



The Data Bank Compliance Activities with the Behavioral Health Licensing and Certification Authorities Webinar

January 24, 2012

Bill West, R.N., M.A.

**U.S. Department of Health and Human Services
Health Resources and Services Administration
Bureau of Health Professions
Division of Practitioner Data Banks**



Presentation Overview



- I. Health Resources and Services Administration's (HRSA) Bureau of Health Professions (BHP), Division of Practitioner Data Banks**
 - Legislative Authorities
- II. State Licensing Authority Reporting Requirements**
- III. Compliance Activities**
 - Behavioral Health Counseling Professions



HRSA's Bureau of Health Professions





BHPr Mission



Increase the population's access to health care by providing national leadership in the development, distribution and retention of a diverse, culturally competent health workforce that can adapt to the population's changing health care needs and provide the highest quality of care for all.





The Division of Practitioner Data Banks (DPDB), part of the Bureau of Health Professions, is committed to the development and operation of cost-effective and efficient systems that offer accurate, reliable, and timely information on practitioners, providers, and suppliers to credentialing, privileging, and government authorities.

the **DataBank**
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION





Legislative Authorities



The National Practitioner Data Bank (NPDB) was established through Title IV of the *Health Care Quality Improvement Act* of 1986.

- The purpose is to act as an information clearinghouse, to collect and release certain information related to the professional competence and conduct of physicians, dentists, and other health care practitioners.

Section 1921 of the *Social Security Act* expanded the information collected and disseminated through the NPDB.

- Final regulations went into effect March 2010.



The Healthcare Integrity and Protection Data Bank (HIPDB) was established under Section 1128E of the *Social Security Act* as added by Section 221(a) of the *Health Insurance Portability and Accountability Act of 1996* (HIPAA).

- Purpose is to deter fraud and abuse in the health care system and to promote quality health care by collecting and disseminating final adverse actions taken against health care practitioners, providers, and suppliers.



State Licensing Authority Reporting Requirements

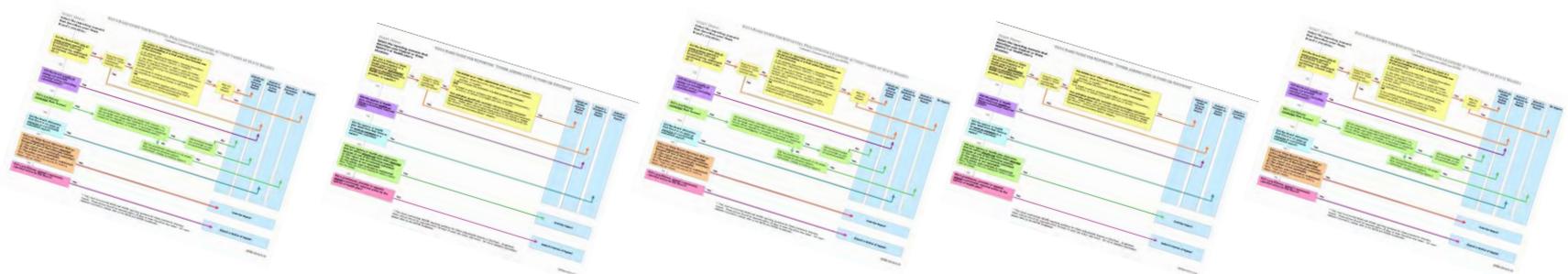


Do I have to report to both NPDB and HIPDB?

- Agencies that are required to report an action to both Data Banks only need to submit a single report.
- Based on the information submitted, the report will be stored in the appropriate Data Bank.
- Each State must interpret NPDB and HIPDB reporting requirements based on their State laws, rules, and regulations.

Adverse State licensure actions taken against all health care practitioners and health care entities

- Data Bank Reference Library:
 - <http://www.npdb-hipdb.hrsa.gov/resources/aboutReferenceLibrary.jsp>
- Look for “User Resources,” “Flow Charts: Reporting Guidance by Action Type” :
 - <http://www.npdb-hipdb.hrsa.gov/resources/brochures/ReportingGuidance-PractitionerLicensureActions.pdf>





State Licensing Authority Reporting Requirements



Adverse State licensure actions, taken as a result of formal proceedings, are reportable to the Data Bank within 30 days. These actions include:

- 1) Any adverse action, including revocation or suspension of a license, reprimand, censure or probation.
- 2) Any dismissal or closure of proceedings by reason of the practitioner or the entity surrendering the license or leaving the State or jurisdiction.



State Licensing Authority Reporting Requirements



Adverse State Licensure Actions (Continued):

- 3) Any other loss of license of health care practitioner, or entity, whether by operation of law, voluntary surrender (excluding those due to non-payment of licensure renewal fees, retirement, or change to inactive status), or otherwise.
- 4) Any negative action or finding by such authority, organization, or entity regarding the health care practitioner or entity.



State Licensing Authority Reporting Requirements



Started February 2010

Two initial groupings:

- Never Reported Group
- Adverse Action Comparison Group
- Go to Reporting Compliance Status of Government Agencies:
<http://www.npdb-hipdb.hrsa.gov/news/reportingCompliance.jsp>
 - Results for Never Reported Professions Effort, see:
<http://www.npdb-hipdb.hrsa.gov/news/reportingCompliance.jsp#content1>
and click “View Status of Compliance Effort.”
 - Results for Adverse Licensure Action Comparison Group,
see: <http://www.npdb-hipdb.hrsa.gov/news/reportingCompliance.jsp#comp>
and click “View Status of Comparison Project.”



Compliance Activities



Compliance Status Reporting – Web Posting

<http://www.npdb-hipdb.hrsa.gov/news/reportingComplianceBackground.jsp>

U.S. Department of Health and Human Services
Health Resources and Services Administration

the DataBank

NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

Search

Home | About Us | Contact Us

Community & Education | Customer Service | Resources | News | Software

Health Care Organizations

- ▶ How to Get Started
- ▶ Sign In
- ▶ Register

Practitioners

- ▶ How to Get Started
- ▶ Perform a Self-Assessment (Has a Self-Assessment)
- ▶ Respond to a Self-Assessment
- ▶ Check Your Status

News

View All ▶

✓ **Compliance**
View the [reporting status](#) of Government Agencies as of July 1, 2011.

OBXYS And ITP Users Take Note!
(08/22/2011)

Resources

View All ▶

Community & Education

See Us In Pittsburgh, PA

TI
Pi
20
or
Re
C



Compliance Activities



Adverse Licensure Action Comparison Project

For this compliance effort HRSA compared publicly available disciplinary licensure actions published on State web sites for certain years with data currently stored in the HIPDB. HRSA contacted Government agencies with the results of the comparison and sent letters indicating which actions were not found in the Data Banks and requested agencies review these and report as appropriate.

■ View Status of Comparison Project

[AL](#) | [AK](#) | [AZ](#) | [AR](#) | [CA](#) | [CO](#) | [CT](#) | [DE](#) | [DC](#) | [FL](#) | [GA](#) | [HI](#) | [ID](#) | [IL](#) | [IN](#) | [IA](#) | [KS](#) | [KY](#) | [LA](#) | [ME](#) | [MD](#) | [MA](#) | [MI](#) | [MN](#) | [MS](#) | [MO](#) | [MT](#) | [NE](#) | [NV](#) | [NH](#) | [NJ](#) | [NM](#) | [NY](#) | [NC](#) | [ND](#) | [OH](#) | [OK](#) | [OR](#) | [PA](#) | [RI](#) | [SC](#) | [SD](#) | [TN](#) | [TX](#) | [UT](#) | [VT](#) | [VA](#) | [WA](#) | [WV](#) | [WI](#) | [WY](#)



State/Agency Professions	Status as of 7/1/2010	Status as of 10/1/2010	Status as of 4/1/2011	Status as of 7/1/2011	Status as of 10/1/2011
Alabama					
Chiropractor	Not Reviewed	Not Reviewed	Not Reviewed	Not Reviewed	Compliant
Dentist	Not Reviewed	Not Reviewed	Working Toward Compliance	Compliant	Compliant
Nursing Related Professions (Other Than Certified Nurse Aide)	Not Reviewed	Working Toward Compliance	Compliant	Compliant	Compliant
Optometrist	Not Reviewed	Not Reviewed	Not Reviewed	Not Reviewed	Compliant
Physical Therapist	Not Reviewed	Not Reviewed	Not Reviewed	Not Reviewed	Compliant
Physical Therapy Assistant	Not Reviewed	Not Reviewed	Not Reviewed	Not Reviewed	Compliant



Adverse Licensure Action Comparison Project

- 98% compliance
- 587 professions by State
- Pharmacy, Nursing, Podiatry, Psychology, Social Work, Physician Assistants (2010)
- Physicians, Dentists (2011)
- Chiropractic, Optometry, Physical Therapy (2011)

* Data as of December 1, 2011



Compliance Activities



Behavioral Health Professions including but not limited to:

- Professional Counselors
- Marriage and Family Therapists
- Mental Health Counselors
- Substance Abuse Counselors

Identification of the variations of profession titles by State



Compliance Activities



Overview of the Compliance Process:

- Verification of contact information
- Confirmation of regulated professions
- Data capture – public Web site/file exchange
- Data analysis
- Gap report to Licensing Authority
- Reconciliation and correction of disciplinary actions
- Data cutoff
- Assign compliance status/post results
- Technical support



Compliance Activities



Data Capture

- Review Period 2006-2009
- Data obtained from Licensing Authority Web sites – January/February
- If not publicly available or only partial data on the Web site, data will be requested via secure file exchange – late January
- All data obtained by early March

Reporting Agents



Compliance Activities



Data Analysis

- We will identify actions not reported to the Data Bank
- We will communicate gaps in reporting to Licensing Authorities – March 2012



Compliance Activities



Licensing Authority Reconciliation

- Submit reportable actions
- Provide justification for non-reportable actions
- Make corrections as appropriate
- Month of April 2012



Compliance Activities



Compliance Status Assignment

Licensing Authority reconciliation data cutoff

Assignment of compliance status based on Agency report reconciliation results

- Compliant
- Working Toward Compliance
- Non-compliant
- Under Review
 - <http://www.npdb-hipdb.hrsa.gov/news/reportingComplianceBackground.jsp#compliant>

Corrective Action Plan (CAP)



Posting Results

Licensing Authority compliance status posted on the Data Bank Web site

- Status posted by State and profession
- To view results go to:
<http://www.npdb-hipdb.hrsa.gov/news/reportingCompliance.jsp>
 - Look for: Adverse Licensure Action Comparison Project and click "View Status of Comparison Project."



Technical Assistance

One-on-one assistance with Adverse Action Report reconciliation

- **Resources**
 - Education and training
 - Policy assistance
- **Help Desk**
 - Report integrity
 - Web site navigation



Data Bank Resources



Web Site – <http://www.npdb-hipdb.hrsa.gov>

- NPDB and HIPDB Guidebooks
- Interactive Training
- FAQs, Brochures, and Fact Sheets
- Statistics
- Annual Reports
- Instructions for Reporting and Querying

Help Desk / Customer Service Center

- 1-800-767-6732 or 1-800-SOS-NPDB



Contact Information



Bill West R.N., M.A.

Division of Practitioner Data Banks

Telephone: 301-443-2300

Email: wwest@hrsa.gov