

Open Payments System Enhancements

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1 Overview

The Open Payments system (OPS) has undergone a significant upgrade. The new system, OPS 2.0, provides the same components, functions, and services as the original system, OPS 1.0, but with multiple enhancements. This modern cloud-based system offers an updated user interface, improved navigation and optimized screen design.

This document outlines the most significant changes between OPS 1.0 and the new OPS 2.0, including:

1. The new log-in URL and streamlined process for registered users:
<https://openpayments.system.cms.gov/>.
2. Enhancements to user account management process.
3. Enhancements to data submission screens.
4. General navigation and screen layout improvements.

An updated User Guide for Reporting Entities and an updated User Guide for Covered Recipients provide s full details of OPS 2.0 updates.

We encourage users to log in to ensure accessibility and become familiar with the updates in advance of data submissions.

2 Login, Registration and User Role Management Enhancements

This section describes the changes to the system access process for existing OPS users who registered in OPS 1.0 and new users who are registering for the first time in OPS 2.0. It also summarizes updates to user profile and role management functions.

2.1 Existing User Login

Existing users who registered in OPS 1.0 do not need to re-register in OPS 2.0.

They can use the same username, password, and Multi-Factor Authentication (MFA) preferences to log in to OPS 2.0. However, the system is accessed via a new URL:

<https://openpayments.system.cms.gov/> (see *Figure 1*). All the existing user account data and settings were migrated from OPS 1.0 to OPS 2.0.

User accounts are locked after 60 or more days of inactivity. If users log in after 60 days, the system displays the "Unlock My Account" view. To regain access, follow the steps below:

1. Enter the user ID and correctly answer all challenge questions.

2. Enter a new password in the input fields of "New Password" and "Confirm New Password". If the account does not reactivate, contact the Open Payments Help Desk at 1-855-326-8366. For the TTY line, call 1-844-649-2766.

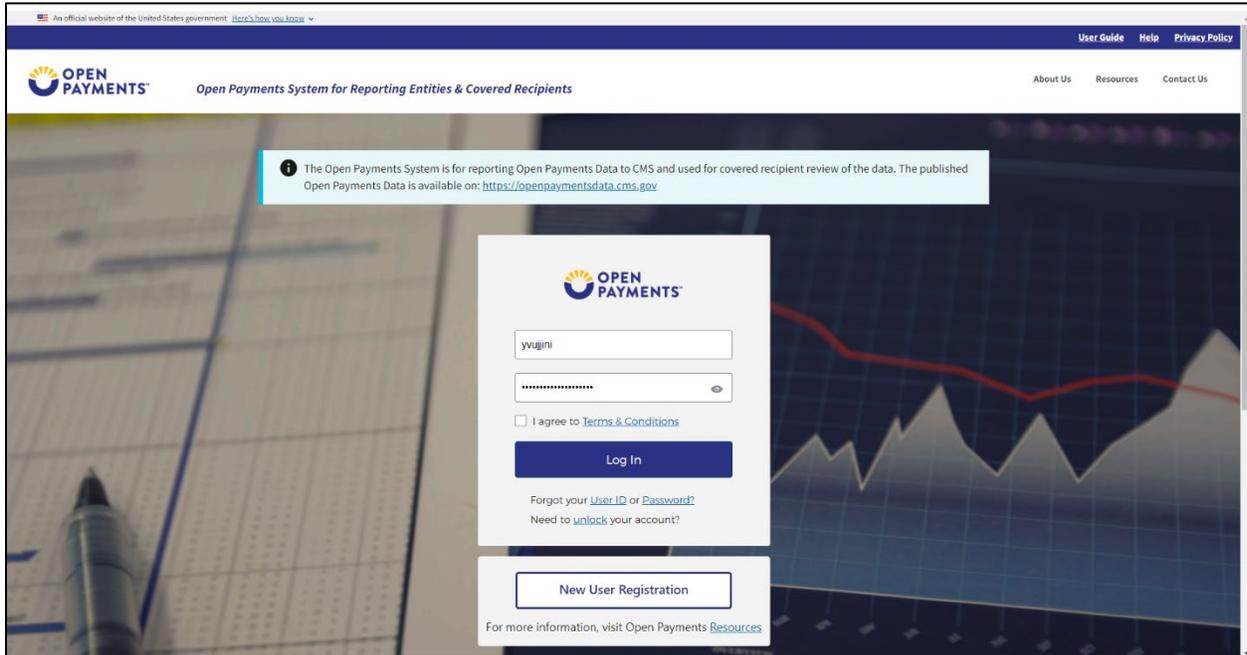


Figure 1: OPS 2.0 Log in Page

2.2 New User Registration

New users who did not have an account in OPS 1.0 and will be registering for the first time in OPS 2.0 will need to follow a two-part registration process:

1. Establish a user profile and request a user role in CMS's Enterprise Portal Identity Management System (IDM).
 - a. Complete the identity verification if required for your role.
2. Create a profile in the Open Payments system.

Steps to complete both parts of the new user registration process are as follows:

1. Select "New User Registration" on the system landing page at <https://openpayments.system.cms.gov/>,. This directs you to CMS Enterprise Portal (<https://portal.cms.gov>) to complete the first part of the registration process.

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2. Select "New User Registration" on CMS Enterprise Portal Page. A new "Select Your Application" page opens. On that page, select "Open Payments" from the drop-down menu, check the "Agree to terms and conditions" box and select "Next".
3. Fill in all required user information and select "Next". A confirmation banner with the Enterprise Portal log-in link appears. Follow the instructions to log in to the CMS Enterprise Portal.
4. Select the appropriate user role for your desired access type and follow instructions on the screen to complete user role request. You will receive a confirmation email when your user role is established.
5. After receiving the confirmation email, return to <https://openpayments.system.cms.gov/> and use the credentials created in the previous steps to log in.
 - a. If you selected the role: Reporting Entity Officer or Teaching Hospital Authorized Official, you will be required to complete the Experian identification verification process.
 - b. Next, follow the on-screen instructions to complete the second part of the registration process in the Open Payments system.

2.3 OPS User Account Management

The "My IDM Portal Profile" page allows users to make updates to their profile settings. If needed, users can update their IDM profiles in OPS 2.0 by selecting "My IDM Portal Profile" page in the menu drop down under their name. OPS 2.0 redirects users to the IDM Enterprise Portal My Profile page to modify their MFA options and password. During this process, the user remains logged in to OPS 2.0 and can continue to use the system.

2.4 "Create Profile", "Manage Roles", and "Manage Entities" Enhancements

OPS 2.0 features collapsible help text and organizes individual data entry sections into a workflow. For example, the covered recipient workflow in OPS 1.0 was one continuous form, while OPS 2.0 includes individual sections for personal information, covered recipient information such as Primary type, Taxonomy Code, License information, and Authorized Representative nomination.

- The "Create Profile", "Manage Roles", and "Manage Entities" sections feature a vertical navigation panel that shows the user where they are in the process and the status of each section. The panel allows users to quickly navigate across sections.
- When making changes to their information in OPS 1.0, the "Modify" button navigated users to a new "edit mode" page. OPS 2.0 replaces these pages with pop-up screens that appear

faster and, when closed, retain the user's place in the system. Once the user closes the modal, they can resume their previous work.

- The OPS 1.0 system displayed errors after the users completed the screen and selected the 'Continue' button. OPS 2.0 displays error messages immediately when the user exits a field.

Profile Details
Your profile information is provided below. To modify your profile information, select the "Update Profile" button.

Basic Information

First Name * John	Middle Name	Last Name * Doe	Suffix (Jr., Sr., etc.)
-----------------------------	--------------------	---------------------------	--------------------------------

Your Business Contact Information

Email Address * email@email.com	Practice Name John Doe Community Physician
---	--

❗ Enter an email address in the format:
name@example.com

Country *
United States

Practice Business Address, Line 1 * 111 Main Street	Practice Business Address, Line 2 Practice Business Address, Line 2
---	---

City * Hampton	State * Virginia	Zip Code * 23664	Zip Extension XXXX	Business Telephone Number * 443-111-4444
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Cancel Save

Figure 2: OPS 2.0 Business Information Page

3 Display Enhancements

OPS 2.0 features multiple enhancements to the look and feel of the system pages, ease of navigation and workflow of various user tasks. This section describes changes that apply to both reporting entity and covered recipient user interfaces.

3.1 New Look and Feel

- The new system comes with a modernized look including updated color schemes and screen design.

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3.2 Enhanced Message Display and Help Text

- OPS 2.0 provides collapsible help text to optimize screen space and allow users to access help contents without interrupting the task workflows.
- OPS 2.0 displays system messages (like confirmation or error notifications) with colored banners to differentiate system messages from help text.

3.3 Improved System Navigation

OPS 2.0 introduces drop-down task menus. These menus display options and brief descriptions of available tasks. This improvement allows users to navigate more efficiently with fewer clicks.

- The new OPS 2.0 homepage design includes visual elements that enhance the readability of the text and declutter the page, making it easier for users to find the information they need. The new prominent announcement banners are there to draw your attention to important updates.
- In OPS 1.0, user-specific information was a tab on the same level as all system tabs. In OPS 2.0, the user-specific information, link to navigate to IDM, and switch user type functionality have been moved to a drop-down menu under the user avatar (see *Figure 3*).

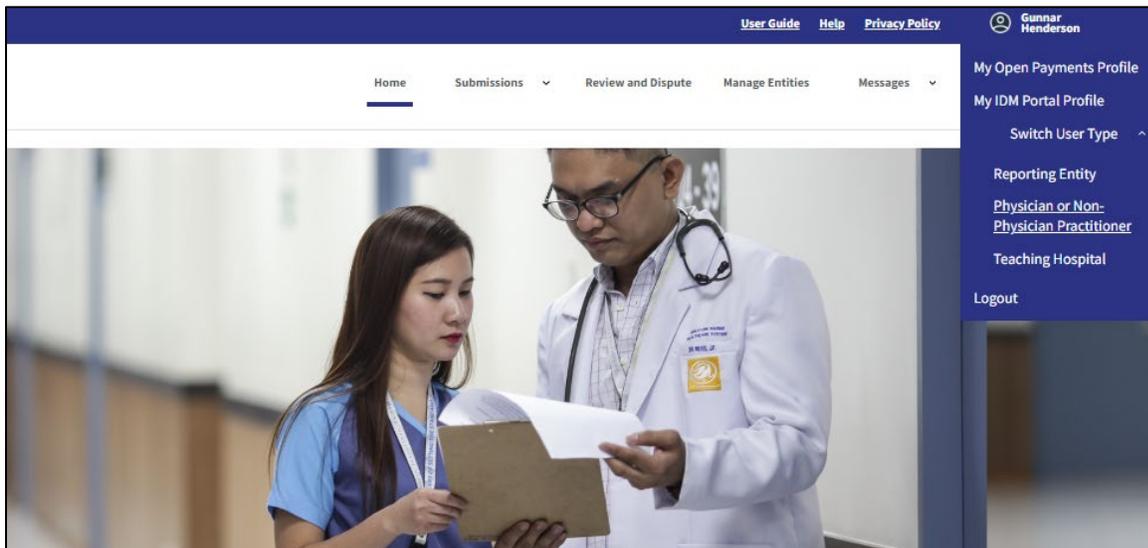


Figure 3: OPS 2.0 User Specific Information drop-down menu

4 Reporting Entities: Submissions and Attestation Enhancements

- The most significant change for reporting entities is the introduction of a more efficient Submissions menu, replacing the previous Submissions home page. This new navigation system is designed to enhance the user experience, allowing users to navigate quicker and with fewer clicks.
- OPS 2.0 offers a Submissions menu organized according to the users' roles, which reduces the amount of scrolling required.
 - The left side of the menu provides options used exclusively by those with the submitter role. The right side displays options available to all user roles.
 - There is a menu option for utilities where users can find and launch the Covered Recipient Validation Tool. All necessary resources, like the Validated Physician Lists (VPL) and Validated Non-Physician Practitioner List (VNPPL), are located on the screen associated with the appropriate task. Figure 4 provides an example of the new Submissions drop-down feature.

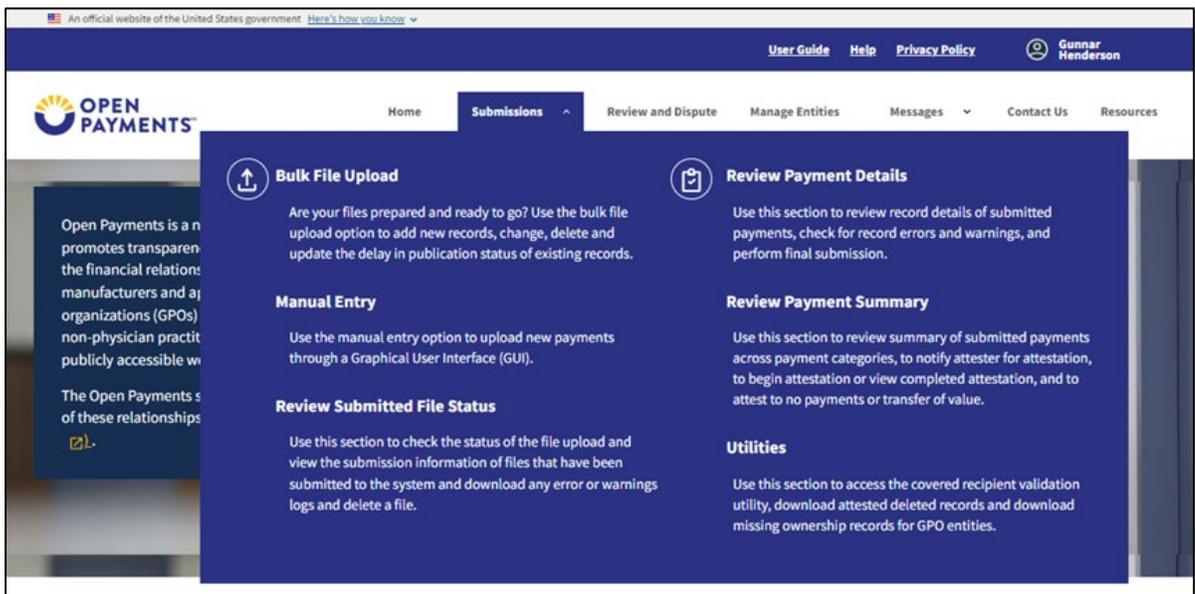


Figure 4: OPS 2.0 Submissions Drop-down Menu

4.1 Manual Data Entry Submissions

In OPS 1.0, the manual data entry process was launched by selecting a button on the Submissions home page. In OPS 2.0, the process launches directly from the Submissions menu. OPS 2.0 did not alter the manual data entry process used in 1.0, but implemented several improvements:

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- The payment navigation bar displays the status of each manual submission process step.
- **Tax Identification Number (TIN) search:** There is a new TIN search for Teaching Hospital covered recipients. Selecting a valid TIN automatically populates the hospital's information.
- **National Provider Identifier (NPI) search:** There is a new NPI search for Physician/Non-Physician Practitioners being entered for the covered recipient or as research payment principal investigators. Selecting a valid NPI populates the covered recipient or principal investigator information required for matching. This includes the first and last name and license information.

4.2 Bulk File Upload

The bulk file upload screen in OPS 2.0 is also launched directly from the Submissions menu and follows the same process as OPS 1.0.

- The .csv file formats for all prior program years are the same as those required for OPS 1.0. The file layouts for Program Year 2024 are consistent with Program Year 2023.
- The uploaded bulk file goes through the same validation and matching processes. Users can download from the 'Review Submitted File Status' pop-up screen if the file contains errors. OPS 2.0 provides error logs for the Error Code and Description of the Errors.

4.3 Search and View Records

In OPS 1.0, the user could search for records to determine the status and view individual record errors and details by launching one of the search screens from the Submissions home page. These include the 'Review Payment Summary' and 'Review Payment Detail' search screens. OPS 1.0 required users to perform a basic search on the Submissions home page, such as Entity and Program Year, then launch the search, which navigated the user to a new page containing additional search options and the search results.

In OPS 2.0, the search criteria and results are located on one page.

- OPS 2.0 features two types of searches and results: the "basic" search criteria and the "advanced" search criteria. This eliminates the need for the user to select the back button and navigate to a different screen to change the search criteria for a different entity category or entity (see figure 5).

Advanced Search Filters

Payment Details Advanced Search Criteria

Record Status: -- Select --
File ID: This is a 38-digit number
Record ID: This is a 38-digit number
Home System Payment ID:

Reason For Deletion: -- Select --

Covered Recipient Type
 Physician Non-Physician Practitioner Teaching Hospital

Physician First Name: **Physician Last Name**: **Address State**: -- Select -- **Zip Code**:

License State: -- Select -- **License Number**: **Physician NPI**: This is a 10-digit number

Teaching Hospital Name: **Teaching Hospital CCN**: This is a 6-digit number **Teaching Hospital TIN**: This is a 9-digit number

Marked for Deletion? Yes No
 Input Method Manual Entry Bulk Upload Files
 Report Type Single Consolidated
 Record Warnings Yes No

To change results, you can select different criteria and select "Search" again. Clear All Search

Search Results Download Search Results (.zip)

Select an action for one or more multiple records below: -- Select -- Apply

To view, copy and edit your record, click on Record ID link. Record(s) with warnings are flagged with a warning icon (▲)

File ID	Record ID	Home System Payment	Amount (\$)	Recipient Type	Recipient	Record Status	Marked for Deletion	Reason for Deletion
177111	1061077275	Context TH blank	\$548.00	Covered Recipient Teaching Hospital	The Johns Hopkins Hospital	Failed Validation	No	
177111	1061077273	Valid error nop	\$1,050.00	Covered Recipient Teaching Hospital	The Johns Hopkins Hospital	Failed Validation	No	
177111	1061077271	Valid error products	\$548.00	Covered Recipient Teaching Hospital	The Johns Hopkins Hospital	Failed Validation	No	

Figure 5: OPS 2.0 New Search Criteria

In OPS 1.0, the user selected the "View" action from the results section of the "View Record Details" page to view several records' details. They were navigated to a new page containing the details for that record, then selected the 'Back' button to return to the search results, selected View for another record, and repeated the process.

OPS 2.0 uses popup modals to display the record ID details. OPS 2.0 displays the modal on the right half of the screen once users select the record ID hyperlink. Since they still have access to the search results, they can quickly select another record ID hyperlink, and the modal refreshes with the new record details.

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- OPS 2.0 relocates the copy and edit action buttons from the results grid to the top of the record ID popup modal.
- OPS 2.0 relocates the delete, cancel deletion, return to attester, and return to the submitter in a drop-down component to minimize clutter on the page.
- In OPS 1.0, users attempting to download zip file records containing more than 400,000 records received a system error and could not download records.

In OPS 2.0, the system allows users to download only the first 400,000 records with a warning message within the file instructing the user that their file only contains a portion of their search results and that they will need to refine their search parameters so that the number of the results is below 400,000.

The screenshot displays the OPS 2.0 interface with three main components:

- Status Summary Table:**

Status	Record Count	Action Required
System Processing	0	No Action
Failed Validation	0	Correction
Failed Matching	0	Correction
Ready for Submission	1	Final Submission
Ready for Attestation	0	Attest
Returned to Submitter	0	Correction
Attested ↑	4	No Action
Total Payments	5	N/A
- Advanced Search Filters:**

Payment Details Advanced Search Criteria

Search Results

Select an action for one or more multiple records below:

To view, copy and edit your record, click on Record ID link. Record(s) with warnings are flagged with a warning icon (▲)

File ID	Record ID	Home System Payment ID	Amount (\$)	Recipient Type	Recipient
176829	1061302292 ▲		\$548.00	Teaching Hospital	The Johns Hopkins
176826	1061302276 ▲		\$548.00	Teaching Hospital	The Johns Hopkins
N/A	1061299942	123654	\$1,200.00	Teaching Hospital	Riverside Regional M
N/A	1061299785	123456	\$124.00	Teaching Hospital	Riverside Regional M
- Record ID: 1061101357 Modal:**

Record ID: 1061101357

Record Details

Program Year	2023
Entity Submitting Payment	CSJ Pharma
Payment Category	General Payments
Consolidated Reporting	No
Home System Payment ID	654987Copy
Was this payment previously submitted, attested, and then deleted?	No
File ID	
Last Modified Date	06/26/2024
Last Modified By	
Submission Date	06/26/2024
Submitted By	
Record Status	Attested
Marked for Deletion	No
Associated Disputes and Statuses	No
Late Payment Indicator	Yes

Recipient Demographic Information

Recipient Type	Teaching Hospital
Teaching Hospital Name	Johns Hopkins Bayview Med. Ctr.
Teaching Hospital Tax Payer ID Number(TIN)	
Recipient Business Street Address, Line 1	
Recipient Business Street Address, Line 2	
Recipient City	Baltimore
Recipient State	Maryland

Figure 6: OPS 2.0 Review Payment Details Pop Up Modals



4.4 Final Submission, Attestation, Renew Delay in Publication Workflow

OPS 2.0 provides a modernized design using popup confirmation modals for processes such as deleting records, performing final submissions, renewing delays in publication, and attestation.

The attestation navigation bar now displays users' status and progression horizontally. The navigation depicts the status of the process step, i.e., complete or contains errors, and allows the user to move forward or backward in the process.

4.5 Review and Dispute - Applicable Manufacturer or Applicable GPO Record Search

The OPS 1.0 "Review Summary" and "Review Payment details" design places search criteria such as "Entity" and "Program Year" were on one page, but their results were displayed on a different page. OPS 2.0 consolidates these searches and results into one page.

OPS 2.0 uses popup modals to display the record ID details. Once users select the record ID hyperlink, the modal displays on the right half of the screen. Since they still have access to the search results, they can quickly select another record ID hyperlink to refresh the modal with new record details.

- OPS 2.0 disables the Download Disputes Zip File for users without disputes. OPS 1.0 allows the user to download an empty file.
- The 'Edit' and 'Copy' buttons are available from within the record ID popup modal.
- OPS 2.0 consolidates Dispute History into a single accessible modal.

4.6 Review and Dispute - Applicable Manufacturer or Applicable GPO Processes

In OPS 2.0, processes such as Acknowledge Dispute, Delete Record, and Cancel Deletion use popup modals rather than having users navigate to new pages.

5 Covered Recipient Review and Dispute Enhancements

This section provides OPS 2.0 enhancements to the review and dispute functions for covered recipients (physician, non-physician practitioner, and teaching hospital).

5.1 Covered Recipient Search

OPS 2.0 improves the covered recipient "record search" and "view disputed records" to enable the users to view more data.

- Users can view "Important Information" help text and collapse each section to allow users to view more information.
- Dropdown selections provide a precise display, allowing users to focus on their tasks efficiently.

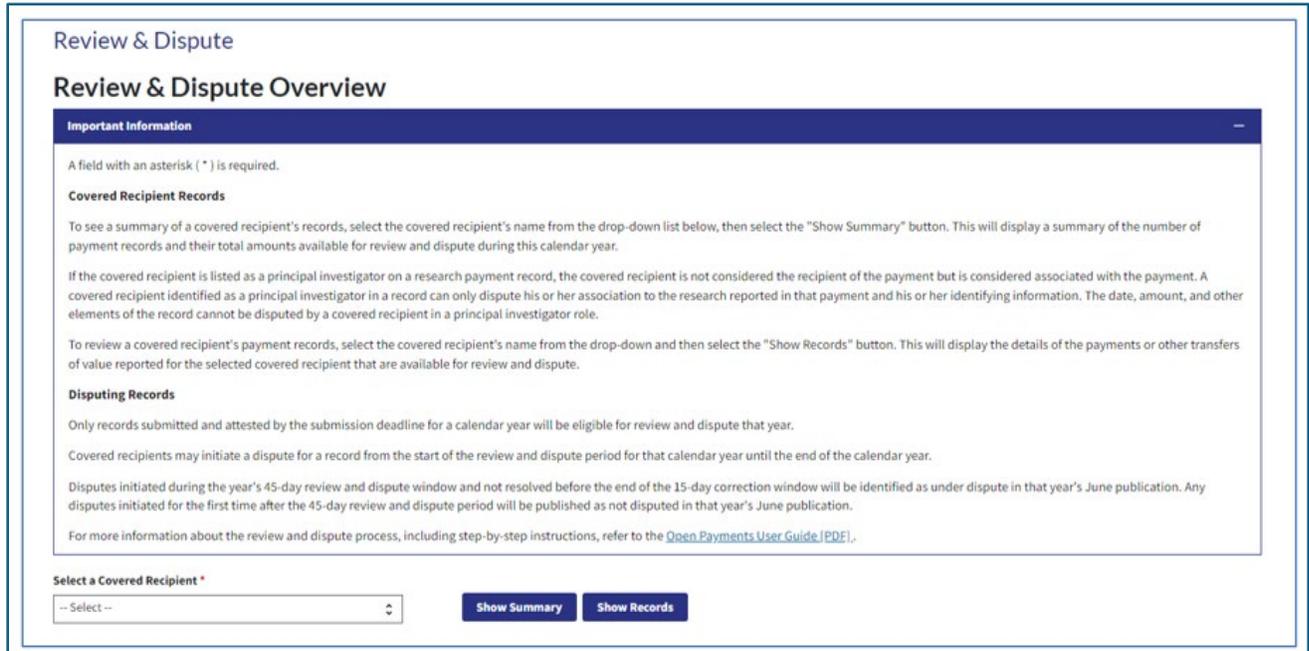


Figure 7: Review & Dispute Overview Features

Once users review the Important Information text, they can collapse the section to view the results of the covered recipient records.

5.2 Covered Recipient Search and View Records

OPS 1.0 displayed results in a card view, placing the record details in a frame with data elements displayed in columns and rows. Users could only view one or two records at a time with this layout.

OPS 2.0 enhances the Covered Recipient Review and Dispute records results by displaying the results in a table view.

- Each row represents a record dispute and displays the entity reporting the payment, payment amount and date, payment category, program year, whether the payment is affirmed, and dispute status. This view allows the user to see more records and all the

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information listed above at a glance. Since the display is in a table format, the user can also sort by any column of data.

- In OPS 1.0, the dispute and record details were displayed on a new page. In OPS 2.0, these details are displayed in faster popup modals that enable users to quickly open and close them.
 - Once the popup modal is displayed, users can expand the dispute information to minimize scrolling and allow the user to focus on reading the information within the modal.

The screenshot shows the 'Review & Dispute' interface. At the top left is the 'OPEN PAYMENTS' logo. The main heading is 'Review & Dispute' with a subtitle 'Review & Dispute - [REDACTED]'. Below this is a 'Show Summary' button. A blue bar labeled 'Important Information' is followed by the section 'Covered Recipient Records'. This section contains a search form with fields for 'Program Year' (set to 2023), 'Entity Making Payment' (set to '-- Select --'), 'Dispute Status' (set to '-- Select --'), 'Record ID', and 'Dispute ID'. There are also checkboxes for 'Listed as PI Only?' (Yes/No), 'Payment Category' (General Payments, Research Payments, Ownership or Investment Interest), and 'Affirmed?' (Yes/No). 'Clear All' and 'Search' buttons are at the bottom right of the form. Below the form, there are tabs for 'Available for Review & Dispute' (selected) and 'Deleted & In Progress Records'. A 'Showing Results for' section shows 'Program Year: 2023' and a 'Download Zip File' link.

Figure 8: OPS 2.0 Covered Recipient Search and View Records

5.3 Dispute, Withdraw Disputes and Affirm Workflow

OPS 2.0 provides enhancements to the covered recipients Dispute, Withdraw Disputes, and Affirm Record workflow process.

- The “initiate a dispute” process is like OPS 1.0 in that the covered recipient user initiates it by selecting the box on the row to the left of the record ID and selecting the ‘Dispute’ button.
- OPS 2.0 displays popup modals for users to enter dispute information. After submitting a dispute, users will see a confirmation banner. Once the user clears the confirmation

banner, their page returns to the same spot within the system.

- Enhanced Affirmation Feature:
 - The “affirm” process allows the user to select multiple records to “affirm” at one time. Records that are not eligible to be affirmed include those already affirmed or those that have an open dispute. As a reminder, if you no longer wish to dispute a record and affirm instead, withdraw the dispute.
 - In OPS 1.0, if the user attempted to select multiple records and included records not eligible, the system would not allow the user to proceed until they removed the ineligible records from their selection.

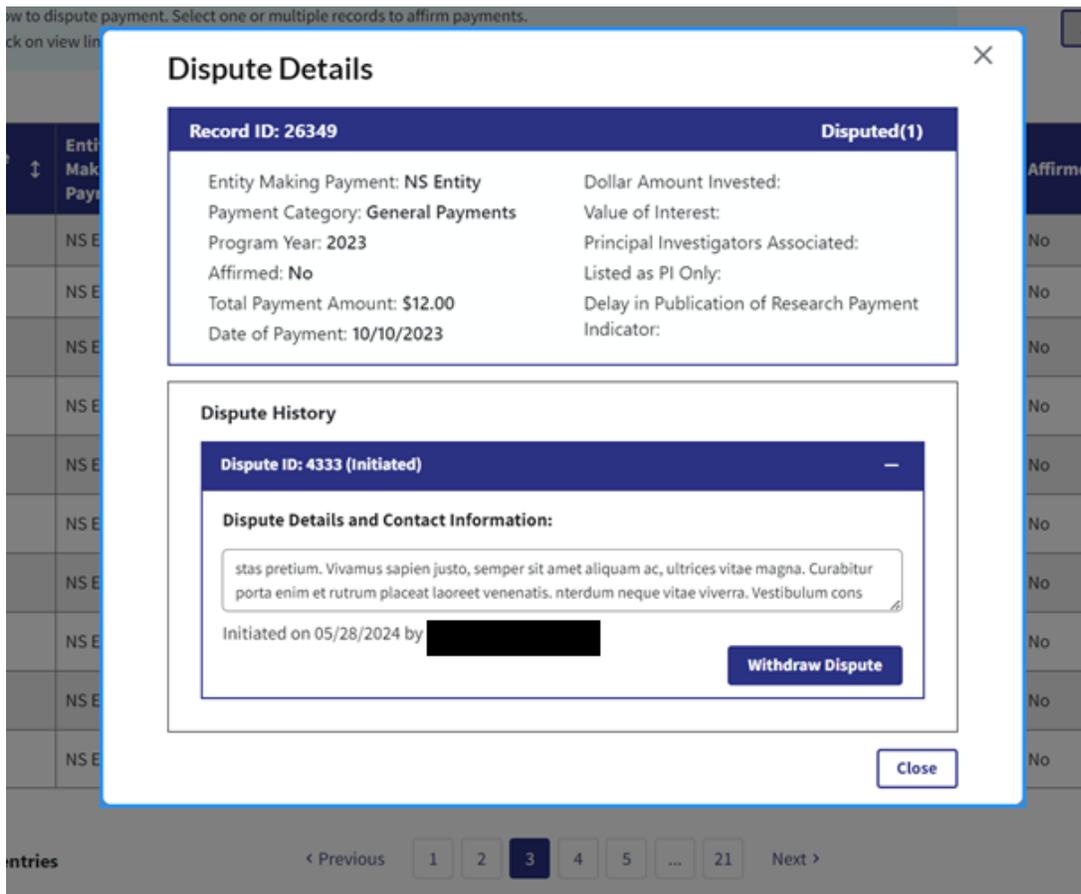


Figure 9: OPS 2.0 Dispute Details Changes

5.4 View the Record ID Details

In OPS 1.0, covered recipient users could view the full record details by selecting the record ID hyperlink, which navigated the user to a new page. OPS 2.0 uses popup modals to display the record ID details. Once users select the record ID hyperlink, OPS 2.0 displays the modal on the right half of the screen. Since they still have access to the search results, they can quickly select another record ID hyperlink, and the modal refreshes with the new record details.

The screenshot displays the 'Disputes' section of the OPS 2.0 interface. At the top, there is a 'Download Disputes Zip File' link and a search bar. Below this, a 'Showing Results for' section indicates 'Show Disputes for: NS Entity' and 'Program Year: 2023'. There are two buttons: 'Acknowledge Dispute' and 'Resolved No Change'. A notification icon indicates that one or more records are selected for action. Below the notification is a table of dispute records.

Record ID	Dispute ID	Recipient	Payment Category	Program Year	Total Payment Amount/Dollar Amount Invested	Disp Stat
60517	4555	[REDACTED]	General Payments	2023	\$12,346.22	Initial
60517	4556	[REDACTED]	General Payments	2023	\$12,346.22	Initial
29054	4393	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Resolved
29054	4372	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Resolved
29054	4391	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Resolved
29054	4392	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Resolved
29054	4394	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Resolved
29052	4396	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Initial
29052	4384	Greater Baltimore Medical Center	Research Payments	2023	\$89.63	Initial

The modal on the right is titled 'Record ID: 60517'. It contains a table of 'Record Details' and a section for 'Recipient Demographics Information'.

Record Details	
Program Year	2023
Entity Submitting Payment	NS Entity
Payment Category	General Payments
Consolidated Reporting	No
Home System Payment ID	
Was this payment previously submitted, attested, and then deleted?	No
Last Modified Date	07/02/2024
Last Modified By	[REDACTED]
Submission Date	07/02/2024
Submitted By	[REDACTED]
Record Status	Attested
Marked for Deletion	No
Reason For Deletion	
Other Reason	

Recipient Demographics Information	
Covered Recipient Type	Covered Recipient Physician
Covered Recipient First Name	BLAIR

Figure 10: OPS 2.0 View Record ID Details



Disclosure

- **Disclaimer:** the contents of this document do not have the force and effect of law and are not meant to bind the public in any way unless specifically incorporated into a contract. This document is intended only to provide clarity to the public regarding existing requirements under the law.
- **Activities/ persons addressed by this document:** Guidance for applicable manufacturers, applicable group purchasing organizations and Open Payments Covered Recipients on the Open Payments system and enhancements.
- **Date of Document Issuance:** January 2025
- **Replacement/ Revision Status:** Revision to previous versions
- **Agency Identifier:** OBRHI CFRG 4178
- **Summary of Document:** An overview of the Open Payments System Enhancements implemented in July 2024
- **Citation to statutory provisions/ regulation applicable to this document:**
 - Statute citation: Social Security Act SEC. 1128G. [42 U.S.C. 1320a-7h]
 - Rule citation: 42 C.F.R. §403.900-14

Last modified: January 2025

