

## Request for Records Disposition Authority

Records Schedule Number DAA-0510-2019-0002

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 Agency-wide

Schedule Subject AHRQ Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) and Surveys on Patient Safety Culture™ (SOPS®)

Internal agency concurrences will be provided No

Background Information

The Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) program began in 1995. Its purpose is to advance our scientific understanding of patient experience with healthcare. The acronym "CAHPS" is a registered trademark of the Agency for Healthcare Research and Quality (AHRQ). Under the CAHPS program, AHRQ funds, oversees, and works closely with a consortium of research organizations to conduct research on patient experience and develop surveys that ask consumers and patients to report on and evaluate their experiences with health plans, providers, and healthcare facilities. The CAHPS program also investigates and shares strategies for improving the reliability and validity of survey results, reporting survey results to interested audiences, and using the results to improve patients' experiences with care.

The Surveys on Patient Safety Culture™ (SOPS®) program began in 2001. Its purpose is to advance our scientific understanding of patient safety culture in healthcare. AHRQ sponsored the development of patient safety culture assessment tools (SOPS) enable health care organizations to assess how their providers and staff perceive various aspects of patient safety culture in the hospital, medical office, nursing home, community pharmacy, and ambulatory surgery center settings. Health care organizations can use these survey assessment tools to raise staff awareness about patient safety, diagnose and assess the current status of patient safety culture, identify strengths and areas for patient safety culture improvement, examine trends in patient safety culture change over time and evaluate the cultural impact of patient safety initiatives and interventions.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	2	2	0

GAO Approval

## Outline of Records Schedule Items for DAA-0510-2019-0002

Sequence Number	
1	Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®)
1.1	Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) Master File Disposition Authority Number: DAA-0510-2019-0002-0001
1.2	Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) Reports Disposition Authority Number: DAA-0510-2019-0002-0002
2	Surveys on Patient Safety Culture™ (SOPS®)
2.1	Surveys on Patient Safety Culture™ (SOPS®) Master File Disposition Authority Number: DAA-0510-2019-0002-0003
2.2	Surveys on Patient Safety Culture™ (SOPS®) Reports Disposition Authority Number: DAA-0510-2019-0002-0004

## Records Schedule Items

Sequence Number	
1	<p>Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) The Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) surveys are a suite of survey instruments and related materials that capture the patients' experiences with health care. The AHRQ CAHPS program has overseen the development of numerous surveys since their inception in 1995. Currently, AHRQ provides trademark oversight for these surveys, updates them, conducts research on their statistical properties, data collection methods, and patient experience generally. AHRQ will continue to provide this oversight to new surveys that are introduced. The surveys are used by other Federal departments, agencies, and organizations for value-based purchasing, public reporting, and accreditation, and by individual facilities, provider groups, and health plans for quality improvement. The AHRQ CAHPS program also maintains voluntary databases for those organizations wishing to submit data. The databases, for the Clinician &amp; Group CAHPS Survey and the Health Plan CAHPS Survey, house data for the purposes of internal quality improvement for those organizations submitting data. Data submitters will receive results from their organization or health plan, and a de-identified summary report of the findings from all data submitters. The summary report is hosted on the AHRQ CAHPS website at no cost to users who wish to download it. The AHRQ CAHPS program also provides a de-identified data set for researchers who request it. Data requesters must provide details of their research, including: purpose of the research, hypotheses tested, and methodology. Research requests are reviewed prior to granting permission to use a database. All CAHPS Health Plan and CAHPS Clinician and Group Data are bound by national and individual state laws along with HIPPA (PL 104-191) and Privacy Rule 45 CFR 164.514(e). Further, information submitted by hospitals or their vendors that could identify either individuals or establishments is protected by the AHRQ Confidentiality Statute, 42 U.S.C. 299c-3(c). Any sharing of the data would require permission prior to data collection for access. AHRQ is the custodian of the data and assures that all requirements are met before access is allowed. Data are confidential and some sample sizes are so small that they could be open to unacceptable exposure.</p>
1.1	<p>Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) Master File</p> <p>Disposition Authority Number      DAA-0510-2019-0002-0001</p> <p>Data containing contact information for submitters, health plan or clinician and group characteristics information, survey administration information, and survey data. Also contains individual-level survey respondent data. Includes but is not limited to the CAHPS Health Plan Survey and the CAHPS Clinician, Group Survey and the Home and Community Based Services Survey.</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?	Yes
	GRS or Superseded Authority Citation	N1-510-09-006, Item 1a
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the calendar year in which posted to the system.
	Retention Period	Destroy 50 years after cutoff or when no longer needed for business purposes, whichever is later as per AHRQ guideline and requirements.
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.2	<b>Consumer Assessment of Healthcare Providers and Systems™ (CAHPS®) Reports</b>	
	Disposition Authority Number	DAA-0510-2019-0002-0002
	<p>Significant reports and publications presenting aggregated statistics on the surveys' composites and items across all participating database sources. Published reports include, but are not limited to, the following: • CAHPS Health Plan Survey Results: Provides the most recent Health Plan Survey results • CAHPS Clinician &amp; Group Survey Results Provides the most recent CG-CAHPS Survey results</p>	
	Final Disposition	Permanent
	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?	Yes

GRS or Superseded Authority Citation      N1-510-09-006 Item 1b

Disposition Instruction

Cutoff Instruction      Cutoff at the end of the calendar year in which final version is produced.

Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation      2000

What will be the date span of the initial transfer of records to the National Archives?      From 2000 To 2006

How frequently will your agency transfer these records to the National Archives?      Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	33 MB	2 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2

Surveys on Patient Safety Culture™ (SOPS®)

The Surveys on Patient Safety Culture™ (SOPS®) are a suite of five survey instruments and related materials that capture health care employee’s perceptions of practices in their health care setting that enhance patient safety. The AHRQ SOPS program has overseen the development of numerous surveys since their inception in 2001. AHRQ provides trademark oversight for these surveys, updates them, conducts research on their statistical properties, data collection methods, and patient safety culture generally. AHRQ will continue to provide this oversight to new surveys that are introduced. The AHRQ SOPS program also maintains voluntary databases for each survey (Hospital, Nursing Home, Medical Office, Community Pharmacy, Ambulatory Surgery Center) for those organizations wishing to submit data. The databases house data for the purposes of internal quality improvement for those organizations submitting data. Data submitters will receive results from their organization and a de-identified summary report of the

findings from all data submitters. The summary report is hosted on the AHRQ SOPS website at no cost to users who wish to download it. The AHRQ SOPS program also provides a de-identified data set for researchers who request it. Data requesters must provide details of their research, including. Purpose of the research, hypotheses tested, and methodology. Research requests are reviewed prior to granting permission to use a database. The Hospital SOPS dataset can be obtained with identifiers, but under specific conditions. Once each year, all hospitals receive approved research requests. If they consent to have their identified data included in any or all of the research requests, they must specifically authorize this in writing. All SOPS data are bound by national and individual state laws along with HIPPA (PL 104-191) and Privacy Rule 45 CFR 164.514(e). Further, information submitted by hospitals or their vendors that could identify either individuals or establishments is protected by the AHRQ Confidentiality Statute, 42 U.S.C. 299c-3(c). Any sharing of the data would require permission prior to data collection for access. AHRQ is the custodian of the data and assures that all requirements are met before access is allowed. Data are confidential and some sample sizes are so small that they could be open to unacceptable exposure.

2.1

### Surveys on Patient Safety Culture™ (SOPS®) Master File

Disposition Authority Number      DAA-0510-2019-0002-0003

The Master file is data submitted voluntarily by participating organizations. It includes all records, both complete and in-complete, and all variables including identifying information.

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?      Yes

GRS or Superseded Authority Citation      N1-510-09-006 Item 2a

### Disposition Instruction

Cutoff Instruction      Cutoff at the end of the calendar year in which posted to the system.

Retention Period      Destroy 50 years after cutoff or when no longer needed for business purposes, whichever is later as per AHRQ guideline and requirements.

2.2	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Surveys on Patient Safety Culture™ (SOPS®) Reports</b>	
	Disposition Authority Number	DAA-0510-2019-0002-0004
	<p>Significant reports presenting aggregated statistics on the surveys' composites and items across all participating database sources Reports include, but are not limited to, the following • Hospital Survey on Patient Safety Culture Database Report: Presents statistics on the patient safety culture areas or composites assessed in the survey • Nursing Home Survey on Patient Safety Culture Database Report: Presents data for the survey items and composite scores on the safety culture • Medical Office Survey on Patient Safety Culture Database Report: Presents results for the survey items and patient safety culture.</p>	
	Final Disposition	Permanent
	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?	Yes
	GRS or Superseded Authority Citation	N1-510-09-006 Item 2b
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the calendar year in which final version is produced.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
	<b>Additional Information</b>	
First year of records accumulation	2007	
What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2007	
How frequently will your agency transfer these records to the National Archives?	Every 1 Years	
	Estimated Current Volume	Annual Accumulation

Electronic/Digital	60 MB	4 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

## 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
09/24/2019	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
10/15/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
11/05/2019	Submit For Certification	Patricia Bosco	Program Analyst	Information Technology - Records Management
11/05/2019	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
04/15/2021	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
06/07/2021	Submit For Certification	Patricia Bosco	Program Analyst	Information Technology - Records Management
06/07/2021	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
09/21/2021	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
09/29/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/29/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/29/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist