

# Open Payments System Enhancements

September 2019

## Introduction

The Open Payments system has been enhanced to improve user experience and increase system functionality. This document explains the enhancements and improvements that directly affect end users.

## General

### 1. Main Navigation Bar

Previous System Behavior: The main navigation bar had descriptive information on each functionality.

Enhanced System Behavior: The main navigation bar is re-designed for all users by adding in icons and removing descriptive text as shown below. The descriptive text will be displayed on hover and focus of the navigation link.

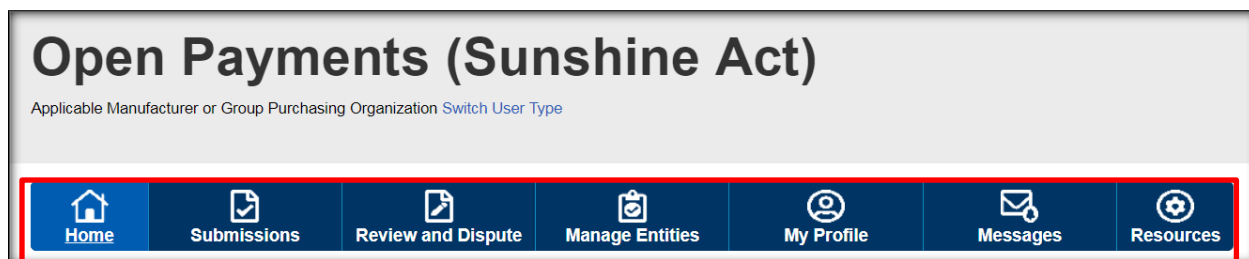


Figure 1 Navigation Bar

### 2. Ability to Track Messages for All Users in the Open Payments system

Enhanced System Behavior: CMS has enhanced the system to allow users (Reporting Entity or Covered Recipient) to view the system generated messages associated with their organization within the application. The following features are added:

- Introduced the Messages tab to provide a view of all the email messages at the organization level that are generated by the Open Payments system.

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# Open Payments (Sunshine Act)

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## Messages

The table below provides information on the system generated email messages received by the covered recipient physician.

Search and filtering tools above the table can customize the view of the messages displayed.

For more information on the actions you can take on this page, refer to the [Open Payments User Guide for Covered Recipients \[PDF\]](#).

Physician Name:

ABCDE Medical

Record ID:

Maximum 38 digits

Payment Category:

Message Category:

Registration
Review and Dispute
Nomination
Nomination Reminder
User/Nomination Deactivation

Search

Clear All

**Figure 2 Messages Tab**

### 1. Download Compliance Communications

Enhanced System Behavior: CMS has enhanced the system to provide the ability for the AM/GPO users to view and download the compliance communications uploaded by the CMS Open Payments compliance team. The system will allow a reporting entity to assign two users with the new compliance role. An email notification will be sent to the AM/GPO Officer, Compliance User(s) and the Primary Point of Contact when a new compliance communication is uploaded by CMS. The users with the role of Officer or Compliance User will be able to view and download the communication within the Open Payments system.

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## Messages

System

Compliance

The table below provides the ability to view and download electronic compliance communication uploaded by CMS for the reporting entity. The "Download PDF" button will allow users to download PDF correspondence in regards to that compliance communication.

For more information on the actions you can take on this page, refer to the [Open Payments User Guide for Reporting Entities \[PDF\]](#).

Showing 10 of 1 Entries				Page 1 of 1	Page 1
Subject	Receiving Entity	Date Received	Attachment		
Madwords Audit Communication	Madwords	06-18-2019	Download PDF		
Showing 10 of 1 Entries				Page 1 of 1	Page 1

Figure 3 Compliance Sub Tab

## 2. Physician's Profile ID Lookup Utility

Enhanced System Behavior: This utility is for the Teaching Hospital users to look up Physician's Open Payments Profile ID by the National Provider Identifier (NPI) via bulk upload. Following are the features added:

- On the Teaching Hospital UI, a new "Utilities" tab is added. The Teaching Hospital users can access this Utilities tab to navigate to the Utilities page as shown below. All the users associated with the Teaching Hospital who have the Authorized Official (AO) or Authorized Representative (AR) role can access this Utilities tab.
- A new template, "Physician's\_Profile\_ID\_Lookup\_Template.csv", is made available for the users to download and use the same to upload the physician's NPI.
- Upon successful upload of the NPI list, a downloadable results link is available. The result file will include the associated Open Payments Physician Profile ID for the NPI if any payments received by the covered recipient NPI listed in the input file as shown below in Figure 4
- The result file is available only until the new file is uploaded or the user logs out of the Open Payments application.

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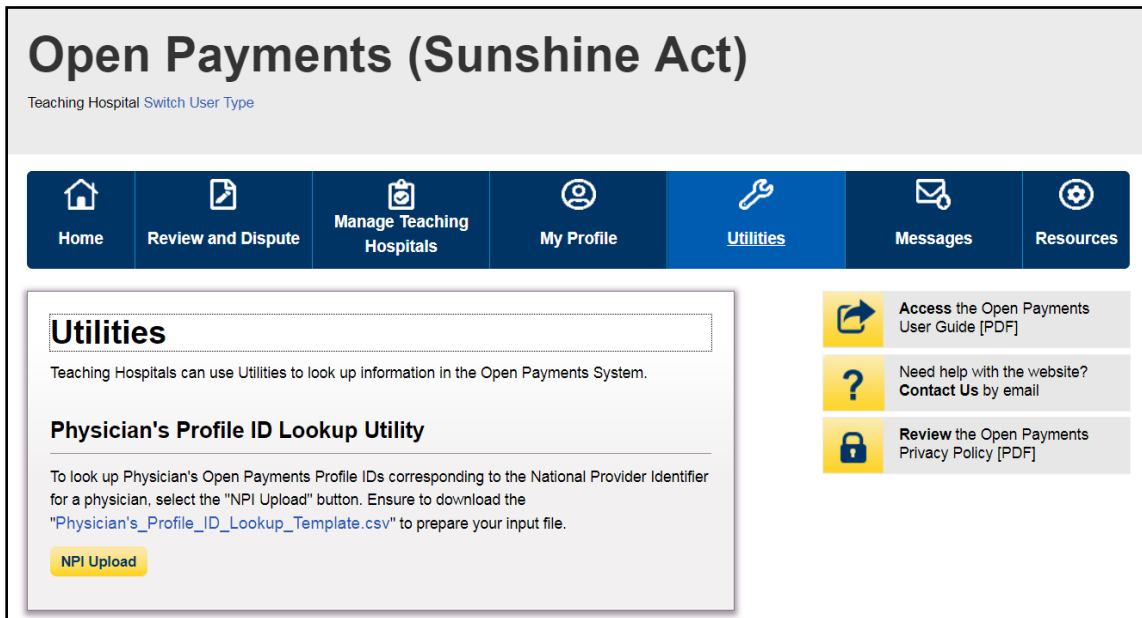


Figure 4 Utilities Tab

## Physician's Profile ID Lookup Utility

A field with an asterisk (\*) is required.

To submit your file(s), follow the steps identified below.

Prior to uploading a file, ensure the following:

1. File(s) is only in .csv format.
2. The Header in the file is valid (Includes Only PHYSICIAN\_NPI)
3. File(s) does not contain any Virus.
4. File(s) for upload does not exceed 20,000 rows.

To upload a file, follow the steps identified below.

1. Choose your file from your computer by selecting the browse/choose file.
2. Select the "Upload File" button to start the upload process.

Once the file upload is successfully completed, the file will be available to download as a hyperlink. The download link will be available only during the single session in which the file upload is completed and until the user logs off the session or new file is uploaded while user logged in.

**\*File:**  
Must be a valid .csv file.

No file chosen

### Physician's Profile ID Result File Download

[Physician's\\_Profile\\_ID\\_Lookup\\_Template\\_\(6\)\\_Result.csv](#)

### Download the Physician's Profile ID Lookup Template

[Physician's\\_Profile\\_ID\\_Lookup\\_Template.csv](#)

**Figure 5 Physician's Profile ID Result File Download**

## Data Submission

### 1. Validation Utility for Matching Physician Information

Enhanced System Behavior: This system enhancement allows AM/GPO submitters to validate the physician profile information prior to using it on the payment record by navigating to the Submission Tab. At the conclusion of this validation process, the user can download the results file for physicians that failed the matching process. The features are:

- Reporting entity submitters can submit physician information using the upload functionality on the Physician Validation page.
- A file named as "Physician \_Validation\_Template.csv" is made available. It can be accessed from the right sidebar of the Physician Validation page under the "Download the Validation Template" section.

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- The submitter can download the result file which will contain the profiles that failed matching and related error code(s) comma separated in case of multiple matching errors. The successfully matched profiles will not be part of the result file.
- The downloadable result file will be available for 90 days from the upload date.

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### Physician Validation

A field with an asterisk (\*) is required.

To submit your physician matching validation file, follow the steps identified below. Prior to uploading your validation file, ensure that the file is in a valid .csv file format and conforms to the file specifications. If needed, you may download the Open Payments Physician Validation Template available on the right sidebar on this page.

1. Select the "Browse..." button to locate and select your file. Note: Individual data files cannot be larger than 50 MB.
2. Select the "Upload File" button.

Once you select the "Upload File" button, the file will be submitted for validation and matching. You will see the file details and results in the table below for 90 days after the upload. The results will only include the physician profiles with error(s) and their respective error codes. Select the "Refresh Status" button to refresh file status. A downloadable results file link in the results file column will be available upon successful processing of the file.

**\*File:**  
Must be a valid .csv file. Maximum of 50 MB per file.

[Choose File](#) No file chosen

[Upload File](#)

[Refresh Status](#)

File Name: <input type="text"/>	File Status: <input type="text"/>	Submitted Date: <input type="text"/>	Submitted By: <input type="text"/>	Results File:
shingelements_invalidmatchingelements_inv....csv	Submitted Successfully	05/06/2019	Amgpo15.1	<a href="#">Download</a>
	Submitted Successfully	04/26/2019	Amgpo15.1	<a href="#">Download</a>
	Submitted Successfully	04/26/2019	Amgpo15.1	<a href="#">Download</a>

[Cancel](#)

#### Download the Physician List

The Validated Physician List below should not be shared publicly.

[Validated Physician List](#)

#### Download the Validation Template

The physician validation template is available through the link below.

[Physician Validation Template](#)

Figure 6 Physician Validation Page

## Review and Dispute

### 1. Update Review and Dispute Email Recipients Functionality

Previous System Behavior: The Open Payments system sends Review and Dispute related emails to all the covered recipients including principal investigators (PI) associated with a payment record, regardless of whether they initiated the dispute or not. For instance, if a payment recipient is a Teaching Hospital with an associated PI, and the dispute is initiated by the PI, then the dispute acknowledged, resolved, etc. mail is sent to all the users associated with the Teaching Hospital (Authorized Official and Authorized Representative) as well as the PI, who initiated the dispute.

Enhanced System Behavior: The Open Payments system functionality is updated to send Review and Dispute related emails to the user who initiated the dispute and to all the associated users of that particular covered recipient on behalf of whom that dispute was initiated. For instance, if a payment recipient is a Teaching Hospital with an associated PI, and the dispute is initiated by the PI, then the dispute acknowledged, resolved, etc. email is sent to the PI who initiated the dispute and his/ her associated Authorized Representative, and the teaching hospital users will not receive email.