Dispenser's Registration Guide Data Submission

Kansas State Board of Pharmacy

Kansas Tracking and Reporting of Controlled Substances (K-TRACS)

September 2013

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1. Data Collection and Tracking

Data Collection Requirements

This guide provides information regarding the State of Kansas Tracking and Reporting of Controlled Substances (K-TRACS) program. The purpose of this program is to collect data on ALL Schedule II, III, and IV controlled substances as well as drugs of concern dispensed in the state of Kansas or dispensed to an address in the state of Kansas.

KSA 65-1683 requires the Kansas Board of Pharmacy to establish a Controlled Substances Prescription Electronic Reporting System. The statute requires a dispenser who delivers a controlled substance or drug of concern to report such dispensing to K-TRACS. The goal of developing this electronic system for reporting the dispensing of these prescriptions is to make information from the K-TRACS database available to healthcare professionals who are seeking to improve patient care and patient safety. Certain individuals are allowed access to K-TRACS data for limited purposes. For example, prescribers and dispensers can access the prescription history data to help determine appropriate medical treatment and interventions, but only for the purposes of providing medical or pharmaceutical care to a patent. In addition, the data may help to identify patients who could benefit from referral to a pain-management specialist or those who are at risk for addiction and may be in need of substance abuse treatment.

Who is and is not required to report to K-TRACS can be found in the definition of “dispenser” in K.S.A. 65-1682 (b). "Dispenser" means a practitioner or pharmacist who delivers a scheduled substance of drug of concern to an ultimate user, but does not include:

(1) A licensed hospital pharmacy that distributes such substances for the purpose of inpatient hospital care;

(2) A medical care facility as defined in K.S.A. 65-425 and amendments thereto, practitioner or other authorized person who administers such a substance;

(3) A registered wholesale distributor of such substances;

(4) A veterinarian licensed by the Kansas board of veterinary examiners who dispenses or prescribes a scheduled substance or drug of concern;

(5) A practitioner who has been exempted from the reporting requirements of this act in rules and regulations promulgated by the board.

The only entities exempted by regulation from reporting to K-TRACS thus far are found in K.A.R. 68-21-3. (c) If a medical care facility dispenses an interim supply of a drug of concern or a schedule II through IV drug to an outpatient on an emergency basis when a prescription cannot be filled as authorized by K.A.R. 68-7-11, that facility shall be exempt from the reporting requirements. The interim quantity shall not exceed a 48-hour supply and, as described in K.A.R. 68-7-11(d) (2) (B), shall be limited to an amount sufficient to supply the outpatient’s needs until a prescription can be filled.

A dispenser who knowingly fails to submit prescription monitoring information to K-TRACS as required by this act or knowingly submits incorrect prescription monitoring information shall be guilty of a severity level 10, nonperson felony.

Waivers for electronic reports may be granted by the Board for the following reasons:

- Dispenser does not have automated recordkeeping system (must report on UCF)
- Hardship due to natural disaster or other emergency out of dispensers control
- Dispenser is in a controlled research project
- Dispenser is a medical facility that dispenses an interim quantity of a substance on an outpatient emergency basis; the quantity may not exceed a 48 hour supply.
- All waivers require written application and must be submitted to the Kansas State Board of Pharmacy.

If a dispenser usually dispenses controlled substances or drugs of concern in Kansas but has no dispenses to report for the preceding seven day period, the dispenser must report this information to the Kansas State Board of Pharmacy by filing a Zero Report as described in the Reporting Zero Dispensing topic in this guide.

If a dispenser is registered or licensed in the state of Kansas to dispense controlled substances II, III, and IV in the State of Kansas, but does not dispense controlled substances II, III, and IV or drugs of concern in the state ever, then they are not required to report to K-TRACS. However, the dispenser must notify the Board in writing that they do not dispense controlled substances or drugs of concern in the state and therefore will not be reporting to K-TRACS. If this dispenser at any time decides to start dispensing controlled substances or drugs or concern in the state, the dispenser should notify the Board of Pharmacy immediately and begin reporting to K-TRACS.

Reporting Requirements

All dispensers of Schedule II, III, and IV controlled substance prescriptions and designated drugs of concern are required to collect and report their prescribing information.

A "dispenser" is a practitioner or pharmacy who delivers a controlled substance or drug of concern to an ultimate user, but does not include:

- A licensed hospital pharmacy who distributes such substances for the purpose of inpatient hospital care
- A medical care facility as defined in K.S.A. 65-425
- A registered wholesale distributor
- A veterinarian licensed by the Kansas Board of Veterinary Medicine
- A practitioner who has been exempted from reporting

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.

"Drugs of concern" include the following:

- Any product that contains all three of these drugs: butalbital, acetaminophen, and caffeine
- Tramadol

Note: Additions or deletions from the "Drugs of Concern" list may happen periodically. These changes must go through the regulatory process in order to be added or deleted from this list. You will be notified of any changes that are made in the future.

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 or 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 June 21, 2013. See Creating Your Account for more information.
- Additional documentation will be provided soon with instructions on the following:
  - How to submit data.
  - How to check file statuses.
  - How to make error corrections.
- Beginning July 1, 2013 dispensers are required to report their data within 24 hours of dispensing the substance.

Upload Specifications

Files should be in the ASAP 4.1. 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.

Prescription information must be reported daily for the preceding 24 hours, unless an exemption has been obtained from the Kansas State Board of Pharmacy.

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.**

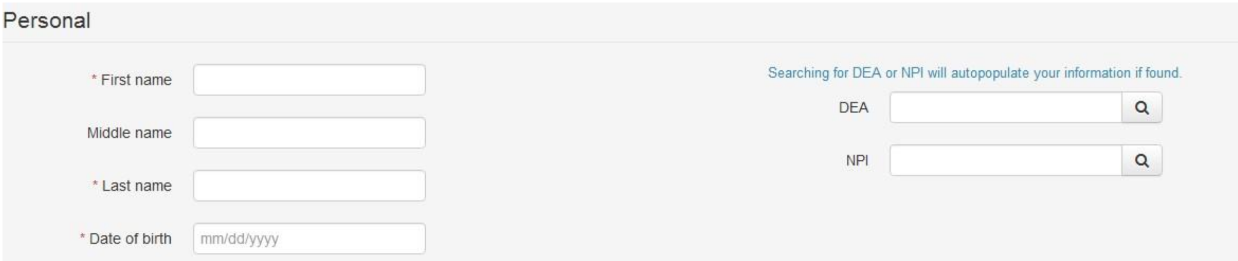
Note: Multiple pharmacies can be uploaded in the same file. For example, Wal-Mart, CVS, and other chain pharmacies send in one file containing all their pharmacies from around the state. Therefore, chains with multiple stores only have to set up one account to upload a file.

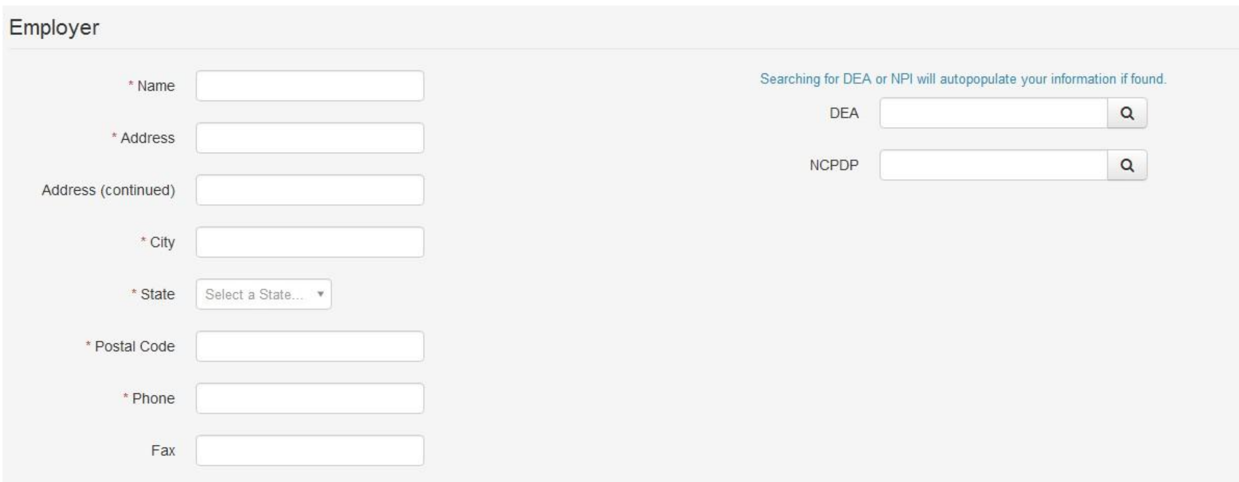
Perform the following steps to create an account:

1. To request a data submitter account for PMP AWAR$_{X}$E, the user must go to https://pmpclearinghouse.net and click on data submitter registration at that top right of the screen or go directly to https://pmpclearinghouse.net/registration

2. The screen displayed requires the user to enter their current, valid email address and a password.
    2.1. The password must contain at least 8 characters, including 1 capital letter, 1 lower case letter, 1 number, 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.
    3.1. Required fields are marked with a red asterisk
    3.2. The user may be able to search for their user information and employer information using search boxes for different identifiers (DEA, NCPDP, or NPI).





Note: PMP AWARxE 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.

4. The user must select if they require a sFTP account to transfer their data to PMP AWAR$_{X}$E. **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 won't provide the password that you enter below. Also, this password will not be stored within the application.

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

Note: If sFTP is not required, skip to step 6

5. If a user selects "Yes" for a sFTP account, the user must enter a desired password for the account.

5.1. 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.

   7.1. 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.

   7.2. If a sFTP account was requested, the sFTP account will be created and a prompt will be displayed to the user displaying 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.

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

   7.4. 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 PMPClearingHouse. 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 submitter who select to submit data to PMP Clearinghouse by sFTP must configure individual folders the state PMP systems they will be submitting data to. **The sub-folders should use state abbreviation for naming (ex. KS, MS, etc).** Data submitters with SFTP accounts will need to start submitting their data to the state subfolder by October 1. The subfolder must be located in the home/dir directory which is where you land once authenticated. Beginning October 1 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 for submission, using the ASAP 4.1 specifications described in Appendix
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. When logged into PMP Clearinghouse, Navigate to Upload File
3. The user must select a destination PMP to send the data to.
4. The user selects their file to upload by clicking on the "Browse" button.
5. The user clicks the 'Submit" button to upload their file to PMPClearingHouse.
6. The user can view the results of the transfer/upload on the Submissions screen.

4.3 Manual Entry (UCF)

Manual Entry is an option for data submitters to enter their prescription information into the PMPClearingHouse 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. When logged into PMP Clearinghouse, Navigate to Universal Claim Form.
3. Click New at the top right of the screen.
4. Select a destination PMP to send the submitted data to.
5. Complete all required fields.
6. Click Save.
7. Then click submit.
8. The user can view the results on the Claim Forms Listing screen.

4.4 Zero Reports

If you have no dispensations to report, you must report this information to the Mississippi State Board of Pharmacy by performing the following steps:

1. If you do not have an account, perform the steps in Creating Your Account.
2. When logged into PMPClearingHouse, Navigate to Zero Reports
3. Select a destination PMP to send the submitted data to.
4. The user must select the start date, select the end date, and click on the button to submit the zero report. (NCPDP and DEA number are optional)
5. The request will be submitted to PMPClearingHouse.

5. Data Compliance

Data Compliance allows users of PMPClearingHouse the 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 PMPClearinghouse. 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 then 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, then 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 Record ID (Appriss identifier), 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 correction 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 submitted value that was original submitted. 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 confirmation of 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: Mississippi 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: 4.1
* Transaction Control Number: unparseable
* Transaction Control Type: unnparseable
* Date of Submission: August 30, 2013


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: Mississippi 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: 4.1
* Transaction Control Number: 23489504823
* Transaction Control Type: send
* Date of Submission: August 30, 2013
* 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_20130301KSMCPS.DAT

BODY:
Summary:
* File Name: zero_reports_20130301KSMCPS.DAT
* PMP Name: Mississippi
* Date Range: 2013-03-06 - 2013-03-06
* Submission Date: 2013-08-23
* Asap Creation Date: 2013-03-06
```

7 Password Management

Password management can be handled within PMP AWAR$_X$E 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 a "Forgot My Password" to change their password.

7.1 Changing Your Password

1. When a user wants to change their current password, they navigate to their User Profile section.
2. The user selects the second navigation menu for Password Reset
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 My Password" located on the log in screen.
2. The user must entered their 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

PMPClearinghouse 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, another team member.

1. In Users, the user can select to add users under the section titled “Users”
2. The user will need to enter the first name, last name, and email address for a new user.
3. Once saved, the new user will be able to log into PMPClearinghouse.
   a. The new user will use the email address used when creating their account.
   b. The new user must use the “Forgot My 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 AWARE, the user can submit the request through their Account settings page.

1. Navigate to the Account settings 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, simple check the state in 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 a 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

1-855-544-4PMP (1-855-544-4767)

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

Administrative Assistance

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

Kansas Prescription Monitoring Program
Kansas Board of Pharmacy
800 SW Jackson, Suite 1414
Topeka, KS 6 6612-1231
Phone: 785-296-6547
Fax: 785-296-8420
E-mail: pmpadmin@pharmacy.ks.gov

10 Document Information

Disclaimer

Appriss has made every effort to ensure the accuracy of the information in this document at the time of printing. However, information may change without notice.

11 Appendix

ASAP 4.1 Specifications

The following information are the required definitions for submitting ASAP 4.1 records to K-TRACS. The definition contain both a mix of required fields by ASAP and additional requirements established by K-TRACS.

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

- R = Required by ASAP
- N = Not Used
- RK = Required by K-TRACS

Any element listed with R or RK must be reports to K-TRACS

Segment	Element ID	Element Name	Requirement
TH	**TH01**	**Version/Release Number** Code uniquely identifying the transaction. Format = xx.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)	**N**
	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**

TH	**TH09**	**Segment Terminator Character** This terminates the TH segment and sets the actual value of the data segment terminator for the entire transaction.	**R**
ISO	**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	**PHA01**	National Provider Identifier (NPI) Identifier assigned to the pharmacy by CMS.	**RK** (If Available)
	PHA02	NCPDP/NABP Provider ID Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	N
	PHA03	DEA Number Identifier assigned to the pharmacy by the Drug Enforcement Administration.	**RK**
	PHA04	Pharmacy Name Freeform name of the pharmacy.	**RK**
	PHA05	Address Information – 1 Freeform text for address information.	**N**
	PHA06	Address Information – 2 Freeform text for address information.	**N**
	PHA07	City Address Freeform text for city name.	**N**
	PHA08	State Address U.S. Postal Service state code.	**N**
	PHA09	ZIP Code Address U.S. Postal Service ZIP Code.	**N**
	PHA10	Phone Number Complete phone number including area code.	**N**
	PHA11	Contact Name Free-form name.	**N**
	PHA12	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.	**N**
PAT	**PAT01**	**ID Qualifier of Patient Identifier** Code identifying the jurisdiction that issues the ID in PAT03.	**N**

PAT	PAT02	**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)	R
	PAT03	**ID of Patient** Identification number for the patient as indicated in PAT02. An example would be the driver’s license number.	RK
	PAT04	**ID Qualifier of Additional Patient Identifier** Code identifying the jurisdiction that issues the ID in PAT06. Used if the PMP requires such identification.	N
	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.	RK
	PAT08	**First Name** Patient’s first name.	RK
	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

PAT	**PAT12**	**Address Information – 1** Free-form text for street address information.	**RK**
	PAT13	**Address Information – 2** Free-form text for additional address information.	**N**
	PAT14	**City Address** Free-form text for city name.	**RK**
	PAT15	**State Address** U.S. Postal Service state code Note: Field has been sized to handle international patients not residing in the U.S.	**RK**
	PAT16	**ZIP Code Address** U.S. Postal Service ZIP code. Populate with zeros if patient address is outside the U.S.	**RK**
	PAT17	**Phone Number** Complete phone number including area code.	**RK**
	PAT18	**Date of Birth** Date patient was born. Format: CCYYMMDD.	**RK**
	PAT19	**Gender Code** Code indicating the sex of the patient. • F Female • M Male • U Unknown	**N**
	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	**N**
	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	**N**

PAT	PAT22	**Country of Non-U.S. Resident** Used when the patient's address is a foreign country and PAT12 through PAT16 are left blank.	N
	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	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.	RK
	DSP03	**Date Written** Date the prescription was written (authorized). Format: CCYYMMDD	RK
	DSP04	**Refills Authorized** The number of refills authorized by the prescriber.	R
	DSP05	**Date Filled** Date prescription was filled. Format: CCYYMMDD	RK
	DSP06	**Refill Number** Number of the fill of the prescription. 0 indicates New Rx; 01-99 is the refill number.	RK
	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.	RK
	DSP09	**Quantity Dispensed** Number of metric units dispensed in metric decimal format. Example: 2.5 Note: For compounds show the first quantity in CDI04.	RK

DSP	DSP10	**Days Supply** Estimated number of days the medication will last.	RK
	DSP11	**Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in DSP09. • 01 Each • 02 Milliliters (ml) • 03 Grams (gm)	N
	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	N
	DSP13	**Partial Fill Indicator** To indicate whether it is a partial fill. • 01 Yes • 02 No	N
	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	RK
	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

DSP	**DSP18**	**RxNorm Code** Used for electronic prescriptions to capture the prescribed drug product identification.	**N**
	DSP19	**Electronic Prescription Reference Number** Used to provide an audit trail for electronic prescriptions.	**N**
PRE	**PRE01**	**National Provider Identifier (NPI)** Identifier assigned to the prescriber by CMS.	**RK** (If Available)
	PRE02	**DEA Number** Identifying number assigned to a prescriber or an institution by the Drug Enforcement Administration (DEA).	**RK**
	PRE03	**DEA Number Suffix** Identifying number assigned to a prescriber by an institution when the institution's number is used as the DEA number.	**N**
	PRE04	**Prescriber State License Number** Identification assigned to the Prescriber by the State Licensing Board.	**N**
	PRE05	**Last Name** Prescriber's last name.	**RK**
	PRE06	**First Name** Prescriber's first name.	**RK**
	PRE07	**Middle Name** Prescriber's middle name or initial.	**N**
CDI	**CDI01**	**Compound Drug Ingredient Sequence Number** First reportable ingredient is 1; each additional reportable Ingredient is increment by 1.	**R**
	CDI02	**Product ID Qualifier** Code to identify the type of product ID contained in CDI03. • 01 NDC	**R**
	CDI03	**Product ID** Full product identification as indicated in CDI02, including leading zeros without punctuation.	**R**
	CDI04	**Compound Ingredient Quantity** Metric decimal quantity of the ingredient identified in CDI03. Example: 2.5	**R**

CDI	**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)	**N**
AIR	**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.	**N**
	AIR02	**State Issued Rx Serial Number** Number assigned to state issued serialized prescription blank.	**N**
	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.	**N**
	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 • 06 Driver's License ID • 07 Social Security Number • 08 Tribal ID • 99 Other (agreed upon ID)	**N**
	AIR05	**ID of Person Dropping Off or Picking Up Rx** ID number of patient or person picking up or dropping off the prescription.	**N**
	AIR06	**Relationship of Person Dropping Off or Picking Up Rx** Code indicating the relationship of the person. • 01 Patient • 02 Parent/Legal Guardian • 03 Spouse • 04 Caregiver • 99 Other	**N**
	AIR07	**Last Name of Person Dropping Off or Picking Up Rx** Last name of person picking up the prescription.	**N**
	AIR08	**First Name of Person Dropping Off or Picking Up Rx** First name of person picking up the prescription.	**N**

AIR	**AIR09**	**Last Name or Initials of Pharmacist** Last name or initials of pharmacist dispensing the medication.	**N**
	AIR10	**First Name of Pharmacist** First name of pharmacist dispensing the medication.	**N**
TP	**TP01**	**Detail Segment Count** Number of detail segments included for the pharmacy including the pharmacy header (PHA) including the pharmacy trailer (TP) segments.	**R**
TT	**TT01**	**Transaction Control Number** Identifying control number that must be unique. Assigned by the originator of the transaction. Must match the number in TH02.	**R**
	TT02	**Segment Count** Total number of segments included in the transaction including the header and trailer segments.	**R**