

which are covered by Medicare but which are not part of the CNO plan. This system of records will also provide data necessary to monitor the quality of home health care and selected ambulatory care services furnished by providers participating in the CNO Demonstration.

The external QA contractor will establish a system of records that includes information on the individual patients receiving Medicare coverage for this purpose. The system of records will contain information concerning a patient's name, Health Insurance Claim Number, demographic characteristics, medical diagnoses and conditions, plans of treatment, receipt of services, health and functional status, and utilization of home health services and certain ambulatory care services. HCFA and the QA contractor will collect only that information necessary to perform the system's function. The database will contain a record for each client enrolled in each CNO. Depending on the size of the CNO enrollment, information will be collected on approximately 7,500 Medicare enrollees.

In order to fulfill the objectives and complete the tasks of this contract, the contractor must have individually identifiable records. Since we are proposing to establish this system of records in accordance with the requirements and principles of the Privacy Act, it will not have an unfavorable effect on the privacy or other personal rights of individuals.

The Privacy Act permits us to disclose information without the consent of the individual for a "routine use"—that is, disclosures which are compatible with the purpose for which we collected the information. The proposed routine uses in the new system meet the compatibility criteria since the information is collected for the purpose of administering the Community Nursing Organization demonstration for which we are responsible. The disclosures under the routine uses will not result in any unwarranted adverse effects on personal privacy.

Dated: July 12, 1995.

**Bruce C. Vladeck,**

*Administrator, Health Care Financing Administration.*

**09-70-0066**

**SYSTEM NAME:**

Evaluation of, and External Quality Assurance for, the Community Nursing Organization Demonstration.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The system will be maintained by the evaluation/quality assurance contractor selected by HCFA. Contact the System Manager for the location of the contractor. The system, or portions of the system, may also be maintained at the HCFA Data Center located at 7131 Rutherford Road, Baltimore, MD 21244.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Medicare beneficiaries who receive home health care and certain ambulatory care services from one of the four CNO project sites (Carle Clinic, Mahomet, IL; Carondelet Health Care, Tucson, AZ; Living at Home/Block Nurse Program, St. Paul, MN; Visiting Nurse Service of New York, New York, NY) chosen to participate in the demonstration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system will contain information concerning a patient's name, Health Insurance Claim Number, demographic characteristics (e.g., sex, age), medical diagnoses and conditions, receipt of service, health and functional status, and utilization of home health services and certain ambulatory care services.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Section 4079(c)(6) of the Omnibus Reconciliation Act of 1987 (Pub. L. 100-203).

**PURPOSE(S)**

To provide data necessary to test the feasibility of a capitated nurse-case managed service delivery model and the effect it has on patient care. The system will also provide data necessary to assess and monitor the quality of home health care and selected ambulatory care services rendered by providers participating in the Community Nursing Organization Demonstration.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND PURPOSES OF SUCH USES:**

Disclosures may be made:

1. To the CNOs that provided the home health and selected ambulatory care services in order to verify service utilization rates, elicit feedback on evaluation findings, and investigate potential quality problems and notify the CNOs of any confirmed quality problems that are found.
2. To a Congressional office, from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.
3. To the Bureau of Census for use in processing research and statistical data directly related to the administration of programs under the Social Security Act.

4. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when

(a) HHS, or any component thereof; or  
(b) Any HHS employee in his or her official capacity; or

(c) Any HHS employee in his or her individual capacity where the Department of Justice (or HHS where it is authorized to do so) has agreed to represent the employee; or

(d) The United States or any agency thereof where HHS determines that the litigation is likely to affect HHS or any of its components; is party to litigation or has an interest in such litigation, and HHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party, provided, however, that in each case HHS determines that such disclosure is compatible with the purpose for which the records were collected.

5. To an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is a reasonable probability that the objective for the use would be accomplished.

(c) Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except: