



# **Open Payments Change Summary: Submission Data Mapping Document**

**Centers for Medicare & Medicaid Services**

September 2016

Version 1.8

**O P E N P A Y M E N T S**

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CREATING PUBLIC TRANSPARENCY  
INTO INDUSTRY-PHYSICIAN  
FINANCIAL RELATIONSHIPS

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## 1 Introduction

This document lists the changes made to the Submission Data Mapping Document and CSV templates (also known as sample files) since their last publication. The document is organized into the following sections:

- General updates;
- Changes to the four tabs of the Submission Data Mapping Document (General Payments tab, Research Payments tab, Physician Ownership tab, and Allowed Special Characters tab); and
- Changes to CSV templates/sample files.

To understand changes to the Submission Data Mapping Document, follow the steps below:

1. In this document, note which tab in the Submission Data Mapping Document is affected. Then, note the Data Element Name and the Data Element Number (DE#) for a specific entry. The change to the data element is listed below the Data Element Name and Data Element Number.
2. In the Submission Data Mapping Document, select the affected tab and then find the corresponding Data Element Number in Column A. The Data Element Name is listed in Column B.
3. Once you have located the Data Element Name and Data Element Number in the Submission Data Mapping Document, you can match it to the update noted in this document.

## 2 Changes Made in August 2016

### 2.1 Changes to the Submission Data Mapping Document

This section of the Change Summary Document lists the changes made to the Submission Data Mapping Document in August 2016, creating version 1.8 of the Submission Data Mapping Document, as shown in its Revision Log tab.

#### 2.1.1 General Updates

- **Allowed Special Characters** (Column L): Updated Column L heading name to “Allowed Special Characters”

#### 2.1.2 Changes to the General Payments (Non-Research) Tab

- **Data Element Name: Resubmission File Indicator (DE#4)**
  - Updated Definition/Description (Column C) to read: Indicator showing if this submission file contains payment(s) and/or other transfer(s) of value that are all new records, amended or corrected versions of previously submitted records, previously submitted

records for which a delay in publication has been requested that you now wish to update, or previously submitted records that you now wish to delete.

- Updated Data Type (Column D) to read: Enumeration.
- Updated Format (Column E) to read:
  - "N" = New Submission
  - "Y" = Resubmission
  - "R" = Renew Delay in Publication
  - "D" = Delete
- Updated Validation Rules (Column H) to read: Validates that only character "N","Y","R", or "D" is provided. If "R" is provided, only DE# 2, 3, 4, 31, 32, 34, and 47 are required for the record. All other fields are optional. If "D" is provided, only DE# 2, 3, 4, 31, 32, and 34 are required for the record. All other fields are optional. All records in a file must have the same value in this field.
- **Data Element Name: Teaching Hospital Name (DE#7)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital). IF DE# 6 Covered Recipient Type = "1" (Physician), this field must be blank.
- **Data Element Name: Teaching Hospital Tax ID Number (TIN) (DE#8)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital). IF DE# 6 Covered Recipient Type = "1" (Physician), this field must be blank.
- **Data Element Name: Physician First Name (DE#9)**
  - Updated Definition/Description (Column C) to read: Textual first name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "1" (Physician). IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician Middle Name (DE#10)**
  - Updated Definition/Description (Column C) to read: Textual middle initial or middle name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
  - Updated Required? (Column F) to read: No. IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician Last Name (DE#11)**

- Updated Definition/Description (Column C) to read: Textual last name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "1" (Physician). IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician Name Suffix (DE#12)**
  - Updated Definition/Description (Column C) to read: Name suffix of the physician (covered recipient) receiving the payment or other transfer of value chosen from a constrained list of values (Examples: Jr., Sr., III). If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
  - Updated Required? (Column F) to read: No. IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician Primary Type (DE#22)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "1" (Physician). IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician NPI (DE#23)**
  - Updated Required? (Column F) to read: Yes IF Physician has an NPI. IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be left blank.
- **Data Element Name: Physician Specialty (DE#24)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "1" (Physician). IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: Physician License State and License Number (DE#25)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = "1" (Physician). IF DE# 6 Covered Recipient Type = "2" (Teaching Hospital), this field must be blank.
- **Data Element Name: NDC of Associated Covered Drug or Biological (DE#28)**
  - Updated Validation Rules (Column H) to read: Validated against format and field size (columns E and G). If a drug or biological named in the record (DE#27) has an NDC, the NDC must be reported with the same record. The order of NDCs provided must match the order of named drugs or biologicals in DE#27. If no NDC exists for a named drug or biological in DE#27, leave the corresponding NDC field blank for that drug or biological. IF DE# 26 Product Indicator = "3" (None), this field must be blank. The numeric values in this field may not consist of only zeroes
  - Updated Allowed Special Characters (Column L) to read: Minus sign/hyphen (-)

- **Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Name (DE#30)**
  - Updated Definition/Description (Column C) to read: Textual proper name of either the Applicable Manufacturer or Applicable GPO making the payment or other transfer of value being reported in this record.
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = “Y”, the value provided for this data element must be different from the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name). If DE# 3 (Consolidated Report Indicator) = “N”, the value provided for this data element must be the same as the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name).
- **Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Registration ID (DE#31)**
  - Updated Definition/Description (Column C) to read: Open Payments system-generated identifier for this Applicable Manufacturer or Applicable GPO issued during the registration process.
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = “Y”, the value provided for this data element must be different from the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID). If DE# 3 (Consolidated Report Indicator) = “N”, the value provided for this data element must be the same as the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID).
- **Data Element Name: Resubmitted Payment Record ID (DE#32)**
  - Updated Required? (Column F) to read: Yes IF DE# 4 Resubmission File Indicator = "Y", "R", or "D".
- **Data Element Name: Physician Ownership Indicator (DE#41)**
  - Updated Required? (Column F) to read: Yes IF DE# 6 Covered Recipient Type = “1” (Physician). IF DE# 6 Covered Recipient Type = “2” (Teaching Hospital), this field must be blank.
- **Data Element Name: Name of Third Party Entity Receiving Payment or Transfer of Value (DE#43)**
  - Updated Required? (Column F) to read: Yes IF DE# 42, Third Party Payment Recipient Indicator = "1" (Entity). IF DE# 42 is any other value, this field must be blank.

### 2.1.3 Changes to the Research Payment Tab

- **Data Element Name: Resubmission File Indicator (DE#4)**
  - Updated Definition/Description (Column C) to read: Indicator showing if this submission file contains payment(s) and/or other transfer(s) of value that are all new records, amended or corrected versions of previously submitted records, previously submitted records for which a delay in publication has been requested that you now wish to update, or previously submitted records that you now wish to delete.

- Updated Data Type (Column D) to read: Enumeration.
- Updated Format (Column E) to read:
  - "N" = New Submission
  - "Y" = Resubmission
  - "R" = Renew Delay in Publication
  - "D" = Delete
- Updated Validation Rules (Column H) to read: Validates that only character "N","Y","R", or "D" is provided. If "R" is provided, only DE# 2, 3, 4, 32, 33, 34A, and 38 are required for the record. All other fields are optional. If "D" is provided, only DE# 2, 3, 4, 32, 33, and 34A are required for the record. All other fields are optional. All records in a file must have the same value in this field.
- **Data Element Name: Covered Recipient Physician First Name (DE#10)**
  - Updated Definition/Description (Column C) to read: Textual first name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Covered Recipient Physician Middle Name (DE#11)**
  - Updated Definition/Description (Column C) to read: Textual middle initial or middle name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
  - Updated Required? (Column F) to read: No. IF DE# 6 Covered Recipient Type = "2" (Covered Recipient Teaching Hospital), "3" (Non-covered Recipient Entity), or "4" (Non-covered Recipient Individual), this field must be blank.
- **Data Element Name: Covered Recipient Physician Last Name (DE#12)**
  - Updated Definition/Description (Column C) to read: Textual last name of the physician (covered recipient) receiving the payment or other transfer of value. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Covered Recipient Physician Name Suffix (DE#13)**
  - Updated Definition/Description (Column C) to read: Name suffix of the physician (covered recipient) receiving the payment or other transfer of value chosen from a constrained list of values (Examples: Jr., Sr., III). If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
  - Updated Required? (Column F) to read: No. IF DE# 6 Covered Recipient Type = "2" (Covered Recipient Teaching Hospital), "3" (Non-covered Recipient Entity), or "4" (Non-covered Recipient Individual), this field must be blank.
- **Data Element Name: Recipient Province (DE#20)**

- Updated Required? (Column F) to read: No.
- **Data Element Name: NDC of Associated Covered Drug or Biological (DE#29)**
  - Updated Validation Rules (Column H) to add: Validated against format and field size (columns E and G). If a drug or biological named in the record (DE#28) has an NDC, the NDC must be reported with the same record. The order of NDCs provided must match the order of named drugs or biologicals in DE#28. If no NDC exists for a named drug or biological in DE#28, leave the corresponding NDC field blank for that drug or biological. If DE# 27 Product Indicator is "3" (None), this field must be blank. The numeric values in this field may not consist of only zeroes
  - Updated Allowed Special Characters (Column L) to read: Minus sign/hyphen (-).
- **Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Name (DE#31)**
  - Updated Definition/Description (Column C) to read: Textual proper name of either the Applicable Manufacturer or Applicable GPO making the payment or transfer of value being reported in this record.
  - Updated Required? (Column F) to read: Yes
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = "Y", the value provided for this data element must be different from the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name). If DE# 3 (Consolidated Report Indicator) = "N", the value provided for this data element must be the same as the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name).
- **Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Registration ID (DE#32)**
  - Updated Definition/Description (Column C) to read: Open Payments system-generated identifier for this Applicable Manufacturer or Applicable GPO issued during the registration process.
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = "Y", the value provided for this data element must be different from the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID). If DE# 3 (Consolidated Report Indicator) = "N", the value provided for this data element must be the same as the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID).
- **Data Element Name: Resubmitted Payment Record ID (DE#33)**
  - Updated Required? (Column F) to read: Yes IF DE# 4 Resubmission File Indicator = "Y", "R" or "D".
- **Data Element Name: Principal Investigator Province (DE#54)**
  - Updated Required? (Column F) to read: No
- **Data Element Name: Principal Investigator Province (DE#70)**
  - Updated Required? (Column F) to read: No

- **Data Element Name: Principal Investigator Province (DE#86)**
  - Updated Required? (Column F) to read: No
- **Data Element Name: Principal Investigator Province (DE#102)**
  - Updated Required? (Column F) to read: No
- **Data Element Name: Principal Investigator Province (DE#118)**
  - Updated Required? (Column F) to read: No

#### 2.1.4 Changes to the Physician Ownership Tab

- **Data Element Name: Resubmission File Indicator (DE#4)**
  - Updated Definition/Description (Column C) to read: Indicator showing if this submission file contains payment(s) and/or other transfer(s) of value that are all new records, amended or corrected versions of previously submitted records, or previously submitted records that you now wish to delete.
  - Updated Data Type (Column D) to read: Enumeration.
  - Updated Format (Column E) to read:
    - "N" = New Submission
    - "Y" = Resubmission
    - "D" = Delete
  - Updated Validation Rules (Column H) to read: Validates that only character "N", "Y", or "D" is provided. If "D" is provided, only DE# 2, 3, 4, 24, and 25 are required for the record. All other fields are optional.
- **Data Element Name: Ownership/Investment Physician's First Name (DE#6)**
  - Updated Definition/Description (Column C) to read: Textual first name of the physician with the ownership or investment interest being reported. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Ownership/Investment Physician's Middle Name (DE#7)**
  - Updated Definition/Description (Column C) to read: Textual first name of the physician with the ownership or investment interest being reported. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Ownership/Investment Physician's Last Name (DE#8)**
  - Updated Definition/Description (Column C) to read: Textual last name of the physician with the ownership or investment interest being reported. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Ownership/Investment Physician's Name Suffix (DE#9)**

- Updated Definition/Description (Column C) to read: Name suffix of the physician with the ownership or investment interest being reported. If applicable, report the value for this data element as listed in the National Plan & Provider Enumeration System (NPPES).
- **Data Element Name: Ownership/Investment Physician's Province (DE#16)**
  - Updated Required? (Column F) to read: No.
- **Data Element Name: Applicable Manufacturer or Applicable GPO Reporting Ownership Name (DE#23)**
  - Updated Definition/Description (Column C) to read: Textual proper name of either the Applicable Manufacturer or Applicable GPO reporting the ownership or investment interest being reported in this record.
  - Updated Required? (Column F) to read: Yes
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = "Y", the value provided for this data element must be different from the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name). If DE# 3 (Consolidated Report Indicator) = "N", the value provided for this data element must be the same as the value provided for DE# 1 (Applicable Manufacturer or Applicable GPO Name).
- **Data Element Name: Applicable Manufacturer or Applicable GPO Reporting Ownership Registration ID (DE#24)**
  - Updated Definition/Description (Column C) to read: Open Payments system-generated identifier for this Applicable Manufacturer or Applicable GPO issued during the registration process.
  - Updated Validation Rules (Column H) to add: If DE# 3 (Consolidated Report Indicator) = "Y", the value provided for this data element must be different from the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID). If DE# 3 (Consolidated Report Indicator) = "N", the value provided for this data element must be the same as the value provided for DE# 2 (Applicable Manufacturer or Applicable GPO Registration ID).
- **Data Element Name: Resubmitted Ownership Record ID (DE#25)**
  - Updated Required? (Column F) to read: Yes IF DE# 4 Resubmission File Indicator = "Y" or "D".

## 2.1.5 Allowed Special Characters Tab

- **Main Heading**
  - Updated Row 1 heading to read: Allowed Special Characters
- **Column Name**
  - Updated Column B heading to read: Name
- **Special Character +**
  - Updated Name (Column B) to read: Plus sign
- **Special Character @**

- Updated Name (Column B) to read: At sign
- **Special Character \$**
  - Updated Name (Column B) to read: Dollar sign
- **Special Character Space**
  - Updated Name (Column B) to read: Space character
- **Special Character =**
  - Updated Name (Column B) to read: Equal
- **Special Character -**
  - Updated Name (Column B) to read: Minus sign/hyphen
- **Special Character (**
  - Updated Name (Column B) to read: Left parenthesis
- **Special Character [**
  - Updated Name (Column B) to read: Left square brackets
- **Special Character )**
  - Updated Name (Column B) to read: Right parenthesis
- **Special Character |**
  - Updated Name (Column B) to read: Pipe
- **Special Character \_**
  - Updated Name (Column B) to read: Underscore

### **3 Changes Made to CSV Templates**

No changes were made to the CSV templates (also known as sample files).