CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-08 Medicare Program Integrity	**Centers for Medicare & Medicaid Services (CMS)**
Transmittal 263	**Date: JULY 25, 2008**
	Change Request 6036

SUBJECT: The National Provider and Plan Enumeration System (NPPES) and the Unique Physician Identification Number (UPIN) Data

I. SUMMARY OF CHANGES: Inform the public that CMS no longer issues, updates or use UPINs in claims processing effective May 23, 2008 and provide information on how to access the NPPES and UPIN data.

NEW/REVISED MATERIAL
EFFECTIVE DATE: MAY 23, 2008
IMPLEMENTATION DATE: August 8, 2008

Disclaimer for manual changes only: The revision date and transmittal number apply only to red italicized material. Any other material was previously published and remains unchanged. However, if this revision contains a table of contents, you will receive the new/revised information only, and not the entire table of contents.

II. CHANGES IN MANUAL INSTRUCTIONS: (N/A if manual is not updated)
R=REVISED, N=NEW, D=DELETED

R/N/D	CHAPTER / SECTION / SUBSECTION / TITLE
R	14/Table of Contents
R	14/14.1/Access to National Plan and Provider Enumeration System (NPPES) and Unique Physician Identification Number (UPIN) Data
R	14/14.2/Privacy Act Requirements
R	14/14.2.1/NPI
R	14/14.2.2/UPIN
R	14/14.3/Access to NPI Data
R	14/14.3.1/NPI Registry
R	14/14.3.2/ NPI Downloadable File
R	14/14.4/Access to UPIN Data
D	14/14.1.1/Ongoing Data Collection on Physicians/Health Care Practitioners/Group Practices Applications
D	14/14.1.2/Physicians/Health Care Practitioners/Group Practices Record-Required Information and Format

D	14/14.1.3/Maintaining Physician/Health Care Practitioner/Group Practices Memberships
D	14/14.1.4/Validation of Physician/Health Care Practitioner/Group Practice Credentials, Certification, Sanction, and License Information for Prior Practices
D	14/14.1.5/UPIN Cross-Referral Requirement
D	14/14.2.4/Update Records
D	14/14.2.5/Rejections
D	14/14.2.6/Exceptions
D	14/14.2.7/Batching Procedures
D	14/14.5/UPIN Directory
D	14/14.6/UPINs for Ordering/Referring Physicians
D	14/14.6.1/CWF Edits and Claims Processing Requirements
D	14/14.6.2/Surrogate UPINs
D	14/14.6.3/Carrier Registry Telecommunication Interface
D	14/14.7/General
D	14/14.7.1/AGNS/CD
D	14/14.7.2/File Transfer
D	14/14.7.3/Registry Customer Information Control System

III. FUNDING:

SECTION A: For Fiscal Intermediaries and Carriers:
No additional funding will be provided by CMS; contractor activities are to be carried out within their operating budgets.

SECTION B: For Medicare Administrative Contractors (MACs):
The Medicare administrative contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS does not construe this as a change to the MAC Statement of Work. The contractor is not obligated to incur costs in excess of the amounts allotted in your contract unless and until specifically authorized by the contracting officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the contractor shall withhold performance on the part(s) in question and immediately notify the contracting officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

Not Applicable.

IV. ATTACHMENTS:

Business Requirements
Manual Instruction

*Unless otherwise specified, the effective date is the date of service.

Attachment - Business Requirements

Pub. 100-08	Transmittal: 236	Date: July 25, 2008	Change Request: 6036

SUBJECT: The National Provider and Plan Enumeration System (NPPES) and the Unique Physician Identification Number (UPIN) Data

EFFECTIVE DATE: MAY 23, 2008
IMPLEMENTATION DATE: August 8, 2008

I.   GENERAL INFORMATION

A. Background: The Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) mandate the adoption of a standard unique health identifier for each health care provider. The National Provider Identifier (NPI) final rule, published on January 23, 2004, establishes the NPI as this standard. All health care providers and entities covered under HIPAA must comply with the requirements of the NPI final rule (45 CFR Part 162, CMS- 0045-F).

B. Policy: Effective May 23, 2008, the NPI replaced the UPIN as a unique identifier. This change request updates chapter 14, of Pub.100-08, Medicare Program Integrity Manual, by removing information related to the issuance and maintenance of UPIN and replacing this information with information about obtaining NPI and UPIN data.

II.   BUINESS REQUIREMENTS TABLE
Use"Shall" to denote a mandatory requirement

Number	Requirement	A / B MAC	D M E M A C	F I	C A R R I E R	R H H I	FISS	MCS	VMS	CWF	OTHER
							Shared-System Maintainers				
6036.1	Contractors and maintainers shall be in compliance with the instructions in Pub.100-08, Medicare Program Integrity Manual, chapter 14, which removes information related to the issuance and maintenance of UPIN and replacing this information with information about obtaining NPI and UPIN data.	X			X			X			

III. PROVIDER EDUCATION TABLE

Number	Requirement	A / B MAC	D M E M A C	F I	C A R R I E R	R H H I	FISS	MCS	VMS	CWF	OTHER
							Shared-System Maintainers				
6036.2	A provider education article related to this instruction will be available at http://www.cms.hhs.gov/MLNMattersArticles/ shortly after the CR is released. You will receive notification				X						

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				OTHER
							FISS	MCS	VMS	CWF	
	of the article release via the established "MLN Matters" listserv. Contractors shall post this article, or a direct link to this article, on their Web site and include information about it in a listserv message within one week of the availability of the provider education article. In addition, the provider education article shall be included in your next regularly scheduled bulletin. Contractors are free to supplement MLN Matters articles with localized information that would benefit their provider community in billing and administering the Medicare program correctly.										

IV.   SUPPORTING INFORMATION
Use "Should" to denote a recommendation.

A. For any recommendations and supporting information associated with listed requirements, use the box below:

X-Ref Requirement Number	Recommendations or other supporting information:
N/A	

B. For all other recommendations and supporting information, use this space:

V. CONTACTS

Pre-Implementation Contact(s): Gerald Wright (410) 786-5798
Post-Implementation Contact(s): Gerald Wright (410) 786-5798

VI. FUNDING

A. *For Fiscal Intermediaries, Carriers, and the Durable Medical Equipment Regional Carrier (DMERC)*

No additional funding will be provided by CMS; contractor activities are to be carried out within their operating budgets.

B. *For Medicare Administrative Contractors (MAC:*

The contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS does not construe this as a change to the Statement of Work (SOW). The contractor is not obligated to incur costs in excess of the amounts alloted in your contract unless and until specifically authorized by the contracting officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the

contractor shall withhold performance on the part(s) in question and immediately notify the contracting officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

Medicare Program Integrity Manual
Chapter 14 – National Provider Identifier

Table of Contents
(Rev. 263, 07-25-08)

14.1 – *Access to National Plan and Provider Enumeration System (NPPES) and*

Unique Physician Identification Number (UPIN) Data
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

With the implementation of the National Provider Identifier (NPI), the Centers for Medicare & Medicaid Services (CMS) discontinued assigning UPINs in June 2007. Effective May 23, 2008, Medicare will use the NPI as both a primary and secondary identifier.

14.2 - *Privacy Act Requirements*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

14.2.1 - *NPI*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The CMS has established a Privacy Act system of records notice titled the "National Plan and Provider Enumeration System (NPPES)". The primary purpose of the notice is to collect information needed to uniquely identify individual/organizational health care providers, to assign an NPI to those health care providers, to maintain and update the information about the health care providers, and to disseminate health care provider information in accordance with the provisions of the Privacy Act of 1974. CMS published the NPPES Data Dissemination notice on May 30, 2007. In accordance with the e-FOIA Amendments, CMS has disclosed these data via the Internet.

14.2.2 - *UPIN*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The CMS has established a Privacy Act system of records titled the "Unique Physician/Practitioner Identification Number (UPIN)".   The information in the UPIN database is subject to the provisions of the Privacy Act. CMS published a system of records notice in the Federal Register on November 15, 2006. This notice specified the purpose for collecting the information maintained in this system and routine uses which permit disclosure without the prior written consent of the individual to whom the record pertains.

14 .3 - *Access to NPI Data*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

Information about the NPI can be found at: (1) a query-only database, known as the NPI Registry at https://nppes.cms.hhs.gov/NPPES or (2) a NPPES downloadable file at http://nppesdata.cms.hhs.gov/cms_NPI_files.html

14.3.1 - *NPI Registry*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The NPI registry allows users to perform simple queries to retrieve read-only information from NPPES. For example, users may search by the NPI or legal business name to locate the NPPES records and search for an individuals or organizations. The NPI Registry will return the results of the query to the user, and the user will click on the record(s) he/she wants to view.

14.3.2 - *NPI Downloadable File*
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The downloadable files contain the data for health care providers who have been assigned NPIs.

There is no charge to download the files containing the NPPES FOIA-disclosable health care provider data. User IDs and passwords are not needed to download these files.

14.4 - Access to UPIN Data
(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

To obtain a copy of the UPIN file, contact CMS directly by writing to:

> *CMS Public Use Files*
> *7500 Security Boulevard, N1-15-03*
> *Baltimore, MD 21244-1850*

The following information is releasable for physicians and non-physician practitioners:

- o *Full name;*
- o *Credentials (e.g., MD);*
- o *UPIN;*
- o *State;*
- o *ZIP Code; and*
- o *Specialty code.*

The UPIN Registry at www.upinregistry.com will not be available after May 23, 2008.