

STANDARD OPERATING PROCEDURE (SOP) for Approving Research Requests

1. **PURPOSE:** This Standard Operating Procedure (SOP) establishes the process/procedure for approving Research Requests using the Data Access Request Tracker (DART).

2. DEFINITIONS:

- ❖ **DART:** Data Access Request Tracker (DART) application is a workflow application that guides data users through the process of requesting access to data and guides reviewers through the review process. It gathers and retains required information and documents, submitted by the requestor and makes them available to the appropriate reviewers. Reviewers receive notifications with links to the request to be reviewed and can approve them or request additional information or actions from projects. Email notices from reviewers are sent automatically to the requestor at each stage of the review process.
- ❖ **Initial Review:** Data Access Request Tracker (DART) controls the work flow needed to ensure that requests have been submitted with correct documentation and can be moved on to detailed review.
- ❖ **Detailed Review:** Data Access Request Tracker (DART) controls the process for obtaining detailed reviews/approvals from representatives from the following areas: VHA Security, VHA Privacy, Office of Research and Development, Office of Public Health, Surgery, and CAPRI/VISTAWeb.
- ❖ **Final Review:** Data Access Request Tracker (DART) controls the work flow needed to ensure that requests have been approved by detailed review and can be given final approval and moved on to provisioning of the access or data.

3. RESPONSIBILITIES:

❖ **VHA National Data Systems (NDS):**

1. NDS will perform initial review and approve.
2. NDS will determine requirements and need for detailed review(s).
3. NDS will perform final review and approve.
4. NDS will approve/authorize provisioning of access by AITC to mainframe files.

❖ **VINCI Data Managers**

1. VINCI Data Managers will provide a data extract upon notification that NDS has given final approval.

4. PROCEDURES:

1. **Complete NDS Initial Review:**

- A. NDS initial reviewer will utilize the DART NDS “To-Do List” for selecting which requests to attend to first. NDS reviews requests on a “First come first serviced” basis.
- B. NDS initial reviewer will ensure that individual requests have the correct documents uploaded.
- C. NDS initial reviewer will review each document submitted and identify any deficiency using the Note facility associated with each document.
- D. NDS initial reviewer will set the “Review Status” to “Pending, Under Review, Waiting for Information, or Complete” as appropriate.
- E. NDS initial reviewer will notify the requestor of any deficiencies in the documentation and changes are required by using the “Request Changes” function in DART. Notes from the review should be copied and pasted into the “Request Changes” communication box.
- F. Upon satisfactory initial review NDS initial reviewer will determine what detailed reviews are required and select the appropriate review on the “NDS Decision” Tab of DART and approve the initial review. Please see DART Review Flow Chart on Appendix A for additional information.

2. **Complete NDS Final Review**

- A. NDS final reviewer will utilize the DART NDS “To-Do List” for selecting which requests to attend to first. NDS reviews requests on a “First come first serviced” basis.
- B. NDS final reviewer will verify that all detailed reviews have been completed using the “History” function of DART.
- C. NDS final reviewer will re-review any documents that have been replaced as indicated by a change of the status associated with each document.
- D. NDS final reviewer will notify the requestor of any deficiencies in the documentation using the “Request Changes” function in DART.
- E. NDS final reviewer will obtain the signature of approving VHA NDS Official on the Data Use Agreement, store the signed document on the NDS K: drive under Data Use Agreements using the Tracking Number and Last name of the Principal Investigator followed by DUA as the file name (ex 2013-01-001 Doe DUA).
- F. NDS final reviewer will upload the signed copy into DART using the Admin Documents Tab in DART.

3. **Provisioning Access**

- A. DART issues messages to the provisioning parties for CDW and NSSD access however it does not send a provisioning message to the AITC for provisioning access to the mainframe. NDS final reviewer must send approving e-mail to the AITC authorizing the provisioning of the access. Details of the construct of this message are still in flux due to the implementation of the AITC ePAS system.
- B. Vinci Data Managers receive a DART generated message that final approval has been given. They work with the requestor to generate a data extract that complies with the approval received. The extract can be used in the VINCI environment or on VA servers that are behind the VA firewall.

APPENDIX A

DART Research Review Flow Chart

