October 30, 2025

When do I need a DUA from UnityPoint Health – Meriter?

Research Scenario 1

Meriter Only Shares LDS
UW Researcher collects *non-Sensitive Data** from Meriter. **Qualifies as a Limited Data Set (LDS).**

UW PI **1)** manually enters Meriter data into a file on UW Server (REDCap or Dept. Server), **OR 2)** Meriter employee sends data electronically to UW PI, **OR 3)** PI manually enters or uploads the data to a third party.

PI needs a DUA from Meriter before getting LDS transferred or used by the PI.

PI sends Meriter LDS to 3rd party.

PI Needs UW DUA with the third party. data.

Research Scenario 2

UW Researcher collects *non-Sensitive Data** from Meriter. Includes MORE HIPAA identifiers than dates, city, state, zip code. Dataset is **NOT an LDS.**

A HIPAA Waiver of Authorization allows PI to collect Meriter data.

UW PI manually enters Meriter data into a file on UW Server (REDCap, Dept Server). OR Meriter employee sends data electronically to UW PI.

UW Researcher creates an LDS from the data and sends to a third party.

PI does NOT need Meriter DUA.

PI Needs UW DUA to send data to third party.

Quality Projects for Health Care Operations Scenario

UW Physician collects data from Meriter for **quality** project. Includes MORE HIPAA identifiers than dates, city, state, zip code. Dataset is **NOT an LDS.**

→ Data is transferred to UW server.

→ Acting as a Business Associate to Meriter, UW staff creates an LDS from the data and sends to UW investigator or third party.

→ **UW Physician needs a DUA from Meriter because data is collected as health care operations.**

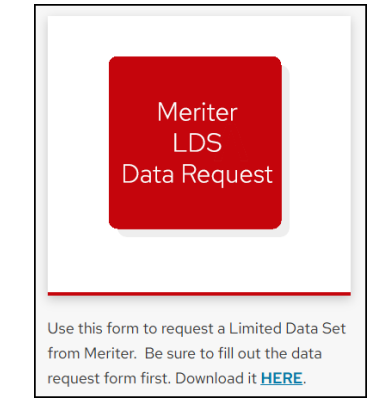
Meriter Quality Project Scenario - The UW SMPH physician is part of the Meriter workforce in this scenario. The UW MD is doing health care operations for Meriter (not research).

How do I request a Meriter Data Use Agreement?

Go to Intake & Request Forms – SMPH Contract Solutions – UW–Madison (https://contracts.wiscweb.wisc.edu/intake-decision-tools/) Scroll down until you see the image at right. Follow the instructions.

How do I get a Waiver of Authorization?

This is part of the IRB approval process. You should request a Waiver of Authorization in your application to the reviewing IRB.



Definitions

What is a Limited Data Set (LDS)? An LDS is clinical dataset that includes only the following HIPAA identifiers: city, state, zip code, dates. If the data set includes *more* HIPAA identifiers than this, it is not a limited data set.

What is a Data Use (and Transfer) Agreement (DUA)? An agreement between institutions that outlines how the LDS will be used and protected. The institution where a limited data set originates and the institution receiving the data sign the agreement.

***Sensitive Data** – HIV/AIDS, substance abuse, mental health, genetic information

HIPAA Identifiers

Name

Address (street, city, county, state, zip code)

Telephone/Fax Numbers

Social Security Numbers

Dates (except for years), includes the following:

- Birth Date
- Admission Date
- Discharge Date
- Service Date
- Date of Death
- Any Other Date

Ages greater than 89 and all elements of dates indicative of such age.

E-mail Addresses/URLs

Medical Record Numbers

Health Plan Beneficiary Numbers

Account Numbers

Certificate/License Numbers

Vehicle Identifiers and Serial Numbers (e.g. VINs, License Plate Numbers)

Device Identifiers and Serial Numbers

Biometric Identifiers (e.g. finger or voice prints or full-face photographic images)

Any other unique identifying number, characteristic, or code, including a study code

Meriter Specific - Race/Ethnicity if more than the following categories are recorded: 1) Caucasian (white), 2) African American (Black), 3) Asian, 4) Hispanic, 5) Other