BSCC CalVIP Technical Assistance Workshop Series

RDA CONSULTING

Workshop 8. Using Secondary Data to Support Evaluation – Part II

May 23, 2024

Please Note...

- This workshop is being recorded & will be posted on BSCC’s website once it becomes available

Zoom Etiquette

Remain on camera (when possible)

Mute when you are not talking

Stay **present** & **engaged; eliminate distractions**

Keep chat conversations **appropriate** & **on topic**

Make sure your **full name** is displayed

If you have a question**, raise your hand** using the Zoom function at the bottom of your screen, or **use the chat feature**

Agenda

- Introductions
- Project background
- Purpose of today’s workshop
- Review of Part 1 Secondary Data
- Data Requests & Data Sharing Agreements
- Breakout Activity
- Closing

Introductions

RDA Introductions

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Introductions

- Now we’d like to get to know you better!
    - Please drop in the chat your name, organization, & your role in your program

Community Agreements

- Be present at start of workshop
- Actively participate
- Keep statements respectful, constructive, & relevant to workshop topic
- Be brief & mindful of everyone's time when sharing
- Respect others' thoughts & feelings when they differ from yours

Project Background

Project Goal

- To provide regional technical assistance (TA) for CalVIP Cohort 4 grantees to help build capacity in:
    - Data collection
    - Data entry
    - The development of data-sharing agreements

Workshop Purpose

Workshops 1–7 Recap

- In **Workshop 1,** we provided an overview of data quality considerations
- In **Workshop 2,** we focused on best practices in developing data collection instruments & described how to create quality instruments to meet data collection needs
- In **Workshop 3,** we discussed capacity building to evaluate your program's efficacy by understanding how to measure client progress through outcome data collection

Workshops 1–7 Recap

- In **Workshop 4,** we focused on best practices in streamlining & managing data collection processes at the point of entry
- In **Workshop 5,** we reviewed data quality measures, processes for conducting quality assurance checks, & recommendations for data retention & destruction
- In **Workshop 6,** we identified data quality monitoring processes & reviewed approaches to staff training & building a data culture
- In **Workshop 7,** we discussed what secondary data is, when to use it, & how to locate it, & steps for conducting cursory literature reviews & accessing existing datasets

Workshop 8 Objectives

- By the end of this workshop, participants will be able to:
    - Address broad considerations related to data sharing, including legality, consent, & foundational agreements/documents that govern data-sharing practices
    - Draft communications related to data sharing & collaboration, including specific data requests & data sharing agreements

Workshop 7 Temperature Check Feedback

- Experiences with data sharing agreements (DSAs) & memoranda of understanding (MOUs)
- Experiences or anticipated challenges:
  - Accessing restricted data as a non-profit
  - Establishing relationships with agencies
  - Agency turnover impacting MOUs/DSAs
  - Consent templates
  - Telling a "data story"

Data Access

Open Data

Data that can be shared openly, either at the aggregate or individual level, based on state & federal laws. Often exist in open data portals or repositories.

Restricted Data

Data that can be shared, but only under specific circumstances with appropriate safeguards in place.

Unavailable Data

Data that cannot be shared because of state or federal law, lack of digital format (e.g., paper copies only) or data quality, or other concerns.

Data Sharing & Collaboration Process

Process for Requesting Data

STEP 1	STEP 2	STEP 3	STEP 4
Identify partners	Implement a data governance structure	Consider legal & ethical issues	Establish & document agreements for sharing

Step 1. Identify ***Internal*** Partners

- Administrators & leadership
  - Project champions
  - Demonstrate buy-in for the project
- Practitioners & program staff
  - Knowledgeable about agency programs
  - Work most closely with the data day-to-day
- Agency analysts & IT officers
  - Understand data & system capabilities
  - May assist in building a system or data sharing model

Step 1. Identify ***External*** Partners

- When possible, build on existing partnerships–even if data sharing was not the focus of the past collaboration
  - Doesn't mean you shouldn't expand reach to new partnerships–especially if they have information that may be crucial to reaching your goals
- Understand that building collaborative relationships takes time
- Tailor communication for the audience
- Help adapt & implement existing technology to meet needs

Step 2. Implement a Data Governance Structure	
Question	**Key considerations**
Is this legal?	• Are there federal or state statutes that prevent or constrain data from being accessed or used?
Is this ethical?	• Do benefits outweigh risks, particularly for vulnerable populations?
Is this a good idea?	• What action(s) could be taken or what could be reasonably changed or improved as a result of the project’s findings?

Step 2. Implement a Data Governance Structure

Data Governance:

- The policies & procedures that determine how data are managed, used, & protected

Remember: *Laws & regulations govern client confidentiality & privacy protections. These safeguards dictate the type, scope, & access levels of certain kinds of information*

Step 3. Consider Legal & Ethical Issues

- Federal statutes relevant to data sharing & integration
  - [The Privacy Act of 1974]
  - [HIPAA]
  - [42 CFR Part 2]
  - [FERPA]
  - [HMIS]
- State laws relevant to data sharing & integration
  - Criminal & juvenile justice records
  - Mental health records

"I'm sure there are better ways to disguise sensitive information, but we don't have a big budget."

Step 3. Consider Legal & Ethical Issues–*Consent*

Elements of Ethical Consent	Description	Practical Examples
Not Passive or Implied	Consent should be affirmatively given, allowing participants to actively ask questions & seek clarification	✓ Opt In ✖ Opt Out
Willingly Given	The participant should have full mental capacity to provide consent, & consent should be given without undue pressure, coercion, or force. The participant should be in a position to freely decide whether to permit sharing data	✓ Allow adequate time for prior review ✖ Participant sign "on the spot" without time for review
Understandable	The information should be given in plain language, in terms that the subject population understands. Further, the process should ensure that all risks & benefits are disclosed	✓ Plain language ✓ Specific & Brief ✖ Broad, vague language ✖ Legalese, lengthy, dense
Revocable, Not Conditioned on a Benefit	The instrument should clearly state that consent can be withdrawn at any time for any purpose. It should make clear that refusing to consent will result in no penalty or loss of benefits	✓ Time-bound ✓ Clear instructions for how to revoke or terminate consent ✖ Language that suggests the consent exists in perpetuity

Step 4. Establish & Document Agreements for Sharing

Type of Agreement	Purpose	Process
Memorandum of Understanding (MOU) *Overarching process document signed by all data partners*	• Documents the purpose & governance process • Signed by all data partners as they enter the collaboration • References the DSA & other relevant policies & procedures for data access & use	• Drafted in partnership with legal counsel from all participating partners • Signed by lead agency(ies) & all data partners
Data Sharing Agreement (DSA) *Agency-specific to how data will be used for integration*	• Includes specific terms & conditions that govern how data are transferred, stored, & managed when shared & integrated • References the MOU • Specific to data held by a data partner	• Drafted in partnership with legal counsel from all participating data partners • Completed according to specific data assets of the data partner • Reviewed & updated annually, or as agreed upon • Signed by lead agency(ies) & data partner

Step 4. Establish & Document Agreements for Sharing

- Key elements of agreements:
  - Purpose & intended use
  - Period of agreement
  - Description of data
  - Timing & frequency of updates
  - Custodial responsibility & data stewardship
  - Roles & responsibilities
  - Permissible data use, linking & sharing
  - Resources & costs of data sharing & management
  - Indemnification
  - Publication & dissemination of results
  - Termination & modification of agreement

Step 4. Establish & Document Agreements for Sharing

- May include a formal (or informal) data request
  - Make a list of data fields (i.e., variables) you will need
    - If you do not know the fields or terminology, briefly describe each data element
  - Note the source of each data field (if they are located in different databases, departments, etc.)
  - Specify the time range for which you want the data
  - Specify the format for each data field (e.g., alphanumeric, date, percent)

COUNTY OF SANTA CLARA
Health System

REQUEST FOR DATA ACCESS

This form is to request access to the County of Santa Clara's Health System (CSCHS) data.
To attach document to the form, please click on the "Attach" button.
Please submit the form to CSCHS via email by click on the "Submit" button or send to "DataRequest@hhs.sccgov.org" when section 1 & 2 are completed.

9. Dates for the data requested, From 2/15/23 To 5/30/26

10. Project Target Start Date 2/15/23

11. Identify all CSCHS and/or Santa Clara County departments involved in the project

12. Identify any non-County of Santa Clara Health System parties involved in the project. Include the following information for each party: "Third Party/Organization Name", "Role (Vendor, Community Partner, and Business Associate)" and "Point of Contact, and Contact Information".

☐ Vendor Involved (If involved, please **ATTACH CONTRACT and BAA**) Attach

13. Is this a new project: No

If this is a change to an existing project, identify what is being changed?

☐ Technology ☐ Vendor ☐ Data (identify data change) ☐ Other (explain):

14. Will this data be transferred to another system? Yes

If Yes, describe where, the type and volume of data:

If Yes, how will the data be transferred:

DEPARTMENT OF HEALTH CARE SERVICES

DATA USE AGREEMENT

Attachment A

The following data files will be provided to User pursuant to this Agreement:

Client Service Information (CSI) record-level data from FY 2007/2008 until present:

CLIENT RECORD FIELDS				
FIELD CONTENTS / FIELD CODING NAME	**D.D. NBR**	**START**	**END**	**FORMAT**
Date of Birth DATE-OF-BIRTH	C-03.0	106	113	N(8) YYYYMMDD
Gender GENDER	C-05.0	120	120	X(1)
Primary Language PRIMARY-LANGUAGE	C-07.0	123	123	X(1)
Preferred Language PREFERRED-LANGUAGE	C-08.0	124	124	X(1)
Ethnicity ETHNICITY	C-09.0	125	125	X(1)
Race RACE	C-10.0	126	130	X(5)

SERVICE RECORD FIELDS				
FIELD CONTENTS / FIELD CODING NAME	**D.D. NBR**	**START**	**END**	**FORMAT**
κ County/City/Mental Health Plan Submitting Record SUBMITTING-COUNTY-PLAN-CODE	H-01.0	1	2	X(2)
κ County Client Number (CCN) COUNTY-CLIENT-NBR	H-02.0	3	11	X(9)
Mode of Service MODE-OF-SERVICE	S-05.0	137	138	X(2)
Service Function SERVICE-FUNCTION	S-06.0	139	140	X(2)
Date of Service DATE-OF-SERVICE	S-23.0	257	264	N(8) YYYYMMDD
Place of Service PLACE-OF-SERVICE	S-24.0	265	265	X(1)
Axis I Diagnosis AXIS-I-DIAG	S-28.0	310	316	X(7)
Additional Axis I Diagnosis ADDL-AXIS-I-DIAG	S-30.0	318	324	X(7)
Additional Axis II Diagnosis ADDL-AXIS-II-DIAG	S-33.0	333	339	X(7)
General Medical Condition Summary Code GMC-SUMMARY-PRIMARY	S-34.0	340	341	X(2)
Substance Abuse / Dependence SUBSTANCE-ABUSE	S-37.0	370	370	X(1)
Substance Abuse / Dependence Diagnosis SUBSTANCE-ABUSE-DIAG	S-38.0	371	377	X(7)

JUVENILE PROBATION DATA REQUEST

Request Summary

Date Range: 1/1/2005 – 6/30/2012

Variables Requesting:

1. First name
2. Last name
3. Middle initial
4. Date of birth
5. Gender
6. Race
7. Juvenile case number
8. Referral number
9. Arrest date and time
10. "on probation" indicator (referral status "supervised" as of the date of extract)
11. Offense description
12. Statute code and section
13. Offense level
14. Finding
15. Finding date
16. Court disposition description
17. Court disposition date
18. Formal probation indicator (derived information based on the court disposition: PET DIS-PREV ORD, FRML SUPV OWN HM, FRML SUPV REL HM , CAMP READY , CAMP W SWEENEY , CHABOT and AFTER CARE)
19. Assessment date
20. Aggregate score
21. Aggregate risk level
22. Aggregate risk level override
23. Extract create timestamp

For the evaluation, we'll need end-of-year (2011-2012) student data on:

- Enrollment, please include attendance rate (data set 1)
- Attendance (data set 2)
- Discipline (data set 3)
- Grade Level Promotion (data set 5)

Please pull the above data sets for students who were enrolled during 2011-2012 at the schools listed below:

Middle schools (7th grade only)

Diablo View
El Dorado
Foothill
Oak Grove
Pine Hollow
Pleasant Hill
Riverview
Sequoia
Valley View

High Schools (all grades, 9th-12th)

Clayton Valley
College Park
Concord
Mt. Diablo
Northgate
Ygnacio Valley

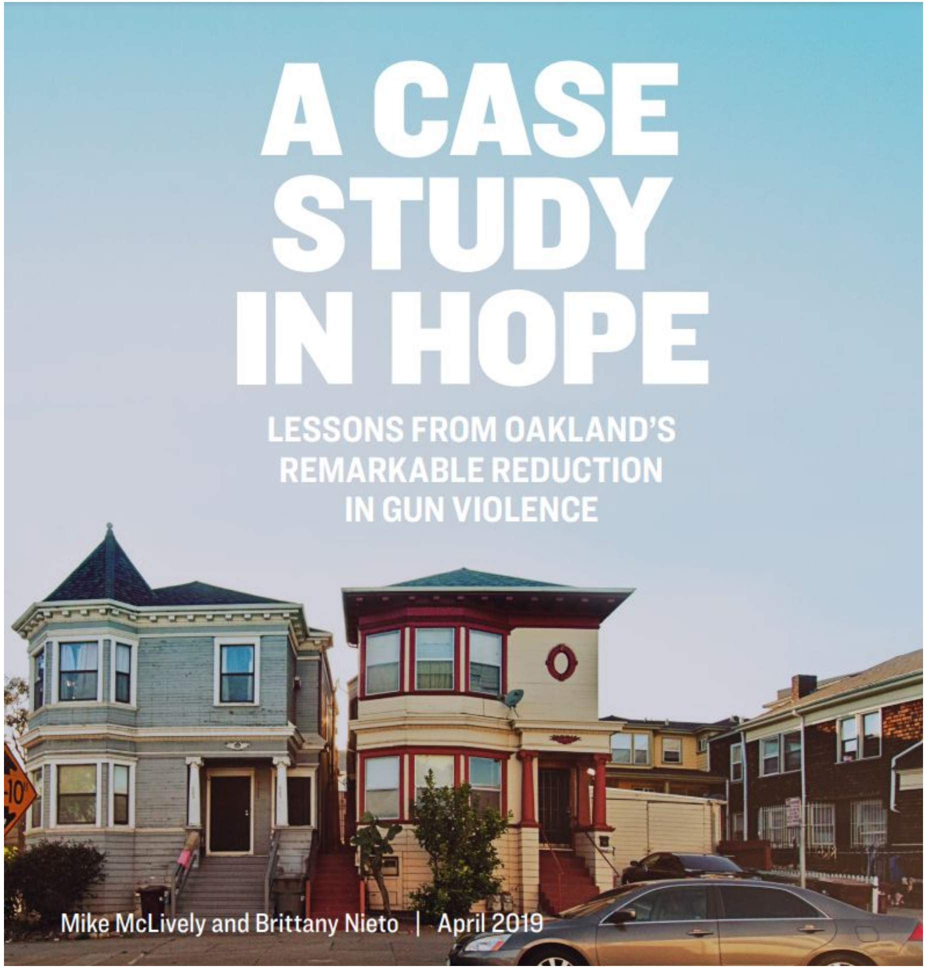
Breakout Activity

Initiating Strong Data-Sharing Partnerships

- Work together as a group to complete the following steps in the *Initiating Strong Data-Sharing Partnerships* worksheet:
  - **Step 1:** Review the scenario
  - **Step 2:** Identify sources & measures
  - **Step 3:** Develop an MOU & DSR

Putting It All Together

Telling a Story



Closing

Upcoming BSCC CalVIP TA Workshop Topics & Dates

Title	Date
~~1. Using best practices in data collection, administration, & entry-Part I~~	~~Sept.13, 10:00 am - 12:00 pm PST~~
~~2. Using best practices in data collection, administration, & entry-Part II~~	~~Oct. 19, 11:00 am - 1:00 pm PST~~
~~3. Measuring client progress through outcome data~~	~~Dec. 6, 10:00 am - 12:00 pm PST~~
~~4. Streamlining & managing data collection processes-Part I~~	~~Jan. 31, 10:00 am - 12:00 pm PST~~
~~5. Streamlining & managing data collection processes-Part II~~	~~Feb. 28, 11:30 am - 1:30 pm PST~~
~~6. Monitoring data collection & establishing CQI processes~~	~~April 3, 10:00 am - 12:00 pm PST~~
~~7. Using secondary data to support Evaluation-Part I~~	~~April 24, 11:30 am - 1:30 pm PST~~
~~8. Using secondary data to support Evaluation-Part II~~	~~May 23, 11:00 am - 1:00 pm PST~~

Ongoing TA as Requested

Two ways to request TA support from RDA!

1. Via the RDA TA Request Portal—Use your phone to scan the TA Interest Form QR code

or

2. Email RDA_TA@RDAconsulting.com
    - Provide your name, agency & program name, & a brief description of your TA needs

TA Interest Form

We want to Hear from You!

BSCC CalVIP TA Workshop 8 Feedback Form

- Help us improve future TA workshops!
- Use your phone to scan the QR code or click on the link in the chat to provide feedback on today's session

Contact Information

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Thank you!