

# 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

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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

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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

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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<sup>1</sup>.

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

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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.

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<sup>1</sup> 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.



## 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.

### 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**

**NPPES**  
National Plan & Provider Enumeration System

[Help](#)

**National Plan and Provider Enumeration System (NPPES)**

The Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)* mandated the adoption of standard unique identifiers for health care providers and health plans. The purpose of these provisions is to improve the efficiency and effectiveness of the electronic transmission of health information. The Centers for Medicare & Medicaid Services (CMS) has developed the **National Plan and Provider Enumeration System (NPPES)** to assign these unique identifiers.

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.

If you are a **Health Care Provider**, you must click on [National Provider Identifier \(NPI\)](#) to login or apply for an NPI.

A standard identifier has not yet been adopted for health plans.

Search the [NPI Registry](#). The NPI Registry enables you to search for a provider's NPPES information. All information produced by the NPI Registry is provided in accordance with the NPPES Data Dissemination Notice. Information in the NPI Registry is updated daily. You may run simple queries to retrieve this read-only data. For example, users may search for a provider by the NPI or Legal Business Name. There is no charge to use the NPI Registry.


**About NPPES....**  
CMS has contracted with Fox Systems, Inc. to serve as the NPI Enumerator.  
The NPI Enumerator is responsible for assisting health care providers in applying for their NPIs and updating their information in NPPES.  
The NPI Enumerator may be contacted as follows:

|   |  |  |
|---|--|--|
| By phone:<br>1-800-465-3203 (NPI Toll-Free)<br>1-800-692-2326 (NPI TTY) | By e-mail at:<br>customerservice@npienumerator.com | By mail at:<br>NPI Enumerator<br>PO Box 6059<br>Fargo, ND 58108-6059 |
|---|--|--|

Centers for Medicare & Medicaid Services Department of Health and Human Services

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**





Home

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### 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)**.

|   |   |
|---|---|
| <p><b>Need an NPI?</b> -----&gt;</p> <p><b>Want to View or Update your NPI data?</b> -----&gt;</p> <p><b>Want to create a Web login for an existing NPI?</b> ----&gt;</p> <p><small>(This option is only for health care providers previously enumerated via paper or EFI)</small></p> <p><b>Additional Resources:</b></p> <p><a href="#">NPI Application / Update Form</a> -  [PDF File]</p> <p><a href="#">Application Help</a></p> <p><a href="#">Privacy Information</a></p> <p><a href="#">Frequently Asked Questions</a></p> <p><a href="#">NPI Final Rule</a> -  [PDF File]</p> <p><a href="#">Contact Information</a></p> <p><a href="#">CMS NPI Page</a></p> | <p><a href="#">Apply Online for an NPI</a></p> <p><small>Estimated time to complete the NPI application form is 20 minutes.</small></p> <p><small><a href="#">Click here</a> to see tips to expedite your NPI application before you begin your application.</small></p> <p><a href="#">Login</a></p> <p><a href="#">Create Login to View or Update your NPI Data</a></p> <p><small>Notes:</small></p> <p>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.</p> <p>To view PDF files, you must have Adobe Acrobat Reader. If you do not already have Acrobat Reader installed, please <a href="#">Download Acrobat Reader</a> now.</p> <div style="text-align: right;">  </div> |
|---|---|

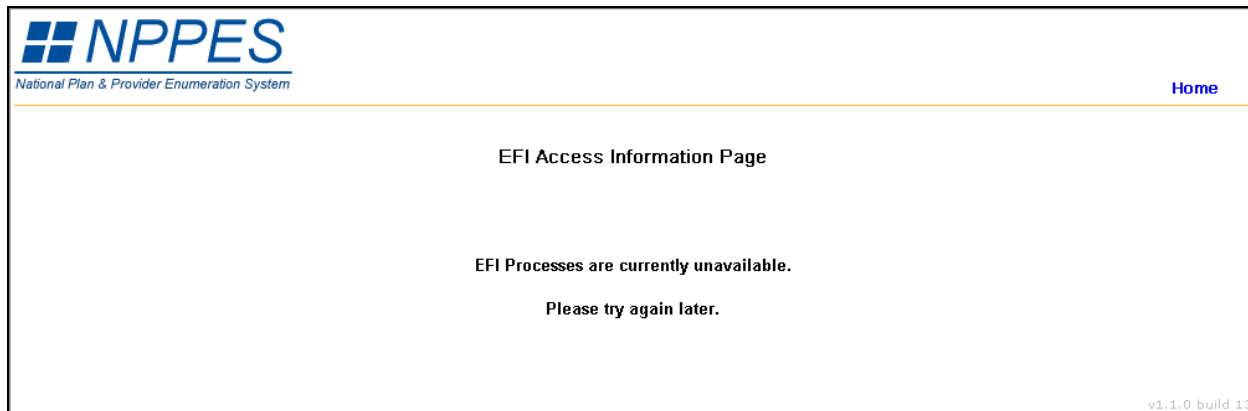
---

[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.

## 4 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 4-1 EFI Home Page Screen**

**NPPES**  
National Plan & Provider Enumeration System

[Home](#) | [Help](#)

**Electronic File Interchange (EFI) Home Page**

**Register**  
[EFI Organization Registration](#)

**New Account**  
[Create a New EFI Organization Representative \(EOR\)](#)

**Registered EFI Users**  
[Login](#)

The Electronic File Interchange process, or EFI, enables an organization that is approved by CMS as an EFI Organization(EFIO) to submit provider NPI application and update information electronically to NPPES, with minimal manual intervention. To perform this function, an organization must first register with the NPI Enumerator. A copy of the certification statement is available below.

Representatives for an EFIO may log in to create a User ID and password, submit and review files, manage EFI accounts, and check the EFI status of each uploaded file.

New representatives are notified by the NPI Enumerator when their accounts have been approved and activated.

Upon successful file uploads, NPPES notifies the representative(s) that the file has completed processing. File names are designated by the EFIO prior to upload, and a unique file identifier, assigned by NPPES, is to be provided for each uploaded file. Note: A notification is sent for any files that cannot be processed.

**Additional Resources:**

Please see the revised EFI documentation below (revision date 8/10/08). EFIOs are responsible for updating their EFI XML Schema utilizing the information provided in the documents listed below. Failure to do so could cause the uploaded EFI Files to either be rejected or not be processed correctly.

- [EFI Summary](#) - Provides a general overview of how the EFI process works. [PDF File]
- [EFI Organization Certification Statement](#) [PDF File]
- [EFI Technical Companion Guide - Revised 3/7/09](#) - Contains information on how to format EFI data for submission [PDF File]
- [EFI User's Guide - Revised 3/7/09](#) - Explains how the EFI process works from a systems point-of-view [PDF File]
- [EFI XML Schema - Revised 4/1/08](#) - The XML Schema File for EFI [Zip File]
- [Sample EFI Files - Revised 4/1/08](#) - Contains sample XML files of new NPI applications and change requests [Zip File]

*Note: To view PDF files, you must have Adobe Acrobat Reader. If you do not already have Acrobat Reader installed, please [Download Acrobat Reader now](#).*

Need Assistance? Contact the NPI Enumerator with any questions you may have concerning file uploads or file status:

**By phone:**  
1-800-465-3203 (NPI Toll-Free)  
1-800-692-2326 (NPI TTY)

**By e-mail:**  
[customerservice@npienumerator.com](mailto:customerservice@npienumerator.com)

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.

### 4.1 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 to navigate to the 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 4-2 Select EOR User ID and Password Page Screen**

**NPPES**  
National Plan & Provider Enumeration System

[Home](#) | [Help](#)

**New EFI Organization - Select EFI Organization Representative (EOR) User ID and Password**

*\* Indicates Required Field*

Please enter a User ID and password for future access to the EFI processes:

\* EOR User ID:

\* EOR Password:  **Note:** Password must be 8-12 characters long, contain at least one letter, one number, no special characters, and not be the same as the user ID.

\* Retype EOR Password:

\* Select Secret Question:

\* Answer:

WARNING: Unauthorized access to this system is forbidden and will be prosecuted by law. By accessing this system, both authorized and unauthorized users are subject to monitoring by system personnel. Anyone using this system expressly consents to monitoring and is advised that if such monitoring reveals possible evidence of criminal activity, system personnel may provide the evidence of such monitoring to law enforcement officials.

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.

**4.1.1 Field Descriptions**

**Exhibit 4-3 Select EOR User ID and Password Page Fields Description**

| Field Name             | Description  | Requirement Level:<br>Required, Situational, or<br>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 | The question for users to answer that will provide their password in the event that it is forgotten.   | Required  |



- 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

4.2.1 Field Descriptions

**Exhibit 4-5 New EFI Organization Page Fields Description**

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



| Field Name                    | Description   | Requirement Level:<br>Required, Situational, or<br>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  |
| 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  |

### 4.3 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 4-6 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

4.3.1 Field Descriptions

Exhibit 4-7 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  |

## 4.4 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 4-8 New EFI Organization Processing Page Screen**

**NPPES**  
National Plan & Provider Enumeration System


[Home](#) | [Help](#)

**Thank you. Your request to add a new EFI Organization account and EOR user will be processed.  
You will be notified by the NPI Enumerator when your account has been activated.**

**In order to complete this process, you must submit the EFI Certification Statement.**

Any organization must be certified, or approved, by the NPI Enumerator before a direct exchange of information with the NPI System is permitted. In addition, each EFI Organization Representative (EOR) who will perform EFI functions must have an approved user account that is associated with a certified organization. Once certification has been granted to an organization, and EORs have been associated, EFI account functions will be available.

If you have not already done so, please download and print the Certification Statement. Return the completed form, with original signature, to the NPI Enumerator at the address below.

**Download the Certification Statement** 

**Mail to:**

**NPI Enumerator  
PO Box 6059  
Fargo, ND 58108-6059**

If you have any questions or need additional information regarding your request, please contact the NPI Enumerator.

**By phone:**  
1-800-465-3203 (NPI Toll-Free)  
1-800-692-2326 (NPI TTY)

**By email:**  
customerservice@npienumerator.com

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>

## 5 Create Additional EFI Representatives 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 5.1 – Section 5.3 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.

### 5.1 New EFI Representative – Select EOR User ID and Password Page

To associate a new EOR to an active EFI Organization, the user selects [Create a New EFI Representative](#) link from the EFI Home page to navigate to the New EFI Representative - Select 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 ID and password selection are included on the New EFI Representative - Select EOR User ID and Password page.

**Exhibit 5-1 Select EOR User ID and Password Page Screen**

**NPPES**  
National Plan & Provider Enumeration System

[Home](#) | [Help](#)

**New EFI Representative - Select EOR User ID and Password**

\* Indicates Required Field

Please enter a User ID and password for future access to the EFI processes:

\* EFI Organization ID:

\* EOR User ID:

\* EOR Password:  Note: Password must be 8-12 characters long, contain at least one letter, one number, no special characters, and not be the same as the user ID.

\* Retype EOR Password:

\* Select Secret Question:

\* Answer:

WARNING: Unauthorized access to this system is forbidden and will be prosecuted by law. By accessing this system, both authorized and unauthorized users are subject to monitoring by system personnel. Anyone using this system expressly consents to monitoring and is advised that if such monitoring reveals possible evidence of criminal activity, system personnel may provide the evidence of such monitoring to law enforcement officials.

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.

### 5.1.1 Field Descriptions

**Exhibit 5-2 Select EOR User ID and Password Page Fields Description**

| Field Name             | Description  | Requirement Level:<br>Required, Situational, or<br>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 | The question for users to answer that will provide their password in the event that it is forgotten.   | Required  |
| Answer                 | The response to the secret question.   | Required  |

### 5.2 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 5-3 New EFI Representative Page Screen

The screenshot shows the 'EFI New Representative' form within the NPPES application. At the top left is the NPPES logo and the text 'National Plan & Provider Enumeration System'. At the top right are 'Logoff' and 'Help' links. The main title is 'EFI New Representative'. Below it is the section 'EOR Information'. The form contains the following fields:
 

- Prefix: A dropdown menu.
- \* First: A text input field.
- Middle: A text input field.
- \* Last: A text input field.
- Suffix: A dropdown menu.
- \* Title/Position: A text input field.
- \* Phone Number: (Without Dashes): A text input field.
- Extension: A text input field.
- \* Email: A text input field.
- \* Retype Email: A text input field.

 A 'Submit' button is located at the bottom center. The version 'v1.1.0 build 16' is displayed in the bottom right corner.

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

5.2.1 Field Descriptions

Exhibit 5-4 New EFI Representative Page Fields Description

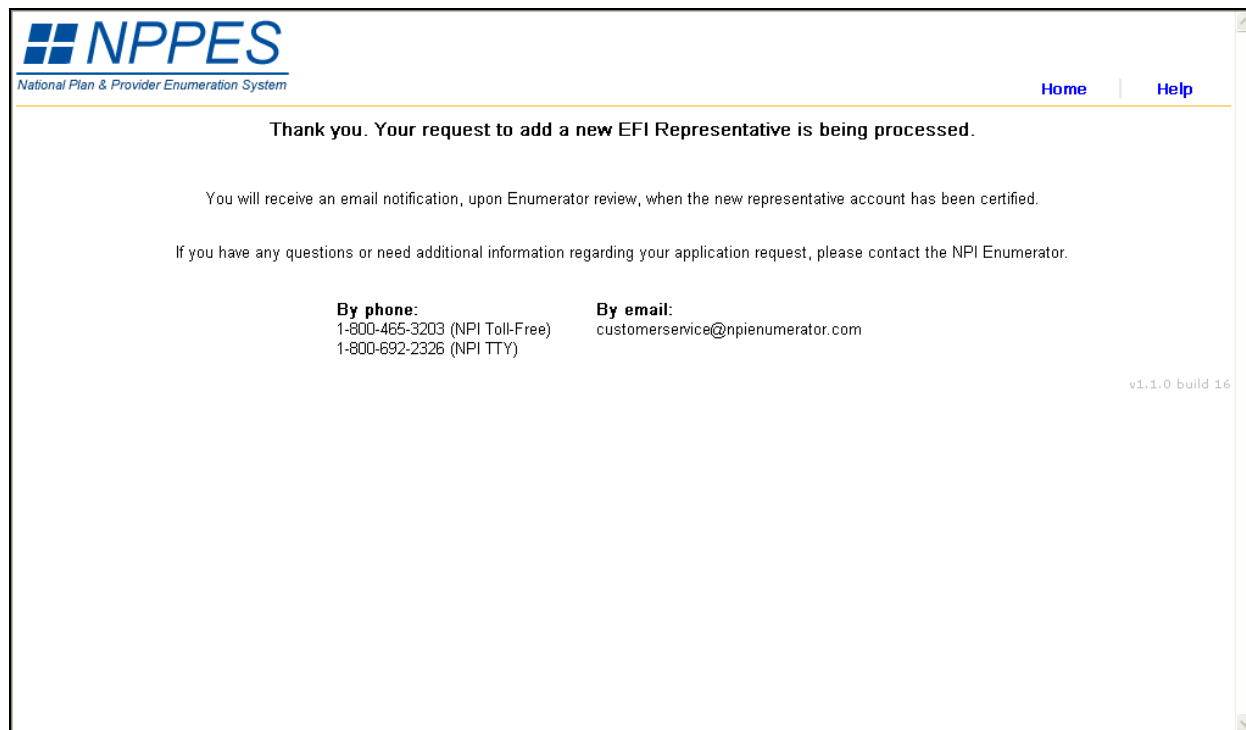
| Field Name                    | Description   | Requirement Level: Required, Situational, or Optional |
|-------------------------------|---|---|
| Representative Prefix         | The name prefix or salutation of the EOR; (e.g., Mr., Mrs., etc.)   | Optional  |
| Representative First Name     | The 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  |
| 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:<br>Required, Situational, or<br>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  |
| Representative Retype E-mail | Retype the e-mail address of the EOR.                | Required  |

### 5.3 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 5-5 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

## 6 Existing EOR Functions

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

### 6.1 EFI Login Page

After the NPI Enumerator activates the EOR, he/she accesses the EFI Login page from the [Login](#) 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 6-1 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



### 6.1.1 Field Descriptions

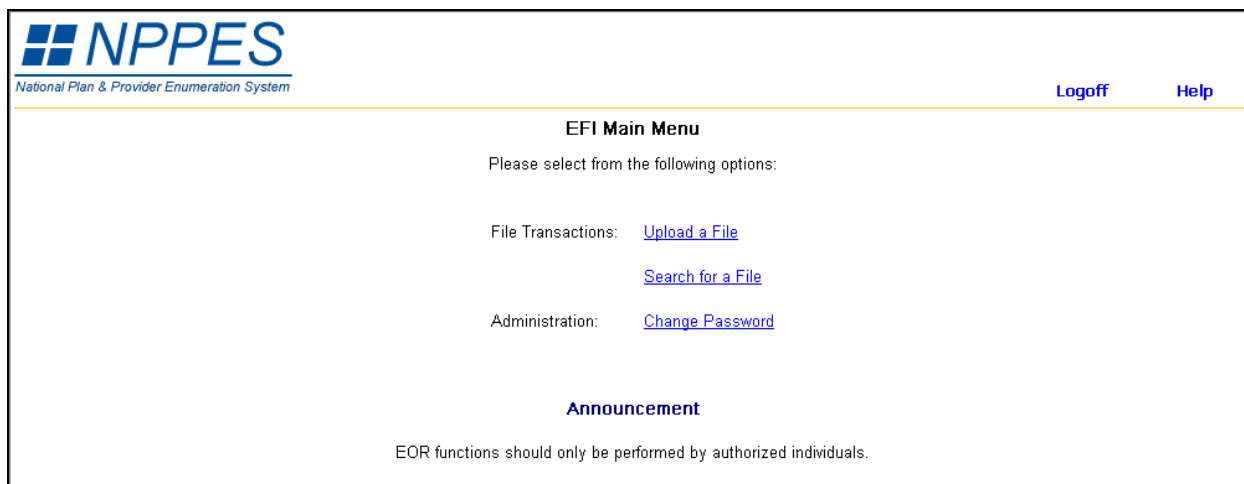
**Exhibit 6-2 EFI Login Page Fields Description**

| 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  |

### 6.2 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 6-3 EFI Main Menu Page Screen**



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

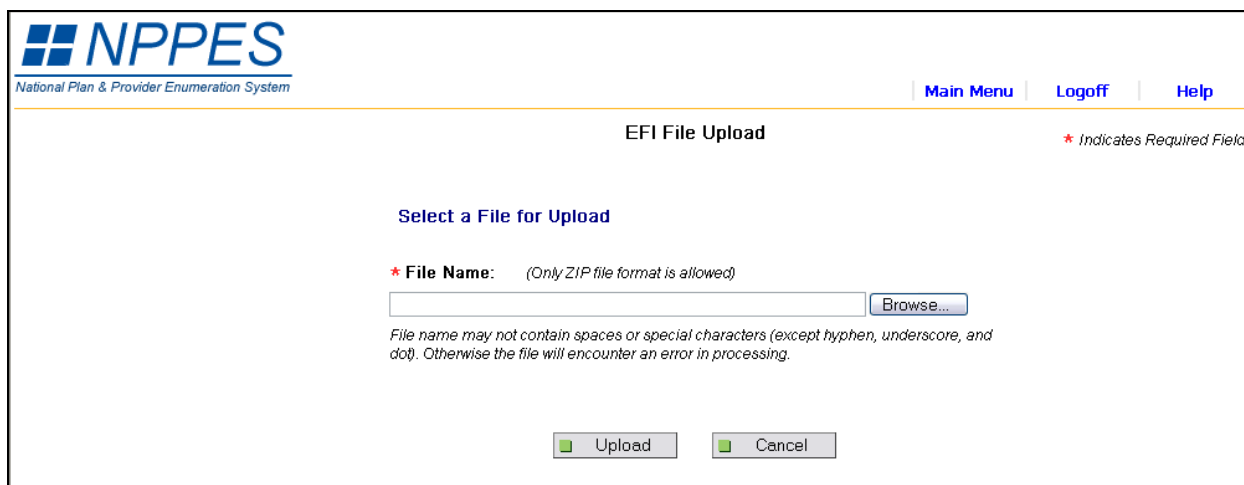
- Logoff – Navigates to the Logoff Confirmation page
- Help – Navigates to the Help for the EFI Main Menu page
- Upload a File – Navigates to the EFI File Upload page
- Search for a File – Navigates to the Search EFI Files page
- Change Password – Navigates to the Change NPI Password page

### 6.3 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.

**Exhibit 6-4 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

**6.3.1 Field Description**

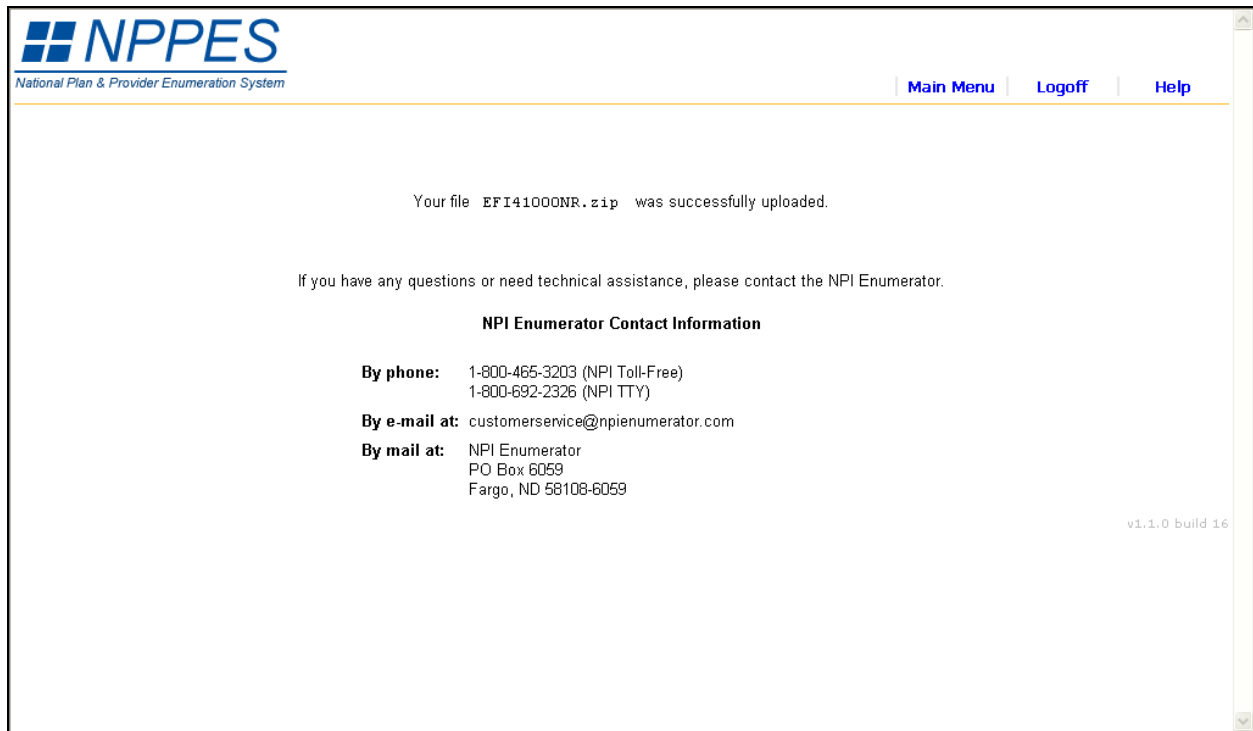
**Exhibit 6-5 EFI File Upload Page Fields Description**

| 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   |

**6.4 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 Chapter 7). The NPI Enumerator contact information is included in case the EOR needs assistance.

### Exhibit 6-6 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

## 6.5 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.

## 6.6 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 6-7 Search EFI File Page Screen**

**Search EFI Files**

**Search Criteria**

Please enter data for only one of the following primary fields:

**Primary Fields:**

**Request EFI File Name**

**System Generated File Name**

**Date of Upload**      **Start Date**       **End Date**

**Optional Field:**

**File Status**

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, open to the EFI File Results page. Message displays if there is no search criteria entered, more than 50 files found meet search criteria, no files found meet 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

**6.6.1 Field Descriptions**

**Exhibit 6-8 Search EFI File Page Fields Description**

| Field Name                 | Description   | Requirement Level:<br>Required, Situational, or<br>Optional |
|----------------------------|---|---|
| Request EFI 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  |
| 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  |

## 6.7 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 update. Any file(s) in the queue will not be available to 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 6-9 Search EFI File Results Page Screen**

**EFI File Search Results**

| Request EFI File Name | System Generated File Name                         | Org ID | Upload Date | Release Date | Last Generated Date | Response EFI File Size (Bytes) | Status               | Available Action         |
|-----------------------|--|--------|-------------|--------------|---------------------|--------------------------------|----------------------|--------------------------|
| EFI43006_Activate.zip | EFI43006_Activate-suzysunshine-101620062317163.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43009_Activate.zip | EFI43009_Activate-suzysunshine-101620062249132.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43008_Activate.zip | EFI43008_Activate-suzysunshine-101620062249067.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43007_Activate.zip | EFI43007_Activate-suzysunshine-101620062249018.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43006_Activate.zip | EFI43006_Activate-suzysunshine-101620062248562.zip | 002016 | 10/16/2006  | 10/16/2006   | 10/16/2006          | 4017                           | Processing Completed | <a href="#">Download</a> |
| EFI43005_Activate.zip | EFI43005_Activate-suzysunshine-101620062248484.zip | 002016 | 10/16/2006  | 10/16/2006   | 10/16/2006          | 3837                           | Processing Completed | <a href="#">Download</a> |
| EFI43004_Activate.zip | EFI43004_Activate-suzysunshine-101620062248376.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43003_Activate.zip | EFI43003_Activate-suzysunshine-101620062248274.zip | 002016 | 10/16/2006  |              |                     | 0                              | In Queue             | <a href="#">Remove</a>   |
| EFI43002_Activate.zip | EFI43002_Activate-suzysunshine-101620062125063.zip | 002016 | 10/16/2006  | 10/16/2006   | 10/17/2006          | 3184                           | In Process           | <a href="#">Download</a> |

Note: After the file is successfully downloaded, please make sure that the size of the file is the same as what is displayed above.

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 – Exits 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

### 6.7.1 Field Descriptions

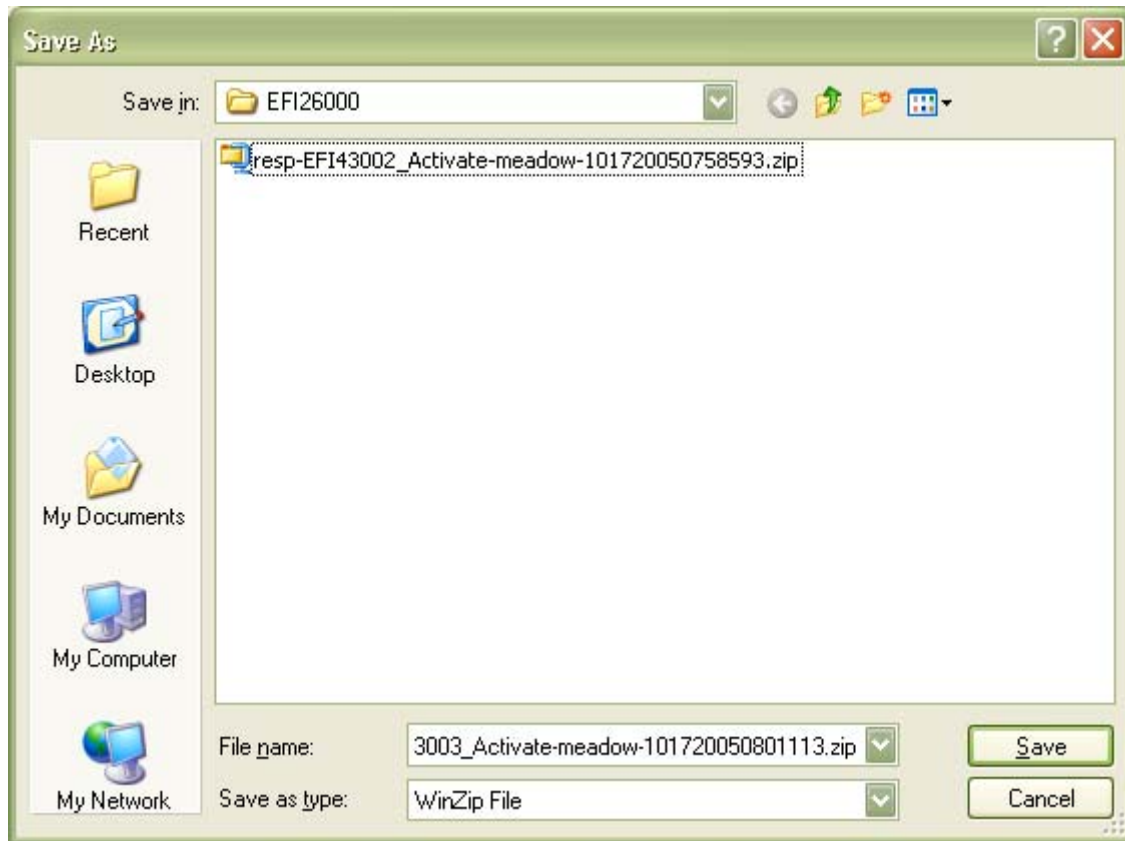
**Exhibit 6-10 Search EFI File Results Page Fields Description**

| Field Name                 | Description  | Requirement Level: Required, Situational, or Optional |
|----------------------------|--|---|
| Request EFI 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  |

### 6.8 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 6-11 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

## 6.9 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 6-12 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 – Exits 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

**6.9.1 Field Descriptions**

**Exhibit 6-13 EFI File Confirmation Page Fields Description**

| Field Name            | Description  | Requirement Level: Required, Situational, or Optional |
|-----------------------|--|---|
| Request EFI 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                                    |

**6.10 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. The EOR will be required to change their password after the password is reset by the NPI Enumerator.



**Exhibit 6-14 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

**6.10.1 Field Descriptions**

**Exhibit 6-15 Change EOR Password Page Fields Description**

| Field Name              | Description   | Requirement Level:<br>Required, Situational, or<br>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  |

**6.11 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 the secret question. If all information matches that in the database, the EOR is able to enter and confirm a new password.

**Exhibit 6-16 Reset EOR Password Page Screen**

**Reset EOR Password**

*\* Indicates Required Field*

\* EOR User ID:

\* Select Secret Question:

\* Answer:

\* New EOR Password:  **Note:** Password must be 8-12 characters long, contain at least one letter, one number, no special characters, not be the same as the User ID, and must be different from the previous 6 passwords.

\* Retype EOR Password:

**Note:** Please use the Reset and Cancel buttons to navigate between the pages.

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

**6.11.1 Field Descriptions**

**Exhibit 6-17 Reset EOR Password Page Fields Description**

| Field Name              | Description   | Requirement Level:<br>Required, Situational, or<br>Optional |
|-------------------------|---|---|
| EOR User ID             | The User ID that is associated with the EOR.  | NA – Display Only   |
| Secret Question         | The secret question that is associated with the EOR.                                  | NA – Display only   |
| Answer                  | The response to the secret question.  | 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  |

## 7 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](mailto:contactperson@somehost.com) is replaced by the e-mail address of the EOR(s) for the EFI Organization.

### Exhibit 7-1 E-mail Format of EFI Organization Activation

To: [contactperson@somehost.com](mailto: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  
1-800-465-3203 (NPI Toll-Free)  
1-800-692-2326 (NPI TTY)  
[customerservice@npienumerator.com](mailto:customerservice@npienumerator.com)

**Exhibit 7-2 E-mail Format of EFI Organization Rejection**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

**Exhibit 7-3 E-mail Format of EFI Organization Deactivation**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

**Exhibit 7-4 E-mail Format of EFI Representative Activation**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

**Exhibit 7-5 E-mail Format for Representative Rejection**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

**Exhibit 7-6 E-mail Format of Representative Deactivation**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

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

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)

### Exhibit 7-8 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](mailto:customerservice@npienumerator.com)

**Exhibit 7-9 E-mail Format for EFI File Completion**

To: [contactperson@somehost.com](mailto: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](mailto:customerservice@npienumerator.com)



## 8 EFI File Requirements

### 8.1 Extensible Markup Language (XML) Format

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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.

### 8.2 Zipped File Format

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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.

## 9 XML Supporting Documentation

The tables in Section 9.1 describe each XML attribute in detail. In Section 9.2 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.

### 9.1 XML Attributes

**Exhibit 9-1 XML Supporting Documentation**

| <b>XML Attribute</b>                  | <b>CMS27410200_BHT02_TransactionSetPurposeCode</b> |
|---------------------------------------|--|
| Description                           | Indicates the purpose of the file                  |
| Valid Values                          | 11 (Response)<br>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  |

| <b>XML Attribute</b>                  | <b>CMS27410200_BHT06_TransactionTypeCode</b> |
|---------------------------------------|--|
| Description                           | Describes the action type of the file        |
| Valid Values                          | RK (New Application)<br>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  |

| <b>XML Attribute</b> | <b>CMS27420300_2100AA_NM109_SubmitterIdentifier</b>       |
|----------------------|---|
| Description          | Six-digit EFI Organization ID                             |
| Valid Values         | N/A   |
| Required             | Yes   |
| Repeating            | No  |
| Edits                | Must be six digits<br>Must be a valid EFI Organization ID |

| XML Attribute                         | CMS27420300_2100AA_NM109_SubmitterIdentifier |
|---------------------------------------|--|
| Related NPI Application Section       | N/A  |
| 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)<br>2 (Organization)   |
| Required                              | Yes  |
| Repeating                             | No   |
| Edits                                 | Must be a valid value<br>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                         |

| XML Attribute | CMS27420300_2100CA_NM104_ProviderFirstName |
|---------------|--|
|---------------|--|

<sup>2</sup> 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.

| <b>XML Attribute</b>                  | <b>CMS27420300_2100CA_NM104_ProviderFirstName</b> |
|---------------------------------------|---|
| 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                    |

| <b>XML Attribute</b>                  | <b>CMS27420300_2100CA_NM105_ProviderMiddleName</b> |
|---------------------------------------|--|
| 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                             |

| <b>XML Attribute</b>                  | <b>CMS27420300_2100CA_NM106_ProviderNamePrefix</b> |
|---------------------------------------|--|
| 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                                  |

| <b>XML Attribute</b>                  | <b>CMS27420300_2100CA_NM107_ProviderNameSuffix</b> |
|---------------------------------------|--|
| 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  |
| NPI Application Equivalent Field Name | Individual Suffix                                  |

| XML Attribute                         | CMS27420300_2100CA_NM108_IdentifierCodeQualifier |
|---------------------------------------|--|
| 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<br>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_ProviderDoingBusinessAsOrTradeName   |
|---------------|--|
| Description   | Type of Other Provider Name  |
| Valid Values  | 1 - Former Name (Individual)<br>2 - Professional Name (Individual)<br>3 – Doing Business As (Organization)<br>4 – Former Legal Business Name (Organization)<br>5 – Other Name (Individual or Organization) |
| Required      | Yes – If any “other name” field contains data  |

| <b>XML Attribute</b>                  | <b>CMS27420400_2100CA_N202_ProviderDoingBusinessAsOrTradeName</b> |
|---------------------------------------|---|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27421500_2100CA_PSI01_IsSubpart</b>     |
|---------------------------------------|---|
| Description                           | Organization Subpart Indicator                |
| Valid Values                          | Y,y (Yes)<br>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                              |

| <b>XML Attribute</b>                  | <b>CMS27421500_2100CA_PSI02_LegalBusinessName</b>                     |
|---------------------------------------|---|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27421500_2100CA_PSI03_ParentTaxIdentificationNumber</b> |
|---------------------------------------|---|
| Description                           | Parent Organization's EIN 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 TIN  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CA_PER03_CommunicationNumberQualifier</b> |
|---------------------------------------|--|
| Description                           | Type of mailing address communication number                 |
| Valid Values                          | EM (E-mail address)<br>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  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CA_PER04_CommunicationNumber</b>   |
|---------------------------------------|---|
| Description                           | Mailing address communication number  |
| Valid Values                          | N/A   |
| Required                              | No  |
| Repeating                             | No  |
| Edits                                 | Must be numeric<br>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  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CA_PER05_CommunicationNumberQualifier</b>                  |
|---------------------------------------|---|
| Description                           | Type of mailing address communication number                                  |
| Valid Values                          | EM (E-mail address)<br>EX (Extension)<br>FX (Fax number)<br>TE (Phone Number) |
| Required                              | No  |
| Repeating                             | No  |
| Edits                                 | Valid Value   |
| Related NPI Application Section       | N/A   |
| NPI Application Equivalent Field Name | N/A   |

| <b>XML Attribute</b> | <b>CMS27420500_2100CA_PER06_CommunicationNumber</b> |
|----------------------|---|
| Description          | Mailing address communication number                |
| Valid Values         | N/A   |

| XML Attribute                         | CMS27420500_2100CA_PER06_CommunicationNumber |
|---------------------------------------|--|
| 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)<br>EX (Extension)<br>FX (Fax number)<br>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  |
| 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  |

<sup>3</sup> 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.



| <b>XML Attribute</b>                  | <b>CMS27420600_2100CA_DMG02_ProviderBirthDate3</b>   |
|---------------------------------------|--|
| Edits                                 | Must be a valid date<br>Must be in mm/dd/yyyy format<br>Must be 18 or more years prior to system date (i.e., provider must be at least 18 years old)<br>Must not be more than 106 years of the system date |
| Related NPI Application Section       | Section 2 A  |
| NPI Application Equivalent Field Name | Individual Date of Birth   |

| <b>XML Attribute</b>                  | <b>CMS27420600_2100CA_DMG03_ProviderGenderCode</b> |
|---------------------------------------|--|
| Description                           | Provider's gender                                  |
| Valid Values                          | F (Female)<br>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                         |

| <b>XML Attribute</b>                  | <b>CMS27420700_2100CA_API02_ActionCode</b>   |
|---------------------------------------|--|
| Description                           | Intermittent statuses of the application when under process (For use in the response file) |
| Valid Values                          | U (Reject)<br>33 (Active)<br>A4 (Pended)<br>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  |

| <b>XML Attribute</b> | <b>CMS27420700_2100CA_API04_StatusReasonCode</b>             |
|----------------------|--|
| Description          | Deactivation reason code (For use in the response file only) |
| Valid Values         | 030 (Fraud)<br>EB1 (Deceased)<br>A13 (Other)                 |
| Required             | Yes – if Action code is "IA"                                 |

| <b>XML Attribute</b>                  | <b>CMS27420700_2100CA_API04_StatusReasonCode</b> |
|---------------------------------------|--|
| Repeating                             | No   |
| Edits                                 | Must be a valid value                            |
| Related NPI Application Section       | N/A  |
| NPI Application Equivalent Field Name | N/A  |

| <b>XML Attribute</b>                  | <b>CMS27420900_2100CA_DEG04_ProviderProfessionalDesignation</b> |
|---------------------------------------|---|
| 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   |

| <b>XML Attribute</b>                  | <b>CMS27421000_2100CA_IND01_CountryOfBirthCode</b> |
|---------------------------------------|--|
| Description                           | Provider's country of birth                        |
| Valid Values                          | See section 4.2 of the Technical Companion Guide   |
| 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 Country of Birth                        |

| <b>XML Attribute</b>                  | <b>CMS27421000_2100CA_IND02_StateOrProvinceOfBirthCode</b>                             |
|---------------------------------------|--|
| 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<br>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                     |

| <b>XML Attribute</b> | <b>CMS27421200_2100CA_DTP03_DateTimePeriod</b>                          |
|----------------------|---|
| Description          | Date record was enumerated by NPPES (For use in the response file only) |

| <b>XML Attribute</b>                  | <b>CMS27421200_2100CA_DTP03_DateTimePeriod</b> |
|---------------------------------------|--|
| Valid Values                          | System Generated                               |
| Required                              | Yes  |
| Repeating                             | No   |
| Edits                                 | No   |
| Related NPI Application Section       | N/A  |
| NPI Application Equivalent Field Name | N/A  |

| <b>XML Attribute</b>                  | <b>CMS27421400_2100CA_CRC03_ConditionIndicator</b> |
|---------------------------------------|--|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27421400_2100CA_CRC05_ConditionDetail</b>                          |
|---------------------------------------|--|
| Description                           | Indicates reason the record rejected (For response file only)            |
| Valid Values                          | Invalid provider date of birth<br>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  |

| <b>XML Attribute</b>                  | <b>CMS27421300_2100CA_MTX02_TextualData</b>              |
|---------------------------------------|--|
| 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  |
| 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   |

| XML Attribute                         | CMS27422400_2110CA_N401_ProviderCityName |
|---------------------------------------|--|
| 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<br>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 |
|---------------|---|
|---------------|---|

| XML Attribute                         | CMS27422600_2120CA_LQ01_CodeListQualifierCode   |
|---------------------------------------|---|
| Description                           | Provider Type (first two digits of the taxonomy code)   |
| Valid Values                          | See <a href="http://www.wpc-edi.com/codes/taxonomy">http://www.wpc-edi.com/codes/taxonomy</a> |
| 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)<br>N, n (No – this taxonomy is not primary) |
| Required                              | Yes   |
| Repeating                             | Yes   |
| 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 <a href="http://www.wpc-edi.com/codes/taxonomy">http://www.wpc-edi.com/codes/taxonomy</a><br>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                             |

| XML Attribute                         | CMS27423200_2130CA_HPL02_ProviderIdentificationNumber |
|---------------------------------------|---|
| 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:<br>MP – MEDICARE PIN<br>1D – MEDICAID<br>1G – MEDICARE UPIN<br>EI – Employer’s Identification Number (EIN)<br>EN – Employer’s New Identification Number (New EIN)<br>SY- Social Security Number (SSN)<br>TJ – Federal Taxpayer’s Identification Number (ITIN)<br>OS – MEDICARE OSCAR<br>NS – MEDICARE NSC<br>OT – Other Type<br>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                 |

<sup>4</sup> 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 to 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.

| <b>XML Attribute</b>                  | <b>CMS27423400_2140CA_REF02_ProviderIdentifier</b>  |
|---------------------------------------|---|
| 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<br>CMS27423400_2140CA_REF01_ReferenceIdentificationQualifier  |
| Edits                                 | Must be 9 digits if SY (SSN)<br>May only contain numbers SY (SSN)<br>Must be 9 digits EI (EIN)<br>May only contain numbers EI (EIN)<br>OSCAR numbers must be 6-15 characters<br>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)   |

| <b>XML Attribute</b>                  | <b>CMS27423400_2140CA_REF03_Description</b>                      |
|---------------------------------------|--|
| 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)                              |

| <b>XML Attribute</b>                  | <b>CMS27423400_2140CA_REF05_State</b>   |
|---------------------------------------|---|
| 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   |

| <b>XML Attribute</b> | <b>CMS27420300_2100CD_NM101_EntityIdentifierCode</b>               |
|----------------------|--|
| Description          | Type of affiliated entity  |
| Valid Values         | J2 (Authorized Official)<br>VI (Contact Person)<br>XD (Other Name) |



| XML Attribute                         | CMS27420300_2100CD_NM101_EntityIdentifierCode |
|---------------------------------------|---|
| 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  |
| 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)<br>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                              |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CD_PER04_CommunicationNumber</b>           |
|---------------------------------------|---|
| Related NPI Application Section       | Section 5 (Contact Person) / Section 4B (Authorized Official) |
| NPI Application Equivalent Field Name | Telephone Number  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CD_PER05_CommunicationNumberQualifier</b>                  |
|---------------------------------------|---|
| Description                           | Type of affiliated individual communication number                            |
| Valid Values                          | EM (E-mail address)<br>EX (Extension)<br>FX (Fax number)<br>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   |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CD_PER06_CommunicationNumber</b>           |
|---------------------------------------|---|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CD_PER07_CommunicationNumberQualifier</b>                  |
|---------------------------------------|---|
| Description                           | Type of affiliated individual communication number                            |
| Valid Values                          | EM (E-mail address)<br>EX (Extension)<br>FX (Fax number)<br>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   |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100CD_PER08_CommunicationNumber</b>           |
|---------------------------------------|---|
| 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 | Fax Number  |

| <b>XML Attribute</b>                  | <b>CMS27420600_2100CD_DEG04_Description</b>                                     |
|---------------------------------------|---|
| 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   |

| <b>XML Attribute</b>                  | <b>CMS27421300_2100CD_MTX02_TextualData</b>                   |
|---------------------------------------|---|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100DA_PER03_CommunicationNumberQualifier</b> |
|---------------------------------------|--|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100DA_PER04_CommunicationNumber</b> |
|---------------------------------------|---|
| Description                           | Practice location communication number              |
| Valid Values                          | N/A   |
| Required                              | Yes   |
| Repeating                             | No  |
| Edits                                 | Must be numeric                                     |
| Related NPI Application Section       | Section 3 B   |
| NPI Application Equivalent Field Name | Telephone Number                                    |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100DA_PER05_CommunicationNumberQualifier</b>                  |
|---------------------------------------|---|
| Description                           | Type of practice location communication number                                |
| Valid Values                          | EM (E-mail address)<br>EX (Extension)<br>FX (Fax number)<br>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   |

| <b>XML Attribute</b>                  | <b>CMS27420500_2100DA_PER06_CommunicationNumber</b> |
|---------------------------------------|---|
| 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                                    |

| <b>XML Attribute</b> | <b>CMS27420500_2100DA_PER07_CommunicationNumberQualifier</b>                  |
|----------------------|---|
| Description          | Type of practice location communication number                                |
| Valid Values         | EM (E-mail address)<br>EX (Extension)<br>FX (Fax number)<br>TE (Phone number) |

| XML Attribute                         | CMS27420500_2100DA_PER07_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_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 |
|---------------|--|
|---------------|--|

| <b>XML Attribute</b>                  | <b>CMS27422400_2110DA_N401_SiteOrLocationCityName</b>   |
|---------------------------------------|---|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27422400_2110DA_N402_SiteOrLocationStateCode</b>   |
|---------------------------------------|--|
| 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  |

| <b>XML Attribute</b>                  | <b>CMS27422400_2110DA_N403_SiteOrLocationPostalZoneOrZipCode</b>   |
|---------------------------------------|--|
| 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<br>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   |

| <b>XML Attribute</b> | <b>CMS27422400_2110DA_N404_SiteOrLocationCountryCode</b> |
|----------------------|--|
| Description          | Practice location address country code                   |
| Valid Values         | See section 4.2 of the Technical Companion Guide         |
| Required             | Yes  |

| XML Attribute                         | CMS27422400_2110DA_N404_SiteOrLocationCountryCode |
|---------------------------------------|---|
| 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 <a href="http://www.wpc-edi.com/codes/taxonomy">http://www.wpc-edi.com/codes/taxonomy</a> |
| 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 <a href="http://www.wpc-edi.com/codes/taxonomy">http://www.wpc-edi.com/codes/taxonomy</a>                                 |
| 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  |

## 9.2 XML Schema

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

<sup>5</sup> The state and license number for group taxonomies are entered under XML Element CGIAMS27423200\_2130CA\_HPL04\_IssuingStateCode and CGIAMS27423200\_2130CA\_HPL02\_ProviderIdentificationNumber.



## 10 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 10-1 Operation Indicator Codes**

| Operation Indicator Code              | 01  |
|---------------------------------------|---|
| Description                           | The record has failed an NPPES field edit.  |
| Possible Causes/Reasons for rejection | <p>Entity Type.</p> <p>Invalid provider prefix</p> <p>Invalid provider suffix</p> <p>Other type of name not in the given list</p> <p>Invalid other provider prefix</p> <p>Invalid other provider suffix</p> <p>Invalid SSN format</p> <p>Invalid EIN format.</p> <p>Invalid TIN format.</p> <p>An SSN has been found in the field</p> <p>Employer Identification Number (EIN) may not be all zeros</p> <p>An EIN has been found in the field</p> <p>A 9-digit number has been found in the field</p> <p>Provider new EIN is not a number.</p> <p>Provider new EIN is not a number of 9 digits.</p> <p>Employer New Identification Number (New EIN) may not be all zeros</p> <p>Parent Legal Business Name is provided when Organization Subpart indicator is set to 'no'</p> <p>Parent Tax Identification Number is not a 9 digit number</p> <p>Parent Tax Identification Number (TIN) may not be all zeros.</p> <p>Parent Tax Identification Number is provided when Organization Subpart indicator is set to 'no'</p> <p>Invalid provider date of birth</p> <p>Invalid provider date of birth (not of format mm/dd/yyyy)</p> <p>Provider Date of Birth must be prior to today's date.</p> <p>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.</p> <p>Provider date of birth exceeded 106 years</p> <p>Invalid provider country of birth</p> <p>Invalid provider state of birth</p> <p>Invalid provider gender</p> <p>Invalid authorized official prefix</p> <p>Invalid authorized official suffix</p> <p>Authorized Official Phone Number is not a number</p> <p>Authorized Official Phone Number must be at least 10 digits</p> <p>Authorized Official Phone Number can not contain all zeros</p> <p>Authorized Official Phone Number Extension is not a number</p> |

| Operation Indicator Code | 01  |
|--------------------------|---|
|                          | <p>Authorized Official Phone Number Extension can not contain all zeros</p> <p>Mailing address state is not matched with the existing NPPES database state list</p> <p>Mailing address foreign zip code length is more than 20 characters</p> <p>Mailing address zip code is not a Number</p> <p>Mailing address country code is not matched with the existing NPPES database country list</p> <p>Domestic Mailing address zip code is not a digit of length 5 or 9</p> <p>Mailing Address Phone Number is not a number</p> <p>Mailing address phone number is not a digit or length greater than 20</p> <p>Mailing address phone number is not a 10 digit Number</p> <p>Mailing Address Phone Number can not contain all zeros</p> <p>Mailing Address Phone Number must be at least 10 digits</p> <p>Mailing Address Phone Number Extension is not a number</p> <p>Mailing Address Phone Number Extension can not contain all zeros</p> <p>Mailing address fax number length greater than 20 characters</p> <p>Mailing address fax number is not a 10 digit number</p> <p>Mailing Address Fax Number is not a number</p> <p>Mailing Address Fax Number can not contain all zeros</p> <p>Mailing Address Fax Number must be at least 10 digits</p> <p>Practice location address can not contain PO BOX like information</p> <p>Practice location address state is not matched with the existing NPPES database state list</p> <p>Practice location address zip code is not a Number</p> <p>Practice location address foreign zip code length is more than 20 characters</p> <p>Domestic Practice Location address zip code is not a digit of length 5 or 9</p> <p>Practice location address country code is not matched with the existing NPPES database country list</p> <p>Practice Location Address Phone Number is not a number</p> <p>Practice Location Address Phone Number can not contain all zeros</p> <p>Practice Location Address Phone Number must be at least 10 digits</p> <p>Practice Location Address Phone Number Extension is not a number</p> <p>Practice Location Address Phone Number Extension can not contain all zeros</p> <p>Practice location address phone number length greater than 20 characters</p> <p>Practice location address phone number is not a 10 digit Number</p> <p>Practice Location Address Fax Number is not a number</p> <p>Practice Location Address Fax Number can not contain all zeros</p> <p>Practice Location Address Fax Number must be at least 10 digits</p> <p>Practice location address fax number length greater than 20</p> <p>Practice location address fax number is not a 10 digit number</p> <p>Military mailing address zip code is not a Number</p> <p>Military mailing address zip code is not a digit of length 5 or 9</p> <p>Military practice address zip code is not a Number</p> <p>Military practice address zip code is not a digit of length 5 or 9</p> <p>Invalid other identification number state code</p> <p>Other Identification Number length must be 6 to 15 characters long when type is OSCAR</p> |

| Operation Indicator Code    | 01   |
|-----------------------------|--|
|                             | <p>Other Identification number must be alphanumeric and contain no special characters when type is OSCAR</p> <p>Other Identification Number length must be 10 digits long when type is NSC</p> <p>Other Identification Number must be numeric and contain no special characters when type is NSC</p> <p>Other Identification Number type code [code] not supported in NPPES<br/>                     Example: Other Identification Number type code 1A not supported in NPPES</p> <p>Other ID Description not valid when issuer type code is [code]<br/>                     Example: Other ID Description not valid when issuer type code is 1A</p> <p>Invalid taxonomy number</p> <p>Invalid taxonomy License/State code</p> <p>More than one Taxonomy selected as Primary Taxonomy</p> <p>Group taxonomy number 193200000X is not allowed</p> <p>Group taxonomy number 193400000X is not allowed</p> <p>Number of taxonomy specialty codes does not match with number of codes or states or license number</p> <p>Number of taxonomy specialty codes does not match with number of group specialty code provided</p> <p>You cannot have two groups in same Record</p> <p>Invalid contact person prefix</p> <p>Invalid contact person suffix</p><br><p>Invalid contact person e-mail address</p> <p>NPI number provided in new request</p> <p>Invalid NPI number (NPI number is not a number of 10 digits)</p> <p>Status reason reference code is not provided</p> <p>Invalid status reason reference code (NOT from the existing list)</p> <p>Status reason reference text NOT provided for other status reason reference code</p> <p>Disallowed character(s) found in [Group/Field Name] field<br/>                     Example: Disallowed character(s) found in Provider Name field.</p> <p>[Field Name] field length is more than system will allow<br/>                     Example: SSN field length is more than system will allow</p> <p>EFI change request may not be submitted for a Sole Proprietor application.</p> <p>Taxonomy number can not be either empty or null</p> <p>Disallowed character(s) found in [Group/Field Name] field</p> |
| Action                      | Correct the record and resubmit it in a new EFI file.  |
| Operation Indicator Code    | 02   |
| Description                 | Required data is missing from the record.  |
| Possible Causes/Reasons for | Provider first name is not provided  |

| Operation Indicator Code | 02  |
|--------------------------|---|
| rejection                | <p>Provider last Name is not provided</p> <p>Organization provider name is not provided</p> <p>SSN can not be blank.</p> <p>EIN is not provided</p> <p>Organization Subpart information is not provided</p> <p>Parent Legal Business Name is not provided</p> <p>Parent Tax Identification Number is not provided</p> <p>Provider state of birth is not provided</p> <p>Provider date of birth is not provided</p> <p>Provider country of birth is not provided</p> <p>Provider gender is not provided</p> <p>Other Name Type Required when Other Name fields contain data.</p> <p>Other Name Type Required when Other Organization Name contains data.</p> <p>Provider Other Name Incomplete. Provider Other Name must contain First and Last Name.</p> <p>Other Organization Name is incomplete. If an Other Name Type is selected, Other Organization Name must be entered.</p> <p>Authorized official first name is not provided</p> <p>Authorized official last name is not provided</p> <p>Authorized official title is not provided</p> <p>Authorized official phone number is not provided</p> <p>Mailing address line 1 is not provided</p> <p>Mailing address city name is not provided</p> <p>Mailing address state is not provided</p> <p>Mailing address zip code is not provided</p> <p>Mailing address country code is not provided</p> <p>Practice location address line 1 is not provided</p> <p>Practice location address city name is not provided</p> <p>Practice location address state is not provided</p> <p>Practice location address zip code is not provided</p> <p>Practice location address country code is not provided</p> <p>Practice location address phone number is blank</p> <p>Military mailing address line 1 is not provided</p> <p>Military mailing address zip code is not provided</p> <p>Military practice address line 1 is not provided</p> <p>Military practice address phone number is a required field</p> <p>Military practice address zip code is not provided</p> <p>Other identification number id type is not provided</p> <p>Other identification number is not provided</p> <p>Other identification number Medicaid issuing state is not provided</p> <p>Invalid other identification number id type</p> <p>Other identification number description is blank when Type = OTHER</p> <p>At least one taxonomy data should be provided</p> <p>Missing Area of Specialization for either an Entity Type 1 or 2 records.</p> |

| Operation Indicator Code | 02   |
|--------------------------|--|
|                          | <p>Taxonomy requires a state and license number</p> <p>Taxonomy number can not be either empty or null</p> <p>Primary Taxonomy not selected</p> <p>Either contact person first Name or last Name or phone number is not provided</p> <p>NPI number is not provided in change request</p> <p>An EFI File with change requests does not include the SSN in the record for an existing provider in the NPI System</p> |
| Action                   | Correct the record and resubmit it in a new EFI file   |

| Operation Indicator Code              | 03  |
|---------------------------------------|---|
| Description                           | The record is an exact duplicate of an existing NPI record  |
| Possible Causes/Reasons for rejection | <p>SSN Dupes found within the uploaded XML file</p> <p>SSN Dupes found within the NPPES system</p> <p>Example: exact SSN match with an existing record</p>                                      |
| 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              | 04   |
|---------------------------------------|--|
| Description                           | Rejected by NPI Enumerator   |
| Possible Causes/Reasons for rejection | <p>Rejected by NPI Enumerator</p> <p>Example: failed because an enumerator staff user determined that this record already exists</p> |
| Action                                | Contact the NPI Enumerator and/or the provider for further information.  |

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

| 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 | <p>Taxonomy code mismatch</p> <p>Example: a non-provider taxonomy is supplied, or an organization taxonomy is applied to an individual provider</p>                             |
| Action                                | Correct the record and resubmit it in a new EFI file.   |

| <b>Operation Indicator Code</b>       | <b>07</b>  |
|---------------------------------------|--|
| 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<br>(example: failed SSA validation)  |
| Action                                | Correct the record and resubmit it in a new EFI file.  |
| <b>Operation Indicator Code</b>       | <b>08</b>  |
| 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.   |
| <b>Operation Indicator Code</b>       | <b>09</b>  |
| 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.   |
| <b>Operation Indicator Code</b>       | <b>10</b>  |
| 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<br>SSN or ITIN not matched in change request<br>Provider Date of Birth not matched in change request<br>Given NPI number does not exist in NPPES system for this type of provider<br>An action on the NPI record requires the record to be active or in change request status.<br>Example: change request transaction and NPI was not found on the database |
| Action                                | Correct the record and resubmit it in a new EFI file.  |
| <b>Operation Indicator Code</b>       | <b>12</b>  |
| 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.   |
| <b>Operation Indicator Code</b>       | <b>13</b>  |
| Description                           | NPPES processes have flagged the record for review by the NPI Enumerator   |

| Operation Indicator Code            | 13   |
|-------------------------------------|--|
| 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              | 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. |
| Possible Causes/Reasons for rejection | Duplicate Record Found<br>(example: exact duplicate of another record in the same file or another submitted file)                                       |
| Action                                | Correct the file and resubmit.  |

## 11 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.

### 11.1 Universal Coder

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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.