Open Payments System Quick Reference Guide
Data Submission Documents and Resources

January 2019

Introduction

The Open Payments system allows applicable manufacturers and applicable group purchasing organizations (hereafter collectively referred to as "reporting entities"), to submit and attest to payments or other transfers of value, and ownership or investment interests information. This quick reference guide provides a list of resources available to assist in the data submission process for both bulk file and manual submissions.

Prerequisites

- None

Available Documents and Resources

All of the resources listed in this guide are available on the Resources page of the CMS Open Payments website at https://www.cms.gov/OpenPayments/About/Resources.html unless otherwise specified.

Sample Files

Note: Users who hold the submitter role can also find these sample files within the Open Payments system.

Resource Name	Description
PY 2013 – 2015 CSV Sample File: General Payments	A CSV sample file to be used for submitting general payments for PY 2013 – 2015.
PY 2013 – 2015 CSV Sample File: Research Payments	A CSV sample file to be used for submitting research payments for PY 2013 – 2015.
PY 2013 – 2016 and upcoming years CSV Sample File: Physician Owner/Investor	A CSV sample file to be used for submitting ownership/investment interests for PY 2013-2016 and upcoming years. Note that this CSV Sample File for Physician Owner/Investor records applies to all program years.
PY 2016 and upcoming years CSV Sample File: General Payments	A CSV sample file to be used for submitting general payments for PY 2016 and upcoming years.

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Resource Name	Description
PY 2016 and upcoming years CSV Sample File: Research Payments	A CSV sample file to be used for submitting research payments for PY 2016 and upcoming years

Quick Reference Guides and Tutorials

Resource Name	Description
Quick Reference Guide: Bulk File Upload	Instructions for submitting data via bulk file upload.
Quick Reference Guide: Manual Data Entry	Instructions for submitting data via manual data entry.
Quick Reference Guide: Consolidated Reporting	Instructions for submitting data from several related entities through a single entity.
Tutorial: OP AMGPO Registration and Submission	An overview of Open Payments registration, data submission, and attestation process for applicable manufacturers and applicable GPOs.

Detailed Supporting Documents

Resource Name	Description
PY 2013 – 2015 Submission Data Mapping Document	Program years 2013 – 2015 data collection and submission spreadsheet that maps each data element to the corresponding CSV field names.
Change Summary: PY 2013 – 2015 Submission Data Mapping Document	Describes the changes made to PY 2013 – 2015 Submission Data Mapping Document since it was last updated.
PY 2016 and upcoming years Submission Data Mapping Document	Program year 2016 and upcoming years data collection and submission spreadsheet that maps each data element to the corresponding CSV field names.
Change Summary: PY 2016 and upcoming years Submission Data Mapping Document	Describes the changes made to PY 2016 and upcoming years Submission Data Mapping Document since it was last updated.

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Resource Name	Description
Data Dictionary and Methodology Document	A guide to published Open Payments data, including sources of the data, how the data files are presented by CMS, and the fields contained in each data file.
" Data Submission and Attestation" section of the Open Payments User Guide for Reporting Entities	Contains detailed step-by-step instructions, including screenshots, for submitting data via bulk file upload and manual entry.

Information for Creating Submission Records

Resource Name	Description
Validated Physician List	A non-comprehensive list of U.S. physicians for reference when creating payment records for submission. Includes physicians who have a National Provider Identifier (NPI) number and have been successfully matched by the Open Payments system to at least one payment record from program years 2013, 2014,2015, 2016 or 2017 whether the payment record was published or not. The Validated Physician List provides the names, NPIs, and state license information for each physician listed. There is also an additional list that identifies physicians who do not have an NPI and have been reported on in the Open Payments system to assist with reporting. Note: The Validated Physician List is a downloadable CSV file and is located **only** within the Open Payments system on the "Submissions" page.
Teaching Hospital Lists by Reporting Cycle	Annually updated lists of teaching hospital covered recipients by reporting cycle. Payments made to hospitals on these lists must be reported to CMS for the purposes of Open Payments.

Final Submission & Attestation Resources

Resource Name	Description
Quick Reference Guide: Final Submission and Attestation	Instructions for completing final submission and attestation.
Attestation Language	A list of all attestation statements listed in the Open Payments system.

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Resource Name	Description
Error Code Key	A list of all error codes generated by the Open Payments system during record validation and matching processes. This resource also provides guidance on how to correct the errors.
"Data Submission and Attestation" section of the Open Payments User Guide for Reporting Entities	Contains detailed step-by-step instructions, including screenshots, for completing final submission and attestation.

Next Steps

- Review data submission materials and resources

- Complete data submission activities for your reporting entity

Additional Resources

Additional resources can be found on the Resources page of the CMS Open Payments website at https://www.cms.gov/OpenPayments/About/Resources.html

Additional quick reference guides relevant to data submission are listed below:

- Identifying Validation and Matching Errors

- Correcting Validation and Matching Errors

- Record Deletion

- Payment Category Page

- Requesting or Updating a Delay in Publication

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