

CHIA Non-Governmental Application for Re-Use Massachusetts Case Mix Data [Exhibit A: Data Application]

I. INSTRUCTIONS

*This form is required for all Applicants, except Government Agencies as defined in [957 CMR 5.02](#), who wish to re-use Data received pursuant to a previously approved Data Application (“Extract”). **If the applicant requires data not presently held by its Organization the applicant should not use this form.***

All attachments must be uploaded to IRBNet with your Application. All Application documents can be found on the [CHIA website](#) in Word and in PDF format or on [IRBNet](#) in Word format. If you submit a PDF document, please also include a Word version in order to facilitate edits that may be needed.

Applications will not be reviewed until the Application and all supporting documents are complete and the required application fee is submitted. A [Fee Remittance Form](#) with instructions for submitting the application fee is available on the CHIA website and IRBNet. A copy of the Fee Remittance Form and any supporting documentation must be uploaded to IRBNet.

II. CASE MIX DATABASE EXTRACT TO BE RE-USED

Project Title:	
Extract Number:	
IRBNet Number:	
Date of Data Use Agreement	

III. ORGANIZATION AND INVESTIGATOR INFORMATION

Project Title:	
IRBNet Number:	
Organization Name:	
Organization Website:	
Authorized Signatory for Organization	
Title:	
E-mail Address:	
Address, City/Town, State, Zip Code	
Primary Investigator:	
Title:	
E-mail Address:	
Telephone Number:	
Names of Co-Investigators:	
E-mail Address of Co-Investigators:	

IV. FEE INFORMATION

1. Consult the [Fee Schedule](#) for Case Mix and Charge Data and select one of the following options:

- Researcher
 Other
 Reseller

2. Are you requesting a fee waiver?

- Yes
 No

3. Complete and submit the [Fee Remittance Form](#). If requesting a fee waiver, submit a letter stating the basis for your request (if required). Please refer to the [Fee Schedule](#) (effective Feb 1, 2017) for fee waiver criteria. (Please note that fee must be paid in order to re-use the Data, even if no new extract is required upon application.)

V. PROJECT INFORMATION

1. What will be the use of the CHIA Data requested? [Check all that apply]

- | | | |
|---|--|--|
| <input type="checkbox"/> Epidemiological | <input type="checkbox"/> Health planning/resource allocation | <input type="checkbox"/> Cost trends |
| <input type="checkbox"/> Longitudinal Research | <input type="checkbox"/> Quality of care assessment | <input type="checkbox"/> Rate setting |
| <input type="checkbox"/> Reference tool | <input type="checkbox"/> Research studies | <input type="checkbox"/> Severity index tool |
| <input type="checkbox"/> Surveillance | <input type="checkbox"/> Student research | <input type="checkbox"/> Utilization review of resources |
| <input type="checkbox"/> Inclusion in a product | <input type="checkbox"/> Other (describe in box below) | |

2. Provide a summary of the specific purpose and objectives of your Project. This may include research questions and/or business use Projects.

3. Has an Institutional Review Board (IRB) reviewed your Project?

- Yes [If yes, a copy of the approval letter and protocol must be included with the Application package on IRBNet.]
 No, this Project is not human subject research and does not require IRB review.

4. **Research Methodology:** Applicants must provide either the IRB protocol or a written description of the Project methodology (typically 1-2 pages), which should state the Project objectives and/or identify relevant research questions. This document must be included with the Application package on IRBNet and must provide sufficient detail to allow CHIA to understand how the Data will be used to meet objectives or address research questions.

VI. PUBLIC INTEREST

1. Briefly explain why completing your Project is in the public interest. *Uses that serve the public interest under CHIA regulations include, but are not limited to: health cost and utilization analysis to formulate public policy; studies that promote improvement in population health, health care quality or access; and health planning tied to evaluation or improvement of Massachusetts state government initiatives.*

VII. DATASETS REQUESTED

The Recipient will use Data included in the Extract referenced above for use in this Project; no new Data will be released under this Application.

1. Specify below the dataset(s) and year(s) of data requested for this Project, and your justification for requesting each dataset.

Hospital Inpatient Discharge Data

2004 2005 2006 2007 2008 2009 2010 2011 2012 2013 2014 2015

Describe how your research objectives require Inpatient Discharge data:

Outpatient Observation Data

2004 2005 2006 2007 2008 2009 2010 2011 2012 2013 2014 2015

Describe how your research objectives require Outpatient Observation data:

Emergency Department Data

2004 2005 2006 2007 2008 2009 2010 2011 2012 2013 2014 2015

Describe how your research objectives require Emergency Department data:

2. If there are datasets that are included in the Extract that **are not** required for this Project indicate below.

- Hospital Inpatient Discharge Data Outpatient Observation Data Emergency Department Data

3. If there are datasets included in the Extract that are not required for this Project, describe below how those datasets will be segregated and protected from use in this Project.

VIII. DATA ELEMENTS REQUESTED

State and federal privacy laws limit the release and use of Data to the minimum amount of data needed to accomplish a specific Project objective.

Case Mix and Charge Data are grouped into six “Levels” or Limited Data Sets (LDS) for release, depending on the fiscal year. Data for FY 2004 – 2014 are organized into Levels. Level 6 Data will be released to Government Applicants only. *CHIA staff will use the information provided in this section to determine the appropriate Level of Data justified for release.*

Data for FY 2015 and later are organized into LDS’s. All applicants receive the “Core” LDS, but may also request additional elements listed below for inclusion in their analyses. Requests for additional elements will be reviewed by CHIA to determine whether each represents the minimum data necessary to complete the specific Project objective.

For a full list of elements in the release (i.e., the “Core” elements and additional elements), please refer to [release layouts, data dictionaries](#) and similar documentation included on CHIA’s website.

1. Specify below which elements you are requesting in addition to the “Core” LDS. CHIA will use this information to determine what Level of data is needed for pre-FY 2015 data requests.

Geographic Data

The geographic sub-divisions listed below are available for CT, MA, ME, NH, RI, VT, and NY residents only for FY 2015 and after. Fiscal years 2004 – 2014 will contain the geographic sub-divisions listed below for all states. Choose one of the following geographic options.

<input type="checkbox"/> 3-Digit Zip Code (Standard)	<input type="checkbox"/> 3-Digit Zip Code & City/Town ***	<input type="checkbox"/> 5-Digit Zip Code ***	<input type="checkbox"/> 5-Digit Zip Code & City/Town ***
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*****If requested, provide justification for requesting 5-Digit Zip Code or City/Town. Refer to specifics in your methodology:**

Demographic Data

Choose one of the following demographic options:

<input type="checkbox"/> Not Requested (Standard)	<input type="checkbox"/> Race & Ethnicity***
** If requested, provide justification for requesting Race and Ethnicity. Refer to specifics in your methodology:	

Dates

Choose one option from the following options for dates of admissions, discharges, and significant procedures:

<input type="checkbox"/> Year (YYYY)(Standard)	<input type="checkbox"/> Month (YYYYMM) ***	<input type="checkbox"/> Day (YYYYMMDD)***
***If requested, provide justification for requesting Month or Day. Refer to specifics in your methodology:		

Practitioner Identifiers (UPN)

Please choose one of the following options for Practitioner Identifier(s):

<input type="checkbox"/> Not Requested (Standard)	<input type="checkbox"/> Hashed ID ***	<input type="checkbox"/> Board of Registration in Medicine Number(BORIM) ***
***If requested, provide justification for requesting Hashed ID or BORIM Number. Refer to specifics in your methodology:		

Unique Health Information Number (UHIN)

Please choose one of the following:

<input type="checkbox"/> Not Requested (Standard)	<input type="checkbox"/> UHIN Requested ***
<p>*** If requested, provide justification for requesting UHIN. Refer to specifics in your methodology:</p>	

Hashed Mother's Social Security Number

Please choose one of the following:

<input type="checkbox"/> Not Requested (Standard)	<input type="checkbox"/> Hashed Mother's SSN Requested ***
<p>*** If requested, provide justification for requesting Hashed Mother's SSN. Refer to specifics in your methodology:</p>	

2. If there are data elements that are included in the Extract that **are not** required for this Project indicate below.

- | | | | |
|---|--|--|---|
| <input type="checkbox"/> 5-Digit Zip Code | <input type="checkbox"/> UHIN | <input type="checkbox"/> Hashed Physician ID | <input type="checkbox"/> Month (YYYYMM) |
| <input type="checkbox"/> City/Town | <input type="checkbox"/> Hashed Mother's SSN | <input type="checkbox"/> BORIM Number | <input type="checkbox"/> Day (YYYYMMDD) |
| <input type="checkbox"/> Race & Ethnicity | | | |

3. If there are data elements included in the Extract that are not required for this Project, describe below how the data elements will be segregated and protected from use in this Project.

IX. DATA LINKAGE

Data linkage involves combining CHIA Data with other data to create a more extensive database for analysis. Data linkage is typically used to link multiple events or characteristics within one database that refer to a single person within CHIA Data.

1. Do you intend to link or merge CHIA Data to other data?

- Yes
- No linkage or merger with any other data will occur

2. If yes, please indicate below the types of data to which CHIA Data will be linked. [Check all that apply]

- Individual Patient Level Data (e.g. disease registries, death data)
- Individual Provider Level Data (e.g., American Medical Association Physician Masterfile)
- Individual Facility Level Data (e.g., American Hospital Association data)
- Aggregate Data (e.g., Census data)
- Other (please describe):

3. If yes, describe the data base(s) to which the CHIA Data will be linked, indicate which CHIA Data elements will be linked and the purpose for each linkage.

4. If yes, for each proposed linkage above, please describe your method or selected algorithm (e.g., deterministic or probabilistic) for linking each dataset. If you intend to develop a unique algorithm, please describe how it will link each dataset.

5. If yes, please identify the specific steps you will take to prevent the identification of individual patients in the linked dataset.

X. PUBLICATION / DISSEMINATION / RE-RELEASE

1. Describe your plans to publish or otherwise disclose CHIA Data, or any data derived or extracted from CHIA Data, in any paper, report, website, statistical tabulation, seminar, conference, or other setting. Any and all publication of CHIA Data must comply with CHIA's cell size suppression policy, as set forth in the Data Use Agreement. Please explain how you will ensure that any publications will not disclose a cell less than 11, and percentages or other mathematical formulas that result in the display of a cell less than 11.

2. Do you anticipate that the results of your analysis will be published and/or made publically available? If yes, describe how an interested party will obtain your analysis and, if applicable, the amount of the fee, that the third party must pay.

3. Will you use CHIA Data for consulting purposes?

- Yes
 No

4. Will you be selling standard report products using CHIA Data?

- Yes
 No

5. Will you be selling a software product using CHIA Data?

- Yes
 No

6. Will you be reselling CHIA Data in any format?

- Yes
 No

If yes, in what format will you be reselling CHIA Data (e.g., as a standalone product, incorporated with a software product, by a subscription, etc.)?

7. If you have answered “yes” to questions 4, 5 or 6, please describe the types of products, services or studies.

8. If you have answered “yes” to questions 4, 5, or 6, what is the fee you will charge for such products, services or studies?

XI. APPLICANT QUALIFICATIONS

1. Describe your previous experience using hospital data. This question should be answered by the primary investigator and any co-investigators who will be using the Data.

2. **Resumes/CVs:** When submitting your Application package on IRBNet, include résumés or curricula vitae of the principal investigator and co-investigators. (These attachments will not be posted on the internet.)

XII. USE OF AGENTS AND/OR CONTRACTORS

Please note: By signing this Application, the Organization assumes all responsibility for the use, security and maintenance of the CHIA Data by its agents, including but not limited to contractors.

Provide the following information for all agents and contractors who will work with the CHIA Data. *[Add agents or contractors as needed.]*

AGENT/CONTRACTOR #1 INFORMATION	
Company Name:	
Company Website:	
Contact Person:	
Title:	
E-mail Address:	
Address, City/Town, State, Zip Code	
Telephone Number:	
Term of Contract:	

1. Describe the tasks and products assigned to the agent or contractor for this Project and their qualifications for completing the tasks.

2. Describe the Organization's oversight and monitoring of the activities and actions of the agent or contractor for this Project, including how the Organization will ensure the security of the CHIA Data to which the agent or contractor has access.

3. Will the agent or contractor have access to or store the CHIA Data at a location other than the Organization's location, off-site server and/or database?

- Yes
 No

4. If yes and a Data Management Plan for this agent or contractor is not part of the Data Use Agreement, a separate Data Management Plan **must** be completed by the agent or contractor.

**AGENT/CONTRACTOR #2
INFORMATION**

Company Name:

Company Website:

Contact Person:

Title:

E-mail Address:

Address, City/Town, Zip Code

Telephone Number:

Term of Contract:

1. Describe the tasks and products assigned to the agent or contractor for this Project and their qualifications for completing the tasks.

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2. Describe the Organization's oversight and monitoring of the activities and actions of the agent or contractor for this Project, including how the Organization will ensure the security of the CHIA Data to which the agent or contractor has access.

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3. Will the agent or contractor have access to or store the CHIA Data at a location other than the Organization's location, off-site server and/or database?

 Yes No

4. If yes and a Data Management Plan for this agent or contractor is not part of the Data Use Agreement, a separate Data Management Plan **must** be completed by the agent or contractor.

XIII. ATTESTATION

By submitting this Application, the Organization attests that it is aware of its data use, privacy and security obligations imposed by state and federal law *and* confirms that it is compliant with such use, privacy and security standards. The Organization further agrees and understands that it is solely responsible for any breaches or unauthorized access, disclosure or use of CHIA Data including, but not limited to, any breach or unauthorized access, disclosure or use by its agents.

The Organization's use of the Data for this Project will be governed by the executed Data Management Plan(s), Data Use Agreement, and any Amendment thereto.

By my signature below, I attest: (1) to the accuracy of the information provided herein; (2) that the requested Data is the minimum necessary to accomplish the purposes described herein; (3) that the Organization will meet the data privacy and security requirements described in this Application and supporting documents, and will ensure that any third party with access to the Data meets the data use, privacy and security requirements; and (4) to my authority to bind the Organization.

Signature: (Authorized Signatory for Organization)	
Printed Name :	

Attachments

A completed Application must have the following documents attached to the Application:

- 1. IRB approval letter and protocol (if applicable)
- 2. Research Methodology (if protocol is not attached)
- 3. CVs of Investigators
- 4. Data Management Plan (including one for each agent or contractor that will have access to or store the CHIA Data at a location other than the Organization's location, off-site server and/or database)

Applications will not be reviewed until they are complete, including all attachments. Applicant may not use the Extract for this Project until CHIA approval and the execution of an amendment to the Recipient's Data Use Agreement.

TRACKING TABLE (to be completed by CHIA staff only)	
Complete Application Received	
Application Fee Received	
Data Privacy Committee Review	
Data Release Committee Review	
Linkages Approved (as described)	
Approved for additional years of data	
Executive Director Approval	
Data Fee Received	
Date of First Audit	
IT Extract #	

Attachment #1 – IRB Approval Letter & Protocol or Research Methodology

Attachment #2 – Data Management Plan(s)