



# **Open Payments –Data Submission Document Change Summary**

**Centers for Medicare & Medicaid Services**

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

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## 1 Introduction

This document lists the changes made to the Submission Data Mapping Document, the XML schema, and sample XML and CSV sample files. The changes are organized by the date the changes were made.

Yellow highlights indicate changes made to the documents. Green highlights indicate line reference numbers in the XML Schema.

## 2 Changes Made in April/May 2014

Below are the changes made to the Submission Data Mapping Document, the XML schema, and sample XML and CSV sample files in April/May 2014.

### 2.1 Changes to the Submission Data Mapping Document

This section lists the changes made to the Submission Data Mapping Document, a file entitled *Open.Payment.Submission.Data.Mapping.Document-April-May.2014.xlsx*.

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

- Data Element Name: Applicable Manufacturer or Applicable GPO Registration ID (DE#2)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
  
- Data Element Name: Recipient Country (DE#18)
  - Added Implementation Note (Column L) to: If the recipient country is the USA, you must spell it out (i.e., "United States")
  - Updated Required? (Column F) to: Yes IF available
  
- Data Element Name: Physician License State and License Number (DE#25)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]
  
- Data Element Name: NDC of Associated Covered Drug or Biological (DE#28)
  - Updated Field Size (Column G) to: 10 Char (no dashes) ; 12 Char (including dashes)
  
- Data Element Name: Name of Associated Covered Device or Medical Supply (DE#29)
  - Updated Field Size (Column G) to: < 100 Char
  
- Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Name (DE#30)

- Updated Definition / Description (Column C) to: 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 file contains a single Applicable Manufacturer/GPO's set of payment(s) and/or transfer(s) of value records (i.e. is not a consolidated report), this data element will be the same as reported in data element #1 for each record.

- Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Registration ID (DE#31)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
- Data Element Name: Resubmitted Payment Record ID (DE#32)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
- Data Element Name: Total Amount of Payment (DE#33)
  - Updated Field Size (Column G) to: ≤ 13 Char (including decimal point)
  - Updated Validation (Column H) to: Must have 2 digits after decimal

### 2.1.2 Changes to the Research Payment Tab

- Data Element Name: Applicable Manufacturer or Applicable GPO Registration ID (DE#2)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
- Data Element Name: Recipient Province (DE#20)
  - Updated Required? (Column F) to: Yes IF Recipient Country Line 19 is outside the United States AND Line 6 = "1," OR "2," OR "3"
- Data Element Name: Physician License State and License Number (DE#26)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]
- Data Element Name: NDC of Associated Covered Drug or Biological (DE#29)
  - Updated Field Size (Column G) to: 10 Char (no dashes); 12 Char (including dashes)
- Data Element Name: Applicable Manufacturer or Applicable GPO Making Payment Registration ID (DE#32)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits

- Data Element Name: Resubmitted Payment Record ID (DE#33)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
- Data Element Name: Principal Investigator Covered Recipient Physician Indicator (DE#43)
  - Updated CSV Field Name (Column K) to: PRINCIPAL\_INVESTIGATOR\_COVERED\_RECIPIENT\_PHYSICIAN\_INDICATOR
- Data Element Name: Principal Investigator Province (DE#70)
  - Updated Required?( Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 69 is outside the United States
- Data Element Name: Principal Investigator Postal Code (DE#71)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 69 is outside the United States
- Data Element Name: Principal Investigator License State and License Number (DE#75)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]
- Data Element Name: Principal Investigator Province (DE#86)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 85 is outside the United States
- Data Element Name: Principal Investigator Postal Code (DE#87)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 85 is outside the United States
- Data Element Name: Principal Investigator License State and License Number (DE#91)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]
- Data Element Name: Principal Investigator Province (DE#102)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 101 is outside the United States

- Data Element Name: Principal Investigator Postal Code (DE#103)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 101 is outside the United States
- Data Element Name: Principal Investigator License State and License Number (DE#107)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]
- Data Element Name: Principal Investigator Province (DE#118)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 117 is outside the United States
- Data Element Name: Principal Investigator Postal Code (DE#119)
  - Updated Required? (Column F) to: No unless indicating multiple Principal Investigators and Principle Investigator Country Line 117 is outside the United States
- Data Element Name: Principal Investigator License State and License Number (DE#123)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]

### 2.1.3 Changes to the Physician Ownership Tab

- Data Element Name: Ownership/Investment Physician's or Teaching Hospital NPI (DE#20)
  - Updated Data Element Name (Column B) to: Ownership/Investment Physician's NPI
  - Updated Definition/Description (Column C) to: Individual NPI for Physician (not NPI of any group physician belonging to)
  - Updated Required? (Column F) to: Yes if Physicians have an NPI
- Data Element Name: Ownership/Investment Physician's License State and License Number (DE#22)
  - Updated Format (Column E) to: Maximum of 5 pairs of the state and license number; AA-XXXXXXXXXXXXXXXXXX
  - Updated Field Size (Column G) to: ≤ 20 Char
  - Removed Implementation Note (Column L): [Deleted previous implementation note]

## 2.2 XML Schema Changes

### 2.2.1 Spelling Corrections Made to the XML Schema

The following spelling corrections were made to the file

*Open.Payments.XSD.Payment.Submission.Schema-April-May.2014.xsd*:

- `<xs:simpleType name="CoveredAndNonCoveredRecipientType">`
  - **Line 294** "3" = Non-covered Recipient Entity
- `<xs:simpleType name="PhysicianPrimaryPracticeType">`
  - **Line 311** "4" = Doctor of Podiatric Medicine (DPM)
- `<xs:simpleType name="PrincipalInvestigatorPhysicianPrimaryPracticeType">`
  - **Line 641** "4" = Doctor of Podiatric Medicine (DPM)
- `<xs:simpleType name="PaymentNatureType">`
  - **Line 420** "3" = Honorarium
- **Line 625** `<xs:simpleType name="ClinicalTrialsGovIdentifierType">`
- `<xs:simpleType name="ClinicalTrialsGovIdentifierType">`
  - **Line 628** clinical trials Gov identifier format AAA##### 11 char
- `<xs:complexType name="ResearchRelatedInfoType">`
  - **Line 909** `<xs:element name="clinicalTrialsGovIdentifier"`
- `<xs:complexType name="ResearchPaymentRecipientDemographicInfoType">`
  - **Line 868** `<xs:element name="coveredAndNonCoveredRecipient"`

### 2.2.2 Deletions made to the XML Schema

The following deletions were made to the file *Open.Payments.XSD.Payment.Submission.Schema-April-May.2014.xsd*:

- `<xs:simpleType name="USStateOrTerritoryType">`
  - **Line 498** `<xs:enumeration value="CM"/>`

## 2.3 Changes Made to XML Sample Files

The following XML sample files were re-created to reflect changes made to the XSD Schema:

- *XML.Sample.File-General.Payment-April-May.2014.xml*
- *XML.Sample.File-Ownership.or.Investment.Interest-April-May.2014.xml*

- *XML.Sample.File-Research.Payment-April-May.2014.xml*

## 2.4 Changes Made to CSV Sample Files

The following changes were made to the .CSV Sample Files.

Changes to *CSV.Sample.File-General.Payments-April-May.2014.csv*:

- Column Name: APPLICABLE\_MANUFACTURER\_OR\_APPLICABLE\_GPO\_NAME
  - The values for this column have been changed to 'ABCDE Manufacturer/ FGHIJ Group Purchasing Organization'
- Column Name: RECIPIENT\_COUNTRY
  - The values for this column have been changed to 'United States/United States'
- Column Name: TOTAL\_AMOUNT\_OF\_PAYMENT
  - The values for this column have been changed to '45.00/30.00'
- Column Name: NATURE\_OF\_PAYMENT\_OR\_TRANSFER\_OF\_VALUE
  - The values for this column have been changed to '7|7'
- Column Name: COUNTRY\_OF\_TRAVEL
  - The values for this column have been changed to 'US'
- Column Name: PHYSICIAN\_OWNERSHIP\_INDICATOR
  - The values for this column have been changed to 'Y/blank'
- Column Name: DELAY\_IN\_PUBLICATION\_OF\_RESEARCH\_PAYMENT\_INDICATOR
  - The values for this column have been changed to '1|1'

Changes to *CSV.Sample.File-Research.Payments-April-May.2014.csv*:

- Column Name: APPLICABLE\_MANUFACTURER\_OR\_APPLICABLE\_GPO\_NAME
  - The value for this column has been changed to 'ABCDE Manufacturer'
- Column Name: COVERED\_RECIPIENT\_PHYSICIAN\_NAME\_SUFFIX:
  - The value for this column has been changed to 'Blank'
- Column Name: RECIPIENT\_STATE:
  - The value for this column has been changed to 'MA'
- Column Name: RECIPIENT\_COUNTRY:
  - The value for this column has been changed to 'United States'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_NAME\_SUFFIX:
  - The value for this column has been changed to 'Blank'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_COUNTRY:
  - The value for this column has been changed to 'United States'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_ZIP\_CODE:
  - The value for this column has been changed to '230211034'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_NPI:
  - The value for this column has been changed to '45454512345'



- Column Name: PRINCIPAL1\_INVESTIGATOR\_SPECIALTY:
  - The value for this column has been changed to '207R00000X'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_LICENSE\_STATE\_AND\_LICENSE\_NUMBER\_1:
  - The value for this column has been changed to 'MA-1245662'
- Column Name: PRINCIPAL1\_INVESTIGATOR\_LICENSE\_STATE\_AND\_LICENSE\_NUMBER\_2:
  - The value for this column has been changed to 'MA-1665578'
- Column Name: PRINCIPAL\_INVESTIGATOR\_COVERED\_RECIPIENT\_PHYSICIAN\_INDICATOR:
  - The value for this column has been changed to 'Y'

Changes to *CSV.Sample.File-Physican.Owner.Investor-April-May.2014.csv*:

- Column Name: OWNERSHIP\_INVESTMENT\_PHYSICIAN\_S\_COUNTRY:
  - The value for this column was changed to 'United States'
- Column Name: OWNERSHIP\_INVESTMENT\_PHYSICIAN\_S\_NAME\_SUFFIX:
  - The value for this column was changed to 'Jr'

### 3 Changes Made in May/June 2014

Below are the changes made to the Submission Data Mapping Document and CSV sample files in May/June 2014.

#### 3.1 Changes to the Submission Data Mapping Document

This document lists the changes made to the Submission Data Mapping Document, a file entitled *Open.Payment.Submission.Data.Mapping.Document-May-June.2014.xlsx*.

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

- Data Element Name: Recipient Country (DE#18)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
- Data Element Name: Physician or Teaching Hospital NPI (DE#23)
  - Updated Required? (Column F) to: Yes IF available
- Data Element Name: Country of Travel (DE#40)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States

### 3.1.2 Changes to the Research Payment Tab

- Data Element Name: Recipient Country (DE#19)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
  
- Data Element Name: Principal Investigator First Name (DE#44)
  - Updated Definition/Description (Column B) to: Textual first name of the Principal Investigator(s) of the research study, if the Principal Investigator is a Covered Recipient Physician.  
  
If the Principal Investigator is the same as the Covered Recipient Physician receiving the payment (identified in data elements 10-13), this information must be duplicated for the Principal Investigator fields (Data Elements 44-60).
  
- Data Element Name: Principal Investigator Business Street Address Line 1 (DE#48)
  - Updated Definition/Description (Column B) to: The first line of the primary business street address of the Principal Investigator of the research study, if the Principal Investigator is a Covered Recipient Physician.
  
- Data Element Name: Principal Investigator Country (DE#53)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
  
- Data Element Name: Principal Investigator Province (DE#54)
  - Updated Required? (Column F) to: Yes IF Principal Investigator Country Line 53 is outside the United States
  
- Data Element Name: Principal Investigator Postal Code (DE#55)
  - Updated Required? (Column F) to: Yes IF Principal Investigator Country Line 53 is outside the United States
  
- Data Element Name: Principal Investigator Physician Primary Type (DE#56)
  - Updated Definition/Description (Column C) to: Primary type of medicine practiced by the Principal Investigator.
  
- Data Element Name: Principal Investigator Specialty (DE#58)

- Updated Definition/Description (Column C) to: Principal Investigator's single specialty chosen from "provider taxonomy" code list.
- Data Element Name: Principal Investigator License State and License Number (DE#59)
  - Updated Definition/Description (Column C) to: Paired state and state license number of the Principal Investigator, who is a physician covered recipient; the pairing includes the 2 letter state abbreviation, followed by a hyphen, followed by the state license number and may include up to 5 "Physician License State and License Number" pairs. If a Principal investigator is licensed in multiple states, provide only one state and license number pair.
  - Updated Field Size (Column G) to: ≤ 20 Char
- Data Element Name: Principal Investigator Country (DE#69)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
- Data Element Name: Principal Investigator First Name (DE#76)
  - Updated Definition/Description (Column B) to: Textual first name of the Principal Investigator(s) of the research study, if the Principal Investigator is a Covered Recipient Physician.
  - If the Principal Investigator is the same as the Covered Recipient Physician receiving the payment (identified in data elements 10-13), this information must be duplicated for the Principal Investigator fields (Data Elements 76-91).
- Data Element Name: Principal Investigator Country (DE#85)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
- Data Element Name: Principal Investigator First Name (DE#92)
  - Updated Definition/Description (Column B) to: Textual first name of the Principal Investigator(s) of the research study, if the Principal Investigator is a Covered Recipient Physician.
  - If the Principal Investigator is the same as the Covered Recipient Physician receiving the payment (identified in data elements 10-13), this information must be duplicated for the Principal Investigator fields (Data Elements 92-107).

- Data Element Name: Principal Investigator Country (DE#101)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
  
- Data Element Name: Principal Investigator First Name (DE#108)
  - Updated Definition/Description (Column B) to: Textual first name of the Principal Investigator(s) of the research study, if the Principal Investigator is a Covered Recipient Physician.  
  
If the Principal Investigator is the same as the Covered Recipient Physician receiving the payment (identified in data elements 10-13), this information must be duplicated for the Principal Investigator fields (Data Elements 108-123).
  
- Data Element Name: Principal Investigator Country (DE#117)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States

### 3.1.3 Changes to the Physician Ownership Tab

- Data Element Name: Ownership/Investment Physician's Country (DE#15)
  - Updated Field Size (Column G) to: 2 Char \*For US only, you can enter US or United States
  - Updated Validation (Column H) to: Must be exactly 2 char abbreviation of country \*For US only, you can enter US or United States
  - Added Implementation Note (Column L) to: \*For US only, you can enter US or United States
  
- Data Element Name: Applicable Manufacturer or Applicable GPO Reporting Ownership Registration ID (DE#24)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits
  
- Data Element Name: Resubmitted Ownership Record ID (DE#25)
  - Updated Field Size (Column G) to: System generated :≤ 38 digits

## 3.2 XML Schema Changes

No changes were made to the XML Schema.

## 3.3 Changes Made to XML Sample Files

No changes were made to the XML sample files.

### **3.4 Changes Made to CSV Sample Files**

The three CSV sample files were revised to match the changes in the formatting of the Submission Data Mapping Document described in Section 3.1.

The General Payments CSV sample file also now includes two rows of data. One row refers to a physician, while the other refers to a teaching hospital. This provides a fuller example of how to fill out the General Payments CSV file.