
Data Access Request Tracker (DART)

Tim Trautman

IT Business Analyst



VA Informatics &
Computing
Infrastructure



About DART

- An online application for National Data Systems (NDS) for IRB Research data access approvals - Not Operations nor Preparatory to Research
- Collects study information and documentation via a 4-screen “Wizard”
- Determines required documentation based on Wizard entries
- Distributes the request to approving authorities
- Authorities approve online

DART Features

- Contains Communications utility to capture discussions between Requestor and Approvers
- Has step-by-step email notifications of progress
- Captures every event for tracking History
- Displays actual and average approval times
- Allows for request amendments online

DART Paperwork

- Studies generally need the following:
 - Research Request Memo (DART User Guide Appendix A)
 - IRB Approval letter
 - HIPAA Consent/Authorization OR Waiver
 - Research & Development Committee letter
 - Research Protocol
 - Real SSN Access Request (For Real SSN identifiers)
 - VA Form 9957 (DART User Guide Appendix B)
- Forms can be found on the VHA Data Portal

DART Forms on VHA Data Portal

<http://vaww.vhadataportal.med.va.gov>

Department of Veterans Affairs
VHA Data Portal

Home Data Sources Data Access Tools Resources Training About Us Support

Welcome to the VHA Data Portal!

The one-stop-shop for data users' needs.

The VHA Data Portal is a collaborative effort among the following program offices to provide a central gateway to information about VHA data:

- VHA National Data Systems (NDS)
- VA Information Resource Center (VIRc)
- VA Informatics and Computing Infrastructure (VINCI)
- VHA Data Quality Program

Our mission is to promote a knowledge-sharing culture that supports the needs of VHA data users. The portal integrates information from multiple sources into a common format and single location to promote a comprehensive knowledge base and to facilitate a positive end-user experience.

Data Access:
Visit the
Access-Section
to learn about
requesting access
to VHA Data

News

Change in Real SSN Research Data Request Process

ORD has instituted a change in the approval process for researchers' requests for data with real SSNs. New and pending DART requests will be required to submit the [Real SSN Access Request](#) form. Visit the [Real SSN Data Request Process](#) page on VIRc's website for information on the new procedures and how the right effort can be made.

Upcoming Events

VIRc Cyberseminars

- Nov 3: [Requesting Access to VA Data for Research & Operations](#)
- Nov 18: [Uses of Mobile Text Messaging to Engage Homeless Persons](#)
- Dec 1: [Assessing Inpatient and Outpatient VA Health Care Use](#)

VINCI Cyberseminars

Popular Links

Data Access Request Tracker (DART)










- [DART Overview and Forms](#)
- [Launch DART Application](#)

Resources

- [Corporate Databases Monograph](#)
- [DAR](#)
- [HSRData-L Listserv](#)

DART Forms on VHA Data Portal

Data Request Forms

- [Research Request Memo](#)  – **NEW** – *This replaces the DUA for **ALL** Research requests after June 2, 2014*
- [VA 9957 Form](#) 
- [Real SSN Access Request](#)  – **NEW** – *required for access to real SSNs*
- [Data Use Agreement \(DUA\)](#)  – **NO LONGER REQUIRED** *after June 2, 2014 for research requests*
- [OEF/OIF/OND DUA Instructions](#)  – *OEF/OIF/OND Roster File only*
- [OEF/OIF/OND DUA](#)  – *OEF/OIF/OND Roster File only*
- [CDW Domain Check List](#)  – *CDW data only*
- [Vital Status Rules of Behavior](#)  – *Vital Status File only*
- [Special User Access Request Form for Researchers](#)  – *CAPRI and VistAWeb only*

VA Form 9957

- The 9957 form is usually required for PI and always required for anyone requesting AITC Mainframe access
- If not everyone needs mainframe access, in section 3, put “Does not need mainframe access”
- Cannot use a 9957 from a different study

| Department of Veterans Affairs | | 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 SIGNIFICANT RULES OF BEHAVIOR, CYBER SECURITY AND PRIVACY TRAINING? | TYPE OF ACCESS | | TYPE OF ACTION REQUESTED |
| | <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) _____ | | <input type="checkbox"/> CREATE NEW CUSTOMER <input type="checkbox"/> MODIFY EXISTING CUSTOMER <input type="checkbox"/> DELETE EXISTING CUSTOMER |
| <input type="checkbox"/> YES <input type="checkbox"/> NO | | | |
| 2. CUSTOMER INFORMATION | | | |

VA Form 9957

■ Top Section

- Current on Security and Privacy training?
- Type of Access
 - Select ZOS for mainframe access
 - Select OTHER and specify “CDW” for CDW data
- Type of Action Requested
 - If mainframe data and new to mainframe, then CREATE
 - If you already have mainframe access, then MODIFY
 - If not mainframe, then CREATE

| | | |
|--|---|---|
| <i>NOTE: Information from this form is used to establish VA Accounts or to grant access to VA resources.</i> | | |
| ARE YOU CURRENT ON YOUR SIGNED RULES OF BEHAVIOR; CYBER SECURITY AND PRIVACY TRAINING? | TYPE OF ACCESS | TYPE OF ACTION REQUESTED |
| <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO | <input checked="" 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 checked="" type="checkbox"/> OTHER (Specify) CDW | <input checked="" type="checkbox"/> CREATE NEW CUSTOMER <input type="checkbox"/> MODIFY EXISTING CUSTOMER <input type="checkbox"/> DELETE EXISTING CUSTOMER |

VA Form 9957

■ Section 2 - Customer Information

- Person requesting access to data
- Must be entirely filled-out
- 2B - If mainframe, enter TSO account number

| 2. CUSTOMER INFORMATION | | | |
|---|--|---|---|
| A. NAME (Last, First, Middle Initial) Smith, John, Q. | | B. CUSTOMER ID Mainframe ID | C. TELEPHONE NUMBER (Include Area Code) (800) 555-1212 |
| D. STATION (FACILITY) NUMBER 660 | E. MAIL ROUTING SYMBOL OR STOP CODE 121 | F. JOB TITLE Research Associate | |
| G. CONTRACTOR, OR IF TEMPORARY ACCESS, SHOW EXPIRATION DATE (Month, day, year) | | H. GOVERNMENT ORGANIZATION, CONTRACTOR NAME EMPLOYER OR OTHER VHA Salt Lake City HCS | |
| I. CONTRACTOR OR OTHER GOVERNMENT ORGANIZATION, OFFICE ADDRESS (Street, City, State, Zip Code) 500 Foothill St., Salt Lake City, UT 84113 | | J. ACTIVE DIRECTORY (AD) USERNAME vhaslcsmithj | K. ACTIVE DIRECTORY (AD) DOMAIN vha19 |
| | | L. E-MAIL ADDRESS john.smith70@va.gov | |
| NOTE: See reverse for instructions. | | | |

VA Form 9957





■ Section 3 - Access Requested

- Must match the DART request Data Sources

| 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 <i>(If required)</i> |
| ADD | DELETE | | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Real and Scrambled SSN access to CDW Production and Raw | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Real and Scrambled SSN access to CDW DSS NDE | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Real SSN access to CDW TIU Notes | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Real and Scrambled SSN access to CDW DSS NDE (legacy) | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Real SSN access to Vital Status Crosswalk File | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | MedSAS including VetsNet Files for National Level Real SSN (1100TT01) | John Quinn III, Director of NDS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | MedSAS Files for VISN Level Real SSN (1100TT05) | John Quinn III, Director of NDS |
| <input type="checkbox"/> | <input type="checkbox"/> | | |

VA Form 9957

- **Section 4 - Signatures** (can be ink or digital)
 - 4A - Person requesting access with this form
 - 4C - Person's immediate VA supervisor or the PI
 - If person is PI, use immediate VA supervisor
 - 4E - Second official per local regulations (Usually ACOS-R or Facility Director)
 - 4G - Facility ISO (required)

| 4. SIGNATURES | | |
|--|--|---------|
| A. REQUESTING OFFICIAL & TITLE |  | B. DATE |
| C. APPROVING OFFICIAL & TITLE |  | D. DATE |
| E. SECOND APPROVING OFFICIAL & TITLE (If required) |  | F. DATE |
| G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER |  | G. DATE |

Routing of VA Form 9957

- Route *after* signatures
- If requesting Mainframe, send to local Customer User Provisioning System (CUPS) Point of Contact (POC) first to create mainframe Time Sharing Option (TSO) account and enters Functional Task Codes (FTC) requested
- If no mainframe or after CUPS, upload in DART

DART Access from VHA Data Portal

<http://vaww.vhadataportal.med.va.gov>

The screenshot displays the VHA Data Portal homepage. At the top, the Department of Veterans Affairs logo and the text "VHA Data Portal" are visible, along with a search bar and navigation links: Home, Data Sources, Data Access, Tools, Resources, Training, About Us, and Support. Below the header, a "Welcome to the VHA Data Portal!" message is followed by the tagline "The one-stop-shop for data users' needs." and a paragraph explaining the portal's collaborative nature. A list of program offices is provided: VHA National Data Systems (NDS), VA Information Resource Center (VIReC), VA Informatics and Computing Infrastructure (VINCI), and VHA Data Quality Program. A mission statement follows. To the right, a "Data Access:" section with a key icon encourages users to visit the Access Section. Below this, three small icons represent different data sources. The bottom of the page is divided into three columns: "News" (featuring a "Change in Real SSN Research Data Request Process" article), "Upcoming Events" (listing seminars on Nov 3, 18, and Dec 1), and "Popular Links" (highlighting the "Data Access Request Tracker (DART)" with a red arrow pointing to the "Launch DART Application" link, and listing resources like "Corporate Databases Monograph" and "HSRData-L Listserv").

Department of Veterans Affairs
VHA Data Portal

Home Data Sources Data Access Tools Resources Training About Us Support

Welcome to the VHA Data Portal!

The one-stop-shop for data users' needs.

The VHA Data Portal is a collaborative effort among the following program offices to provide a central gateway to information about VHA data:

- VHA National Data Systems (NDS)
- VA Information Resource Center (VIReC)
- VA Informatics and Computing Infrastructure (VINCI)
- VHA Data Quality Program

Our mission is to promote a knowledge-sharing culture that supports the needs of VHA data users. The portal integrates information from multiple sources into a common format and single location to promote a comprehensive knowledge base and to facilitate a positive end-user experience.

Data Access:
Visit the
Access Section
to learn about
requesting access
to VHA Data

News

Change in Real SSN Research Data Request Process
ORD has instituted a change in the approval process for researchers' requests for data with real SSNs. New and pending DART requests will be required to submit the [Real SSN Access Request form](#). Visit the [Real SSN Data Request Process](#) page on VIReC's website for information on the new procedures and how they might affect your research project.

Upcoming Events

VIReC Cyberseminars
Nov 3: Requesting Access to VA Data for Research & Operations
Nov 18: Uses of Mobile Text Messaging to Engage Homeless Persons
Dec 1: Assessing Inpatient and Outpatient VA Health Care Use

VINCI Cyberseminars
Nov 6: DART – The Data Access Request Tracker Application

Popular Links

Data Access Request Tracker (DART)

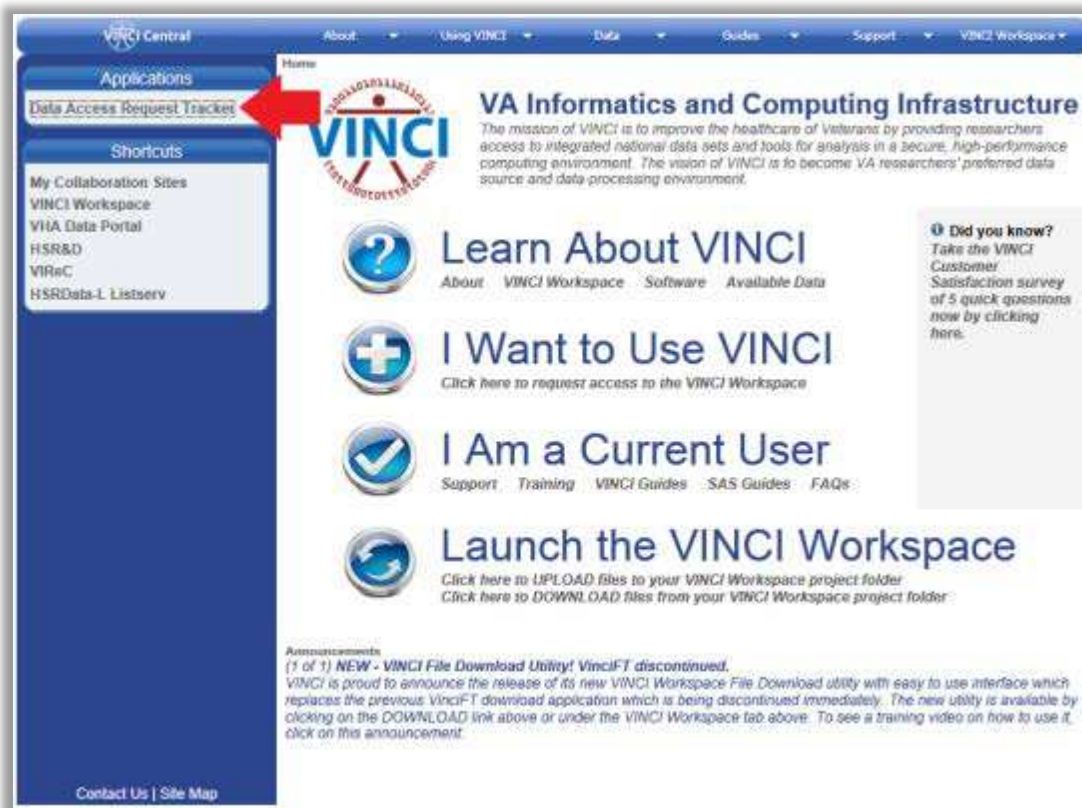
- DART Overview and Forms
- Launch DART Application

Resources

- Corporate Databases Monograph
- DAR
- HSRData-L Listserv
- RAMP

DART Access from VINCI Central

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



DART Login

- https://vhacdwttest02.vha.med.va.gov:8443/vinci_dart_client/dart9/index.html
- Enter User Name = VA Login User Name
- Enter VA Password



The screenshot shows a login interface with the VINCI logo at the top left. The text "Please Login" is displayed in a large, bold font. Below this, there are two input fields: "User Name" and "Password". A blue "Login" button is positioned below the password field. At the bottom of the form, a note states: "NOTE: Data Access Request Tracker authentication requires domain specific VHA Network credentials".

DART Demonstration - Requestor

Information Participants Data Documents Submit History Communication

2014.04.05-01 BSL Demo of DART

Activity Information

REQUEST INFORMATION

Short Name * BSL Demo of DART

IRB Number * 123456

IRB Expiration * 04/30/2015

Start Date * 04/30/2014

End Date * 04/29/2017

Previous Save Draft Next

SQL Format

☐ CDW Production Domains (Must complete CDW Production Domain Checklist)

☐ CDW Raw Domains (Must complete CDW Raw Domain Checklist)

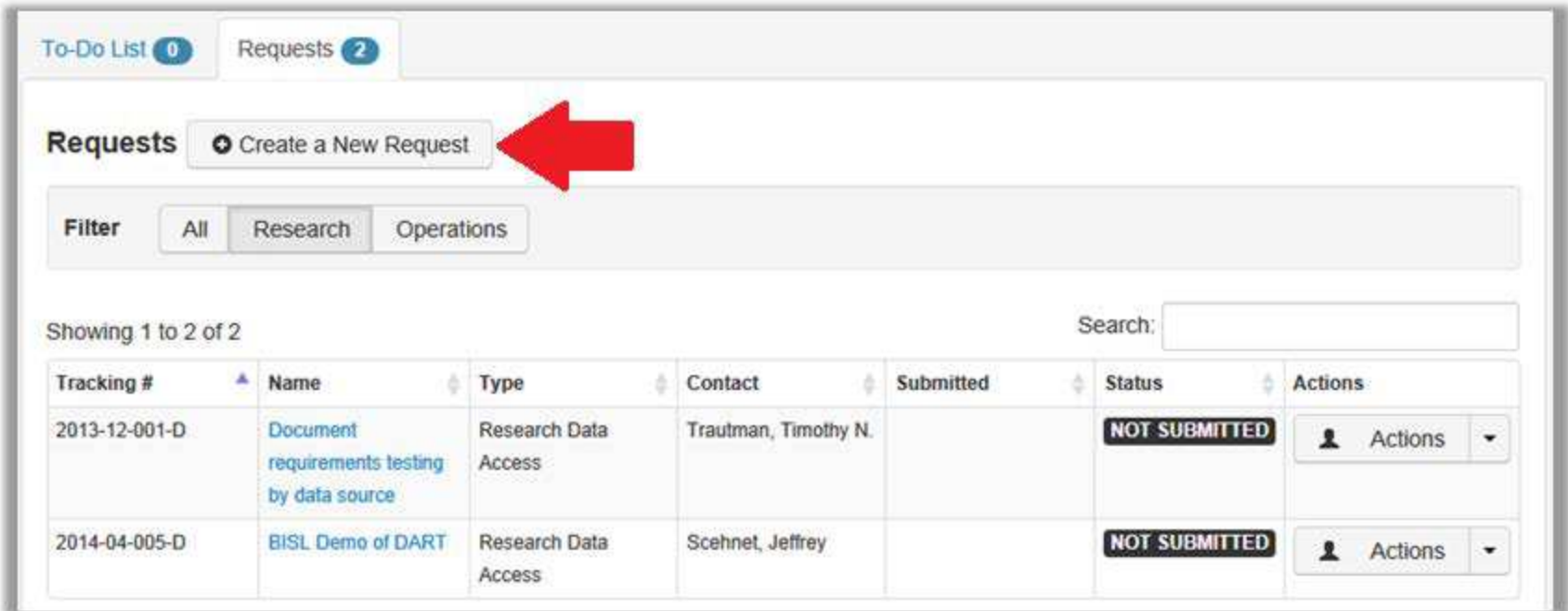
Production Domain Checklist, CDW Raw Domains (Must complete CDW Raw Domain Checklist)

Research and Development (RD) Committee Approval Letter (File Document)

Upload

DART Dashboard

- Displays To-Do List tab and Requests tab
- Create a New Request on Requests tab



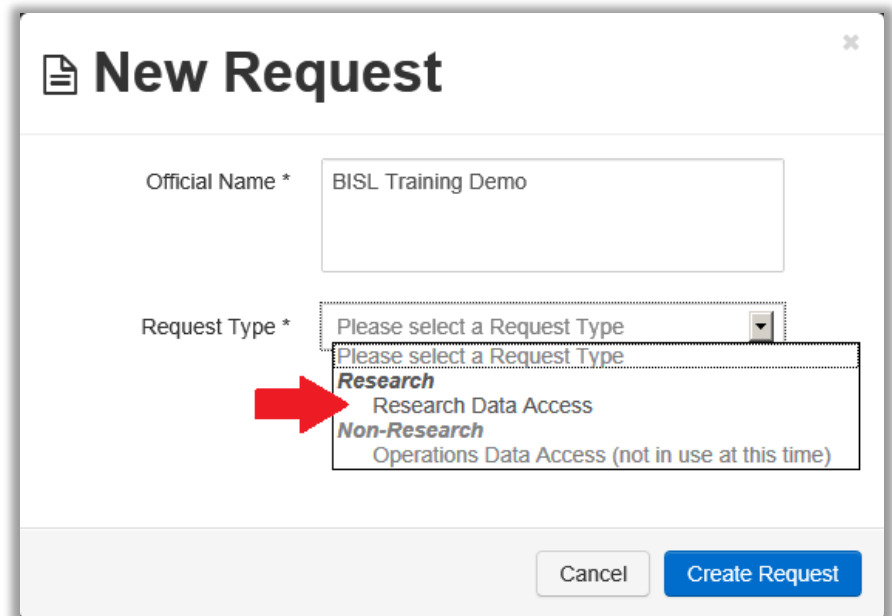
The screenshot shows the DART Dashboard interface. At the top, there are two tabs: 'To-Do List' with a count of 0 and 'Requests' with a count of 2. Below the tabs, the 'Requests' section is active. It features a button labeled 'Create a New Request' with a plus icon, which is highlighted by a red arrow. Below this button is a filter section with three buttons: 'All', 'Research' (which is selected), and 'Operations'. Below the filter section, it says 'Showing 1 to 2 of 2'. To the right of this text is a search bar labeled 'Search:'. Below the search bar is a table with the following columns: 'Tracking #', 'Name', 'Type', 'Contact', 'Submitted', 'Status', and 'Actions'. The table contains two rows of data.

| Tracking # | Name | Type | Contact | Submitted | Status | Actions |
|---------------|--|----------------------|----------------------|-----------|---------------|---------|
| 2013-12-001-D | Document requirements testing by data source | Research Data Access | Trautman, Timothy N. | | NOT SUBMITTED | Actions |
| 2014-04-005-D | BISL Demo of DART | Research Data Access | Scehnet, Jeffrey | | NOT SUBMITTED | Actions |

DART “Wizard” Initiate

■ Initiate

- Study Official Name (AKA - Protocol name)
- Request Type - *Research Data Access*



New Request

Official Name *

Request Type *

Research
Research Data Access
Non-Research
Operations Data Access (not in use at this time)

Cancel Create Request

DART “Wizard” Step 1

■ Activity Information

- Study Short Name (Nickname)
- IRB Number
- IRB Expiration
- Start Date
- End Date

The screenshot shows the 'Activity Information' step of the DART Wizard. The interface includes a top navigation bar with tabs: 'Information' (selected), 'Participants', 'Data', 'Documents', and 'Submit'. On the right, there are icons for 'History' and 'Communication'. Below the navigation bar, the date '2014-04-05-0' and the study name 'BISL Demo of DART' are displayed. The main section is titled 'Activity Information' with an information icon. Under the heading 'REQUEST INFORMATION', there are five input fields, each with an asterisk indicating it is required:

- Short Name*: BISL Demo of DART
- IRB Number*: 123456
- IRB Expiration*: 04/30/2015
- Start Date*: 04/30/2014
- End Date*: 04/29/2017

At the bottom of the form, there are two buttons: 'Previous' and 'Save Draft Next'.

DART “Wizard” Step 2

■ Participants

- Add names of study personnel & location
- Specify Principal Investigator
- Specify Primary Location

Information **Participants** Data Documents Submit

2016-04-05 09:01 BSL Demo of DART

Participants

PARTICIPANTS & LOCATIONS

| Name | Location | Notifications | Data Access | |
|------------------------------|--|-------------------------------------|-------------------------------------|------------------------------------|
| Scatnet, Jeffrey | (860) Salt Lake City HCS (Salt Lake City UT) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="button" value="Add"/> |
| Trachman, Timothy H. (PI/FT) | (860) Salt Lake City HCS (Salt Lake City UT) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="button" value="Add"/> |

Find People: Select a Location:

Important! Please select a Primary Location and a Principal Investigator for each location.

Primary Location: Principal Investigator:

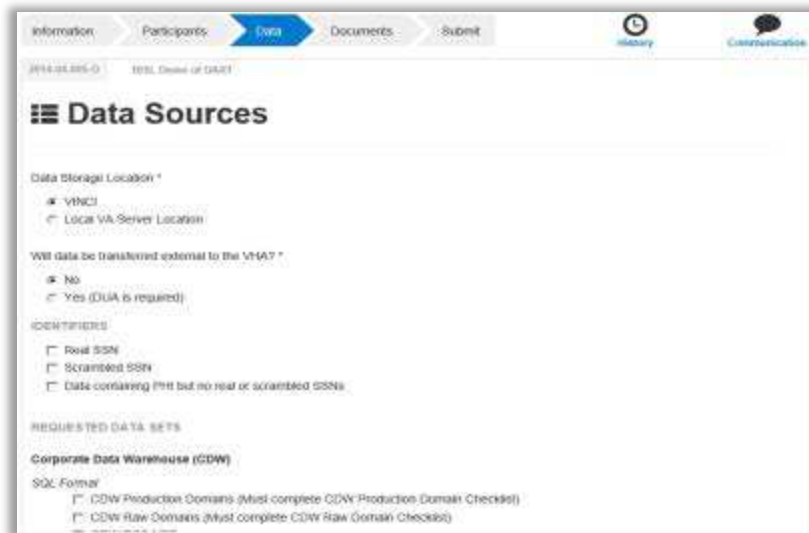
★ (860) Salt Lake City HCS (Salt Lake City UT) / Scatnet, Jeffrey

Previous Next

DART “Wizard” Step 3

■ Data Sources

- Specify data storage location
- Specify Identifiers
- Select available data sources
- Specify HIPAA consent OR waiver



The screenshot shows the 'Data Sources' step of the DART Wizard. The interface includes a navigation bar with tabs for Information, Participants, Data (selected), Documents, and Submit. Below the navigation bar, the title 'Data Sources' is displayed. The form contains several sections:

- Data Storage Location ***: Two radio buttons are present: 'VHICI' (selected) and 'Local VA Server Location'.
- Will data be transferred external to the VHA? ***: Two radio buttons are present: 'No' (selected) and 'Yes (DUA is required)'.
- IDENTIFIERS**: Three checkboxes are present: 'Real SSN' (unchecked), 'Scrambled SSN' (unchecked), and 'Data containing PII but no real or scrambled SSNs' (unchecked).
- REQUESTED DATA SETS**: A section for selecting data sets.
- Corporate Data Warehouse (CDW)**: A section for selecting CDW data sets. It includes two checkboxes: 'CDW Production Domains (Must complete CDW Production Domain Checklist)' (unchecked) and 'CDW Raw Domains (Must complete CDW Raw Domain Checklist)' (unchecked).

DART “Wizard” Step 4

■ Documents

- Displays required study documents
- Displays required participant documents
- Allows for upload and replacement (versions)

Information Participants Data Documents Submit

2014-04-05 10:00:00 000, Date of DART

Documents

NOTICE: Always check the Data Steward's web site (NDS | VDRG | CAPRAMMWeb) for the latest version of forms. Outdated forms will not be accepted. If a required document is actually several documents, such as an IRB and a Continuing IRB, combine them into one document before uploading. When you are required to replace documents after submission, it is easier for the reviewer if you replace all the documents that are changing at one time.

Required Documents Admin Documents

REQUIRED DOCUMENTS

000 Salt Lake City MCS (Salt Lake City UT) (Primary Site)

Research Request Memo (File Document) Upload

Required for CDW Production Domains (Must complete CDW Production Domain Checklist), CDW Raw Domains (Must complete CDW Raw Domain Checklist)

Research Study Institutional Review Board (IRB) Approval Letter (File Document) Upload

Required for CDW Production Domains (Must complete CDW Production Domain Checklist), CDW Raw Domains (Must complete CDW Raw Domain Checklist)

Research and Development (RD) Committee Approval Letter (File Document) Upload

DART Processing

- NDS approval takes approximately 14 days from submission to approval if paperwork and submission are in order
- Requests for changes adds additional time on behalf of the Requestor



DART Processing - Initial NDS Review

- Upon submission, the request is sent for an Initial NDS Review
 - Verify completeness of request
 - Verify documentation is valid
 - Determine appropriate approvals needed
 - Submit to additional reviewers as needed
 - Request Changes as needed
 - Deny the request if inappropriate use of DART



DART Processing - Added Reviews

- Reviews often include the need for approval by additional authorities such as ORD (for Real SSN requests), Privacy, Security, and other Data Stewards
- Reviews documentation relevant to them
 - Request Changes as needed
 - Deny their portion of the request as needed
 - Approve their portion of the request
- Upload approval documentation



DART Processing - Final NDS Review

- Upon approval by additional reviewers, NDS conducts a Final NDS Review
- Ensures completeness
- Upload approval documentation
- Approves request
- DART automatically notifies study of approval
- After approval, Requestor can amend request as needed



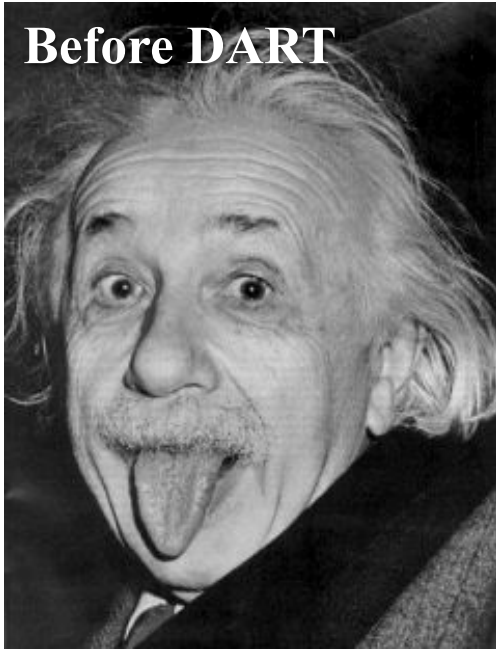
Post-DART Approval

- Mainframe requests are routed to CDW who activates the previously requested Functional Task Codes. CDW will contact you when done
- CDW/VINCI data requests are sent to VINCI for fulfillment. A VINCI Data Manager will contact you within a few days
- “Other” data requests are routed to their respective data stewards for fulfillment
- If VINCI Workspace is requested, VINCI will set up the study and then send out access information to individuals

QUESTIONS?

VINCI@va.gov

Before DART



After DART

