

Screen Shots Submission Flow

The screen shots below illustrate the workflow (submission + Attestation) of a user uploading a file containing general payments records.

File Upload-General Payments

The screenshot displays the CMS.gov Enterprise Portal interface. At the top, there is a navigation bar with links for 'Portal Help & FAQs', 'Print', 'Log Out', and a user greeting 'Welcome Kahled Masud'. Below this is the 'CMS.gov Enterprise Portal' header. A secondary navigation bar includes 'My Portal' and 'Open Payments'. The main content area is titled 'Open Payments' and features a navigation menu with the following items: 'Home', 'Payments' (selected), 'Manage Organizations', 'My Profile', and 'Help'. The 'Payments' menu is expanded, showing 'View, edit & report (transfers of value)', 'View, Edit, or Attest Payments', 'Upload Files', and 'Enter Payments Manually'. The 'Upload Files' option is highlighted, leading to an 'Upload' section. This section contains instructions for uploading files, including a note that fields with asterisks are required, a description of reporting payments (either by file upload or manual entry), and a list of steps for successful data upload: 1) Ensure valid file format (CSV or XML), 2) Fill out and review data for accuracy, 3) Browse and upload the correct file, and 4) Repeat steps 1-4 for multiple files. A link to 'Sample Files' is provided.

Home > Upload Files

Upload

A field with an asterisk (*) is required.

Report payments (transfer of value) either by uploading a file or by entering a single payment manually. After you upload the file and submit the file, you will see a confirmation message. You can then go to View Records to see your recently uploaded files when they have finished uploading.

First, please perform a test of the file by selecting Test File Submission. You can then proceed to upload the appropriate file for the payment category (Research, Nonresearch, and Ownership/Investment Interest).

To successfully upload the data:

First, 1) Make sure each file you are submitting is in a valid file format (CSV or XML). If needed, you may download the latest Open Payments submissions sample files from this link [Sample Files](#)

Second, Fill out and review your data for accuracy, completion, and valid field formatting.

Third, Browse and upload the correct file, then click "Submit File to Open Payments".

Fourth, Repeat steps 1-4 if you are uploading multiple files.

<https://portal7.cms.cms.gov/egovportal/egovportal/req/submit/cv/NCduFFhRR5n1lm3Med1MIVn...>

[Type here]

Select criteria for file upload

More about updating records can be found in the [Open Payments User Guide](#).

Upload Payments

When you upload a payment file, you must first identify the payment category. You can upload more than one file, but no file can be larger than 250 MB.

*Payment Category

*Entity

*Program Year

*File

Must be a valid .csv or .xml or a .zip file. Maximum of 250MB per file.

Successful File Upload

More about updating records can be found in the [Open Payments User Guide](#).

Upload Payments

When you upload a payment file, you must first identify the payment category. You can upload more than one file, but no file can be larger than 250 MB.

File Successfully Uploaded.

*Payment Category

*Entity

*Program Year

*File

Must be a valid .csv or .xml or a .zip file. Maximum of 250MB per file.

[Type here]

Payments passed file level validation check and ready for FINAL Submission

99CA LP

Program Year 2014

Research Payments [View All](#)

Statuses		Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	0	

General Payments [View All](#)

Statuses		Action Required
Ready for Submission	5	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	5	

Final Submission Button Enabled for final Submission

Overriding the status of records signifies that you have reviewed the submitted record(s) and, upon review the information is accurate to the best of your knowledge.

For more information on how to edit and submit the records, please see the [Open Payments User Guide](#).

Statuses [Refresh Statuses](#)

Statuses		Action Required
Ready for Submission	5	Final Submission Final Submission for All General Payments
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	5	

[Back to View Records](#)

Record Status : **File ID :** **Open Payment ID :** **Recipient Type**

Attested
 Ready for Submission
 System Processing

Override Status : **Home System Payment ID :** **Input Method :** Manual Upload Files

Covered Recipient
 Covered Recipient
 Non-Physician Teaching
 Non-covered Recipient
 Non-covered Recipient
 Non-covered Recipient
 Hospital Entity
 Individual

Report Type Single Consolidated [Search](#) [Clear All](#)

[Type here]

Final Submission Confirmation

Home
Payments
View, edit & report (transfers of value)
Manage Organizations
Register, edit and nominate roles
My Profile
Account, Roles, Notifications
Help

Confirm Final Submission

2014 General Payments

Please confirm you are making the final Submission for this category.

2014 General Payments

99CA LP

Total Value : 32.6

Kahled Masud
title
[Thu Apr 10 11:16:36 EDT 2014]

Cancel
Submit as Final Submissi

? Need help with the web site? **Contact us** by phone or email.

➔ **Download** the Open Payments User Guide (PDF .525kb)

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[CMS.gov](#) | Enterprise Portal

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CMS Enterprise Portal Links
[Portal Help & FAQs](#)

Helpful Links
[Web Policies & Important Links](#)
[Privacy Policy](#)

Post Final Submission Confirmation

Home > Payments >

View Records

Below are the records reported by the entity and categorized by status. Each status has a corresponding action related to it. The details of each action for each corresponding status can be found in the [Open Payments User Guide](#).

99CA LP

- You have successfully submitted your records in to Open Payments.

Program Year 2014

Research Payments View All

Statuses	Count	Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	0	

General Payments View All

Statuses	Count	Action Required
Ready for Submission	0	Final Submission

? Need help with the web site? **Contact us** by phone or email.

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Help with this Page

[Status Definitions](#)

[How do I begin attestation?](#)

[What do I do if payments fail validation?](#)

4

[Type here]

Begin Attestation

Total Payments: 0

General Payments View All

Statures		Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	18	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
Attested	17	No Action
Matching in Progress	0	No Action
Total Payments	35	

Ownership or Investment Interest Category Payments View All

Statures		Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	0	

[Begin Attestation of All Records](#)

Attestation-Confirm Payments

My Portal Open Payments ▾

CMS Portal > Open Payments > Registration 2

Open Payments

Attest

- ① Confirm Payments
- ② Add Assumptions
- ③ Agree to Attestations
- ④ Review and Attest

[Home](#) > [Payments](#) > [View Records](#) > Attest

Confirm Payments

Select "Go to View Records" to review and confirm the submitted records, or click "Next" to move to the next page.

2013 Program Year

Stanley E Paregien

Payments Being Attested 18 payments (transfers of value)

Total Value : \$226.25 [Go to View Records](#)

[Cancel](#)
[Next](#)

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CMS Enterprise Portal Links
Helpful Links

[Type here]

Add Assumptions Yes/No?

The screenshot shows the CMS Enterprise Portal interface. At the top, there is a navigation menu with tabs for Home, Payments (View, edit & report (transfers of value)), Manage Organizations (Register, edit and nominate roles), My Profile (Account, Roles, Notifications), and Help. Below the navigation is a breadcrumb trail: Home > Payments > View Records > Attest. The main content area is titled 'Add Assumptions' and includes a sub-header '2013 Program Year Stanley E Paregien'. A note states: 'An asterisk(*) indicates a required field.' Below this is a question: '* Do you wish to include assumptions with this attestation?' followed by explanatory text. There are two radio button options: 'Yes, include an assumptions statement' and 'No, do not include an assumptions statement (you can add this later if necessary, but only up to the submission deadline for the program year)'. At the bottom of the form area are 'Cancel', 'Back', and 'Next' buttons. The footer contains the CMS.gov logo, 'Enterprise Portal', and contact information for the Centers for Medicare & Medicaid Services.

Add Assumptions- Yes workflow

This screenshot shows the 'Add Assumptions' page with the 'Yes, include an assumptions statement' radio button selected. The 'No' option is also visible. Below the radio buttons is a section titled 'Assumptions' with the text: 'By default, the assumptions statement applies to all payments (transfers of value) being attested to.' This is followed by a large, empty text input area. At the bottom of the form area are 'Cancel', 'Back', and 'Next' buttons. The footer is identical to the previous screenshot, showing the CMS.gov logo and contact information.

[Type here]

Assumptions Added

Agree To Attestation

[Type here]

Agree to Attestation_Cont

Assumptions

[View the Assumptions](#)

Attestation Agreement

Please confirm your agreement to the statement(s) below:

- 1. I am attesting that I am a Chief Executive Officer, Chief Financial Officer, Chief Compliance Officer, or other Officer of the applicable manufacturer or applicable group purchasing organization with the authority to attest to the information submitted to the Open Payments system.
- 2. I am attesting that the information reported is timely, accurate, and complete to the best of my knowledge and belief.
- 3. I am attesting that my entity is only reporting payments or other transfers of value associated with covered drugs, devices, biologicals, or medical supplies based on one or more of the reasons listed below. If yes to statement 3 above, indicate the reason by selecting at least one of the following reporting limitation statements:
 - a. My entity's gross revenue from covered drugs, devices, biologicals or medical supplies constituted less than 10 percent of gross revenue during the fiscal year preceding the reporting year.
 - b. My entity is under common ownership, as defined by 42 C.F.R. 403.902, with an applicable manufacturer and provides assistance or support to an applicable manufacturer with respect to the production, preparation, propagation, compounding, conversion, marketing, promotion, sale or distribution of a covered drug, device, biological, or medical supply. Therefore, my entity is only required to report payments or other transfers of value associated with covered drugs, devices, biologicals or medical supplies which my entity provided assistance and support to an applicable manufacturer.
 - c. My entity has a separate operating division that does not manufacture any covered drugs, devices, biological, or medical supplies. Therefore, my entity is only required to report payments or other transfer of value to covered recipients related to the activities of these separating operating divisions if those payments or other transfers of value are related to a covered drug, device, biological, or medical supply.

Agree to Attestation_Cont

- d. The only covered drug, device, biological or medical supply manufactured by my entity is pursuant to a written agreement to manufacture a covered drug, device, biological, or medical supply for another entity. My entity does not hold the FDA approval, licensure, or clearance for the covered drug, device, biological, or medical supply, and is not involved in the sale, marketing, or distribution of the covered drug, device, biological or medical supply. Therefore, my entity is only required to report payments or other transfers of value that are related to one or more covered drugs, devices, biologicals, or medical supplies.
- e. My entity only manufactures covered drugs, devices, biologicals, or medical supplies.

4. I am attesting that my entity is requesting a delay in publication for one or more payments or other transfers of value. If yes to statement 4 above, indicate one or more of the reasons listed below.


- a. The payment or other transfer of value is related to research or development of a new drug, device, biological, or medical supply.
- b. The payment or other transfer of value is related to research or development of a new application of an existing drug, device, biological, or medical supply.
- c. The payment or other transfer of value is related to clinical investigations regarding a new drug, device, biological, or medical supply.

5. I am attesting that my entity is submitting a consolidated report because it is under common ownership, as defined by 42 C.F.R. 403.902, with a separate entity or entities that are also applicable manufacturers.

Muraly Dharan
Officer
4/10/2014 1:37 PM

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[Type here]

Review and Attest

Home > Payments > View Records > Attest

Attest

- ✓ Confirm Payments
- ✓ Add Assumptions
- ✓ Agree to Attestations
- ④ Review and Attest

Review and Attest

Please review and agree to the attestation below.
The assumptions included, if any, with the payments or other transfers of value, or ownership or investment interest for the 2013 program year data submission are provided below. You can view the assumptions by selecting "View Assumptions" or make edits to the assumptions by selecting "Update Assumptions."
Select the appropriate attestation statements, and confirm your attestation by clicking "Attest." Or, click "Back" to go back and make corrections to the previous pages.
Note: Assumptions for an entity can only be entered and edited by a user with an attester role. Assumptions entered during the initial attestation can be updated and additional assumptions can be entered at any time, but doing so will require re-attestation. If assumptions were not entered during the initial attestation, the user will not be able to add assumptions later.

2013 Program Year

Stanley E Paregien

Payments Being Attested	18 payments (transfers of value)
Total Value :	\$226.25

[View the Assumptions](#)

Attestation Agreement

I am attesting that I am a Chief Executive Officer, Chief Financial Officer, Chief Compliance Officer, or other Officer of the applicable manufacturer or applicable group purchasing organization with the authority to attest to the information submitted to the Open Payments system.

I am attesting that the information reported is timely, accurate, and complete to the best of my knowledge and belief.

I am attesting that my entity is only reporting payments or other transfers of value associated with covered drugs, devices, biologicals, or medical supplies based on one or more of the reasons listed below.

My entity gross revenue from covered drugs, devices, biologicals or medical supplies constituted less than 10 percent of gross revenue during the fiscal year preceding the reporting

Review and Attest

[View the Assumptions](#)

Attestation Agreement

I am attesting that I am a Chief Executive Officer, Chief Financial Officer, Chief Compliance Officer, or other Officer of the applicable manufacturer or applicable group purchasing organization with the authority to attest to the information submitted to the Open Payments system.

I am attesting that the information reported is timely, accurate, and complete to the best of my knowledge and belief.

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My entity gross revenue from covered drugs, devices, biologicals or medical supplies constituted less than 10 percent of gross revenue during the fiscal year preceding the reporting year.

I am attesting that my entity is requesting a delay in publication for one or more payments or other transfers of value.

The payment or other transfer of value is related to research or development of a new drug, device, biological, or medical supply.

I am attesting that my entity is submitting a consolidated report because it is under common ownership, as defined by 42 C.F.R. 403.902, with a separate entity or entities that are also applicable manufacturers.

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Officer
4/10/2014 1:37 PM

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[Type here]

Records shown as attested

General Payments		View All
Statures		Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
Attested	35	No Action
Matching in Progress	0	No Action
Total Payments	35	

Ownership or Investment Interest Category Payments		View All
Statures		Action Required
Ready for Submission	0	Final Submission
System Processing	0	No Action
Ready for Attestation	0	Attest
Failed Validation	0	Correction
Unmatched	0	Correction or Override
Returned to submitter	0	Correction or Override
ATTESTED	0	No Action
Matching in Progress	0	No Action
Total Payments	0	

[View Attestation](#)