

Request for Records Disposition Authority

Records Schedule Number DAA-0510-2016-0001

Schedule Status Approved

Agency or Establishment Agency for Health Care Research and Quality

Record Group / Scheduling Group Records of the Agency for Health Care Policy and Research

Records Schedule applies to Major Subdivision

Major Subdivision AHRQ Center for Quality Improvement and Patient Safety (CQulPS)

Schedule Subject AHRQ Patient Safety Organization (PSO) Listing Lifecycle Records

Internal agency concurrences will be provided No

Background Information

The Patient Safety and Quality Improvement Act of 2005 (Patient Safety Act), and its implementing regulation in 42 CFR Part 3 (Patient Safety Rule), authorize the creation of Patient Safety Organizations (PSOs). The Agency for Healthcare Research and Quality (AHRQ), of the Department of Health and Human Services (HHS), administers the provisions of the Patient Safety Act and Patient Safety Rule dealing with PSO operations. Patient Safety Organizations (PSOs) seek to improve the quality and safety of health care delivery. Organizations that are eligible to become PSOs include: public or private entities, profit or not-for-profit entities, provider entities such as hospital chains and other entities that establish special components to serve as PSOs. It is the responsibility of AHRQ to initially certify entities that seek to be PSOs. This office will also conduct subsequent (every 3 years) certifications of PSOs to determine if they are compliant with the provisions of the Patient Safety and Quality Improvement Act (PL 109-41). Once a PSO is certified, PSOs are subject to compliance assessment.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0510-2016-0001

Sequence Number	
1	PSO Certification and Information Forms, Correspondence and Supporting Documentation
1.1	Certified PSO Records Disposition Authority Number: DAA-0510-2016-0001-0001
1.2	Non-certified Entities Records Disposition Authority Number: DAA-0510-2016-0001-0002
2	Compliance Review Records Disposition Authority Number: DAA-0510-2016-0001-0003

Records Schedule Items

Sequence Number																			
1	<p>PSO Certification and Information Forms, Correspondence and Supporting Documentation</p> <p>This item consists of the following records: (1) Certification for Initial Listing Form – contains name, address, phone/fax and website with attestations regarding PSO regulatory requirements, statutory requirements and certification of attestations, (2) Disclosure Statement Form – contains full disclosure of any financial, contractual, or reporting relationships the PSO has with a contracting provider(s) and, if applicable, the fact that the PSO is not operated independently, (3) Certification of Continued Listing Form – contains name, address, phone/fax and website with attestations regarding PSO regulatory requirements, statutory requirements and certification of attestations to continue to be a PSO, (4) Change of Listing Information Form – contains any changes in the accuracy of the information submitted for listing, along with the pertinent changes, (5) Two Bona Fide Contracts Requirement Form – contains attestations that the PSO has two bona fide contracts in effect within each 24-month period after the PSO's initial date of listing, (6) Notes from technical assistance performed with PSO during the course of listing, and (7) Documentation sent by PSO to AHRQ to support listing activities during the course of a PSO's listing.</p>																		
1.1	<p>Certified PSO Records</p> <table border="0"> <tr> <td>Disposition Authority Number</td> <td>DAA-0510-2016-0001-0001</td> </tr> <tr> <td>Final Disposition</td> <td>Temporary</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>No</td> </tr> <tr> <td>Explanation of limitation</td> <td>Electronic</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>No</td> </tr> </table> <p>Disposition Instruction</p> <table border="0"> <tr> <td>Cutoff Instruction</td> <td>Cutoff at the end of the CY (of the PSO delisting).</td> </tr> <tr> <td>Retention Period</td> <td>Destroy 5 year(s) after cutoff</td> </tr> </table> <p>Additional Information</p>	Disposition Authority Number	DAA-0510-2016-0001-0001	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	No	Explanation of limitation	Electronic	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	Cutoff Instruction	Cutoff at the end of the CY (of the PSO delisting).	Retention Period	Destroy 5 year(s) after cutoff
Disposition Authority Number	DAA-0510-2016-0001-0001																		
Final Disposition	Temporary																		
Item Status	Active																		
Is this item media neutral?	No																		
Explanation of limitation	Electronic																		
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Cutoff Instruction	Cutoff at the end of the CY (of the PSO delisting).																		
Retention Period	Destroy 5 year(s) after cutoff																		

1.2	<p>GAO Approval Not Required</p> <p>Non-certified Entities Records</p> <p>Disposition Authority Number DAA-0510-2016-0001-0002</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the CY.</p> <p>Retention Period Destroy 3 year(s) after cutoff</p>
2	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Compliance Review Records</p> <p>Disposition Authority Number DAA-0510-2016-0001-0003</p> <p>This item consists of the following documents: (1) Initial letter opening compliance review, (2) compliance review files containing evidence gathered in the course of a compliance review, (3) the results of any research and analyses indicating deficiencies, (4) records used to address deficiencies and evidence of the work of the PSO to rectify issues, (5) final report on the outcome of the compliance reviews. This information is collected during site visits. Compliance folders are developed for each PSO with supporting notes. These hard copies are converted to scanned files and housed on local drives.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic</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>

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 CY in which the PSO is delisted.
Retention Period	Destroy 5 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
06/30/2016	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
09/06/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/06/2016	Submit For Certification	Patricia Bosco	Program Analyst	Information Technology - Records Management
09/06/2016	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
10/27/2016	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
10/31/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/01/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/03/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist