

ASAP

Implementation Guide ASAP Standard For Prescription Monitoring Programs

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Table of Contents

Summary of Changes from Version 4.0 to Version 4.1	3
Introduction.....	4
Prescription Monitoring Program Model Act	4
ASAP Technical Specifications.....	4
Data Element Summary.....	4
Data Element Separators and Segment Terminators.....	5
Segment and Data Ordering.....	6
Privacy and Security	6
Rules-Based Standard	6
Real-Time versus Batch Transmission	6
Use of Qualifiers	7
Examples of Looping	7
Core Reporting Segments.....	9
Header Segments	10
Segment: TH Transaction Header.....	11
Segment: IS Information Source.....	13
Segment: PHA Pharmacy Header.....	14
Detail Segments	15
Segment: PAT Patient Information.....	16
Segment: DSP Dispensing Record.....	19
Segment: PRE Prescriber Information.....	23
Segment: CDI Compound Drug Ingredient Detail	24
Segment: AIR Additional Information Reporting	25
Summary Segments	27
Segment: TP Pharmacy Trailer	28
Segment: TT Transaction Trailer	29
Acknowledgment/Responses	30
Segment: TP Transaction Header	31
Segment: IS Information Source.....	33
Segment: PHA Pharmacy Header.....	34
Segment: ACK Acknowledgment/Response	35
Segment: TP Pharmacy Trailer.....	36
Segment: TT Transaction Trailer.....	37
Example Transmissions	38
Appendix A List of Jurisdictions	43
Appendix B Reporting Quantity Dispensed	44
Appendix C Real-Time Transmission Reject Codes	45

Summary of Changes from Version 4.0 to Version 4.1

- More explicit instructions are included in the introduction on use of data element separators and segment terminators.
- The segment terminator used in the document was changed to a tilde (~) from a backslash (\). Also, syntax error was corrected in the use of the segment terminator.
- The examples for reporting quantity dispensed in DSP09 were revised and moved to Appendix B with reference to Appendix B included in DSP09, DSP11, CDI04, and CDI05.
- Reject codes in Appendix C were updated to reflect new fields added to the PAT and DSP Segments.

Segment Changes

Transaction Header

TH02 field size increased to 40 bytes.

TH03 now includes code 04 to void a specific real-time transmission or an entire batch file.

TH08 Composite Element Separator was removed, since it has never been used.

TH08 is now reserved for Routing Number as a Situational field, if required in real-time transmissions.

Pharmacy Header

PHA02 shortened to 7 bytes from 10 bytes.

PHA03 shortened to 9 bytes for pharmacy DEA number rather than 10 bytes.

Patient Segment

PAT01 shortened to 2 bytes from 3 bytes.

PAT02 code 04 was added for permanent resident card and 08 tribal ID code was added.

PAT04 shortened to 2 bytes from 3 bytes.

PAT05 code 04 was added for permanent resident card and 08 tribal ID code was added.

PAT21 made 98 unknown and added 99 for other.

PAT22 was added to report the country of non-U.S. resident.

PAT23 was added to capture the Name of Animal (Situational) for prescriptions written by veterinarians.

In Appendix A (list of jurisdiction codes) OT for other was changed to code 99 for consistency in reporting "other." Added statement that PMPs can include Appendix A in the specs they issue.

Dispensing Segment

DSP01 is now a Required field with the three code values relabeled and redefined. A detailed explanation on use of the codes has been added.

DSP17 was added to capture the Date Sold (Situational), with usage depending on the pharmacy having a point-of-sale system that is integrated with the pharmacy management system to allow a bidirectional flow of information, and the PMP wants to capture the date sold as opposed to the date filled in DSP05.

DSP18 was added to capture RxNorm Code (Situational) when electronic prescriptions are allowed for controlled substances in order to capture the drug product identification.

DSP19 was added for Electronic Prescription Reference Number (Situational) with an explanation included for adding this data element.

Prescriber Segment

PRE02 field length for prescriber DEA was shortened to 9 bytes from 10 bytes.

AIR Segment

AIR03 field size was reduced to 2 bytes from 3 bytes.

AIR04 code 04 was added for permanent resident card and 08 tribal ID code was added.

Introduction

Prescription Monitoring Program Model Act October 2002

The data elements in this standard include those described in the Prescription Monitoring Program Model Act of October 2002 developed by the Alliance of States with Prescription Monitoring Programs and the National Association of State Controlled Substances Authorities. Per the model act, the information submitted for each prescription, should include, but not be limited to:

- Dispenser identification number
- Date prescription filled
- Prescription number
- Prescription is new or is a refill
- NDC code for drug dispensed
- Quantity dispensed
- Number of days supply of the drug
- Patient identification number
- Patient name
- Patient address
- Patient date of birth
- Prescriber identification number
- Date prescription issued by prescriber
- Person who received the prescription from the dispenser, if other than the patient
- Source of payment for prescription
- State issued serial number [If state chooses to establish a serialized prescription system.]

ASAP Technical Specifications

Data Element Summary

The Data Element Summary included within each segment includes the following types of information:

Reference Designator: This uses the segment identifier plus a data element sequence number within the segment to create a unique ID.

Data Element Name: This is the name assigned to the data element by ASAP.

Element Type: There are five basic data element types.

AN (Alphanumeric):

An alphanumeric field can accept both numbers and characters.

N (Numeric)

A numeric field is in character format, without a decimal point included. It is treated as alphanumeric. For negative values, the leading minus sign (-) is used. Lack of a minus sign indicates a positive number. For example, to send the number 0123 the field will contain 123. To send 567, the field will contain -567. If the number is a code value (rather than a counting number), with any

leading zeros, do not drop the leading zero. For example, a code value 01 would be sent as 01. An increment number of 1 would be sent as 1. Note: If a value is zero, report as 0 rather than a blank or empty value.

D (Decimal)

This is a numeric field in character format, with a decimal point included. It is treated as alphanumeric. The decimal point is not sent for whole numbers. For negative values, the leading minus sign (-) is used. Absence of a minus sign indicates a positive number. For example, to send the number 0123.987 the field contains 123.987. To send the number 567.00 the field contains 567.

DT (Date):

All dates expressed in the format CCYYMMDD.

TM (Time)

Time expressed in 24-hour clock time (HHMMSS or HHMM). Time range: 000000 through 235959. The time zone is assumed to be that of the reporting entity.

Maximum Length: This is the maximum length the field can be.

Data Element Separators and Segment Terminators

The ASAP standard uses segments to carry information. This information is sent as a single file or transaction. Each file is an ordered collection of segments and each segment is an ordered collection of data elements. Data elements are composed of one or more characters and may be variable in length. This document specifies the maximum length of each data element. The structure of the ASAP standard is variable in both file length and data element length. This means if a data element is sized for a specific number of characters, but the actual number being transmitted is smaller, the smaller length becomes the size of the field. However, the field size cannot be exceeded.

Should the receiver not require specific optional segments or specific situational data elements within a file, these would not be sent to maintain the integrity of the standard implementation for the application.

The segment identifier marks the beginning of each segment. The first two characters of any transaction are always TH to indicate Transaction Header. The third character (byte 3) is always the data element separator and that character is used throughout the transaction to separate the data elements within the segment. ASAP uses the asterisk (*) character in the examples in this document as the data element separator. A segment terminator character is used to mark the end of a segment. The examples in this document use the tilde (~) character as the segment terminator. TH09 is required since it sets the value of the segment terminator for the entire transaction.

Example PHA*1234567890~ (Shows use of pharmacy NPI in PHA segment.)

Note: It is strongly advised against using a character that could be typed in via a keyboard entry when selecting data element separators and segment terminators. One recommendation for a segment terminator is to use a carriage return character without a line feed, since this offers the advantage of allowing for easy visual scans of records when reviewing in a text editor. In the examples in this document, the asterisk and tilde are used as data element separators and segment terminators respectively. Usage of these characters is not encouraged in actual implementations. The originator of the file establishes data element separators, which must remain consistent for the transaction. Upper case characters, lower case characters, digits, special characters, and space should not be used as data element separators. We refer you to X12.6 Application Control Structures for further information on preferred use of data element separators and terminators.

Segment and Data Ordering

You will note that the PAT segment is the first segment in the detail segments, followed by the DSP segment in order to loop prescriptions by patient in batch transmissions.

Because the transaction is an ordered collection of segments, the segments must be reported in a consistent sequence to allow for correct processing.

Header and Trailer segments should be implemented as instructed and never modified.

Privacy and Security

For any standard that includes the transmission of patient-sensitive information outside the pharmacy, security measures to protect the privacy of such information should be employed. It is advised that the company and/or person implementing the standard be fully versed in federal and state privacy and security laws that may apply and take all necessary steps in the implementation to ensure compliance.

Rules-Based Standard

What this means is that segments classified as “Required” must be transmitted. If the prescription-monitoring program does not have a need for these segments then they are stripped out by the receiving computer. The same rule applies for data elements within a segment that are classified as required. Where data elements within the segments are classified as “Situational,” the situation or condition that must be met in order for the data element to be used is defined by the state PMP. Again, those that are required must be sent. Required data elements cannot be changed in definition to “not used.” To do so would compromise the standard.

Real-Time versus Batch Transmissions

This standard can be used for either real-time transmissions or batch-file transmissions. When used as a real-time transmission there will be only one provider and one patient combination in the transmission submitted. The response from the PMP system will be specific for that transmission. Real-time transmissions would use the Visa telecommunications protocol. Real time means that a send and response takes place within 3 or 4 seconds. This standard also includes functionality to allow real-time transmission of two or more prescriptions on the same date and time, from the same location.

When used to transmit prescriptions as a batch file, the transmissions reported may include one or more pharmacies with multiple patients. The response for a batch transmission simply confirms that the file was received and that the data that came through could be read. It is

particularly important to pay attention to the syntax requirements and data element attributes as spelled out in this implementation guide, whether transmitted in real time or batch.

Use of Qualifiers

When a qualifier field is used, it must be followed by the appropriate ID indicated in the qualifier field. Therefore, if you use one field, the other is automatically required.

Examples of Looping

The following is an example of how looping would take place within a TH/TT transaction.

Batch Transmission

TH – Transaction Header (one per file)

IS – Information Source (one per TH)

PHA – Pharmacy Header (one to 2,000 per IS)

PAT – Patient Information (one to 25,000 per PHA)

DSP – Dispensing Record (one to 300 per PAT)

PRE – Prescriber Information (one per DSP)

CDI – Compound Drug Ingredient Detail (zero to 25 per DSP)

AIR – Additional Information Reporting (zero to one per DSP)

PAT – Patient Information

DSP – Dispensing Record

PRE – Prescriber Information

CDI – Compound Drug Ingredient Detail

AIR – Additional Information Reporting

DSP – Dispensing Record

PRE – Prescriber Information

CDI – Compound Drug Ingredient Detail

AIR – Additional Information Reporting

DSP – Dispensing Record

PRE – Prescriber Information

CDI – Compound Drug Ingredient Detail

AIR – Additional Information Reporting

PAT – Patient Information

DSP – Dispensing Record

PRE – Prescriber Information

CDI – Compound Drug Ingredient Detail

AIR — Additional Information Reporting

TP — Pharmacy Trailer (one per PHA)

PHA — Pharmacy Header

PAT — Patient Information

DSP — Dispensing Record

PRE — Prescriber Information

CDI — Compound Drug Ingredient Detail

AIR — Additional Information Reporting

PAT — Patient Information

DSP — Dispensing Record

PRE — Prescriber Information

CDI — Compound Drug Ingredient Detail

AIR — Additional Information Reporting

TP — Pharmacy Trailer

TT — Transaction Trailer (one per TH)

Real-Time Looping

The following is an example of how looping would take place for the DSP Segment within a TH/TT transaction. It would be one transmission per PAT at the time of filling the prescription. The looping would take place within the PAT, where more than one DSP is involved for a controlled substance for that PAT.

Real-Time Transmission

TH — Transaction Header

IS — Information Source

PHA — Pharmacy Header

PAT — Patient Information

DSP — Dispensing Record

PRE — Prescriber Information

CDI — Compound Drug Ingredient Detail

CDI — Compound Drug Ingredient Detail

AIR — Additional Information Reporting

DSP — Dispensing Record

PRE — Prescriber Information

AIR — Additional Information Reporting

TP — Pharmacy Trailer

TT — Transaction Trailer

Core Reporting Segments

Header

TH	Transaction Header	Required
IS	Information Source	Required
PHA	Pharmacy Header	Required

Detail

PAT	Patient Information	Required
DSP	Dispensing Record	Required
PRE	Prescriber Information	Required
CDI	Compound Drug Ingredient Detail	Situational
AIR	Additional Information Reporting	Situational

Summary

TP	Pharmacy Trailer	Required
TT	Transaction Trailer	Required

Acknowledgment/Response

Header Segments

Header

TH	Transaction Header	Required
IS	Information Source	Required
PHA	Pharmacy Header	Required