



Open Payments Change Summary: Submission Data Mapping Document

Centers for Medicare & Medicaid Services

November 2015

Version 1.7

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

CREATING PUBLIC TRANSPARENCY
INTO INDUSTRY-PHYSICIAN
FINANCIAL RELATIONSHIPS

Contents

1	Introduction	1
2	Changes Made in November 2015.....	1
2.1	Changes to the Submission Data Mapping Document	1
2.1.1	General Updates	1
2.1.2	Changes to the General Payments (Non-Research) Tab.....	2
2.1.3	Changes to the Research Payment Tab	5
2.1.4	Changes to the Physician Ownership Tab.....	10
3	Changes Made to CSV Templates	12

1 Introduction

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

- General updates;
- Changes to the three tabs of the Submission Data Mapping Document (General Payments tab, Research Payments tab, and Physician Ownership 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 November 2015

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 November 2015, creating version 1.7 of the Submission Data Mapping Document, as shown in its Revision Log tab.

2.1.1 General Updates

- **Validation (Column H):** Column name updated to **Validation Rules**.
- **Special Characters Allowed (Column L):** Column added to all tabs to detail the special characters allowed in the data fields.
- All examples where “X’s” or “#’s” were used to show field formatting have been replaced with “g” for Section 508 compliance purposes.

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

- **Data Element Name: Applicable Manufacturer or Applicable GPO Name (DE#1)**
 - Updated Definition/Description (Column C) to read: Textual proper name of either the Submitting Applicable Manufacturer or Submitting Applicable Group Purchasing Organization (GPO). If this submission file contains records of payment(s) and/or other transfer(s) of value made by only one Applicable Manufacturer/Applicable GPO, enter that Applicable Manufacturer's/Applicable GPO's name in this data field for all records in the submission file. If this submission file contains records of payment(s) and/or other transfer(s) of value from multiple Applicable Manufacturers/Applicable GPOs, enter the name of the Applicable Manufacturer/Applicable GPO submitting the consolidated report in this field. The name of the Applicable Manufacturer/Applicable GPO that made the payment for each record is entered in the "Applicable Manufacturer or Applicable GPO Making Payment Name" (DE#30) field of that record.
- **Data Element Name: Applicable Manufacturer or Applicable GPO Registration ID (DE#2)**
 - Updated Definition/Description (Column C) to read: Open Payments system-generated identifier used to identify the Applicable Manufacturer or GPO (populated only with CMS-provided identifier). If this submission file contains records of payment(s) and/or other transfers of value made by only one Applicable Manufacturer/Applicable GPO, enter that Applicable Manufacturer's/Applicable GPO's Registration ID in this data field for all records in the submission file. If this submission file contains records of payment(s) and/or other transfer(s) of value from multiple Applicable Manufacturers/Applicable GPOs, enter the Record ID to be entered of the Applicable Manufacturer/Applicable GPO submitting the consolidated report. The Record ID of the Applicable Manufacturer/Applicable GPO that made the payment for each record is entered in the "Applicable Manufacturer or Applicable GPO Making Payment Registration ID" (DE#31) field of that record.
- **Data Element Name: Teaching Hospital Name (DE#7)**
 - Updated Definition/Description (Column C) to read: The "doing business as" name of the Teaching Hospital receiving the payment or other transfer of value. This can be found under the "Hospital Name" field on the CMS-provided Teaching Hospital List.
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). A standardized list of covered Teaching Hospital names and information is provided on the CMS Open Payments website. Hospital name submitted is matched against this list. Use the "Hospital Name" value in the list for the correct name. (Records for program year 2013 only must use the "PECOS Legal Name" instead). Value must match the hospital name associated with the TIN (DE #8) as per the Teaching Hospital List.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Teaching Hospital Tax ID Number (TIN) (DE#8)**
 - Updated Definition/Description (Column C) to read: Tax Identification Number (TIN) of the Teaching Hospital receiving the payment or other transfer of value.

- Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). A standardized list of covered Teaching Hospital names and information is provided on the CMS Open Payments website. Value must match the TIN associated with the teaching hospital name (DE #7) as per the Teaching Hospital List.
- **Data Element Name: Recipient Primary Business Street Address Line 1 (DE#13)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Line 1 from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Primary Business Street Address Line 2 (DE#14)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Line 2 from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient City (DE#15)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address City from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient State (DE#16)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). Limited to list of state abbreviations and territories per US Postal Service. If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address State from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Zip Code (DE#17)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Zip Code from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Country (DE#18)**
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Physician Specialty (DE#24)**

- Updated Definition/Description (Column C) to read: CMS-issued generated alphanumeric identifier for this Applicable Manufacturer or Applicable GPO issued during the registration process. If this submission file contains a single Applicable Manufacturer/Applicable GPO's set of payment(s) and/or other transfer(s) of value records (i.e., it is not a consolidated report), this data element will be the same as reported in data element #2 for each record.
- **Data Element Name: Total Amount of Payment (DE#33)**
 - Added text to Validation Rules (Column H): The value in this field cannot be 0.00. The value entered must be greater than zero dollars.
- **Data Element Name: Number of Payments Included in Total Amount (DE#35)**
 - Updated Data Type (Column D) to read: Numeric.
- **Data Element Name: Country of Travel (DE#40)**
 - Updated Additional Notes (Column K) to read: No notes.

2.1.3 Changes to the Research Payment Tab

- **Data Element Name: Applicable Manufacturer or Applicable GPO Name (DE#1)**
 - Updated Definition/Description (Column C) to read: Textual proper name of either the Submitting Applicable Manufacturer or Submitting Applicable Group Purchasing Organization (GPO). If this submission file contains records of payment(s) and/or other transfer(s) of value made by only one Applicable Manufacturer/Applicable GPO, enter that Applicable Manufacturer's/Applicable GPO's name in this data field for all records in the submission file. If this submission file contains records of payment(s) and/or other transfer(s) of value from multiple Applicable Manufacturers/Applicable GPOs, enter the name of the Applicable Manufacturer/Applicable GPO submitting the consolidated report in this field. The name of the Applicable Manufacturer/Applicable GPO that made the payment for each record is entered in the "Applicable Manufacturer or Applicable GPO Making Payment Name" (DE#31) field of that record.
- **Data Element Name: Applicable Manufacturer or Applicable GPO Registration ID (DE#2)**
 - Updated Definition/Description (Column C) to read: Open Payments system-generated identifier used to identify the Applicable Manufacturer or GPO (populated only with CMS-provided identifier). If this submission file contains records of payment(s) and/or other transfers of value made by only one Applicable Manufacturer/Applicable GPO, enter that Applicable Manufacturer's/Applicable GPO's Registration ID in this data field for all records in the submission file. If this submission file contains records of payment(s) and/or other transfer(s) of value from multiple Applicable Manufacturers/Applicable GPOs, enter the Record ID to be entered of the Applicable Manufacturer/Applicable GPO submitting the consolidated report. The Record ID of the Applicable Manufacturer/Applicable GPO that made the payment for each record is entered in the "Applicable Manufacturer or Applicable GPO Making Payment Registration ID" (DE#32) field of that record.
- **Data Element Name: Covered Recipient Teaching Hospital Name (DE#8)**

- Updated Definition/Description (Column C) to read: The “doing business as” name of Teaching Hospital receiving the payment or other transfer of value.
- Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). A standardized list of covered Teaching Hospital names and information is provided on the CMS Open Payments website. Hospital name submitted is matched against this list. Use the "Hospital Name" value in the list for the correct name. (Records for program year 2013 only must use the "PECOS Legal Name" instead). Value must match the hospital name associated with the TIN (DE #8) as per the Teaching Hospital List.
- Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Covered Recipient Teaching Hospital Tax ID Number (TIN) (DE#9)**
 - Updated Definition/Description (Column C) to read: Tax Identification Number (TIN) of Teaching Hospital receiving the payment or other transfer of value.
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). A standardized list of covered Teaching Hospital names and information is provided on the CMS Open Payments website. Value must match the TIN associated with the teaching hospital name (DE #8) as per the Teaching Hospital List.
- **Data Element Name: Recipient Business Street Address Line 1 (DE#14)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Line 1 from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Business Street Address Line 2 (DE#15)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Line 2 from the CMS-provided Teaching Hospital List should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient City (DE#16)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address City from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient State (DE#17)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). Limited to list of state abbreviations and territories per US Postal Service. If the Covered Recipient Type (DE#6) has a value of "2" (Teaching

Hospital), NPPES Address State from the CMS-provided Teaching Hospital list should be used for this data element.

- Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Zip Code (DE#18)**
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). Either exactly 5 or exactly 9 numeric digits. If the Covered Recipient Type (DE#6) has a value of "2" (Teaching Hospital), NPPES Address Zip code from the CMS-provided Teaching Hospital list should be used for this data element.
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Recipient Country (DE#19)**
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Covered Recipient Physician Specialty (DE#25)**
 - Updated Validation (Column H) to remove: Validated against CMS-approved data sources.
 - Updated Additional Notes (Column K) to read: Refer to the Open Payments Physician Taxonomy Code list on the CMS Open Payments website for a list of accepted taxonomy codes.
- **Data Element Name: Covered Recipient Physician License State and License Number (DE#26)**
 - Moved the following text from Definition/Description (Column C) to Validation Rules (Column H): The pairing includes the 2 letter state abbreviation, followed by a hyphen, followed by the state license number.
 - Updated Format (Column E) to read: Maximum of 5 unique pairs of the state and license number: AA-99999999999999999999999999999999.
 - Updated Field Size (Column G) to read: ≤28 Char.
- **Data Element Name: Name of Associated Covered Drug or Biological (DE#28)**
 - Updated Required Text (Column F) to read: Yes IF "Product Indicator" DE# 27 is "1" = "Covered" OR is "4" = "Combination" AND there is not at least 1 covered device or medical supply provided in DE# 30 "Name of Associated Covered Device or Medical Supply" OR DE#29 "NDC of Associated Covered Drug or Biological" contains a value.
- **Data Element Name: NDC of Associated Covered Drug or Biological (DE#29)**
 - Moved the following text from Definition/Description (Column C) to Validation Rules (Column H): If more than one is NDC provided, their order must match the order of named covered drugs or biologicals in DE#28, "Name of Associated Covered Drug or Biological." If no NDC exists for any named drug or biological, leave the element blank.
 - Added text to Format (Column E): NDC's must be entered in one of the following formats: 9999-9999-99; 99999-999-99; 99999-9999-9.
 - Updated Field Size (Column G) to read: 12 Char (including dashes).

- **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. If this submission file contains a single Applicable Manufacturer/Applicable GPO's set of payment(s) and/or transfer(s) of value records, this data element will be blank, since it was reported in data element #1.
- **Data Element Name: Total Amount of Research Payment (U.S. Dollars) (DE#34)**
 - Added text to Validation Rules (Column H): The value in this field cannot be 0.00 and must contain a numeric value.
- **Data Element Name: Expenditure Category (DE#36)**
 - Updated Definition/Description (Column C) to read: Contextual category for this research payment or transfer of value. There can be multiple contextual categories for this research reported. For every Expenditure Category reported, an Expenditure Category percentage must also be reported.
 - Updated Validation Rules (Column H) to read: Validated against data type, format, and field size (columns D, E, G). Category number represented as a single number (per the format column) followed by the 2- or 3-digit percentage of the value of that category for this payment (e.g., 1-90 or 1-100).
- **Data Element Name: Principal Investigator Covered Recipient Physician Indicator (DE#43)**
 - Updated Definition/Description (Column C) to read: Indicator showing if the payment or other transfer of value is associated with a research study that employed at least one Principal Investigator who is a covered recipient physician in addition to the covered recipient who received the payment.
 - Updated Validation Rules (Column H) to read: Validates that only character "Y" or "N" is provided. If there is a covered recipient principal investigator, set this field to "Y" and enter identifying information for at least one covered recipient Principal Investigator in the fields below. Up to five (5) Principal Investigator covered recipient physicians can be entered. The principal investigator(s) entered must be unique individuals. The individual identified as the covered recipient physician cannot be entered as a principal investigator. If the Covered Recipient Type (DE#6) is set to "3" or "4," the Principal Investigator Covered Recipient Physician Indicator must be set to "Y." If there is not a covered recipient principal investigator, set this field to "N" and do not enter any information in the Principal Investigator fields below. If the covered recipient physician receiving the payment is also the only Principal Investigator, set this field to "N." You do not need to duplicate that physician's information.
- **Data Element Name: Principal Investigator Country (DE#53)**
 - Updated Additional Notes (Column K) to read: No notes.
- **Data Element Name: Principal Investigator Specialty (DE#58)**
 - Updated Validation (Column H) to remove: Validated against CMS-approved data sources.

- 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. If this submission file contains a single Applicable Manufacturer/Applicable GPO's report(s) of ownership or investment interest, this data element will be blank, since it was reported in data element #1.
- **Data Element Name: Dollar Amount Invested (DE#27)**
 - Updated Definition/Description (Column C) to read: For Ownership interests: The total dollar value, in US dollars, of the ownership interest gained by the physician (or the physician's immediate family members) in the Applicable Manufacturer or Applicable GPO during the reporting year only. Value reported should be for the entire calendar year. For Investment interests: The total dollar amount, in US dollars, the physician (or the physician's immediate family members) has invested in the Applicable Manufacturer or Applicable GPO during the reporting year only. Value reported should be for the entire calendar year. Convert values to US dollar currency if necessary.
 - Updated Validation Rules (Column H) to read: The dollar amount invested cannot be 0.00 if the Value of Interest (DE#28) is also 0.00.
- **Data Element Name: Value of Interest (DE#28)**
 - Updated Definition/Description (Column C) to read: The current cumulative value, in US dollars, of ownership or investment interest held by the physician (or the physician's immediate family members) in the Applicable Manufacturer or Applicable GPO as of the most recent feasible valuation date preceding the reporting date. Please note that this amount represents the cumulative current value of all ownership or investment interests held by the physician (or the physician's immediate family members) in the Applicable Manufacturer or Applicable GPO. Convert values to US dollar currency if necessary.
 - Updated Validation Rules (Column H) to read: The dollar amount invested cannot be 0.00 if the Dollar Amount Invested (DE#27) is also 0.00.
- **Data Element Name: Terms of Interest (DE#29)**
 - Updated Format (Column E) to read: Free form text.

3 Changes Made to CSV Templates

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