ‘File Component: Submission instance.

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.
* Where there is no open or closed Service Events for a Reporting Period, the XML will include submission instance header details only.

# File validation and data reconciliation

## File validation

Files will be validated using a three-step validation approach represented in **Acquisition Flow** figure below.

**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 within the Service Event Statement (SES) including:

For DTAU (Drug Treatment Activity Unit) funded activity:

* Start date
* End date
* Event Type
* Service stream
* Funding source
* Target population
* Indigenous status
* ACSO identifier
* Percentage course completed
* Course length
* Contact

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

* Start date
* End date
* Service stream
* Funding source
* ACSO identifier
* End reason
* Significant goal achieved
* Contact

**Second step:** File structure will be validated against the XSD on submission via the Managed 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 VADC CMS developers 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.

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

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

Table 5: 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 a resubmission of the file. 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 the data file is resubmitted |

## Service Event Statement

The monthly Service Event Statement (SES) lists all accepted service events and contacts on the VADC database as at the most recent reporting period and contains data for all outlets reporting under a Service Provider. This statement enables reconciliation of data back to the CMS figures and has been developed to assist with analysis of discrepancies between the VADC and the local CMS.

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.

Table 6: 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 7: 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  | Contact – outlet contact identifier |
| relationship\_to\_client | Contact – relationship to client |

Table 8: 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  | Drug Concern – outlet drug identifier |
| principal\_concern | Drug Concern – principal concern |
| volume | Drug Concern – volume |
| volume\_units | Drug Concern – volume units |

Table 9: 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 10: 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  | 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 11: Outlet XSD element mapping

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

Table 12: Referral XSD element mapping

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

Table 13: 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 optional fields. This 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 currently no verification of these elements

# End of financial year reporting

## Format

**The service event end date determines financial year format/values.** Submissions with reporting periods prior to July 2020 must use 2019-20 format/values for all records. For submissions where reporting period is July 2020 onwards, the service event end date of the episode determines the format/values applicable:

* + - Service event end date prior to 1 July 2020 must use 2019-20 format/values in a separate XML file submission using the corresponding reporting period
		- Service event End Date 1 July 2020 or later must use 2020-21 format/values
		- For clients in an open service event on 30 June 2020 this may involve updating service event data previously reported in a June submission from 2019-20 to format/values to 2020-21 format/values

Any exception to this general principle will be communicated via the VADC data team.

**Table 14: End of financial year reporting**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Service event start date | Service event end date | Service event ID | **Financial year format/ value** |  |
| 25/06/2020 | 30/06/2019 | 0000077777 | 2019-20 | Closed service events prior to 1 July 2020 (2019-20 format) |
| 20/06/2020 | [NULL] | 0000066666 | 2020-21  | Remaining in or end dated from 1 July 2020 (2020-21 format) |
| 01/07/2020 | 10/07/2019 | 0000088888 | 2020-21 |
| 02/07/2020 | [NULL] | 0000033333 | 2020-21 |

## Test submissions for 1 July changes

Information regarding testing for 1 July changes will be published in the VADC Bulletin. Contact VADC\_data@dhhs.vic.gov.au to add your name to the Bulletin mailing list.

# Appendix

## No activity submission for reporting period

**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>032020</reporting\_period>

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

 <extract\_date>140420201230</extract\_date>

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

</submission\_instance>

</submission>

## 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 2021 reporting period. In March 2021, 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, the outlet identifier, and the client/service event ID. None of the content child elements are required.

Figure 17: Example element within the Service Event record

<xs:element maxOccurs="unbounded" minOccurs="0" name="service\_event">

 <xs:complexType>

 <xs:sequence>

 <xs:element name="action" nillable="true"/>

 <xs:element name="outlet\_service\_event\_id" nillable="true"/>

 <xs:element minOccurs="0" name="content">

 </xs:sequence>

 </xs:complexType>

</xs:element>

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

<submission\_instance>

<reporting\_period>022021</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>

## Reporting period submission scenarios and VADC validations

VADC01-08 validations check the history to ensure all data is consecutive and there are no gaps in reporting for service events which span multiple months. (Note, only error free data will be accepted into the VADC database. Client and service event data with errors outstanding will not be accepted onto the VADC database. VADC validations will trigger based on what has previously been accepted onto the database.We strongly advise to check and correct all VADC validations in your feedback report, whether they are warnings or errors.

### VADC01 Delete has no corresponding prior entry for reporting period

VADC01 *error* checks for deletion of a record that does not exist on the VADC database.

**Scenario**

Deletion record (Delete action) has been submitted for Service event ID 999. VADC01 will trigger if Service Event ID 999 does not exist, or has not been previously accepted onto the VADC database

**Proposed scenario resolution**

If intended to delete a record, submit correct client ID or service event ID deletion record

OR

Ignore this validation if the deletion has been sent in error as it will not affect other accepted records.

### VADC02 Outlet is missing open service event from previous reporting period

VADC02 *warning* checks the database for the service events that have a start date in the previous reporting period.

**Scenario**

Service event ID 999 with 15022020 start date has beensubmitted into the VADC database for 032020 reporting period.

VADC02 checks the database for service event ID 999 and the corresponding start date in the 022020 reporting period. VADC02 will trigger if service event ID 999 is not in the VADC database in 022020 reporting period. VADC02 only checks the previous reporting period.

**Proposed scenario resolution**

Address all errors in the previous reporting period if/where the service event has not been previously accepted into the VADC database

OR

Submit the required service event ID for the previous reporting period if/where the service event is missing and then resubmit the service event ID for the current reporting period.

### VADC03 Client is missing open service event from previous reporting period

VADC03 *warning* checks for gaps in service events reporting from the service event start date.

VADC03 checks the start date of a service event submitted in the current reporting period and triggers for missing open service events for periods going back 12 months.

**Scenario**

Service event ID 999 with 15022019 start date has been accepted into the VADC database for 022019 and 032019 reporting periods. Service event ID 999 remains open but is missing from the 042019 reporting period onwards.

If the service event ID 999 is submitted for reporting period 062019 then VADC warnings for missing submissions in 042019 and 052019 will be generated. VADC03 will trigger for every reporting period that is missing that service event ID from the start date going back 12 months.

**Proposed scenario resolution**

Submit the missing open service event IDs consecutively for the relevant reporting periods.

### VADC04 Service event was already closed in an earlier reporting period

VADC04 *error* checks for closed service events that have been accepted into the VADC database.

**Scenario**

Service event ID 999 was closed in 032020 reporting period and was accepted into the VADC database. VADC04 triggers if the service event ID 999 has been submitted again in a future month.

**Proposed scenario resolution**

Submit service event ID 999 as an open event in 032020 reporting period and then submit the service event ID 999 in 042020 reporting period with the new end date.

### VADC05 Service event is closing but is still open in a later reporting period

VADC05 *error* triggers when a service event end date is reported in this submission, but there are later reporting periods where this service event is still open on the VADC database.

**Scenario**

Service event ID 999 submitted as open (end date is NULL) in 012020, 022020 and 032020 reporting period and was accepted into the VADC database. 012020 reporting period is resubmitted with Service event ID 999 and 15012020 end date. VADC05 will trigger advising service event ID 999 is still open in future reporting periods.

**Proposed scenario resolution**

Submit deletion records for service event ID 999 for 022020 and 032020 reporting periods.

AND

Resubmit the client and service event ID 999 with the 15012020 end date for 012020 reporting period, including all relevant events and as well as service event ID 999.

### VADC06 'Unclosed' service event will need to be reported in all later reporting periods until its new end date

VADC06 *warning* will trigger when a previously submitted and accepted into the VADC database closed service event ID with an end date (not NULL) has been resubmitted as open. For data integrity, files must be submitted sequentially.

**Scenario**

Service event ID 999 submitted as closed (end date is NOT NULL) in 032020 reporting period and accepted into the VADC database. This service event ID was then re-submitted as open (end date is NULL) in the 032020 reporting period and was accepted into the VADC database. VADC06 will trigger advising that the re-opened service event ID 999 has to be submitted in all reporting periods going forward until the event is closed.

**Proposed scenario resolution**

VADC06 is a once off warning, once the closed service event has been overwritten with an open one. It gets treated as an open service event going forward. Other timeline validations may apply. Service providers need to check a service event was re-opened correctly.Incorrect submission order may inadvertently cause this by submitting the closed SE before submitting the opening of the SE.

### VADC07 Service event ID not unique

VADC07 *error* checks the VADC database for duplicate service events. For data integrity, service event ID must be unique within an outlet and must not be reused.

**Scenario 1 – duplicate service event for merged client – same service event ID**

Same service event ID – different client ID – same service event data (start date, end date, event type, service stream etc.)

**Proposed scenario 1 resolution**

Review both service event IDs in the CMS. Ensure to confirm that service event is duplicate by checking start date, end date, service stream etc. Determine which client to keep in the CMS and report under to the VADC. Delete any other duplicate service event/s against a client ID that you want to delete. Resubmit new merged client ID and service event/s history, if this change needs to be reflected back in history.

**Scenario 2 – duplicate service event for different client – same service event ID**

Same service event ID – different client ID – different service event data (start date, end date, event type, service stream etc.)

**Proposed scenario 2 resolution**

Review duplicate service event IDs in the CMS and identify which one is incorrect. Regenerate a new service event ID and leave the existing service event as is, if it is valid.

### VADC08 SLK not unique

VADC08 *warning* checks for previously used SLKs generated by the CMS at the outlet level. Refer to VADC Data Specification, Section 5.1.23 Client-statistical linkage key 581 (SLK) for generating SLK.

SLK must be accurate to ensure the department can reliably use and uniquely count client records. Where a correction is made to a DOB, Sex at birth, or client’s first or last name, SLK must be updated for VADC data submissions.

**Scenario**

It is possible that two different clients can have the same SLK. This is acceptable and although unlikely. Such clients will be identified by their client ID. If a record triggers VADC08, service providers must check and confirm that submitted SLK is correct. If the client’s SLK is incorrect, that record should be corrected and resubmitted.

**Proposed resolution**

Review SLK. If correct, no further action required. If incorrect, resubmit data with new SLK.