

Records Schedule Number

DAA-0440-2014-0002

Schedule Status

Approved

Agency or Establishment

Centers for Medicare and Medicaid Services

Record Group / Scheduling Group

Records of the Centers for Medicare and Medicaid Services

Records Schedule applies to

Agency-wide

Schedule Subject

Open Payments System

Internal agency concurrences will

be provided

Yes

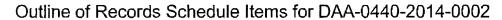
Background Information

The Open Payments Program was established by Section 6002 of the Patient Protection and Affordable Care Act (ACA) of 2009 (H.R. 3590) which was signed into law on March 23, 2010. The regulation requires Applicable Manufacturers (AMs) and applicable Group Purchasing Organizations (GPOs) to annually report payments and other transfers of value made to physicians and teaching hospitals, as well as certain information regarding the ownership or investment interests held by physicians or their immediate family members. CMS is required to compile the submitted data and publish it on a public website. The collection and public reporting of this data will be supported with an electronic information technology (IT) solution that will be used to collect data on covered payments and transfers of value and making those data available to the public as mandated by ACA.

Item Count

Number of Total Disposition Items	i	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval



Sequence Number	
1	Master Files
	Disposition Authority Number: DAA-0440-2014-0002-0001
2	Public Use Files and Datasets
	Disposition Authority Number: DAA-0440-2014-0002-0002



Sequence Number

1

Master Files

Disposition Authority Number

DAA-0440-2014-0002-0001

Profile information of reporting entities (drug/device manufacturers) and their users and covered recipients of payments (physicians and teaching hospitals) and their users. Reported data elements (manufacturer name, registration ID), Recipient demonstration information (physician/teaching hospital's name, Tax ID#, address, email address, type of physician, NPI, license number; Drug Device, Biological or medical Supply information); Product Information (marketed name, national drug code); Payment information (manufacturer name or GPO making payment or transfer of value being reported, alpha-numeric payment registration ID, payment date and amount, number of payments, form of payment, nature of payment, destination where covered recipient traveled, indicators for: physician ownership, third party payment entity, name of payment recipient, charity indicator).

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 email and word processing? Yes

Do any of the records covered by this item exist as structured

No

electronic data?

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year the payment

or other transfer of value or investment interest is

published publicy.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Public Use Files and Datasets

Disposition Authority Number DAA-0440-2014-0002-0002

Outputs, including a public use version of the Master File and multiple datasets to allow public access to the information.

2

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 email and word processing? Yes

Do any of the records covered by this item exist as structured

No

electronic data?

Disposition Instruction

Cutoff Instruction

Cutoff at the end of the calendar year the files were

made publicy available on the CMS website.

Retention Period

Destroy 10 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	Ву	Title	Organization
11/19/2013	Certify	Lisa Townes	Management Analys t	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
05/26/2015	Return for Revisio n	Sean Curry	Senior Appraisal Arc hivist	National Archives and Records Administration - Agency Services
09/30/2015	Submit For Certific ation	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatroy Affairs - OSORA
10/02/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatroy Affairs - OSORA
10/14/2015	Submit for Concur rence	Lisa Clavelli	Supervisor, ACNR A ppraisal Team 2	National Archives and Records Administration - Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist