Data Submission Dispenser Guide

Massachusetts Prescription Monitoring Program (MA PMP)

February 2016 Version 1.0

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1 Data Collection and Tracking

Data Collection Requirements

This guide provides information regarding the Massachusetts Prescription Monitoring Program (MA PMP). MA PMP is Massachusetts's solution for monitoring Schedule II - V controlled substances dispensed in Massachusetts.

The MA PMP, authorized by M.G.L. Chapter 94C §24A, collects dispensing information on Schedule II through V (M.G.L. Chapter 94C §3) controlled substances dispensed pursuant to a prescription. The Drug Control Program (DCP) analyzes the MA PMP data to determine prescribing and dispensing trends; provide patient prescription history information to prescribers and dispensers; provide educational information to health care providers and the public; and to provide case information to regulatory and law enforcement agencies concerning drug distribution and diversion.

Information about controlled substance dispensing activities is reported daily to the state of Massachusetts through the authorized data collection vendor. Pharmacies and other dispensers are required by law to provide such reporting to the data collection vendor in approved formats and frequencies. This includes mail order pharmacies that mail orders into the state.

Reporting Requirements

A "dispenser" is identified as a practitioner who delivers a controlled substance to an ultimate user by, or pursuant to the lawful order of a practitioner, including the prescribing and administering of a controlled substance and the packaging, labeling, or compounding necessary to prepare the substance for delivery.

The MA PMP reporting requirements apply to all pharmacies registered with the Massachusetts Board of Pharmacy and to all pharmacies in health facilities registered with the MDPH that dispense controlled substances in Schedules II through V pursuant to a prescription.

In addition, MA PMP reporting requirements also apply to any pharmacy located in another state, commonwealth, district or territory that delivers (via U.S.P.S. or common carrier) a Schedule II –V prescription to a person who is located in Massachusetts. This includes, but is not limited to, mail-order pharmacies.

All data required within m.g.l. C. 94c, section 24a must be reported to the Prescription Monitoring Program on the next business day following the most recent transmission.

If you are a chain pharmacy, your data will likely be submitted from your home office. Please verify this with your home office. If you are an independent pharmacy or other entity, please forward the reporting requirements to your software vendor. They will need to create the data file, and they may be able to submit the data on your behalf. If not, follow the instructions provided in the Data Submission chapter to submit the data.

2 Data Submission

About This Chapter

This chapter provides information and instructions for submitting data to the PMP AWAR$_X$E repository.

Timeline and Requirements

Pharmacies and software vendors can establish submission accounts upon receipt of this guide. Instructions for setting up an account are listed below.

- **You may create your account on or after 03/01/2016. See Creating Your Account for more information.**
- **Beginning 05/31/2016 dispensers are required to transmit their data using PMP Clearinghouse. In accordance with the guidelines outlined under Reporting Requirements.**
- **If a pharmacy does not dispense any controlled substances for the preceding reporting period, it must file a zero report for that reporting period or it will be considered noncompliant. See Zero Reports for additional details.**

Upload Specifications

Files should be in ASAP 4.2 format released in September 2011. Files for upload should be named in a unique fashion, with a prefix constructed from the date (YYYYMMDD) and a suffix of ".dat". An example file name would be "20110415.dat". All of your upload files will be kept separate from the files of others.

Reports for multiple pharmacies can be in the same upload file in any order.

3 Creating Your Account

Prior to submitting data, you must create an account. **If you are already registered with PMP Clearinghouse, you do not need to create a new account for another state for data submission. A single account can submit to multiple states.** If you have an existing PMP Clearinghouse account see section 8.2 Adding States to Your Account.

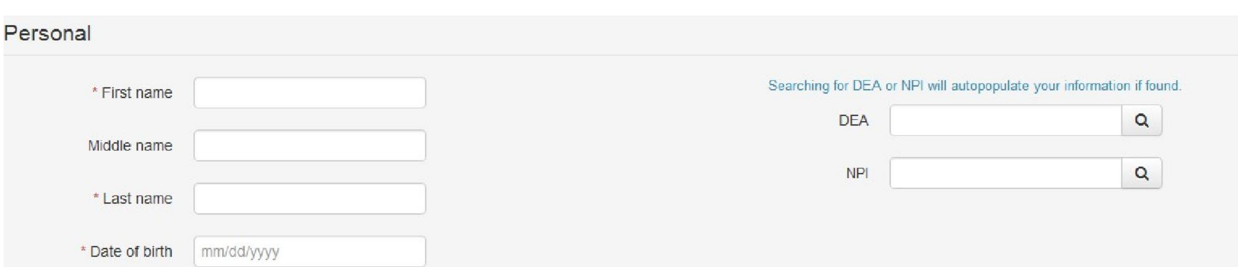
Note: Multiple pharmacies can be uploaded in the same file. For example, Wal-Mart, CVS, and other chain pharmacies send in one file containing all their pharmacies from around the state. Therefore, chains with multiple stores only have to set up one account to upload a file.

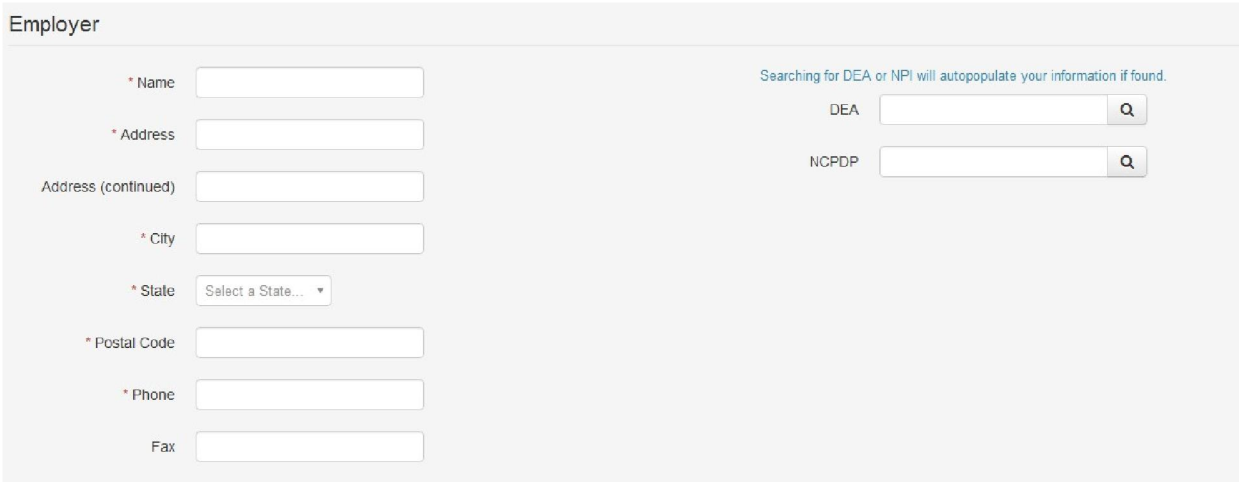
Perform the following steps to create an account:

1. To request a data submitter account for PMP AWAR$_{X}$E, the user must go to https://pmpclearinghouse.net and click the Create Account link in the center of the screen or go directly to https://pmpclearinghouse.net/registrations/new

2. The screen displayed requires the user to enter their current, valid email address and a password. This email address will act as your user name when logging into the system.
   - **The password must contain at least 8 characters, including 1 capital letter, 1 lower case letter, and 1 special character (such as !,@,#,$)**

3. The second grouping is the demographics section. Here the user must enter their name, date of birth, employer information, and other information as configured by the PMP Administrator.
   - Required fields are marked with a red asterisk(*)
   - The user may be able to auto populate their user and employer information using the search boxes for listed identifiers (DEA, NCPDP, or NPI).





Note: PMP Clearinghouse users are able to submit data through the web portal via manual entry or upload of ASAP files. Secure FTP (sFTP) access is available for users who require an encrypted transfer method. We recommend sFTP only for those users who plan to automate their data submission.

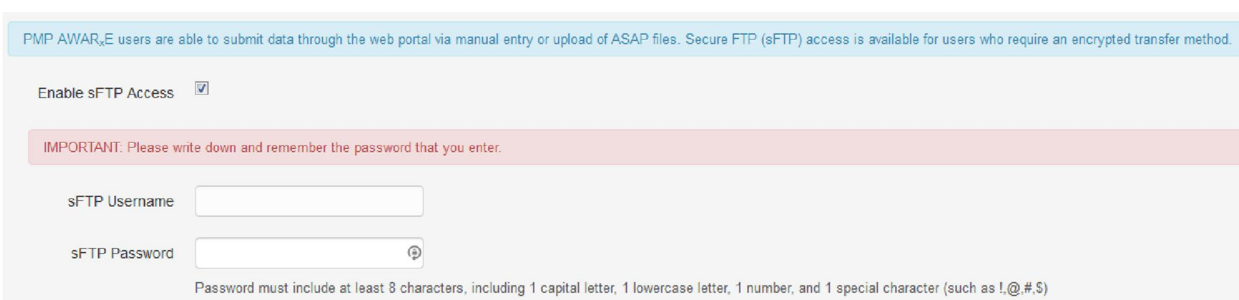
- If Secure FTP access is not required, skip to step 6.

4. If the user requires a sFTP account to transfer their data to PMP AWAR$_X$E it must be indicated when setting up the account. **IMPORTANT**: Please write down and remember the password that you enter. Once we create the sFTP account you will receive an email with the User ID to use for sFTP, however it will not provide the password that you enter below. Also, this password will not be stored within the application.

- sFTP accounts are used to transfer data automatically between servers. It requires no interaction by a user.

5. If a user checks the "Enable sFTP Access", the user must enter a password for the account.

- **The sFTP password must contain at least 8 characters, including 1 capital letter, 1 lower case letter, 1 number, and 1 special character (such as !,@,#,$)**



6. The registering user must select which states they will be submitting data for. A list of available states using PMP AWAR$_X$E are selectable.

7. The registering user clicks submit. The request is submitted to the PMP Administrator for each of the states the user selected for data submission.

- Once a PMP Administrator has approved the request, the user will receive a welcome email and can begin submitting data to PMP AWAR$_X$E.
- If a sFTP account was requested, the sFTP account will be created and a prompt will be displayed to the user with the sFTP username. This information can be found again in the application under Account -> sFTP Details.

Users can test the sFTP connection but will not be able to submit data to a PMP until their account has been approved by the state administrator.

- The user ID will be the first 5 characters of your employer name + your employer phone number + @prodpmpsftp. Example User ID: chain5025554747@prodpmpsftp

The URL to connect via sFTP is sftp://sftp.pmpclearinghouse.net

4 Data Delivery Methods

This section discusses the different options available to a user to submit your controlled substance reporting data file(s) to PMP Clearinghouse. Users have the options of using a sFTP account, a web portal upload page, using a manual entry UCF (Universal Claims Form) page or submitting a zero report.

4.1 Secure FTP

Data submitters who select to submit data to PMP Clearinghouse by sFTP must configure individual folders for the state PMP systems they will be submitting data to. **The sub-folders should use state abbreviation for naming (ex. AK, KS, MA, etc.).** The subfolder must be located in the homedir/ directory which is where you land once authenticated. Data files not submitted to a state subfolder will be required to have a manual state PMP assignment made on the File Listings screen.

1. If an account has not yet been created, perform the steps in Creating Your Account.
2. Prepare the data file(s) for submission, using the ASAP 4.2 specifications described in Appendix B.
3. SFTP the file to sftp://sftp.pmpclearinghouse.net.
4. When prompted, use the username you received in an email when the SFTP account was created and the password you entered when requesting the SFTP account.
5. Place the file in the desired directory.
6. The user can view the results of the transfer/upload on the Submissions screen.

> **Note: If a data file was placed in the root directory and not a state sub-folder, the user will be prompted at the File Status screen to select a destination PMP to send the data to.**

4.2 Web Portal Upload

1. If an account has not yet been created, perform the steps in Creating Your Account.
2. After logging into PMP Clearinghouse, navigate to File Upload in the menu bar.
3. You must select a destination PMP from the available states listed in the drop-down.
4. Click on the “Browse” button and select the file to upload.
5. Click the ‘Upload” button to begin the process of transferring the file to PMP Clearinghouse.
6. The results of the transfer/upload can be viewed on the File Submissions screen.

4.3 Manual Entry (UCF)

Manual Entry is an option for data submitters to enter their prescription information into the PMP Clearinghouse system using a form derived from the Universal Claims Form. It allows the entry of patient, prescriber, pharmacy, and prescription information.

1. If you do not have an account, perform the steps in Creating Your Account.
2. After logging into PMP Clearinghouse, navigate to UCF Submissions in the menu bar.
3. Choose New Claim Form to begin a submission.
4. You must select a destination PMP from the available states listed in the drop-down.
5. Complete all required fields as indicated by a red asterisks (*).

6. Click Save.
7. Then click Submit.
8. The results can be viewed on the UCF Listing screen.

4.4 Zero Reports

If you have no dispensations to report, you must report this information to the MA PMP by performing the following steps:

1. If you do not have an account, perform the steps in Creating Your Account.
2. After logging into PMP Clearinghouse, navigate to Zero Reports in the menu bar.
3. You must select a destination PMP from the available states listed in the drop-down.
4. Enter the start date and end date for the report and click on the “Submit” button. (NCPDP and DEA number are optional)
5. The request will be submitted to PMP Clearinghouse.

Zero Reports can also be submitted via sFTP using the ASAP Standard for Zero Reports. For additional details on this method, see Appendix C - ASAP Zero Report Specifications.

5 Data Compliance

Data Compliance allows users of PMP Clearinghouse to view the status of data files they have submitted.

5.1 File Listing

The File Status screen displays information extracted from the data files submitted to PMP Clearinghouse. The screen displays the file name, the number of records identified within the data file, the number of records that contain warnings, the number of records that contain errors, and the date and time of submission. A status column is located at the end of each row displaying the status of the file. If there are errors the status column will state "Pending Dispensation Error" and the text will be a hyperlink to the view records screen.

If a file is unable to be parsed into the Clearinghouse application, the appropriate message will display. A new file must be submitted to PMP Clearinghouse. It is not necessary to void a file that failed parsing since it was not successfully submitted to Clearinghouse.

If a file has been submitted by sFTP without using a state specific sub-folder, the file will be displayed and the user will be prompted to select a destination PMP for the data file to be transferred to.

5.2 Claim Forms Listing

The Claim Forms Listing displays the UCF forms submitted to the PMP Clearinghouse. The screen displays number of warning and the number errors. A status column is located at the end of each row displaying the status of the file. If there are errors then the status column will state "Pending Dispensation Error" and the text will be a hyperlink to the view records screen.

5.3 View Records

The view records screen provides a deeper view of the records within a selected data file that need correcting. The screen displays Prescription Number, Segment Type, Warning Count, and Error Count. A "Correct" button is displayed at the end of each row that will allow the user to make corrections to the record.

To view the records that need correcting:

1. Click on the "*Pending Dispensation Error*" hyperlink in the status column.
2. The View Records screen is displayed.
3. Click on the correct button at the end of the row for the record you want to correct.

5.4 Error Correction

The Error Correction screen allows a user to make corrections to data submitted that did not pass the validation rules. The screen displays all the fields contained within the record and the originally submitted value. A "Corrected Value" column displays the values the user enters to correct the error. The Message column displays the relevant error message for the field explaining why it did not pass the validation rules.

For files that failed to parse, the error identified is "best effort" and any information we could not parse is listed as "unparseable" in the file. A corrected file should be submitted.

To correct records:

1. Identify the fields displayed that require corrections.
2. Enter the new corrected value into the corrected value column.
3. Click Submit.
4. The error will be processed through the validation rules.
   a. If the changes pass the validation rules, the record will be identified as valid and the File Status and View Records screen will be updated.
   b. If the changes fail the validation rules, the record will continue to be identified as needing corrections. The error message will be updated to identify any new error message.

6 Email Reports

Email status reports will be automatically sent to the users associated with a data submitter account. The emailed reports are used to both identify errors in files that have been submitted and confirm a zero report submission.

6.1 File Failed Report

The File Failed report identifies if the submitted file was not able to be parsed and was not processed into PMP Clearinghouse. The file contains a description of the error encountered within the file. In the event of a failed file, a new file should be submitted with the necessary corrections. Failed files are not parsed into Clearinghouse and do not require a Void ASAP file to remove it from the system. An example of a File Fail report is:

```
SUBJ: Massachusetts ASAP file: fake-test3.txt - Parse Failure

BODY:
Error Message
-----------------------------------------------------------------------------
Failed to decode the value '04' for the bean id 'transactionControlType'.


Summary:
* File Name: fake-test3.txt
* ASAP Version: 4.2
* Transaction Control Number: unparseable
* Transaction Control Type: unnparseable
* Date of Submission: January 30, 2016

NOTE: This file could not be received into the system because the system
could not recognize its content as a valid ASAP format.  Action is required
to resolve the issues and a subsequent file should be submitted.   As such
the information provided in this report is "best effort" and any information
we could not parse is listed as "unparseable" in the fields above.
```

6.2 File Status Report

The File Status report is a report sent to notify the data submitter that a data file is currently being parsed by the state PMP system. The report notifies users of the following scenarios:

- Total Records: The total number of records contained in the submitted data file
- Duplicate Records: The number of records that were identified as already existing within the PMP system. Duplicate records are not imported to prevent improper patient information
- Records in Process: The number of records remaining to be processed into the system (usually only displays a number if the file has not finished loading at the time the report is sent out). **Records remaining to be processed will continue to be processed even after the status report is sent.**
- Records with Errors: Shows how many records that contain errors. These errors will need to be corrected for the record to be imported into the system. If a zero (0) is displayed, there are no errors in the data.
- Records with Warnings: Shows how many records that contain warnings. These warnings do not need to be corrected for the record to be imported into the system. If a zero (0) is displayed, there are no warnings in the data.
- Records imported with warnings: Shows the number of records that were imported if they had warnings. Records with warning and errors must have the errors corrected to be submitted into the system.
- Records imported without warnings: Shows the number of records that were imported that had no warnings.

The initial report is sent out 2 hours after the file has been submitted to the system. Status reports will be received every 24 hours after if errors are continued to be identified within a submitted data file.

The report identifies specific records in the submitted data file and returns identifying information about the record and the specific error identified during the validation process. The report uses fixed width columns and contains a summary section after the error listings. Each column contains a blank 2 digit pad at the end of the data. The columns are set to the following lengths:

Column	Length
DEA	11 (9+pad)
NCPDP	9 (7+pad)
NPI	12 (10+pad)
Prescription	27 (25+pad)
Filled	10 (8+pad)
Segment	18 (16+pad)
Field	18 (16+pad)
Type	9 (7+pad)
Message	Arbitrary

An example of the report is:

```
SUBJ: Massachusetts ASAP file: fake-test3.txt - Status Report

BODY:
DEA        NCPDP    NPI         Prescription               Filled    Segment          Field            Type     Message
--------------------------------------------------------------------------------------------------------------------------------
BE1234567  1347347  9034618394  123486379596-0             20130808  Dispensation     refill_number    WARNING  message example
DE9841394  3491849  4851947597  357199504833-345           20130808  Dispensation     days_supply      ERROR    message example


Summary:
* File Name: fake-test3.txt
* ASAP Version: 4.2
* Transaction Control Number: 23489504823
* Transaction Control Type: send
* Date of Submission: January 30, 2016
* Total Record Count: ###
* Duplicate Records: ###
* Records in Process: ###
* Records with Errors: ###
* Records Imported with Warning(s): ###
* Records Imported without Warning(s): ###
```

6.3 Zero Report Confirmation

A Zero Report confirmation email is sent to a data submitter who successfully submits a zero report into PMP Clearinghouse. The report displays the PMP states the zero report was submitted to, the date range to be used in the zero report, the date the zero report was submitted to Clearinghouse, and the date the report was originally created by the data submitter. An example of the report is:

```
SUBJ: ASAP Zero Report: zero_reports_20160306KSMCPS.DAT

BODY:
Summary:
* File Name: zero_reports_20130301KSMCPS.DAT
* PMP Name: Mass
* Date Range: 2016-03-06 - 2016-03-06
* Submission Date: 2016-03-06
* Asap Creation Date: 2016-03-06
```

7 Password Management

Password management can be handled from within PMP Clearinghouse by the user. The user's password will expire after a set amount of time (configured by the state PMP Administrator). A user is able to proactively change their password before it expires within the application through their user profile. If a password has expired, or if the user has forgotten the password, they can use "Forgot your password" to change their password.

7.1 Changing Your Password

1. When a user wants to change their current password, they navigate to their My Profile section.
2. The user selects the navigation menu item for 'Change Password'.
3. The user must then enter their current password and enter a new password twice.
4. The new password will take effect once the user has logged out of the application.

7.2 Changing Passwords for another User

1. Navigate to the Accounts menu option and select Users.
2. Select the Edit button for the desired user.
3. Create a new password for the user and click submit.
4. The user will now use the new password for logging into PMP Clearinghouse.

7.3 Forgot Your Password

1. When a user has forgotten their password or their password has expired, the user should click on the link named "Forgot your password" located on the log in screen.
2. The user must enter the email address they used to register with the application.
3. The user will receive an email containing a link to reset the password for the user's account.
4. The user must enter the new password twice and then save the password.

8 User Profile

8.1. Adding Users to Your Account

PMP Clearinghouse allows data submitters to add new users to the system that will have the same rights and access to submitting and viewing file status. This practice will allow a data submitter to create an account to be used for a backup individual.

1. In Account in the menu bar, the user can select to add users under the section titled “Users”.
2. Click the “New User” button and enter the first name, last name, and email address for the new user.
3. Once saved, the new user will be able to log into PMP Clearinghouse.
   a. The new user will use the email address used when creating their account.
   b. The new user must use the “Forgot your password” link to create a password for their account.
4. The new user can now log in and view all data files that have been submitted under the account.

8.2. Adding States to your account

If a registered user of PMP Clearinghouse needs to submit data files to an additional state using PMP AWAR$_X$E, the user can submit the request through their Account settings page.

1. Navigate to Account in the main menu and select “Multi State Approval” from the dropdown.
2. The page that displays lists the current states the account has requested to submit data to and the current approval from that state.
3. To submit to a new state using PMP AWARE, simply check the state on the list. This will send the data submission request to the desired state’s PMP Administrator for approval.
4. After approval has been granted, the status will change from “Pending” to “Approved”. The account may begin submitting data to the new state.

Note: If submitting by sFTP, data must be located in the proper sub-folder to ensure proper delivery to the desired state PMP.

8.3. Adding sFTP to a Registered Account

If a registered account did not request a sFTP account during the registration process, a user of the account can request one in the Account options.

1. Navigate to the Account drop down menu and select sFTP Details.
2. Select the button to request a sFTP account.

Note: If an sFTP account already exists, the username will be displayed on this screen.

3. Enter the desired password for the sFTP account.
4. The sFTP username will be displayed on the screen after the sFTP account has been created.

9 Assistance and Support

Technical Assistance

If you need additional help with any of the procedures outlined in this guide, you can:

Contact Appriss at

1-855-5MA-4PMP (1-855-562-4767)

Technical assistance is available 24 hours, 7 days a week, 365 days a year.

Administrative Assistance

If you have non-technical questions regarding the MA PMP, please contact:

617-753-7310
mapmp.dph@MassMail.State.MA.US
http://www.mass.gov/dph/dcp/onlinepmp

10 Appendix A - Data Entry Guidance

This section is designed to address those fields that may require extra guidance for proper data entry.

Please note: The names used for data fields in this section may differ from the labels assigned by software providers programming pharmacy systems. Some software providers may assign more user friendly names to data fields.

The comprehensive list of specific data elements that pharmacies are required to collect and submit to the MA PMP is listed in Appendix B of this document.

Pharmacies and pharmacy corporations are advised to consult their software providers regarding the alphanumeric code values, dropdown list choices, and terminology to use for data entry screens.

Customer ID

The customer is the person delivering the written prescription to the pharmacy or the person receiving the filled prescription. The customer and patient may or may not be the same person. For example, the customer may be a parent picking up a prescription for a child, a relative dropping off a prescription for a housebound family member, or the customer may be a pet owner.

The pharmacy is required to obtain and submit to the MA PMP the information from the customer's government issued ID. "Obtaining" means to inspect and verify (e.g., checking that the photo matches the customer taking possession of the prescription and that the ID is valid and not out of date. Obtaining and reporting the customer ID is mandatory except in the limited circumstances described below in the section titled "Exceptions to the Customer ID Requirement."

Pharmacies may decide, based on workflow or other issues, whether the customer ID data are obtained and entered when the person delivers the written prescription to the pharmacy or when the person receives the filled prescription. It is an operational policy for the pharmacy to determine.

A previously stored ID should never be automatically entered. With each new prescription, the pharmacy must inspect and data enter the specific valid ID information of the customer who delivers the written prescription or receives the filled prescription.

Currently acceptable forms customer ID are, current and valid:

- Driver's License (any jurisdiction)
- MA Registry of Motor Vehicles Identification
- Military ID Card
- Passport
- Permanent Resident Card (commonly referred to as a "green card"); issued by U.S. Citizen and Immigration Services (formerly Immigration and Naturalization Services)
- MA Commission for the Blind Identification Card

The customer ID field must contain only the alphanumeric characters of the ID number that has been issued by the governmental agency. Do not add punctuation marks (e.g., dashes, question marks) or additional information (e.g., MA, SOC SEC, NO CHECKS, MOTHER, LIC#, NH LIC, or any text other than the ID number itself).

For Massachusetts Registry of Motor Vehicles license numbers that begin with the letter "S", please be careful when entering the "S." Transcription errors have caused the "S" to be mistakenly entered as a "3," "5," or an "8".

For Permanent Resident Card ID numbers, enter the Alien number. Include the leading letter "A" as part of the number if it is printed as part of or preprinted in front of the Alien number. Permanent Resident Cards are typically composed of nine characters. However, some have been issued with eight characters and some with ten characters. Enter the exact number as it appears on the card.

Exceptions to the Customer ID Requirement

The exceptions to the collecting and reporting requirements for customer ID information are:

1. On a case-by-case basis a pharmacist is permitted to dispense a controlled substance in Schedules II through V without obtaining positive ID provided that:

    a) The pharmacist has reason to believe that the failure to dispense the controlled substance at this time would result in a serious hardship for the ultimate user or agent of the ultimate user, and
    b) The pharmacist documents the reason; and
    c) The ultimate user or agent of the ultimate user prints his or her name and address on the reverse side of the prescription and signs his or her name thereto.

    When utilizing such a waiver, "cust signed rx" will be entered in the customer ID field rather than leaving the field blank.

2. MDPH is waiving the customer ID requirement for refills on Schedule III – V prescriptions. When utilizing this waiver, the customer ID fields should be left blank (see DSP06 – Refill Number on page 21 for details).

3. MDPH is requiring the customer ID for the first partial fill of a prescription, but is waiving the customer ID requirement for a subsequent partial fill of the same prescription.

4. MDPH is waiving the customer ID requirement for deliveries under the circumstance described below. The term "delivery" should be entered in the customer ID field.

Deliveries

When a pharmacy delivers in person or through a common carrier to a private residence or to a facility where the patient is located, MDPH is waiving the requirement for the pharmacy to collect and report a customer ID. The pharmacy will use its internal procedures for tracking deliveries.

When submitting data utilizing the "deliveries exception," pharmacies should populate the relevant ASAP fields as follows:

- PAT21 [Patient Location Code] – The pharmacist should use his/her professional judgment to determine which of the available ASAP location codes applies. Be as accurate as possible in selecting the code. Do not leave the field blank.
- AIR03 [Issuing Jurisdiction of the Customer ID] – Leave blank.
- AIR04 [ID Qualifier] – Leave blank.
- AIR05 [Customer ID] - Enter "delivery"
- AIR06 [Relationship of the customer to the patient] – Leave blank.

However, if an individual delivers a written prescription or prescription container for dispensing and subsequent delivery to the patient, the pharmacy is required to collect and report the customer ID information of the individual to MA PMP.

AIR03 – Jurisdiction Issuing Customer ID

The AIR03 field is used to identify the jurisdiction issuing the customer ID. For example, "MA" will be entered into this field to indicate a Massachusetts issued ID, or "US" will be entered to indicate a federally issued ID. Pharmacy software providers should distribute the full list of the approved ASAP jurisdiction codes for states, Canadian provinces, and other jurisdictions. When the specific jurisdiction is not on the list (for example, most foreign countries are not listed) use the code "99" for "Other".

AIR04 – ID Qualifier of Person Dropping Off or Picking Up Prescription

The AIR04 field identifies the type of identification the individual delivering or receiving the prescription presents to the pharmacy. Use code "99" for the MA Commission for the Blind ID, since ASAP 4.2 does not provide a more specific code.

AIR06 – Customer's Relationship to Patient

The MA PMP does not require the pharmacist to choose from all of the available ASAP relationship codes. Just enter "01" if the customer is the patient, or enter "99" if the customer is not the patient.

DSP06 – Refill Number

[Partial fills are entered in DSP13. Please note that the coding method for DSP13 is different in ASAP 4.2 than ASAP 4.1.]

An original prescription is a prescription that upon dispensing is issued/assigned a new prescription number by the dispensing pharmacy. Prescriptions that constitute continuation of drug therapy and that are issued/assigned a new prescription number are original prescriptions. The code for an original prescription is "0," zero.

Refills of prescriptions are those prescriptions dispensed in accordance with the refill indication on a prescription having a previously issued/assigned prescription number. The codes indicating the refill number correspond to that dispensing, e.g. ‘01’ for first refill, ‘02’ for second refill, etc. PRN is not an acceptable code to indicate a refill.

DSP18 - RxNorm Qualifier;- DSP19 - RxNorm; DSP20 - Electronic Prescription Reference Number; and DSP21 - Electronic Prescription Order Number

These are the fields that must be populated from the NCPDP script transmission for electronic prescriptions. It is anticipated that the pharmacy software will be constructed such that these fields will be automatically populated behind the scenes without the pharmacy personnel performing the data entry. For electronic prescriptions DSP12 (Transmission Form of Rx Origin Code) must be coded as ”05.” This may or may not be handled by the pharmacy software. Pharmacy personnel should check with their software provider.

When any of this information comes across in the NCPDP SCRIPT transmission from the prescriber, the pharmacy software needs to insert the information into the respective data elements for the data submission to the MA PMP. The electronic prescription fields are:

- DSP18 RxNorm Qualifier: (See the comment to DSP19 below.)
- DSP19 RxNorm: ASAP 4.2 specifies that DSP18 and DSP19 should not be required until RxNorm becomes an industry standard. Therefore, until greater than 50% of the electronic prescriptions begin coming across in the NCPDP feed as actual RxNorm values, the MA PMP is permitting pharmacies to either omit or include DSP18 and DSP19 values. When greater than 50% of the NCPDP feeds begin coming across as actual RxNorm values, pharmacies must populate those fields.

Pharmacies are reminded that when dispensing an electronically transmitted prescription, DSP12 (Transmission Form of Rx Origin Code) must be coded as ”05” – meaning “electronic prescription”.

PAT22 – Country of Non-U.S. Resident

If the patient does not have a US address enter the country name in PAT22. If the patient has a U.S. address, leave this field blank. If your pharmacy software is set up for you to enter non-U.S. country information in a different address field that is submitted to the MA PMP (for example in the zip code field), it is permissible to continue using that field instead.

PRE02 – Prescriber DEA Number (Including DEA "X" Numbers)

For prescription drug products containing buprenorphine, when both the physician’s primary DEA number and the DATA 2000 waiver ID (“X”) number appear on the prescription, the MA PMP prefers that the “X” number be submitted to the MA PMP rather than the physician’s primary DEA number.

Properly Reporting Metric Quantities

Accurate reporting of metric quantities is essential for providers who review patient records and MA PMP staff who perform data analyses.

Consistent and accurate units of measure must be used to report the metric quantity for the specific dosage form for each prescription. Every pharmacy needs to enter the appropriate metric quantity and ensure that the same unit of measure for each drug product and its dosage form is used. Solid oral dosage forms tend to be properly reported since the unit of measure is "each" and reported as the number of solid units dispensed. However, metric quantities that are outside of the expected ranges (e.g., 10,000 ml) have been submitted. Most of these metric quantities were calculated using improper units of measure, especially for non-solid dosage forms.

To aid in accurate and consistent reporting of metric quantities, the following guidance has been developed using information from the commercial databases most frequently used in pharmacy data entry:

- Use "each" when referring to the following dosage forms: capsule, diaphragm, disc, patch, plaster, suppository, suture, tablet, troche, and wafer.
- Use "mL" when referring to the following dosage forms: aerosol liquids (note: some formulations are powders, use "gm"), elixirs, emulsions, extracts, mouthwash, oils, shampoos, liquid soaps, solutions, sprays, suspensions, syrups, tinctures.

  Example: For 1 package of 10 morphine sulfate syringes, each syringe containing 2 mL of 10 mg/mL morphine, the total volume dispensed is 20 mL and the metric quantity reported will be "20."

- Use "gm" when referring to the following dosage forms: aerosol powders (note: some formulations are liquids, use "mL"), creams, crystals, gels, jellies, granules, ointments, powders.

In cases where NCPDP Billing Unit standard offers specific guidance on particular product formulations, the MA PMP will accept such guidance as an acceptable basis of metric quantity calculation and will not consider it to be a conflict with the ASAP or the instructions above.

Reporting Compounded Prescriptions

Enter code "06" in DSP07. In the DSP08 field where the National Drug Code [NDC] number is normally entered for the prescription, the pharmacy will either enter (a) the number "9" eleven times i.e.,"99999999999" or (b) an in house assigned eleven character compound code, provided the first five characters are nines. Also, enter code "06" in DSP07. The specific NDC number, the metric quantity and the unit of measure (gm, mL, or each) of each reportable ingredient must also be submitted to the MA PMP. Pharmacies and pharmacy corporations are advised to consult with their software providers for guidance on how to enter this data.

11 Appendix B - ASAP 4.2 Specifications

To improve data integrity and to reduce the possibility of data rejection, software providers are encouraged to incorporate validations based upon ASAP documented data element descriptions in the following pages. For example, it is helpful to validate that:

- Alphanumeric fields that consist only of numerals should be constrained to only permit entry of numerals (e.g., the Relationship to Patient data element code possibilities are only composed of numerals, and an NCPDP number or an NDC number has only numerals);
- Data entry does not exceed MA PMP maximum permissible data element widths;
- When a finite list of codes is specified for a particular data element (also taking into account that MA PMP accepts fewer codes than ASAP for some data elements), restrict the field to accept only one of those codes.
- “If available” means that the MA PMP is not requiring the software vendors to modify their systems to include a specific data element, but that the data element should be sent if the field exists in their software.

Required ASAP 4.2 Data Elements

For details and examples please consult the Implementation Guide ASAP Standard For Prescription Monitoring Programs, Version 4 Release 2. This document is available from American Society for Automation in Pharmacy (www.asapnet.org or phone (610) 825 7783)

This is a character-delimited format. All A/N data elements must be left justified. All N data elements are right justified.

The MA PMP leaves it to the discretion of the pharmacy whether or not to include the AIR segment if data elements within that segment are all empty (e.g., refill or partial fill exception). MA PMP will accept either method.

Data may be sent in any data element listed below, including those that are “Not used for MA PMP”.

The ACK - Acknowledgement/Response segment is not supported at this time.

The third byte in the TH segment is used by example to indicate the data element separator. To avoid data corruption, be careful to not use a character that could possibly be typed in by a data entry person.

The following information is the required definitions for submitting ASAP 4.2 records to MA PMP.

The following table will list the Segment, Element ID, Element Name, and Requirement. The Requirement column uses the following codes:

- R = Required by Massachusetts
- N = Not Required but Accepted if Submitted
- S = Situational, see situational dependency notes for elements marked with superscript; S^X

Element ID	Element Name	Requirement	Notes
TH – Transaction Header - Required To indicate the start of a transaction. It also assigns the segment terminator, data element separator, and control number.			
TH01	**Version/Release Number** Code uniquely identifying the transaction. Format = x.x	**R**	
TH02	**Transaction Control Number** Sender assigned code uniquely identifying a transaction.	**R**	
TH03	**Transaction Type** Identifies the purpose of initiating the transaction. • 01 Send/Request Transaction • 02 Acknowledgement (used in Response only) • 03 Error Receiving (used in Response only) • 04 Void (used to void a specific Rx in a real-time transmission or an entire batch that has been transmitted)	**R**	
TH04	**Response ID** Contains the Transaction Control Number of a transaction that initiated the transaction. Required in response transaction only.	**N**	
TH05	**Creation Date** Date the transaction was created. Format: CCYYMMDD.	**R**	
TH06	**Creation Time** Time the transaction was created. Format: HHMMSS or HHMM.	**R**	
TH07	**File Type** • P = Production • T = Test	**R**	

TH08	**Routing Number** Reserved for real-time transmissions that go through a network switch to indicate, if necessary, the specific state PMP the transaction should be routed to.	**N**	
TH09	**Segment Terminator Character** This terminates the TH segment and sets the actual value of the data segment terminator for the entire transaction.	**R**	
IS – Information Source – Required To convey the name and identification numbers of the entity supplying the information.			
IS01	**Unique Information Source ID** Reference number or identification number. (Example: phone number)	**R**	
IS02	**Information Source Entity Name** Entity name of the Information Source.	**R**	
IS03	**Message** Free-form text message.	**N**	
PHA – Pharmacy Header – Required To identify the pharmacy or the dispensing prescriber. It is required that information be provided in at least one of the following fields: PHA01, PHA02, or PH03.			
PHA01	**National Provider Identifier (NPI)** Identifier assigned to the pharmacy by CMS.	**R** (If available)	
PHA02	**NCPDP/NABP Provider ID** Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	**R**	
PHA03	**DEA Number** Identifier assigned to the pharmacy by the Drug Enforcement Administration.	**R**	
PHA04	**Pharmacy Name** Freeform name of the pharmacy.	**R**	
PHA05	**Address Information – 1** Freeform text for address information.	**S[1]**	PHA05 – 07 Required if the DEA in PHA02 cannot be verified in DEA database.
PHA06	**Address Information – 2** Freeform text for address information.	**S[1]**	
PHA07	**City Address** Freeform text for city name.	**S[1]**	

<table>
<tr><td>PHA08</td><td>State Address
U.S. Postal Service state code.</td><td>R</td><td></td></tr>
<tr><td>PHA09</td><td>ZIP Code Address
U.S. Postal Service ZIP Code.</td><td>N</td><td></td></tr>
<tr><td>PHA10</td><td>Phone Number
Complete phone number including area code. Do not include hyphens.</td><td>R</td><td></td></tr>
<tr><td>PHA11</td><td>Contact Name
Free-form name.</td><td>S</td><td></td></tr>
<tr><td>PHA12</td><td>Chain Site ID
Store number assigned by the chain to the pharmacy location. Used when PMP needs to identify the specific pharmacy from which information is required.</td><td>S</td><td></td></tr>
<tr><td colspan="4">PAT – Patient Information – Required
Used to report the patient’s name and basic information as contained in the pharmacy record.</td></tr>
<tr><td>PAT01</td><td>ID Qualifier of Patient Identifier
Code identifying the jurisdiction that issues the ID in PAT03.</td><td>S[2]</td><td rowspan="3">If AIR06 = 01 (patient) PAT01-03 are Required</td></tr>
<tr><td>PAT02</td><td>ID Qualifier
Code to identify the type of ID in PAT03. If PAT02 is used, PAT03 is required.
• 01 Military ID
• 02 State Issued ID
• 03 Unique System ID
• 05 Passport ID
• 06 Driver’s License ID
• 07 Social Security Number
• 08 Tribal ID
• 99 Other (agreed upon ID)</td><td>S[2]</td></tr>
<tr><td>PAT03</td><td>ID of Patient
Identification number for the patient as indicated in PAT02.
An example would be the driver’s license number.</td><td>S[2]</td></tr>
<tr><td>PAT04</td><td>ID Qualifier of Additional Patient Identifier
Code identifying the jurisdiction that issues the ID in PAT06.
Used if the PMP requires such identification.</td><td>N</td><td></td></tr>
</table>

PAT05	**Additional Patient ID Qualifier** Code to identify the type of ID in PAT06 if the PMP requires a second identifier. If PAT05 is used, PAT06 is required. • 01 Military ID • 02 State Issued ID • 03 Unique System ID • 05 Passport ID • 06 Driver's License ID • 07 Social Security Number • 08 Tribal ID • 99 Other (agreed upon ID)	**N**	
PAT06	**Additional ID** Identification that might be required by the PMP to further identify the individual. An example might be in that PAT03 driver's license is required and in PAT06 Social Security number is also required.	**N**	
PAT07	**Last Name** Patient's last name.	**R**	
PAT08	**First Name** Patient's first name.	**R**	
PAT09	**Middle Name** Patient's middle name or initial if available.	**N**	
PAT10	**Name Prefix** Patient's name prefix such as Mr. or Dr.	**N**	
PAT11	**Name Suffix** Patient's name suffix such as Jr. or the III.	**N**	
PAT12	**Address Information – 1** Free-form text for street address information.	**R**	
PAT13	**Address Information – 2** Free-form text for additional address information.	**N**	
PAT14	**City Address** Free-form text for city name.	**R**	
PAT15	**State Address** U.S. Postal Service state code Note: Field has been sized to handle international patients not residing in the U.S.	**R**	

PAT16	**ZIP Code Address** U.S. Postal Service ZIP code. Populate with zeros if patient address is outside the U.S.	**R**	
PAT17	**Phone Number** Complete phone number including area code. Do not include hyphens. For situations in which the patient does not have a phone number, submit ten 9's.	**R**	
PAT18	**Date of Birth** Date patient was born. Format: CCYYMMDD.	**R**	
PAT19	**Gender Code** Code indicating the sex of the patient. • F Female • M Male • U Unknown	**R**	
PAT20	**Species Code** Used if required by the PMP to differentiate a prescription for an individual from one prescribed for an animal. • 01 Human • 02 Veterinary Patient	**R**	
PAT21	**Patient Location Code** Code indicating where patient is located when receiving pharmacy services. • 01 Home • 02 Intermediary Care • 03 Nursing Home • 04 Long-Term/Extended Care • 05 Rest Home • 06 Boarding Home • 07 Skilled-Care Facility • 08 Sub-Acute Care Facility • 09 Acute Care Facility • 10 Outpatient • 11 Hospice • 98 Unknown • 99 Other	**R**	

PAT22	**Country of Non-U.S. Resident** Used when the patient's address is a foreign country and PAT12 through PAT16 are left blank.	**S**	
PAT23	**Name of Animal** Used if required by the PMP for prescriptions written by a veterinarian and the pharmacist has access to this information at the time of dispensing the prescription.	**N**	
DSP – Dispensing Record – Required To identify the basic components of a dispensing of a given prescription order including the date and quantity.			
DSP01	**Reporting Status** DSP01 requires one of the following codes, and an empty or blank field no longer indicates a new prescription transaction: • 00 New Record (indicates a new prescription dispensing transaction) • 01 Revise (indicates that one or more data element values in a previously submitted transaction are being revised) • 02 Void (message to the PMP to remove the original prescription transaction from its data, or to mark the record as invalid or to be ignored).	**R**	
DSP02	**Prescription Number** Serial number assigned to the prescription by the pharmacy.	**R**	
DSP03	**Date Written** Date the prescription was written (authorized). Format: CCYYMMDD	**R**	
DSP04	**Refills Authorized** The number of refills authorized by the prescriber.	**R**	
DSP05	**Date Filled** Date prescription was filled. Format: CCYYMMDD	**R**	
DSP06	**Refill Number** Number of the fill of the prescription. 0 indicates New Rx; 01-99 is the refill number.	**R**	

DSP07	**Product ID Qualifier** Used to identify the type of product ID contained in DSP08. • 01 NDC • 06 Compound	**R**	
DSP08	**Product ID** Full product identification as indicated in DSP07, including leading zeros without punctuation. If Compound is indicated in DSP07 then use 99999 as the first 5 characters; CDI then becomes required.	**R**	
DSP09	**Quantity Dispensed** Number of metric units dispensed in metric decimal format. Example: 2.5 Note: For compounds show the first quantity in CDI04.	**R**	
DSP10	**Days Supply** Estimated number of days the medication will last.	**R**	
DSP11	**Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in DSP09. • 01 Each • 02 Milliliters (ml) • 03 Grams (gm)	**R**	
DSP12	**Transmission Form of Rx Origin Code** Code indicating how the pharmacy received the prescription. • 01 Written Prescription • 02 Telephone Prescription • 03 Telephone Emergency Prescription • 04 Fax Prescription • 05 Electronic Prescription • 99 Other	**R**	
DSP13	**Partial Fill Indicator** To indicate whether it is a partial fill. • 00 Not a partial fill • 01 First partial fill Note: For additional fills per prescription, increment by 1. So the second partial fill would be reported as 02, up to a maximum of 99.	**R**	

DSP14	**Pharmacist National Provider Identifier (NPI)** Identifier assigned to the pharmacist by CMS. This number can be used to identify the pharmacist dispensing the medication.	**N**	
DSP15	**Pharmacist State License Number** This data element can be used to identify the pharmacist dispensing the medication. Assigned to the pharmacist by the State Licensing Board.	**N**	
DSP16	**Classification Code for Payment Type** Code identifying the type of payment, i.e. how it was paid for. • 01 Private Pay • 02 Medicaid • 03 Medicare • 04 Commercial Insurance • 05 Military Installations and VA • 06 Workers' Compensation • 07 Indian Nations • 99 Other	**R**	
DSP17	**Date Sold** Usage of this field depends on the pharmacy having a point-of-sale system that is integrated with the pharmacy management system to allow a bidirectional flow of information.	**N**	
DSP18	**RxNorm Code Qualifier** RXNorm Code that is populated in the DRU-010-09 field in the SCRIPT transaction. • 01 Sematic Clinical Drug (SCD) • 02 Semantic Branded Drug (SBD) • 03 Generic Package (GPCK) • 04 Branded Package (BPCK)	**S**[3]	If DSP12 = 05 (electronic), then DSP18 -21 are Required.
DSP19	**RxNorm Code** Used for electronic prescriptions to capture the prescribed drug product identification.	**S**[3]	
DSP20	**Electronic Prescription Reference Number** This field should be populated with the Initiator Reference Number from field UIB-030-01 in the SCRIPT transaction.	**S**[3]	

DSP21	**Electronic Prescription Order Number** This field will be populated with the Initiator Control Reference from field UIH-030-01 in the SCRIPT standard.	**S**[3]	If DSP12 = 05 (electronic), then DSP18 -21 are Required.
PRE – Prescriber Information – Required To identify the prescriber of the prescription.			
PRE01	**National Provider Identifier (NPI)** Identifier assigned to the prescriber by CMS.	**R** (If Available)	
PRE02	**DEA Number** Identifying number assigned to a prescriber or an institution by the Drug Enforcement Administration (DEA).	**R**	
PRE03	**DEA Number Suffix** Identifying number assigned to a prescriber by an institution when the institution's number is used as the DEA number.	**S**	
PRE04	**Prescriber State License Number** Identification assigned to the Prescriber by the State Licensing Board.	**N**	
PRE05	**Last Name** Prescriber's last name.	**N**	
PRE06	**First Name** Prescriber's first name.	**N**	
PRE07	**Middle Name** Prescriber's middle name or initial.	**N**	
PRE08	**Phone Number** Complete phone number including area code. Do not include hyphens.	**N**	
CDI – Compound Drug Ingredient Detail – Situational To identify the individual ingredients that make up a compound.			
CDI01	**Compound Drug Ingredient Sequence Number** First reportable ingredient is 1; each additional reportable Ingredient is increment by 1.	**S**[4]	If DSP07 = 06 (compound), then all elements of CDI segment are Required.
CDI02	**Product ID Qualifier** Code to identify the type of product ID contained in CDI03. 01 NDC	**S**[4]	

CDI03	**Product ID** Full product identification as indicated in CDI02, including leading zeros without punctuation.	**S**[4]	If DSP07 = 06 (compound), then all elements of CDI segment are Required.
CDI04	**Compound Ingredient Quantity** Metric decimal quantity of the ingredient identified in CDI03. • Example: 2.5	**S**[4]	
CDI05	**Compound Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in CDI04. • 01 Each (used to report as package) • 02 Milliliters (ml) (for liters; adjust to the decimal milliliter equivalent) • 03 Grams (gm) (for milligrams; adjust to the decimal gram equivalent)	**S**[4]	
AIR – Additional Information Reporting – Situational To report other information if required by the state.			
AIR01	**State Issuing Rx Serial Number** U.S.P.S. state code of state that issued serialized prescription blank. This is required if AIR02 is used.	**S**	
AIR02	**State Issued Rx Serial Number** • Number assigned to state issued serialized prescription blank.	**S**	
AIR03	**Issuing Jurisdiction** Code identifying the jurisdiction that issues the ID in AIR04. Used if required by the PMP and AIR04 is equal to 02 or 06.	**S**	
AIR04	**ID Qualifier of Person Dropping Off or Picking Up Rx** Used to identify the type of ID contained in AIR05 for person dropping off or picking up the prescription. • 01 Military ID • 02 State Issued ID • 03 Unique System ID • 05 Passport ID • 04 Permanent Resident Card (Green Card) • 06 Driver’s License ID • 07 Social Security Number • 08 Tribal ID • 99 Other (agreed upon ID)	**S**	

<table>
<tr><td>AIR05</td><td>ID of Person Dropping Off or Picking Up Rx
ID number of patient or person picking up or dropping off the prescription.</td><td>S</td><td></td></tr>
<tr><td>AIR06</td><td>Relationship of Person Dropping Off or Picking Up Rx
Code indicating the relationship of the person. If the customer is the patient, please fill out PAT01-PAT03.
• 01 Patient
• 99 Other</td><td>R</td><td></td></tr>
<tr><td>AIR07</td><td>Last Name of Person Dropping Off or Picking Up Rx
Last name of person picking up the prescription.</td><td>S</td><td></td></tr>
<tr><td>AIR08</td><td>First Name of Person Dropping Off or Picking Up Rx
• First name of person picking up the prescription.</td><td>S</td><td></td></tr>
<tr><td>AIR09</td><td>Last Name or Initials of Pharmacist
Last name or initials of pharmacist dispensing the medication.</td><td>S</td><td></td></tr>
<tr><td>AIR10</td><td>First Name of Pharmacist
First name of pharmacist dispensing the medication.</td><td>S</td><td></td></tr>
<tr><td>AIR11</td><td>Dropping Off/Picking Up Identifier Qualifier
Additional qualifier for the ID contained in AIR05
• 01 Person Dropping Off
• 02 Person Picking Up
• 03 Unknown/Not Applicable</td><td>N</td><td></td></tr>
<tr><td colspan="4">TP – Pharmacy Trailer – Required
To identify the end of the data for a given pharmacy and to provide a count of the total number of detail segments included for the pharmacy.</td></tr>
<tr><td>TP01</td><td>Detail Segment Count
Number of detail segments included for the pharmacy including the pharmacy header (PHA) including the pharmacy trailer (TP) segments.</td><td>R</td><td></td></tr>
<tr><td colspan="4">TT – Transaction Trailer – Required
To identify the end of the transaction and to provide the count of the total number of segments included in the transaction.</td></tr>
<tr><td>TT01</td><td>Transaction Control Number
Identifying control number that must be unique.
Assigned by the originator of the transaction.
Must match the number in TH02.</td><td>R</td><td></td></tr>
</table>

TT02	**Segment Count** • Total number of segments included in the transaction including the header and trailer segments.	**R**	

12 Appendix C - ASAP Zero Report Specifications

The following information table contains the required definitions for submitting Zero Reports via sFTP or manual upload to MA PMP. The table below lists the Segment and Element ID with prepopulated data to be used as an example for constructing a Zero Report. For more details regarding these Segment or Elements IDs or for the purposes of reporting actual dispensations please refer to the previous section, Appendix B – ASAP 4.2 Specifications

Element ID	Element Name	Requirement
TH – Transaction Header - Required		
TH01	4.2	**R**
TH02	123456	**R**
TH05	20150101	**R**
TH06	223000	**R**
TH07	P	**R**
TH09	\\	**R**
IS – Information Source – Required		
IS01	6175555555	**R**
IS02	PHARMACY NAME	**R**
IS03	#20160101#-#20160107#	**N**
PHA – Pharmacy Header – Required		
PHA03	ZZ1234567	**R**
PAT – Patient Information – Required		
PAT07	**REPORT**	**R**
PAT08	**ZERO**	**R**
DSP – Dispensing Record – Required		
DSP05	20150101	**R**
PRE – Prescriber Information		
CDI – Compound Drug Ingredient Detail		
AIR – Additional Information Reporting		
TP – Pharmacy Trailer – Required		
TP01	7	**R**
TT – Transaction Trailer – Required		
TT01	123456	**R**
TT02	10	**R**

The following is an example, using the above values, of how a Zero Report would look.

```
TH*4.2*123456*01**20160107*223000*P**\\
IS*9075555555*PHARMACY NAME*#20160101#-#20160107#\
PHA*** ZZ1234567\
PAT*******REPORT*ZERO************\
DSP*****20160107******\
PRE*\
CDI*\
AIR*\
TP*7\
TT*123456*10\
```

13 Document Revision History

Version	Date	Changes
1.0	02/11/16	• Original Document