



**HRSA**  
Health Resources & Services Administration

## 35th Annual NCSB Conference NPDB Reporting Requirements and Queries

October 14, 2022

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Division of Practitioner Data Bank, Bureau of Health Workforce (BHW)

Vision: Healthy Communities, Healthy People




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### Agenda



- 1 — General Overview
- 2 — Querying
- 3 — Reporting
- 4 — Report Trends for Audiologists and SLP's
- 5 — NPDB Account Administration
- 6 — Resources

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### General Overview

**History** Created by Congress in 1986 to assist organizations in making well-informed credentialing, privileging, and licensing decisions





Protect the public



Improve Health Care Quality



Deter Health Care Fraud and Abuse

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### General Overview

#### Confidentiality

- ▶ Information reported to the NPDB is confidential, not available to the general public, and may not be disclosed except as provided by law.
- ▶ Penalty up to \$23,607 per confidentiality violation. Changes with inflation.



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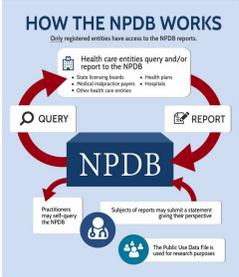
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### General Overview – What is the NPDB?

#### What is the National Practitioner Data Bank and how does it work?

**Key Terms:**

- Reporting
- Querying




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### Who Reports and Queries?

ENTITY TYPE	REPORT	QUERY
Hospitals	✓	✓
Health plans	✓	✓
Other health care entities with formal peer review	✓	+
State agencies that license and certify health care practitioners and entities, including boards of medical and dental examiners	✓	+
State agencies administering or supervising state health care programs	✓	+
State law enforcement or fraud enforcement agencies (including state Medicaid fraud control units and state prosecutors)	✓	+
Federal licensing and certification agencies	✓	+
Agencies administering federal health care programs, including private entities administering such programs under contract	✓	+
Federal law enforcement officials and agencies (including Drug Enforcement Agency, HHS Office of Inspector General, and federal prosecutors)	✓	+
Medical malpractice payers	✓	✗
Professional societies with formal peer review	✓	✗
Peer review organizations (excluding quality improvement organizations)	✓	✗
Private accreditation organizations	✓	✗
Quality improvement organizations	✗	✗
Individual practitioners, providers, and suppliers (self-query only)	✗	✗

Required	✓
Optional	+
Not Authorized	✗



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### General Overview – Information in the NPDB

**Types of Information Collected**

- Medical malpractice judgments and settlements
- Adverse licensing and certification actions
- Clinical privileges actions
- Health plan contract terminations
- Professional society membership actions
- Negative actions/findings from private accreditation organizations and peer review organizations
- Government administrative actions
- Exclusions and Debarments
- Civil and criminal health care-related judgments



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### General Overview – NPDB Statistics

**Aggregate Data**

- 1.6+ million REPORTS 
- 24 thousand ENTITIES 
- 833 thousand PRACTITIONERS 

**2021 Data**

- 66+ thousand REPORTS 
- 10.6+ million QUERIES 
- 2 million DISCLOSURES

Data as of December 31, 2021 

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### Querying



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## Querying

**Recovering Costs**

- ▶ By law, the NPDB must recover the full cost of operations. It does so by collecting fees for each query.
- ▶ Fees are examined periodically; last modified in October 2021.

**Types of Transactions**

- ▶ Reporting (no charge)
- ▶ Querying (by hospitals and health care organizations):
  - \$2.50 for a one-year continuous query subscription
  - \$2.50 for a one-time query
- ▶ Self-Query: \$3 per digital copy and \$3 per paper copy



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## Querying: Continuous Queries

The infographic details the 'Continuous Query Process' with steps: 1. Enroll, 2. Receive, 3. Monitor, 4. Renew. It also lists 'Features' such as 'Continuous - One Time Enrollment' and 'Continuous - One Time Query Fee'.

**Using Continuous Query**

- ▶ No separate query fee - \$2.50 per enrollee per year
- ▶ Requires the same practitioner information
- ▶ Upon enrollment, receive the same report information as a one-time query response
- ▶ Continuously queries the NPDB and notifies subscribers of any new reports
- ▶ No need to re-query for reappointments or temporary privileges extensions



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## Reporting




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### Reporting – Requirements

**Actions that must be reported by NCSB include:**

- Any adverse action taken by a board as a result of a formal proceeding
- Any dismissal or closure of a formal proceeding because the audiologist/SLP surrendered the license because the subject of the proceeding left the State or jurisdiction.
- Any other loss of license or the right to apply for, or renew, a license by an audiologist/SLP, whether by operation of law, voluntary surrender, nonrenewal (excluding nonrenewals due to nonpayment of fees, retirement, or change to inactive status), or otherwise.




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### Reporting – State Licensure Reporting Scenario

Dr. Brown, a board-certified Otolaryngology (ENT)/Head and Neck Surgeon, owns and operates a small cochlear implant clinic in Florida. She also holds a license in Maine. Due to her busy schedule, Dr. Brown forgot to renew her Maine license, which was required to be renewed by March 2021. Once Dr. Brown's Maine license lapsed, the Florida Board's licensing system automatically suspended the license without confirmation or approval from the state licensing board and placed the license in inactive status.

**Is the suspension of Dr. Brown's Maine license reportable?**

- A. Yes, the suspension meets the reporting requirements of an adverse action.
- B. No, the suspension was not the result of a formal proceeding.
- C. It depends




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### Reporting – State Licensure Reporting Scenario

**Part 2**

A few months later at her clinic in Florida, Dr. Brown was treating a patient, which required placing the patient under general anesthesia. The patient experienced severe complications and went into cardiac arrest. The patient sustained a chronic disability and required long-term hospitalization.

After a thorough investigation, the Florida State Licensing Board (the Board) informed Dr. Brown that she was facing discipline due to the Board's claim that her "...negligence resulted in the harm of a patient." On May 1, 2021, Dr. Brown signed an agreement with the Board to suspend her Florida license for a period of 20 days. At the end of 20 days, Dr. Brown could request to have her license reinstated.




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### Reporting – State Licensure Reporting Scenario

**Part 2**

Is the suspension of Dr. Brown’s Florida license reportable?

A. Yes, the suspension meets the reporting requirements of an adverse action.  
 B. No, the suspension was *not in effect* for greater than 30 days.  
 C. No, since Dr. Brown can petition the Board in 20 days to reinstate her license, the Board must wait the 20 days before reporting Dr. Brown to the NPDB.




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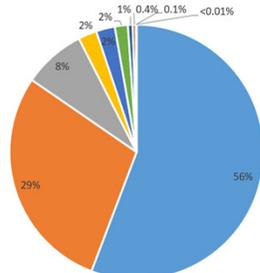
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### Reporting – NPDB Reports by Type



- State Licensure: 56%
- Medical Malpractice Payment: 29%
- Exclusion/Debarment Action: 8%
- Judgment or Conviction: 2%
- Government Admin: 2%
- Clinical Privileges: 2%
- Health Plan: 1%
- DEA/Federal Licensure: 0.4%
- Professional Society: 0.1%
- Accreditation: <0.01%

As of December 31, 2021




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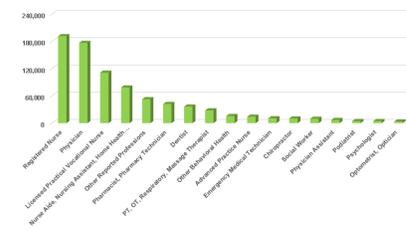
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### Reporting – Reports on Individuals by Profession



Years 2012 – 2021 (N = 827,497)




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**Reporting**

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**Types of Reports**

- ▶ **Initial:** The first report of a medical malpractice payment, adverse action, or judgment or conviction submitted to and processed by the NPDB.
- ▶ **Correction:** A Correction Report corrects an error or omission in a previously submitted report by replacing it.




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**Reporting**

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**Types of Reports**

- ▶ **Revision-to-Action:** A Revision-to-Action Report is a report of an action that modifies an adverse action previously reported to the NPDB.
  - ▶ When additional sanctions have been taken against the subject of a report based on a previously reported incident
  - ▶ When the length of action has been extended or reduced
  - ▶ When the original suspension or probationary period has ended
- ▶ **Void:** A Void Report, also referred to as a Void, is the withdrawal of a report in its entirety.
  - ▶ The report was submitted in error
  - ▶ The action was not reportable because it did not meet NPDB reporting requirements
  - ▶ The action was overturned on appeal




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**Reporting**

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**What a Practitioner May or May Not Do When Reported to the NPDB:**

- ▶ **Practitioners May:**
  - ▶ Write a Subject Statement
  - ▶ Dispute a report
  - ▶ Elevate the dispute to the NPDB Dispute Resolution Process
- ▶ **Practitioners May Not:**
  - ▶ Correct or change information in a report; they must request the entity to make any changes




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## Reporting

### Compliance

- Latest compliance review was May 1, 2017. This review examined state licensing and certification board adverse actions taken between January 2014 and December 2015 for 11 states and Washington, DC.
- The review compares adverse actions taken by state licensing and certification boards to the reports the boards submit to the NPDB.
- Boards also may take a variety of licensure actions against practitioners related to audiologists and speech-language pathologists: Hearing Aid (or Instrument) Specialists, Dealers, Dispensers and Other Speech, Language and Hearing Service Occupations




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## Report Trends




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## Report Trends

Table 1. Number of NPDB Reports by Practitioner Type (September 1, 1990 – December 31, 2021)

Report Type	Audiologist	Speech-Language Pathologist	Hearing Aid (or Instrument) Specialist, Dealer, Dispenser	Other Speech, Language and Hearing Service Occupation	Total
Clinical Privileges/Panel Membership Action	2	3	0	0	5
Government Administrative Action	11	54	17	0	82
Health Plan Action	8	3	0	0	11
Judgment or Conviction	14	83	10	9	116
Malpractice Payment	72	26	4	1	103
State Licensure Action	381	1,928	632	33	2,974
Exclusions	52	32	5	2	91
<b>Total NPDB Reports</b>	<b>540</b>	<b>2,129</b>	<b>668</b>	<b>45</b>	<b>3,382</b>




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**NPDB Account Administration**




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**Account Administration**

**Certifying Official:** An individual selected and empowered by an entity to certify the legitimacy of registration for participation in the NPDB. The certifying official is responsible for:

- Completing the Entity Registration Form
- Notifying the NPDB of any change in eligibility. If the entity relinquishes eligibility to participate in the NPDB, the certifying official must notify the NPDB to deactivate the entity's DBID.



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**Account Administration - Data Bank Administrator(s)**

**Who Is the Data Bank Administrator?**

The Data Bank Administrator is responsible for an organization's NPDB users accounts, NPDB registration, authorized agent relationship(s), and keeping other important information up-to-date.

**Best Practice:** An organization should have more than one Data Bank Administrator.



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### Account Administration – Data Bank Administrator(s)

#### Key Functions of the Data Bank Administrator(s)

- Maintain User Accounts (creating, deleting, and maintaining passwords)
- Maintain and Renew Organization’s Registration
- Complete attestation
- Maintain Electronic Funds Transfer (EFT) Authorization and Credit Cards
- Work with entity’s financial office to assist in billing reconciliation
- Designate Agents on behalf of the entity
- Designate a backup Data Bank Administrator and train on key functions

**Best Practice:** Ensure the backup Data Bank Administrator(s) knows how to perform key functions




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### Account Administration – Data Bank Administrator(s)

#### Administrator’s Roles and Responsibilities for NPDB Registration Renewal

- Every two years the administrator is required to renew their organization's registration.
- Ensures that all user accounts have access to the NPDB and can continue to query and report.
- Ensure that their organization information is up-to-date:
  1. Organization's Identification Information
  2. Eligibility/Statutory Authority
  3. Primary/Additional Functions
  4. CMS Certification Number
  5. Certifying Official and Point of Contact for Reports
  6. User Accounts

**Best Practice:** Stay up-to-date on user accounts, including removing access.




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### Account Administration – Data Bank Administrator(s)

#### Helpful Hints for New Data Bank Administrators

- The Data Bank Administrator and the Certifying Official can be the same person.
- If the Certifying Official is different from the Data Bank Administrator, the Certifying Official will not automatically have a user account, unless given one by the Data Bank Administrator.
- A Data Bank Administrator can be anyone at the organization who interacts with the NPDB, it does not need to be a director or someone at management level.




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### Attestation

#### ATTESTATION 101

**WHAT?** Attestation ensures that your organization understands your regulatory requirements and is reporting to and querying the NPDB as required by law. 

**WHO?** An administrator of your organization's account.  **WHERE?** The NPDB website after signing in. 

**WHEN?** When you renew your organization's registration. 

**WHY?** Assist organizations with understanding their NPDB regulatory requirements and provide more complete information to queriers. 

**Attestation**

- Ensures that your organization understands your regulatory requirements and is reporting to and querying the NPDB as required by law
- Attesting is done to assist organizations with understanding their NPDB regulatory requirements and provide more complete information to queriers



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### Resources




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### Resources

**Help When You Need It**

- Website: [www.npdb.hrsa.gov](http://www.npdb.hrsa.gov)
- [Infographics](#)
- [NPDB Guidebook](#)
- [Recorded webinars](#)
- [Regulations](#)
- [Statistical data & Research tools](#)
- [Codes for reporting and querying](#)
- [NPDB Insights](#)



**NPDB Customer Service Center**  
800.767.6732  
help@npdb.hrsa.gov



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## Slide 33

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**LD(80** Not sure of your timing, but a tour of the website might be helpful. These are likely folks not all that familiar with us and our tools.

Loewenstein, David (HRSA), 8/3/2022

**Questions**



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