Australian Government

Department of Social Services

The Data Exchange

Training Participant's Guide

NSW FACS – Targeted Earlier Intervention

Introduction and Priority requirements

18 February 2019

Contents

Introduction

The purpose of this document is to provide participants attending training on the Data Exchange further information, instructions and activities to increase and reinforce their understanding and knowledge of the Data Exchange.

The following topics will be covered in this participant's guide:

- What is the Data Exchange?
- How to get started
- Priority requirements data items
- Inputting data

Feedback and suggestions on how to improve this participant's guide is valued and can be sent to dssdataexchange.helpdesk@dss.gov.au.

How to use this participant's guide

This document is to be used in conjunction with the Data Exchange Protocols and Appendix B documents. These documents provide further information on the policy behind the Data Exchange along with a listing of the different data items that are required for reporting. Appendix B provides specific information on the program/s that an organisation delivers and we would recommend that this document be bookmarked or the relevant pages printed.

Further training material such as task cards and eLearning modules can be located on the Data Exchange website (http//dss.dex.gov.au) under the Training resources tab. Recorded webinars are located under the Webinar library tab.

Icons are used throughout this guide to indicate the following:

Facts and/or interesting bits of information on the Data Exchange

A question or activity to complete

An opportunity to discuss either with other participants or within your organisation

Review the resources available for this topic

Pop quiz – time to check your knowledge

Learning objectives

Note down what you would like to get out of today's session:

Where are you at?

1. Which website do you visit to find information about AUSkey?
   a. ATO
   b. DHS
   c. DSS
   d. ABR
   e. None of the above

2. What are the three (3) different upload methods for data in the Data Exchange?
   a. Bulk XML uploads
   b. Bulk Excel uploads
   c. System to system
   d. Manual entry through the Data Exchange portal
   e. Sending data to the department for entry

3. True or False. A session can be recorded outside of the reporting period it occurred in.
   a. True
   b. False

4. How many standardised reporting periods are there for the Data Exchange?
   a. 2
   b. 4
   c. 6
   d. 8

5. What information is **not** stored in the Data Exchange?
   a. Sessions
   b. Client phone number
   c. Cases
   d. Client information
   e. Client Notes

Principles of the Data Exchange?

The Data Exchange is a program performance reporting tool. It is an easy to use IT system that accommodates the sector's varying business processes regardless of a provider's size, type or delivery focus.

The Data Exchange was a project that began in October 2013. Extensive consultation with policy areas and service providers informed the design decisions to create a single, streamlined system focused on client outcomes.

The principles of the Data Exchange are:

1. Reduce ___________ _______________
2. Shift focus from _____________ to ____________
3. Enable ______________________ between organisation's and their funding agencies
4. Manage ___________________ by improving ____________ __________ and program policy

The benefits of the Data Exchange?

The Data Exchange information provides insights into service delivery, outcome achievements and answer policy and research questions across activities.

Data that your organisation provides is valued and it has many uses:

- **Informs** policy development.
- **Reports -** provides up to date data on what your organisation is delivering.
- **Supports** - what you are delivering on the ground.
- **Recovery planning** – data was used when Cyclone Debbie hit the northern Australian shores in 2017.
- **Client pathways** – provides insight as to where, when, and how many times clients are accessing services.
- **Government returns on investment and policy development** – demonstrates return on government spending and provides evidence of what your organisation is delivering, to whom and when. It also provides evidence as to the outcomes your clients are achieving by accessing your services.
- the data you provide is used to determine future funding or programs and also the instigation of new programs.

What benefit appeals most to you?

____

____

Is there a benefit you did not realise occurred?

____

____

Is there a benefit that you can think of that is not listed?

____

____

____

Data sets of the Data Exchange

There are two data sets in the Data Exchange:

1. Priority requirements data items, and the
2. Partnership approach

The Data Exchange seeks to tell the 'story' about grant programs by breaking them down into a number of linked 'chapters' by seeking to answer some key questions:

How much is being done? – in terms of the services and assistance available to individual, families, groups and communities targeted by the program.

These are the mandatory **priority requirements**. These items are discussed in more detail in the coming pages.

Priority requirements

A minimum data set that all organisation's **must** report regardless of the program delivered

Captured through:
- Clients
- Cases
- Sessions

How well is it being done? – particularly from the point of view of the individuals, and families who we are trying to assist.

Did we achieve what we expected? – in terms of resolving the issues for which clients sought assistance, helping clients achieve their individual and family goals and contributing to positive changes in client's circumstances.

Both of these parts of the story are reported using the **Standard Client Outcomes Reporting** data items – known as **SCORE.** This enriches the data collected via the Data Exchange by providing valuable context on client groups, local community profiles, etc.

These are the **partnership approach.**

Partnership approach

An extended data set that:

- Organisation's can **choose** to report

- Some programs are required to report these items

- Access to more reports

Captured through:

- SCORE (outcomes)

- Extended demographics

- Client needs and circumstances

- Referral information

1) The priority requirements data items are all optional.
   a) True
   b) False
2) SCORE stands for Standard Client _________________ Reporting

View the [Data Exchange 101 – Introduction webinar] for more information on the priority requirements data items.

Reporting periods

The Data Exchange has two, six monthly reporting periods per year.

1 January > 30 June
30 day close-off period – ends 30 July

1 July > 31 December
30 day close-off period – ends 30 January

There is also a ____ day closing period at the end of each reporting period for organisations to check and finalise their data, i.e. the 30th of January and the 30th July each year.

Organisations can enter their data for a reporting period at **any point in time** within that reporting period. Some organisations choose to enter their data every day, once a week, once a month, or even every 3 months. Organisations are encouraged to enter data regularly as reports are refreshed each night and can assist in monitoring targets.

Benefits of reporting regularly

Organisations who report data in the Data Exchange will have the following benefits:

- **streamlined reporting** arrangements by reducing the amount of reporting periods

Reporting

- **flexibility** in the ways data can be entered
- upload methods can be **changed** at any time

Upload methods

- the availability of **self-service reports** that reflect the operational service delivery and client information collected by an organisation

Reports

How often will / does your organisation upload data?

a) Daily
b) Weekly
c) Monthly
d) Every few months

If you selected c) Monthly or d) Every few months, can your organisation increase their upload times to be more regular?

____

What would be the benefit/s for your organisation and program of reporting regularly?

____

____

Privacy and Consent

Working with the people at your table or nearby, take 5 minutes to discuss how you would define privacy and consent.

Privacy is ____

____

____

Consent is ____

____

____

Consent requirements

Two consent questions must be asked in relation to the Data Exchange:

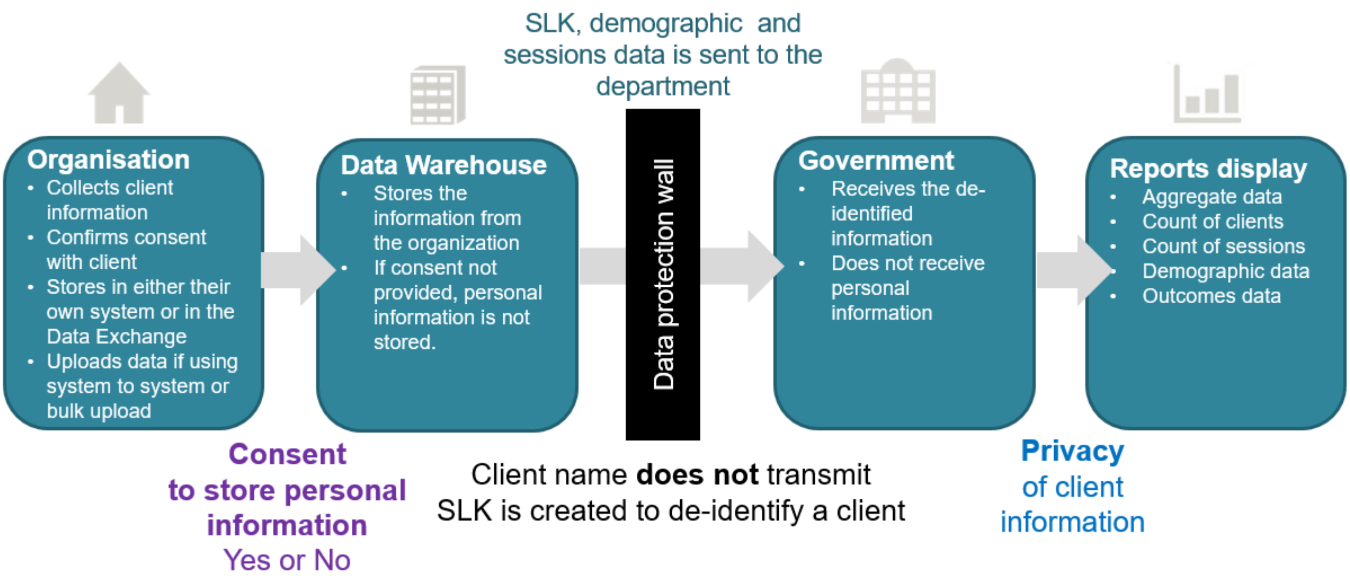
1. If the client wishes to have their personal information stored on the Data Exchange.
2. If the client is willing to participate in client research if required.

The client can provide or remove consent at any time.

If a client does not consent to have their personal information stored in the Data Exchange or they do not consent to participating in research, the organisation will still need to create the individual client record in the Data Exchange and then untick either one of those consent questions.

Take a look at the Information for clients on privacy fact sheet to assist you in explaining privacy and consent in relation to the Data Exchange to your clients.

How client data is protected



Getting started

There are a number of steps that an organisation should take to get started in the Data Exchange and reporting on time. The below is a process map and this will be discussed in further detail.

Acces Training Material

Data Exchange website:

- Quick Start Guide
- Task cards
- eLearning modules
- Protocols
- Appendix B

Apply for AUSkey

- Two types: Administrator and Standard
- Have at least two AUSkey holders in your organisation
- For more information – AUSkey Registration guide and **abr.gov.au**

Decide Upload Method

- System to system
  Bulk file upload
  Web-based portal
- Can change upload method at any time

Determine organisation / outlets / users

- The person who is going to be the DEX Organisation administrator needs to complete the user access request form
- Create outlet/s and attach relevant program activities
- Set up users and attach to outlet/s and program/s relevant to each user

Input Data

- Input regularly
- Check data quality regularly
- Data is available in reports the next day

Access training material

There is a wealth of training resources available on the Data Exchange website (https://dex.dss.gov.au/). Task cards, e-Learning modules and webinars provide you with information and step-by-step instructions on how to enter data, record SCORE outcomes for clients and use the reports.

We update our training resources regularly. Subscribe (https://dex.dss.gov.au/helpdesk/subscribe/) to the Data Exchange website to keep up to date with new or amended releases.

Apply for an AUSkey

Obtaining an AUSkey takes time, so we would recommend you do this as soon as possible if you have not already done so.

You will need to apply for a new AUSkey if you forget it or are 'locked out' after trying to access it.

AUSkey's come in two forms - Administrator and Standard.

Administrator AUSkey

An Administrator AUSkey is normally held by the chief financial officer for an organisation. It gives the ability to manage all AUSkeys linked to the ABN. An Administrator AUSkey can:

- update or cancel all AUSkeys
- register other Administrator or Standard AUSkey users
- approve requests for Standard AUSkeys
- obtain additional AUSkeys for yourself to use on other computers
- register a Device AUSkey for your business.

If you are the first person to be registered you will automatically be allocated an Administrator AUSkey.

Administrator AUSkey holders must be careful about how they set up their systems and organisations to ensure the client privacy is protected. Administrator AUSkey holders can create Standard AUSkeys for the rest of the organisation's users.

Standard AUSkey

Standard AUSkey holders (usually clinicians) are often required to input client level data on sessions, clients, etc.

With your Standard AUSkey you can:

- manage your own AUSkey
- obtain additional AUSkeys to use on other computers
- manage a Device AUSkey if you are the custodian

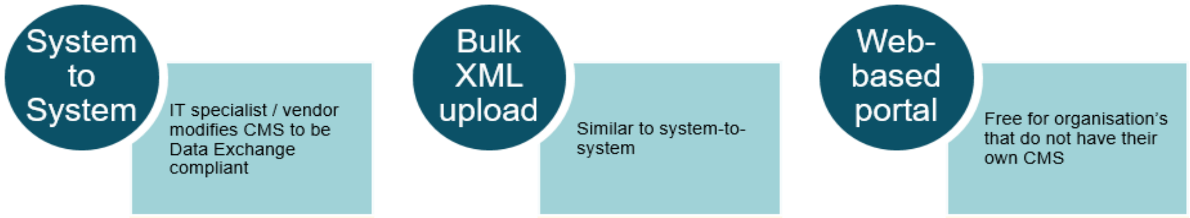
A Standard AUSkey holder can become the Data Exchange Organisation administrator.

Check out the AUSkeys and the Data Exchange task card for further information on AUSkeys.

Go to the abr.gov.au website, search for and bookmark the AUSkey Registration Guide.

Determine upload method

The Data Exchange allows organisation's to be flexible in how data is submitted. Data can be submitted in three different ways:



System-to-system

- You have and wish to continue using your own Client Management Software (CMS).
- Your IT vendor / specialist can modify the specifications of the software so that Data Exchange relevant fields are uploaded automatically to the Data Exchange at regular intervals (such as midnight each night).

Did you know that the Data Exchange is not a client management system (CMS)? That is why client notes or contact phone numbers are not to be recorded within it. These items are to be recorded in your organisation's own systems.

Bulk Upload

- Similar to system-to-system transfer.
- Your IT vendor / specialist creates a function where your organisation's Data Exchange Organisation Administrator manually bulk uploads your data.
- This means that the relevant fields to the Data Exchange are extracted from your software as an XML file, and then a user must upload that file to the web-based portal.

Web-based portal

- You can manually and directly enter and report your data.
- The web-based portal is a free tool for organisations that do not have their own client management software.
- Allows for recording client, service and outcomes data that meets all the data requirements for your program(s).
- Allows you and your staff manage your organisation's client information confidentially.

There is no preferred option. Your organisation should choose the method that best suits their business needs.

What upload method is your organisation going to / is using?

____

Do you think you will change your upload method in the future?

____

Check out the Web Services Technical Specifications or Bulk File Upload Technical Specification for more information on the requirements for using these types of upload methods.

Also available are a Frequently asked questions document for technical questions and a Bulk XML upload errors & explanation document. If your organisation is thinking about changing their upload method, check out the Upload methods task card for more information.

Set up organisation, outlets and users

User access request form

The User Access Request form only needs to be completed by the person in your organisation who is going to be the Data Exchange Organisation administrator. Once their access has been approved they can create and update the access for all other users in your organisation.

When completing the User Access Request form, organisations will need their grant or funding agreement ID.

Having user access to the Data Exchange does not mean you will have access to financial information for your organisation stored at the Australian Taxation Office (ATO). You need other types of access for this.

1. True or False. Everyone in the organisation needs to complete the User access request form if they need editor or view only access?

2. What is the approval time-frame once a User access request form has been submitted?
   a) 3 working days
   b) 5 working days
   c) 7 working days
   d) 10 working days

Set up outlets

Organisations will need their Data Exchange Organisation administrator to set up outlets before any client data can be entered.

- Under the Manage Organisation section on the Data Exchange web-based portal homepage:
  - The Data Exchange Organisation administrator is required to set up their organisation's outlets and then attach their funded program activities to the outlets that will be delivering those services.
  - This is also where organisations can opt into the partnership approach.
- Outlets
  - When an organisation submits their outlet requests, they are verified and then approved (Helpdesk endeavour to action all outlets requests within 5 working days if possible).
  - A copy of the approval email is sent to the relevant funding arrangement manager.
  - An outlet name or address must not contain sensitive information such as the address of a refuge.

Check out the Create and manage outlets task card for further information on outlets.

Set up users

Users have delegated authority from their Data Exchange Organisation administrator.

Users are associated with a particular outlet and program activity. This allows them to either add and edit or view information only on those outlets and program activities. A user will be able to see all clients recorded in the Data Exchange.

Data Exchange User roles

There are different user roles within the Data Exchange and these are dependent on the requirements within your organisation.

A Data Exchange Organisation administrator has access all areas in the Data Exchange. This means they can **view** and **create records**, and **manage user access** within your organisation.

The Data Exchange Organisation administrator is different to the AUSkey Organisation administrator.

An XML file is not the same as an Excel file.

Organisation administrator

As the highest level of access an Organisation administrator will automatically be granted full access to all outlets and program activities that the organisation has and delivers.

Providers using Bulk XML File Upload will require a Data Exchange Organisation administrator as they will be the ones that have access to the Upload file option in the Data Exchange.

It is recommended that your organisation has at least two (2) Data Exchange Organisation Administrators. This will assist if one goes on leave or is absent from your organisation for a period of time. A User access request form will need to be completed for each Data Exchange Organisation administrator. Approval time can take up to five (5) business days.

The following system roles can be created and managed by Organisation Administrators. These roles can be created in the Data Exchange web-based portal, providing you with the flexibility, access and control to be self-sufficient in creating and removing editors and view only users.

Organisation editor

Allows a user to **view and create** records for the outlet and program they have been attached to by the Data Exchange Organisation administrator.

Organisation view only

Allows a user to **view** records for the outlet and program they have been attached to by the Data Exchange Organisation administrator.

The Data Exchange Organisation administrator can updated an Editor and View only user at any time for their organisation. This is done via the web-based portal.

What user role do you have in the Data Exchange?

____

____

Who is your Data Exchange Organisation administrator?

____

1. True or False. An Organisation Editor can add, edit and view cases and sessions for all program activities and outlets for the organisation?

2. True or False. An Organisation View only role can only view cases and sessions for all program activities and outlets that the user has been given permission to view.

The Add and edit a user task card provides more information on how to add and modify a user's access to the Data Exchange.

We encourage all users to subscribe to the Data Exchange website. That way you can keep up to date with what is happening in the Data Exchange world.

Input data

Organisations should enter data regularly regardless of their upload method. The more data entered, the more data will display in their reports. Data will be available to view at least 24 hours after input or upload.

There are two reports that all organisations have access to for them to check their data and its quality.

Organisation overview report

- Client and session counts
- Program and service type counts
- Demographic information on clients
- Extended demographic information on clients

Organisation data quality report

- Highlights data quality issues at an outlet and program level
- Listing of client IDs with Date of birth anomolies
- Listing of client IDs with 'Not stated' counts
- Listing of unidentified client details

Organisations are encouraged to input and check their data regularly. This way they can amend any data before the end of a reporting period and make their data count.

1. Which report is good to see which clients have ‘Not stated’ against any priority requirement data?

2. Which report can provide information on how many clients have accessed a program in the last reporting period?

Have you accessed either of these reports yet? If not, why not go in and check them out.

Remember that you will only be able to see the data from the outlet/s and program activity/s that you have been granted permission to view.

Inputting data manually into the Data Exchange web-based portal process

Below are steps to input your data manually in the Data Exchange. The ‘Add a client’ and ‘Add a case’ step is interchangeable.

- **Add / Find a client**
  - Priority requirements
  - Extended demographics
- **Add / Find a Case**
  - Outlet
  - Program activity
  - Attach client/s
- **Create a session**
  - Service type
  - Date occurred / delivered
  - Attach relevant client/s from the Case
- **Add SCORE**
  - Add SCORE (outcomes)
  - Record when there is a change
- **Review the Data**
  - Organisation Overview Report
  - Organisation Data Quality Report

Priority requirements

As mentioned earlier, the first of the two data sets in the Data Exchange is the priority requirements. These are the **mandatory** fields all organisations must collect and report, and must be as the client self-identifies and these include:

Did you know that the SLK is an Australian invention? Find out more about SLK 581 that the Data Exchange uses - SLK 581.

First name

- If client does not know or does not want to use their 'real' name they can use a pseudonym

Last name

- AsIf client does not know or does not want to use their 'real' name they can use a pseudonym
- if the client only goes by one name (either the first or last name), this should be entered into both fields

Date of birth

- An estimated year of birth can be entered if a specific day and month are unknown for either personal, religious or cultural reasons

Gender

- Male, female, intersex/indeterminate (not fit typical binary notions of male or female bodies) or not stated or inadequately described

Residential address

- At minimum suburb, state and postcode

Cultural and Linguistic Diversity (CALD)

- Captured through two questions, ‘main language spoken at home’ and ‘country of birth’

Indigenous information

- Whether the client identifies as having an Aboriginal and / or Torres strait island background

Disability information

- Disability, impairment or condition as the client self-identifies

Consent questions:

There are two consent questions that an organisation must ask the client:

- 1. Can their personal information be stored in the Data Exchange?
- 2. Are they willing to take part in surveys and research if required?

The client level information of first and last name, date of birth and gender automatically generates a Statistical Linkage Key (SLK).

This is an algorithm containing 14 characters made up of numbers and letters. The SLK de-identifies client data and enables it to be matched over time and across programs. This information does not include information that identifies a client, or information that can be used to re-identify a client in any way.

The above information is collected at the client record level. Definitions of what these include can be found in the Data Exchange Protocols document and the Add a client task card found on the Data Exchange website.

After you have had a look at the Protocols and the Add a client task card, answer the following questions:

1. Who is a client?

____

____

2. Who is a support person?

____

____

3. Can consent be given or removed by the client?

____

____

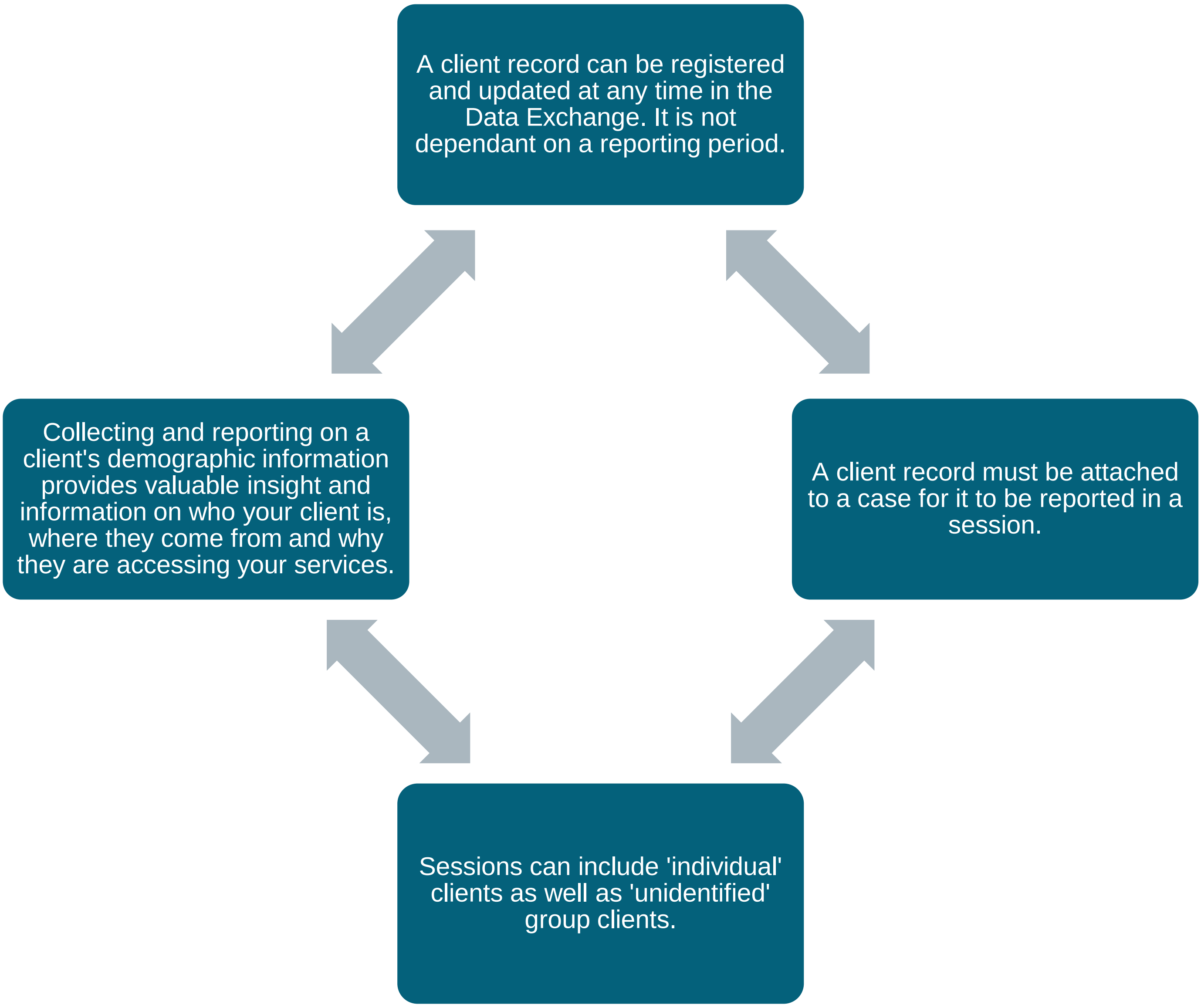
Who is a client?

In the Data Exchange a client is defined as "an individual who receives a service as part of a funded activity that is expected to lead to a measurable outcome".

Clients can be defined in two ways:

- Individual clients attending a session such as an intake or a group counselling session. These clients have their information collected and recorded in the Data Exchange, and;
- People who attend a community event and it is impractical to capture their specific details and record them in the Data Exchange.

Key points on clients:



Large group or community events

It is recognised in limited situations (such as the delivery of services to large community / groups) that it is not always possible or practical to record each client as an individual record. In these circumstances service providers still record the number of persons as a simple aggregate number who attended a service using the field 'Unidentified client attendance'. This number is recorded against both the case and session records.

In some instances, there may be a combination of unidentified 'group' clients and individual clients included in the same case and sessions. For example, if delivering a community event, a number of regular clients (that have their information collected and reported on) may attend, as well as a number of unknown new clients or members of the general public.

Appendix B of the Protocols provides relevant program specific information. Take a look at your program and answer the following questions.

1. Who is the client cohort for your program?

___

___

___

3. What is the percentage of 'unidentified clients' that can be reported for your program?

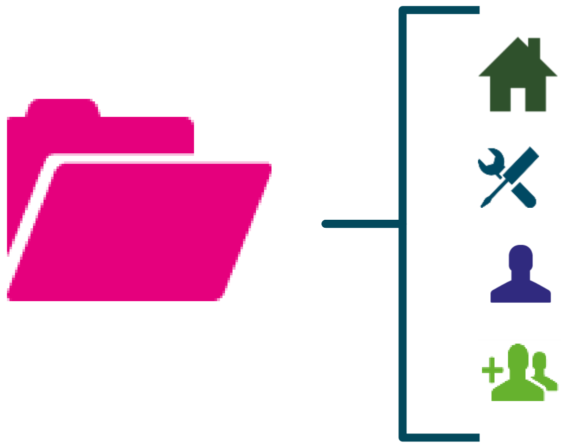
___

___

What is a case?

In the Data Exchange, a case is like a container that holds relevant and required information.

This information includes:



The o_____________ where the service is being delivered from or where staff are travelling from.

The program a___________ or service being delivered.

The c____________ who are expected to access the program activity or service.

The s___________ or instances of services that are being delivered for that program activity.

Key points on cases:

Once a client record has been created in the Data Exchange the client **must** then be associated to the programs and activities they are participating in.

Cases **cannot** cross between program activities or cover more than one program activity, nor can they have more than one outlet.

A case record is only created **once** to capture information about a program / activity being provided over a number of sessions to a particular cohort of clients.

The case name **must not** include any client names, date of births or any other items such as a Customer Reference Number (CRN) or Tax File Number (TFN) that would identify the client, as this would undermine the privacy principles of the Data Exchange.

Some programs have specific case structure or naming conventions. These requirements are found in Appendix B of the Protocols

For the majority of programs we encourage organisations to set up cases the best way that it works for them. For example:

- A case could be set up for all an organisation's Education and skills training sessions undertaken in May.
- If you are working with a client, you can set up a case for that individual as A123/18. Remember, you will not be able to name the case or use any information that can identify the client in any way.

Additional mandatory program specific information is required for some programs such as Community and Home Support Program (CHSP) and Family Law programs. These extra fields will only display when you attach the client to a session that has the service type related to that program.

The ! icon will display next to a client's record if extra program specific information is required.

1. True or False. The same case can be used across outlets and program activities.

___

2. True or False. A client's personal name, CRN or TFN can be used in a case name.

___

3. True or False. A client does not need to be attached to case to have sessions that they have attended recorded.

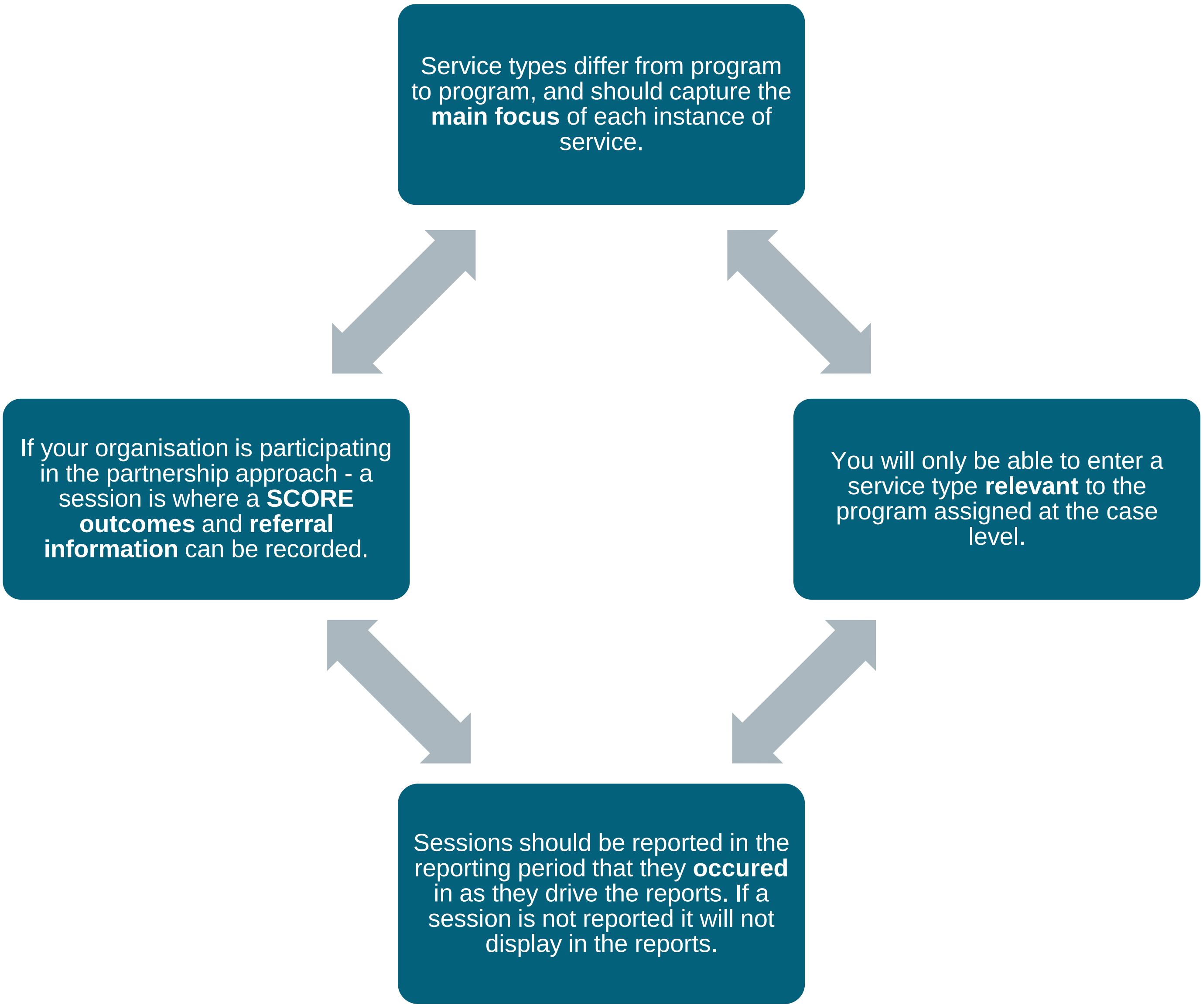
The Add a case task card provides further information on these program specific data items.

What is a session?

As per the Data Exchange Protocols: “A session is an individual instance or episode of service, stored within a case. A case may contain between one and a potentially unlimited number of sessions.”

Sessions are about recording the services delivered to clients and not about effort-tracking or for tasks such as following up a client for a scheduled appointment.

Key points on sessions:



4. True or False. Sessions can have two service types attached to it.

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5. True or False. A session does not need to be recorded in the reporting period that it occurred.

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6. True or False. A session record can include clients that did not attend the session.

The [Add a session]() task card provides further information on these program specific data items.

Glossary of Data Exchange terms and definitions

Data Exchange term	Data Exchange definition
Case	A case captures one or more instances of service delivery that is expected to lead to a distinct outcome. A case contains session and client information.
Individual Client	An individual who receives a service as part of a funded activity that is expected to lead to a measurable outcome and whose details **are** registered in the Data Exchange. I.e. Name, DOB and other demographic details are collected and reported.
Outlet	The location where the service is delivered from or where the administrative office where the staff are travelling from to deliver services.
Program activity (Service option)	The activity that an organisation is funded to deliver.
SCORE	Reports the outcomes clients are achieving by accessing a funded service.
Service type (Flexible activity)	Reflects the nature of service delivery in that particular session. Different service types are associated with different funded activities or programs.
Session	A session is an individual instance or episode of service, stored within a case.
Support person	Provides support and assistance to a client at a session. Their details are recorded in the Data Exchange. They are attached to a session they attended and provided assistance as a 'support person' and not a client.
Unidentified 'group' client	An individual who receives a service as part of a funded activity that is expected to lead to a measureable outcome and whose details are **not** registered in the Data Exchange. I.e. no name, DOB or other demographic details collected and reported.