



Open Payments Technology Webinar Series

Open Payments Data Submission



Center for Program Integrity
November 2013

Target Audience for this Webinar

- Applicable manufacturers and applicable group purchasing organizations (GPOs)
 - Data submitters
 - Technology officers
 - Technology teams
 - System and software developers
 - Other individuals or entities involved with data submission on behalf of applicable manufacturers or GPOs

Agenda & Learning Objectives

- **Submission process overview**
 - Obtain a high-level understanding of the data submission process and data entry options in the Open Payments system
- **File formats for bulk data uploads**

Understand data submission, including:

 - How to download the XSD schema & sample XML and CSV files
 - How to create the XML file or CSV file
 - How to upload an XML file or CSV file into the Open Payments system
- **Available Resources**
 - Locate additional information on Open Payments, including:
 - Future webinars
 - Open Payments website
 - Open Payments User Guide
 - Help Desk with technical support team
- **Q & A**

Submission Overview and Data Entry Options

Open Payments program requires applicable manufacturers and GPOs to annually submit data in the Open Payments system and electronically attest to the submitted data before the reporting deadline.

Open Payments system provides the following options for data entry and submission:

- Manual data entry via a Graphic User Interface
- Bulk data entry via XML and CSV file uploads

Data Collection: Submission File Specifications

Payment Type	Report	Categories
General Payments	Payments or other transfers of value <u>not</u> made in connection with a research agreement	<ul style="list-style-type: none"> • Submission file information • Recipient information • Covered product information • General payment information • General information
Research Payments	Payments or other transfers of value made in connection with a research agreement	<ul style="list-style-type: none"> • Submission file information • Recipient information • Covered product information • Research payment information • Research information
Ownership & Investment Interest	Ownership or investment interests	<ul style="list-style-type: none"> • Submission file information • Recipient owner/investor information • Ownership/investment information

File Specifications vs. File Schema and Sample Files

Submission File Specifications list data elements that will be collected in the Open Payments program for each of the three payment types. 2013 submission file specifications are available on the Open Payments website: <http://go.cms.gov/openpayments>

Schema and Sample Files define the exact format and layout of the files that will be accepted in the Open Payments System. XML schema and XML and CSV sample files will be available in November 2013 on the Open Payments website along with an instructions document on how to use the schema and sample files and a mapping of each data field in the sample files to the data elements listed in submission file specifications

Manual Data Entry

- Log into the Open Payments System
- Navigate to Home>Payments>Enter Payments Manually
- Select Entity, Program Year and Payment type (general, research, or ownership and investment interest)
- Enter data for each reportable payment
- Click on “Submit” when complete
- Receive an on-screen message of online submission confirmation
- A follow-up email may be sent if matching of the data was unsuccessful
- After the data are successfully submitted, the entity must attest to their accuracy and completeness in order to complete reporting in the Open Payments program

Bulk Data Upload: XML File Schema & Sample Files

1. Download the Schema and Sample Files

- One XSD (XML Schema Definition) for the three payment types is used to create and validate the XML data submission file
- Users can download the schema and the appropriate sample XML files for the type of payments being submitted from the Open Payments website

Bulk Data Upload: XML File Schema & Sample Files

2. Create XML file

- Files can be created using tools like XMLSpy or other programmatic interfaces using the XSD schema or by using the XML sample files
- Type of Payment Submission in the XSD determines contents of the required submission file elements that need to be populated
- XSD schema used to validate the XML, ensuring the file conforms to the expected values and data types and minimizing any errors when XML file is submitted
- Refer to the Instructions Document for additional guidance on using XSD schema and sample XML files

Bulk Data Upload: CSV Sample Files

1. Download the CSV sample files

- There are three CSV files (one for each payment type) available for download for submitting Open Payments data

Bulk Data Upload: CSV Sample Files

2. Create CSV file

- The .CSV files are pipe-delimited; ensure the list separator is set to pipe “|”
- Open the appropriate sample file (Microsoft Excel or a similar spreadsheet program is recommended)
- Clear any sample data
- Enter submission data into the template file
- Refer to the Instructions Document for additional guidance on using sample CSV files

Bulk Data Upload: XML or CSV Files

3. Upload the XML or CSV file

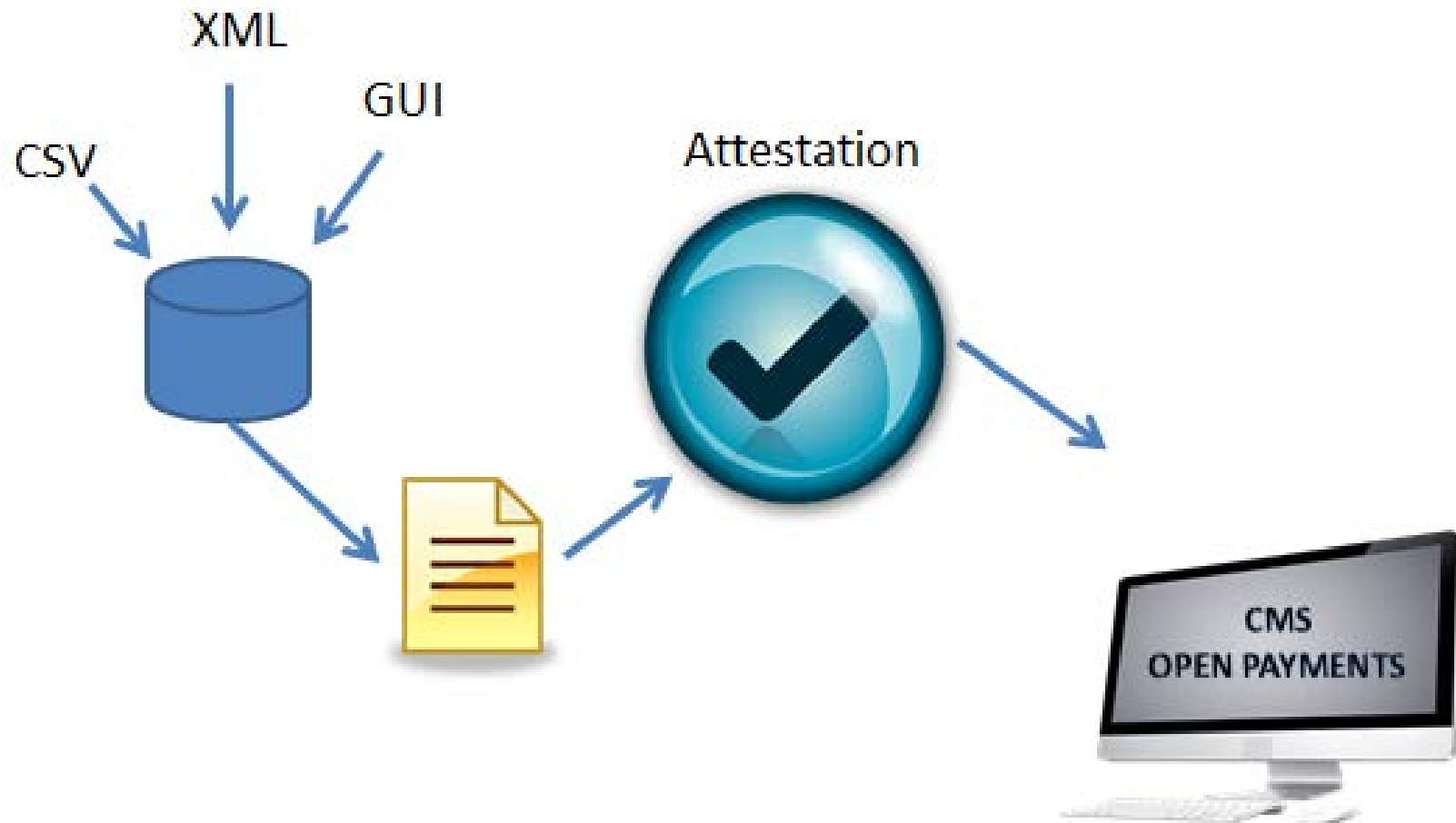
- Log into Open Payments System
- Navigate to the Home>Payments>Report Payments page
- Select File Upload as a method to report payments
- On the Upload File Page, select organization, program year and payment type
- Browse to select the appropriate file to upload
 - the extension must be .xml for XML files and .csv for CSV files
 - file size should not exceed 250MB
- Click Upload File
- Receive an on-screen message as well as an email with either successful validation or with validation errors associated with the upload
- File processing times may vary depending on the file size
- Data submissions exceeding 250MB must be divided and uploaded as multiple files each not exceeding 250MB

Deleting Submissions

If the previously submitted files needs to be withdrawn or deleted, select all the payment records and delete them or individually select the payment records to delete them

- Log into the Open Payments System
- Navigate to the Home>Payments and Submissions Overview page
- Select the organization, program year and payment type to display all the payment records submitted by the organization for the program year for the selected payment type
- On the View Payments page, search by the file ID that needs to be deleted
- Select all the payment records or individual records to be deleted and click on the 'Delete Selected'
- The system will prompt you to confirm if you want to proceed with the delete
- Click 'yes' and all the selected records will be deleted

Data Submission: Logical Representation



Review of Learning Objectives

- Users will be able to enter data manually through a graphic user interface or bulk upload it in XML or CSV files
- Schema and sample files for bulk uploads will be available in November 2013 on the Open Payments website
- Maximum file size for bulk uploads is 250MB
 - Files larger than 250MB need to be separated into multiple files
 - Processing time may vary depending on the file size

Review of Learning Objectives

- If the file is not uploaded successfully
 - User is notified immediately on-screen
 - User can resubmit the file
- If the file contains errors
 - Entity is notified of submission errors via email
 - Can resubmit the records that contained errors
- Submitted data must be attested before reporting is considered complete

What You Can Do Now

- Review webinar 1 on registration and decide who will serve in the submitter and attester roles for your organization
- Decide on whether to enter data manually or through bulk upload
- If choosing to bulk upload, decide what format to use (XML or CSV)
- Access sample files, instructions document and the mapping document from the Open Payments website
- Review additional resources on the CMS Open Payments website: <http://go.cms.gov/openpayments>
- Register on CMS listserv to receive e-mail updates about the Open Payments, such as when registration will open in early 2014

Available Resources

Future Webinars

- Webinar 3:
 - *Follow-up Session: Open Payments Registration and Data Submission Q&As*
 - An in-depth Q & A on data submission
 - December 3, 2013
 - Submit questions to OpenPayments@cms.hhs.gov by November 30.

Guidance & Educational Materials

- **Open Payments website**
<http://go.cms.gov/openpayments>
- **Open Payments webinar series**
 - “Events” page of the Open Payments website
- ***Open Payments User Guide For Industry***
 - “Program Fact Sheets and User Guide” page on the Open Payments website
 - Updated frequently to reflect new developments on Open Payments for industry users

Open Payments Support

Help Desk with technical support

- Email: OpenPayments@cms.hhs.gov
- Phone lines available in early 2014

Note: For questions regarding this webinar, reference “Data Submission Webinar” in the subject line

Communication and Outreach

- To receive periodic email updates about the Open Payments program, register with our listserv at the bottom of the <http://go.cms.gov/openpayments> page.

The screenshot shows the CMS.gov website. At the top left, there is a navigation menu with links for 'Definitions and Acronyms', 'OPEN PAYMENTS in the News', and 'Contact Us'. The main content area features a 'Downloads' section with a link to 'Affordable Care Act Section 6002 Final Rule [PDF, 606KB]'. Below this, it states 'Page last Modified: 09/30/2013 2:02 PM' and provides a link for 'Help with File Formats and Plug-Ins'. The footer contains the CMS.gov logo, the text 'A federal government website managed by the Centers for Medicare & Medicaid Services, 7500 Security Boulevard, Baltimore, MD 21244', and the HHS logo. On the bottom left, there are three columns of links: 'CMS & HHS Websites' (including Medicare.gov, MyMedicare.gov, StopMedicareFraud.gov, Medicaid.gov, InsureKidsNow.gov, HealthCare.gov, and HHS.gov/Open), 'Tools' (including Acronyms, Contacts, FAQs, Glossary, and Archive), and 'Helpful Links' (including Web Policies & Important Links, Privacy Policy, Plain Language, Freedom of Information Act, No Fear Act, HHS.gov, Inspector General, and USA.gov). On the bottom right, there is a 'Receive Email Updates' form with a text input field and a 'Submit' button, which is circled in red.

Q & A