

Request for Records Disposition Authority

Records Schedule Number DAA-0015-2016-0006
Schedule Status Approved

Agency or Establishment Department of Veterans Affairs
Record Group / Scheduling Group Records of the Department of Veterans Affairs
Records Schedule applies to Major Subdivision
Major Subdivision Veterans Health Administration
Schedule Subject National Surgical Record
Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	0	8	0

GAO Approval

Outline of Records Schedule Items for DAA-0015-2016-0006

Sequence Number	
1	Mechanical Circulatory Assist Device (MCAD) Tracker
1.1	Patient Selection and Funding Disposition Authority Number: DAA-0015-2016-0006-0001
2	Transplant Referral and Cost Evaluation/Reimbursement (TRACER)
2.1	Referral Process: VA Medical Centers Disposition Authority Number: DAA-0015-2016-0006-0002
2.2	Referral Review Process: VA Transplant Center Disposition Authority Number: DAA-0015-2016-0006-0003
3	Pre-Operative Case Management Tool Disposition Authority Number: DAA-0015-2016-0006-0004
4	Continuous Improvement in Cardiac Surgery Program (CISCP) Database Disposition Authority Number: DAA-0015-2016-0006-0005
5	National Surgical Quality Improvement Program (NSQIP) Database Disposition Authority Number: DAA-0015-2016-0006-0006
6	VA Surgical Quality Improvement Program (VASQIP) Database Disposition Authority Number: DAA-0015-2016-0006-0007
7	Ophthalmic Surgical Outcome Database (OSOD) Disposition Authority Number: DAA-0015-2016-0006-0008

Records Schedule Items

Sequence Number					
1	<p>Mechanical Circulatory Assist Device (MCAD) Tracker The MCAD tracker enables the National Surgery Office to fulfill the following responsibilities stipulated in VHA Directive 2012-033 Heart Failure Treatment Utilizing a Ventricular Assist Device or Total Artificial Heart.</p>				
1.1	<p>Patient Selection and Funding Disposition Authority Number DAA-0015-2016-0006-0001</p> <p>1. Establishing a database for tracking Veterans who underwent the implantation of a mechanical circulatory assist device (either a ventricular assist device [VAD] or a total artificial heart [TAH]). 2. Monitoring patient outcomes 3. Administering and providing timely distribution of VHA Central Office special purpose funds to an approved in-house VHA cardiac surgery program or an approved VHA heart transplantation program for the care and treatment of Veterans receiving a VAD or TAH.</p> <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? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>New</td> <td>Records Control Schedule (RCS 10-1)</td> </tr> </tbody> </table> <p>Disposition Instruction Cutoff Instruction Cutoff at the end of CY Retention Period Destroy 20 year(s) after cutoff</p> <p>Additional Information GAO Approval Not Required</p>	Manual Citation	Manual Title	New	Records Control Schedule (RCS 10-1)
Manual Citation	Manual Title				
New	Records Control Schedule (RCS 10-1)				
2	<p>Transplant Referral and Cost Evaluation/Reimbursement (TRACER) TRACER is a web-based application that enables (a) VA medical centers to enter referrals for Veterans who may require a solid organ or bone marrow transplant (b) VA transplant centers to review referrals and enter decisions regarding the Veteran's eligibility for further transplant evaluation; (c) enter transplant procedures and Veteran lodging costs for reimbursement by the National Surgery Office.</p>				

2.1

Referral Process: VA Medical Centers

Disposition Authority Number DAA-0015-2016-0006-0002

1. Provide information about the Veteran being referred for transplant evaluation (e.g., demographics, type of transplant desired, VA transplant center desired, names of referring physician, and date of VACO Transplant Referral Note" in CPRS). 2. Complete the electronic organ-specific transplant checklist

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? No

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction Cutoff at the end of CY

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

2.2

Referral Review Process: VA Transplant Center

Disposition Authority Number DAA-0015-2016-0006-0003

1. After referral is submitted in TRACER, the VA transplant center of choice receives an email notification of the referral. 3. The VA transplant centers reviews the referral in TRACER and the VACO Transplant Referral Progress Note in CPRS using VistA Web 3. The VA transplant center enters a decision (regarding the Veteran's eligibility for further transplant evaluation) into TRACER a. VATC referral decisions are expected within 5 business days for stable patients, 48 hours for emergency patients After the VATC enters the decision, the referral submitter and members of the Referring Center Notification Group receive an email notification with link to the referral decision and next steps. TRACER also enables VA medical centers to re-submit referrals, request a second opinion by a different VA transplant center, and submit an "Appeal" to the Transplant Surgical Advisory Board. TRACER enables VA transplant centers to electronically transfer patients from one transplant center to another.

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? No

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction Cutoff at the end of the CY

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

Pre-Operative Case Management Tool

Disposition Authority Number DAA-0015-2016-0006-0004

Before a provider can determine whether a patient is a candidate for surgery, the patient often needs a series of preoperative assessments and procedures. Because VA facility staff are discouraged from using independent mechanisms to track patients, as these may be perceived as unauthorized waitlists, the National Surgery Office (NSO) developed the Pre-Operative Case Management (POCM) tool to track patients' required pre-operative consults, diagnostic tests, and procedures before a determination of surgical candidacy can be made. The POCM tool is not a waitlist nor intended to be a system of record, and it does not replace existing VA scheduling or medical record systems. Use of this tool is optional. POCM coordinators and/or providers at a facility enter patients and workups ordered by the clinician that they anticipate may delay the determination of surgical candidacy. Once all workup items are completed, POCM alerts designated personnel the patient information is ready for review. If no additional workups are necessary, surgical candidacy determination is noted and the patient status is set to Complete. Patient workup information is maintained in a SharePoint list for presentation to POCM users while workups are pending. All patient and workup information is also written to a SQL database to provide PHI blinded reporting capabilities. After 30 days, patient data with a Complete status is removed from the SharePoint view.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

3

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the CY**
Retention Period **Destroy 10 year(s) after Cutoff**

Additional Information

GAO Approval **Not Required**

Continuous Improvement in Cardiac Surgery Program (CISCP) Database

Disposition Authority Number **DAA-0015-2016-0006-0005**

To monitor and report cardiac surgical procedures performed in any VHA cardiac surgical program using unadjusted and risk-adjusted outcomes data. Note: In 2009, NSQIP and CICSP were combined to form the VA Surgical Quality Improvement Program (VASQIP) (see VASQIP below)

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? **No**

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the CY**
Retention Period **Destroy 20 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

National Surgical Quality Improvement Program (NSQIP) Database

4

5

Disposition Authority Number DAA-0015-2016-0006-0006

To monitor and report non-cardiac surgical procedures performed in any VHA surgical program using unadjusted and risk-adjusted outcomes data. In 2009, NSQIP and CICSP were combined to form the VA Surgical Quality Improvement Program (VASQIP) (see VASQIP below)

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? No

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction Cutoff at the end of the CY

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

VA Surgical Quality Improvement Program (VASQIP) Database

Disposition Authority Number DAA-0015-2016-0006-0007

The NSO monitors and reports risk-adjusted (O/E) surgical outcomes and actual (unadjusted) mortality for major surgical procedures performed at each VA medical center for all operations combined and for each surgical specialty on a quarterly basis and for the rolling year. An analysis and review of the VA medical center structure and process will be prompted based upon the reporting of a statistically high O/E ratio. The VASQIP uses logistic regression analysis to calculate the probability of death or complication for each patient in the database, based on the patient's preoperative risk factors. These probabilities can then be summed for all surgical procedures performed by the VHA surgical programs to arrive at an expected number of events (mortality, morbidity) for all operations including the following surgical specialties: cardiac surgery, general surgery, neurosurgery, orthopedic surgery, otolaryngology, plastic surgery, thoracic surgery, urology, and vascular surgery. The observed number of events (O) divided by the expected number of events (E) produces the O/E ratio for the procedures performed at any single VA medical center. As reference, an O/E ratio of 1.0 indicates that the

6

observed number of events is equal to the number of events expected based upon the patient mix in a given specialty at that VA medical center.

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? No

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction Cutoff at the end of the CY

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

Ophthalmic Surgical Outcome Database (OSOD)

Disposition Authority Number DAA-0015-2016-0006-0008

To monitor and report ophthalmic procedures performed in a 5-site pilot group of VHA surgical programs to evaluate functional outcomes and assess feasibility of data capture at all VHA surgical programs. Data within the OSOD database reflect cataract surgeries for April 2009 through September 2011 at 5 pilot sites.

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? No

Manual Citation	Manual Title
New	Records Control Schedule (RCS 10-1)

Disposition Instruction

Cutoff Instruction Cutoff at the end of the CY

7

Retention Period	Destroy 20 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
06/22/2016	Certify	Matthew Staden	Records Officer	Veterans Health Administration - Records Management
01/26/2017	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/31/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist