PRESCRIPTION MONITORING PROGRAM
CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION

Data Submission Dispenser Guide

Connecticut Prescription Monitoring and Reporting System (CPMRS)

June 2016 Version 1.1

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1 Data Collection and Tracking

Data Collection Requirements

In accordance with Connecticut General Statute: Section 21a-254 – The Connecticut Department of Consumer Protection has established a program to monitor the prescribing and dispensing of **Schedule II - V** controlled substances. The program shall be designed to provide information regarding the prescription of controlled substances in order to prevent the improper or illegal use of the controlled substance, and shall not infringe on the legitimate prescribing of a controlled substance by a prescribing practitioner acting in good faith and in the course of professional practice.

Sec. 21a-408-50. Requires dispensary reporting into the prescription monitoring program (a) At least once per day, a dispensary shall transmit electronically to the Drug Control Division of the department the information set forth in the edition of the Electronic Reporting Standard for Prescription Monitoring Programs established by the American Society for Automation in Pharmacy, a copy of which may be obtained from the American Society for Automation in Pharmacy on their website: www.asapnet.org (b) A dispensary shall transmit the information required pursuant to this section in such a manner as to insure the confidentiality of the information in compliance with all federal and state statutes and regulations, including the federal Health Insurance Portability and Accountability Act 1996, Public Law 104-191.

**Dispensary= Medical Marijuana Dispensary

Information about controlled substance dispensing activities is reported at regular intervals to the state of Connecticut through the authorized data collection vendor, Appriss Inc. 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

On and after July 1, 2016, each pharmacy, nonresident pharmacy, outpatient pharmacy in a hospital or institution, and dispenser shall report all controlled substance prescriptions dispensed immediately upon, but in no event more than twenty-four hours after.

The laws and regulations for reporting to the CPMRS are continuously subjected to amendments; therefore, it is the responsibility of dispensers to be aware of such updates as they are enacted and promulgated.

Advance notice of new and amended laws and regulations will be posted accordingly on the State website at www.ct.gov/dcp/pmp. However, it is your responsibility to keep yourself informed of all legislative changes or amendments.

All dispensers of Schedule II - V controlled substance prescriptions are required to collect and report their dispensing information. Such reporting without individual authorization by the patient is allowed under HIPAA, 45CFR § 164.512, paragraphs (a) and (d).

Exemptions to the reporting requirements outlined above may be granted in some circumstances. Refer to Appendix C – Exemptions to Reporting to see criteria that may qualify a dispenser for exemption status.

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.

- **Accounts may be created on or after 05/17/2016. See Creating Your Account for more information.**
- **Beginning 06/16/2016 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, a zero report for that reporting period must be filed, or it will be considered noncompliant. See Zero Reports for additional details.**

Upload Specifications

Files should be in ASAP 4.1 format released in September 2009. 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".

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

3 Creating Your Account

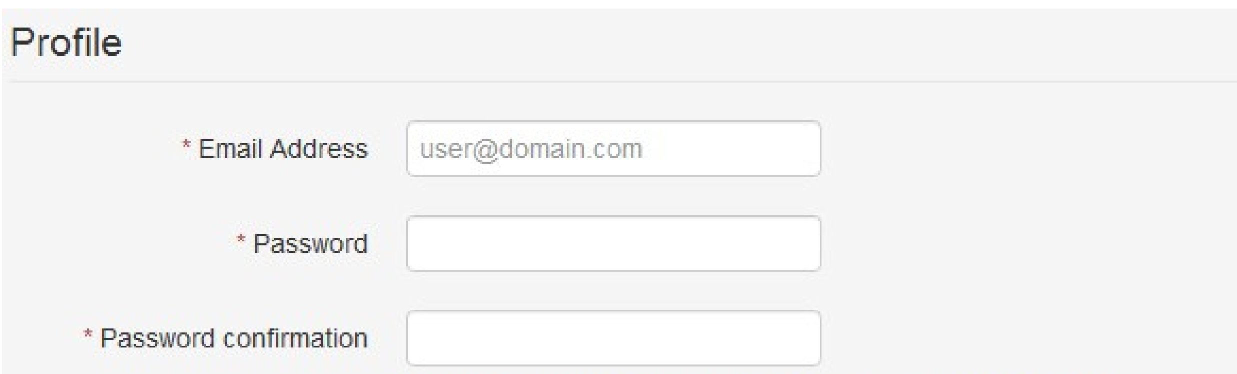
Prior to submitting data, create an account with PMP Clearinghouse. If you are already registered with PMP Clearinghouse, you do not need to create a new account for another state for data submission. A single account can submit to multiple states. If you have an existing PMP Clearinghouse account, see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

Note: Pharmacy chains with multiple stores only have to set up one account to upload a file since 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.

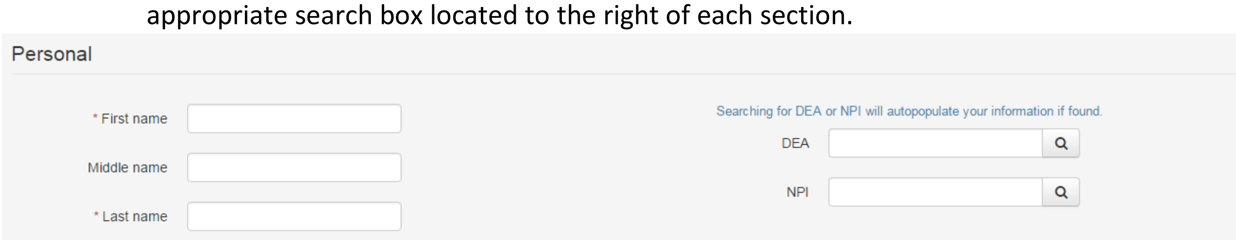
Perform the following steps to create an account:

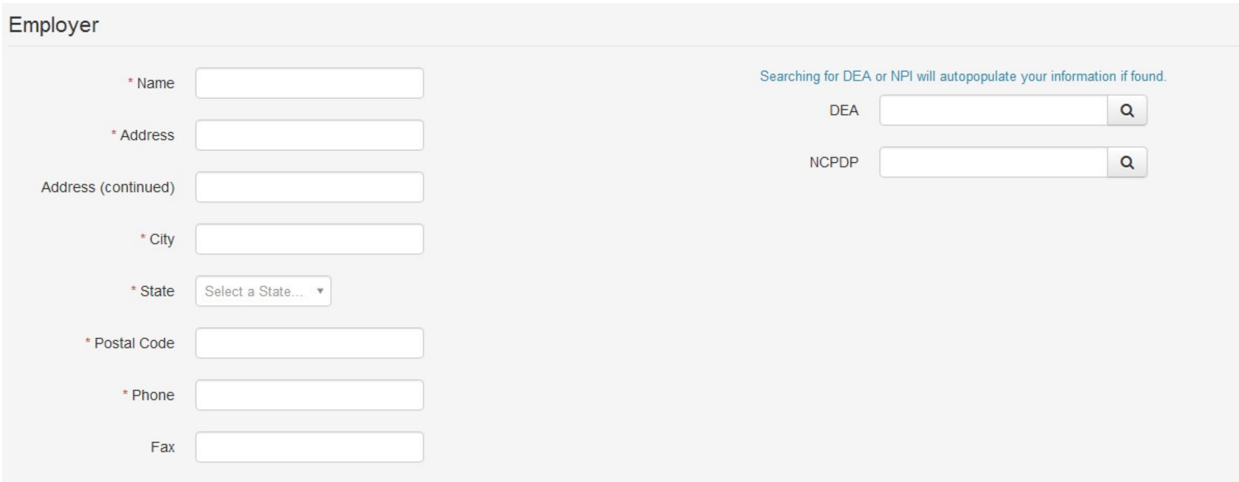
1. Go to https://pmpclearinghouse.net and click the Create Account link in the center of the screen or go directly to https://pmpclearinghouse.net/registrations/new.

2. **Profile Section.** Enter a current, valid email address and a password. This email address will act as your username 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 (e.g. ! @ # $)**



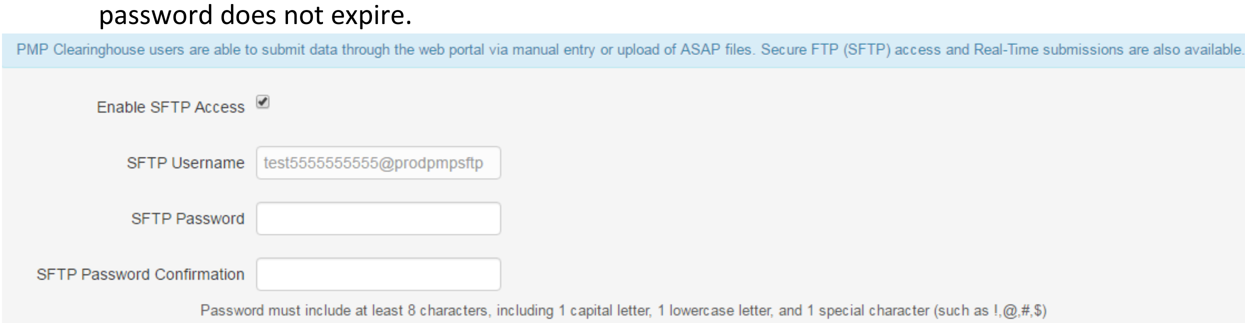
3. **Personal & Employer Section.** Enter your personal and employer information.
   - Required fields are marked with a red asterisk (*)
   - Data fields may be auto populated by entering DEA, NCPDP, or NPI information in the appropriate search box located to the right of each section.





4. **sFTP Section.** If the user would like to submit data via sFTP, sFTP access can be granted during account registration. See Adding sFTP to a Registered Account to add sFTP access to an existing PMP Clearinghouse account.
   - Check the "Enable sFTP Access" box as seen below. The sFTP username is automatically Generated using the first 5 characters of the employer name + the employer phone number + @prodpmpsftp. Example username: chain5025555555@prodpmpsftp
   - Create a sFTP password that meets the following criteria: contain at least 8 characters, including **1 capital letter, 1 lower case letter, 1 number, and 1 special character (e.g. !,@,#,$)**

     NOTE: This will be the password that is input into the pharmacy software so that submissions can be automated. This password can be the same as the one entered previously under Profile. Unlike the Profile password (i.e. user account password) the sFTP password does not expire.



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

Additional details on sFTP configuration can be found in Appendix D – sFTP Configuration.

5. 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.

6. 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 the State PMP Administrator has approved the request, the user will receive a welcome email and can begin submitting data to PMP AWAR$_x$E.

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;
- using a web portal upload page;
- using a manual entry UCF (Universal Claims Form) page; or
- submitting a zero report.

4.1 Secure FTP (sFTP)

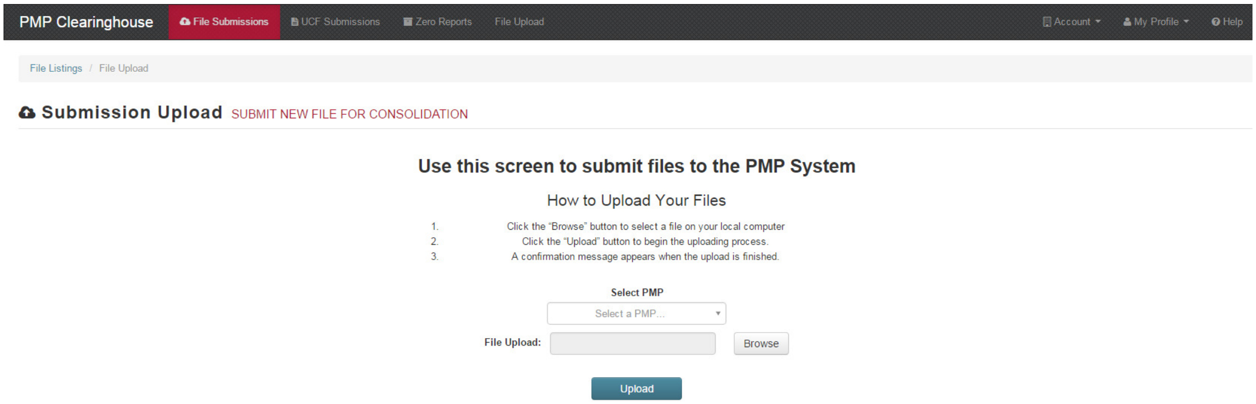
Data submitters who select to submit data to PMP Clearinghouse by sFTP must configure individual folders for the state PMP systems they will be submitting data to. **The subfolders should use state abbreviation for naming (e.g. AK, CT, RI, etc.).** The subfolder must be located in the homedir/directory 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. See State Subfolders for additional details on this process.

1. If an account has not yet been created, perform the steps in Creating Your Account. If a Clearinghouse account already exists, but needs sFTP access added perform the steps in Adding sFTP to a Registered Account.
2. Prepare the data file(s) for submission, using the ASAP 4.1 specifications described in Appendix A.
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 in the form of a "*Determine PMP*" error at the File Status screen to select a destination PMP (state) to send the data to.

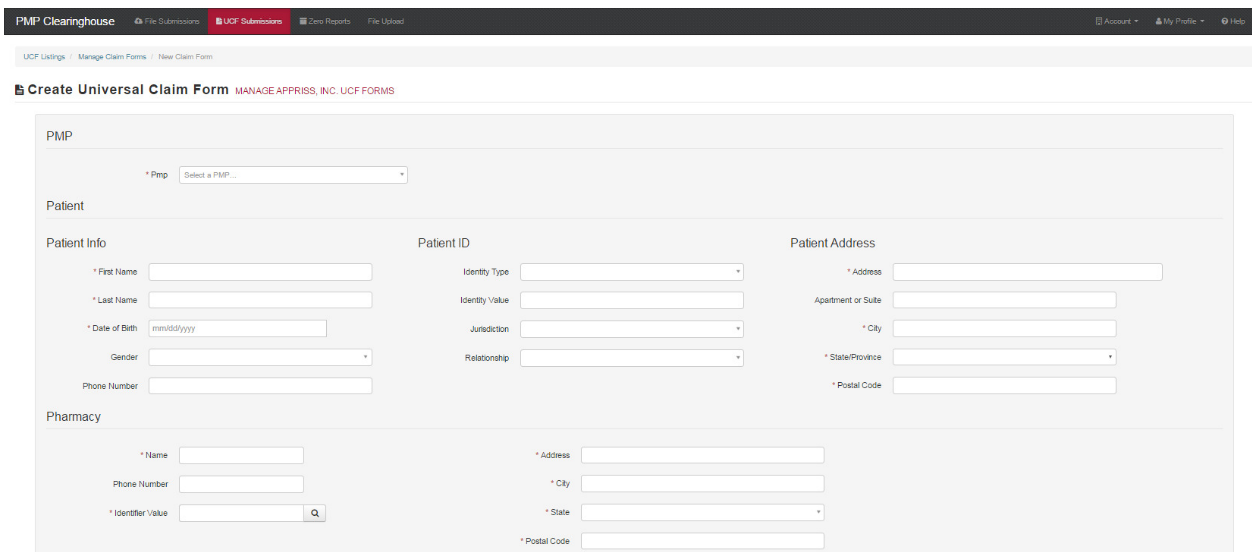
4.2 Web Portal Upload

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.

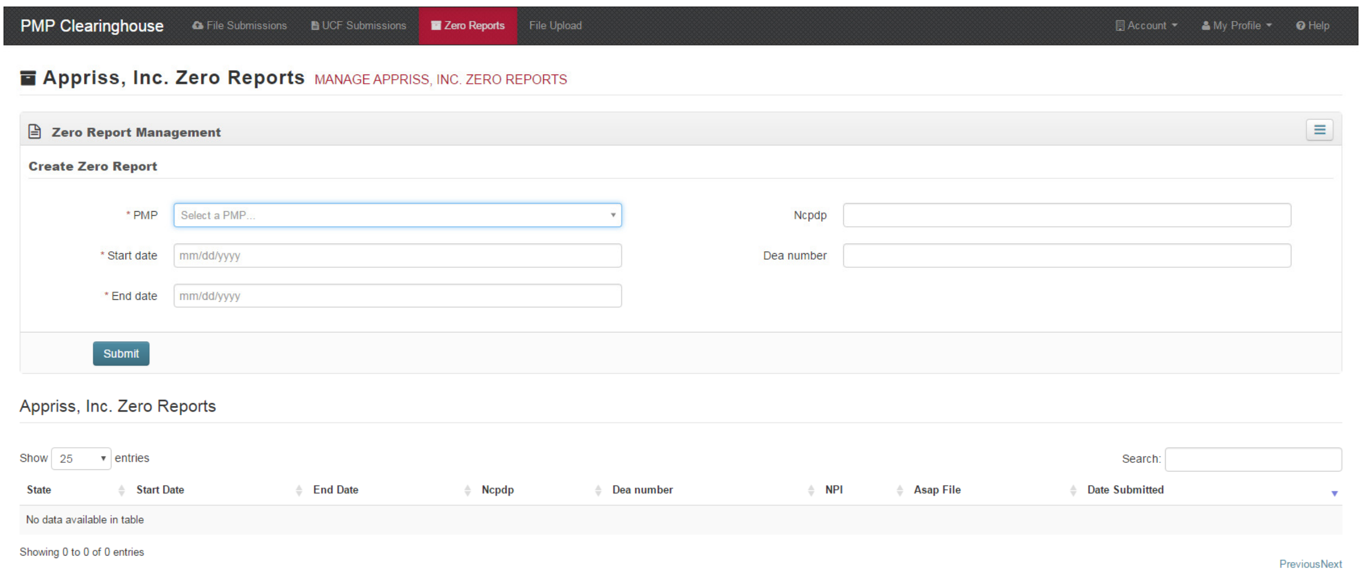


1. If you do not have an account, perform the steps in [Creating Your Account](#).
2. After logging into PMP Clearinghouse, navigate to UCF Submissions in the menu bar.
3. Choose New Claim Form to begin a submission.
4. You must select a destination PMP from the available states listed in the drop-down.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

5 Data Compliance

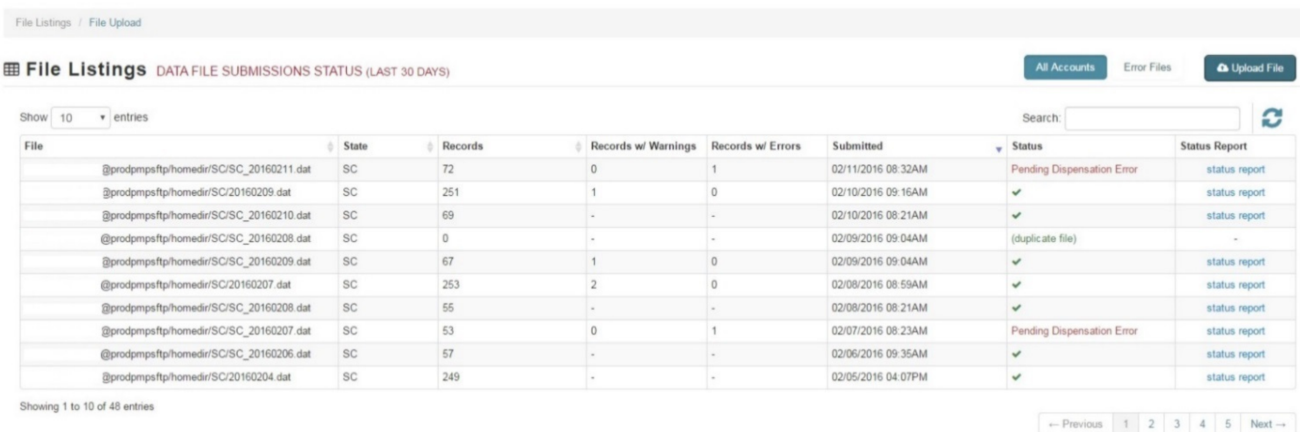
Data Compliance allows users of PMP Clearinghouse to view the status of data files they have submitted.

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.


File Listings / File Upload

File Listings DATA FILE SUBMISSIONS STATUS (LAST 30 DAYS)

All Accounts | Error Files | Upload File

Show 10 entries

Search:

File	State	Records	Records w/ Warnings	Records w/ Errors	Submitted	Status	Status Report
@prodpmpsftp/homedir/SC/SC_20160211.dat	SC	72	0	1	02/11/2016 08:32AM	Pending Dispensation Error	status report
@prodpmpsftp/homedir/SC/20160209.dat	SC	251	1	0	02/10/2016 09:16AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160210.dat	SC	69	-	-	02/10/2016 08:21AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160208.dat	SC	0	-	-	02/09/2016 09:04AM	(duplicate file)	-
@prodpmpsftp/homedir/SC/SC_20160209.dat	SC	67	1	0	02/09/2016 09:04AM	✔	status report
@prodpmpsftp/homedir/SC/20160207.dat	SC	253	2	0	02/08/2016 08:59AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160208.dat	SC	55	-	-	02/08/2016 08:21AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160207.dat	SC	53	0	1	02/07/2016 08:23AM	Pending Dispensation Error	status report
@prodpmpsftp/homedir/SC/SC_20160206.dat	SC	57	-	-	02/06/2016 09:35AM	✔	status report
@prodpmpsftp/homedir/SC/20160204.dat	SC	249	-	-	02/05/2016 04:07PM	✔	status report

Showing 1 to 10 of 48 entries

← Previous 1 2 3 4 5 Next →

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 and make corrections to the record(s):

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.

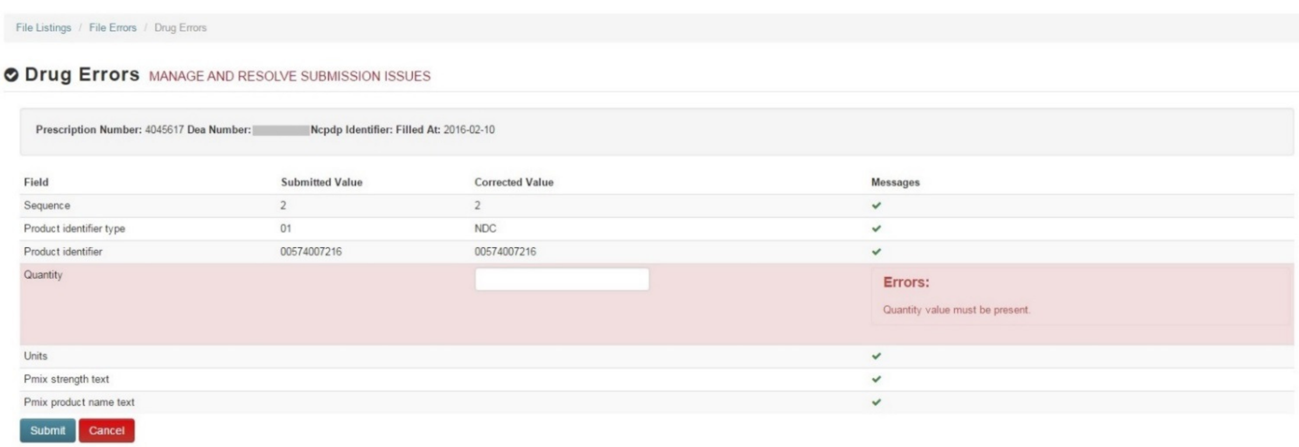
5.4 Error Correction

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: Connecticut 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: unparseable
* 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: Connecticut 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: ###
* In Process Count: ###
* Records with Error Count: ###
* Imported Records Count: ###
* Records Imported with Warning Count: ###
```

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:

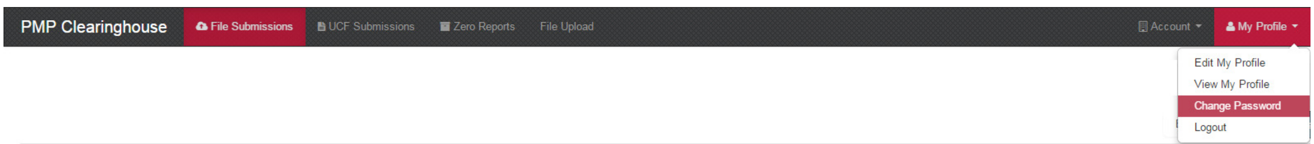
```
SUBJ: ASAP Zero Report: zero_reports_20130301KSMCPS.DAT

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

7 Password Management

Password management can be handled within PMP Clearinghouse by the user. 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.

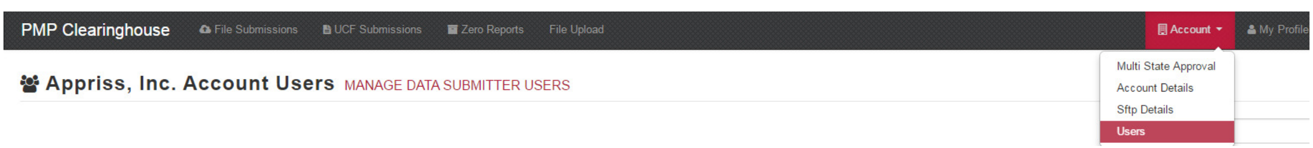
7.1 Changing Your Password

1. Navigate to My Profile section.
2. Select the navigation menu item for 'Change Password'.
3. Enter current password then enter a new password twice.
4. The new password will take effect once the user has logged out of the application.



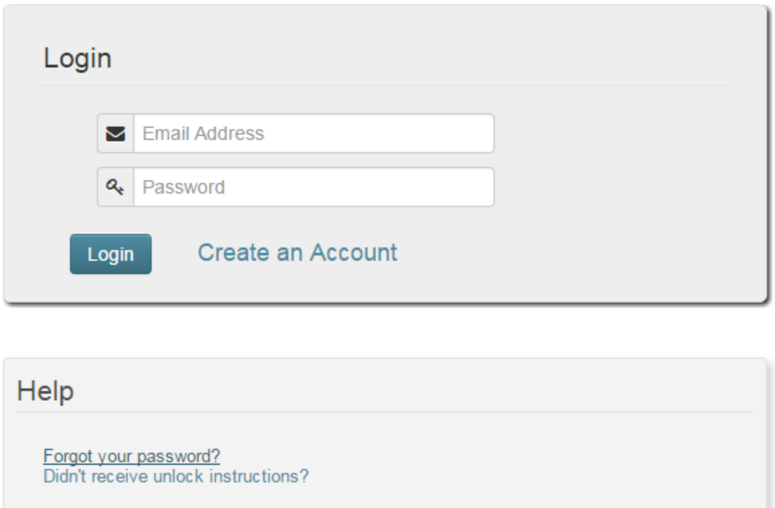
7.2 Changing Passwords for another User

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. Click on the link named “Forgot your password” located on the log in screen.
2. Enter the email address used to register with the application.
3. An email containing a link to reset the password for the user’s account will be sent.
4. 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.

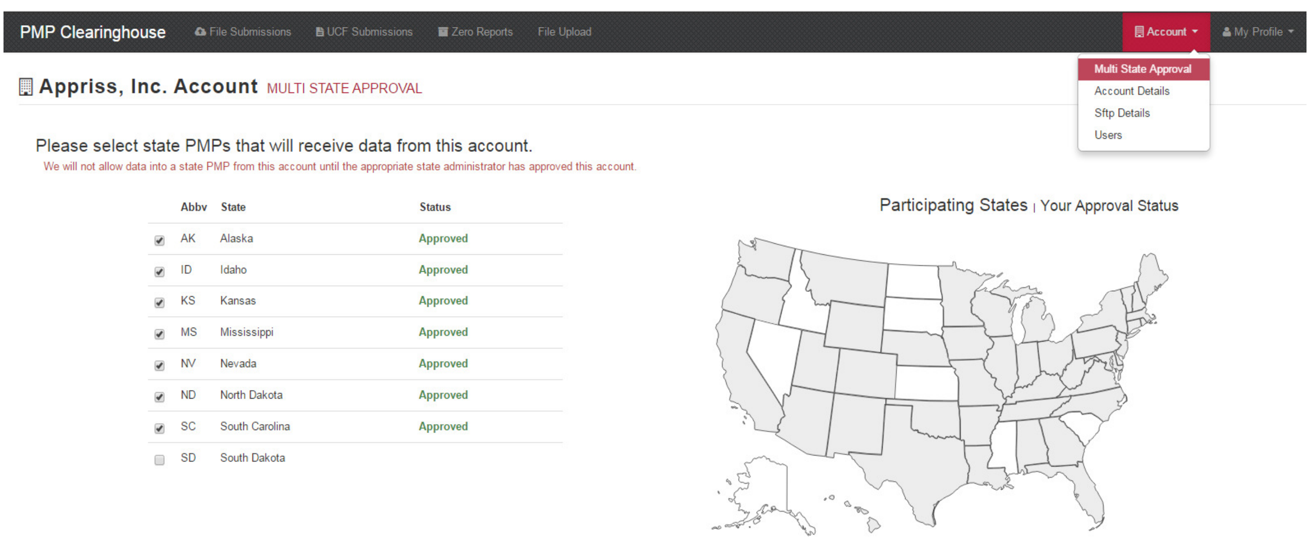
1. In Account in the menu bar, add users by selecting the section titled “Users”.
2. Click the “New User” button and enter the first name, last name, and email address for the new user.
3. Once saved, the new user will be able to log into PMP Clearinghouse.
   a. The new user will use the email address 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 AWARE, the user can submit the request through their Account settings page.

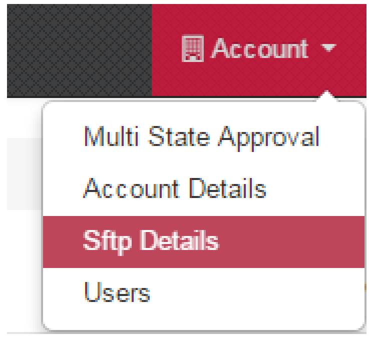
1. Navigate to Account in the main menu and select “Multi State Approval” from the dropdown.
2. The page that displays lists the current states the account has requested to submit data to and the current approval from that state.
3. To submit to a new state using PMP AWARE, simply check the state on 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 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: 1-866-683-3246

Create a support request using the following URL
https://apprisspmpclearinghouse.zendesk.com/hc/en-us/requests/new

Technical assistance is available Monday – Friday, 8AM – 8PM EST.

Administrative Assistance

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

Connecticut Prescription Monitoring and Reporting System (CPMRS): (860) 713-6073 or
dcp.pmp@ct.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.

Revision History

Version	Date	Changes
1.0	05/13/16	• Initial Version
1.1	06/29/16	• PAT02 and PAT03 changed from Required to Not Required

11 Appendix A – ASAP 4.1 Specifications

The following information contains the required definitions for submitting ASAP 4.1 records to CPMRS.

NOTE: CPMRS requires at least ASAP version 4.1 be submitted for controlled substance reports but will accept ASAP version 4.2 as well. This is to help dispensers standardize their reporting processes in cases where they may already be submitting reports to other states that require the newer/higher ASAP version.

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

- R = Required by Connecticut
- N = Not Required but Accepted if Submitted
- S = Situational

*Medical Marijuana Dispensers (MMD) take note of special submitting instructions.

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)	**N**	
TH04	**Response ID** Contains the Transaction Control Number of a transaction that initiated the transaction. Required in response transaction only.	**N**	

Element ID	Element Name	Requirement	Notes
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** 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 PHA03.			
PHA01	**National Provider Identifier (NPI)** Identifier assigned to the pharmacy by CMS.	**N**	
PHA02	**NCPDP/NABP Provider ID** Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	**N**	

Element ID	Element Name	Requirement	Notes
PHA03	**DEA Number** Identifier assigned to the pharmacy by the Drug Enforcement Administration.	**R**	*MMD - use the state provided DEA assigned to the facility
PHA04	**Pharmacy Name** Freeform name of the pharmacy.	**N**	
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. Do not include hyphens.	**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 – Patient Information – Required Used to report the patient’s name and basic information as contained in the pharmacy record.			
PAT01	**ID Qualifier of Patient Identifier** Code identifying the jurisdiction that issues the ID in PAT03.	**N**	

Element ID	Element Name	Requirement	Notes
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 • 04 Permanent Resident Card (Green Card) • 05 Passport ID • 06 Driver's License ID • 07 Social Security Number • 08 Tribal ID • 99 Other (agreed upon ID)	**N**	
PAT03	**ID of Patient** Identification number for the patient as indicated in PAT02. An example would be the driver's license number.	**N**	
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 • 04 Permanent Resident Card (Green Card) • 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**	

Element ID	Element Name	Requirement	Notes
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.	**S**	
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.	**N**	
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**	

<table>
<tr><th>Element ID</th><th>Element Name</th><th>Requirement</th><th>Notes</th></tr>
<tr><td>PAT20</td><td>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</td><td>R</td><td></td></tr>
<tr><td>PAT21</td><td>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</td><td>R</td><td></td></tr>
<tr><td>PAT22</td><td>Country of Non-U.S. Resident
Used when the patient’s address is a foreign country and PAT12 through PAT16 are left blank.</td><td>S</td><td></td></tr>
<tr><td>PAT23</td><td>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.</td><td>S</td><td></td></tr>
<tr><td colspan="4">DSP – Dispensing Record – Required
To identify the basic components of a dispensing of a given prescription order including the date and quantity.</td></tr>
</table>

Element ID	Element Name	Requirement	Notes
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**	*MMD – Date the written certification was issued
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**	*MMD – use appropriate state provided NDC’s

Element ID	Element Name	Requirement	Notes
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**	*MMD – Shall be populated by value provided by the department
DSP13	**Partial Fill Indicator** To indicate whether it is a partial fill. • 00 Yes (a partial fill) • 01 No (not a partial fill)	**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**	

Element ID	Element Name	Requirement	Notes
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)	**N**	
DSP19	**RxNorm Code** Used for electronic prescriptions to capture the prescribed drug product identification.	**N**	
DSP20	**Electronic Prescription Reference Number** This field should be populated with the Initiator Reference Number from field UIB-030-01 in the SCRIPT transaction.	**N**	
DSP21	**Electronic Prescription Order Number** This field will be populated with the Initiator Control Reference from field UIH-030-01 in the SCRIPT standard.	**N**	
PRE – Prescriber Information – Required To identify the prescriber of the prescription.			
PRE01	**National Provider Identifier (NPI)** Identifier assigned to the prescriber by CMS.	**N**	

Element ID	Element Name	Requirement	Notes
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**	
CDI02	**Product ID Qualifier** Code to identify the type of product ID contained in CDI03. • 01 NDC	**S**	
CDI03	**Product ID** Full product identification as indicated in CDI02, including leading zeros without punctuation.	**S**	
CDI04	**Compound Ingredient Quantity** Metric decimal quantity of the ingredient identified in CDI03. • Example: 2.5	**S**	

Element ID	Element Name	Requirement	Notes
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**	
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.	**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 • 04 Permanent Resident Card (Green Card) • 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**	

Element ID	Element Name	Requirement	Notes
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**	
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**	
AIR11	**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	**N**	
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.			
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 – 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.			
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**	

Element ID	Element Name	Requirement	Notes
TT02	**Segment Count** • Total number of segments included in the transaction including the header and trailer segments.	**R**	

12 Appendix B – ASAP Zero Report Specifications

The following information table contains the required definitions for submitting Zero Reports via sFTP or manual upload to CPMRS. 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 A – ASAP 4.1 Specifications

Element ID	Element Name	Requirement
	TH – Transaction Header - Required	
TH01	4.1	**R**
TH02	123456	**R**
TH05	20150101	**R**
TH06	223000	**R**
TH07	P	**R**
TH09	\\	**R**
	IS – Information Source – Required	
IS01	8605555555	**R**
IS02	PHARMACY NAME	**R**
IS03	Date Range of Report #CCYYMMDD#-#CCYYMMDD#	**R**
	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 – Required	
	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*4.1*123456*01**20150108*223000*P**\\
IS*4015555555*PHARMACY NAME*#20150101#-#20150107#\
PHA*** ZZ1234567\
PAT*******REPORT*ZERO************\
DSP*****20150108******\
PRE*\
CDI*\
AIR*\
TP*7\
TT*123456*10\
```

13 Appendix C – Exemptions to Reporting

The following defines in which situations exemptions may be granted for reporting of controlled substances as outlined in this document.

Exemptions:

- Dispensing of manufacturer's samples
- Dispensing pursuant to a manufacturer's indigent patient program
- Any drug dispensed by a licensed health care facility; provided that the quantity dispensed is limited to an amount adequate to treat the patient for a maximum of forty-eight (48) hours.
- A drug administered directly to a patient
- Dispensing within an appropriately licensed narcotic maintenance treatment program by the United States Drug Enforcement Administration.
- Dispensing to inpatients in hospitals or nursing homes (exemption does not apply to assisted living)
- Dispensing to inpatients in hospices (exemption does not apply to home hospice or hospice in an assisted living facility)
- A practitioner that dispenses or administers directly to patients an opioid antagonist for treatment of a substance use disorder from a registrant licensed under Conn. General Statutes Sec. 19a-495 (Methadone Clinic).

Nursing homes:

Pharmacies dispensing to nursing homes are exempt from reporting. However, prescriptions dispensed to assisted living facilities must be reported.

Hospitals:

Inpatient prescriptions dispensed are exempt from reporting. All outpatient prescriptions and employee prescriptions must be reported.

If you consider that you are exempt from reporting or wish to submit a request for a waiver from reporting please fill out the Exemption/Waiver Form on the following page and submit via:

Fax: (860) 622-2608 or

Email: dcp.pmp@ct.gov

If there are any questions, please feel free to contact us via email at dcp.pmp@ct.gov or call (860) 713-6073.

CONNECTICUT DEPARTEMENT OF CONSUMER PROTECTION
PRESCRIPTION MONITORING PROGRAM

WAIVER / EXEMPTION FORM

NAME OF DISPENSER

LICENSE OR PERMIT NUMBER

ADDRESS

CITY

NAME OF PHARMACIST IN CHARGE (PHARMACY

CT LICENSE NUMBER OF PHARMACIST IN CHARGE (PHARMACY ONLY)

TELEPHONE

SIGNATURE

APPLICANT SIGNATURE

For Department Use Only

Date Received

☐ Approved ☐ Disapproved

Director or Designee Signature

Date of Action

REASON FOR WAIVER / EXEMPTION (Check one box) below

☐ Hardship created by a natural disaster or other emergency beyond the control of the permit holder. Please provide description:

☐ This dispenser does not hold a Controlled Substance registration with Drug Enforcement Administration.

☐ This dispenser does not dispense Schedule II, III, IV, and V controlled substances.

☐ The dispenser is exempt from reporting according to Connecticut General Statute: Chapter 400j. State exemption(s)

☐ Other: Please provide description below or provide information as a separate attachment.

Please e-mail or fax to the Connecticut Department of Consumer Protection Prescription Monitoring Program at dcp.pmp@ct.gov, Fax: (860) 622-2608

14 Appendix D – sFTP Configuration

If submitting data via sFTP, a Clearinghouse account with sFTP access needs to already exist.

See Creating Your Account to register with PMP Clearinghouse.

See Adding sFTP to a Registered Account to add sFTP access to an existing PMP Clearinghouse account.

sFTP Connection Details:

Hostname: sftp.pmpclearinghouse.net

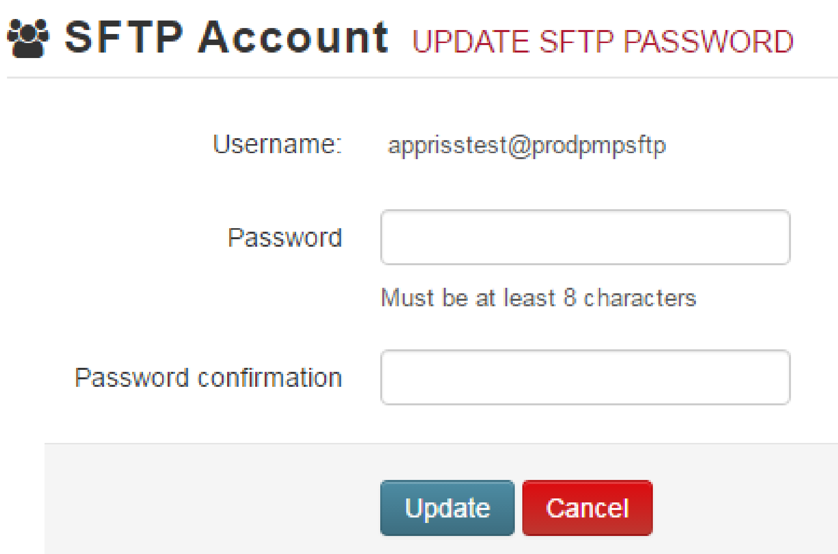
It is recommended to use the hostname when configuring the connection rather than the IP Address as the IP Address is subject to change.

Port: 22

The port will always be 22

Credentials – Account credentials (username and password) can be found within the PMP Clearinghouse website. Login to PMP Clearinghouse > click Account > sFTP Details > Edit

The username cannot be modified, however, the password can be updated. The current sFTP password cannot be seen or recovered. If it is unknown/lost the user will need to create a new one.



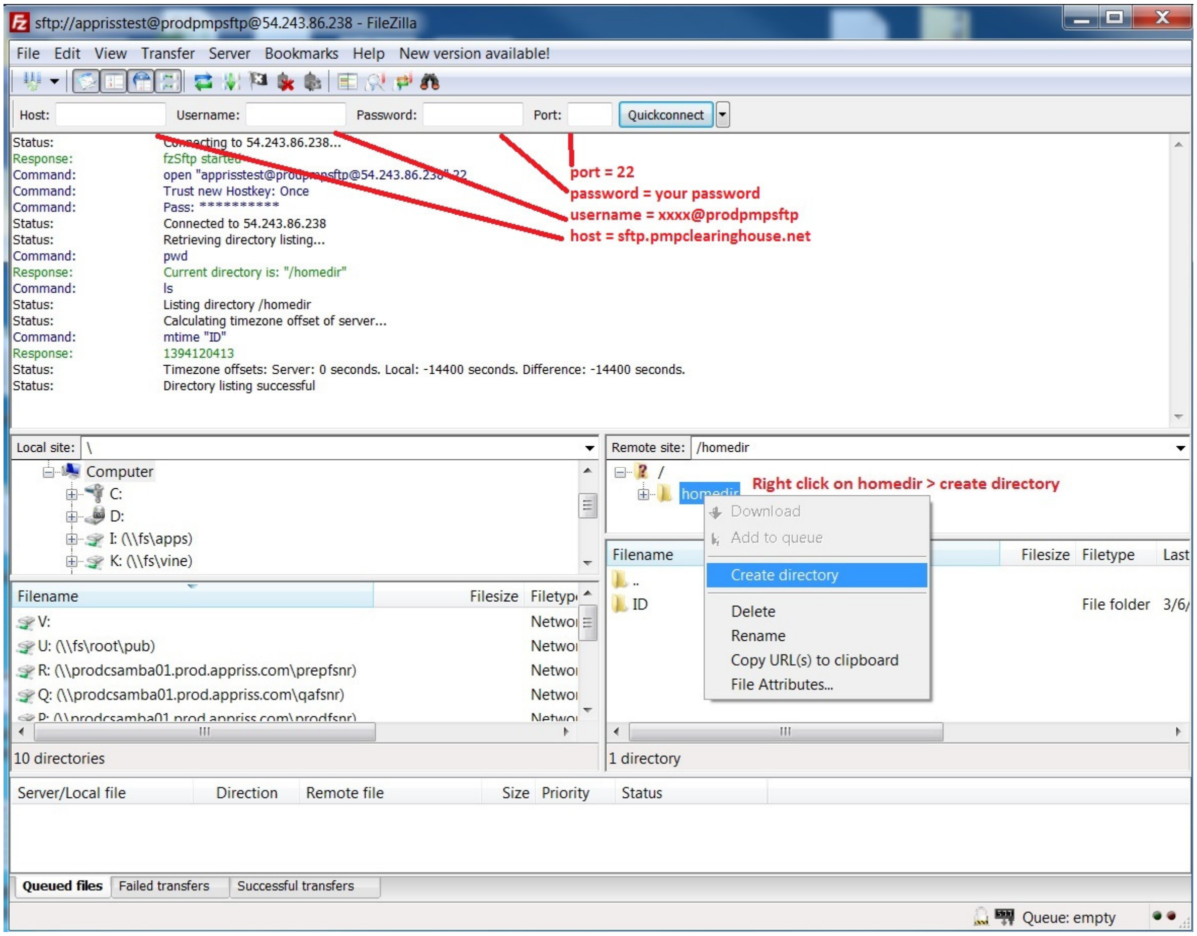
Users can test the sFTP connection but will not be able to submit data to a PMP until their account has been approved by the state administrator.

State Subfolders

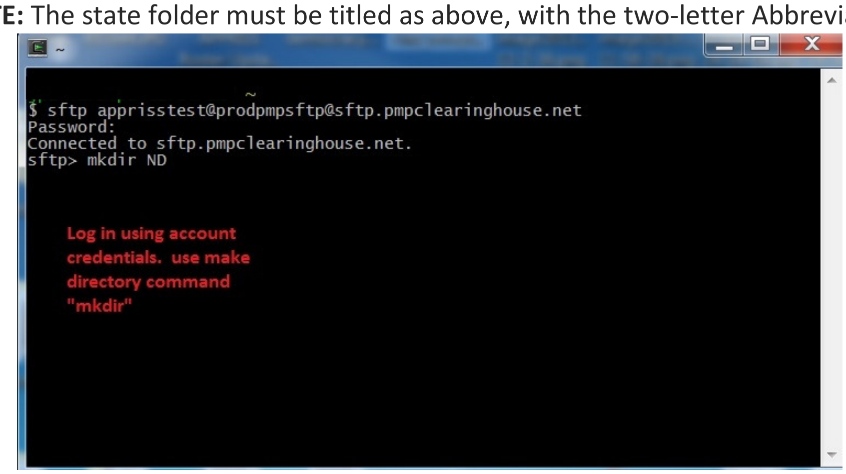
PMP Clearinghouse is the data repository for several states. As such, data submitted via sFTP must be placed in a state abbreviated folder so that it can be properly imported to the correct state. The creation of subfolders must be done outside of the PMP Clearinghouse website using 3rd party software such as a SSH Client or a command line utility. Files placed in the root/home directory of the sFTP server will not be imported. This will cause the dispensing entity to appear as non-compliant/delinquent.

The following are two methods by which to create state subfolders for sFTP submissions.

1. Via SSH client (ex: WinSCP/FileZilla)
   - Log into sFTP Account and create the directories needed under /homedir.



2. Via command prompt
   a. Log into sFTP Account using command prompt. Once logged in, type: “mkdir” (then the directory name you wish to create)
      Example: mkdir KS
   NOTE: The state folder must be titled as above, with the two-letter Abbreviation.



Pharmacy software will need to be configured to place files in the appropriate state folder when submitting. The software vendor may need be contacted for additional assistance on this process. **NOTE**: Capitalization of the abbreviated state folders names have no bearing on whether or not Clearinghouse processes the files, however, some pharmacy systems, especially *nix based systems, will require the exact case be used when specifying the target folder.

Public (SSH/RSA) Key Authentication

SSH key authentication is supported by PMP Clearinghouse. The generation of the key is outside the scope of this document, however, general guidelines about the key along with how to import/load the key is provided.

*PGP Encryption is not supported

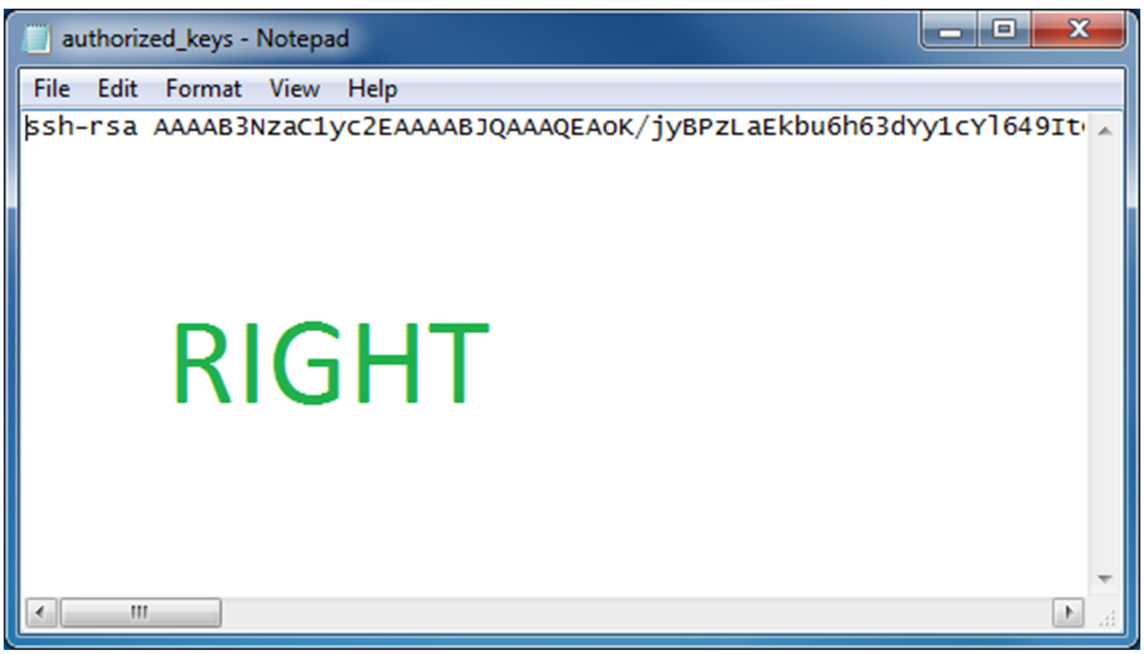
Supported Key Types:

- SSH-2 RSA 2048 bit length

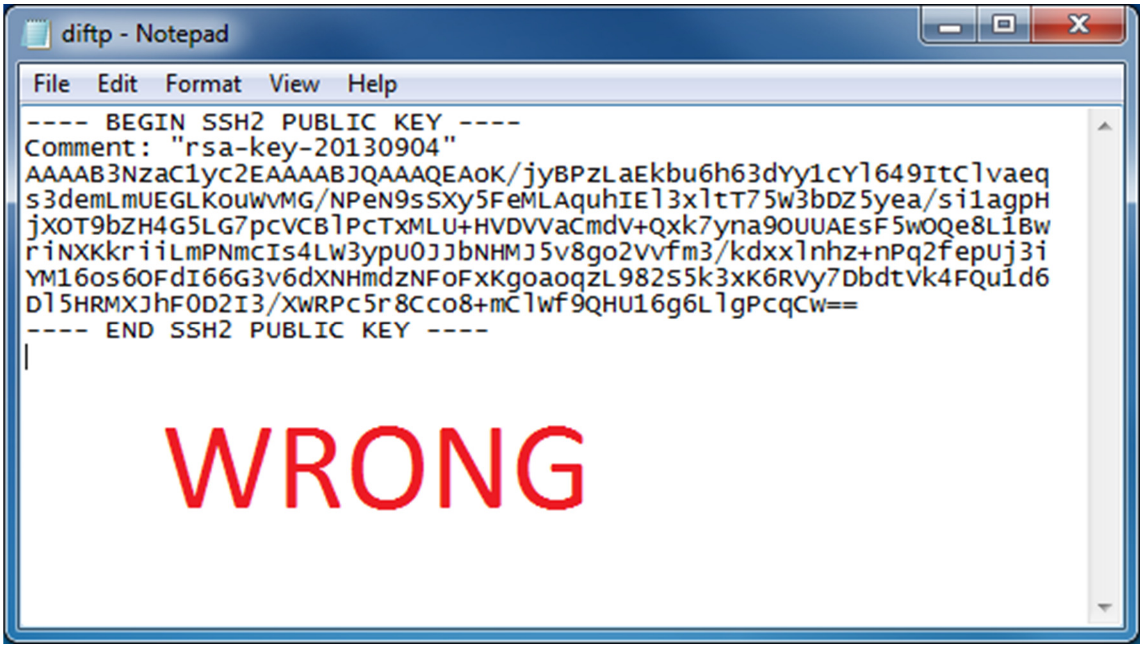
Unsupported Key Types:

- SSH-1 RSA and SSH-2 DSA keys are not supported.

Correct Public Key Format – If opened in a text editor, key should look like the following:



Incorrect Public Key Format – If opened in a text editor, key SHOULD NOT look like the following:



Once the key has been generated it should be named "**authorized_keys**"

NOTE: There is no file extension and an underscore between the words authorized and keys.

A .ssh subfolder needs to be created in the home directory of the of the sFTP account. The "authorized_keys" file must be placed in the .ssh folder. The creation of this folder follows the same process as creating a state subfolder. Refer to the State Subfolders section for steps on creating subfolders.