National Plan and Provider Enumeration System (NPPES)

Electronic File Interchange (EFI) User Manual

Prepared For

Centers for Medicare and Medicaid Services

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1 Introduction

1.1 NPPES Overview

The Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) mandated the adoption of standard unique identifiers for providers of health care services, as well as the adoption of standard unique identifiers for health plans. The Centers for Medicare & Medicaid Services (CMS) developed the National Plan and Provider Enumeration System (NPPES) to assign these unique identifiers. The primary purpose for the development of NPPES is to standardize and simplify the process of enumerating providers as well as to meet the needs of all constituents.

1.2 NPI Overview

The Centers for Medicare and Medicaid Services (CMS) developed NPPES to uniquely identify providers and assign each a National Provider Identifier (NPI). The primary responsibility of NPPES is the enumeration of health care providers. Additionally, NPPES will disseminate information in accordance with the System of Records Notice.

NPPES is designed to:

- Accept applications for an NPI, validate SSNs, check for duplicate provider data, and maintain data on each provider
- Allow the NPI Enumerator to enter NPI applications
- Allow providers to update their records
- Validate and cleanse application data
- Uniquely identify providers and assign each a National Provider Identifier (NPI)
- Function as a central database for reporting
- Disseminate information in accordance with the System of Records Notice

1.3 EFI Overview

The Electronic File Interchange (EFI) facility provides for communication between NPPES and organizations, (e.g., health plans, professional associations and other groups) acting on behalf of healthcare providers. These organizations typically maintain significant amounts of information about their providers. The EFI process will enable electronic submission of NPI applications and change requests for large numbers of providers with minimal manual intervention. The EFI functionality includes:

- Organization certification and account management
- File upload, validation, and confirmation
- Pre-processing and submission to NPPES
- Request EFI file removal from processing
- Response EFI file generation and notification
- Response EFI file download by the submitting organization

Most healthcare providers will be able to utilize the EFI process with the exception of sole proprietors[1].

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[1] A sole proprietor is a business structure in which an individual and his/her company are considered a single entity for tax and liability purposes.

EFI does not support new applications or change requests for providers who are sole proprietors. The Sole Proprietor question will default to "No" for applications and change requests submitted via EFI.

If an Entity Type 1 provider enters a new application through the web or paper application, is a sole proprietor and attempts to do a change request through EFI, the request will be rejected. If an Entity Type 1 provider enters a new application through the web or paper application, is not a sole proprietor and attempts to do a change request through EFI, the request will process and the sole proprietor question will remain "No". An existing record (Web, Paper or EFI) with no answer in the system for the sole proprietor question will default to "No" if a change request is submitted for the record through EFI.

1.4 Document Purpose and Intended Audience

The purpose of the EFI User Manual is to provide the authorized Electronic File Interchange Organizational Representative (EOR) with detailed descriptions of the EFI functionality. The EFI User Manual includes screen shots and descriptions of field and navigation controls.

The EFI User Manual is intended for an audience authorized to act on the behalf of their organizations. It assists the EORs in performing their day-to-day activities with the EFI process.

2   NPPES Functions and Navigational Controls

2.1   EFI Organization Representative (EOR) User

The EOR is a representative for an organization which provides files that contain the required NPI data needed for electronic submission and enumeration of at least one record. The EORs can upload files, download files, remove files from the queue and change or reset their password. JavaScript must be enabled in order to perform the functions mentioned above.

2.2   EOR System Functions

The EOR portion of NPPES is comprised of the following functions, accessed through the NPI Home page. Each function is described throughout the remaining document.

- Setup of a single EFI Organization and its EFI Organization Representative

- Setup of additional EFI Organization Representatives

- Browse and select EFI file(s) to upload

- Search for EFI File(s) to download or remove from the queue

- Change password for EOR

- Reset password for EOR

2.3   Major Functionalities of an NPI Page

The NPI navigational controls initiate a page specific event. For example, Help is a navigational control. Clicking on Help will navigate to the Help Page for the current application page. Chapters 3, 4, 5, and 6 list and describe each navigational control on the EFI application pages this manual discusses.

2.4   Page Controls

Page Controls assist the user to select features or select various options within NPPES. The most common page controls are listed below:

Exhibit 2-1 Common Page Controls

Control	Description
Button	Allows the user to invoke a command of the system with one mouse click.
Check Box	Allows the user the option to either select or not select an item.
Drop Down Box	Allows the user to select one option from a list of options.
Text Box	Allows the user to enter free form data.

2.5   Other Information

In addition to the application functions described above, there are also several ancillary functions that provide security, or assist the user in accomplishing workflow tasks. Data formats are also specified below.

2.5.1   Session Timeout

For security purposes, the application allows the EOR to remain connected to the system for a fifteen minute period of inactivity. After that point, the user is forced to login again. This helps prevent unauthorized persons from accessing NPPES. Any data not stored in the database before the timeout is lost. The user should note that this timeout occurs only after fifteen consecutive minutes of inactivity.

Users actively working on the system are not affected, even if their session length exceeds the timeout period.

2.5.2 Data Formats

Edits are used throughout the system to make sure that data is entered in the correct format. Specific formats for dates, phone numbers, and zip codes are required. These formats are listed below:

- Dates must be entered as MM/DD/YYYY. Four digit years will be required for Y2K compliance

- Domestic Phone/Fax Numbers must be entered as (i.e. 9735551212)

- Zip codes must be entered as either 5 or 9 digits (i.e. 08852 or 08852 1234)

2.5.3 Accessing NPPES and the NPI Home Pages

Access to the EFI functions is done through the National Plan and Provider Enumeration System (NPPES) Home page. The NPPES Home page is shown below. The URL for this page is: https://nppes.cms.hhs.gov.

Exhibit 2-2 NPPES Home Page Screen

The National Provider Identifier (NPI) link takes the user to the NPI Home page shown below. The EFI Only link at the bottom of this page takes the user to the Electronic File Interchange (EFI) Home page and the beginning of the EFI functions.

Exhibit 2-3 NPI Home Page Screen

NPPES
National Plan & Provider Enumeration System

Home

National Provider Identifier

For Health Care Providers

The Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)* mandated the adoption of a standard unique identifier for health care providers. The National Plan and Provider Enumeration System (NPPES) collects identifying information on health care providers and assigns each a unique **National Provider Identifier (NPI)**.

Need an NPI? -->

Apply Online for an NPI
Estimated time to complete the NPI application form is 20 minutes.
Click here to see tips to expedite your NPI application before you begin your application.

Want to View or Update your NPI data? ---------------->

Login

Want to create a Web login for an existing NPI? ---->

Create Login to View or Update your NPI Data

(This option is only for health care providers previously enumerated via paper or EFI)

Additional Resources:

Notes:

NPI Application / Update Form - [PDF File]

Application Help

Privacy Information

Frequently Asked Questions

NPI Final Rule - [PDF File]

Contact Information

CMS NPI Page

The website works best in Internet Explorer versions 6.0 and higher and Firefox versions 2.0 and higher. Users may experience issues with other browsers and are recommended to use the browsers listed above. It is recommended that browser windows be opened using the icon on the desktop to avoid shared browser sessions. Some browsers share sessions regardless of how the browser is opened. Please check with the browser's vendor about session management. When NPPES detects multiple browsers open within the same session, NPPES will terminate the session to protect the data in NPPES. Data entered will be lost and will need to be re-entered.

To view PDF files, you must have Adobe Acrobat Reader. If you do not already have Acrobat Reader installed, please Download Acrobat Reader now.

Get Adobe Reader

Health and Human Services Home Page | Centers for Medicare and Medicaid Services (CMS) Home Page | **NPI Enumerator Only** | **EFI Only**

3   EOR Access

The EFI Access Information Page displays when CMS turns off access to the EFI functions. This page displays when an EOR accesses the EFI Only link which is located on the NPI Home page. The page also displays if the EOR has a desktop shortcut to the EFI Home Page or the associated links: EFI Organization Registration, Create a New EFI Representative, or the EFI Login.

Exhibit 3-1 EOR Home Page Screen
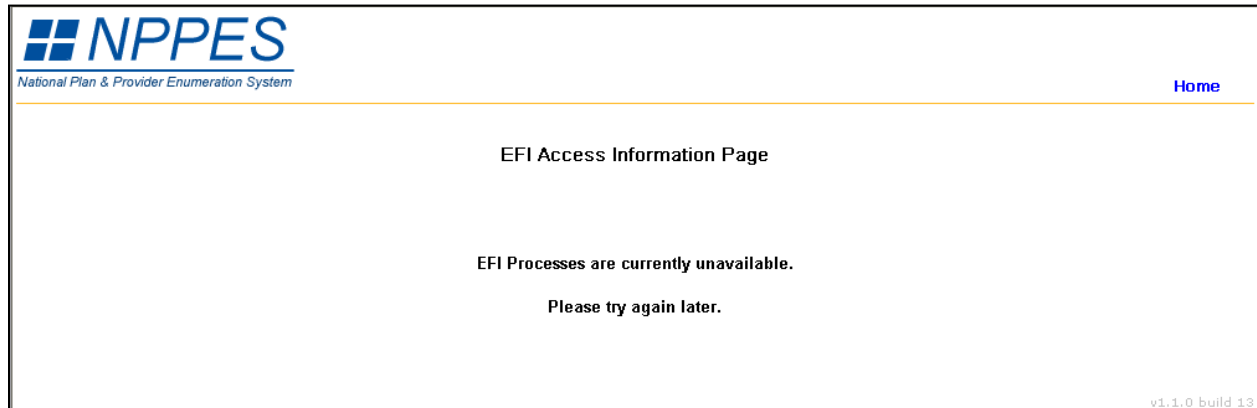
When the staff user disables the EFI on-line functions, the EORs currently performing any EFI functions are not affected. However, once the EOR has completed their actions and exited the system, they cannot re-enter the EFI on-line functions until access is enabled.

The user has the following navigational controls which are specific to the EFI Access Information Page:

- Home – Navigates to NPPES Home page.

NPPES

4 Application Security Check

To enroll a new EFI Organization or associate more than one EFI Organization Representative (EOR) to a certified EFI Organization, the user must answer two security questions on the Application Security Check page before proceeding to EFI New Organization - Select EOR User ID and Password page or the Create a New EFI Organization Representative (EOR) page.

The purpose of Application Security Check page is to discourage the use of automated programs to create NPPES accounts. Hence, all web users are required to answer a randomly selected pair of simple questions before they can proceed. If the user answers the questions correctly, clicking the Next button navigates the user to the corresponding create user id and password page. If no answers are provided, clicking the Next button causes NPPES to generate and display an error message. If the user continues to click the Next button without providing the answers, NPPES will navigate to the Failed Security Check page.

If the user answers the questions incorrectly, clicking the Next button navigates the user to the Failed Security Check page. From the Failed Security Check page the user can not proceed any further. The user must return to the NPPES Home page to start the application process again.

Exhibit 4-1 Application Security Check Screen

The user has the following navigational controls which are specific to the Application Security Check page:

- Home – Navigates to NPPES Home page.
- Help – Navigates to Help for the Application Security Check Page.
- Next – Runs field edits. If errors exist, the appropriate error message displays. If no field errors exist, navigates to the EFI New Organization - Select EOR User ID and Password page if the EFI Organization Registration link is clicked or the New EFI Representative - Create EFI Organization Representative (EOR) User ID and Password page if the Create a New EFI Organization Representative (EOR) page is clicked.

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Exhibit 4-2 Failed Application Security Check Screen
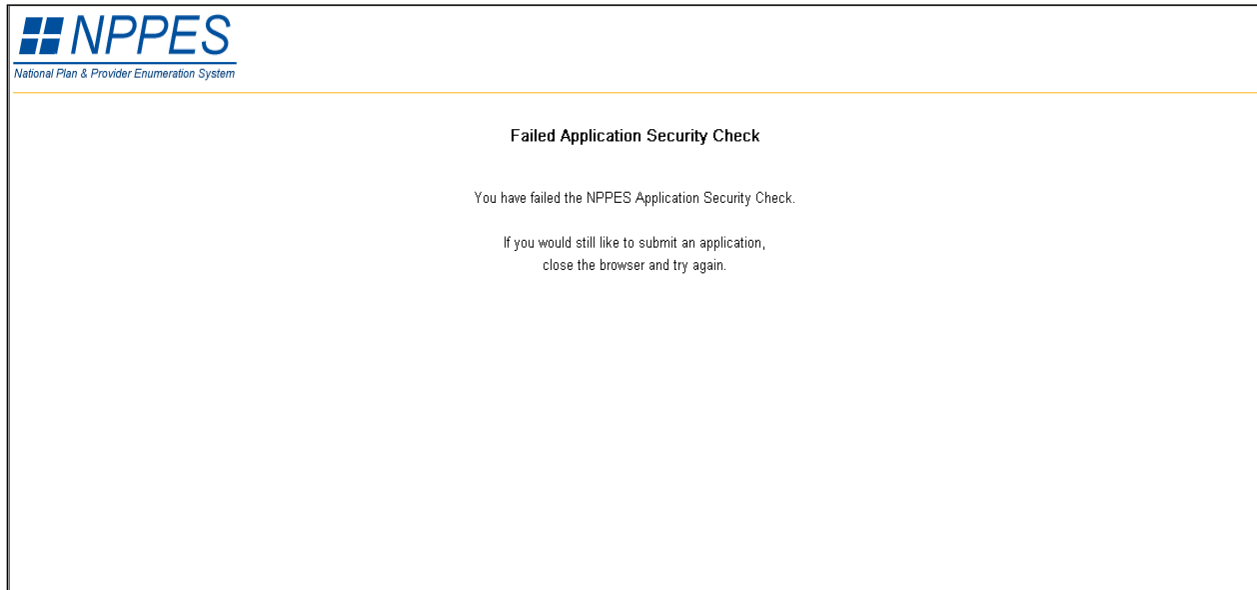
4.1.1   Field Descriptions

Exhibit 4-3 Application Security Check Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
Answer 1	The response provided for security question 1.	Required
Answer 2	The response provided for security question 2.	Required

5   Create New EFI Organization Account

To begin the process to create an EFI Organization account, the user accesses the NPPES Home page and clicks the National Provider Identifier (NPI) link which navigates to the NPI Home page. The Electronic File Interchange function is accessed from the NPI Home page. The user selects the EFI Only link to navigate to the EFI Home Page. From this page the EOR can enroll a new EFI Organization, create additional new EOR accounts, or login as an existing EOR.

Exhibit 5-1 EFI Home Page Screen

The user has the following navigational controls which are specific to the EFI Home Page:

- Home – Navigates to NPPES Home page
- Help – Navigates to Help for the EFI Home Page

Section 4.1 – Section 4.4 describes the normal path a user follows to establish a new EFI Organization account. Included in the sections are the page specific navigational controls and the description and requirement level of each field, if any.

5.1   New EFI Organization – Select EOR User ID and Password Page

To enroll a new EFI Organization, the user selects EFI Organization Registration from the EFI Home Page which navigates to the Application Security Check page. The user must then answer two security questions on the Application Security Check page before proceeding to EFI New Organization - Select EOR User ID and Password page. NPPES verifies that the User ID chosen is unique within NPPES. Guidelines for User ID and password selection are included on the New EFI Organization - Select EOR User ID and Password page.

Exhibit 5-2 Select EOR User ID and Password Page Screen

The user has the following navigational controls which are specific to the New EFI Organization – Select EOR User ID and Password page:

- Home – Navigates to NPPES Home page.
- Help – Navigates to Help for the New EFI Organization – Select EOR User ID and Password Page.
- Next – Runs field edits. If errors exist the appropriate error message displays. If no field errors exist, navigates to the New EFI Organization page.

5.1.1   Field Descriptions

Exhibit 5-3 Select EOR User ID and Password Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EOR User ID	The User ID that is associated with the EOR. The selected User ID must be unique within NPPES.	Required
EOR Password	The password associated with the User ID. This password is required for access to EFI processes.	Required
Re-type EOR Password	The confirmation of the password associated with the User ID. This field is used to verify that the user does not mistype the selected password.	Required
Select Secret Question 1	Question 1 of 5 used to create the account .	Required
Answer 1	The response provided for secret question 1.	Required
Select Secret Question 2	Question 2 of 5 used to create the account..	Required
Answer 2	The response provided for secret question 2.	Required
Select Secret Question 3	Question 3 of 5 used to create the account..	Required
Answer 3	The response provided for secret question 3.	Required
Select Secret Question 4	Question 4 of 5 used to create the account..	Required
Answer 4	The response provided for secret question 4.	Required
Select Secret Question 5	Question 5 of 5 used to create the account..	Required
Answer 5	The response provided for secret question 5.	Required

5.2   New EFI Organization Page

After the user selects a unique User ID and Password and there are no errors, the user selects Next button to navigate to the New EFI Organization page. The page collects information that is used to identify the EFI Organization such as name, Taxpayer Identification Number, and address. The New EFI Organization page also collects information regarding the organization's authorized official and registers the initial EOR.

Exhibit 5-4 New EFI Organization Page Screen

The user has the following navigational controls which are specific to the New EFI Organization page:

- Logoff – Navigates to the Logoff Confirmation page
- Help – Navigates to Help for the New EFI Organization page
- Submit – Runs field edits. If errors exist the appropriate error message displays. If no errors exist, saves data and Navigates to the EFI Organization Mailing Address Standardization page

5.2.1   Field Descriptions

Exhibit 5-5 New EFI Organization Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
Organization Name	The legal business name of the organization.	Required

Field Name	Description	Requirement Level: Required, Situational, or Optional
Taxpayer Identification Number (TIN)	The organization's Taxpayer Identification Number (TIN), assigned by the IRS.	Required
Address Line 1	The first line of the organization's mailing address.	Required
Address Line 2	The second line of the organization's mailing address.	Optional
City	The city name for the organization's mailing address.	Required
State	The state code for the organization's mailing address.	Required
Zip + 4	The ZIP code for the organization's mailing address.	Required
Country	The country for the organization's mailing address.	Required
Authorized Official Prefix	The name prefix or salutation of the authorized official for the organization, e.g., Mr., Mrs., etc.	Optional
Authorized Official First Name	The first name of the authorized official for the organization.	Required
Authorized Official Middle Name	The middle name of the authorized official for the organization.	Optional
Authorized Official Last Name	The last name of the authorized official for the organization.	Required
Authorized Official Suffix	The name suffix of the authorized official for the organization.	Optional
Authorized Official Credential(s)	The abbreviations for degrees or credentials used or held by the authorized official of the organization.	Optional
Authorized Official Title/Position	The title or position within the organization that the authorized official holds. Examples are President, CEO, CFO, Chairman, etc.	Required
Authorized Official Phone Number	The phone number for the authorized official of the organization.	Required
Authorized Official Phone Number Extension	The phone extension for the authorized official of the organization.	Optional
Authorized Official Fax Number	The fax number for the authorized official of the organization.	Optional
Representative Prefix	The name prefix or salutation of the EOR; (e.g., Mr., Mrs., etc.)	Optional
Representative First Name	The first name of the EOR.	Required
Representative Middle Name	The middle name of the EOR.	Optional
Representative Last Name	The legal last name of the EOR.	Required
Representative Suffix	The name suffix of the EOR. The name suffix is a "generation-related" suffix (e.g., Jr., Sr., II, III, IV and V).	Optional
Representative Title/Position	The title or position within the organization that the EOR holds.	Required

Field Name	Description	Requirement Level: Required, Situational, or Optional
Representative Phone Number	The phone number for the EOR of the organization.	Required
Representative Extension	The phone extension for the EOR of the organization.	Optional
Representative E-mail	The e-mail address of the EOR.	Required
Retype E-mail	Retype the e-mail address of the EOR	Required

5.3   EFI Organization Mailing Address Standardization Page

After the user selects Submit button, the EFI Organization Mailing Address Standardization page will be displayed. For domestic mailing addresses, the user is instructed to accept standardization results, or retype and revalidate the input address. If the user accepts the standardization results, the input data is replaced with the standardized results. If the user chooses to use the input address and reject the standardized results, the input address will be used.

Exhibit 5-6 EFI Organization Mailing Address Standardization Page Screen

The user has the following navigational controls which are specific to the EFI Organization Mailing Address Standardization page:

- Accept Standardized Address – Navigates to the New EFI Organization Processing page

- Use Input Address – Navigates to the New EFI Organization Processing page

- Revalidate Address – Resubmits the address to Universal Coder and re-Navigates to the EFI Organization Mailing Address Standardization page

5.3.1 Field Descriptions

Exhibit 5-7 EFI Organization Mailing Address Standardization Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
Address Line 1	The first line of the organization's mailing address.	Required
Address Line 2	The second line of the organization's mailing address.	Optional
City	The city name for the organization's mailing address.	Required
State	The state code for the organization's mailing address.	Required
Zip	The ZIP code for the organization's mailing address.	Required

5.4 New EFI Organization Processing Page

After the user selects "Accept Standardized Address" or "Use Input Address" the system navigates to the New EFI Organization Processing page. This page allows the user to complete the registration for a new EFI Organization. In addition, this page provides a link to the Certification Statement, which must be printed and returned to the NPI Enumerator in order to complete the certification portion of the registration process. A link to the Adobe Acrobat site is also included if users need to download Acrobat Reader.

Exhibit 5-8 New EFI Organization Processing Page Screen

The user has the following navigational controls which are specific to the New EFI Organization Processing page:

- Home – Navigates to the NPPES Home page.

- Help – Navigates to Help for the New EFI Organization Processing page

- Download the Certification Statement – Launches a .PDF version of the Certification Statement, which can then be printed by the user

- Get Adobe Reader – Navigates to the 'You are now leaving the NPPES site' Page. Redirects user to the Adobe Acrobat Reader site: http://www.adobe.com/products/acrobat/readstep2.html

6 Create Additional EFI Organization Representative Accounts

Certified EFI Organizations may elect to associate more than one EFI Organization Representative (EOR). In such instances, additional representatives can create an account and after approval from the NPI Enumerator, can perform the EFI functions.

Section 6.1 – Section 6.3 describes the normal path a user follows to create an EOR account to link to an active EFI Organization. Included in the sections are the page specific navigational controls and the description and requirement level of each field, if any.

6.1 New EFI Representative – Create EOR User ID and Password Page

To associate a new EOR to an active EFI Organization, the user selects the Create a New EFI Organization Representative (EOR) link from the EFI Home page which navigates to the Application Security Check page. The user must then answer must answer two security questions on the Application Security Check page before proceeding to the New EFI Representative - Create EOR User ID and Password page. NPPES makes sure that the Organization ID exists and that the User ID chosen is unique within NPPES. Guidelines for user ID and password selection are included on the New EFI Representative - Create EOR User ID and Password page.

Exhibit 6-1 Select EOR User ID and Password Page Screen

The user has the following navigational controls which are specific to the New EFI Representative – Select EOR User ID and Password page:

- Home – Navigates to the NPPES Home page.

- Help – Navigates to Help for the Select EOR User ID and Password page.

- Next – Runs field edits. If errors exist the appropriate error message displays. If no field errors exist, navigates to the EFI New Representative page.

6.1.1   Field Descriptions

Exhibit 6-2 Select EOR User ID and Password Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EFI Organization ID	The EFI Organization ID to which the EOR will be associated.	Required
EOR User ID	The User ID that is associated with the EOR. The selected User ID must be unique within NPPES.	Required
EOR Password	The password associated with the EOR User ID. This password is required for Web access to EFI processes.	Required
Re-type EOR Password	The confirmation of the password associated with the EOR User ID. This field is used to verify that the user does not mistype the selected password.	Required
Select Secret Question 1	Question 1 of 5 used to create the account.	Required
Answer 1	The response provided for secret question 1.	Required
Select Secret Question 2	Question 2 of 5 used to create the account..	Required
Answer 2	The response provided for secret question 2.	Required
Select Secret Question 3	Question 3 of 5 used to create the account..	Required
Answer 3	The response provided for secret question 3.	Required
Select Secret Question 4	Question 4 of 5 used to create the account..	Required
Answer 4	The response provided for secret question 4.	Required
Select Secret Question 5	Question 5 of 5 used to create the account..	Required
Answer 5	The response provided for secret question 5.	Required

6.2   EFI New Representative Page

After the user creates a unique User ID and Password and there are no errors, the user selects Next button to navigate to the EFI New Representative page. The page collects identifying information about the EOR. New EORs do not have access to EFI functions until the NPI Enumerator activates them.

Exhibit 6-3 New EFI Representative Page Screen

The user has the following navigational controls which are specific to the EFI New Representative page:

- Help – Navigates to Help for the EFI New Representative page

- Logoff – Navigates to the Logoff Confirmation page

- Submit – Runs field edits. If errors exist the appropriate error message displays. If no field errors exist, saves data and Navigates to the Processing page

6.2.1   Field Descriptions

Exhibit 6-4 New EFI Representative Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
Representative Prefix	The name prefix or salutation of the EOR; (e.g., Mr., Mrs., etc.)	Optional
Representative First Name	The first name of the EOR.	Required
Representative Middle Name	The middle name of the EOR.	Optional
Representative Last Name	The legal last name of the EOR.	Required

Field Name	Description	Requirement Level: Required, Situational, or Optional
Representative Suffix	The name suffix of the EOR. The name suffix is a "generation-related" suffix (e.g., Jr., Sr., II, III, IV and V).	Optional
Representative Title/Position	The title or position within the organization that the EOR holds.	Required
Representative Phone Number	The phone number for the EOR of the organization.	Required
Representative Extension	The phone extension for the EOR of the organization.	Optional
Representative E-mail	The e-mail address of the EOR.	Required
Representative Retype E-mail	Retype the e-mail address of the EOR.	Required

6.3   EFI New Representative Processing Page

After the representative selects Submit and there are no errors on the EFI New Representative page, the system navigates to the EFI New Representative Processing page. This page is the last page of the EFI New Representative registration form. The EFI New Representative Processing page provides the user with information concerning the receipt of a notification from the NPI Enumerator once the new EOR account has been certified and associated with an Organization. Contact information is also provided in case the user requires additional assistance.

Exhibit 6-5 New EFI Representative Processing Page Screen
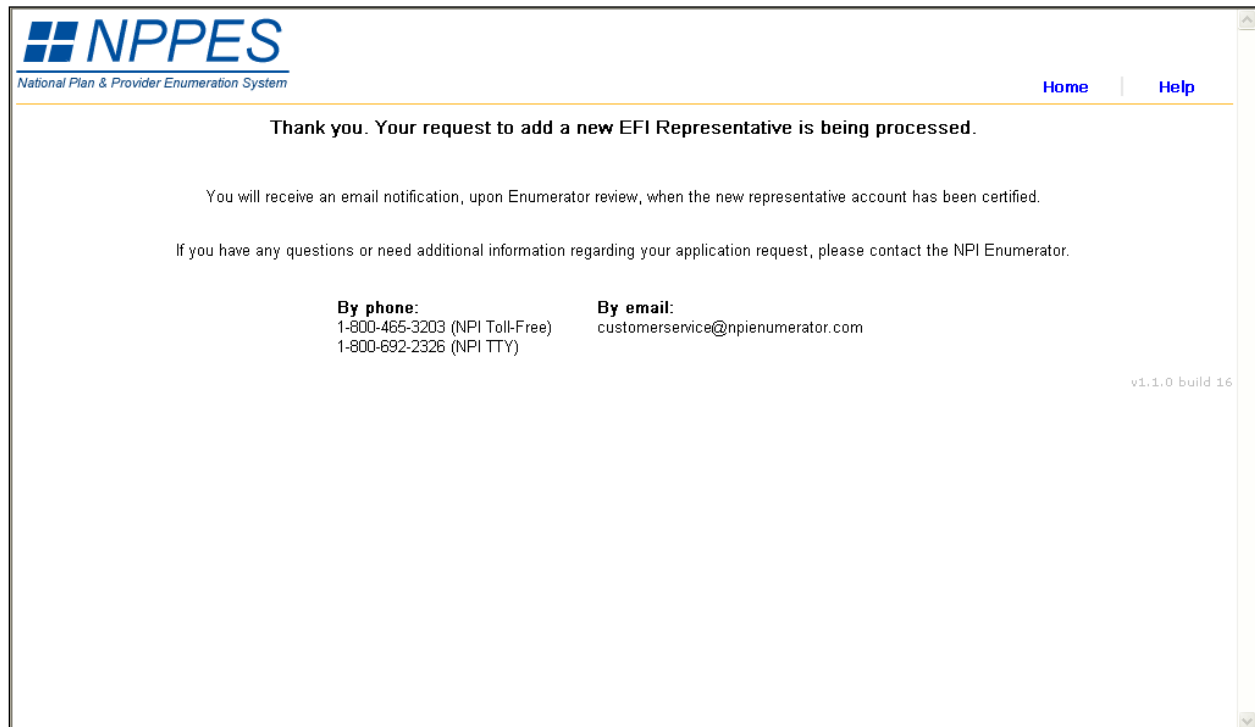
The user has the following navigational controls which are specific to the EFI New Representative Processing page:

- Help – Navigates to Help for the EFI New Representative Processing page
- Home – Navigates to the NPPES Home page

7   Existing EOR Functions

After the Enumerator certifies the organization and activates the EOR, the EOR has various functions available. The EOR has the option to upload, search or download files and change or reset passwords.

7.1   EFI Login Page

After the NPI Enumerator activates the EOR, the EOR accesses the EFI Login page from the <u>Login</u> link on the EFI Home Page. The EOR enters his/her EOR User ID and password on the EFI Login page. If the EOR enters an invalid ID and password combination, an error message displays and access to the system is denied. After three unsuccessful login attempts, the User ID is disabled and the EOR is required to contact the NPI Enumerator.

Exhibit 7-1 EFI Login Page Screen

The user has the following navigational controls which are specific to the EFI Login page:

- Home – Navigates to the NPPES Home page
- Help – Navigates to Help for the EFI Login page
- Login – Authenticates User. Displays message if user is not authenticated or user account is locked. Launches EFI Main Menu page if user is authenticated
- Reset Password – Navigates to the Reset EOR Password page

7.1.1 Field Descriptions

Exhibit 7-2 EFI Login Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EOR User ID	The User ID associated with the EOR's record.	Required
EOR Password	The password associated with the EOR's record.	Required

7.2 EFI Main Menu Page

After successful login, the system navigates to the EFI Main Menu page. This page provides EOR users with options for the following: File Transactions and Administration.

Exhibit 7-3 EFI Main Menu Page Screen
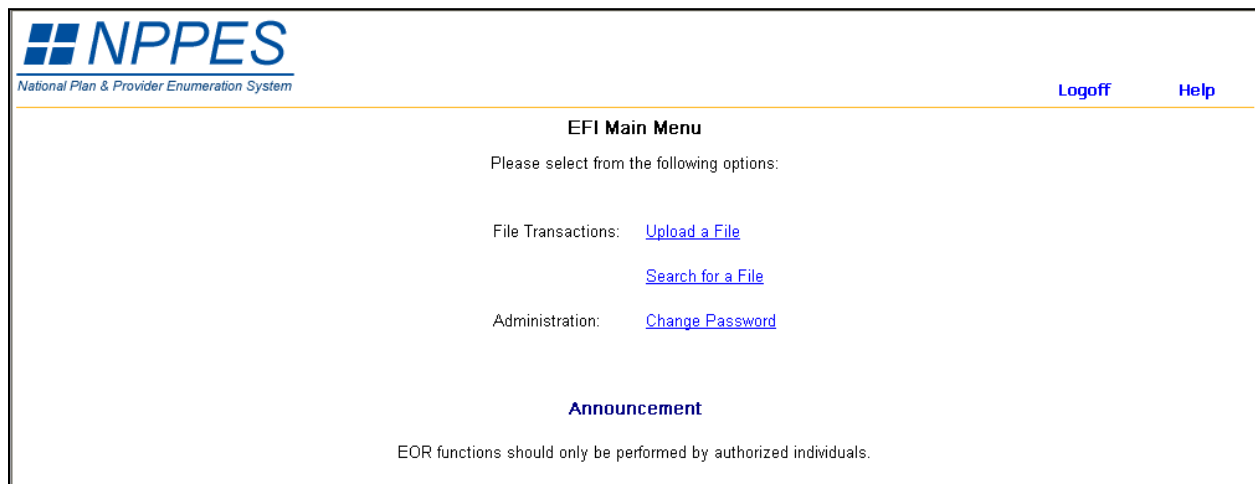
The user has the following navigational controls which are specific to the EFI Main Menu page:

- Logoff – Navigates to the Logoff Confirmation page

- Help – Navigates to the Help for the EFI Main Menu page

- Upload a File – Navigates to the EFI File Upload page

- Search for a File – Navigates to the Search EFI Files page

- Change Password – Navigates to the Change NPI Password page. Note: this hyperlink will be disabled for 24 hours after the EOR executes a successful password change.

7.3 EFI File Upload Page

The EOR accesses the EFI File Upload page from the EFI Main Menu page. This page enables the EOR to select the actual file to be sent to NPPES. The Enumerator controls a queue where each file uploaded is contained. The Enumerator determines when and which files will be released from the queue for processing.

The EOR can only upload files in a Zip file format one at a time. If the EOR chooses any other file format, an error message displays. As of release 2.5.3, NPPES supports file systems that use the back slash "\" or forward slash "/". The file name may not contain spaces or special characters. Otherwise, the file will encounter errors while processing.

Exhibit 7-4 EFI File Upload Page Screen
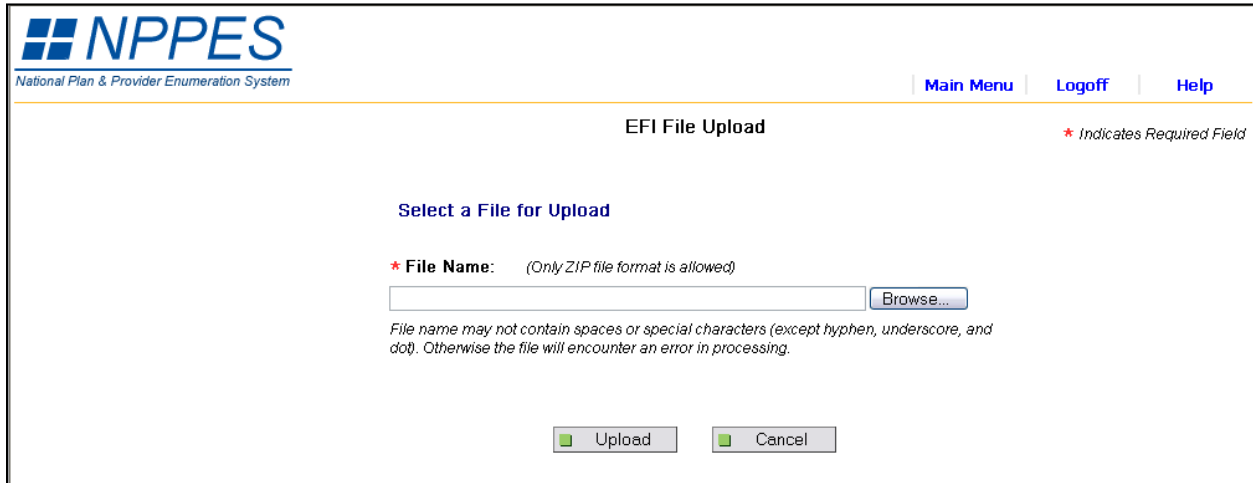
The user has the following navigational controls which are specific to the EFI File Upload page:

- Main Menu – Navigates to the EFI Main Menu page
- Help – Navigates to Help for the EFI File Upload page
- Logoff – Navigates to the Logoff Confirmation page
- Browse – Opens the Choose File Dialog Box. User then selects which file to be uploaded
- Cancel – Returns the user to the EFI Main Menu page and terminates the file upload process
- Upload File – Transmits the selected file to NPPES. A notification is sent to the user upon successful completion of file processing

7.3.1 Field Description

Exhibit 7-5 EFI File Upload Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
File Name	The name of the file to be uploaded from the EOR's files to NPPES for processing.	Required
Selected File Name	File Name that was selected by the EOR in the EFI File Upload screen.	Situational

7.4 EFI File Upload Processing Page

The EFI File Upload Processing page provides the EOR with the results of the upload process. Errors that may occur in processing are also displayed. In addition, e-mail notifications are sent to all EORs for the Organization with the file name assigned by NPPES. (For Notification details see Section 8). The NPI Enumerator contact information is included in case the EOR needs assistance.

Exhibit 7-6 EFI File Upload Processing Page Screen
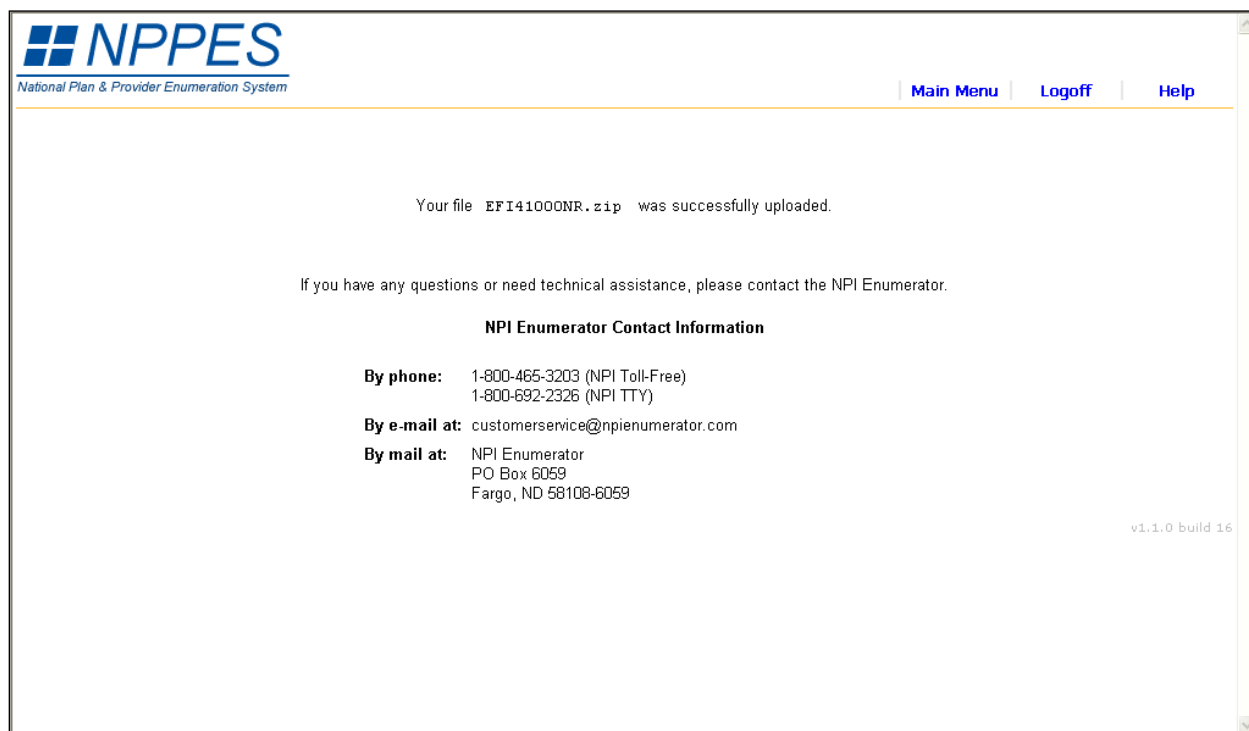
The user has the following navigational controls which are specific to the EFI File Upload Processing page:

- Main Menu – Navigates to the EFI Main Menu page

- Help – Navigates to Help for the EFI File Upload page

- Logoff – Navigates to the Logoff Confirmation page

7.5   EFI Search for a File

The Search EFI Files function enables the EOR to select a file that has been previously transmitted to NPPES. The processed file can be downloaded for review and if necessary the EOR can update and re-upload.

7.6   Search EFI Files Page

The EOR accesses the Search EFI Files page from the EFI Main Menu page. On this page, the EOR enters search parameters to locate and view the status of files for the EFI Organization. The EOR also has the option to search for files of a particular status by selecting from the File Status dropdown. An error message displays if no matching records are found. If one or more records meet the input search criteria, a list of files display on the Search EFI Files Results Page. If more than 50 files are found, the EOR is asked to refine the search criteria.

Exhibit 7-7 Search EFI File Page Screen

The user has the following navigational controls which are specific to the Search EFI Files page:

- Search – If one or more records meet search criteria, NPPES navigates to the EFI File Results page. NPPES displays a message if there is no search criteria entered, more than 50 files found meet the search criteria, no files are found that meet the search criteria, or the file is currently being worked by another user

- Reset – Clears all search parameters

- Main Menu – Navigates to the EFI Main Menu page

- Help – Navigates to Help for the Search EFI Files page

- Logoff – Exits the system and navigates to the Logoff Confirmation page

7.6.1   Field Descriptions

Exhibit 7-8 Search EFI File Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EFI Request File Name	The name originally given to the file by the EFI Organization.	Optional
System Generated File Name	The NPI generated file name given to the uploaded file.	Optional
Date of Upload	Date range of submitted EFI files to search between	Optional

Field Name	Description	Requirement Level: Required, Situational, or Optional
File Status	Status of the files being searched. Possible values are: [Blank]*All Files, Processing Completed, In Process, Error in Processing, Rejected, Removed, In Queue)	Optional

7.7   EFI File Results Page

When the EOR selects the Search button on the Search EFI Files page, the EFI File Results page is displayed. The EFI File Results page shows the status of uploaded file(s). When the system places EFI files in the queue, the EFI File Results page shows the status In Queue until the files are released by the NPI Enumerator for processing. While files are in the queue, the Remove link is enabled so that the EOR may stop the file from processing. When the file is released from the queue, the date in the Release Date column will be updated. Any file(s) in the queue will not be available for download until released from the queue and processed. The EOR is able to select the desired processed file by clicking on the Download link in the row of the table.

The six day turn around time for the response file to be generated and downloaded by the EOR starts after the file is released from the queue.

Exhibit 7-9 Search EFI File Results Page Screen

The user has the following navigational controls which are specific to the EFI File Results page:

- Main Menu – Navigates to EFI Main Menu page
- Help – Navigates to Help for the EFI File Results page
- Logoff – Exists the system and navigates to the Logoff Confirmation page
- Download – Starts the download process for the EFI file selected. Navigates to the download – destination dialog box
- Remove – Permanently deletes the file from the processing queue. Navigates to the EFI File Confirmation page. The file status will be changed from In Queue to Removed
- Back – Navigates to the Search EFI Files page

7.7.1   Field Descriptions

Exhibit 7-10 Search EFI File Results Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EFI Request File Name	The name originally given to the file by the EFI Organization.	N/A – Display only
System Generated File Name	The systems generated file ID given to the uploaded file.	N/A – Display only
Org ID	The EFI Organization ID.	N/A – Display only
Upload Date	The date the file was uploaded.	N/A – Display only
Release Date	The date the file was released from the queue.	N/A – Display only
Last Generated Date	Most current date that EFI file was modified or updated.	N/A – Display only
Response EFI File Size	Size of the EFI file.	N/A – Display only
Status	Current status of the EFI file. The file status' are: In Queue, Error in Processing, Rejected, In Process, Processing Completed, Removed	N/A – Display only
Available Action	The download status of the file uploaded.	Optional

7.8   EFI Download – Destination Dialog Screen

The EOR selects the destination to which he/she prefers to save the downloaded file on the download – destination dialog box. The EOR may select any file location via the appropriate dialog box displaying the drives and folders to which he/she has access.

Exhibit 7-11 FI File Download Page Screen
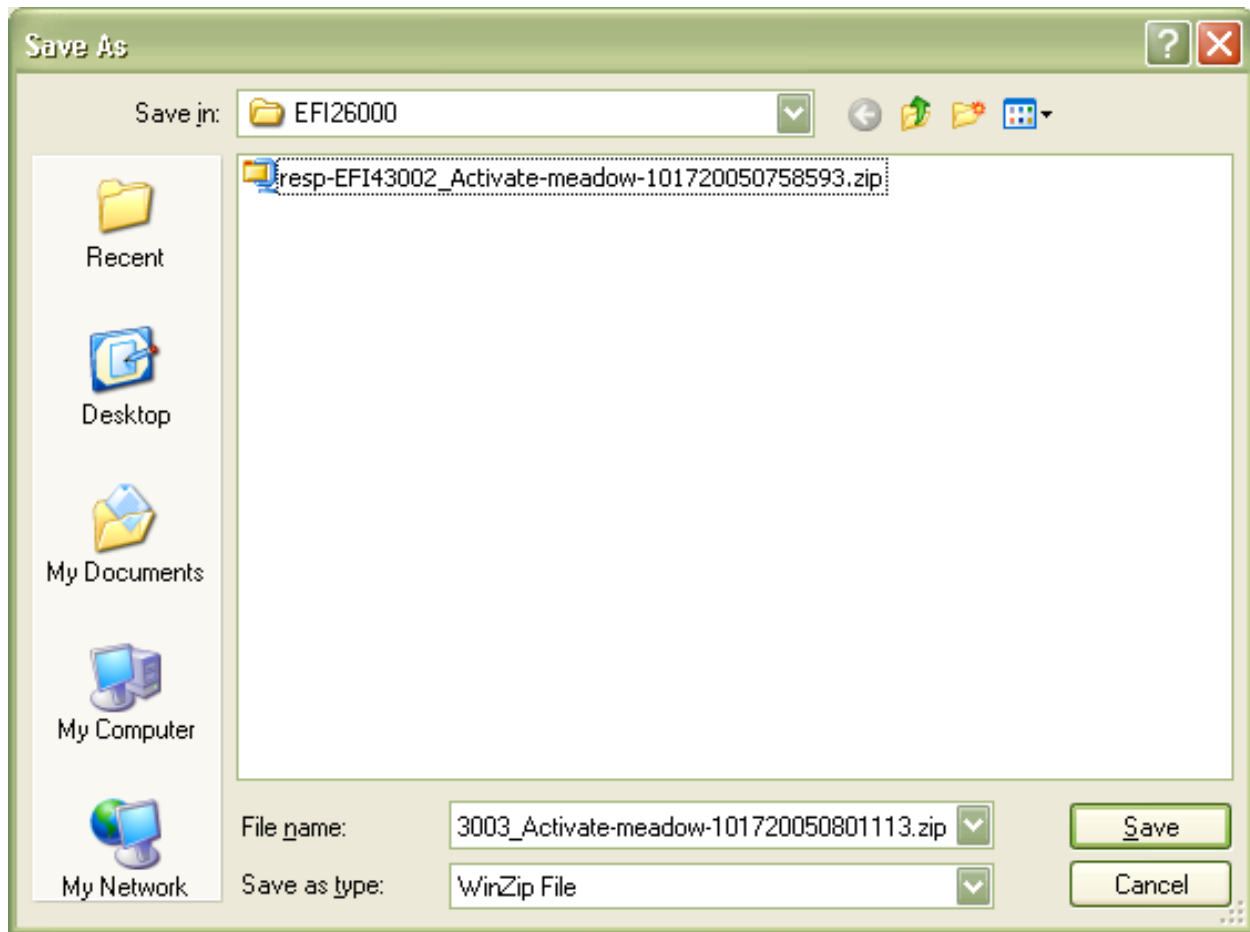
The user has the following navigational controls which are specific to the download – destination dialog screen:

- Save – Saves the EFI file to the destination the user desires
- Cancel – Returns the user to the EFI File Results page

7.9   EFI File Confirmation Page

The EFI File Confirmation page displays when the Remove link is selected on the EFI File Results page. This is a dynamic page where the EOR user confirms the action on a specific file.

When the EOR user selects the Yes button, the system makes sure that no processing is performed on the file, navigates back to the EFI File Results page with the selected file's status changed to "Removed," and displays the appropriate message. If the EOR has questions regarding which user removed a particular file from the queue, they must contact the NPI Enumerator. The EOR has the option to select another file or select the Back button to return to the Search EFI Files page.

Exhibit 7-12 EFI File Confirmation Page Screen
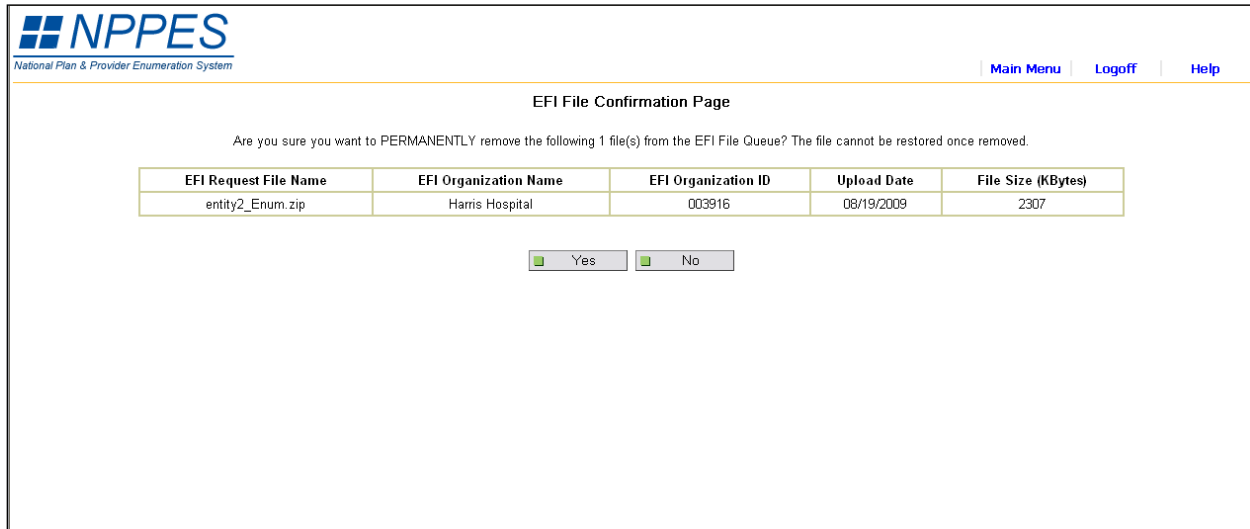
The user has the following navigational controls which are specific to the EFI File Confirmation page:

- Main Menu – Navigates to EFI Main Menu page
- Help – Navigates to Help for the EFI File Confirmation page
- Logoff – Exists the system and navigates to the Logoff Confirmation page
- Yes – Permanently deletes the EFI file from the queue.
- No – Cancels the action and navigates back to the EFI File Results page

7.9.1 Field Descriptions

Exhibit 7-13 EFI File Confirmation Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EFI Request File Name	The name originally given to the file by the EFI Organization.	N/A – Display only
EFI Organization Name	The EFI Organization name.	N/A – Display only
EFI Organization ID	The EFI Organization ID.	N/A – Display only
Upload Date	Date file was originally uploaded.	N/A – Display only
File Size	File size in kilobytes.	N/A – Display only

7.10 Change EOR Password Page

The EOR accesses the Change EOR Password page from the EFI Main Menu page. This page enables the EOR to change his/her password. The Change EOR Password page requires the EOR to enter his/her existing password, the new password, and retype the new password for confirmation to change the password. Passwords can be changed by the EOR once every 24 hours. This functionality will be disabled for 24 hours after a successful password change by the EOR.

An EOR unable to or having difficulty with resetting their password may contact the NPI Enumerator to request a password reset. The EOR will be required to change their password after the password is reset by the NPI Enumerator. Once the password is changed, the functionality will be disabled for 24 hours.

Exhibit 7-14 Change EOR Password Page Screen

The user has the following navigational controls which are specific to the Change EOR Password page:

- Save – Submits the Password change. Display appropriate error message for violated field edits

- Cancel – Returns the user to the EFI Main Menu. Any changes that were made to the data are not saved

- Main Menu – Navigates to the EFI Main Menu page

- Help – Navigates to Help for the Change EOR Password page

- Logoff – Navigates to the Logoff Confirmation page

7.10.1 Field Descriptions

Exhibit 7-15 Change EOR Password Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
Current EOR Password	The existing password associated with the EOR's record.	Required
New EOR Password	The new password the user wants to associate with the EOR record.	Required
Retype New EOR Password	The confirmation of the new password the user wants to associate with the EOR record.	Required

7.11   Reset EOR Password Page

The EOR accesses the Reset EOR Password page from the EFI Login page. This page enables the EOR to reset his/her forgotten NPPES password. The Reset EOR Password page requires the user to answer a random set of three of the five secret questions selected when the account was created. If all information matches that in the database, the EOR is able to enter and confirm a new password. NPPES allows three attempts to answer the secret questions before locking the account.

Exhibit 7-16 Reset EOR Password Page Screen

The user has the following navigational controls which are specific to the Reset EOR Password page:

- Reset – Processes reset password request. Navigates to the EFI Login page
- Cancel – Returns EOR to the EFI Main Menu page. Any changes that were made to the data are not saved
- Home – Navigates to the NPPES Home page
- Help – Navigates to Help for the Reset Password page

7.11.1 Field Descriptions

Exhibit 7-17 Reset EOR Password Page Fields Description

Field Name	Description	Requirement Level: Required, Situational, or Optional
EOR User ID	The User ID that is associated with the EOR.	NA – Display Only
Secret Question 1	Secret question 1 – A random question selected from the five secret questions provided when the account was created.	NA – Display only
Answer 1	The response to secret question 1.	Required
Secret Question 2	Secret question 2 – A random question selected from the five secret questions provided when the account was created	NA – Display only
Answer 2	The response to secret question 2.	Required
Secret Question 3	Secret question 3 – A random question selected from the five secret questions provided when the account was created	NA – Display only
Answer 3	The response to secret question 3.	Required
New EOR Password	The new password the user wants to associate with the EOR's record.	Required
Retype New EOR Password	The confirmation of the new password the user wants to associate with the EOR record.	Required

8   Notifications

The EOR receives e-mails from NPPES to indicate the status of the organization and representative(s) as well as the results of the EFI file processing. All correspondence is sent via e-mail; no letters are generated.

Actions (enumeration and changes) as a result of EFI processing do not generate letters or e-mails to each provider. It is up to the EFI Organization to notify the providers of the results of the EFI transactions (assigned NPI, successful change or rejection of application/change request). The only exception to this is when an EFI record is accessed by the NPI Enumerator. The NPI Enumerator has the ability to send the NPI Assignment notification to the provider via mail or e-mail. In addition, the NPI Enumerator has the ability to send the NPI Assignment notification to all active EORs associated with the EFI Organization.

The EOR can receive any of the following e-mail notifications shown below. Note that in all exhibits the address contactperson@somehost.com is replaced by the e-mail address of the EOR(s) for the EFI Organization.

Exhibit 8-1 E-mail Format of EFI Organization Activation

To:	contactperson@somehost.com
Date:	[System Generated]
Subject:	National Provider Identifier

The NPI Enumerator has received your request for authorization to submit EFI files to the National Provider Identifier System. Your EFI Organization ID is XXXXXX and it has been successfully activated. You will be notified of your Representative authorization separately. Activation of both EFI Organization ID and a Representative are required in order for the NPI System to process the EFI file.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
     NPI Enumerator
     PO Box 6059
     Fargo, ND 58108-6059
     -800-465-3203 (NPI Toll-Free)
     1-800-692-2326 (NPI TTY)
     customerservice@npienumerator.com

Exhibit 8-2 E-mail Format of EFI Organization Rejection

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The NPI Enumerator has received your request for authorization to submit EFI files to the National Provider Identifier System. This is to inform you that the organization's request was unsuccessful.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
      NPI Enumerator
      PO Box 6059
      Fargo, ND 58108-6059
      1-800-465-3203 (NPI Toll-Free)
      1-800-692-2326 (NPI TTY)
      customerservice@npienumerator.com

Exhibit 8-3 E-mail Format of EFI Organization Deactivation

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The NPI Enumerator has deactivated your authorization to submit EFI files to the National Provider Identifier System. All representatives associated with your organization have been deactivated, also.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
            NPI Enumerator
            PO Box 6059
            Fargo, ND 58108-6059
            1-800-465-3203 (NPI Toll-Free)
            1-800-692-2326 (NPI TTY)
            customerservice@npienumerator.com

Exhibit 8-4 E-mail Format of EFI Representative Activation

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The NPI Enumerator has received a request for authorization to submit EFI files to the National Provider Identifier System. The User ID for [EOR First Name, EOR Middle Name, EOR Last Name] has been successfully activated. Activation of both EFI Organization and Representative are required in order for the NPI System to process the EFI file.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
        NPI Enumerator
        PO Box 6059
        Fargo, ND 58108-6059
        1-800-465-3203 (NPI Toll-Free)
        1-800-692-2326 (NPI TTY)
        customerservice@npienumerator.com

Exhibit 8-5 E-mail Format for Representative Rejection

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The NPI Enumerator has rejected the request for authorization to submit EFI files to the National Provider Identifier System by [EOR First Name, EOR Middle Name, EOR Last Name].

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
        NPI Enumerator
        PO Box 6059
        Fargo, ND 58108-6059
        1-800-465-3203 (NPI Toll-Free)
        1-800-692-2326 (NPI TTY)
        customerservice@npienumerator.com

Exhibit 8-6 E-mail Format of Representative Deactivation

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The NPI Enumerator has deactivated the authorization to submit EFI files to the National Provider Identifier System by [EOR First Name, EOR Middle Name, EOR Last Name].

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
         NPI Enumerator
         PO Box 6059
         Fargo, ND 58108-6059
         1-800-465-3203 (NPI Toll-Free)
         1-800-692-2326 (NPI TTY)
         customerservice@npienumerator.com

Exhibit 8-7 E-mail Format for EFI File Name Assignment

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The National Provider Identifier System received the following EFI file that you submitted to https://nppes.cms.hhs.gov:
         [Organization File Name]

This is to inform you that the NPI System generated EFI file name is:
         [EFI File Name]

You will be notified regarding the status of your EFI file and once processing is complete, the EFI file can be downloaded and utilized by your facility.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
         NPI Enumerator
         PO Box 6059
         Fargo, ND 58108-6059
         1-800-465-3203 (NPI Toll-Free)
         1-800-692-2326 (NPI TTY)
         customerservice@npienumerator.com

Exhibit 8-8 E-mail Format of EFI File Rejection

The EFI File Rejection E-mail notification includes only the specific information regarding the file failure.

The Request EFI File rejection e-mail will contain only one of the following reasons:

- XML schema errors: XML schema errors - Make sure you are using the latest schema. To download the latest schema visit the NPI website at https://nppes.cms.hhs.gov.

- Header Errors: EFIO submitter used an invalid Submitter Identifier number. (EFI Organization ID)

- Header Errors: Transaction Type code is listed as something other than RK (new request), and U5 (update/modify) request.

- Header Errors: Transaction set purpose code is listed as something other than 13. (13 is for request and 11 for response)

- EFI File Format Error - Make sure you are using the ASCII file format.

- No XML file is provided within an uploaded zip file

- The original uploaded file size is ZERO

To: efirepresentative@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The National Provider Identifier System received the following Request EFI file that you submitted to https://nppes.cms.hhs.gov:

      [Original File Name]
      [System Generated File Name}

This is to inform you that the Request EFI file has been rejected due to the following rejection reason:

      XML schema errors - Make sure you are using the latest schema. To download the latest schema visit the NPI website at https://nppes.cms.hhs.gov.

Before resubmitting a file, please review your submission to ensure that it is consistent with the XML schema and that the information contained in each record is accurate and complete.

If you have any questions, you may:
      1.) Refer to the NPI website (https://nppes.cms.hhs.gov) or
      2.) Contact the NPI Enumerator at:

      NPI Enumerator
      PO Box 6059
      Fargo, ND 58108-6059
      1-800-465-3203 (NPI Toll-Free)
      1-800-692-2326 (NPI TTY)
      customerservice@npienumerator.com

Exhibit 8-9 E-mail Format for EFI File Completion

To: contactperson@somehost.com
Date: [System Generated]
Subject: National Provider Identifier

The National Provider Identifier System received the following EFI file that you submitted to https://nppes.cms.hhs.gov:

     [Organization File Name]
     [EFI File Name]

This is to inform you that the EFI file has been processed and can be downloaded for use by your facility. Please note that the NPI Enumerator will continue to review any records that are in a pended status.

If you have any questions, you may:
1.) Refer to the NPI website (https://nppes.cms.hhs.gov), or
2.) Contact the NPI Enumerator at:
     NPI Enumerator
     PO Box 6059
     Fargo, ND 58108-6059
     1-800-465-3203 (NPI Toll-Free)
     1-800-692-2326 (NPI TTY)
     customerservice@npienumerator.com

9 EFI File Requirements

9.1 Extensible Markup Language (XML) Format

XML (Extensible Markup Language) is the web based language of choice with which all EFI files are generated. XML is designed specifically for Web documents.

Chapter 9 describes each XML attribute required to enumerate or change a provider through the EFI process.

9.2 Zipped File Format

The EOR must individually zip each EFI file before beginning the upload process. A zip file means to compress a file to a minimal size. Therefore making the zip file smaller compared to the unzipped file, resulting in a faster upload. The only pre-validation visible to the EOR after uploading an EFI file is limited to a confirmation that the file was received in the correct file type (proper file extension) and a check for special characters in the file name.

10   XML Supporting Documentation

The tables in Section 10.1 describe each XML attribute in detail. In Section 10.2 the XML attributes are combined to create the XML schema. If a record has more than one pre processing errors, the response file will include condition indicator codes and reasons for each separate error.

Note: The 'Valid Values' listed for the XML attributes are just an example and not necessarily a reflection of every possible value.

10.1   XML Attributes

Exhibit 10-1 XML Supporting Documentation

XML Attribute	CMS27410200_BHT02_TransactionSetPurposeCode
Description	Indicates the purpose of the file
Valid Values	11 (Response) 13 (Request)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27410200_BHT06_TransactionTypeCode
Description	Describes the action type of the file
Valid Values	RK (New Application) U5 (Update)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420300_2100AA_NM109_SubmitterIdentifier
Description	Six-digit EFI Organization ID
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be six digits Must be a valid EFI Organization ID
Related NPI Application Section	N/A

XML Attribute	CMS27420300_2100AA_NM109_SubmitterIdentifier
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420100_2000C_TRN02_ReferenceIdentification
Description	Provider's Tracking ID
Valid Values	Blank (for new applications)
Required	No
Repeating	N/A
Edits	N/A
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420300_2100CA_NM102_EntityTypeQualifier
Description	Provider's Entity Type
Valid Values	1 (Individual) 2 (Organization)
Required	Yes
Repeating	No
Edits	Must be a valid value Cannot change entity type on an existing NPI record
Related NPI Application Section	Section 1 B
NPI Application Equivalent Field Name	Entity Type

XML Attribute	CMS27420300_2100CA_NM103_ProviderLastOrOrganizationName2
Description	Last name of individual provider or complete name of organization provider
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Data must be entered and valid
Related NPI Application Section	Section 2 A (Individual) / Section 2 B (Organization)
NPI Application Equivalent Field Name	Individual Last Name / Organization and Group Name

[2] The Change Request XML files use the Provider Last Name or Organization Name as a key field to identify either the Entity Type 1 (Individual) or Entity Type 2 (Organization) record in NPPES.

XML Attribute	CMS27420300_2100CA_NM104_ProviderFirstName
Description	First name of individual provider
Valid Values	N/A
Required	Yes – for Entity Type 1 providers
Repeating	No
Edits	Data must be entered
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Provider First Name

XML Attribute	CMS27420300_2100CA_NM105_ProviderMiddleName
Description	Middle name of individual provider
Valid Values	N/A
Required	No
Repeating	No
Edits	N/A
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Middle Name

XML Attribute	CMS27420300_2100CA_NM106_ProviderNamePrefix
Description	Name prefix for individual provider
Valid Values	Ms., Mr., Miss, Mrs., Dr., Prof.
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Prefix

XML Attribute	CMS27420300_2100CA_NM107_ProviderNameSuffix
Description	Name suffix for individual provider
Valid Values	Jr., Sr., I, II, III, IV, V, VI, VII, VIII, IX, X
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 2 A

XML Attribute	CMS27420300_2100CA_NM107_ProviderNameSuffix
NPI Application Equivalent Field Name	Individual Suffix

XML Attribute	CMS27420300_2100CA_NM108_IdentificationCodeQualifier
Description	Code describing the provider identifier
Valid Values	XX (NPI)
Required	Yes (Only on Change Request Files)
Repeating	No
Edits	Must be valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420300_2100CA_NM109_ProviderIdentifier
Description	Provider's NPI number
Valid Values	N/A
Required	Yes (Only on Change Request Files)
Repeating	No
Edits	Must be 10 digits Must be a valid NPI number
Related NPI Application Section	Section 1 A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420300_2100CA_NM110_ProviderNewOrganizationName
Description	Provider Organization New Name
Valid Values	N/A
Required	No
Repeating	No
Edits	Data entered must be valid
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420400_2100CA_N202_ProviderDoingBusinessAsOrTrade Name
Description	Type of Other Provider Name

XML Attribute	CMS27420400_2100CA_N202_ProviderDoingBusinessAsOrTrade Name
Valid Values	1 - Former Name (Individual)
	2 - Professional Name (Individual)
	3 – Doing Business As (Organization)
	4 – Former Legal Business Name (Organization)
	5 – Other Name (Individual or Organization)
Required	Yes – If any "other name" field contains data
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 2 A (Individual) / Section 2 B (Organization)
NPI Application Equivalent Field Name	Type of Other Name

XML Attribute	CMS27421500_2100CA_PSI01_IsSubpart
Description	Organization Subpart Indicator
Valid Values	Y,y (Yes)
	N,n (No)
Required	Yes when entity indicator is 2 (organization)
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 1 B 2
NPI Application Equivalent Field Name	Subpart Question

XML Attribute	CMS27421500_2100CA_PSI02_LegalBusinessName
Description	Parent Organization's Legal Business Name for an Organization Subpart
Valid Values	N/A
Required	Yes – if the organization is a subpart
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 1 B 2
NPI Application Equivalent Field Name	Subpart Question LBN

XML Attribute	CMS27421500_2100CA_PSI03_ParentTaxIdentificationNumber
Description	Parent Organization's EIN for an Organization Subpart

XML Attribute	CMS27421500_2100CA_PSI03_ParentTaxIdentificationNumber
Valid Values	N/A
Required	Yes – if the organization is a subpart
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 1 B 2
NPI Application Equivalent Field Name	Subpart Question TIN

XML Attribute	CMS27420500_2100CA_PER03_CommunicationNumberQualifier
Description	Type of mailing address communication number
Valid Values	EM (E-mail address) TE (Phone Number)
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CA_PER04_CommunicationNumber
Description	Mailing address communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric Response file will not return the …PER03 and PER04 attributes when qualifier (TE) is provided but not the communication number in the EFI request file
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100CA_PER05_CommunicationNumberQualifier
Description	Type of mailing address communication number

XML Attribute	CMS27420500_2100CA_PER05_CommunicationNumberQualifier
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone Number)
Required	No
Repeating	No
Edits	Valid Value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CA_PER06_CommunicationNumber
Description	Mailing address communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100CA_PER07_CommunicationNumberQualifier
Description	Type of mailing address communication number
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone number)
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CA_PER08_CommunicationNumber
Description	Mailing address communication number
Valid Values	N/A

XML Attribute	CMS27420500_2100CA_PER08_CommunicationNumber
Required	No
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Fax Number

XML Attribute	CMS27420600_2100CA_DMG02_ProviderBirthDate3
Description	Provider's date of birth
Valid Values	N/A
Required	Yes – for Entity Type 1 providers
Repeating	No
Edits	Must be a valid date
	Must be in mm/dd/yyyy format
	Must be 18 or more years prior to system date (i.e., provider must be at least 18 years old)
	Must not be more than 106 years prior to the system date
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Date of Birth

XML Attribute	CMS27420600_2100CA_DMG03_ProviderGenderCode
Description	Provider's gender
Valid Values	F (Female)
	M (Male)
Required	Yes – for Entity Type 1 providers
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Provider Gender

XML Attribute	CMS27420700_2100CA_API02_ActionCode
Description	Intermittent statuses of the application when under process (For use in the response file)

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[3] The Change Request XML files use the Provider Birth Date as a key field to identify an Entity Type 1 (Individual) record in the NPPES.

XML Attribute	CMS27420700_2100CA_API02_ActionCode
Valid Values	U (Reject) 33 (Active) A4 (Pended) IA (Deactivated)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420700_2100CA_API04_StatusReasonCode
Description	Deactivation reason code (For use in the response file only)
Valid Values	030 (Fraud) EB1 (Deceased) A13 (Other)
Required	Yes – if Action code is "IA"
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420900_2100CA_DEG04_ProviderProfessionalDesignation
Description	Provider credentials
Valid Values	N/A
Required	No
Repeating	No
Edits	N/A
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Credential

XML Attribute	CMS27421000_2100CA_IND01_CountryOfBirthCode
Description	Provider's country of birth
Valid Values	See section 4.2 of the Technical Companion Guide
Required	Yes – for Entity Type 1 providers

XML Attribute	CMS27421000_2100CA_IND01_CountryOfBirthCode
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual Country of Birth

XML Attribute	CMS27421000_2100CA_IND02_StateOrProvinceOfBirthCode
Description	Provider's state or province of birth
Valid Values	See section 4.1 of the Technical Companion Guide
Required	Yes
Repeating	No
Edits	Must be a valid value Country of Birth must be United States if a state is provided
Related NPI Application Section	Section 2 A
NPI Application Equivalent Field Name	Individual State of Birth or Individual Foreign Province/Territory

XML Attribute	CMS27421200_2100CA_DTP03_DateTimePeriod
Description	Date record was enumerated by NPPES (For use in the response file only)
Valid Values	System Generated
Required	Yes
Repeating	No
Edits	No
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27421400_2100CA_CRC03_ConditionIndicator
Description	Operation Indicator Code (For response file only)
Valid Values	See Chapter 10
Required	Yes
Repeating	Yes
Edits	N/A
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27421400_2100CA_CRC05_ConditionDetail
Description	Indicates reason the record rejected (For response file only)
Valid Values	Invalid provider date of birth Mailing address line 1 is not provided
Required	Optional
Repeating	Yes
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27421300_2100CA_MTX02_TextualData
Description	Deactivation reason description (For response file only)
Valid Values	N/A
Required	Yes- if deactivation status reason code is "A13"(Other)
Repeating	No
Edits	N/A
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27422100_2110CA_NX101_AddressTypeCode
Description	Code describing the provider's address
Valid Values	31 (mailing)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27422300_2110CA_N301_ProviderAddressLine
Description	Mailing address street line 1. .Provider domestic and military mailing street address line 1 is standardized using Universal Coder. See section 11 for details regarding address standardization.
Valid Values	N/A
Required	Yes
Repeating	No

XML Attribute	CMS27422300_2110CA_N301_ProviderAddressLine
Edits	N/A
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Mailing Address Line 1

XML Attribute	CMS27422300_2110CA_N302_ProviderAddressLine
Description	Mailing address street line 2
Valid Values	N/A
Required	No
Repeating	No
Edits	N/A
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Mailing Address Line 2

XML Attribute	CMS27422400_2110CA_N401_ProviderCityName
Description	Mailing address city. .Provider domestic and military mailing address city name is standardized using Universal Coder. See section 11 for details regarding address standardization.
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be entered
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	City

XML Attribute	CMS27422400_2110CA_N402_ProviderStateCode
Description	Mailing address state or province /territory. .Provider domestic and military mailing address state code is standardized using Universal Coder. See section 11 for details regarding address standardization.
Valid Values	See section 4.1 of the Technical Companion Guide
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	State

XML Attribute	CMS27422400_2110CA_N403_ProviderPostalZoneOrZipCode
Description	Mailing address postal code. .Provider domestic and military mailing address zip code is standardized using Universal Coder. See section 11 for details regarding address standardization.
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be numeric First 5 digits required
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Zip+4 or Foreign Postal Code

XML Attribute	CMS27422400_2110CA_N404_ProviderCountryCode
Description	Mailing address two character country code
Valid Values	See section 4.2 of the Technical Companion Guide
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 3 A
NPI Application Equivalent Field Name	Country Name

XML Attribute	CMS27422600_2120CA_LQ01_CodeListQualifierCode
Description	Provider Type (first two digits of the taxonomy code)
Valid Values	See http://www.wpc-edi.com/codes/taxonomy
Required	Yes
Repeating	Yes
Edits	Must be a valid value
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	Primary Provider Taxonomy Code

XML Attribute	CMS27422600_2120CA_LQ03_IsPrimaryTaxonomy
Description	Primary Taxonomy Indicator
Valid Values	Y, y (Yes – this Taxonomy is primary) N, n (No – this taxonomy is not primary)
Required	Yes
Repeating	Yes

XML Attribute	CMS27422600_2120CA_LQ03_IsPrimaryTaxonomy
Edits	Must be a valid value
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	Primary Taxonomy Question

XML Attribute	CMS27422600_2120CA_LQ02_ProviderSpecialityCode
Description	Taxonomy Code
Valid Values	See http://www.wpc-edi.com/codes/taxonomy Note: NPPES doesn't allow "193200000X" and "193400000X" Taxonomy numbers. See Technical Companion Guide section 2.3.25 for more information
Required	Yes
Repeating	Yes
Edits	Must be a valid value
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	Primary Provider Taxonomy Code

XML Attribute	CMS27423200_2130CA_HPL02_ProviderIdentificationNumber
Description	License Number
Valid Values	N/A
Required	Yes – For certain individual taxonomy codes
Repeating	No
Edits	License Number is entered
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	License Number

XML Attribute	CMS27423200_2130CA_HPL04_IssuingStateCode
Description	Two character code for the state where the license was issued
Valid Values	See section 4.1 of the Technical Companion Guide
Required	Yes – If a license number is provided
Repeating	No
Edits	Must have a License Number
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	State where issued

XML Attribute	CMS27423400_2140CA_REF01_ReferenceIdentificationQualifier
Description	Type of other identification number
Valid Values	Code – Description: MP – MEDICARE PIN 1D – MEDICAID 1G – MEDICARE UPIN EI – Employer's Identification Number (EIN) EN – Employer's New Identification Number (New EIN) SY- Social Security Number (SSN) TJ – Federal Taxpayer's Identification Number (ITIN) OS – MEDICARE OSCAR NS – MEDICARE NSC OT – Other Type 1C-MEDICARE-ID-UNKNOWN4
Required	No
Repeating	Yes
Edits	Must be a valid (2 character) value from the above list
Related NPI Application Section	Section 2 A \ Section 2 B \ Section 3 C
NPI Application Equivalent Field Name	SY (SSN) \ EI (EIN) \ Issuer (Medicare PIN, Medicaid)

XML Attribute	CMS27423400_2140CA_REF02_ProviderIdentifier
Description	Other identification number
Valid Values	N/A
Required	Yes for Entity Type 1 – SY (SSN) or Entity Type 2 – EI (EIN)
Repeating	Yes – see valid values in XML attribute CMS27423400_2140CA_REF01_ReferenceIdentificationQualifier
Edits	Must be 9 digits if SY (SSN) May only contain numbers SY (SSN) Must be 9 digits EI (EIN) May only contain numbers EI (EIN) OSCAR numbers must be 6-15 characters NSC numbers must be 10 digits
Related NPI Application Section	Section 2 A \ Section 2 B \ Section 3 C
NPI Application Equivalent Field Name	SY (SSN) \EI (EIN) \ Identification Number (all other types)

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[4] The code "1C" is only valid for Medicare ID-Unknown identifiers entered into NPPES prior to release 1.4. Any new identification numbers submitted with a code of "1C" after release 1.4 will cause the record to be rejected. Changes to an existing Medicare ID-Unknown identifier will also cause the record be rejected. Deletion of an identifier with an Issuer of Medicare ID-Unknown is permitted. An existing Medicare ID-Unknown identifier is deleted from the system by omitting that data from an EFI Change request file.

XML Attribute	CMS27423400_2140CA_REF03_Description
Description	This attribute contains the Issuer for an Other ID of type Other
Valid Values	Title of Issuer for the identification number of type Other
Required	If a number type of OT (Other) is used
Repeating	Yes
Edits	Record will reject if provided for any number type other than OT
Related NPI Application Section	Section 3 C
NPI Application Equivalent Field Name	Issuer (For Other Number Type Only)

XML Attribute	CMS27423400_2140CA_REF05_State
Description	Two-character code for the State where the number was issued
Valid Values	The other identification number issuing state. See the Technical Companion Guide Section 4.1 for a list of valid values
Required	If a number type of 1D (Medicaid) is used
Repeating	Yes
Edits	Must be a valid two-character state code
Related NPI Application Section	Section 3 C
NPI Application Equivalent Field Name	State

XML Attribute	CMS27420300_2100CD_NM101_EntityIdentifierCode
Description	Type of affiliated entity
Valid Values	J2 (Authorized Official) VI (Contact Person) XD (Other Name)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420300_2100CD_NM103_AffiliatedEntityLastOrOrganizationName
Description	Last name of affiliated individual or full name of affiliated organization
Valid Values	N/A
Required	Yes
Repeating	No

XML Attribute	CMS27420300_2100CD_NM103_AffiliatedEntityLastOrOrganizationName
Edits	Must be entered
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	Last Name

XML Attribute	CMS27420300_2100CD_NM104_AffiliatedEntityFirstName
Description	First name of affiliated individual
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be entered
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	First Name

XML Attribute	CMS27420300_2100CD_NM105_AffiliatedEntityMiddleName
Description	Middle name of affiliated individual
Valid Values	N/A
Required	No
Repeating	No
Edits	N/A
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	Middle Name

XML Attribute	CMS27420300_2100CD_NM106_AffiliatedEntityNamePrefix
Description	Name prefix of affiliated individual
Valid Values	Ms., Mr., Miss, Mrs., Dr., Prof.
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	Prefix

XML Attribute	CMS27420300_2100CD_NM107_AffiliatedEntityNameSuffix
Description	Name suffix of affiliated individual
Valid Values	Jr., Sr., I, II, III, IV, V, VI, VII, VIII, IX, X
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	Suffix

XML Attribute	CMS27420500_2100CD_PER03_CommunicationNumberQualifier
Description	Type of affiliated individual communication number
Valid Values	EM (E-mail address) TE (Phone Number)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CD_PER04_CommunicationNumber
Description	Affiliated individual communication number
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official)
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100CD_PER05_CommunicationNumberQualifier
Description	Type of affiliated individual communication number
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone number

XML Attribute	CMS27420500_2100CD_PER05_CommunicationNumberQualifier
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CD_PER06_CommunicationNumber
Description	Affiliated individual communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official)
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100CD_PER07_CommunicationNumberQualifier
Description	Type of affiliated individual communication number
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone number)
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100CD_PER08_CommunicationNumber
Description	Affiliated individual communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric

XML Attribute	CMS27420500_2100CD_PER08_CommunicationNumber
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official)
NPI Application Equivalent Field Name	Fax Number

XML Attribute	CMS27420600_2100CD_DEG04_Description
Description	Credentials for affiliated individual
Valid Values	N/A
Required	No
Repeating	No
Edits	N/A
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official) / 2A (Other Name)
NPI Application Equivalent Field Name	Credentials

XML Attribute	CMS27421300_2100CD_MTX02_TextualData
Description	Title for affiliated individual
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be entered
Related NPI Application Section	Section 5 (Contact Person) / Section 4B (Authorized Official)
NPI Application Equivalent Field Name	Title/Position

XML Attribute	CMS27420500_2100DA_PER03_CommunicationNumberQualifier
Description	Type of practice location communication number
Valid Values	TE (Phone Number)
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100DA_PER04_CommunicationNumber
Description	Practice location communication number
Valid Values	N/A

XML Attribute	CMS27420500_2100DA_PER04_CommunicationNumber
Required	Yes
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100DA_PER05_CommunicationNumberQualifier
Description	Type of practice location communication number
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone number)
Required	No
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100DA_PER06_CommunicationNumber
Description	Practice location communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Telephone Number

XML Attribute	CMS27420500_2100DA_PER07_CommunicationNumberQualifier
Description	Type of practice location communication number
Valid Values	EM (E-mail address) EX (Extension) FX (Fax number) TE (Phone number)
Required	No

XML Attribute	CMS27420500_2100DA_PER07_CommunicationNumberQualifier
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	N/A
NPI Application Equivalent Field Name	N/A

XML Attribute	CMS27420500_2100DA_PER08_CommunicationNumber
Description	Practice location communication number
Valid Values	N/A
Required	No
Repeating	No
Edits	Must be numeric
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Fax Number

XML Attribute	CMS27422300_2110DA_N301_SiteOrLocationAddressLine
Description	Practice location address street line 1. Provider domestic, and military practice location street address line 1 is standardized using Universal Coder. See section 11 for details regarding address standardization
Valid Values	N/A
Required	Yes
Repeating	No
Edits	May not be a PO Box
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Primary Practice Location Address Line 1

XML Attribute	CMS27422300_2110DA_N302_SiteOrLocationAddressLine
Description	Practice location address street line 2
Valid Values	N/A
Required	No
Repeating	No
Edits	May not be a PO Box
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Primary Practice Location Address Line 2

XML Attribute	**CMS27422400_2110DA_N401_SiteOrLocationCityName**
Description	Practice location address city. Provider domestic, and military practice location address city name is standardized using Universal Coder. See section 11 for details regarding address standardization
Valid Values	N/A
Required	Yes
Repeating	No
Edits	N/A
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	City

XML Attribute	**CMS27422400_2110DA_N402_SiteOrLocationStateCode**
Description	Practice location address state or province/territory code. Provider domestic, and military practice location address state code is standardized using Universal Coder. See section 11 for details regarding address standardization
Valid Values	See section 4.1 of the Technical Companion Guide
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	State

XML Attribute	**CMS27422400_2110DA_N403_SiteOrLocationPostalZoneOrZipCode**
Description	Practice location address postal code. Provider domestic and military practice location address zip code is standardized using Universal Coder. See section 11 for details regarding address standardization
Valid Values	N/A
Required	Yes
Repeating	No
Edits	Must be numeric Must have first 5 digits (applicable to domestic addresses only)
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	ZIP+4 OR Foreign Postal Code

XML Attribute	**CMS27422400_2110DA_N404_SiteOrLocationCountryCode**
Description	Practice location address country code

XML Attribute	**CMS27422400_2110DA_N404_SiteOrLocationCountryCode**
Valid Values	See section 4.2 of the Technical Companion Guide
Required	Yes
Repeating	No
Edits	Must be a valid value
Related NPI Application Section	Section 3 B
NPI Application Equivalent Field Name	Country Name

XML Attribute	**CMS27422600_2120EA_LQ01_CodeListQualifierCode**
Description	Provider Type (first two digits of the taxonomy code) repeated for Group Practices
Valid Values	See http://www.wpc-edi.com/codes/taxonomy
Required	Yes – for Entity Type 2 providers that have a group taxonomy
Repeating	No
Edits	Must be valid value
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	Primary Provider Taxonomy Code

XML Attribute	**CMS27422600_2120EA_LQ02_ProviderGroupSpecialtyCode5**
Description	Taxonomy code repeated for Group Practices
Valid Values	See http://www.wpc-edi.com/codes/taxonomy
Required	Yes – for Entity Type 2 providers that have group taxonomy. See Technical Companion Guide section 2.3.44 for more information
Repeating	No
Edits	Must be valid value
Related NPI Application Section	Section 3 D
NPI Application Equivalent Field Name	Primary Provider Taxonomy Code

10.2   XML Schema

See the NPPES website for the latest XML Schema. https://nppes.cms.hhs.gov/

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[5] The state and license number for group taxonomies are entered under XML Element CGIAMS27423200_2130CA_HPL04_IssuingStateCode and CGIAMS27423200_2130CA_HPL02_ProviderIdentificationNumber.

11 Operation Indicator Codes

The Operation Indicator Codes are used in the XML return file to indicate to the EFI Organization NPPES disposition of the record. In the table below, each Operation Indicator Code is listed with the description, conditions that evoke the code, and the action to correct them.

Exhibit 11-1 Operation Indicator Codes

Operation Indicator Code	Description for Operation Indicator Code 01
Description	The record has failed an NPPES field edit.
Possible Causes/Reasons for rejection	Entity Type.
	Invalid provider prefix
	Invalid provider suffix
	Other type of name not in the given list
	Invalid other provider prefix
	Invalid other provider suffix
	Invalid SSN format
	Invalid EIN format.
	Invalid TIN format.
	An SSN has been found in the field
	Employer Identification Number (EIN) may not be all zeros
	An EIN has been found in the field
	A 9-digit number has been found in the field
	Provider new EIN is not a number.
	Provider new EIN is not a number of 9 digits.
	Employer New Identification Number (New EIN) may not be all zeros
	Parent Legal Business Name is provided when Organization Subpart indicator is set to 'no'
	Parent Tax Identification Number is not a 9 digit number
	Parent Tax Identification Number (TIN) may not be all zeros.
	Parent Tax Identification Number is provided when Organization Subpart indicator is set to 'no'
	Invalid provider date of birth
	Invalid provider date of birth (not of format mm/dd/yyyy)
	Provider Date of Birth must be prior to today's date.
	Invalid provider date of birth (provider age is less than 18 years). A paper application must be submitted for providers under the age of 18.
	Provider date of birth exceeded 106 years
	Invalid provider country of birth
	Invalid provider state of birth
	Invalid provider gender
	Invalid authorized official prefix
	Invalid authorized official suffix

Operation Indicator Code	Description for Operation Indicator Code 01
Possible Causes/Reasons for rejection (continued)	Authorized Official Phone Number is not a number
	Authorized Official Phone Number must be at least 10 digits
	Authorized Official Phone Number can not contain all zeros
	Authorized Official Phone Number Extension is not a number
	Authorized Official Phone Number Extension can not contain all zeros
	Mailing address state is not matched with the existing NPPES database state list
	Mailing address foreign zip code length is more than 20 characters
	Mailing address zip code is not a Number
	Mailing address country code is not matched with the existing NPPES database country list
	Domestic Mailing address zip code is not a digit of length 5 or 9
	Mailing Address Phone Number is not a number
	Mailing address phone number is not a digit or length greater than 20
	Mailing address phone number is not a 10 digit Number
	Mailing Address Phone Number can not contain all zeros
	Mailing Address Phone Number must be at least 10 digits
	Mailing Address Phone Number Extension is not a number
	Mailing Address Phone Number Extension can not contain all zeros
	Mailing address fax number length greater than 20 characters
	Mailing address fax number is not a 10 digit number
	Mailing Address Fax Number is not a number
	Mailing Address Fax Number can not contain all zeros
	Mailing Address Fax Number must be at least 10 digits
	Practice location address can not contain PO BOX like information
	Practice location address state is not matched with the existing NPPES database state list
	Practice location address zip code is not a Number
	Practice location address foreign zip code length is more than 20 characters
	Domestic Practice Location address zip code is not a digit of length 5 or 9
	Practice location address country code is not matched with the existing NPPES database country list
	Practice Location Address Phone Number is not a number
	Practice Location Address Phone Number can not contain all zeros
	Practice Location Address Phone Number must be at least 10 digits
	Practice Location Address Phone Number Extension is not a number
	Practice Location Address Phone Number Extension can not contain all zeros
	Practice location address phone number length greater than 20 characters
	Practice location address phone number is not a 10 digit Number
	Practice Location Address Fax Number is not a number
	Practice Location Address Fax Number can not contain all zeros

Operation Indicator Code	Description for Operation Indicator Code 01
Possible Causes/Reasons for rejection (continued)	Practice Location Address Fax Number must be at least 10 digits
	Practice location address fax number length greater than 20
	Practice location address fax number is not a 10 digit number
	Military mailing address zip code is not a Number
	Military mailing address zip code is not a digit of length 5 or 9
	Military practice address zip code is not a Number
	Military practice address zip code is not a digit of length 5 or 9
	Invalid other identification number state code
	Other Identification Number length must be 6 to 15 characters long when type is OSCAR
	Other Identification number must be alphanumeric and contain no special characters when type is OSCAR
	Other Identification Number length must be 10 digits long when type is NSC
	Other Identification Number must be numeric and contain no special characters when type is NSC
	Other Identification Number type code [code] not supported in NPPES
	Example: Other Identification Number type code 1A not supported in NPPES
	Other ID Description not valid when issuer type code is [code]
	Example: Other ID Description not valid when issuer type code is 1A
	Invalid taxonomy number
	Invalid taxonomy License/State code
	More than one Taxonomy selected as Primary Taxonomy
	Group taxonomy number 193200000X is not allowed
	Group taxonomy number 193400000X is not allowed
	Number of taxonomy specialty codes does not match with number of codes or states or license number
	Number of taxonomy specialty codes does not match with number of group specialty code provided
	You cannot have two groups in same Record
	Invalid contact person prefix
	Invalid contact person suffix
	Contact Person Phone Number is not a number
	Contact Person Phone Number must be at least 10 digits
	Contact Person Phone Number can not contain all zeros
	Contact Person Phone Number Extension is not a number
	Contact Person Phone Number Extension can not contain all zeros
	Invalid contact person e-mail address
	NPI number provided in new request
	Invalid NPI number (NPI number is not a number of 10 digits)
	Status reason reference code is not provided
	Invalid status reason reference code (NOT from the existing list)

Operation Indicator Code	Description for Operation Indicator Code 01
Possible Causes/Reasons for rejection (continued)	Status reason reference text NOT provided for other status reason reference code
	Disallowed character(s) found in [Group/Field Name] field
	Example: Disallowed character(s) found in Provider Name field.
	[Field Name] field length is more than system will allow
	Example: SSN field length is more than system will allow
	EFI change request may not be submitted for a Sole Proprietor application.
	Taxonomy number can not be either empty or null
	Disallowed character(s) found in [Group/Field Name] field
Action	Correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 02
Description	Required data is missing from the record.
Possible Causes/Reasons for rejection	Provider first name is not provided
	Provider last Name is not provided
	Organization provider name is not provided
	SSN can not be blank.
	EIN is not provided
	Organization Subpart information is not provided
	Parent Legal Business Name is not provided
	Parent Tax Identification Number is not provided
	Provider state of birth is not provided
	Provider date of birth is not provided
	Provider country of birth is not provided
	Provider gender is not provided
	Other Name Type Required when Other Name fields contain data.
	Other Name Type Required when Other Organization Name contains data.
	Provider Other Name Incomplete. Provider Other Name must contain First and Last Name.
	Other Organization Name is incomplete. If an Other Name Type is selected, Other Organization Name must be entered.
	Authorized official first name is not provided
	Authorized official last name is not provided
	Authorized official title is not provided
	Authorized official phone number is not provided
	Mailing address line 1 is not provided
	Mailing address city name is not provided
	Mailing address state is not provided
	Mailing address zip code is not provided

Operation Indicator Code	Description for Operation Indicator Code 02
Possible Causes/Reasons for rejection (continued)	Mailing address country code is not provided Practice location address line 1 is not provided Practice location address city name is not provided Practice location address state is not provided Practice location address zip code is not provided Practice location address country code is not provided Practice location address phone number is blank Military mailing address line 1 is not provided Military mailing address zip code is not provided Military practice address line 1 is not provided Military practice address phone number is a required field Military practice address zip code is not provided Other identification number id type is not provided Other identification number is not provided Other identification number Medicaid issuing state is not provided Invalid other identification number id type Other identification number description is blank when Type = OTHER At least one taxonomy data should be provided Missing Area of Specialization for either an Entity Type 1 or 2 records. Taxonomy requires a state and license number Taxonomy number can not be either empty or null Primary Taxonomy not selected Either contact person first Name or last Name or phone number is not provided NPI number is not provided in change request An EFI File with change requests does not include the SSN in the record for an existing provider in the NPI System
Action	Correct the record and resubmit it in a new EFI file

Operation Indicator Code	Description for Operation Indicator Code 03
Description	The record is an exact duplicate of an existing NPI record
Possible Causes/Reasons for rejection	SSN Dupes found within the uploaded XML file SSN Dupes found within the NPPES system Example: exact SSN match with an existing record
Action	Notify the provider to determine whether the data is incorrect or if the provider has already obtained an NPI. If the data was incorrect, correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 04
Description	Rejected by NPI Enumerator

Operation Indicator Code	Description for Operation Indicator Code 04
Possible Causes/Reasons for rejection	Rejected by NPI Enumerator Example: failed because an enumerator staff user determined that this record already exists
Action	Contact the NPI Enumerator and/or the provider for further information.

Operation Indicator Code	Description for Operation Indicator Code 05
Description	Invalid taxonomy code
Possible Causes/Reasons for rejection	Invalid taxonomy number provided (taxonomy code match not found in existing NPPES database list Example: taxonomy code entered does not exist in the system
Action	Correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 06
Description	A new application or change request includes either an individual taxonomy assigned to an organization provider or an organization taxonomy assigned to an individual provider.
Possible Causes/Reasons for rejection	Taxonomy code mismatch Example: a non-provider taxonomy is supplied, or an organization taxonomy is applied to an individual provider
Action	Correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 07
Description	A new application or change request contains SSN and/or date of birth information that does not match SSA's records.
Possible Causes/Reasons for rejection	SSN Validation Failed Example: failed SSA validation
Action	Correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 08
Description	Invalid data/codes on mailing address.
Possible Causes/Reasons for pending	Mailing Address not standardized
Action	Contact Enumerator to resolve pending record or reject the application and resubmit in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 09
Description	Invalid data/codes on practice location address
Possible Causes/Reasons for pending	Practice Location not standardized
Action	Contact Enumerator to resolve pending record or reject the application and resubmit in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 10
Description	Key field values in the EFI File are not found in the database.
Possible Causes/Reasons for rejection	Provider last name not matched in change request SSN or ITIN not matched in change request Provider Date of Birth not matched in change request Given NPI number does not exists in NPPES system for this type of provider An action on the NPI record requires the record to be active or in change request status. Example: change request transaction and NPI was not found on the database
Action	Correct the record and resubmit it in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 12
Description	NPPES processes have flagged the record for review by the NPI Enumerator.
Possible Causes/Reasons for pending	GateKeeper routines have flagged the record for NPI Enumerator review.
Action	Contact Enumerator to resolve pending record or reject the application and resubmit in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 13
Description	NPPES processes have flagged the record for review by the NPI Enumerator
Possible Causes/Reasons for pending	L/S/T edits have flagged the record for NPI Enumerator review
Action	Contact Enumerator to resolve pending record or reject the application and resubmit in a new EFI file.

Operation Indicator Code	Description for Operation Indicator Code 14
Description	An EFI file with new applications contains the exact same data more than once for a provider either within the same file or another submitted EFI file.

Operation Indicator Code	Description for Operation Indicator Code 14
Possible Causes/Reasons for rejection	Duplicate Record Found Example: exact duplicate of another record in the same file or another submitted file
Action	Correct the file and resubmit.

Operation Indicator Code	Description for Operation Indicator Code 15
Description	The application in an EFI change request file contains the exact data as exists in NPPES for the matching NPI record. No changes have been detected.
Possible Causes/Reasons for rejection	Change request records must contain changed data. When the application in the EFI file does not contain any changed data, the record will be rejected.
Action	Provide the appropriate updates to the application and resubmit the EFI file.

12 Address Standardization Using Universal Coder

Address standardization is run against all domestic and military addresses using Universal Coder software. If a standardized address is returned, the standardized address is used and the NPI record is flagged as having passed address validation. If address standardization tool (Universal Coder) is unable to standardize the address, the record is marked as having failed and flagged for Enumerator intervention. This prevents records with valid addresses not recognized by the address standardization routine from being returned to the EFI Organization when there is nothing the organization can do to resolve the situation. Records are rejected when they have address errors such as invalid state abbreviations on domestic address or invalid ISO Country codes for foreign addresses, etc.

12.1 Universal Coder

NPPES is required to validate all domestic and military addresses submitted during the initial application process and the update process after enumeration has occurred. Universal Coder is used to meet this requirement.

Universal Coder is a software product developed to standardize address information based on an address database from the United States Postal Service (USPS). NPPES calls upon Universal Coder to perform the following activities:

- Correct misspellings in street and city names.

- Standardize address elements such as directionals (NE, West, etc.) and suffixes (Ave, Lane, etc.) to USPS specifications.

- Compare each address to the Universal Coder address database and verify that the address is correct and deliverable.

- Correct errors in the zip codes or zip+4 codes.

Note: NPPES excludes address line 2 from the standardization routine.