

## Request for Records Disposition Authority

Records Schedule Number           DAA-0510-2019-0004

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 (CQuIPS)

Schedule Subject                  AHRQ Patient Safety Organization (PSO) Program 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 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0510-2019-0004

Sequence Number	
1	PSO Certification and Information Forms, Correspondence and Supporting Documentation (all forms contain contact information such as names, addresses, phone/fax and website addresses)
1.1	Certified PSO Records Disposition Authority Number: DAA-0510-2019-0004-0001
1.2	Non-certified Entities Records Disposition Authority Number: DAA-0510-2019-0004-0002
2	Compliance Review Records Disposition Authority Number: DAA-0510-2019-0004-0003

## Records Schedule Items

Sequence Number	
1	<p>PSO Certification and Information Forms, Correspondence and Supporting Documentation (all forms contain contact information such as names, addresses, phone/fax and website addresses)</p>
1.1	<p><b>Certified PSO Records</b></p> <p>Disposition Authority Number      <b>DAA-0510-2019-0004-0001</b></p> <p>For certified entities, this item consists of some or all of the following records: (1) Certification for Initial Listing Form – contains 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 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) Voluntary Relinquishment Form - contains attestations required to initiate the voluntary relinquishment process, (7) Records related to the citation and correction of any deficiencies, and/or revocation, (8) Notes from technical assistance performed with the entity (9) Documentation sent by the entity to AHRQ to support listing activities, and (10) Correspondence between the entity and AHRQ.</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>GRS or Superseded Authority Citation      <b>DAA-0510-2016-0001-0001</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff at the end of the CY (of the PSO delisting).</b></p>

1.2	Retention Period	Destroy 5 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later
	Additional Information	
	GAO Approval	Not Required
	<b>Non-certified Entities Records</b>	
	Disposition Authority Number	DAA-0510-2019-0004-0002
	For non-certified entities, including inquiries related and unrelated to PSO listing from entities and individuals, this item consists of some or all of the following records: (1) Certification for Initial Listing Form - contains attestations regarding PSO regulatory requirements, statutory requirements and certification of attestations (2) Correspondence between the entity and AHRQ related to listing, (3) Notes, emails and/or other correspondence and documentation containing information related to an inquiry from an individual or entity and (4) Notes, emails and/or other correspondence and documentation containing information and/or technical assistance provided by AHRQ to the individual or entity.	
	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	
GRS or Superseded Authority Citation	DAA-0510-2016-0001-0002	
Disposition Instruction		
Cutoff Instruction	Cutoff at the end of the CY.	
Retention Period	Destroy 3 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later	
Additional Information		
GAO Approval	Not Required	
<b>Compliance Review Records</b>		
Disposition Authority Number	DAA-0510-2019-0004-0003	

2

This item consists of some or all of the following records: (1) Initial notice to PSO of compliance review initiation, (2) compliance review files containing evidence gathered and information generated in preparation for or in the course of a compliance review, (3) the results of any research and analyses indicating deficiencies and/or technical assistance needs, (4) records related to technical assistance provided and evidence of the work of the PSO to rectify issues, (5) notice to PSO of compliance review conclusion, (6) notes, emails and other correspondence related to the compliance reviews, (7) initial letter opening compliance review, and (8) final report on outcome of compliance review.

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

GRS or Superseded Authority Citation DAA-0510-2016-0001-0003

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
10/17/2019	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
11/19/2019	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
02/05/2020	Submit For Certification	Patricia Bosco	Program Analyst	Information Technology - Records Management
02/05/2020	Certify	Patricia Bosco	Program Analyst	Information Technology - Records Management
05/06/2020	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/20/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/03/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist