

# 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 breadcrumb trail shows 'CMS Portal > Open Payments > Registration 2'. The main heading is 'Open Payments'. A navigation menu includes 'Home', 'Payments' (with sub-options: 'View, edit & report (transfers of value)', 'View, Edit, or Attest Payments', and 'Upload Files'), 'Manage Organizations' (with sub-option: 'Register, edit and nominate roles'), 'My Profile' (with sub-option: 'Account, Roles, Notifications'), and 'Help'. The 'Upload Files' option is highlighted, leading to the 'Upload' page. The page content includes instructions for reporting payments, a warning about asterisks in file names, and a list of steps for successful data upload: 1) Verify 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 URL is visible at the bottom of the page.

Portal Help & FAQs Print Log Out Welcome Kahled Masud

CMS.gov Enterprise Portal

My Portal Open Payments

CMS Portal > Open Payments > Registration 2

### Open Payments

Home Payments Manage Organizations My Profile Help

View, edit & report (transfers of value) Register, edit and nominate roles Account, Roles, Notifications

View, Edit, or Attest Payments

Home > Upload Files

Upload Files

### Upload

Enter Payments Manually

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.cmsual/wps/portal/cmsportal/en/en\\_res/hub/63/cv/NCduFFhRR5n1lm3Med1MI1Vn...](https://portal7.cms.cmsual/wps/portal/cmsportal/en/en_res/hub/63/cv/NCduFFhRR5n1lm3Med1MI1Vn...)

[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	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	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	Count	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 for All General Payments**

**Back to View Records**

**Record Status :** Please Select  
 Attested  
 Ready for Submission  
 System Processing

**File ID :**

**Open Payment ID :**

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

**Override Status :** All Statuses

**Home System Payment ID :**

**Input Method :**  Manual Entry  Upload Files

**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]



CMS Enterprise Portal Home

CMS.gov | Enterprise Portal

A federal government website managed by the Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Baltimore, MD 21244



**CMS Enterprise Portal Links**

[Portal Help & FAQs](#)

**Helpful Links**


[Web Policies & Important Links](#)

[Privacy Policy](#)

### Post Final Submission Confirmation

Home > Payments >

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

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

## 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**

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**

Statuses	Count	Action Required
Ready for Submission	0	Final Submission

**Help with this Page**

[Status Definitions](#)

[How do I begin attestation?](#)

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

[Type here]

## Begin Attestation

Total Payments: 0

### General Payments View All

Statuses		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
<b>Total Payments</b>	<b>35</b>	

### Ownership or Investment Interest Category 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
<b>Total Payments</b>	<b>0</b>	

[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

[CMS Enterprise Portal Home](#)

**CMS.gov** | Enterprise Portal

A federal government website managed by the Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Baltimore, MD 21244

[CMS Enterprise Portal Links](#)
[Helpful Links](#)

[Type here]

### Add Assumptions Yes/No?

The screenshot shows the 'Add Assumptions' page in the CMS Enterprise Portal. The navigation bar includes 'Home', 'Payments' (View, edit & report (transfers of value)), 'Manage Organizations' (Register, edit and nominate roles), 'My Profile' (Account, Roles, Notifications), and 'Help'. A breadcrumb trail reads 'Home > Payments > View Records > Attest'. On the left, an 'Attest' sidebar contains a list of steps: 'Confirm Payments', 'Add Assumptions' (highlighted with a blue bar and a circled '2'), 'Agree to Attestations', and 'Review and Attest'. The main content area is titled 'Add Assumptions' and includes a note: 'An asterisk(\*) indicates a required field.' Below this is the heading '2013 Program Year Stanley E Paregien'. A question is posed: '\* Do you wish to include assumptions with this attestation?' followed by explanatory text and a link to the 'Open Payments User Guide'. A note states: '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 no assumptions were entered during initial attestation, the user will not be able to add assumptions later.' Two radio buttons are provided: 'Yes, include an assumptions statement' (selected) 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 Enterprise Portal Home logo, the CMS.gov Enterprise Portal logo, and the text: 'A federal government website managed by the Centers for Medicare & Medicaid Services 7500 Security Boulevard, Baltimore, MD 21244'.

### Add Assumptions- Yes workflow

The screenshot shows the 'Assumptions' workflow page. It features a 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 no assumptions were entered during initial attestation, the user will not be able to add assumptions later.' Below the note are two radio buttons: 'Yes, include an assumptions statement' (selected) 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)'. The heading 'Assumptions' is followed by the text: 'By default, the assumptions statement applies to all payments (transfers of value) being attested to.' Below this text is a large, empty rectangular text area for entering assumptions. At the bottom of the form area are 'Cancel', 'Back', and 'Next' buttons. The footer contains the CMS Enterprise Portal Home logo, the CMS.gov Enterprise Portal logo, and the text: 'A federal government website managed by the Centers for Medicare & Medicaid Services 7500 Security Boulevard, Baltimore, MD 21244'.



[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

[CMS Enterprise Portal Home](#) **CMS.gov** | Enterprise Portal

A federal government website managed by the Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Baltimore, MD 21244





[Type here]

## Review and Attest

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

<b>Payments Being Attested</b>	18 payments (transfers of value)
<b>Total Value :</b>	\$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 year.

## 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.

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 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.

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

[CMS Enterprise Portal Home](#) **CMS.gov** | Enterprise Portal

A federal government website managed by the Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Baltimore, MD 21244



[Type here]

### Records shown as attested

General Payments		<a href="#">View All</a>
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		<a href="#">View All</a>
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](#)