

FY2013 VIREC Database and Methods Cyber Seminar Series



Research Access to VA Data

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Presented by:

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Acknowledgements

- **John Quinn & Irma McCaffrey**, National Data Systems (NDS)
- **Sam White**, Health Information Access (HIA)
- **Audrey Revere**, Patient Care Services (PCS)
- **Cheryl Benson**, Pharmacy Benefits Management (PBM)
- **VA/CMS Data for Research Project** at VIREC
- **Jeffrey Scehnet**, VINCI DART Development Team
- **Michael Wlezien**, Hines Information Security Officer (ISO) and Customer Provisioning Service Point of Contact (CUPS POC)



Session Objectives

- **Describe elements involved in the data request process**
- **Describe request procedures for select data**
 - Customer User Provisioning System (CUPS)
 - DART: National Data Systems (NDS)
 - Health Information Access: VistAWeb & CAPRI
 - Patient Care Services (PCS) Data
 - Pharmacy Benefits Management (PBM) Data
 - VIREC – Medicare, Medicaid & USRDS
- **Identify approaches to facilitate the data request review process**
- **Contacts & Help**



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Research Data Access Request Process Parameters

Access location: Mainframe, CDW, VINCI, other

Data format: SAS or SQL

Request method: CUPS, DART, E-mail

Research Data Access Request Process Parameters

Use: R&D approved research; prep to research;
healthcare operations

Data Source: Database; system; office managing data

Identifier: Real SSN; VHA scrambled SSN; other

Data Level: Local, VISN, National

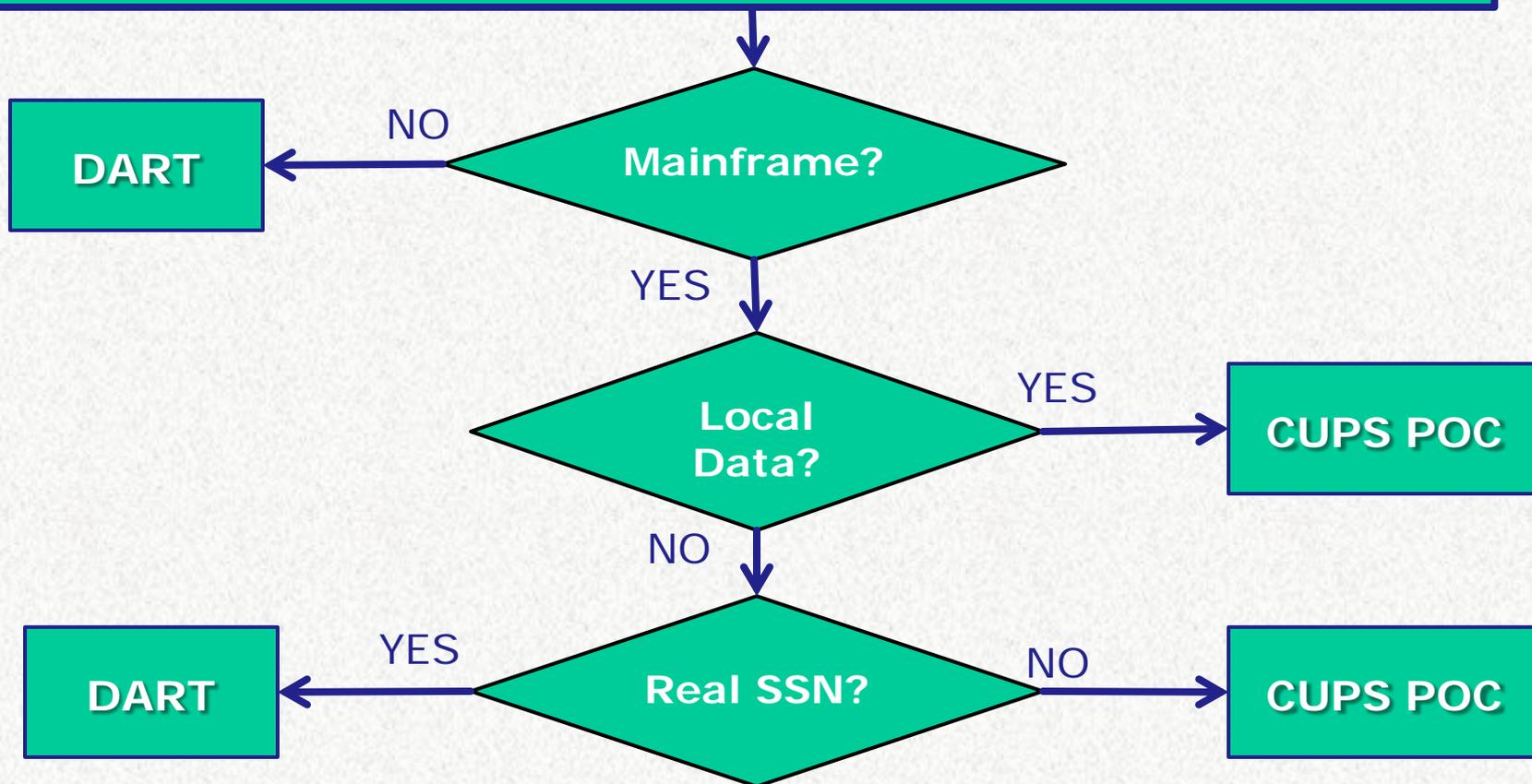
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Access Request Approval CUPS POC

MedSAS and Other Workload Data, BIRLS & VetsNet



3 Steps to Get Access Approval Locally

1. Complete & sign VA Form 9957 <see bonus slides>

Identify correct Functional Task Code:

<http://vaww4.va.gov/NDS/FTCGrid.asp>

2. Obtain supervisor & local approval signatures

3. Submit 9957 to your facility CUPS POC or ISO

Receive e-mail with your AITC Mainframe Time Sharing Option (TSO) login ID & temporary password.



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Audience Poll

(Heidi please convert to poll)

- **Have you ever requested access to data through the Data Access Request Tracker (DART*)?**
 - Yes
 - No

* DART is a VHA software application that automates data request submission, review, and approvals



DART Research Access Options

Data on AITC Mainframe and CDW/VINCI

Data Source	Mainframe	CDW/VINCI
BIRLS Death File - real SSN	Complete datasets	Extract
CDW SQL Domains	N/A	Extract
DSS NDE SQL Domains	N/A	Extract
MedSAS & Workload SAS datasets – real SSN (VISN & National)	Complete Datasets	Extract
Vital Status File SAS dataset - real & scrambled SSN	Complete datasets	Extract

DART Research Access Options

OEF/OIF and Web Reports

Data Source	Access
OEF/OIF Roster Files - real & scrambled SSN	Extract or all records
DSS Web Reports – real SSN	VSSC Website Report
VSSC Web Reports – real SSN	VSSC Website Report

Where to Start DART Request Process

■ Begin on NDS web pages

- <http://vaww4.va.gov/NDS/DataAccess/DataAccessRES.asp>
 - Descriptions of required documents
 - Link to data access forms
 - Link to Functional Task Codes
 - Launch **DART** button

■ VINCI Central

- <http://vaww.vinci.med.va.gov/vincicentral/>



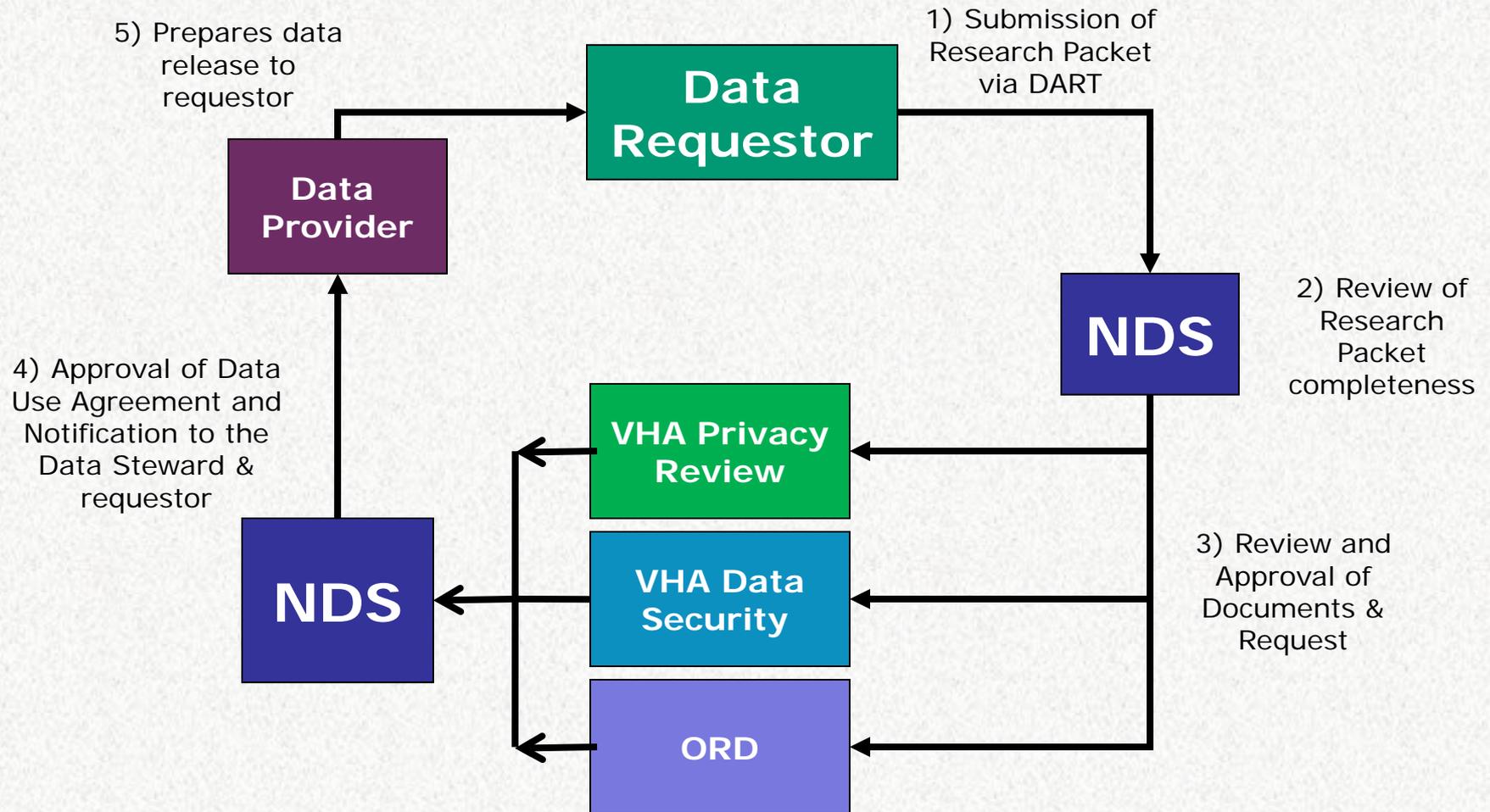
DART

Request Process

- 1. Enter project information**
 - a) Principal Investigator
 - b) Project staff & roles
 - c) Primary and secondary research sites
- 2. Enter information about data needed**
- 3. Click to upload each required document listed by system**
- 4. Submit request**



DART Research Approval Process - NDS



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Audience Poll

(Heidi please convert to poll)

- Have you ever requested access to electronic health record (EHR) through VistAWeb or CAPRI ?
 - Yes
 - No

Differences and Similarities of VistAWeb & CAPRI

VistAWeb

- VA Intranet web portal accessed through local VistA login ID
- Data for a patient consolidated from all sites in single chronological view
- VistA Imaging available
- No software installation required
- Looks different from CPRS

CAPRI

- Single sign-on for access for patient or facility list
- Views data for individual patient for one healthcare site at a time
 - Provides direct access to VistAWeb
- Search progress notes for terms about a specific patient
- VistA Imaging available through link to VistAWeb
 - Access to Federal Health Information Exchange (FHIE)/DoD health data
- Requires special software and access/verify codes
 - Looks like CPRS

Access to VistAWeb & CAPRI

- “Special User” access for those who need access to non-local medical records
- Granted by NDS Health Information Access (HIA) program
- See HIA website for details of access requirements and faxing instructions <http://vaww.va.gov/hia/>
- Submit questions to HIA at: hia@va.gov
- Available through DART soon



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Audience Poll

(Heidi please convert to poll)

- **Have you ever requested access to data from Patient Care Services (PCS)?**
 - Yes
 - No

PCS Data Sources

Care Management/
Social Work Service

Geriatrics

Primary Care

Telehealth Services

Mental Health
Services

Rehabilitation and
Prosthetic Services

Diagnostic Services

SCI/Disorders
Services

National Center for Health Promotion/
Disease Prevention (NCP)

Specialty Care Services

Specialty Care Services Data Sources

Cardiology

Eastern Pacemaker

Infectious Disease

Neurology

Oncology (VACCR)

Diabetes

Foot Care (Podiatry)

MRSA

PADRECC

Surgery

Access to PCS Data

- PCS provides custom analytic datasets created from data within its stewardship for research use
- Data Transfer Agreement (DTA) required
- Other requirements vary based on use:
 - Research Studies
 - Quality Improvement Studies
 - Program Evaluation Studies
- Data request and data dictionaries are available on the PCS SharePoint site:

<http://vaww.infoshare.va.gov/sites/OSPM/default.aspx>



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Audience Poll

(Heidi please convert to poll)

- **Have you ever requested PBM data?**
 - Yes
 - No

Access to VHA Pharmacy Benefits Management (PBM) Data

- Data steward: PBM Services
- No direct researcher access
- PBM Services will create a custom data extract in SAS format on request

Access to PBM Data – cont.

■ Submission requirements:

- Copy of IRB approval letter
- Summary of study protocol
- Completed research data request form
- Data disclosure form (DUA)

■ PBM data request link:

- Research data request form
- Instructions for requesting a data extract at

<http://vaww.apps.cmop.va.gov/PBMIntranetWEbSiteArchive/research-qualityimprovement/rdrf.asp>



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Audience Poll

(Heidi please convert to poll)

- **Have you ever requested access to Centers for Medicare and Medicaid Services (CMS) data or United States Renal Data System (USRDS) data?**
 - Yes
 - No

VA/CMS Data for Research

- **VIReC provides custom SAS datasets**
- **Types of VA/CMS Data**
 - Medicare
 - Medicaid
 - Patient Assessment (OASIS & MDS)
 - Medicare Current Beneficiary Survey (MCBS)
 - United States Renal Data System (USRDS)



Information about VA/CMS Data

- Information about the VA/CMS data for research is available on VIREC's VA/CMS website:

<http://vaww.virec.research.va.gov/Index-VACMS.htm>

- Data request instructions and contact information are available on the VA/CMS Web page:

<http://vaww.virec.research.va.gov/VACMS/Requests/Overview.htm>

- Pre-request consultations are highly recommended



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Minimizing Data Request Review Time

■ IRB Protocol

- Where real SSNs are needed, clearly justify the reason
- Clearly indicate the types of data needed
- Review study data privacy & security plans with local PO & ISO

Minimizing Data Request Review Time – cont.

■ IRB and R&D Committee Approval

- Provide original and current approval letters
- Verify that your IRB approval includes
 - HIPAA authorization or waiver of authorization
 - Informed consent forms, where appropriate
- For multiple-site studies provide
 - Local IRB approvals for each site or
 - VA Central IRB approval

Minimizing Data Request Review Time – cont.

■ Form 9957, when required

- Type all fields except the signatures
- Accompany signatures with person's name & title
- PKI Electronic signatures are required for DART submissions, allowed, but not required for others

Minimizing Data Request Review Time – cont.

■ General suggestions for DART

- Name electronic documents clearly
- Submit only .pdf or Word documents (e.g., .doc, .docx)
- Double check - before submitting the request
 - Are uploaded documents complete?
 - Are each of the documents uploaded correctly?

■ Respond to reviewer questions promptly

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CONTACTS & HELP



Austin Mainframe & DART Helpdesk Contact

- For questions regarding Austin Mainframe or DART
 - National Service Desk
 - E-Mail: cdco-nsd@va.gov
 - Phone: 888-326-6780



Data Access Help - DART

- **NDS information about required documents**

<http://vaww4.va.gov/NDS/DataAccess/DataAccessRES.asp>

- **Data access forms for NDS requests**

<http://vaww4.va.gov/NDS/DataAccess/DataAccessForms.asp>

- **VINCI**

<http://vaww.vinci.med.va.gov/vincicentral/>



VIReC Website

■ VIReC website:

<http://vaww.virec.research.va.gov>

- Documentation on select VA datasets used in research
- Announcements on transition of data to the Corporate Data Warehouse
- Access portals and processing platforms
- Data access options and methods
- Access requirements for select data sources
- Frequently Asked Questions (FAQs) - Quick answers to common questions about accessing VA data



VIReC Help (cont'd)

■ HSRData Listserv

- Join at the VIReC Web site
- Discussion among >500 data stewards, managers, and users
- Past messages in archive (on intranet)

■ VIReC Help Desk

- virec@va.gov
- VIReC staff will answer your question and/or direct you to available resources on topics



Questions?

BONUS SLIDES

- **Common Terms & Acronyms**
- **NDS required documents**
- **Completing VA Form 9957**
- **Access to VA Data by Non-VA Researchers**

Common Terms & Acronyms

Common Terms & Acronyms

Term/ Acronym	Description
AITC	Austin Information Technology Center (AITC) is the VA's centralized computer processing center located in Austin, TX. Also referred to as: Corporate Data Center Operations, Austin Campus, Austin Automation Center, and Corporate Franchise Data Center.
CUPS POC	Customer User Provisioning System (CUPS) Point Of Contact (POC), formerly called the ACRS POC, provides local assistance in completing VA form 9957 and grants local access to AITC data. This role is frequently performed by the ISO. To identify your CUPS POC, contact the AITC Service Desk at (888) 326-6780 or send an email to cdco-nsd@va.gov
ISO	Information Security Officer at local facility/station – participates in IRB reviews
PO	Privacy Officer at local facility – participates in IRB reviews
Data Steward	The office responsible for maintenance and protection of a database, also known as Data Custodian or Information Custodian.
DUA/DTA	Data Use Agreement or Data Transfer Agreement
HIA	NDS Health Information Access Program

Common Terms & Acronyms

Term/ Acronym	Description
NDS	National Data Systems is a division of VHA Office Information and Analytics (OIA), Health Information Governance (HIG) and is the data steward for data at AITC, including the Medical SAS Datasets (MedSAS), the VA Vital Status Files, and the CDW; and coordinates access to other data at AITC.
Real SSN Data	Data containing real Social Security Numbers
Scrambled SSN Data	Data containing coded e.g., scrambled Social Security Numbers
TSO Account	Time Sharing Option account through which programs may be submitted to access data on the mainframe computers at AITC
VA Form 9957	Request form required as part of requests for authorization to access VA data at AITC. Links to this form maybe found on the NDS and VIREC intranet websites. Also called the CUPS form, formerly called the ACRS form.
FTC	Functional Task Code: Code associated with a type or group of datasets. Used on the 9957 form to identify data for which access is being requested.
MedSAS	Medical SAS Data sets include the VHA Inpatient, Outpatient and Fee-basis Databases

Common Terms & Acronyms

Term/ Acronym	Description
DSS	Decision Support System data includes National Data Extracts (NDE) and DSS Web Reports
BIRLS	Beneficiary Identification and Records Locator Subsystem Death File
PCS	Patient Care Services provides analytical datasets that are within its stewardship
CAPRI	Compensation and Pension Records Interchange – read-only access to EHR at national level through installed software
VistAWeb	Read-only web interface to EHR at national level through web portal
VSSC	VA Support Service Center provides data cubes and web reports on many VHA data sources
PBM	Pharmacy Benefits Management provides extracts of VHA pharmacy data
CDW	Corporate Data Warehouse – a growing national repository of clinical and administrative data in a relational data warehouse architecture
VINCI	VA Informatics and Computing Infrastructure – a secure processing platform with a wide variety of software useful to researchers

NDS Required Documents

NDS Required Documents

Per Research Study	Per Study Site	Per Person
<ul style="list-style-type: none"> ■ Research Data Request Memo ■ Research Protocol ■ Data Use Agreement ■ Sample Informed Consent and HIPAA Authorization, where applicable 	<ul style="list-style-type: none"> ■ Research and Development (R&D) Committee approval letter ■ IRB approval letter, original & current ■ Waiver of HIPAA authorization, where applicable 	<ul style="list-style-type: none"> ■ VA Form 9957 for PI & study staff with access to system (mainframe or CDW) ■ VA Privacy Data Access Agreement ■ Vital Status Rules of Behavior, where applicable

Note: Not all documents are required for each data request.

NDS Data Requests That Require Form 9957

Links to NDS Data Access Information

1. NDS home page: <http://vaww4.va.gov/nds/>
2. NDS research data access request information:
<http://vaww4.va.gov/NDS/DataAccess/DataAccessRES.asp>
3. Links to NDS data access forms & instructions:
<http://vaww4.va.gov/NDS/DataAccess/DataAccessForms.asp>
 - [VA Form 9957](#)
 - INSTRUCTIONS
 - [VA Form 9957 Instructions <Mainframe>](#)
 - [VA Form 9957 Instructions for CDW](#)



ACCESS FORM

PRIVACY ACT STATEMENT: The information is solicited under authority of Title 38, United States Code and Executive Order 9397 and is necessary to accomplish the action requested by the requester, including establishing, modifying or deleting a Customer Account. Furnishing the information on this form is voluntary; however, if the information is not furnished, we will be unable to take further action on your request.

NOTE: Information from this form is used to establish VA Accounts or to grant access to VA resources.

ARE YOU CURRENT ON YOUR SIGNED RULES OF BEHAVIOR; CYBER SECURITY AND PRIVACY TRAINING? <input type="checkbox"/> YES <input type="checkbox"/> NO	TYPE OF ACCESS <input type="checkbox"/> ZOS (Mainframe) <input type="checkbox"/> WINDOWS <input type="checkbox"/> EMAIL <input type="checkbox"/> UNIX <input type="checkbox"/> DATABASE <input type="checkbox"/> LAN ACCOUNT <input type="checkbox"/> USD <input type="checkbox"/> OTHER (Specify) _____	TYPE OF ACTION REQUESTED <input type="checkbox"/> CREATE NEW CUSTOMER <input type="checkbox"/> MODIFY EXISTING CUSTOMER <input type="checkbox"/> DELETE EXISTING CUSTOMER
--	--	---

2. CUSTOMER INFORMATION

A. NAME (Last, First, Middle Initial)		B. CUSTOMER ID	C. TELEPHONE NUMBER (Include Area Code)
D. STATION (FACILITY) NUMBER		E. MAIL ROUTING SYMBOL OR STOP CODE	F. JOB TITLE
G. CONTRACTOR, OR IF TEMPORARY ACCESS, SHOW EXPIRATION DATE (Month, day, year)		H. GOVERNMENT ORGANIZATION, CONTRACTOR NAME EMPLOYER OR OTHER	
I. CONTRACTOR OR OTHER GOVERNMENT ORGANIZATION, OFFICE ADDRESS (Street, City, State, Zip Code)		J. ACTIVE DIRECTORY (AD) USERNAME	K. ACTIVE DIRECTORY (AD) DOMAIN
		L. E-MAIL ADDRESS	

NOTE: See reverse for instructions.

3. ACCESS REQUESTED

CHECK APPROPRIATE BOX		NAME OF FUNCTIONAL TASK CODES; PROFILES, WEB SERVERS; UNIX ACCOUNTS; DATABASE OR OTHER ACCESS	DEFINE LEVEL OF ACCESS REQUESTED OR CONCURRING SYSTEM MANAGER OF RECORD (SMR) DESIGNEE SIGNATURE AND TITLE (If required)
ADD	DELETE		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

VHA Form 9957

General Information

- For the header section and Section 2 follow the Form 9957 instructions found on the NDS data access forms page. The instructions are different for the mainframe and CDW, check both.
- Note: If you are the Principal Investigator you may be required to complete form 9957, but if you will not access the data on the mainframe you are not required to obtain a Time Sharing Option (TSO) account.
 - In Section 3 use the phrase “Does not require data access” in the Functional Task Code column.

Section 3: Access Requested

Mainframe & VSSC Only Access Requests

Describing the data being requested:

Functional Task Codes:

- Determine correct Functional Task Codes (FTC)
 - See: *Functional Task Code Access Grid* on NDS intranet site:
<http://vaww4.va.gov/NDS/FTCGrid.asp>
 - Or contact your local CUPS POC
- Include Functional Task Codes in Form 9957, *Section 3. Access Requested*
- Include all codes that apply

Section 3: Access Requested

CDW Only Access Requests

Describing the data being requested:

- **CDW domains: request use these words:**
 - “Basic read access” IEN identifiers used within CDW
 - “Privileged Read Access” for Real or scrambled SSN Access
- **Other CDW/VINCI data use real or scrambled SSNs**
 - MedSAS datasets
 - Vital Status
- **Include all descriptions that apply**

Section 3: Access Requested

Mainframe/CDW Hybrid Access Requests

Describing the data being requested

- **Mainframe data-** use Functional Task Codes
- **CDW data** – use those on previous slide
- **VSSC & DSS Web Reports** - use these words
 - VISN Level Real SSN DSS Web Reports
 - VISN Level Real SSN VSSC Web Reports
 - National Level Real SSN DSS Web Reports
 - National Level Real SSN VSSC Web Reports

Include all descriptions that apply

Section 4 Signatures

- **To complete VA Form 9957, sign your name electronically and obtain electronic signatures of approving official(s) in Section 4:**
 - **For all scrambled SSN data**, VISN and national real SSN data and all Vital Status Files the approving officials are:
 - For study staff: the PI
 - For the PI: the ACOS-R or other supervisor,
 - **For local real SSN data**
 - The signature above, plus local Facility Director
 - **For VISN real SSN data**
 - The signature above, plus local HSR&D Director

**Note: Local policies on additional required approvals may vary
--- check with your CUPS POC**



VA Form 9957 cont.

3. Provide a copy of the signed form to the CUPS POC (or ISO) for your facility.
 - A. For VISN or national real SSN data, submit the Form 9957 with your DART request
 - B. For local access or national scrambled SSN access your CUPS POC will process the request.

Form 9957 - Signature Block Local Approval

Mainframe MedSAS/Workflow Data with Scrambled SSNs

4. SIGNATURES	
A. REQUESTING OFFICIAL & TITLE Your Name and Title + Electronic Signature	B. DATE
C. APPROVING OFFICIAL & TITLE Your Supervisor Name, Title & Electronic Sign. (PI or ACOS-R)	D. DATE
E. SECOND APPROVING OFFICIAL & TITLE <i>(If required)</i>	F. DATE
G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER CUPS POC (ISO) Name & Title & Phone Number – Signature not required	

Form 9957 - Signature Block Local Approval

Local Facility MedSAS/Workflow data with Real SSNs

4. SIGNATURES	
A. REQUESTING OFFICIAL & TITLE Your Name, Title and Electronic Signature	B. DATE
C. APPROVING OFFICIAL & TITLE Your Supervisor Name, Title + Electronic Sign. (PI or ACOS-R)	D. DATE
E. SECOND APPROVING OFFICIAL & TITLE <i>(If required)</i> Your Facility Director Name, Title and Elect. Sign.	F. DATE
G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER CUPS POC (ISO) Name & Title & Phone Number – Signature not required	

Form 9957 - Signature Block Submit through DART

VISN Level Data with Real SSNs

4. SIGNATURES	
A. REQUESTING OFFICIAL & TITLE Your Name, Title and Electronic Signature	B. DATE
C. APPROVING OFFICIAL & TITLE Your Supervisor Name, Title and Elect. Sign. (PI or ACOS-R)	D. DATE
E. SECOND APPROVING OFFICIAL & TITLE <i>(If required)</i> Your ACOS-R or Local HSR&D Director Local requirements may vary...	F. DATE
G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER CUPS POC (ISO) Name & Title & Phone Number – Signature not required	

Form 9957 - Signature Block Submit through DART

National Data with Real SSNs & All Vital Status Files

4. SIGNATURES	
A. REQUESTING OFFICIAL & TITLE Your Name, Title and Electronic Signature	B. DATE
C. APPROVING OFFICIAL & TITLE Your Supervisor's Name, Title and Elect. Sign. (PI or ACOS-R)	D. DATE
E. SECOND APPROVING OFFICIAL & TITLE <i>(if required)</i> Local requirements may vary.....	F. DATE
G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER CUPS POC (ISO) Name & Title & Phone Number – Signature not required	

Access to VA Data by Non-VA Researchers



Access to VA Data by Non-VA Researchers

- The VA restricts release of data containing Protected Health Information (PHI) for research use to VA employees with approved VA research protocols
- **Exceptions:**
 - Obtain written permission of the VA Under Secretary for Health
 - Obtain a signed HIPAA-compliant authorization from the patient or his/her personal representative for access to the individual's health records

Access to VA Data by Non-VA Researchers

- **Request data in the form of a de-identified dataset under the Freedom of Information Act (FOIA).**
 - To do this, contact the FOIA officer at your nearest VA medical center to submit a request (<http://www.foia.va.gov/>).
 - De-identified data may contain none of the 18 elements of Protected Health Information as defined by HIPAA, and may not contain other information that makes re-identification likely.

Access to VA Data by Non-VA Researchers

- **Researchers who are not VA employees and are interested in using VA data may consider becoming affiliated with the VA.**
 - Collaborate with a VA researcher and establish VA standing for oneself such as an Interagency Personnel Agreement or a VA-Without Compensation (WOC) affiliate to work under the supervision of a Principal Investigator who is a qualified VA employee.



Quick Reference: Data Access

For Approved Research Projects

Local CUPS POC

Method: Users submit VA Form 9957 with Functional Task Codes and required signatures to the local VHA Customer User Provisioning System (CUPS) Point of Contact (POC).

Datasets:

- ADUSH Enrollment files
- BIRLS Death file (with scrambled SSNs)
- DSS Web Reports (national data with scrambled SSNs OR local data with real SSNs)
- Fee Basis files
- Medical SAS datasets (national data with scrambled SSNs OR local data with real SSNs)
- VSSC Web Reports (national data with scrambled SSNs OR local data with real SSNs)
- VETSNET (national data with scrambled SSNs OR local data with real SSNs)

DART

Method: Users upload required documents to the Data Access Request Tracker (DART).

Datasets:

- BIRLS Death file (with real SSNs)
- Corporate Data Warehouse (CDW)
- DSS National Data Extracts
- DSS Web Reports (VISN or national data with real SSNs)
- Medical SAS datasets (VISN or national data with real SSNs)
- OEF/OIF/OND Roster
- VSSC Web Reports (VISN or national data with real SSNs)
- VETSNET (VISN/national data with real SSNs)
- VHA Vital Status File

Direct Submission to Data Owner

Method: Some data owners have developed request process unique to their data. Required documents are usually sent to the data owner via email.

Datasets:

- CAPRI and VistAWeb
- Patient Care Services (PCS)
- National Prosthetics Patient Database (NPPD)
- Resident Assessment Instrument/Minimum Data Set (RAI/MDS)
- Pharmacy Benefits Management (PBM)
- Medicare and Medicaid (VA/CMS)

Specific requirements can be found on the VIReC website.

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