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Background

Many different entities request immunization data, including Local Health Jurisdictions (LHJs), providers and clinics, and researchers. In general, the assessment staff handles requests for coverage and raw vaccination data. Other types of requests may be handled by the HTS team (ex: HEDIS matches) or the IIS team (ex: clinic level coverage rate reports).

This document describes the various types of requests that the assessment team fills and the process for filling each type of requests.

All data requests that the team fills should adhere to agency policy, including confidentiality policies and small numbers guidance where applicable. See appendices for links and more information.

Note that confidential information cannot be sent in an email – requests involving confidential or patient level information must be sent via SFT or encrypted email to the requestor. For more information, please see Appendix D.

Determining whether a request is research

Determining whether a data request is a research request can be difficult. If in any doubt, consult the WA state Institutional Review Board (WSIRB).

The WSIRB defines research as a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and services programs may include research activities.

Requests for individual level data with patient identifiers that includes Protected Health Information (PHI) and requests for de-identified individual level data require review by the WSIRB. Approval from IRBs other than the WSIRB (ex: UW IRB) are not a substitute for WSIRB approval.

Researchers requesting a data set with identified or identifiable information from the WA IIS database may receive data only after review and approved by the WSIRB and administrative approval by DOH, consistent with RCW 42.48, OR by the written informed consent from each individual regarding whom a registry record pertains.

Filling requests by type

Non-research requests, non-identified data

Requests for aggregate level data for non-research purposes are fairly straightforward.

Examples of requests: HPV initiation by sex for 11-13 year-olds by single year of age for King Co or flu immunization rates for 6m – 4year-olds as of 12/31 of last flu season or an LHJ requesting a list of the facilities in their county with IIS accounts.

Process for filling requests:

- The requestor emails the waiisdatarequests mailbox (waiisdatarequests@doh.wa.gov) and submits a data request form
- A member of the assessment team reviews the form and marks the email in the mailbox for the team member who will fill the request
- Assessment team member creates a working folder for the data request in <\\dohfltum01.doh.wa.lcl\division\PCH\OICP\ClinicalQA\ASSESSMENT\IIS data requests>. The folder should be named YYYYMMDD_RequestorName_BriefDescriptionOfRequest
 - All emails and files related to the request should be stored in this folder
- Assessment team member logs the request into the data request tracking system
- Assessment team member fills the request and sends completed file back to the requestor via email
- Once the request is filled, move the folder into the '[Completed requests](#)' folder and mark the request as 'completed' in the data request tracking system

Non-research requests, identified data

These types of requests generally come from immunization providers, health plans and/or clinics or hospital systems. The WA DOH Refugee Program also submits this type of request. The requestor is usually requesting immunization records for their patient population and they provide a list of patients for whom they would like all immunization records.

Because these requests are not for research and are instead to supplement the requestor's immunization records, they do not require an IRB determination.

Examples of requests: pulling IIS immunization records for a list of patients provided by DOH refugee program, provider or health care network; pulling immunization records for patients belonging to an Accountable Care Network (ACN) by clinic

Process for filling requests:

- The requestor emails the waiisdatarequests mailbox (waiisdatarequests@doh.wa.gov) and submits a data request form
- A member of the assessment team reviews the form and marks the email in the mailbox for the team member who will fill the request
- Team member lets non-DOH requestors know they need to fill out OICP Data Sharing Agreement (see Appendix B) – *A signed agreement must be returned to OICP before data is sent to requestor!*
- Assessment team member creates a working folder for the data request in <\\dohfltum01.doh.wa.lcl\division\PCH\OICP\ClinicalQA\ASSESSMENT\IIS data requests>. The folder should be named YYYYMMDD_RequestorName_BriefDescriptionOfRequest
 - All emails and files related to the request should be stored in this folder
- Assessment team member logs the request into the data request tracking system
- Assessment team member fills the request and sends completed file back to the requestor via SFT or encrypted email
- Once the request is filled, move the folder into the '[Completed requests](#)' folder and mark the request as 'completed' in the data request tracking system

Research requests

Researchers requesting a data set with identified or identifiable information from the WAIS database may receive data only after review and approval by WSIRB and administrative approval by DOH, consistent with RCW 42.48, OR by the written informed consent from each individual regarding whom a registry record pertains.

Note that any requests involving linking IIS data to another data source should be discussed with OICP leadership before filling the request.

In order to gain access to the WA IIS data, the researcher needs to complete the application process. This application will be reviewed by a review team who will make a determination based on:

- The purpose of the research
- The potential for the research to contribute to the continued development of registry completeness and quality
- The balance between the resource investment of providing the requested data (cost) and the potential for registry development or maturation (benefit)
- The balance between the availability and quality of the requested data and its likelihood to contribute, broadly or on a population level, to public health goals and priorities

The review team will include the Immunization Epidemiologists, the Office of Immunization and Child Profile leadership sponsor and the Operations Manager of the Washington State Immunization Information System & Child Profile Health Promotion System as appropriate to the research purpose and type of data being requested.

Researchers receiving and using WA IIS data files will not only keep these files in secure locations as specified in the WSIRB application but also immediately notify both the WSIRB and OICP if any breach of

confidentiality should occur. Researcher use of the data will be consistent with the Confidentiality Agreement.

The researcher will notify the WSIRB and OICP of any changes in the study protocol. In addition, the researcher will notify the Office of Immunization and Child Profile and Pat deHart when the study has been completed so we can document that in our files. We also request notification of any reports or publications resulting from the project as the findings are of interest and importance to OICP.

Examples of requests: all vaccines and contraindications for patients in a respiratory therapy clinic – will be used to look at whether vaccination affects disease outcomes; patient and vaccine records that will be used as part of study examining vaccine hesitancy

Process for filling requests:

- The requestor emails the waiisdatarequests mailbox (waiisdatarequests@doh.wa.gov) and submits a data request form
- A member of the assessment team reviews the form and marks the email in the mailbox for the team member who will fill the request
- Assessment team member(s) determine(s) that the request constitutes a research request -
 - Assessment team member contacts researcher to request:
 - a draft copy of the research proposal
 - a completed OICP Data Sharing Agreement (see Appendix B) -- *A signed agreement must be returned to OICP before data is sent to requestor!*
 - copy of WSIRB approval or exemption determination – *WSIRB approval or exemption determination must be returned to OICP before data is sent to requestor!*
 - Forms are available at <http://www.dshs.wa.gov/RDA/HRRS>. Researcher also sends an electronic copy to waiisdatarequests@doh.wa.gov to keep on file. If a signed authorization for release of immunization records is obtained from the participant or participant’s parent or legal guardian, WSIRB review and approval may not be necessary as long as the signed permission meets all WSIRB requirements for research authorizations involving disclosure of DOH records.
- [Optional] – Assessment team member contacts the rest of the review team to discuss if the proposed research appears to be a good candidate for the use of WA IIS data based on the designated criteria including the timeline for the requested data. The researcher is notified whether the use of WA IIS data has been supported.
- Assessment team member creates a working folder for the data request in <\\dohflum01.doh.wa.lcl\division\PCH\OICP\ClinicalQA\ASSESSMENT\IIS data requests>. The folder should be named YYYYMMDD_RequestorName_BriefDescriptionOfRequest
 - All emails and files related to the request should be stored in this folder
- Assessment team member logs the request into the data request tracking system
- Assessment team member fills the request and sends completed file back to the requestor via SFT or encrypted email
- Once the request is filled, move the folder into the ‘[Completed requests](#)’ folder and mark the request as ‘completed’ in the data request tracking system

Appendices

Appendix A - Blank data request form

Available here: <http://www.doh.wa.gov/Portals/1/Documents/Pubs/348-440-DataRequestForm.docx>

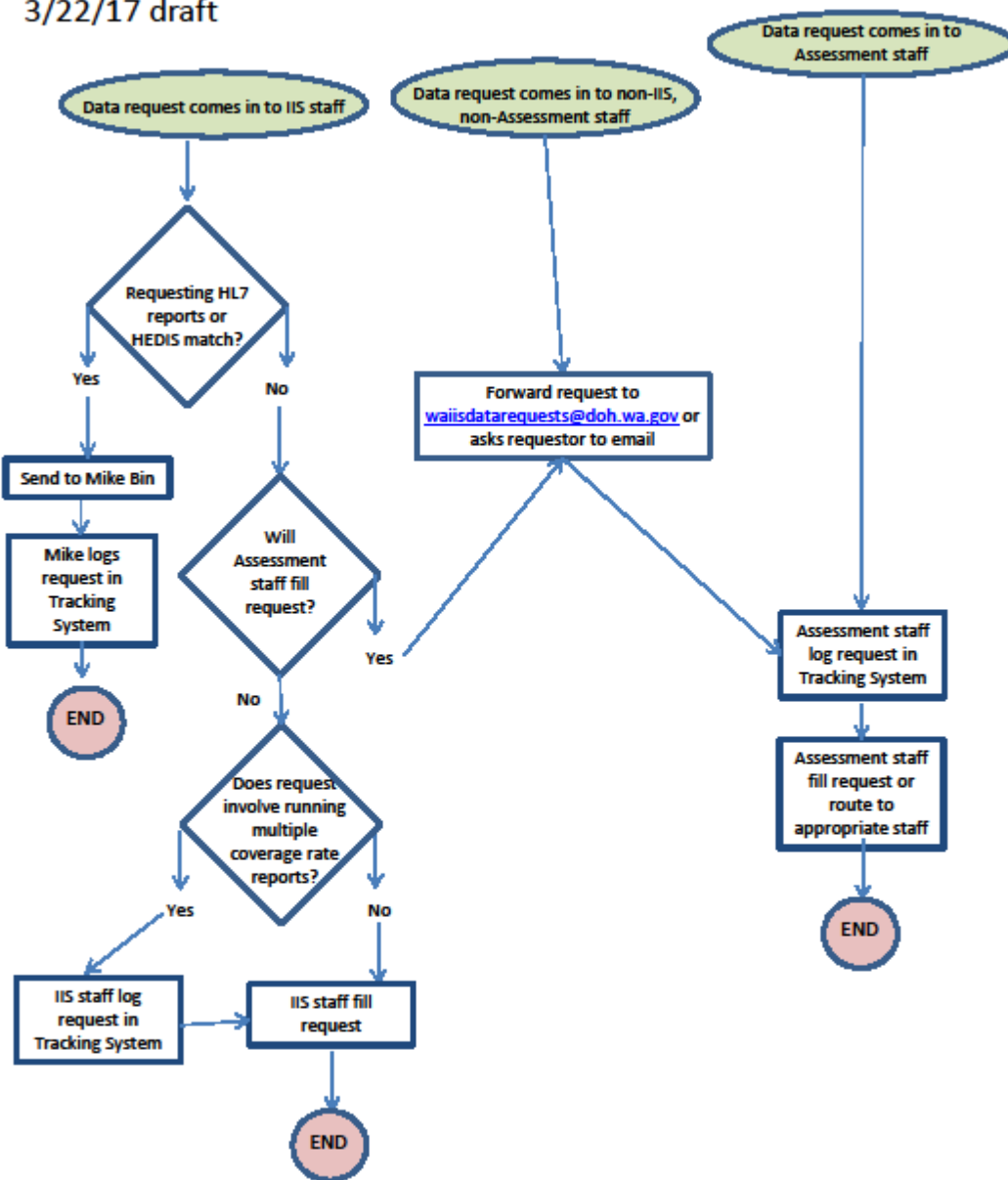
Appendix B - Blank OICP Data Sharing Agreement

Available here: [Blank OICP Data Sharing Agreement.doc](#)

Appendix C – Proposed OICP data request workflow

OICP Proposed Data Request Triaging Protocol

3/22/17 draft



Appendix D - How to send confidential files to requestors

- Internal – you can put identified, confidential data on the Y drive in a folder that both sender and requestor have access to and the requestor can pull the data directly off of the drive
- External – You can send data via the SFT site (sft.wa.gov) or via encrypted email.

SFT Instructions

- To send via SFT, ask Mike Bin for an SFT folder and password
- If requestor is sending us a list of patient names to match against the IIS, send the SFT instructions to the requestor along with their login name in an email (sample text below) so that they can upload their file of patient names and information

Hi, _____

Can you please upload your list of patient names and DOBs to our Secure File Transfer (SFT) website, available at <https://sft.wa.gov>? Your login information is provided below. I will send you the password to access this site in a separate email. Please let us know when your file is uploaded. We will retrieve it and match it against the IIS to complete your data request. Thanks and please let us know if you have any questions.

- Joey

Joey (Joanna) Eavey, MSPH
Assessment Supervisor
WA State Office of Immunization and Child Profile
360-236-3527 | joanna.eavey@doh.wa.gov

USERNAME: **doh-oicp02**

- Send the SFT password to the requestor in a separate email
- Send the requestor their results via SFT – ask them to let us know when they have retrieved their files (sample text below)

Hi, John. Your data are on the SFT site and ready for download. Please let us know when you've retrieved the file so that we can reuse the SFT folder. The latest file is named 2016CY_FluVaccs_Childrens_3rdRun.txt. Match stats for the file you provided are in Mike's email below.

The password and username are the same as before.

Thanks!

- Joey

- When the requestor lets you know that they have retrieved their files, let Mike know so that we can reuse the SFT folder

Encrypted email instructions – ask Cicely?