

# 8 Data release guidelines for the Alcohol and Other Drug Treatment Services NMDS 2001–02

## Purpose

This document outlines the process to be followed by the AIHW upon receipt of data requests for the AODTS–NMDS 2001–02 collection. These data will be available from late 2003. It is for the information of AIHW staff and IGCD AODTS–NMDS WG members.

## Background

Jurisdictions are custodians of information collected from alcohol and drug treatment agencies collected within their state or territory. The AIHW is the custodian of collated national information collected from jurisdictions. Custodianship for the AIHW means responsibility for protection, storage, analysis and dissemination of the data in accord with the purpose for which the data were collected, the *AIHW Act* and other relevant privacy principles.

The following guide refers to requests for **unpublished data**. The intention of this document is to provide a practical guide for AIHW staff and information on the process that AIHW will follow for WG members.

## Requests for information

Data requests can be for summarised tables or for access to unit record data held in the national database. The section on *Requests for information* relates to requests for summarised data only. The section on *Access to unit record data in the national database* relates to requests for access to unit record data held in the national database.

When a request is initially received, AIHW clarifies exactly what data are required, who is requesting the data and the urgency of the request, and whether the data are held by the AIHW. If the data are not held by the AIHW, refer inquirer to other sources, for example:

- **Clients of Alcohol and Other Treatment Services Census 2001**  
(NDARC) (02) 9385 0333
- **Methadone treatment data**  
(DoHA) Illicit Drugs Section (02) 6289 4384  
Commonwealth Department of Health and Ageing
- **Illicit Drug Reporting System**  
(NDARC) (02) 9385 0333
- **National Drug Strategy Household Survey**  
(AIHW) Mark Cooper-Stanbury (02) 6289 7027

If the data are held by the AIHW and are unpublished, refer to the following guidelines.

If data are published, refer inquirer to the NMDS report on the AIHW web site (possibly refer to a particular page or section) or to the electronic datacubes also on the AIHW web site. Draw attention to specific limitations of the data relating to scope etc.

### **Release of summarised national data only**

- Where tables of national data are requested from the AIHW, copies of requested tables produced by the AIHW are sent to all jurisdictions for information only. Sign-off from jurisdictions is not required for release by AIHW of national data.
- After assessment during the production of the 2000-01 national report, it was considered that the NMDS at this time does not contain sufficient information to identify individuals when data are presented nationally. Therefore, further confidentialisation of data cells is not required.

### **Release of jurisdiction-specific data**

- Requests received by the AIHW for production of jurisdiction-specific tables for 2001-02 will be undertaken by the AIHW.
- AIHW must obtain approval for release of data from jurisdictions affected prior to release. **Appendix A must be filled out and sent to the relevant jurisdiction/s.**
- Cell sizes to be vetted in accordance with policy below.

### **Release of national and jurisdiction specific data**

- AIHW must obtain approval from relevant jurisdictions for tables containing any jurisdiction-specific data.

### **Cell size policy**

- Data dissemination must be carried out without compromising confidentiality. The practice used by the ABS and the AIHW of not releasing data of cell size 2 or less (or 3 or less if one entity comprises the bulk) is to be employed for jurisdiction-specific data.
- After assessment during the production of the 2000-01 national report, it was considered that the NMDS at this time does not contain sufficient information to identify individuals when data are presented nationally. Therefore, further confidentialisation of data cells is not required.

### **Access to unit record data in the national database**

Access to the AODTS-NMDS database (i.e. unit record data), or part thereof, is only provided under strict conditions according to the following protocol:

- A potential researcher must make a formal request for access to the Alcohol and Other Drug National Minimum Data Set via the request for access form (**Appendix A**).
- If the request is for access to all unit records (i.e. data from all contributing jurisdictions) the request for access form is then forwarded to all contributing jurisdictions for approval. If approved by all jurisdictions the researcher will then be required to sign the AIHW confidentiality undertaking signed by all AIHW staff.
- If the request is for one or more separate jurisdiction's data the request for access form will only be sent for approval to the relevant jurisdictions.

- Every request for access to the national database must receive AIHW Ethic's committee approval. **Appendix B to be filled out by researcher.**

## **AIHW charging policy for ad hoc information services**

- Except for those agencies with which AIHW has developed a specific information exchange agreement or IGCD AODTS-NMDS Working Group members for their own purposes, there will be a minimum charge of \$200 (includes up to 30 minutes of time) plus cost recovery at \$160 per hour. Full day charge (5.5 to 7 hours) is a flat \$1,000. If the time is more than a full day the charge is the flat \$1000 per day for each full day plus a charge of \$160/hr for any remaining hours less than a full day.
- Any extra services, such as courier delivery or priority air freight, are charged at cost plus 20%. If the request has ethical implications, a certificate of compliance must be obtained from the relevant AIHW Ethics Committee. The administrative charge for this service is \$250.
- Quotations will be provided for each job. The AIHW unit head must approve quotations before they are forwarded to clients. Prior to determining a quotation, the AIHW need to determine whether GST should be charged or not. The quote needs to specify whether it is GST-inclusive or GST-exclusive. GST should be charged if the entity requesting the information services is not a government related entity. If it is a government related-entity, then no GST should be charged. For practical purposes, 'government-related entity' is a government organisation or part of an organisation that is separately registered for the ABN and GST.

## **APPENDIX A: Requests for release of AODTS NMDS unpublished state/territory data or access to national database**

Draft access form modelled on Hospital Statistics and Medical Indemnity draft form

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*TO:*

**STATE AND TERRITORY ALCOHOL AND OTHER DRUG TREATMENT SERVICES NATIONAL MINIMUM DATA SET DATA CUSTODIANS**

### **REQUEST FOR RELEASE OF DATA**

<b>Name</b>	<b>State/territory</b>	<b>Email</b>	<b>Phone No</b>
Devon Indig	NSW	DINDI@doh.health.nsw.gov.au	(02) 9391 9220
Carol Riedell	VIC	carol.riedell@dhs.vic.gov.au	(03) 9637 5237
Mark Foley	QLD	Mark.Foley@health.qld.gov.au	(07) 3896 3855
Anne Bartu	WA	anne.bartu@health.wa.gov.au	(08) 9370 0333
Richard Cooke	SA	Cooke.Richard@saugov.sa.gov.au	(08) 8274 3385
Andrew Foskett	TAS	andrew.foskett@dhhs.tas.gov.au	(03) 6233 3728
Chris Killick-Moran	ACT	chris.killick-moran@act.gov.au	(02) 6205 0863
Tania Karjaluo	NT	tania.karjaluo@nt.gov.au	(08) 8999 2830
Kate Jorgenson	Commonwealth	kate.jorgenson@health.gov.au	(02) 6289 4384

**Date: 18 June, 2003**

**Reference Number: 2003-**

**Sender: Ros Madden  
Functioning and Disability Unit  
Australian Institute of Health and Welfare**

*Contact phone: 02 6244 1189*

*Contact fax: 02 6244 1199*

*Email: ros.madden@aihw.gov.au*

Please email or fax back the attached data access request response as soon as possible. If you have any queries about these data request, please contact me.

Regards,

Ros Madden

**REQUEST FOR ACCESS TO ALCOHOL AND OTHER DRUG TREATMENT SERVICES NMDS**

**Reference number :** 2003 -

**Requestor:**

**Reason data required:**

**Proposed use/dissemination of data:**

**Data requested (table specifications):**

**Date data required:**

**Custodian response:**

Please indicate your action to the above request:

- [...] Approve release of data
- [...] Do not approve release of data
- [...] Approve release of data subject to the following conditions

**Conditions:**

**Comments:**

**Name:**

**State/territory:**

**Signature:**

**Date:**

**Please email completed form to:** [ros.madden@aihw.gov.au](mailto:ros.madden@aihw.gov.au)

**DATA SPECIFICATIONS FOR INFORMATION REQUESTS:**

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Job Number: 2003 –

State: NSW VIC QLD WA SA TAS ACT NT Commonwealth

Data set Year: 2000–01  
2001-02

Additional comments:

## **APPENDIX B: Request for ethical clearance for access to AODTS NMDS database**

### **Information sheet AIHW Ethics Committee submissions**

#### **To be read in conjunction with AIHW Ethics Committee – guidelines for the preparation of submission for ethical clearance**

All research activities with which the Australian Institute of Health and Welfare (AIHW) is involved must be ethically acceptable. The AIHW Ethics Committee forms an opinion on the ethical acceptability of all submissions made to it. This form is designed to provide information to the Committee in order to facilitate this procedure.

In making a submission to the Committee the following points should be noted:

- The Principal Investigator, an officer with the delegation to commit the organisation to the assurances (often the supervisor of the Principal Investigator), and any subordinates that may have access to the requested data **must** sign the undertaking (Section 8) attached to the submission.
- External investigators should make their submissions to the Committee via a contact officer at the AIHW. This officer will be the custodian of the data to which access is requested.
- Clearance from the investigator's host institutional ethics committee is required prior to the AIHW Ethics Committee's assessment of the application. If the proposal is from outside the Institute or from AIHW Collaborating Units and that institution does not have an ethics committee, then this should be discussed with contact officers at the AIHW prior to submitting the application.
- The Committee requires that all projects be scientifically reviewed by a group of independent peers before it is submitted to it.
- The Principal Investigator for this project is responsible for the security and, if required, the disposal of the data received from the Institute.
- The Ethics Committee will assess the ethical acceptability of activities specified in this application. If additional follow-up activities are planned, but not to be acted upon immediately, then these activities should form the basis of another application.
- The AIHW will charge an administration fee of \$250 for each submission to the Ethics Committee.

All submissions to the Ethics Committee will be considered at their quarterly meetings. The applicant will be advised of the outcome of their submission the next working day after the meeting. An application may be considered for out of session approval if it meets the criteria determined by the Committee. If you have any queries regarding your application please discuss them with your AIHW contact officer or the Secretary of the Ethics Committee (telephone 02 6244 1000).

**EC No:**

Office use only

**AIHW Ethics Committee**  
**Request for opinion on ethical acceptability of project**

Australian Institute of Health and Welfare  
GPO Box 570  
Canberra ACT 2601  
Telephone: (02) 6244 1000 Fax: (02) 6244 1299

**1. Project title and contact details**

<b>Project Title</b>	
<b>Contact within AIHW</b>	
<b>Principal Investigator</b>	
<b>Contact Officer</b>	
<b>Telephone</b>	
<b>Fax</b>	
<b>Email</b>	
<b>Organisation</b>	
<b>Branch, Division</b>	
<b>Postal address</b>	
<b>Source of funds</b>	

**2. Summary of project activities**

**What data are requested from the AIHW?**

**Please state the primary objectives of your investigation.**

**Summarise the project protocol or activities. Please specify how you will be using the data requested from the AIHW.**

**Summarise the information already available or being collected on the study population. List the source(s) of this information.**

### **3. Maintaining privacy and confidentiality**

The Privacy Act sets out eleven Information Privacy Principles (IPPs) that govern agencies of the Commonwealth in their collection, management and use of data containing personal information. Copies of the IPPs and the Privacy Guidelines are available from the AIHW or the Human Rights and Equal Opportunity Commission (HREOC) upon request. You can access this information via the Internet from the HREOC home page (<http://www.hreoc.gov.au/hreoc/>). In order that your application is assessed in accordance with the Privacy Guidelines, please address the following points.

Does your proposal breach any of the IPPs?	YES	NO
If YES which principles are involved, and what steps have you taken to address these?		
Describe how your organisation will store and maintain the confidentiality of information obtained from the Institute. This includes computer records as well as documents which would permit the identification of any individual or establishment.		
How will information obtained from the Institute be disposed of at the conclusion of the project? If information is to be retained please indicate how this will be done.		

**4. For external researchers and AIHW Collaborating Units only**

Please note that clearance of the project by an ethics committee at your institution is required. If you have not already done so, please seek clearance.

Has this project been reviewed and approved by an ethics committee at your institution?	YES	NO
If YES name of Institutional Ethics Committee and date of approval (attach copy of approval).		

If NO explain why there is no Institutional Ethics Committee approval.

**5. Assurance of scientific quality**

Has this project been reviewed by a group of independent peers?	YES	NO
If YES please provide details.		

**6. Completion date and dissemination of results**

What is the anticipated project completion date?	
How and to whom (main groups) will the results be disseminated?	
Published in peer reviewed journal, conference, presentation	
Brochure, flyer to participants, interested parties	
Internet	
Newsletter	
Other	

Please note that the AIHW must be acknowledged as the source of data in any publication, and that a copy of any published material must be supplied to the AIHW.

**7. Other individuals, groups or organisations participating in this project**

List the name and administrative relationship of each individual, group and/or organisation that will have access to the information obtained from the Institute.

## 8. The Undertaking

### Undertaking made in pursuance of Section 29 of the Australian Institute of Health and Welfare Act 1987

#### WHEREAS:

- (a) Subsection 29 (1) of the *Australian Institute of Health and Welfare Act 1987* ('the Act') provides for the disclosure of information to a person specified in writing by the Ethics Committee;
- (b) The Ethics Committee has agreed to release information to you;

NOW I, \_\_\_\_\_  
*Full name and position of Responsible Officer*

in the \_\_\_\_\_  
*Name of Department or Organisation*

HEREBY UNDERTAKE that the above mentioned organisation will use the information in accordance with the following conditions.

1. The unit record file will not be matched, in whole or in part, with any other information for the purposes of attempting to identify individuals, nor will any other attempt to identify an individual be made.
2. The person/organisation will not disclose or release the information to any other person or organisation, except as statistical information that does not identify an individual.
3. Access to the unit record file will be restricted to only those employees of the organisation who are directly responsible to the Principal Investigator. The Principal Investigator will explain to any employees granted access to the information the provisions of the AIHW Act prohibiting release of the information to others.
4. Access will not be granted to any other organisation without specific approval of the AIHW Ethics Committee.
5. The information will be used for statistical purposes in health and/or welfare research.
6. The information will not be used as a basis for any legal, administrative or other actions that could directly affect any particular individuals or organisations as a result of their identification in this project.
7. The identifying information will be used only for the project proposed and described in this application. Use of any of this information in any other project will not be undertaken until a separate application form has been submitted to, and approved by, the Ethics Committee.
8. The recipient will cooperate with any surveillance procedures established by the Institute or its Ethics Committee and advised to the recipient in writing.
9. Results of the project will be made available for consideration by the Ethics Committee, if it so requests prior to any public release.
10. The Institute will be acknowledged in all reports and publications resulting from this project, and will be provided with a copy of all such reports and publications.
11. The recipient will comply in all respects with the requirements of section 29 of the AIHW Act, as attached (and of Part III of *The Privacy Act 1988*).
12. Copyright in all data are vested in the Commonwealth and contributing states and territories. The collection is managed under contract by the AIHW.
13. Any publication which uses the data must identify the AIHW as the source.

**In providing this undertaking I understand and accept on behalf of the above mentioned organisation that subsection 29(1) of the *Australian Institute of Health and Welfare Act 1987* provides that a person who receives information or a document relating to another person and makes a record of, or divulges that information to any person, is guilty of an indictable offence punishable on conviction by a fine of \$2,000 or imprisonment for 12 months, or both.**

Signature: \_\_\_\_\_

*This application must be signed by a responsible officer with the authority or delegation to commit the above-mentioned organisation to the terms and conditions in section 9.*

Date: \_\_\_\_\_

**Witness**

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Organisation/Unit: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

All employees of the above organisation who will be granted access to the information must be listed and must agree to comply with the conditions included in the undertaking.

**Principal Investigator**

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Organisation/Unit: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Details of any other person/s who will have access to the data**

Date: \_\_\_\_\_

Please attach details of any other person who will have access to the data.

**Witness**

Date: \_\_\_\_\_