

## Request for Records Disposition Authority

Records Schedule Number           **DAA-0440-2014-0002**  
 Schedule Status                       **Approved**

Agency or Establishment           **Centers for Medicare and Medicaid Services**  
 Record Group / Scheduling Group   **Records of the Centers for Medicare and Medicaid Services**  
 Records Schedule applies to       **Agency-wide**  
 Schedule Subject                      **Open Payments System**  
 Internal agency concurrences will be provided   **Yes**

Background Information               **The Open Payments Program was established by Section 6002 of the Patient Protection and Affordable Care Act (ACA) of 2009 (H.R. 3590) which was signed into law on March 23, 2010. The regulation requires Applicable Manufacturers (AMs) and applicable Group Purchasing Organizations (GPOs) to annually report payments and other transfers of value made to physicians and teaching hospitals, as well as certain information regarding the ownership or investment interests held by physicians or their immediate family members. CMS is required to compile the submitted data and publish it on a public website. The collection and public reporting of this data will be supported with an electronic information technology (IT) solution that will be used to collect data on covered payments and transfers of value and making those data available to the public as mandated by ACA.**

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>2</b>	<b>0</b>	<b>2</b>	<b>0</b>

**GAO Approval**

## Outline of Records Schedule Items for DAA-0440-2014-0002

Sequence Number	
1	<b>Master Files</b> Disposition Authority Number: DAA-0440-2014-0002-0001
2	<b>Public Use Files and Datasets</b> Disposition Authority Number: DAA-0440-2014-0002-0002

## Records Schedule Items

Sequence Number	
1	<p><b>Master Files</b></p> <p>Disposition Authority Number      <b>DAA-0440-2014-0002-0001</b></p> <p>Profile information of reporting entities (drug/device manufacturers) and their users and covered recipients of payments (physicians and teaching hospitals) and their users. Reported data elements (manufacturer name, registration ID), Recipient demonstration information (physician/teaching hospital's name, Tax ID#, address, email address, type of physician, NPI, license number; Drug Device, Biological or medical Supply information); Product Information (marketed name, national drug code); Payment information (manufacturer name or GPO making payment or transfer of value being reported, alpha-numeric payment registration ID, payment date and amount, number of payments, form of payment, nature of payment, destination where covered recipient traveled, indicators for: physician ownership, third party payment entity, name of payment recipient, charity indicator).</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff at the end of the calendar year the payment or other transfer of value or investment interest is published publicly.</b></p> <p>Retention Period                         <b>Destroy 10 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Public Use Files and Datasets</b></p> <p>Disposition Authority Number      <b>DAA-0440-2014-0002-0002</b></p> <p>Outputs, including a public use version of the Master File and multiple datasets to allow public access to the information.</p>

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
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?	No
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of the calendar year the files were made publicly available on the CMS website.
Retention Period	Destroy 10 year(s) after cutoff.
Additional Information	
GAO Approval	Not Required

### 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
11/19/2013	Certify	Lisa Townes	Management Analyst	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
05/26/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
09/30/2015	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/02/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/14/2015	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist