FREQUENTLY ASKED QUESTIONS ABOUT ELECTRONIC DATA TRANSMISSION

for the

NYS PMP
DATA COLLECTION TOOL

Revised: July 2014

NEW YORK STATE DEPARTMENT OF HEALTH
Bureau of Narcotic Enforcement

1-866-811-7957
www.health.ny.gov/professionals/narcotic

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General Data Reporting

Q: **How does an entity submit dispensed controlled substance prescription information to the NYS Department of Health's (NYSDOH) Bureau of Narcotic Enforcement (BNE) for inclusion within the PMP registry?**

A: Access to the PMP registry, including data submissions and retrieval of associated critical error information, is accomplished via the NYSDOH's PMP Data Collection Tool and requires the establishment of an HCS account. Data submissions may be made via manual file upload, manual data entry or unattended file upload

Q: **What data standard must be used when submitting controlled substance prescription information to NYSDOH?**

A: Submissions must be in American Society for Automation in Pharmacy (ASAP) Version 4.2, 4.1 or 4.0 formats. In order to submit controlled substance data for electronic prescriptions you must use ASAP version 4.2. Effective October 1, 2014, all data must be submitted using ASAP version 4.2.

Q: **Can data be submitted in either ASAP Version 2.0 or 3.0 format?**

A: No. Prescription information cannot be submitted in Version 2 or Version 3 format under any circumstances.

Q: **Can the NYSDOH provide a submitting organization with a copy of the "Implementation Guide ASAP Standard for Prescription Monitoring Programs?"**

A: No. To obtain a copy of the guide, please directly contact the American Society for Automation in Pharmacy (ASAP) at 610-825-7783 or visit the ASAP web site at www.asapnet.org.

Q: **Can a submitting organization concatenate complete files from multiple locations, without modification, and transmit as a single file?**

A: Yes.

Q: **What is the maximum file size of a data submission?**

A: The maximum file size is 50Mb.

Q: **What is a serial number and how should it be formatted?**

A: A serial number, which is found in the lower right hand corner of an Official New York State Prescription, is used for tracking purposes. Serial numbers are comprised of eight (8) alphanumeric characters. However, the following letters are not allowed in the serial #'s ("A", "I", "O" and "U").

NOTE: A serial number of "99999999" indicates oral or faxed prescriptions. A serial number of "ZZZZZZZZ" indicates an out-of-state prescription (e.g., VA hospitals and clinics, military bases and Indian Reservations).

Q: **What is a DEA number and how should it be formatted?**

A: A DEA number, which is issued to a practitioner by the U.S. Drug Enforcement Administration, allows the practitioner to prescribe a controlled substance to a patient. A valid DEA number begins with two (2) alpha characters followed by seven (7) numeric characters.

Q: Which DEA number does New York State accept when dispensing Suboxone – the X-DEA number or standard DEA number?

A: The X-DEA Number should be reported when Suboxone is dispensed for drug addiction.

Q: **Can the X-DEA number be entered when submitting a manual entry?**

A: Yes. Enter your X-DEA number in the "Prescribing Information" section and use either your X-DEA or your regular DEA number in the "Submitter Information" section.

Q: **How is "quantity dispensed" [DSP09, DSP11 and CDI04] reported?**

A: Grams is entered directly (i.e., submit only "2.5" for "2.5 grams"). To report liters and milligrams, adjust to the decimal equivalent. Please refer to the ASAP guide for additional information.

Submitting organization must report the actual amount of controlled substance dispensed. Therefore, "Quantity Dispensed" must not be rounded to the next highest whole number.

Q: **How should a pharmacy report multiple (also known as "split") payment types when dispensing a controlled substance?**

A: To ensure data integrity of the PMP, pharmacies must submit only one dispensing record in situations involving multiple payment types for the same fill of a controlled substance prescription in those situations in which the pharmacy has the full prescription in stock. To do so, set Classification Code for Payment Type (DSP16) to "99 – Other."

Q: **How does a pharmacy report partial fills when an entity (i.e., a hospice) utilizes an Automatic Dispensing System (ADS)?**

A: Entities utilizing an ADS should not report partial fills but should rather report within 24 hours after the FINAL partial fill has been dispensed. If there are one or more days during which no partial fill for that fill was dispensed, do not file a zero report.

Q: Why are two records displayed for the same patient for the same drug, from the same pharmacy, with fill dates just a couple of days apart, when only one fill date is accurate?

A. Although the record may have been reversed at the pharmacy, a void was not submitted to the PMP Data Collection Tool for the reversed record. Please submit a void record for the reversed prescription to the PMP Data Collection Tool.

Q: **Do all of the data elements displayed on the manual entry screen require input?**

A: All data elements must be entered as indicated on the manual entry screen based upon the submitter type (Pharmacy or Dispensing Practitioner/Veterinarian). Missing and/or incorrectly formatted entries will present with an error and correction is required before the data can be successfully submitted.

Q: **Can a transaction that was previously submitted via direct manual entry input be modified?**

A: Yes. Please refer to the Online Void and Manual Entry Enhancements User Guide (PDF) which can be accessed from the following web page:
http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission

Q: How does a pharmacy modify a previously submitted record?

A: It depends what ASAP data elements you wish to correct. Changes to one or more of any of the following data elements require a void (DSP01 = "02") prior to the subsequent submission of a new record:

- NCPDP/NABP Provider ID (PHA02)
- Prescription Number (DSP02)
- Date Filled (DSP05)

If the change is to any other data element, make the change to that element and resubmit the record.

NOTE: If the 'dispensed and reported' record was never picked up from the pharmacy by a customer, then the record should be resubmitted to NYSDOH as a void as described above.

Q: **If I have no dispensing data for a given day, but I have voids/corrections to report, should I submit a Zero Report for that day or should I submit the voids/corrections?**

A: Submit a data file containing your voids/corrections and then separately submit your Zero Report.

Testing Procedures

Q: **How can a submitting entity tell if the processing of their data transmission has been successful?**

A: Submitters need to check the status of their submission via the PMP Data Collection Tool. To do so, click on "Submissions Status".

Q: **Should a submitting organization transmit test data prior to the submission of production data?**

A: Submitting organizations are encouraged to upload a test file to NYSDOH BNE prior to submission of actual production data. Test files must indicate a File Type (TH07) set to "T" within the TH Transaction Header segment. While the test file may contain actual prescription data, records submitted with a File Type set to "T" are not stored and therefore do not comply with reporting requirements. Submitters may check the status of their test submissions via the PMP Data Collection Tool, Submission Status module. Once testing is complete, set TH07 to "P" to submit as production data. Each file submitted must have a unique Transaction Control Number (TCN) in the TH Transaction Header. If one TCN was used for a test file, that particular TCN must be modified before resubmitting it as a Production file, or the file will be rejected.

Submission Status and Correction

Q: **How can a submitting organization tell if their data submission upload was successful?**

A: A message will display indicating that the submission was accepted for processing.

The data was not successfully transmitted if a confirmation message does not display, or if the following message displays:

`There were fatal errors: This submission is not accepted!`

Pharmacy providers or dispensing practitioners utilizing a data submission service should contact their software vendor to correct any fatal error.

Q: **If the file submitted is not accepted, can it be submitted via email to NYSDOH BNE for processing?**

A: No. Contact your software vendor to correct the file format, then resubmit the corrected file.

Q: **How do I confirm that the data I manually entered was received by NYSDOH BNE?**

A: After the data was submitted, a message will display stating "Manual Submission is Successfully Processed.". This confirms the data was received by NYSDOH BNE. Alternatively, the information can be viewed by performing the following steps:

- At the top of the Prescription Monitoring Program Data Collection Tool, select the option for "Submission Status"
- Scroll to the "View" section
- Click "Manual Submission Status"
- Enter the applicable date range of submissions to view
- Click "Submit"
- Scroll down to see each data submission listed under "File Submission Status"

Q: **Why does the submission status show the file processed with errors when the file uploaded successfully?**

A: This will occur after the file is successfully uploaded if one or more of the individual prescription records within the file contain data formatting errors.

Q: **How are errors that need correction retrieved?**

A: To view your cumulative outstanding errors, click on the green button labeled "ALL OUTSTANDING ERRORS".

To retrieve errors and view warnings for a specific file submission, follow the steps below:

- Click on the "Submission Status" tab within the Prescription Monitoring Program Data Collection Tool
- Scroll to the Submission Log where each file submission will be listed
- Click the summary link under the column heading "submission statistics"
- Check the summary report for errors
- Click the pdf link under the column heading "Detailed Errors & Warnings" if the report indicates that the file has errors or warnings

NOTE: If a summary did not show errors or warnings, no further action is required.

Q: **How do I open a .CSV Errors & Warning report file within the PMP Data Collection Tool?**

A: Industry standard .CSV files are compatible with Microsoft Excel as well as other similar spreadsheet programs. If you do not have a CSV compatible spreadsheet program, open the .PDF version of the Errors & Warning report.

Please note that each error record has the NABP number, Pharmacy Name, Rx Number, Date Filled, Field with the error, Field description, an "Error" vs. "Warning" indicator, the value submitted which has the error, and the error description.

Q: What is the difference between a "Warning" and an "Error"?

A: A record with an "Error" requires correction and resubmission. Records with errors will NOT display in the PMP Registry and must be corrected and resubmitted.

A record with a "Warning" has been successfully processed, but provides an informational message intended to alert the submitter to review their data.

Q: When reviewing the Submission Status log, the submitted file is displayed in red and states that the file was processed with errors. Why aren't there any errors listed when viewing the associated detailed errors and warnings report?

A: Vendors often submit data for multiple pharmacies in a single file. An error in any one pharmacy's data will cause the entire file to display in red indicating that there are errors in the file. To determine if your pharmacy's data had an error, click "Summary" under Submission Statistics and review the summary report.

Q: **Will the summary report and detailed errors & warnings report be updated after the error has been corrected in the Prescription Monitoring Program Data Collection Tool?**

A: No. Since the summary report and detailed errors & warnings are a snapshot of that data submission, they will not change after the errors are corrected. Each file listed in the File

Submission Status is a record of the data submitted at that point in time. To see if there are any outstanding errors, click on the "ALL OUTSTANDING ERRORS" button.

Q: **How are errors concerning an incorrect number of fields in the TH, IS, PHA, PAT, DSP, PRE, CDI, AIR, TP or TT Segment (TH) handled?**

A: The type of file is a delimited file using the data segment terminator specified in the Transaction Header. Refer to the list of required fields provided by NYSDOH BNE to determine the correct number of data field delimiters needed for each segment. Please note: a data segment terminator is needed after each segment identifier. Please refer to NYSDOH BNE's EDT web page for Appendix A, which contains the list of required fields for each segment: http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission/

Q: **Why do I see an "Access Denied" message when I click on the link for the Prescription Monitoring Program (PMP) Data Collection Tool?**

A: The role of "Controlled Substance Prescription Data Submitter" must be assigned if access is required for the PMP Data Collection Tool to submit dispensing data to the Bureau or to void records in the PMP Data Collection Tool. The role of "Controlled Substance Prescription Data Reviewer" must be assigned to review critical errors resulting from data submissions.

If you will be responsible for both data submissions and review of errors, BOTH roles are required. Contact your organization's HCS Coordinator to assign one or both of the roles described above in the HCS Coordinator's Update Tool.

Q: **Why isn't the Submission Status menu option displaying in the Prescription Monitoring Program Data Collection Tool?**

A: This menu option will only display for users with the role of "Controlled Substance Prescription Data Reviewer", which is assigned by your HCS Coordinator.

Q: **When using Internet Explorer, why does a blank screen display when clicking on the link for the Prescription Monitoring Program Data Collection Tool?**

A: This may be due to compatibility view settings in Internet Explorer. Please be sure that the following compatibility view setting is the only one selected: "Display Intranet Sites in Compatibility View". To get to the compatibility view settings within Internet Explorer, go to Tools in the upper left hand corner and select "Compatibility View Settings". Check only the box for "Display Intranet Sites in Compatibility View". Close all open internet explorer sessions before trying again.

Reporting using ASAP Version 4.2 (Required Effective 10/1/14)

Q: I received an important notification that says "Dear Pharmacy Proprietor". Was this intended for me?

A: This letter was intended for individuals responsible for reporting controlled substance data to the Department of Health, or those individuals who coordinate data reporting with a vendor. Please review the information provided in the letter. Share this information with your software vendor as soon as possible so that any necessary changes can be made to your pharmacy system to capture the new field requirements for reporting controlled substance data to NYSDOH BNE in time for the October 1, 2014 deadline. Failing to meet this deadline could result in records processed with errors. It is important to note that records that are processed with errors do not display in the PMP Registry and are not available for practitioner or pharmacist review. For this reason, errors must be corrected and resubmitted within 3 days.
To view the letter, follow this link:
http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission/docs/asap_4_2_ltr_to_pharmacies.pdf

Q: What is ASAP?

A: ASAP is a national standard for submitting controlled substance prescription data to state prescription monitoring programs. ASAP stands for the American Society for Automation in Pharmacy.

Q: Is reporting in ASAP Version 4.2 required to submit controlled substance data in order to accept electronic prescriptions for controlled substances?

A: Yes. In order to capture all fields that are required when submitting controlled substance prescription data to NYSDOH BNE, data must be submitted using ASAP Version 4.2.

Q: What fields are required for reporting controlled substance prescription data for electronic prescriptions?

A: Currently all pharmacies accepting electronic prescriptions for controlled substances must report the following information using ASAP Version 4.2: Electronic Prescription Reference Number (DSP20) and Electronic Prescription Order Number (DSP21). The serial number (AIR02) must be reported with eight E's (EEEEEEEE).

Q: Where does the Electronic Prescription Reference Number (DSP20) come from?

A: This number is generated from the prescriber's system sending the controlled substance prescription.

Q: Where does the Electronic Prescription Order Number (DSP21) come from?

A: This number is generated from the prescriber's system sending the controlled substance prescription.

Q: In the past, submission of eight E's in the Serial Number (AIR02) field was not allowed. Has this changed?

A: Yes. Prior to March 27, 2013 electronic prescribing of controlled substances was not permissible and only the serial number on the official prescription, eight "9's" for an oral Rx or eight "Z's" for an out-of-state Rx, were allowed. Electronic prescribing of controlled substances is now permissible. Since an electronic prescription is paperless and does not have a serial number, eight E's are required in the serial number field (AIR02) when submitting controlled substance prescription data to the DOH.

Q: What are the new field requirements effective October 1, 2014?

A: Date Sold (DSP17), Species Code (PAT20), Name of Animal (PAT23) will all be required fields for reporting to New York State effective October 1, 2014.

Q: How is Date Sold (DSP17) reported if the patient never picked up the prescription?

A: If the prescription was not picked up, the record should not be reported to NYSDOH BNE. The record should ONLY be reported within 24 hours of the date the patient picked up the prescription. If the record was reported, it must be VOIDED using the PMP Data Collection Tool.

More information related to the VOID process can be found at:
http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission/

Q: How does a mail-order pharmacy report Date Sold (DSP17)?

A: The Date Sold (DSP17) is the date the prescription is shipped from the pharmacy. Pharmacies delivering prescriptions by mail or licensed express delivery services shall submit the prescription information not later than 72 hours after the substance was shipped from the pharmacy.

Q: What is the difference between Date Filled (DSP05) and Date Sold (DSP17)?

A: Date Filled is the date that the pharmacist filled the prescription. Date Sold (DSP17) is the date that the prescription was picked up or mailed from the pharmacy. The prescription dispensing record should not be submitted to NYSDOH BNE until the prescription is picked up by the patient or mailed from the pharmacy.

Q: How is Species Code (PAT20) reported?

A: The Species Code must be included in your controlled substance data submission to NYSDOH BNE. Please contact your vendor to discuss how to capture this information.

Human = "01" in PAT20 field
Veterinary Patient = "02" in PAT20 field

Q: How is Name of Animal (PAT23) reported?

A: If the prescription is dispensed for an animal, the animal name must be included in the Name of Animal (PAT23) field. Please contact your vendor to discuss how to capture this information.

NOTE: In addition to the pet's name included in PAT23, the pet owner's name must also be reported, PAT07 (Last Name) and PAT08 (First Name).

Q: Where can more information regarding the submission of controlled substance data be found?

A: Additional information can be found on the Bureau's Electronic Data Submission web page.
http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission/

Under the section titled, Pharmacies – Instructions for Transmission, there are two links to data file specifications:

1. "Appendix A – Current Data File Specifications"
   This document defines the data file specifications in effect through September 30, 2014.

2. "Appendix A – Effective October 1, 2014 Revised Data File Specifications (ASAP Version 4.2 REQUIRED)."
   This document defines the data file specifications that will be in effect October 1, 2014.

Q: If the DEA suffix is not included in the controlled substance reporting record when submitting a record with an institutional DEA number, will it result in an error?

A: No. The Bureau of Narcotic Enforcement is interested in collecting the DEA suffix of the practitioners using an institutional DEA number. However, at this time, only a warning will be generated if the DEA suffix field is left blank or null and the DEA Number field (PRE02) contains an institutional DEA number.

Unattended File Transfer (UPHN Lite)

Q: What is UPHN Lite and how would it benefit my organization?

A: UPHN Lite is a scalable, standards-based software package used by the NYSDOH for the secure unattended transmission of data.

Q: Does NYSDOH support common file transfer protocols such as FTP, SFTP and SSH for unattended transmission of data?

A: No. In order to provide for the greatest level of security, unattended data may only be submitted to NYSDOH via UPHN Lite.

Q: Is use of UPHN Lite mandatory if an organization manually uploads dispensed controlled substance data into the PMP Registry and wishes to continue to do so?

A: No. UPHN Lite is voluntary; pharmacy providers not interested in using UPHN Lite for their data submissions may continue to manually upload their data into the PMP Registry.

Q: Which version of Microsoft Windows is required to install UPHN Lite? Can it be installed under other operating systems?

A: UPHN Lite supports Microsoft Windows XP, Vista, 7, 8, Server 2003 and Server 2008 only. Other operating systems, such as UNIX or Mac OS X, are not currently supported.

Q: What network port does UPHN Lite require?

A: UPHN Lite uses standard HTTPS port 443 which is supported by the vast majority of organizational firewalls.

Q: How long will UPHN Lite installation take?

A: Installation time is typically less than one hour.

Q: In addition to providing for unattended transmission of dispensed controlled substance data, does UPHN Lite allow for other types of data transmissions?

A: Yes. UPHN Lite supports the transport of multiple data streams to NYSDOH and therefore the opportunity may arise to transmit other categories of data to the Department.

Q: I already have an HCS Account. Why does a UPHN Lite software installation require an AFT Account?

A: UPHN Lite relies upon the AFT Account to securely transmit data between your organization and NYSDOH. AFT Account credentials (user ID and password) are entered into UPHN Lite during the installation process and provide authentication back to NYSDOH. An X.509 certificate further enhances the security of the data transport process.

Q: Who has access to an organization's AFT Account credentials?

A: Your organization's Organization Security Coordinator (OSC).

Q: UPHN Lite has successfully transferred my data to NYSDOH. Does this mean that the data has successfully been processed and entered into the PMP Registry?

A: Not necessarily. UPHN Lite is simply a software solution for organizations to securely submit data to NYSDOH in an unattended manner; successfully transmitted data may still be rejected by the PMP Registry if the data does not meet submission and validation standards.

Q: Are files scanned by UPHN Lite for viruses prior to transfer?

A: Files are sent to NYSDOH and are automatically scanned for viruses prior to being accepted into NYSDOH data systems.