

INACTIVE - ALL ITEMS SUPERSEDED

Request for Records Disposition Authority

Records Schedule Number DAA-0512-2014-0006
Schedule Status Modified Approved 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 1.1 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. Each year, the NPDB system takes in approximately 50,000 new reports, and processes over five million queries.

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Approximately 90,000 physicians, dentists, and other health care practitioners also use the NPDB system to purchase self-queries annually.

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 Job No N1-90-88-7. 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
4	1	3	0

GAO Approval

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Outline of Records Schedule Items for DAA-0512-2014-0006

Sequence Number	
1	National Practitioner Data Bank Data Files
1.1	NPDB Reports Disposition Authority Number: DAA-0512-2014-0006-0001
2	One-Time Query, Continuous Query, and Self-Query Transactions
2.1	Query Transactions Disposition Authority Number: DAA-0512-2014-0006-0002
3	Compliance and Research
3.1	Compliance and Research Files Disposition Authority Number: DAA-0512-2014-0006-0003
4	Dispute Resolution Cases
4.1	Dispute Resolution Case Files Disposition Authority Number: DAA-0512-2014-0006-0004

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Records Schedule Items

Sequence Number															
1	<p>National Practitioner Data Bank Data Files 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. Also included are NPDB annual reports.</p>														
1.1	<p>NPDB Reports</p> <table data-bbox="343 1415 1539 1944"><tr><td data-bbox="343 1415 743 1449">Disposition Authority Number</td><td data-bbox="768 1415 1539 1449">DAA-0512-2014-0006-0001</td></tr><tr><td data-bbox="343 1485 743 1519">Final Disposition</td><td data-bbox="768 1485 1539 1519">Permanent</td></tr><tr><td data-bbox="343 1542 743 1576">Item Status</td><td data-bbox="768 1542 1539 1576">Inactive</td></tr><tr><td data-bbox="343 1600 743 1634">Is this item media neutral?</td><td data-bbox="768 1600 1539 1634">No</td></tr><tr><td data-bbox="343 1657 743 1691">Explanation of limitation</td><td data-bbox="768 1657 1539 1691">These are electronic records.</td></tr><tr><td data-bbox="343 1715 743 1834">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td data-bbox="768 1715 1539 1834">Yes</td></tr><tr><td data-bbox="343 1857 743 1944">Do any of the records covered by this item exist as structured electronic data?</td><td data-bbox="768 1857 1539 1944">Yes</td></tr></table>	Disposition Authority Number	DAA-0512-2014-0006-0001	Final Disposition	Permanent	Item Status	Inactive	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 Authority Number	DAA-0512-2014-0006-0001														
Final Disposition	Permanent														
Item Status	Inactive														
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														

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Inactive Status Explanation This item is inactive because it was superseded by
New Disposition Authority Number:
DAA-0512-2017-0002-0001
New Disposition Authority Number:

Disposition Instruction

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

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

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1990 To 2014

How frequently will your agency transfer these records to the National Archives? Every 15 Years

2

One-Time Query, Continuous Query, and Self-Query Transactions
The NPDB maintains the history of query purchases for one-time query output, continuous query subscription enrollment history and 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. Historical paper documents may exist that duplicate electronic data in the NPDB database.

2.1

Query Transactions

Disposition Authority Number DAA-0512-2014-0006-0002

Final Disposition Temporary

Item Status Inactive

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

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	Do any of the records covered by this item exist as structured electronic data?	Yes
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0512-2017-0002-0004 New Disposition Authority Number:
	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
3	Compliance and Research	
	Research Products, Public Use Data, and summarized statistical data on NPDB transactions and compliance results.	
3.1	Compliance and Research Files	
	Disposition Authority Number	DAA-0512-2014-0006-0003
	Final Disposition	Temporary
	Item Status	Inactive
	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
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0512-2017-0002-0005 New Disposition Authority Number:
	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.

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	Additional Information	
	GAO Approval	Not Required
4	Dispute Resolution Cases 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 discloseable by any query. Dispute cases are needed occasionally 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.	
4.1	Dispute Resolution Case Files	
	Disposition Authority Number	DAA-0512-2014-0006-0004
	Final Disposition	Temporary
	Item Status	Inactive
	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
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0512-2017-0002-0006 New Disposition Authority Number:
	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

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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
09/09/2014	Certify	Angela Tuscani	Records Management Officer	Records Management - OIT
10/22/2014	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
11/12/2014	Submit For Certification	Angela Tuscani	Records Management Officer	Records Management - OIT
11/12/2014	Certify	Angela Tuscani	Records Management Officer	Records Management - OIT
02/04/2015	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
02/04/2015	Submit For Certification	Angela Tuscani	Records Management Officer	Records Management - OIT
02/04/2015	Certify	Angela Tuscani	Records Management Officer	Records Management - OIT
03/31/2015	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
04/28/2015	Submit For Certification	Angela Tuscani	Records Management Officer	Records Management - OIT
04/28/2015	Certify	Angela Tuscani	Records Management Officer	Records Management - OIT
11/19/2015	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0512-2014-0006

11/20/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/20/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/24/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

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