

Open Payments System Quick Reference Guide

Data Submission Documents and Resources

September 2020

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
Program Year (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 and Onwards CSV Sample File: Physician Owner/Investor	A CSV sample file to be used for submitting ownership/investment interests for PY 2013 and onwards. Note that this CSV Sample File for Physician Owner/Investor records applies to all program years.
PY 2016-2020 CSV Sample File: General Payments	A CSV sample file to be used for submitting general payments for PY 2016-2020.

Resource Name	Description
PY 2016-2020 CSV Sample File: Research Payments	A CSV sample file to be used for submitting research payments for PY 2016-2020.

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 AM/GPO Registration and Submission	An overview of Open Payments registration, data submission, and attestation process for reporting entities.

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 2016-2020 Submission Data Mapping Document	Program Year 2016-2020 data collection and submission spreadsheet that maps each data element to the corresponding CSV field names.
Change Summary: PY 2016-2020 Submission Data Mapping Document	Describes the changes made to PY 2016-2020 Submission Data Mapping Document since it was last updated.

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.
Open Payments User Guide for Reporting Entities Chapter 4: Data Submission and Attestation	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	<p>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 through 2019, whether the payment record was published or not. The Validated Physician List provides the names, NPIs, and state license information for each physician listed.</p> <p>There is also an additional Validated Physician Supplemental List Without NPI that identifies physicians who do not have an NPI and have been reported on in the Open Payments system to assist with reporting.</p> <p>Note: The Validated Physician List is a downloadable CSV file and is only accessible within the Open Payments system on the “Submissions” page.</p>
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.
List of Drug Names and National Drug Codes (NDC)	A CSV reference file and Instructions document PDF are zipped together and made available to all users. This provides a reference tool to include Drug and National Drug Code (NDC) information when reporting payments in the Open Payments System. The List of Drug Names and National Drug Codes is located with the Open Payments system under the “Resources” tab.

Final Submission & Attestation Resources

Resource Name	Description
Quick Reference Guide: Final Submission and Attestation	Instructions for completing final submission and attestation. The Quick Reference Guide: Final Submission and Attestation is located on the Resources page of the CMS Open Payments website.
Attestation Language	A list of all attestation statements listed in the Open Payments system. The Attestation Language is located on the Resources page of the CMS Open Payments website.
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. The Error Code Key is located on the Resources page of the CMS Open Payments website.
Open Payments User Guide for Reporting Entities Chapter 4: Data Submission and Attestation	Contains detailed step-by-step instructions, including screenshots, for completing final submission and attestation. The Open Payments User Guide for Reporting Entities Chapter 4: Data Submission and Attestation is located within the Open Payments system under the “Resources” tab and on the Resources page of the CMS Open Payments website.

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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OPEN PAYMENTS

CREATING PUBLIC TRANSPARENCY
INTO INDUSTRY-PHYSICIAN
FINANCIAL RELATIONSHIPS