

## PATIENT SAFETY ORGANIZATION: CERTIFICATION FOR CONTINUED LISTING

The Patient Safety and Quality Improvement Act of 2005 (Patient Safety Act), and its implementing regulation, authorize the creation of Patient Safety Organizations (PSOs). The Agency for Healthcare Research and Quality (AHRQ), of the Department of Health and Human Services (HHS), administers the provisions of the Patient Safety Act and Patient Safety Rule dealing with PSO operations. Information related to PSOs is available on AHRQ's PSO website at [www.pso.ahrq.gov](http://www.pso.ahrq.gov).

This form sets forth the requirements that all PSOs seeking continued listing must certify they meet to maintain their listing as a PSO for a new three-year period of listing. Please review the Patient Safety Act, Patient Safety Rule, and all HHS Guidance before making the required attestations below. All references to "section" followed by a citation that begins with the number 3 within this form (e.g., "section 3.102") refer to sections of the [Patient Safety Final Rule](#) (73 F.R. 70732), which is codified in Title 42, Part 3 of the CFR.

A PSO seeking continued listing must complete this form and submit it to AHRQ's PSO Office via email, at [psso@ahrq.hhs.gov](mailto:psso@ahrq.hhs.gov). To submit a hard copy, please send to: PSO Office, AHRQ, 5600 Fishers Lane, MS 06N100B, Rockville, MD 20857.

**Note:** *In completing this form, you may be asked to provide additional information in an attachment. When doing so, please be sure to note the PSO's name and number prominently at the top of the attachment.*

### PART I: PSO CONTACT INFORMATION

PSO Number	PSO Name
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PSO Website Address (Complete only if the PSO has an address that links to a PSO-specific website or web page)

Is the PSO a legal entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Is the PSO legally doing business under another name? If so, please list it here

<b>Street Address</b>	<b>City</b>	<b>State</b>	<b>Zip Code</b>
<b>Mailing Address (if different from street address)</b>	<b>City</b>	<b>State</b>	<b>Zip Code</b>
<b>Phone</b>	<b>Extension (if applicable)</b>		

**Authorized Official Information**

Name \_\_\_\_\_

Title \_\_\_\_\_

Organization (if different from PSO) \_\_\_\_\_

Phone \_\_\_\_\_

Extension (if applicable) \_\_\_\_\_

Email \_\_\_\_\_

**Point of Contact Information**

*If the Authorized Official will not be the primary point of contact for the proposed PSO, please provide a primary point of contact below. The proposed PSO may elect to add a point of contact even if the Authorized Official is listed as the Primary Point of Contact.*

*If the Authorized Official is not the primary Point of Contact for the PSO, please provide information for the Point of Contact below:*

Name \_\_\_\_\_

Title \_\_\_\_\_

Organization \_\_\_\_\_

Phone \_\_\_\_\_

Extension (if applicable) \_\_\_\_\_

Email \_\_\_\_\_

**PART II: INFORMATION AND ATTESTATIONS REGARDING ORGANIZATION AND STRUCTURE**

1.	Are all of the attestations previously submitted in support of your current certification for listing still accurate with respect to the PSO and, if applicable, its parent organization(s)? If the answer is "Yes", you are attesting that the PSO remains in compliance with all of its prior attestations and	_____ Yes    No
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	<p>the applicable requirements of sections 3.102(b) and 3.102(c).</p> <p><i>If the answer is "No", please explain the changes in an attachment to this certification form.</i></p>	
2.	<p>Do you attest that the PSO is not excluded from seeking listing by section 3.102(a)(2)? Before answering this question, please review section 3.102(a)(2) and the definition of health insurance issuer in section 3.20.</p>	<p>___ ___ Yes No</p>
3.	<p>Has the Secretary ever delisted this entity (under its current name or any other) or refused to list the entity? In responding to this question, please note that delisting occurs subsequent to revocation, expiration, or voluntary relinquishment of a listing of or by a PSO.</p> <p><i>If the answer to question 2 is "Yes," please provide here the name of the entity or entities that the Secretary declined to list or delisted.</i></p> <p><b>Name of Denied Entity/Delisted PSO:</b></p>	<p>___ ___ Yes No</p>
4.	<p>Have any of this PSO's officials or senior managers held a comparable position of responsibility in an entity that was denied listing or a PSO that was delisted?</p>	<p>___ ___ Yes No</p>
5.	<p>Will the PSO promptly notify the Secretary during its period of listing if it can no longer comply with any of its attestations or the applicable requirements in sections 3.102(b) and 3.102(c)?</p>	<p>___ ___ Yes No</p>
6.	<p>Will the PSO promptly notify the Secretary during its period of listing if there have been any changes in the accuracy of the information submitted for listing, along with the pertinent changes?</p>	<p>___ ___ Yes No</p>
7.	<p>Is the PSO a component of another (parent) organization according to the definition in section 3.20?</p> <p><i>If the answer to Question II.6 is "Yes," please proceed to Part III.</i></p> <p><i>If the answer to Question II.6 is "No," please proceed to Part IV.</i></p>	<p>___ ___ Yes No</p>



2.

Maintaining patient safety work product (PSWP) separately from the rest of the parent organization(s) of which it is a part and establishing appropriate security measures to maintain the confidentiality of PSWP?

\_\_\_ Yes

\_\_\_ No

3.

Maintaining PSWP in an information system in which the component PSO does not and will not permit unauthorized access by one or more individuals in, or by units of, the rest of the parent organization(s) of which it is a part?

\_\_\_ Yes

\_\_\_ No

4.

Requiring that members of its workforce, and any contractor staff, not make unauthorized disclosures of PSWP to the rest of the parent organization(s)?

\_\_\_ Yes

\_\_\_ No

5.

Ensuring that the pursuit of its mission will not create a conflict of interest with the rest of its parent organization(s)?

*NOTE: For a component PSO of a parent organization that is subject to mandatory U.S. Food and Drug Administration (FDA) reporting requirements under the Federal Food, Drug, and Cosmetic Act and its implementing regulations (e.g., drug, device, and biological product manufacturers), "conflict of interest" includes a particular scenario. Such component PSO must ensure that its mission will not conflict with its parent organization's compliance with its obligations as an FDA-regulated reporting entity, including reporting certain information to the FDA and providing FDA with access to particular records.*

\_\_\_ Yes

\_\_\_ No

6.

Is the PSO's parent organization(s) one or more of the following types of entities excluded from listing as a PSO? (See section 3.102(a)(2))

*If the answer is "No", skip to Part IV.*

*If "Yes", check all that apply and proceed to question 7*

- A health insurance issuer; a unit or division of a health insurance issuer; or an entity that is owned, managed, or controlled by a health insurance issuer;

*Definition from section 3.20 - Health insurance issuer means an insurance company, insurance service, or insurance organization (including a health maintenance organization, as defined in 42 U.S.C. 300gg-91(b)(3)) which is licensed to engage in the business of insurance in a State and which is subject to State law which regulates insurance (within the meaning of 29 U.S.C. 1144(b)(2)). This term does not include a group health plan.*

- An entity that accredits or licenses health care providers;
- An entity that oversees or enforces statutory or regulatory requirements governing the delivery of health care services;

- An agent of an entity that oversees or enforces statutory or regulatory requirements governing the delivery of health care services; or
  
- An entity that operates a Federal, state, local or Tribal patient safety reporting system to which health care providers (other than members of the entity's workforce or health care providers holding privileges with the entity) are required to report information by law or regulation.

\_\_\_ Yes

\_\_\_ No

7.

Has the PSO included a statement with this form outlining the role and scope of authority of the parent organization(s) as required by section 3.102(c)(4)(i)(A)?

*Continue to next question.*

\_\_\_ Yes

\_\_\_ No

8.

Does the parent organization(s) that is excluded from listing have policies and procedures in place that would require or induce providers to report PSWP to the component PSO?

\_\_\_ Yes

\_\_\_ No

9.

Will the component PSO notify the Secretary within five calendar days if the parent organization(s) that is excluded from listing adopts such policies or procedures that would require or induce providers to report PSWP to the component?

\_\_\_ Yes

\_\_\_ No

10.	Does the PSO acknowledge that the adoption by the parent organization(s) excluded from listing of policies or procedures that would require or induce providers to report PSWP to the component PSO during the PSO's period of listing will result in the Secretary initiating an expedited revocation process in accordance with section 3.108(e)?	___ Yes	___ No
11.	Has the component PSO prominently posted notification on its Web site and published in any promotional materials for dissemination to providers, and will the component PSO continue to prominently post on its Web site and publish in any such promotional materials, for each parent organization excluded from listing, a summary describing its parent organization's role, and the scope of the parent organization's authority, with respect to any of the following that apply: Accreditation or licensure of health care providers, oversight or enforcement of statutory or regulatory requirements governing the delivery of health care services, serving as an agent of such a regulatory oversight or enforcement authority, or administering a public mandatory patient safety reporting system, as required by section 3.102(c)(4)(i)(C)?	___ Yes	___ No
12.	Does the PSO prohibit, and will it continue to prohibit, the sharing of staff with the parent organization(s) excluded from listing, as set forth in section 3.102(c)(4)(ii)(A)?	___ Yes	___ No
13.	Are any written agreements between the component PSO and any individuals or units of the rest of the parent organization(s) excluded from listing limited to, and will any such future written agreements be limited to, only those units or individuals of the parent organization(s) whose responsibilities do not involve the activities specified in paragraph 3.102(a)(2)(ii), i.e., accreditation or licensing of health care providers; oversight or enforcement, including as an agent, of statutory or regulatory requirements governing the delivery of health care services; or operation of a Federal, state, local or Tribal patient safety reporting system to which health care providers are required to report information by law or regulation?	___ Yes	___ No

## PART IV: ATTESTATIONS REGARDING PATIENT SAFETY ACTIVITIES AND PSO CRITERIA

### Attestations Regarding Patient Safety Activities

As certified below, do you attest that the PSO is (a) currently performing, and (b) will continue to perform throughout the period of continued listing, each of the required patient safety activities (1-8 below) below:

1.	Carrying out efforts to improve patient safety and the quality of health care delivery?	___ Yes	___ No
2.	Collecting and analyzing patient safety work product (PSWP)?	___ Yes	___ No
3.	Developing and disseminating information with respect to improving patient safety, such as recommendations, protocols, or information regarding best practices?	___ Yes	___ No
4.	Utilizing PSWP for the purposes of encouraging a culture of safety and of providing feedback and assistance to effectively minimize patient risk?	___ Yes	___ No
5.	Maintaining procedures to preserve confidentiality with respect to PSWP?	___ Yes	___ No

5B.	Do the written confidentiality policies and procedures include and provide for compliance with the confidentiality provisions of subpart C of 42 CFR Part 3?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
5C.	Do the written confidentiality policies and procedures include and provide for notification of each provider that submitted PSWP or data as described in section 3.108(b)(2) to the entity if the submitted work product or data was subject to an unauthorized disclosure or its security was breached?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
6.	Carrying out appropriate security measures with respect to PSWP?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
6B.	Do the written policies and procedures include and provide for compliance with appropriate security measures as required by section 3.106?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
6C.	Do the written security policies and procedures include and provide for notification of each provider that submitted PSWP or data as described in section 3.108(b)(2) to the entity if the submitted work product or data was subject to an unauthorized disclosure or its security was breached?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
7.	Utilizing qualified staff?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
8.	Operating a patient safety evaluation system (PSES), and providing feedback to participants in a PSES?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No

#### Attestations Regarding PSO Criteria

As certified below, do you attest that the PSO is (a) currently complying with, and (b) will continue to comply with throughout the period of continued listing, each of the required PSO criteria:

9.	Conducting activities to improve patient safety and the quality of health care delivery is both (a) the PSO's mission and (b) the PSO's primary activity? A "yes" answer attests that both (a) and (b) are will and will continue to be met.	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
10.	Using (a) appropriately qualified workforce members and (b) the appropriately qualified workforce includes licensed or certified medical professionals? A "yes" answer attests that both (a) and (b) are and will continue to be met.	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
11.	Having at least two bona fide contracts for the purpose of receiving and reviewing PSWP, each of a reasonable period of time, each with a different provider, within each applicable 24-month period? A "yes" answer attests both that this requirement: a) was met for the 24-month period beginning with the PSO's date of initial listing, and (b) was or will be met in every sequential 24-month period.	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
12.	The PSO is not a health insurance issuer or a component of a health insurance issuer, and it will continue to comply with this prohibition?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
13.	The PSO has made, if applicable to date, and will make disclosures to the Secretary required by section 3.102(d) regarding all providers with which it has a Patient Safety Act contract and any other contractual, financial or reporting relationships that meet the descriptions in paragraphs 3.102(d)(2)(i) (A) through (C)?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No



	<p><i>NOTE: If the PSO has entered or will enter into any relationships required by section 3.102(d) (2) to be disclosed to the Secretary, the PSO will need to submit a "Disclosure" statement form (<a href="#">Disclosure form link</a>) within 45 days of entering the relationship with the provider in accordance with section 3.112.</i></p>	
13.B	<p>The PSO has made, if applicable to date, and will make disclosures to the Secretary required by section 3.102(d) if, taking into account all relationships that the PSO has with any provider with which it has a Patient Safety Act contract, the PSO is not independently managed or controlled, or the PSO does not operate independently from, the contracting provider as contemplated by section 3.102(d)(2) (i)(D)?</p> <p><i>NOTE: If the PSO has entered or will enter into any relationships required by section 3.102(d) (2) to be disclosed to the Secretary, the PSO will need to submit a "Disclosure" statement form (<a href="#">Disclosure form link</a>) within 45 days of entering the relationship with the provider in accordance with section 3.112.</i></p>	<p>___ ___ Yes No</p>
14.	<p>The PSO is using the Common Formats, as published by AHRQ, for the collection of PSWP (Option I) (available at <a href="https://www.psoppc.org/psoppc_web/publicpages/commonFormatsOverview">https://www.psoppc.org/psoppc_web/publicpages/commonFormatsOverview</a>)?</p> <p><i>If the answer is "No", please proceed to question 14B.</i></p> <p><i>If the answer is "Yes," please proceed to question 15.</i></p>	<p>___ ___ Yes No</p>
14B.	<p>The PSO is using an alternative system of formats and definitions to collect PSWP from providers that permits valid comparisons of similar cases among similar providers (Option II)?</p> <p><i>If the answer is "Yes," please explain how the alternative system permits valid comparisons of similar cases among similar providers in an attachment to this certification form and proceed to question 15.</i></p> <p><i>If the answer is "No," please proceed to question 14C.</i></p>	<p>___ Yes ___ No</p>
14C.	<p>If not using the Common Formats (Option I) or an alternative system of formats and definitions to collect PSWP (Option II), has the PSO included an attachment to this certification form, providing a clear explanation for why it is not practical or appropriate for the PSO to comply with Option I or Option II at this time?</p>	<p>___ ___ Yes No</p>
15.	<p>Using and will continue to use PSWP for the purpose of providing direct feedback and assistance to providers to effectively minimize patient risk?</p>	<p>___ ___ Yes No</p>

**PART V: CERTIFICATION OF ATTESTATIONS**

I am legally authorized to complete this form on behalf of the PSO. The statements on this form, and any submitted attachments or supplements to it, are made in good faith and are true, complete, and correct to the best of my knowledge and belief. I understand that a knowing and willful false statement on this form, attachments or supplements to it, can be punished by fine or imprisonment or both (United States Code, Title 18, Section 1001).

I understand that, if during the period of listing there are any changes to the accuracy of the listing information, or if there are any changes in the contact information, the PSO must notify AHRQ by submitting a Change of Listing Information form, or by contacting AHRQ's PSO Office via e-mail at [psa@ahrq.hhs.gov](mailto:psa@ahrq.hhs.gov) or calling toll free at (866) 403-3697 or (866) 438-7231 (TTY).

***\*\*\*This form must be signed and dated by the Authorized Official on record with AHRQ.***

Signature\_\_\_\_\_

Date\_\_\_\_\_

**This completed form is considered public information.**

**Burden Statement**

Public reporting burden for the collection of information is estimated to average 18 hours per response. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: AHRQ Reports Clearance Officer, Attention: PRA, Paperwork Reduction Project (0935-0143), AHRQ, 5600 Fishers Lane, MS 06N100B, Rockville, MD 20857.