

Medicare Program Integrity Manual

Chapter 14 - National Provider Identifier

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14.1 - Access to National Plan and Provider Enumeration System (NPPES) and Unique Physician Identification Number (UPIN) Data (Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

With the implementation of the National Provider Identifier (NPI), the Centers for Medicare & Medicaid Services (CMS) discontinued assigning UPINs in June 2007. Effective May 23, 2008, Medicare will use the NPI as both a primary and secondary identifier.

14.2 - Privacy Act Requirements (Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

14.2.1 - NPI (Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The CMS has established a Privacy Act system of records notice titled the “National Plan and Provider Enumeration System (NPPES)”. The primary purpose of the notice is to collect information needed to uniquely identify individual/organizational health care providers, to assign an NPI to those health care providers, to maintain and update the information about the health care providers, and to disseminate health care provider information in accordance with the provisions of the Privacy Act of 1974. CMS published the NPPES Data Dissemination notice on May 30, 2007. In accordance with the e-FOIA Amendments, CMS has disclosed these data via the Internet.

14.2.2 - UPIN (Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The CMS has established a Privacy Act system of records titled the “Unique Physician/Practitioner Identification Number (UPIN)”. The information in the UPIN database is subject to the provisions of the Privacy Act. CMS published a system of records notice in the Federal Register on November 15, 2006. This notice specified the purpose for collecting the information maintained in this system and routine uses which permit disclosure without the prior written consent of the individual to whom the record pertains.

14.2.3 - Adding Physician/Health Care Practitioner/Group Practice Setting (Rev. 141, Issued: 02-24-06; Effective/Implementation: N/A)

To add a practice setting to an established UPIN (base number), provide:

- Record Code "1" in Field 1;
- The physician/health care practitioner/group practice provider number in Field 33, a different local PIN for the new location (Create a new PIN to satisfy this requirement);
- UPIN in Field 34;
- Your carrier number in Field 36;
- Y in Field 39; and

- All other data elements for the specific MPIER record including the revised information in the appropriate fields.

14.3 - Access to NPI Data

(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

Information about the NPI can be found at: (1) a query-only database, known as the NPI Registry at <https://nppes.cms.hhs.gov/NPPES> or (2) a NPPES downloadable file at http://nppesdata.cms.hhs.gov/cms_NPI_files.html

14.3.1 - NPI Registry

(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The NPI registry allows users to perform simple queries to retrieve read-only information from NPPES. For example, users may search by the NPI or legal business name to locate the NPPES records and search for an individuals or organizations. The NPI Registry will return the results of the query to the user, and the user will click on the record(s) he/she wants to view.

14.3.2 - NPI Downloadable File

(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

The downloadable files contain the data for health care providers who have been assigned NPIs.

There is no charge to download the files containing the NPPES FOIA-disclosable health care provider data. User IDs and passwords are not needed to download these files.

14.4 - Access to UPIN Data

(Rev. 263; Issued: 07-25-08; Effective Date: 05-23-08; Implementation Date: 08-08-08)

To obtain a copy of the UPIN file, contact CMS directly by writing to:

CMS Public Use Files
7500 Security Boulevard, N1-15-03
Baltimore, MD 21244-1850

The following information is releasable for physicians and non-physician practitioners:

- Full name;
- Credentials (e.g., MD);
- UPIN;
- State;
- ZIP Code; and
- Specialty code.

The UPIN Registry at www.upinregistry.com will not be available after May 23, 2008.

14.5 – NPIs for Secondary Providers

(Rev. 270; Issued: 10-05-08; Effective Date: 05-23-08; Implementation Date: 09-26-08)

When a provider identifier is reported on a paper or electronically submitted Medicare claim to identify an ordering/referring /attending/operating/supervising/purchased service/other/service facility provider (in the x12N 837 claims transactions) or prescriber (in the NCPDP 5.1 retail drug claim transaction), that identifier must be an NPI. For Medicare purposes, this requirement is effective for claims received on and after May 23, 2008. If the entity to be identified as the ordering/referring/attending/operating/supervising/purchased service/other/service facility provider or prescriber does not furnish an NPI at the time of the order/referral/purchase or time of service, the billing provider must attempt to obtain that NPI in order to use it in the claim. The billing provider may use the NPI Registry or may need to contact the ordering/referring/ attending/operating/supervising/purchased service/other/service facility or prescriber in order to obtain the NPI. While the Implementation Guides for the X12N claims transactions permit the reporting of the Social Security Number (SSN) for some secondary providers if there is no NPI, we do not believe the billing provider will be successful in the obtaining the SSN.

- *If unable to obtain the NPI of the entity to be identified in the service facility location loop (in the X12 N 837 transaction), no identifier should be reported in that loop.*
- *If unable to obtain the NPI of the ordering/referring/attending/operating/supervising/purchased service/other or prescriber, the billing provider (in the X12N 837 transactions) or the service provider (in the NCPDP 5.1 transactions) shall use its own NPI to identify those secondary providers. Medicare will not pay these claims if these secondary providers are not identified by NPIs.*

Effective May 23, 2008, the NPI will replace the UPIN as the unique identifier for all physicians, as defined in 1861 (r) of the Social Security Act, as well as nurse practitioners, clinical nurse specialists, physician assistants, licensed clinical social workers, clinical psychologists, and certified nurse midwives. The only types of providers eligible to refer/order services or items for Medicare beneficiaries are physicians and the non-physician practitioners mentioned above.

14.7.4 - T-Mail

(Rev. 141, Issued: 02-24-06; Effective/Implementation: N/A)

Facilitates the flow of information between you and the Registry. It provides a means to transmit, receive, and file messages. Lengthy, detailed or technical messages can be sent directly instead of through third parties. Messages can be sent regardless of the time difference.

The Registry assigns a T-MAIL ID and password. T-MAIL passwords do not expire. However, the Registry occasionally changes passwords for security reasons.

A menu lists all options and expedites transmission of your message.

T-MAIL displays messages posted to you and allows you to send a response. If more than one T-MAIL message is posted, they are displayed in the sequence they are sent. You can select a specific T-MAIL message. They remain on your menu until you purge them.

T-MAIL hours are 4 a.m. - midnight (Pacific Coast Time) Monday through Friday.

Transmittals Issued for this Chapter

Rev #	Issue Date	Subject	Impl Date	CR#
R270PI	10/15/2008	Reporting National Provider Identifiers (NPIs) for Secondary Providers	09/26/2008	6093
R267PI	09/12/2008	Reporting National Provider Identifiers (NPIs) for Secondary Providers – Rescinded and replaced by Transmittal 270	09/26/2008	6093
R263PI	07/25/2008	The National Provider and Plan Enumeration System (NPPES) and the Unique Physician Identification Number (UPIN) Data	08/08/2008	6036
R141PI	02/24/2006	Modification to the UPIN Process	N/A	4191