Data Access Request Tracker (DART)

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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

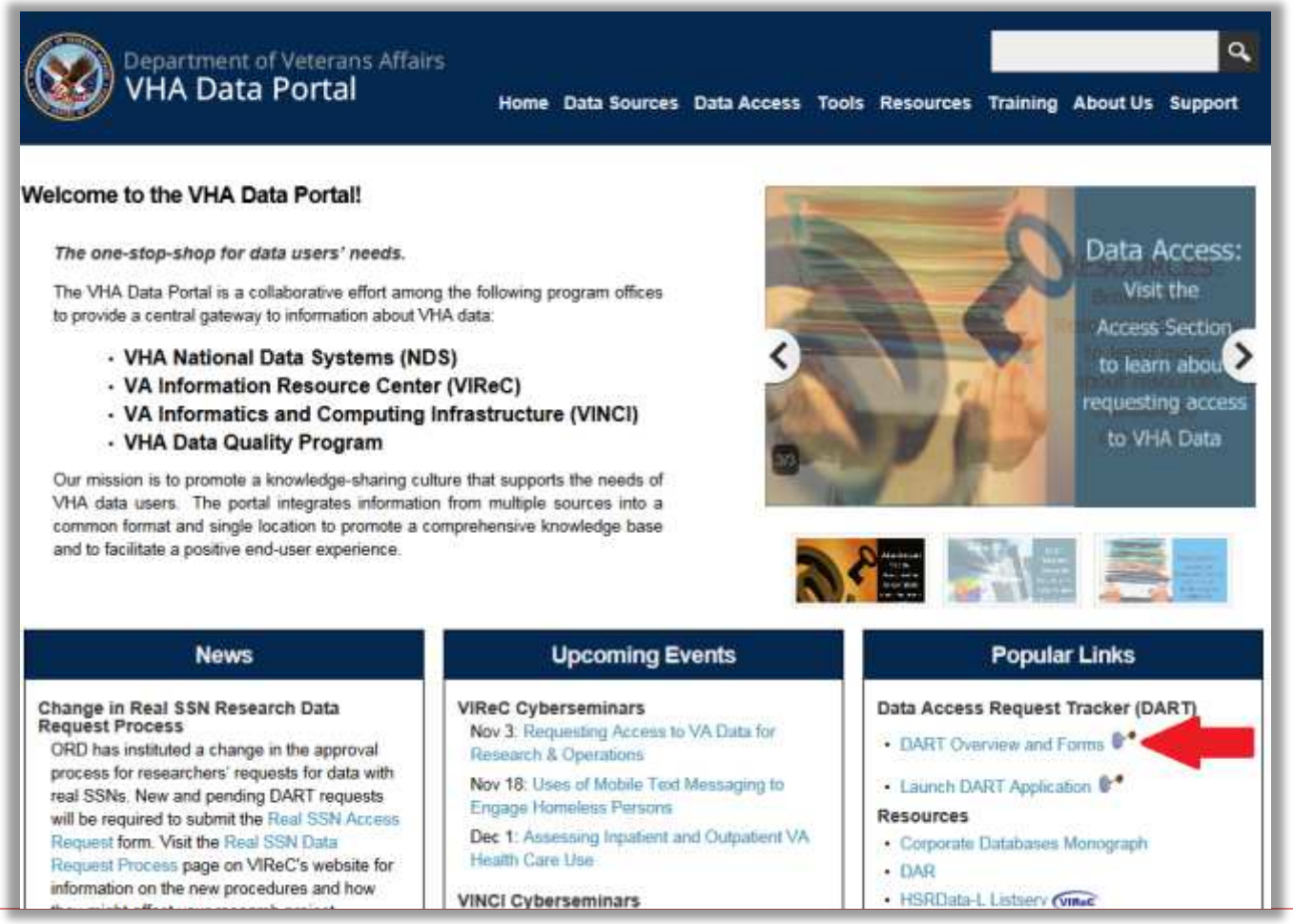
- Contains Communications utility to capture discussions between Requestor and Approvers
- Has step-by-step email notifications of progress
- Captures every event for tracking History
- Displays actual and average approval times
- Allows for request amendments online

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



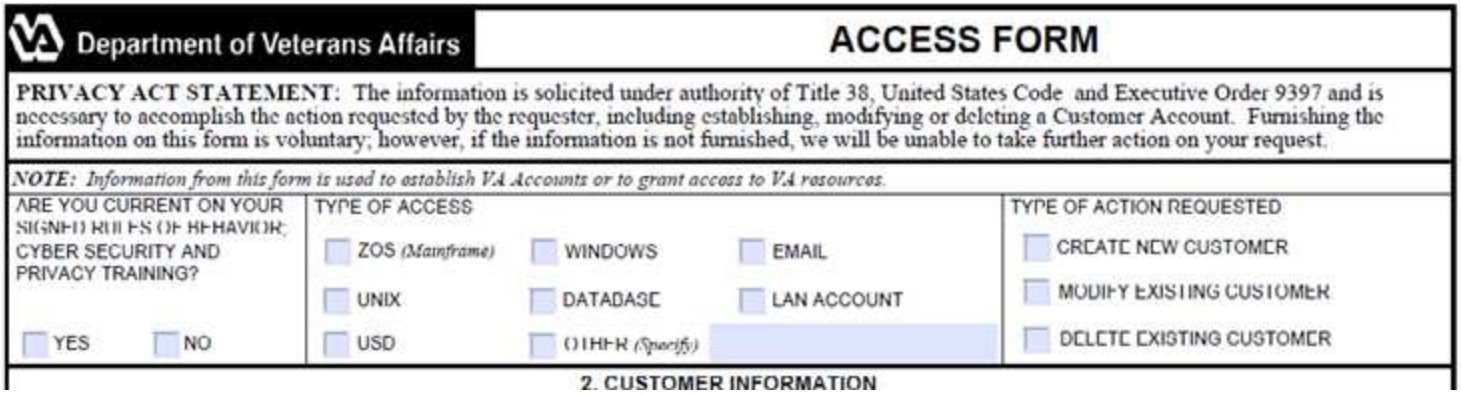
DART Forms on VHA Data Portal

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 SIGNED RULES OF BEHAVIOR, CYBER SECURITY AND PRIVACY TRAINING?

☐ YES ☐ NO

TYPE OF ACCESS

☐ ZOS *(Mainframe)* ☐ WINDOWS ☐ EMAIL

☐ UNIX ☐ DATABASE ☐ LAN ACCOUNT

☐ USD ☐ OTHER *(Specify)*

TYPE OF ACTION REQUESTED

☐ CREATE NEW CUSTOMER

☐ MODIFY EXISTING CUSTOMER

☐ DELETE EXISTING CUSTOMER

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

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?	TYPE OF ACCESS			TYPE OF ACTION REQUESTED
☒ YES ☐ NO	☒ ZOS *(Mainframe)*	☐ WINDOWS	☐ EMAIL	☒ CREATE NEW CUSTOMER
	☐ UNIX	☐ DATABASE	☐ LAN ACCOUNT	☐ MODIFY EXISTING CUSTOMER
	☐ USD	☒ OTHER *(Specify)* CDW		☐ 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)*	B. CUSTOMER ID	C. TELEPHONE NUMBER *(Include Area Code)*
Smith, John, Q.	Mainframe ID	(800) 555-1212

D.STATION (FACILITY) NUMBER	E. MAIL ROUTING SYMBOL OR STOP CODE	F. JOB TITLE
660	121	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)*	J. ACTIVE DIRECTORY (AD) USERNAME	K. ACTIVE DIRECTORY (AD) DOMAIN
500 Foothill St., Salt Lake City, UT 84113	vhaslcsmithj	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 *(If required)*
ADD	DELETE		
☒	☐	Real and Scrambled SSN access to CDW Production and Raw	John Quinn III, Director of NDS
☒	☐	Real and Scrambled SSN access to CDW DSS NDE	John Quinn III, Director of NDS
☒	☐	Real SSN access to CDW TIU Notes	John Quinn III, Director of NDS
☒	☐	Real and Scrambled SSN access to CDW DSS NDE (legacy)	John Quinn III, Director of NDS
☒	☐	Real SSN access to Vital Status Crosswalk File	John Quinn III, Director of NDS
☒	☐	MedSAS including VetsNet Files for National Level Real SSN (1100TT01)	John Quinn III, Director of NDS
☒	☐	MedSAS Files for VISN Level Real SSN (1100TT05)	John Quinn III, Director of NDS
☐	☐		

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)

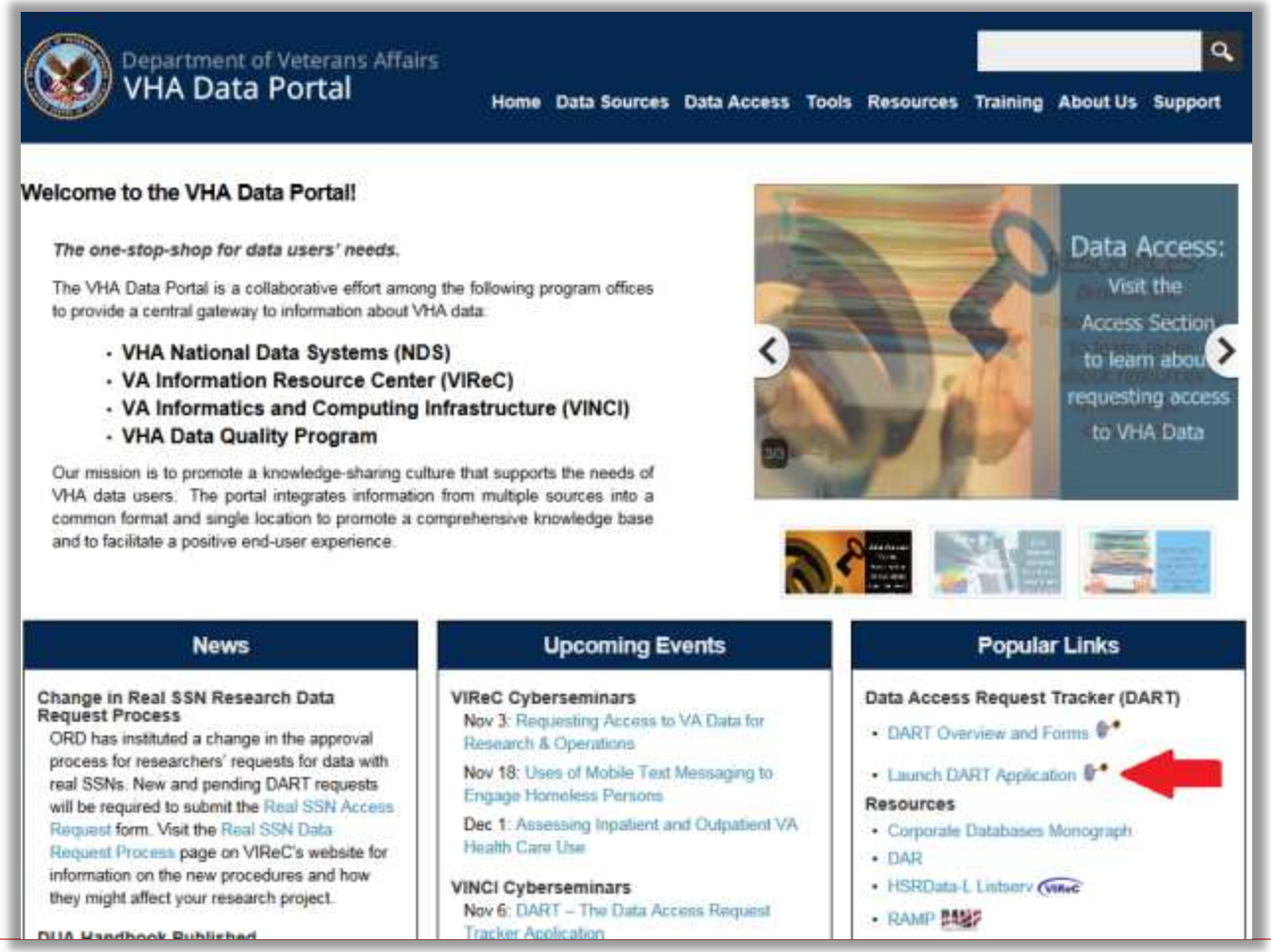
4. SIGNATURES		
A. REQUESTING OFFICIAL & TITLE		B.DATE
C. APPROVING OFFICIAL & TITLE		D. DATE
E. SECOND APPROVING OFFICIAL & TITLE *(If required)*		F. DATE
G. NAME AND TITLE OF FACILITY POINT OF CONTACT OR INFORMATION SECURITY OFFICER		G. DATE

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



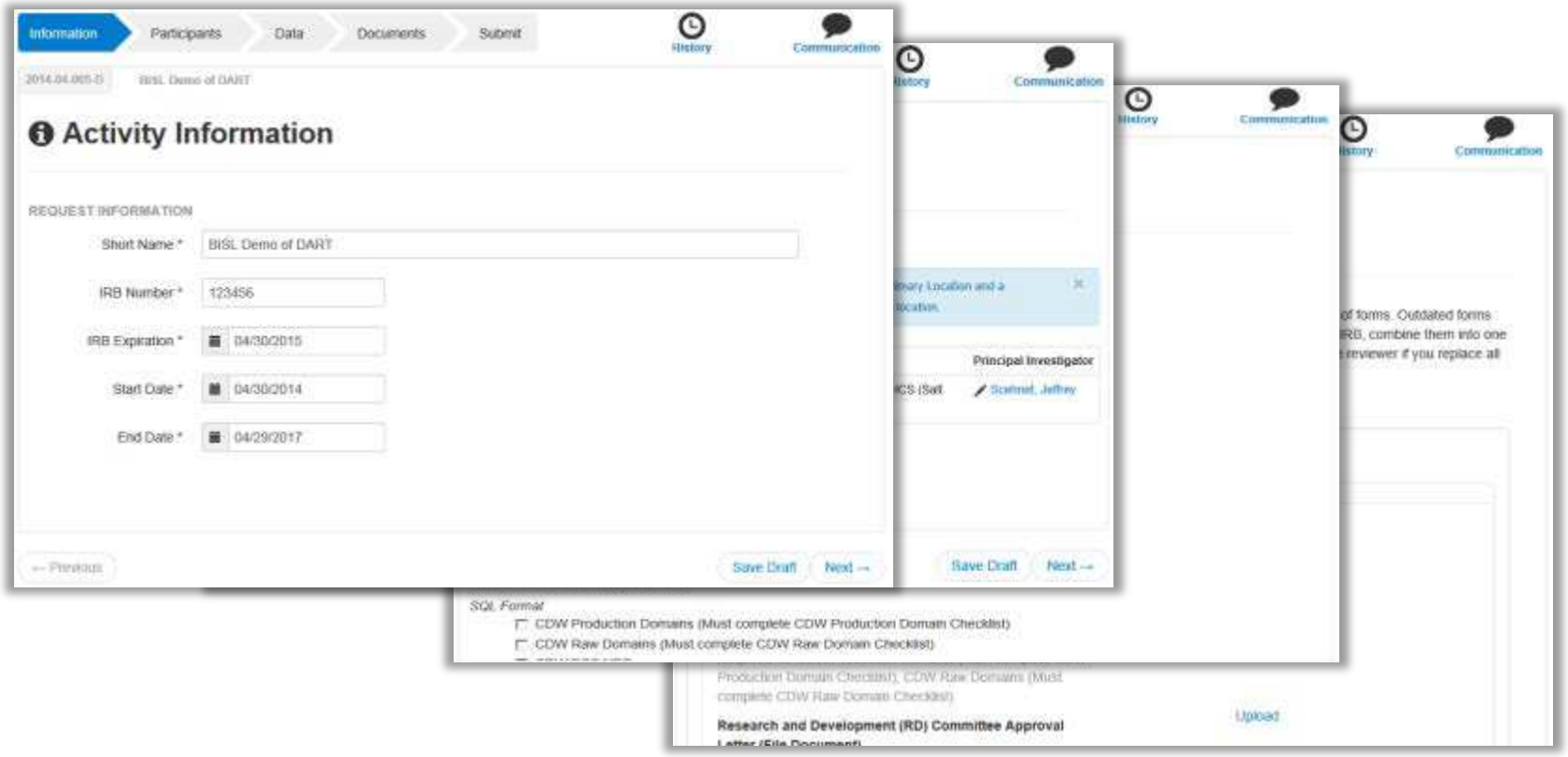
DART Access from VINCI Central

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

DART Login

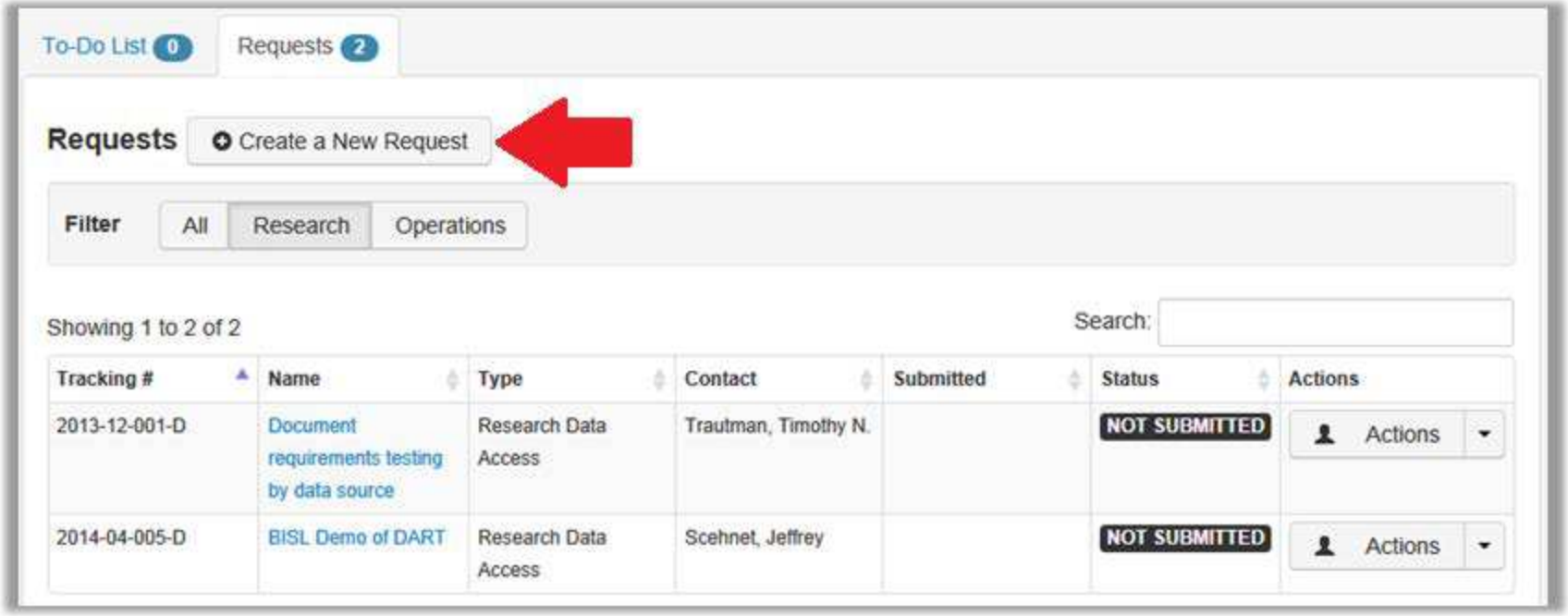
- https://vhacdwtest02.vha.med.va.gov:8443/vinci_dart_client/dart9/index.html
- Enter User Name = VA Login User Name
- Enter VA Password

DART Demonstration - Requestor



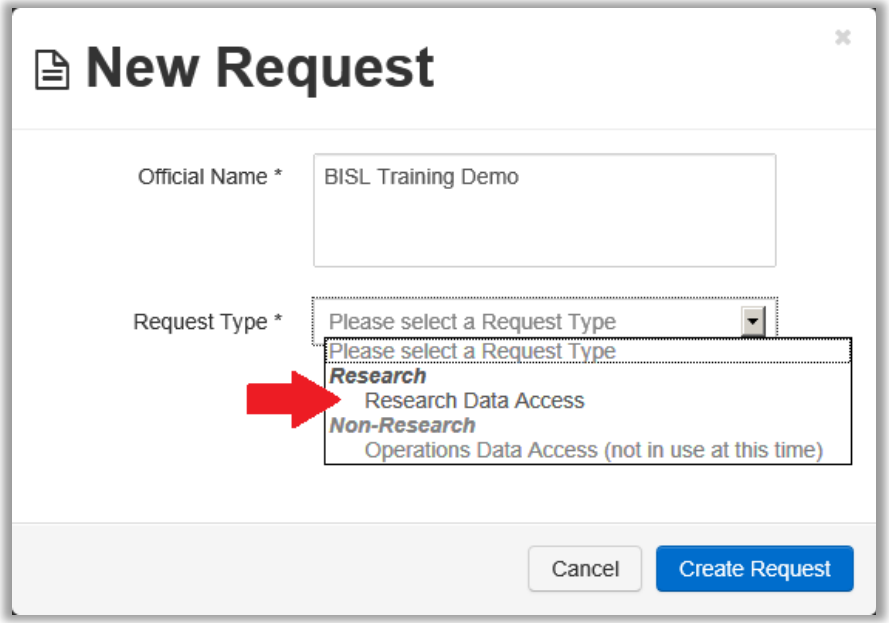
DART Dashboard

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



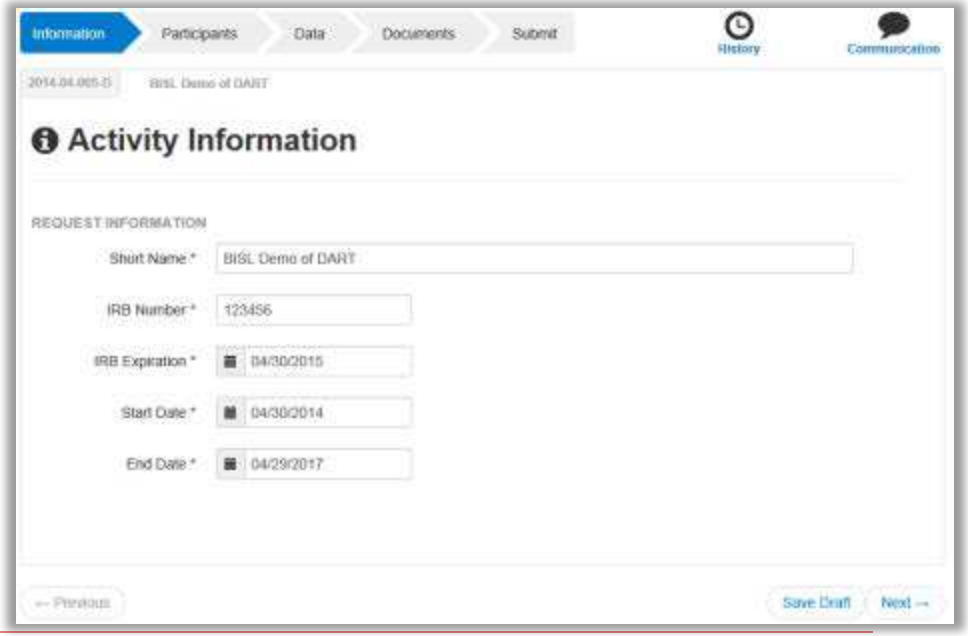
DART "Wizard" Initiate

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



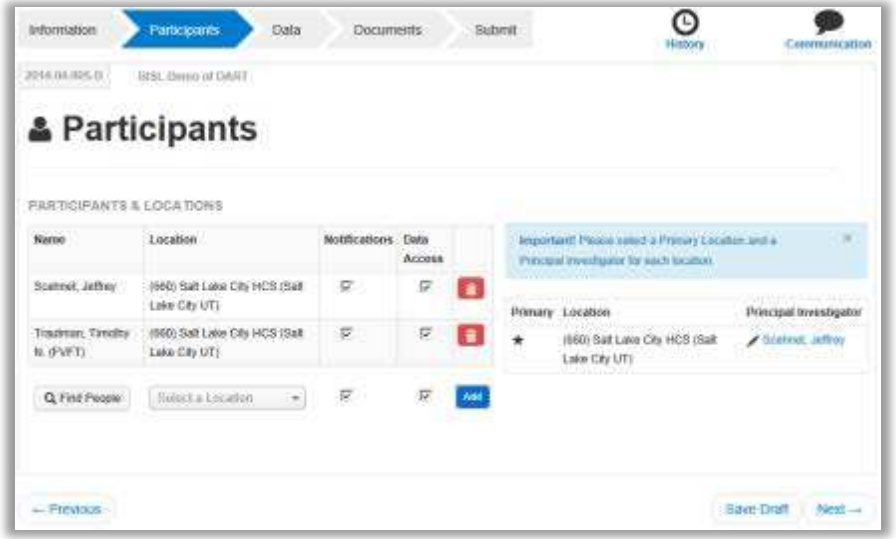
DART "Wizard" Step 1

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



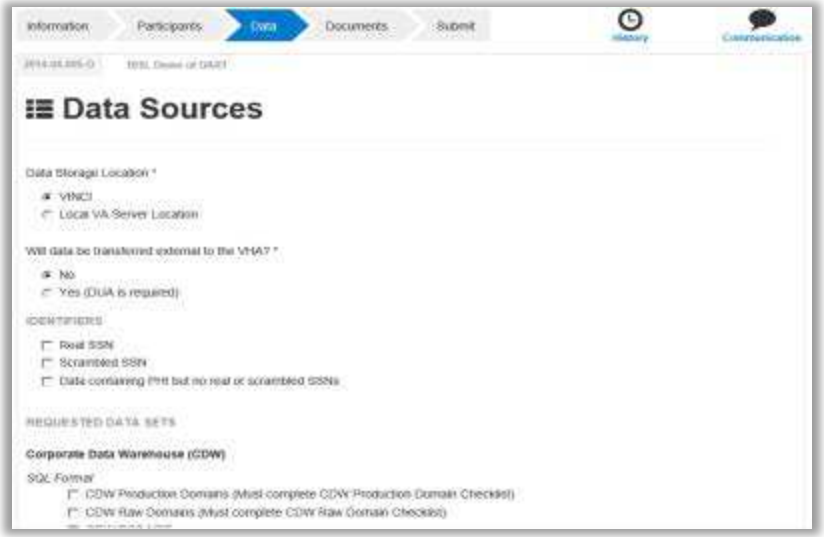
DART "Wizard" Step 2

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



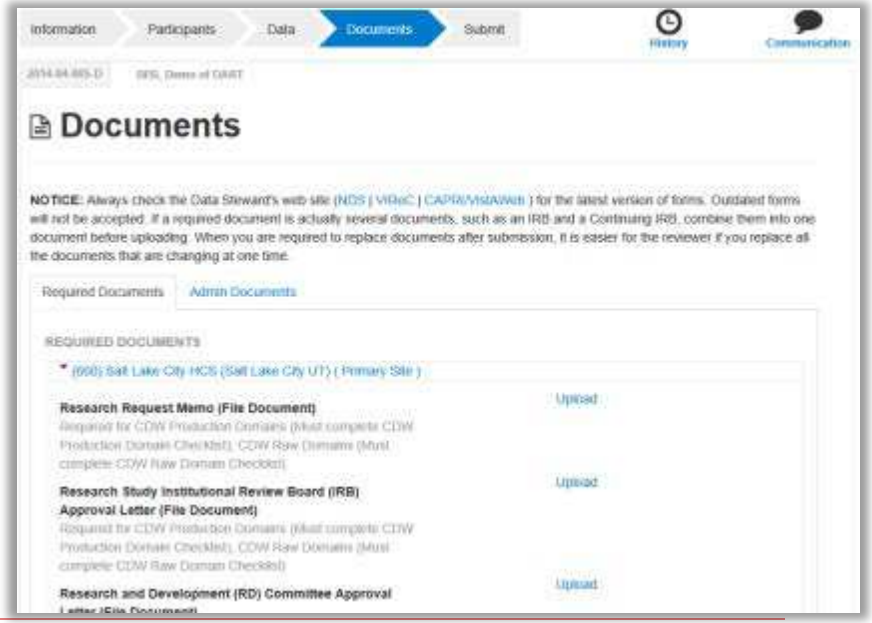
DART "Wizard" Step 3

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



DART "Wizard" Step 4

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



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

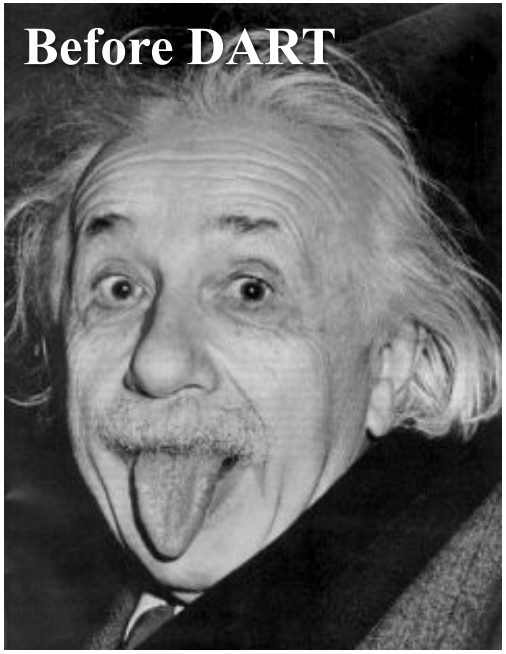
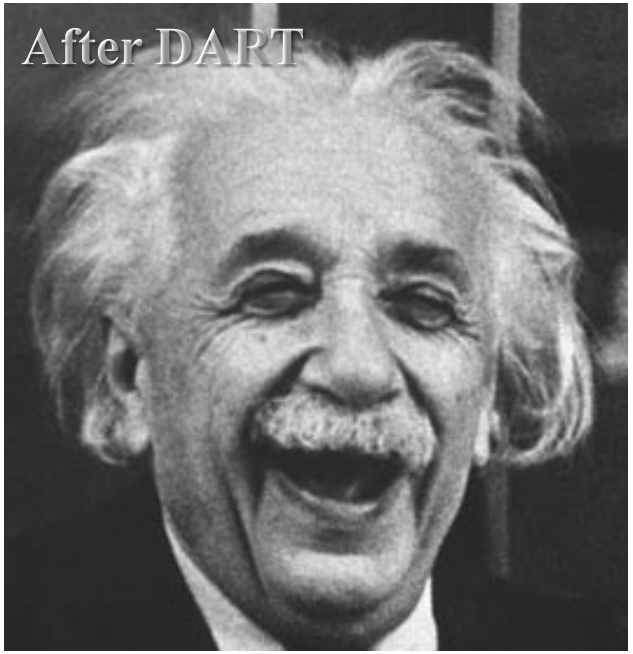
- Reviews often include the need for approval by additional authorities such as ORD (for Real SSN requests), Privacy, Security, and other Data Stewards
- Reviews documentation relevant to them
  - Request Changes as needed
  - Deny their portion of the request as needed
  - Approve their portion of the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