

## Request for Records Disposition Authority

Records Schedule Number DAA-0512-2014-0006  
Schedule Status Approved  
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.

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

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

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

## Records Schedule Items

Sequence Number

**1**      **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.

1.1

**NPDB Reports**

|   |                                      |
|---|--------------------------------------|
| Disposition Authority Number  | <b>DAA-0512-2014-0006-0001</b>       |
| Final Disposition   | <b>Permanent</b>                     |
| Item Status   | <b>Active</b>                        |
| Is this item media neutral?   | <b>No</b>                            |
| Explanation of limitation   | <b>These are electronic records.</b> |
| 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>                           |
| Do any of the records covered by this item exist as structured electronic data?   | <b>Yes</b>                           |

GRS or Superseded Authority Citation      Job No N1-90-88-7

**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

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**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      Active

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 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

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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                              Active

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 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

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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

4.1

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.

**Dispute Resolution Case Files**

Disposition Authority Number      DAA-0512-2014-0006-0004

Final Disposition                      Temporary

Item Status                              Active

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 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

## 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 Mangemen<br>t Officer | Records Management -<br>OIT   |
| 10/22/2014 | Return for Revisio<br>n      | Tom Cotter     | Appraiser                     | National Archives and<br>Records Administration<br>- Records Management<br>Services |
| 11/12/2014 | Submit For Certific<br>ation | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 11/12/2014 | Certify                      | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 02/04/2015 | Return for Revisio<br>n      | Tom Cotter     | Appraiser                     | National Archives and<br>Records Administration<br>- Records Management<br>Services |
| 02/04/2015 | Submit For Certific<br>ation | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 02/04/2015 | Certify                      | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 03/31/2015 | Return for Revisio<br>n      | Valerie Terray | Archives Specialist           | National Archives and<br>Records Administration<br>- Records Management<br>Services |
| 04/28/2015 | Submit For Certific<br>ation | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 04/28/2015 | Certify                      | Angela Tuscani | Records Mangemen<br>t Officer | Records Management -<br>OIT   |
| 11/19/2015 | Submit for Concur<br>rence   | Tom Cotter     | Appraiser                     | National Archives and<br>Records Administration<br>- Records Management<br>Services |



|            |         |                  |   |  |
|------------|---------|------------------|---|--|
| 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                      |