

This document was requested and posted by AltGov2

www.altgov2.org/records-destruction-requests

PENDING - NOT APPROVED FOR USE

Request for Records Disposition Authority

Records Schedule Number DAA-0512-2017-0002

Schedule Status Appraiser Working Version

Agency or Establishment Health Resources and Services Administration

Record Group / Scheduling Group Records of the Health Resources and Services Administration

Records Schedule applies to Agency-wide

Schedule Subject The National Practitioner Data Bank (NPDB)

Internal agency concurrences will be provided Yes

Background Information

The National Practitioner Data Bank (NPDB) is a high profile, internet-based system that contains more than 1.4 million reports on adverse actions, medical malpractice settlements, exclusions from health plans, and certain criminal convictions against physicians, dentists, and other health care practitioners, suppliers, and providers. The NPDB system can be accessed by authorized health care entities, hospitals, professional societies, government agencies, and State licensing boards to inform decisions on hiring, licensing, and credentialing. The NPDB was created under Title IV of P.L. 99-660, the Health Care Quality Improvement Act of 1986, and began operations in 1990. Subsequent laws (Section 1921 of the Social Security Act, Section 1128E of the Social Security Act, and Section 6403 of the Patient Protection and Affordable Care Act of 2010) expanded the information collected and disclosed by the NPDB and modified its operations.

The NPDB helps to ensure the public safety by retaining and disclosing to authorized NPDB users a record of adverse events or the questionable actions of practitioners, thereby making it difficult for practitioners to move from state to state without any record of past negative actions. Specifically, the NPDB provides information on malpractice payments, exclusions, fraud and health care-related criminal convictions, license suspensions, and other adverse actions taken against healthcare practitioners, providers, and suppliers.

Entities are authorized to report, query, or both to the NPDB based on defined statutory requirements. In 2017, the NPDB system received approximately 78,000 reports, and processed over 7.8 million queries.

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Approximately 140,000 physicians, dentists, and other health care practitioners utilized the NPDB system to purchase self-queries in 2017.

Authorized users may access the system directly through a secure login to the NPDB website. Some larger entities use a secure XML-based batch submission tool to submit reports and purchase queries.

Records that were part of the Healthcare Integrity and Protection Data Bank (HIPDB) were merged into the NPDB in May 2013. The disposition of all HIPDB reports, queries, disputes, and correspondence are the same as for those of the NPDB.

This schedule will supersede DAA-0512-2014-0006. See supporting attachment for item numbers and proposed schedules and disposition authorities. These records are maintained in Privacy Act System 09-15-0054, National Practitioner Data Bank.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 7 | 1 | 6 | 0 |

GAO Approval

This document was requested and posted by AltGov2

www.altgov2.org/records-destruction-requests

PENDING - NOT APPROVED FOR USE

Outline of Records Schedule Items for DAA-0512-2017-0002

| Sequence Number | |
|-----------------|--|
| 1 | National Practitioner Data Bank Data Files |
| 1.1 | NPDB Reports Disposition Authority Number: DAA-0512-2017-0002-0001 |
| 1.2 | NPDB Public Use File Disposition Authority Number: DAA-0512-2017-0002-0002 |
| 1.3 | NPDB Subject Profile Disposition Authority Number: DAA-0512-2017-0002-0003 |
| 2 | One-Time Query, Continuous Query, and Self-Query Transactions |
| 2.1 | Query Transactions Disposition Authority Number: DAA-0512-2017-0002-0004 |
| 3 | Compliance and Research |
| 3.1 | Compliance and Research Files Disposition Authority Number: DAA-0512-2017-0002-0005 |
| 4 | Dispute Resolution Cases |
| 4.1 | Dispute Resolution Case Files Disposition Authority Number: DAA-0512-2017-0002-0006 |
| 5 | Entity Registration |
| 5.1 | Entity Registration Forms Disposition Authority Number: DAA-0512-2017-0002-0007 |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | National Practitioner Data Bank Data Files |
| 1.1 | <p>NPDB Reports</p> <p>Disposition Authority Number DAA-0512-2017-0002-0001</p> <p>This includes reports on practitioners, providers, and suppliers with adverse history. In support of its overarching mission to protect the public and address healthcare fraud and abuse, NPDB reports must stay available and accessible to authorized users (those querying the NPDB) to provide a comprehensive history of actions taken against practitioners, suppliers, and providers to protect the public. Some of these categories can have multiple fields and/or contain multiple data elements. Subject Name (and Aliases), Subject Gender, Subject Date of Birth, Subject Employer, Employer Organization Type, Social Security Number, Tax Payer Identification, Federal Employer Identification Numbers, National Provider Identifier, Drug Enforcement Administration Number, Subject Unique Physician Identification Numbers, Subject Professional Schools Attended, Subject Occupation and State Licensure Information, Organization Names (and Aliases), Organizational Principal Operators and Owners, Organizational Medicare Numbers, Organizational Address, Organizational Statutory Offences, Medical Malpractice Payment Information, Adverse Action Information, Basis for Adverse Action, Criminal Conviction Information, Civil Judgment Information, Classification of Acts, Subject Hospital Affiliation, Transaction Certifier Name, Transaction Certifier Phone, Transaction Certifier Title, Date of Transaction Submission, and other related data necessary to positively identify and capture the adverse history of a practitioner, supplier, or provider. Even after a practitioner is deceased, it is important to maintain the report history to protect against fraud and identity theft. These records are generated electronically as users enter new reports on the secure website or submit secure batch reports via XML file interface.</p> <p>Final Disposition Temporary</p> <p>Item Status Pending</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation These are electronic records.</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

| | | |
|---|---|---|
| 1.2 | GRS or Superseded Authority Citation | DAA-0512-2014-0006-0001 |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off data at the end of calendar year. |
| | Retention Period | Destroy 75 year(s) after cut off, but longer retention is authorized for legal and business purposes. |
| | Additional Information | |
| | GAO Approval | Not Required |
| | NPDB Public Use File | |
| | Disposition Authority Number | DAA-0512-2017-0002-0002 |
| | | <p>The NPDB Public Use Data File contains selected variables (that do not identify individual practitioners or reporting entities) from medical malpractice payment and adverse licensure, clinical privileges, professional society membership, and Drug Enforcement Administration (DEA) reports (adverse actions) received by the NPDB concerning physicians, dentists, and other licensed health care practitioners. It also includes reports of Medicare and Medicaid exclusion actions taken by the Department of HHS Office of Inspector General. In accordance with the Law and Regulations, variables which identify or would allow identification of individual entities or practitioners are excluded from the public use file. In order to assure confidentiality to all types of practitioners, the smallest geographic unit identified in each record in this file is a State. The Public Use File includes information on report type, year of report processing, subject work state, field of licensure, age group of subject, graduation year group, and other report information that does not identify individual practitioners or reporting entities. This file is only provided to individuals who sign the NPDB's data use file and the file is designed to provide data for statistical reporting and analysis only.</p> |
| | Final Disposition | Permanent |
| | Item Status | Pending |
| | Is this item media neutral? | No |
| | Explanation of limitation | These are electronic records. |
| | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| Do any of the records covered by this item exist as structured electronic data? | Yes | |
| Disposition Instruction | | |
| Cutoff Instruction | Cut off data at the end of the calendar year. | |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Transfer to the National Archives for Accessioning Transfer a snapshot of the data to NARA every 5 years, when the newest records in the transfer are 15 years old.

Additional Information

First year of records accumulation 1990

What will be the date span of the initial transfer of records to the National Archives? From 1990 To 2002

How frequently will your agency transfer these records to the National Archives? Every 5 Years

| | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital | 109 MB | 109 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

1.3

NPDB Subject Profile

Disposition Authority Number DAA-0512-2017-0002-0003

Data on subjects of reports, such as address, date of birth, and licensure data used to pre-populate reports and queries. This is not required reporting by entities, but used to assist entities in reporting and querying.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation These are electronic records.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Disposition Instruction

Cutoff Instruction Cut off data at the end of the calendar year.

Retention Period Destroy 75 year(s) after cut off, prior to the date of the subject's most recent NPDB report, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

One-Time Query, Continuous Query, and Self-Query Transactions

Query Transactions

Disposition Authority Number DAA-0512-2017-0002-0004

The NPDB maintains the history of query purchases for one-time query output, continuous query subscription enrollment history, disclosures, and self- query output. The NPDB maintains the history of which user/entity submitted queries, which subject(s) they queried on, whether or not the query matched one or more existing reports and the financial transaction data associated with each query. Historical query data is used to help determine if certain entities (e.g., hospitals) are in compliance with legislatively mandated querying requirements. These records are currently generated automatically as users work in the NPDB system. The financial transaction data are also used for budgeting and account reconciliation purposes.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation These are electronic records.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation DAA-0512-2014-0006-0002

Disposition Instruction

Cutoff Instruction Cut off at the end of calendar year.

Retention Period Destroy 50 year(s) after cut off, but longer retention is authorized for legal and business purposes.

2
2.1

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

| | | |
|-----|--|---|
| | Additional Information | |
| | GAO Approval | Not Required |
| 3 | Compliance and Research | |
| 3.1 | Compliance and Research Files | |
| | Disposition Authority Number | DAA-0512-2017-0002-0005 |
| | Research Products, Public Use Data, and summarized statistical data on NPDB transactions, state board and third-party data used in compliance initiatives, and compliance results. | |
| | Final Disposition | Temporary |
| | Item Status | Pending |
| | Is this item media neutral? | No |
| | Explanation of limitation | These are electronic records. |
| | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | GRS or Superseded Authority Citation | DAA-0512-2014-0006-0003 |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off at the end of calendar year |
| | Retention Period | Destroy 50 year(s) after cut off, but longer retention is authorized for legal and business purposes. |
| | Additional Information | |
| | GAO Approval | Not Required |
| 4 | Dispute Resolution Cases | |
| 4.1 | Dispute Resolution Case Files | |
| | Disposition Authority Number | DAA-0512-2017-0002-0006 |
| | Subjects of NPDB reports may initiate a dispute if they feel the NPDB report is inaccurate or not reportable. HRSA NPDB staff adjudicates each dispute based on information collected by the reporter and subject of each report according to the law and regulations. For each dispute that gets elevated to HRSA, a case file is created containing all the documentation, correspondence, analysis, and a letter that renders a decision to keep the disputed report as-is, to send the disputed report to the reporter for correction, or to void the report altogether so it is not | |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

discloseable by any query. Dispute cases are occasionally needed for evidence in civil trials. Additionally, content in past cases can be used by HRSA staff as a benchmark or template to help expedite adjudication of future cases.

| | |
|---|-------------------------------|
| Final Disposition | Temporary |
| Item Status | Pending |
| Is this item media neutral? | No |
| Explanation of limitation | These are electronic records. |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| Do any of the records covered by this item exist as structured electronic data? | Yes |
| GRS or Superseded Authority Citation | DAA-0512-2014-0006-0004 |

Disposition Instruction

| | |
|--------------------|-----------------------------------|
| Cutoff Instruction | Cut off at the close of case. |
| Retention Period | Destroy 50 year(s) after cut off. |

Additional Information

| | |
|--------------|--------------|
| GAO Approval | Not Required |
|--------------|--------------|

Entity Registration

Entity Registration Forms

| | |
|------------------------------|-------------------------|
| Disposition Authority Number | DAA-0512-2017-0002-0007 |
|------------------------------|-------------------------|

The NPDB will maintain all entity registration data since the last entity registration renewal. In 2007, the NPDB implemented identify proofing efforts by collecting and maintaining more detailed documents on entities, including documents signed by account administrator and certifying official. Prior to 2007, only basic user entity information was kept. In 2011, the NPDB began requiring each user to register with the NPDB prior to being granted access. The user registration process is a multi-step process to ensure a representative of the organization called the certifying official is attesting to NPDB reporting and querying privileges under the laws that govern the NPDB. The process also establishes an entity administrator who will be in charge of user management and organizational administrator for NPDB pertaining to that entity. For both the certifying official and entity administrator, entity registration documents are required to verify each person's identity, prove the entity exists, and verify each person's affiliation with that entity. The entity registration process and organization affiliation process began in 2011 and this

5

5.1

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

policy pertains to only those documents associated with entity registration after 2011.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation These are electronic records.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cutoff query data 50 year(s) after entity and user registration.

Retention Period Destroy 50 year(s) after cut-off but longer retention is authorized

Additional Information

GAO Approval Not Required

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|--------------------------|-------------|----------------------------|---|
| 09/07/2017 | Return to Submitter | Jason Lima | Records Management Analyst | DHHS - HRSA |
| 09/07/2017 | Certify | Jason Lima | Records Management Analyst | DHHS - HRSA |
| 09/13/2017 | Return for Revision | Carly Docca | Archives Specialist | National Archives and Records Administration - ACRA |
| 10/18/2017 | Submit For Certification | Evelyn Reid | Agency Records Management | Office of Information Technology - Records Management |
| 11/17/2017 | Certify | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |
| 11/20/2017 | Return for Revision | Carly Docca | Archives Specialist | National Archives and Records Administration - ACRA |
| 12/07/2017 | Submit For Certification | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |
| 01/10/2018 | Certify | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |
| 03/27/2018 | Return for Revision | Carly Docca | Archives Specialist | National Archives and Records Administration - ACRA |
| 03/28/2018 | Submit For Certification | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |
| 03/28/2018 | Certify | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0512-2017-0002**

| | | | | |
|------------|--------------------------|-------------|----------------------------|---|
| 08/01/2018 | Return for Revision | Carly Docca | Archives Specialist | National Archives and Records Administration - ACRA |
| 08/24/2018 | Submit For Certification | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |
| 08/24/2018 | Certify | Evelyn Reid | HRSA Agency Record Officer | Office of Information Technology - Records Management |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0512-2017-0002**

Executive Summary

Summary

Permanent Item Numbers 0002

Federal Register Notice Required

Publication Date

Copies Requested

Comments Received

PENDING - NOT APPROVED FOR USE