

VIReC DATA ACCESS MINISERIES

Session #: 3

VA Data Access for Operations

November 1, 2023



Angela Jannotta, BA
Data Access and Policy Specialist



VIReC DATA ACCESS MINISERIES

Informational seminars to help VA researchers access VA databases.

Topics Include:

VA Data Access for Research

VA Data Access for Preparatory to Research

VA Data Access for Operations







PREVIOUS DATA ACCESS SESSIONS

All session below will be held from 3:00pm-4:00pm ET

Date	Topic
9/6/23	Research Access to VA Data
10/4/23	Preparatory to Research VA Data Access
11/1/23	Operations Access to VA Data

Visit HSR&D's VIReC

Cyberseminar Archive

page to watch previous sessions.



Where can I download a copy of the slides?



SAMPLE EMAIL

A Practical Approach to Working with VA-Purchased Community
Care Data

Thursday, October 13, 2022 2:00 PM | (UTC-04:00) Eastern Time (US & Canada) | 1 hr

Please download today's slides
Please click here for today's live captions

Join webinar

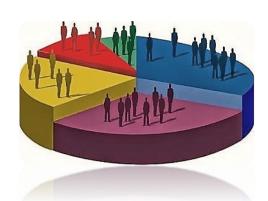
More ways to join:

Join from the webinar link

https://veteransaffairs.webex.com/veteransaffairs/i.php?

Poll #1:

What is your primary role in projects using VA data?

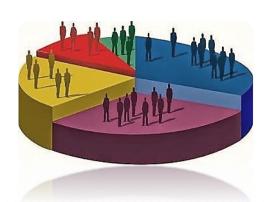


- Investigator, PI, Co-I
- Statistician, methodologist, biostatistician
- Data manager, analyst, or programmer
- Project coordinator
- Other please describe via the chat function



Poll #2:

How many **years of experience** working
with VA data?



- None I'm brand new to this!
- One year or less
- More than 1, less than 3 years
- At least 3, less than 7 years
- At least 7, less than 10 years
- 10 years or more





VIReC DATA ACCESS MINISERIES

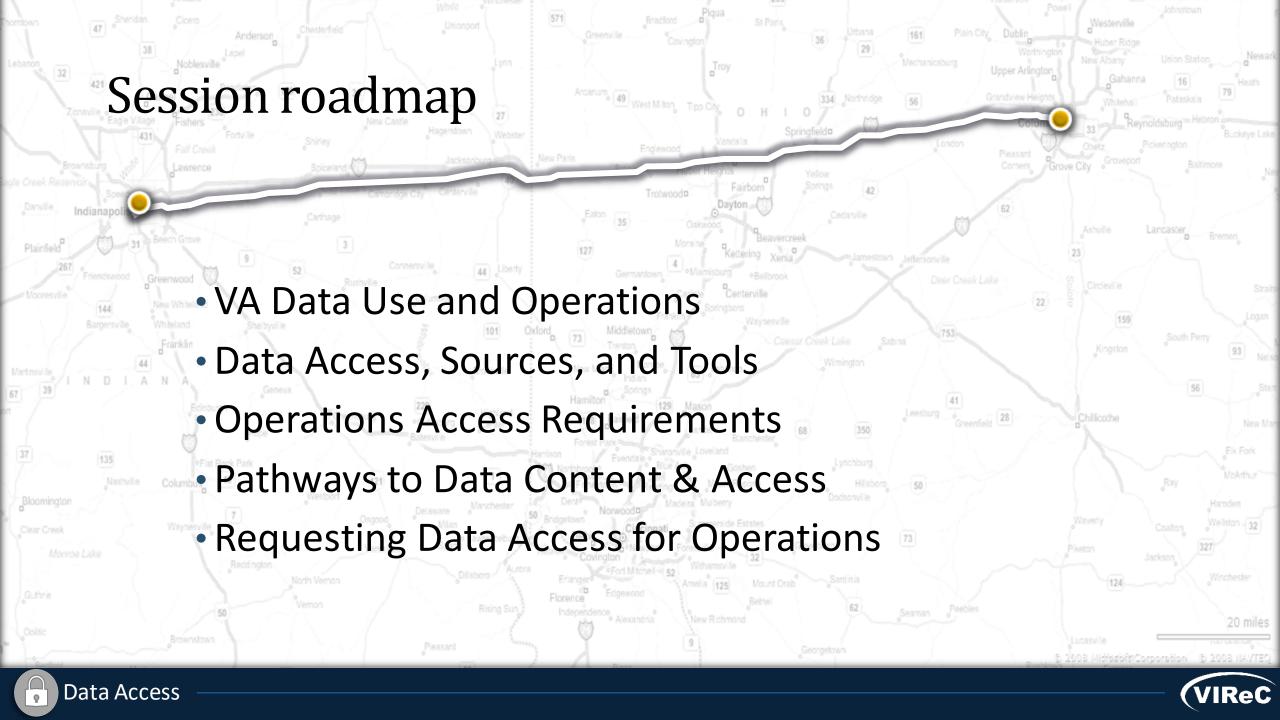
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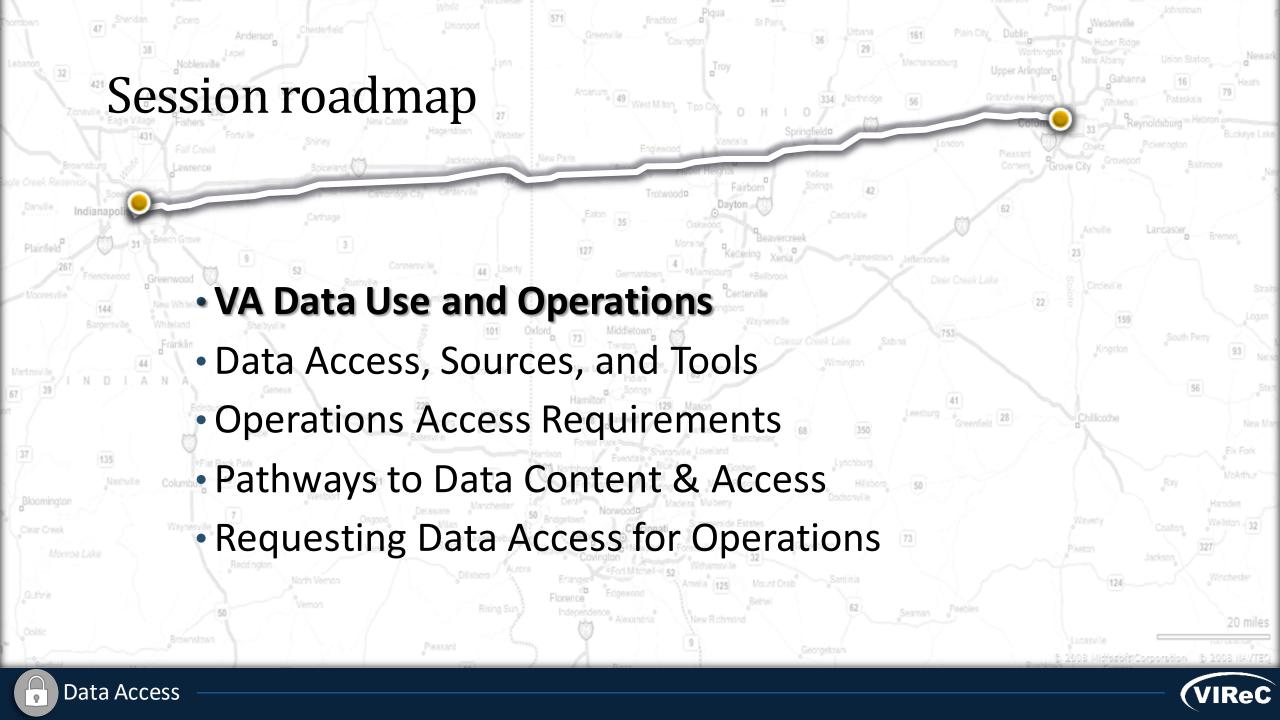
VA Data Access for Operations

November 1, 2023



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VA Data

- VHA maintains patient health information and other data used for a variety of purposes, such as program administration, healthcare quality improvement, program evaluation, and research
- The process for requesting access to data is based on how the data will be used

Kok, L. <u>Research vs Operations Decision Tool</u>. Hines IL: U.S. Department of Veterans Affairs, Health Services Research & Development Service, VA Information Resource Center; March, 2017



What are Operations Activities at VHA?

Endeavors Necessary To Support VHA's Missions

ENDEAVORS:



- Financial
- Quality Improvement and Evaluation

VHA's MISSIONS:



- 2. Performing medical education
- 3. Contributing to national emergency response



Data Access for Operational Use

Operations activities are designed for <u>internal</u> VA purposes, meaning its findings are intended to be used by and within VA or by entities responsible for overseeing VA.

Operations activities are <u>not</u> designed to produce information that expands generalizable knowledge or the knowledge base of a scientific discipline or other scholarly field.

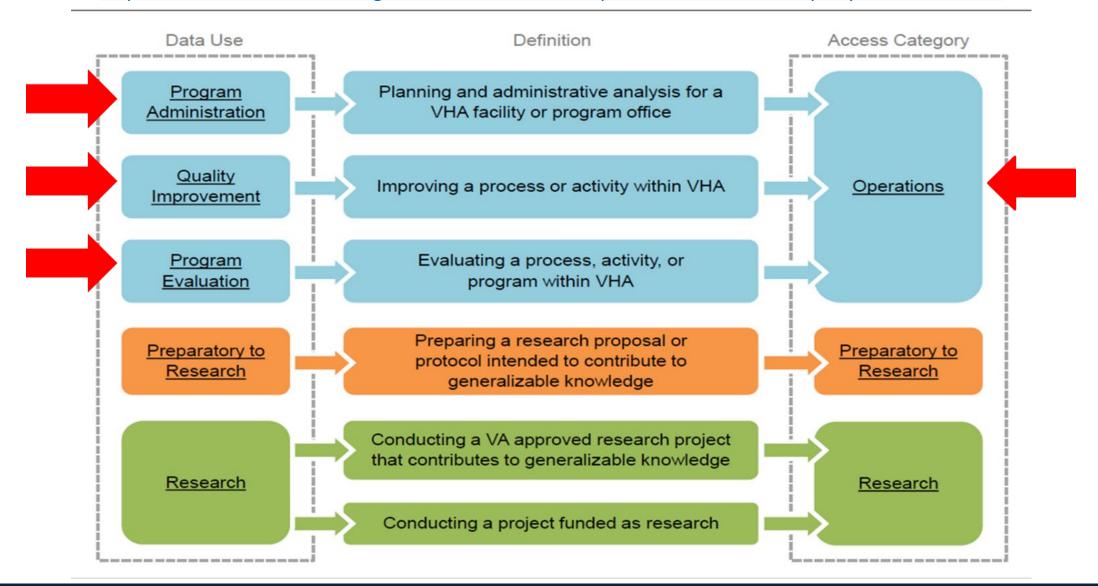
Findings may be published (or presented) and documentation as non-research may be required prior to publication.

Operations data access permission may not be used for research activities.



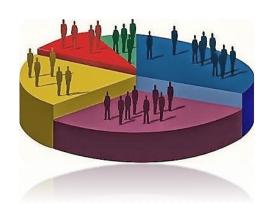
Access Category Finder Tool

https://vaww.virec.research.va.gov/Access/Research-vs-Operations-Decision-Tool.pdf?pdf=Decision-Tool



Poll #3:

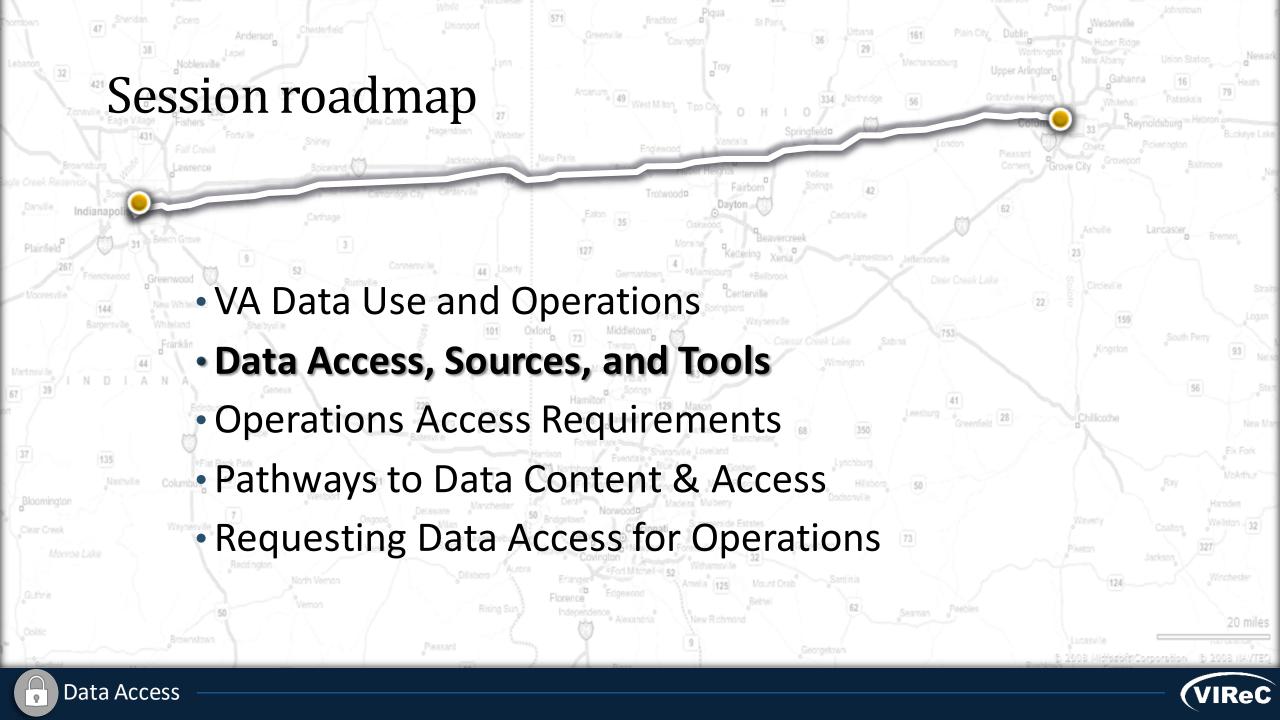
Have you ever submitted a request for operations access to VA data?



Yes

No





Self-service: direct access to a full data source

Standard VHA Reports & Data Cubes

Example: VSSC web reports

Electronic Health Record (EHR) Viewers

Examples: JLV, CAPRI

Databases

Examples: CDW, program office datasets

Data Access for Operations

This type of data access is typically self-service



Examples of Data Sources Managed by NDS for Operations Use

SQL Data

- Corporate Data Warehouse (CDW) Privileges
- Managerial Cost
 Accounting National
 Data Extracts (MCA
 NDE)
- Death Ascertainment File (DAF)

SAS Data

- Assistant Deputy
 Under Secretary for
 Health (ADUSH)
 Enrollment Files
- Planning Systems
 Support Group (PSSG)
 Geocoded Enrollee
 Files

EHR Viewers

- Joint Longitudinal Viewer (JLV)
- Compensation & Pension Record Interchange (CAPRI)



Data Tools: Systems for Accessing or Analyzing Data

Data Access

Joint Longitudinal Viewer (JLV)

Compensation & Pension Record Interchange (CAPRI)

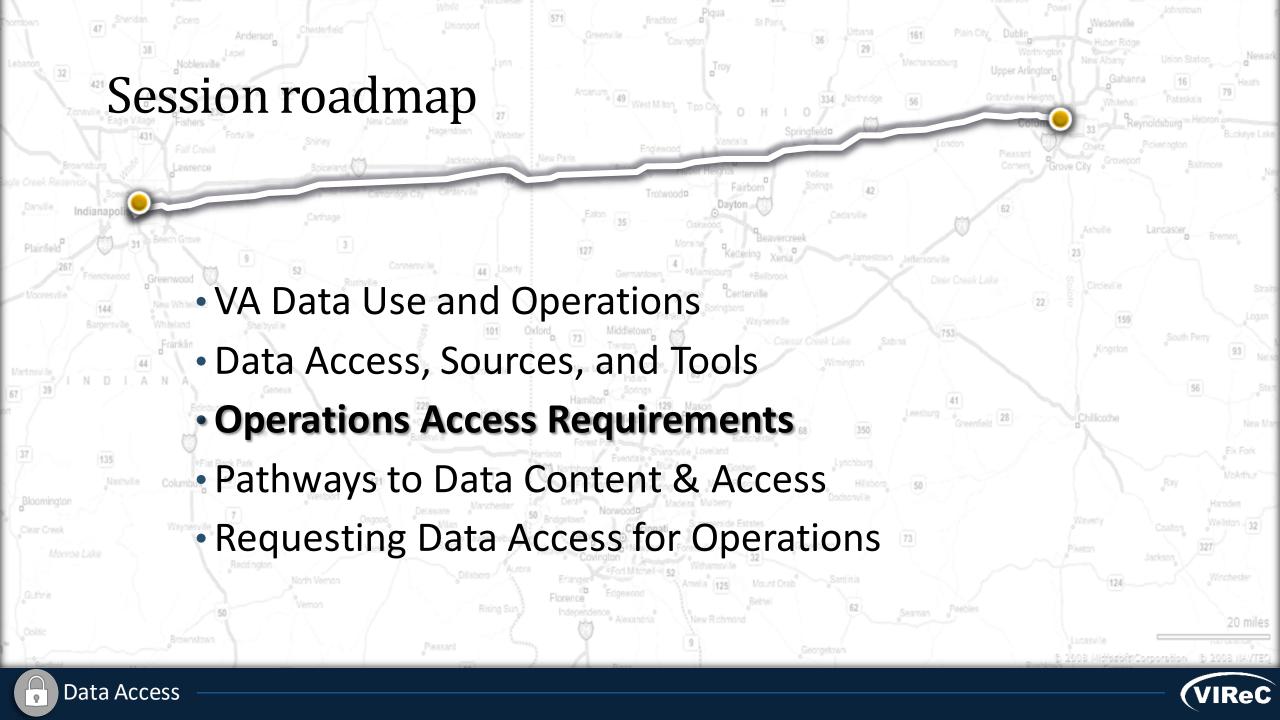
Analytic Platforms

CDW Computing Infrastructure

SAS Grid Computing Environment

VA Enterprise Cloud





Regulatory Requirements for VA Operations Access

A supervisor's approval is typically required

Data requested for operations use may not be used for research

Access is limited to the data needed for assigned duties



Principle-based Ethics Framework for VA Data Access and Use



The National Center for Ethics in Health Care (NCEHC)

 Honor Veterans' values, goals, and preferences by driving healthcare ethics standards and nurturing strong healthcare ethics communities



AR52-Final Rule-Principle-Based Ethics Framework for Access to and Use of Veteran Data

- Final rule effective as of July 7, 2022

Questions: vhaethics@va.gov



HIPAA: Health Insurance Portability and Accountability Act

The **HIPAA Privacy Rule:**

As part of rules of behavior signed by every VA employee, you agree to only access the minimum PHI data necessary for your job.





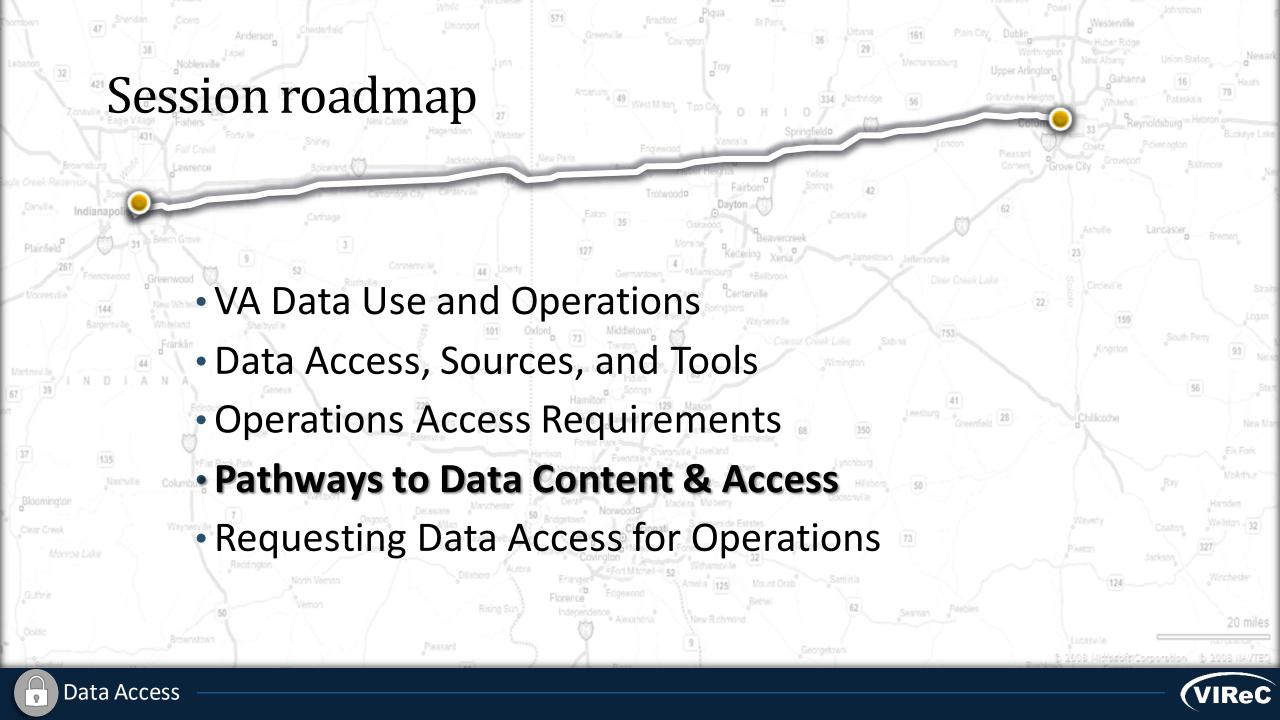
VA Operations FYI

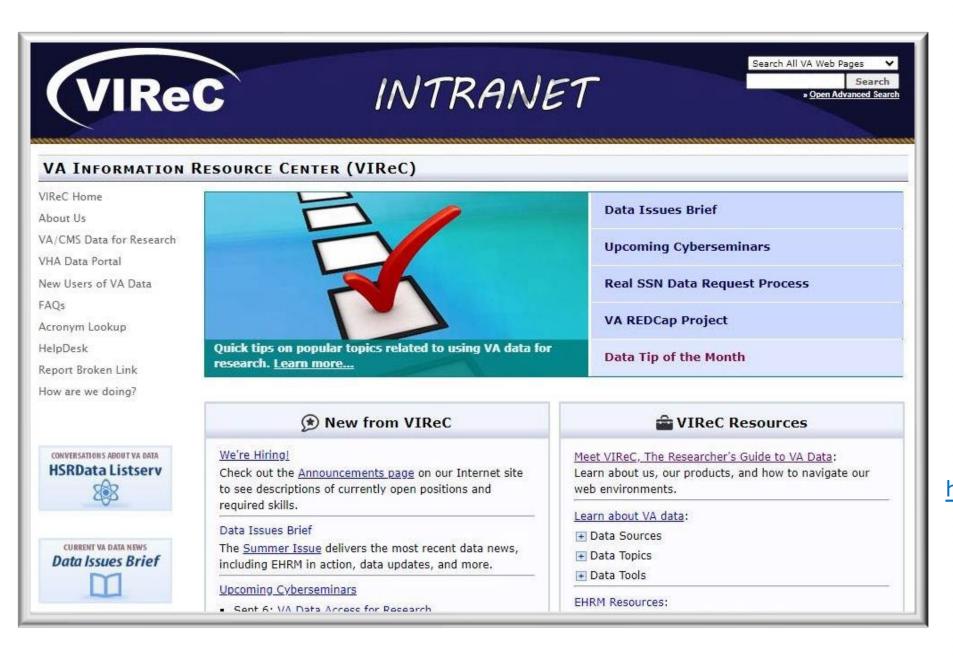
The <u>VA Exempt Determination Application</u> (<u>VAEDA</u>) is available to help determine whether a planned project is research or operations, i.e., non-research

Committee approvals, such as IRB or Research and Development, are not required

Access is typically granted to individuals, not project teams







VIReC Website

A key source of data knowledge and guidance regarding VA data and information systems.

http://https://vaww.virec.resea rch.va.gov/Index.htm



The VIReC website offers a wide variety of supportive resources for all VA data users.

If you need information about additional data sources for research available through DART, visit the VHA Data Portal.

WIReC Resources

<u>Factbooks</u>: Describe tables, columns, and values in select CDW Domains.

Research User Guides: Detailed information on select data sources, including variable descriptions.

The Researcher's Notebook: Practical information on using data from researchers in the field.

Cyberseminars: Expert discussion and guidance on key issues related to using VA data.

Quick Peek Videos: Short demonstrations on various aspects of VA data or VA data resources.

<u>Data Reports</u>: Technical reports, data investigations, data reviews, and data quality updates.

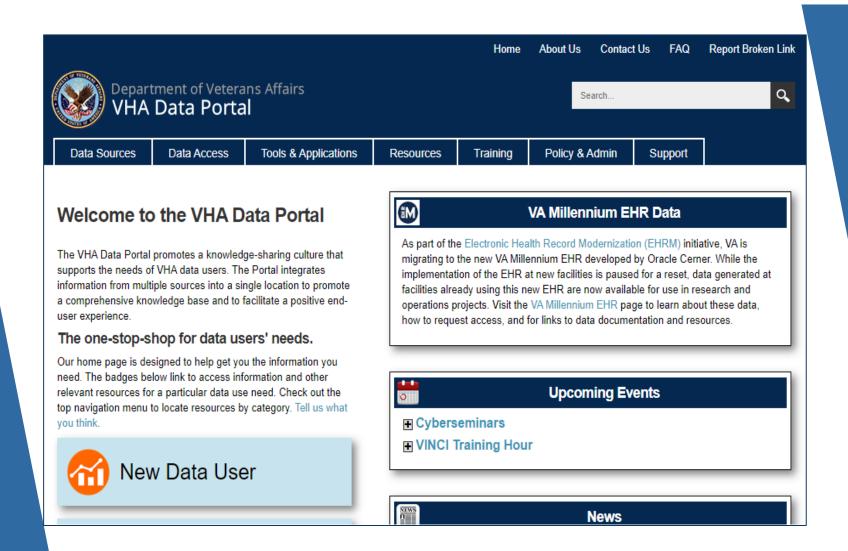
<u>Summary Information</u>: Current and historical information about dataset variables, counts, and frequencies.



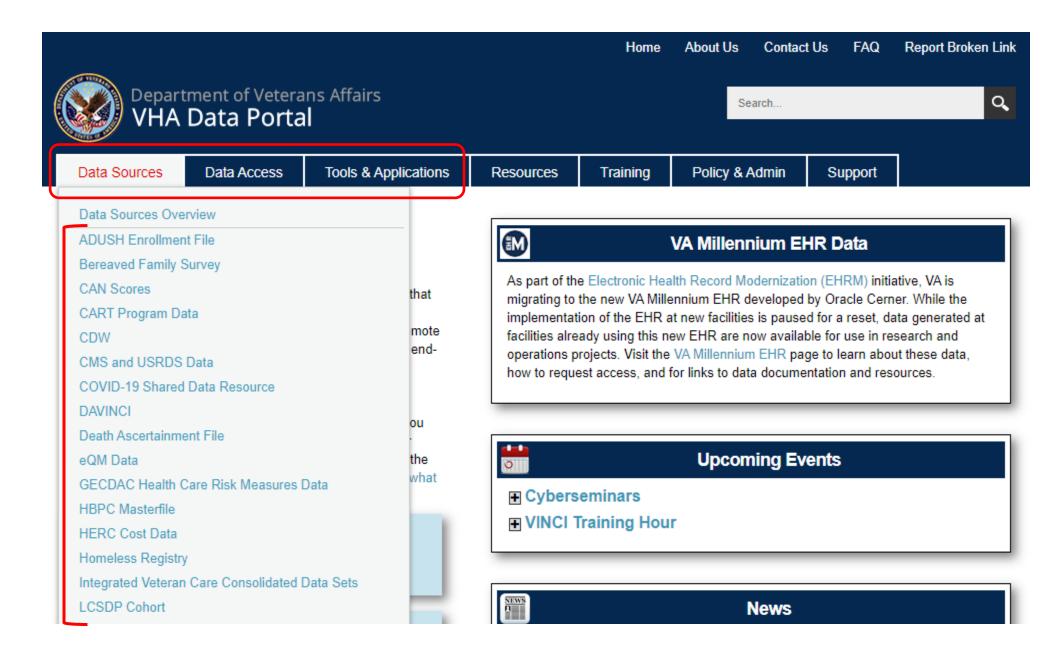
VHA Data Portal

Your best source for learning about VA data sources and how to request access.

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









Data Sources > CDW

Quick View

CDW is an evolving repository of national VHA data. It is a physical implementation of a logical data model at the enterprise level for VHA.

CDW

Overview
Content
Structure
Requesting Data Access
Resources

Corporate Data Warehouse (CDW)

Overview

VHA's Corporate Data Warehouse (CDW) is a national repository comprising data from several VHA clinical and administrative systems, including the Electronic Health Record (EHR). The objective of CDW is to facilitate reporting and data analysis at the enterprise level by incorporating data from multiple data sets throughout the VHA into one standard database structure. CDW provides data and tools to support management decision making, performance measurement, and research objectives.

Content ■

CDW is an evolving repository of national VHA data containing clinical, enrollment, financial, administrative, utilization, Veteran benefits information and more. Data are available from October 1999 to present. Visit the CDW SharePoint site and VINCICDW Data Sources page for more information about CDW data.

CDW Production Data Domains - Allergy, Appointment, Consult, CPRS Orders, Dental, Dimensions (CDW), Health Factors, Immunization, Inpatient, Lab Chemistry, Lab Microbiology, Mental Health Assessment, Outpatient, Patient, PCMM, Pharmacy BCMA (Bar Code Medication Administration), Pharmacy Outreach, Purchased Care (Fee), SPatient, Staff, SStaff, and Vital Signs.

CDW Raw Data Domains - Beneficiary Travel (CBO), Bill Claims (CBO), Compensation & Pension Exam, Echocardiogram, Emergency Dept. Int. Software (EDIS), Equipment Inventory, IFCAP, Intravenous Meds (IV), Unit Dose, MyHealthe Vet, Non-VA Meds, Oncology, Paid, Prosthetics, Radiology, and Surgery.



Structure

CDW uses multiple servers to store data. Data on these servers are stored in relational databases organized into data domains. Each domain comprises logically or conceptually related sets of data tables. Domains generally indicate the VistA application from which most of the data elements originate (e.g., Vital Signs or Mental Health Assessment).

CDW SQL databases are categorized as production or raw.

 CDW Production - Data on the CDW-prod servers are mostly uploaded from VistA with no filtering of records, editing, or business rules applied. These data are modeled and indexed to promote efficient querying.

 CDW Raw - CDWsource (e.g., VistA Requesting Data Access

VHA grants access to data based on how it will be used. These uses are organized into data access categories, which determine the appropriate process for requesting permission to access data. Select a category below for information on requesting access privileges to the CDW production and raw databases. If you're not sure which option to choose, visit the Data Access Overview page for additional guidance.

- + Operations/ Non-Research
- + Preparatory t
- + Research



- The CDW SharePoint site contains information on newly released and missing data, an up-to-date list of data domains, structural documentation, and more.
- · VIReC provides several resources supporting the use of CDW:
 - CDW Factbooks describe of tables, columns, and values in select CDW Domains and include domain-specific SQL
 "starter language" for those new to CDW, relational databases, and SQL.
 - Issues of The Researcher's Notebook describe methodological approaches to working with CDW data.
 - Getting Started with CDW Data Cyberseminars provide an introductory foundation aimed at making CDW and relational data less intimidating.





Data Access > Operations Access

On this page

- » Overview
- » Requesting Access
- » Data Sources
- » Tools

Did You Know?

Operational Access request include users who require access for Treatment, Payment, and/or Healthcare Operations. Operations access and Non-Research access is synonymous.

Tips for Requestors

Operations & Quality Improvement Access

Overview

VA or VHA employees or contractors who require broader access to data in the performance of their official duties under the treatment, payment, and/or healthcare-operations provisions of the Health Insurance Portability and Accountability Act (HIPAA) can request access to the data required to perform their jobs. This includes quality assessment and improvement, operational reporting, auditing and general administrative duties.

Note: The following resources provide information on determining whether a VHA operations activity constitutes research.

- Research vs Operations Decision Tool
- Program Guide 1200.21: VHA Operations Activities That May Constitute Research (Jan 2019)
- Operations Data Access Policy

Requesting Access

Access to data sources and data access tools is available through several request processes.





Requesting Access

Access to data sources and data access tools is available through several request processes.

- NDS Healthcare Operations Request Process
- · Patient Care Services (PCS) Request Process
- Pharmacy Benefits Management (PBM) Request Process
- Local National Social Security Database (NSSD) POC Request Process
- MAC's CMS and USB
- VINCI Workspace Red

Determining which process

Data Source Request Processes

Expand or select a data source in the list below to view an outline of its data request process.

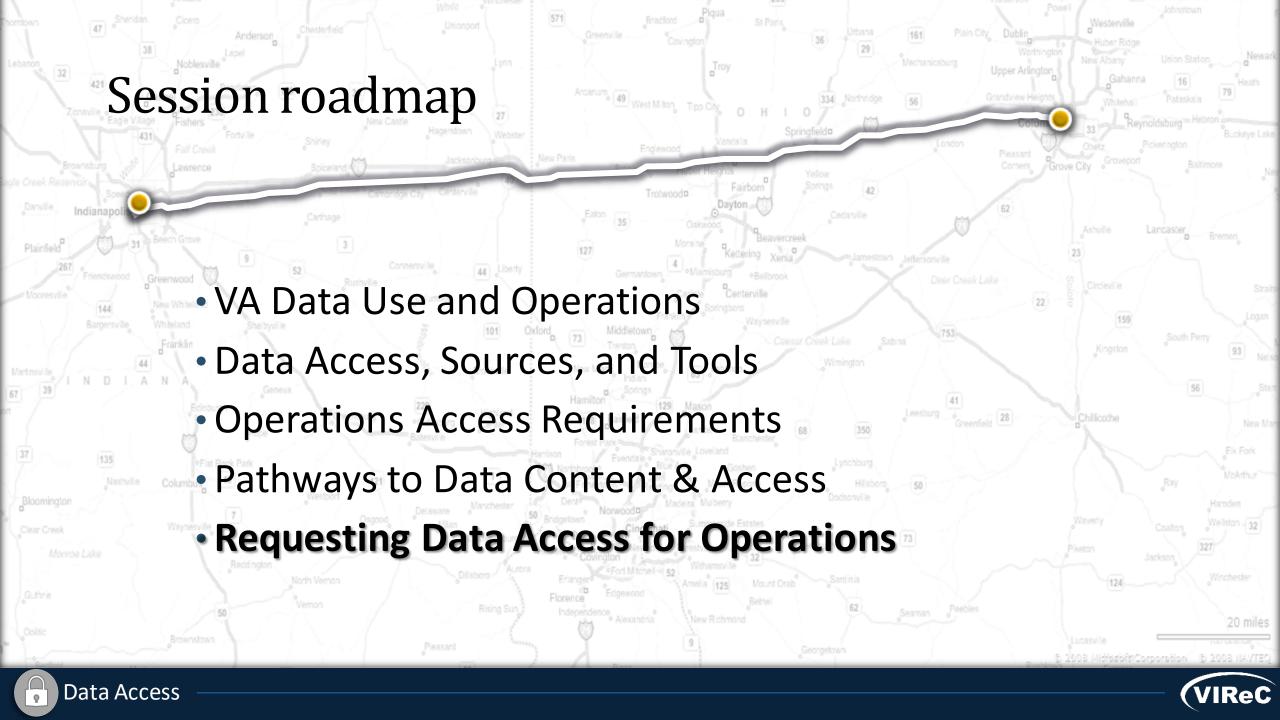
- Assistant Deputy Under Secretary for Health (ADUSH) Enrollment Files
- Care Assessment Need (CAN) Scores
- Centers for Medicare and

Tools Request Processes

Expand or select a data access tool in the list below to view an outline of its access request process.

- CAPRI
- + CPRS
- Joint Legacy Viewer (JLV)





The Processes for Requesting Operations Data Access Include:

NDS Healthcare Operations Request Process Pharmacy Benefits Management (PBM) Request Process CMS & USRDS Request Process – CSO Medicare Analysis Center (MAC) Mortality Data Repository





On this page

- » Overview
- » Requesting Access
- » Data Sources
- » Tools

Did You Know?

Operational Access request include users who require access for Treatment, Payment, and/or Healthcare Operations. Operations access and Non-Research access is synonymous.

Tips for Requestors

The ePAS NDS User Guide will provide step-by-step instructions on requesting Operational access.

Operations & Quality Improvement Access

Overview

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Requesting Access

Access to data sources and data access tools is available through several request processes.

- NDS Healthcare Operations Request Process
- · Patient Care Services (PCS) Request Process
- · Pharmacy Benefits Management (PBM) Request Process







Step 1. Determine if a Request is Needed

Do not submit a new ePAS form to request your current CDW, VSSC Web Reports, MCA Web Reports, or Mainframe Access privileges for a new project. Check on the status of your existing NDS managed data access privileges using the Access & Permissions Lookup Tools page to avoid submitting an unnecessary, duplicate request.

Go to step 2 and submit an NDS ePAS form to

- Request a data source listed in the Overview for the first time.
- Request CAPRI/JLV access for a new project.
- Modify existing data access privileges, e.g. adding CDW "Privileged Read Patient Access" when you
 previously only had "Basic Read Access" or modifying VSSC access from VISN to national.

Guide 📆





Step 2. Submit the NDS Access Form for Health Operations

Note: requests may be submitted only by the person who needs access. NDS will deny requests submitted on behalf of someone else.

- a. Launch the VHA NDS Access Form for Health Operations form in ePAS.
- b. Select Create Document.
- c. Complete the Request tab.
 - i. Fill out all fields highlighted in yellow.
 - ii. Select one or more purpose(s) of use.
 - iii. Select only the data source(s) you need in the Data Sources section. A tab will appear at the top of the document for each data source you select, except for the Operation Enduring Freedom/ Operation Iraqi Freedom/ Operation New Dawn Roster.
 - iv. Affirm you have read and understood the acknowledgment.
- d. Complete each data sources tab at the top of the document.
- e. Select Save and Submit and digitally sign the form.

Once you sign, your supervisor will receive an email notification to approve your request. Once your supervisor has approved and signed the access form, your request will automatically be routed to NDS for processing.



NOTE: All Contractors requesting operational data access via ePAS must have a VA Supervisor approve the request. All requests that are signed by a supervisor who is a contractor and not a VA employee will be returned to the submitter with a request to update the Supervisor field with the name and email of your VA supervisor.

A reviewer may send the request back to you for changes. NDS will send you an email notification once your request has been approved.

f. CDW data requestors planning to transfer data from CDW to other/local VA systems are required to complete the Questionnaire for Internal Data Transfers form and submit it to NDS.OperationalAccessRequests@va.gov. (Note: Check out the tips for viewing and downloading data access forms if a "Please wait..." message appears in the browser when opening this form.)



Step 3. Check the Status of Your Request

Check ePAS to view the status of your request instead of submitting a new request.

- a. Launch ePAS.
- b. Select My Documents from the left navigation menu.
- c. Check the **Status Column** to find the status of your request. Click on the request **Title** for more information.
- d. Email NDS.OperationalAccessRequests@va.gov for a status update if the status of your request is "Verification by NDS Healthcare Operations."



Step 4. Remove Your Access

You must notify NDS when you or another user on your project no longer requires access to the data by emailing NDS.OperationalAccessRequests@va.gov with the subject line: Removal of Access - < name of the requestor >.



Step 2. Submit the NDS Access Form for Health Operations

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- e. Select Save and Submit and digitally sign the form.

Once you sign, your supervisor will receive an email notification to approve your request. Once your supervisor has approved and signed the access form, your request will automatically be routed to NDS for processing.







OFFICE OF INFORMATION AND TECHNOLOGY

VHA NDS Access Form for Health Care Operations

Please click on the link for further guidance on completing this form: NDS ePAS User Request Guide

NOTE: Requests maybe submitted only by the person who needs access. NDS will deny requests submitted on behalf of someone else. All

Contractors requesting operational data access must have a VA supervisor approve the request. All requests signed by a non-VA employee will

be returned.

Request Comments					
Employee Information					
Full Legal Name:	Jannotta (Last Name)		Angela (First Name)	(Middle Ini	tial)
Job Title:	Social Science Analyst		•	•	•
Email Address:	Angela.Jannotta@va.gov				
Active Directory Name with Domain:	VHA12\VHAHINJannoA				
Work Telephone Number:	708-202-8387 x24867				
Employee Agency:	Choose an item	~			
Employee Type:	Choose an item ▼				
Approver Information					
Supervisor:			(5 11)		
	(Name) Lookup Supervisor		(Email)		



Purpose of Use	
Purpose of Use:	 □ Payment □ Treatment □ Healthcare Operations □ Oversight Activities (OIG Use Only) □ Audit & Evaluation Activities □ Cost Analysis □ Other
\Box This Access is related	to COVID-19 activities.
	rding Purpose of Use, please click on the following link: racy/hipaa/understanding/coveredentities ml
Data Sources	
	eports activated for new forms) eedom / Operation Iraqi Freedom / Operation New Dawn Roster (Deactivated for new forms)
Duration of Access	
Duration of Access:	Choose an item



Data Sources
✓ Corporate Data Warehouse (CDW)
□ VSSC and MCA Web Reports
Mainframe Access (Deactivated for new forms)
Operation Enduring Freedom / Operation Iraqi Freedom / Operation New Dawn Roster (Deactivated for new forms)
CAPRI / Joint Longitudinal Viewer (JLV)

Request Corporate Data Warehouse (CDW) Comments	
Corporate Data Warehouse (CDW) Corporate Data Warehouse (CDW) Privilege(s):	CDW SQL Datasets CDW SAS Datasets
If you are unsure of your current access, please click on the following link current access level for the Corporate Data Warehouse	□ Non CDW Data



Request Corporate D	Oata Warehouse (CDW) Comments
Corporate Data W	arehouse (CDW)
Corporate Data Warehouse (CDW) Privilege(s):	 ✓ CDW SQL Datasets ✓ Basic Read Access (CDW_Full) □ Privileged Read Patient Access (CDW_SPatient) □ Staff Real SSN Access (CDW_SStaff) □ MCA(DSS) Access (CDW_DSS) □ Vital Status Files (CDW_VitalStatus) □ Outpatient SQL Files (CDW_SE_IE_SF) □ VATAS Data
	☑ CDW SAS Datasets
	 ■ Medical SAS Files (CDW_SASData) ■ MCA NDE SAS (Deactivated for new forms) ✓ SAS Analytic Workspace
	□ PSSG Geocoded Files and ADUSH Enrollment Files (Disclaimer: These files are to be used only for statistical estimations and aggregate analyses. They should not be used to identify or evaluate individuals for benefit, treatment or outreach programs)
75	□ Non CDW Data
-	your current access, please click on the following link in order to verify your current access level: <u>Verify your</u> for the <u>Corporate Data Warehouse</u>



Request Corporate Data Warehouse (CDW) Comments	
Corporate Data Warehouse (CDW)	
Corporate Data Warehouse (CDW) Privilege(s):	□ CDW SQL Datasets □ CDW SAS Datasets ☑ Non CDW Data
	 Non CDW Data that does contain PHI/PII Non CDW Data that does not contain PHI/PII
If you are unsure of your current access, please click on th current access level for the Corporate Data Warehouse	ne following link in order to verify your current access level: Verify your



Acknowledgement

By signing below, I affirm that I will notify National Data Systems (NDS) of any change to the requestor's position or duties as related to the requestor's access. I also affirm that the requestor will stay current on the required training to view Protected Health Information. I acknowledge that all data handling practice will be in accordance with the CDW Best Practice Guide. For the duration of this use, the requestor will use the provided CDW environment (the National server environment at the VA Austin Information Technology Center(AITC), the Regional, and VISN servers at the Regional Data Center, the VINCI environment) for this data. Data will only be removed in the form of reports. I acknowledge the data requested will only be used for Operational activities and not Research activities. For additional guidance, please refer to the following link on what constitutes operations and research activities: https://vaww.virec.research.va.gov/Access/Research-vs-Operations-Decision-Tool.pdf. It is the responsibility of BOTH the user and the supervisor to ensure the VA Privacy & Information Security & Awareness & Rules of Behavior (VA10176) and Privacy and HIPAA Focus Training (VA10203) training is completed annually.

Affirmation:

☐ By checking this check box, I affirm that I have read and understood the above. I certify that this access will not be
used for research activities. I understand my responsibilities. I will comply with the rules of behavior for the use of
VA/CMS data.



Privacy Act Statement



Save and Submit

Pharmacy Benefits Management (PBM) Requests

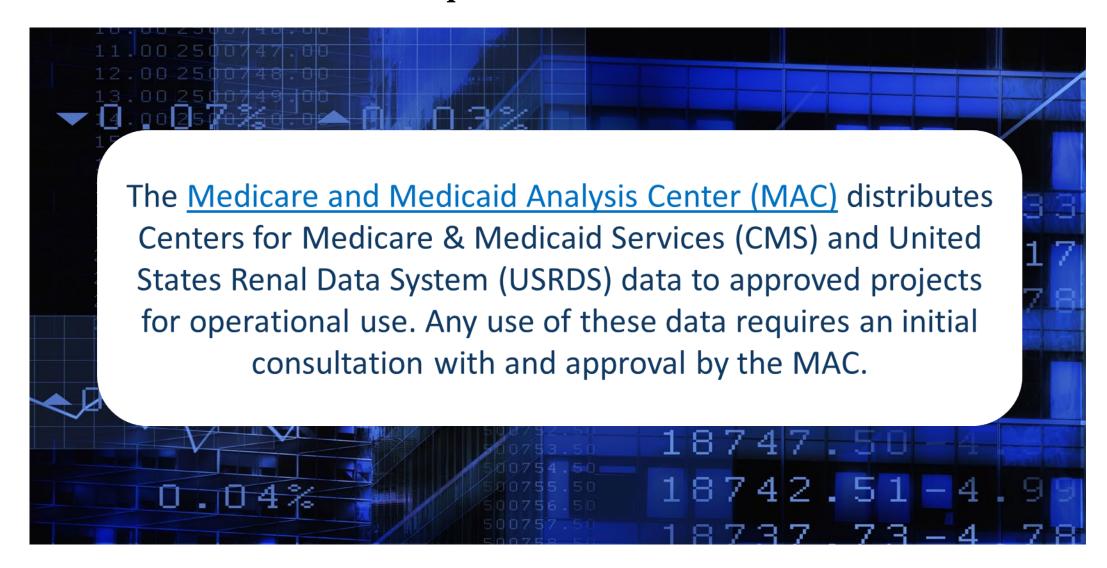
The PBM program office is in the process of rebuilding the website that houses <u>PBM data</u> web content.

In the interim, please contact Nikia.Griffith@va.gov with questions and for information on requesting access to PBM data.





MAC's CMS & USRDS Request Process





MAC's CMS & USRDS Request Process

1. Email <u>macstaff@va.gov</u> to request a consultation to discuss your project.

MAC accepts data requests from VHA program offices.

- 2. Complete the following documents:
 - Petition Memorandum A statement of intended use of the data, no signature required for this document
 - MAC Data Request Form Use this form to choose data from the MAC inventory list
 - For existing DUA requestors, use this form to request additional years of data
 - The form must be signed by the requestor listed on the DUA
 - MAC Rules of Behavior Form Must be completed by each user who will have access to the data
 - MAC Data Use Agreement —An agreement between MAC and the VHA program office that governs the transfer and use of the data.



VA/DoD Mortality Data Repository Request Process

Administered jointly by VHA's
Suicide Prevention Program and the
Department of Defense (DoD)

Contains records for all deaths (not limited to suicides) occurring after 01/01/1979 for all Veterans, service members, and VHA users identified in electronic records provided by VA and DoD partners

Data are updated annually

Contact VHACANMDRDataRequests@va.gov

- Most current year available
- Request application materials
- Assistance with submissions
- More information



REMEMBER...

Operations access may not be used to provide data to a research project!





THANK YOU! Questions?





CONTACT INFORMATION

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Angel Hawkins

Supervisor, Health Information Access angel.hawkins@va.gov

Tim Trautman

VINCI Program Manager VINCIServices@va.gov





BONUS SLIDES





Resources Specific to VA Data Access for Operations

ORD Program Guide 1200.21, VHA Operations Activities That May Constitute Research (01/09/2019) – Establishes criteria for determining whether a data use is non-research operations.

<u>Research vs. Operations Decision Tool</u> – Aids the user in differentiating between the three types of data access (research, preparatory to research, and operations).

NDS Healthcare Operations Request Process – Used for requesting permission to access VHA data for non-research operations purposes.

<u>Operations & Quality Improvement Access</u> – Overview about requesting VA data access specifically for non-research operations use, i.e., quality improvement, program evaluation, etc., and includes links to applicable request processes.

PBM – The "Pharmacy Benefits Management (PBM) Database" data source page.

MAC's Data Request Process – Information about requesting CMS data for operational use. MAC is the Medicare and Medicaid Analysis Center, a field office of the Chief Strategy Office (CSO). MAC is the sole source of CMS data for non-research purposes in the VA at no cost to VA data users.

<u>Access & Permissions Lookup Tools</u> – Tools to allow a user to check and verify data access levels and permissions prior to submitting a request for access to reduce duplicate requests.



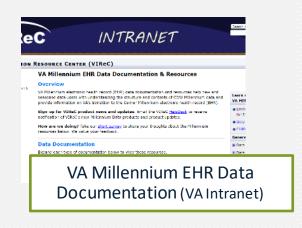
Resources for VA Data Users

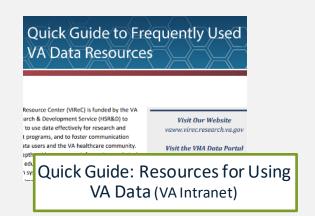
Select image to visit page



















Questions about using VA Data?

HSRData Listserv

- Community knowledge sharing
- ~1,400 VA data users
- Researchers, operations, data stewards, managers
- Subscribe by visiting
 vaww.virec.research.va.gov/Support/HSRData-L.htm (VA Intranet)

VIReC HelpDesk

- Individualized support
- O Request Form:

varedcap.rcp.vaec.va.gov/redcap/surveys/?s=KXMEN77LXK (VA Intranet)

