Bamboo Health

PMP AWARxE®

Data Submission Guide for Dispensers

Alabama Prescription Drug Monitoring Program

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1 Document Overview

This document serves as a training guide and support manual for dispensers of Schedule II through Schedule V controlled substances in Alabama who use Bamboo Health's PMP Clearinghouse repository to report their dispensations. It includes such topics as:

- Reporting requirements for dispensers in the State of Alabama
- Data file submission guidelines and methods
- Creating a PMP Clearinghouse account
- Creating a data file
- Uploading or reporting data
- Understanding and correcting errors

This guide is intended for use by all dispensers in the State of Alabama required to report the dispensing of reportable drugs.

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2 Data Collection and Tracking

2.1 Data Collection Requirements

This guide provides information regarding the Alabama Prescription Drug Monitoring Program (PDMP). The purpose of this program is to collect data on ALL Schedule II, III,IV, and V controlled substances dispensed in the State of Alabama or for patients residing in Alabama. This is made possible by the 2004 Alabama Legislature Act No.
2004-443, which states:

> *Act 2004-443, SB35, authorizes the Alabama Department of Public Health to establish, create, and maintain a controlled substances prescription database program and a controlled substances prescription database advisory committee.The act requires the reporting of controlled substance prescription data to the department by pharmacies, physicians, and other practitioners who are authorized to prescribe controlled substances and enumerates the data elements to be reported. The act lists persons and entities permitted access to the database, provides for the confidentiality of all information maintained in the database, and prescribes penalties for the unauthorized disclosure of information contained in the database. The act assesses a surcharge of $10 per year on the controlled substance registration certificate of each licensed medical, dental, podiatric, optometric, and veterinary medicine practitioner to be used by the Department of Public Health for the development, implementation, operation, and maintenance of the database. The act provides that the database will be operational within 12 months after the State Health Officer certifies that sufficient funds are available to implement and operate the database, and also provides that persons or entities required to report information to the database are not liable for any claim of damages as a result of such report.*

The data collected is used in the prevention of diversion, abuse, and misuse of controlled substances through the provision of education, early intervention, andenforcement of existing laws that govern the use of reportable drugs.

All dispensers of reportable drugs must meet the reporting requirements set forthby state law in a secure methodology and format. Information about reportable drug dispensing activities must be reported on regular intervals to the Alabama PDMP through the authorized data collection vendor, Bamboo Health, Inc. (Bamboo Health).

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2.2 Reporting Requirements

As of December 12, 2017, the Alabama PDMP requires pharmacies and dispensers toreport controlled substance dispensations to the Alabama PDMP via PMP Clearinghouse. Dispensations must be reported on a DAILY basis.

The laws and regulations for reporting to the Alabama PDMP are continuously subjected to amendments, and it is the responsibility of dispensers to be aware ofsuch updates as they are enacted and promulgated.

All dispensers of Schedule II–V controlled substance prescriptions are required to collectand report their dispensing information. Such reporting without individual authorizationby the patient is allowed under HIPAA, 45CFR § 164.512, paragraphs (a) and (d). The Alabama Department of Public Health is the state oversight agency, and acts as an agentof Alabama PDMP in the collection of this information.

Entities and practitioners that dispense Class II–V controlled substances must reportdata to the controlled substance database on a daily basis.

Entities and practitioners required to report daily include, but are not limited to, thefollowing:

- Licensed pharmacies
- Mail-order pharmacies or pharmacy benefit programs filling prescriptions for ordispensing reportable drugs to residents of Alabama
- Licensed physicians, dentists, podiatrists, and optometrists who dispense reportable drugs

The daily reporting requirement does not apply on days that the entity's orpractitioner's business is closed.

Certain elements are required by law to be reported. For details on these elements andothers of ASAP 4.2B, please refer to Appendix A: ASAP 4.2B Specifications.

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3 Accessing Clearinghouse

This chapter describes how to create your PMP Clearinghouse account and how to log in to thePMP Clearinghouse web portal.

3.1 Creating Your Account

Prior to submitting data, you must create an account. **If you are currently registered with the Bamboo Health PMP Clearinghouse system, you *do not* need to register for a new account—you will be able to add Alabama to your existing account for data submissions.** If you have an existing PMP Clearinghouse account, please refer to Adding PMPs to Your Upload Account to add PMPs to your account.

***Notes**:*

- *Data from multiple pharmacies can be uploaded in the same file. For example, chain pharmacies may send in one file containing reportable drugs dispensing information for all their pharmacies licensed in the State of Alabama. Therefore, chains with multiple stores need only to set up one account to upload a file.*
- *PMP Clearinghouse allows users to submit data through the web portal via manual entry (UCF) or upload of ASAP files. For users who prefer an encrypted transfer method, SFTP access is also available. You may set up your SFTP account during the account creation process.*
- *If you need to make changes to an existing PMP Clearinghouse upload account, please refer to Managing Your Upload Account.*

Perform the following steps to create an account:

1. Open an internet browser window and navigate to the PMP Clearinghouse AccountRegistration page located at https://pmpclearinghouse.net/registrations/new.

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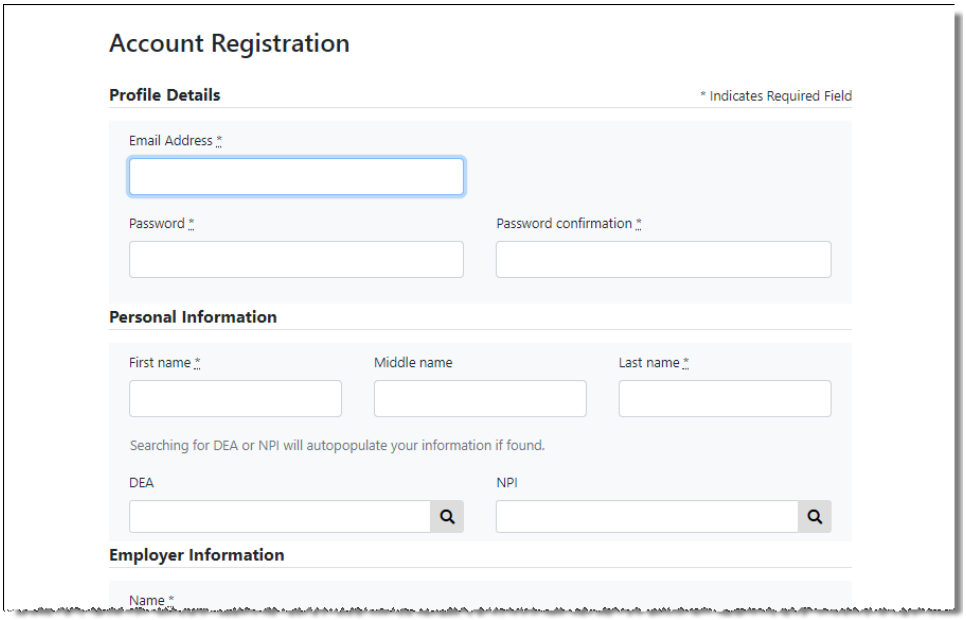
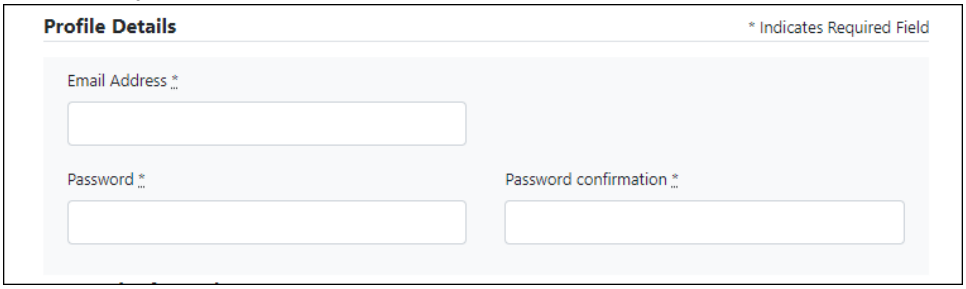


2. Complete your Profile Details.



a. Enter your current, valid email address in the **Email Address** field.

Note: *The email address you provide here will act as your username when logging into the PMP Clearinghouse system.*

b. Enter a password for your account in the **Password** field, then re-enter it in the **Password Confirmation** field. The password requirements are provided below.

Passwords must contain:

- *At least eight (8) characters*
- *One (1) uppercase letter*
- *One (1) lowercase letter*
- *One (1) number*
- *One (1) special character, such as !, @, #, $, etc.*

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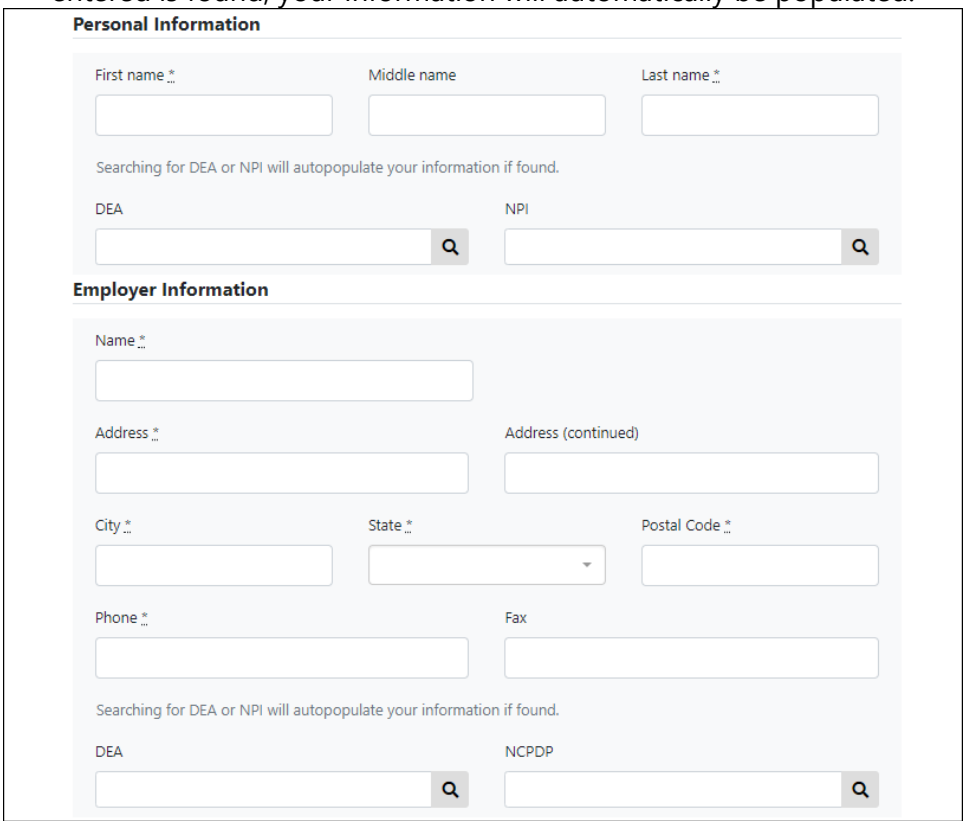
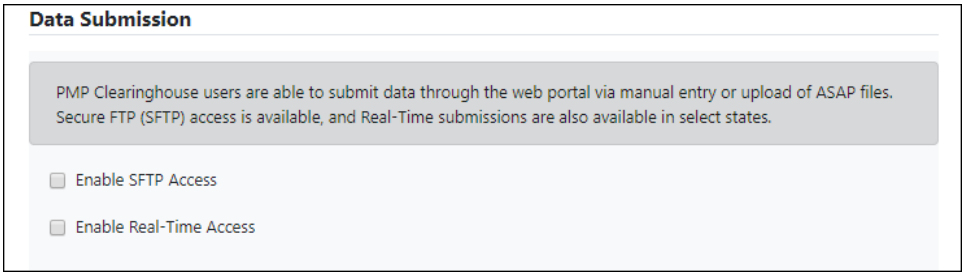
3. Complete your Personal and Employer information, noting the following:
   - Required fields are marked with a red asterisk (*).
   - You may be able to auto-populate your Personal and/or Employer informationby entering your (or your employer's) **DEA**, **NPI**, and/or **NCPDP** number, then clicking the search icon ( ). If the number you entered is found, your information will automatically be populated.



4. If secure file transfer protocol (SFTP) is required, complete the Data Submissionsection of the page.

***Notes**:*

- *If SFTP access is not required, you do not need to complete the Data Submission section and you may continue to step 5.*
- *You may add SFTP access to an existing account. Please refer to Adding SFTP Access to an Upload Account for complete instructions.*



   a. Click to select the **Enable SFTP Access** checkbox.

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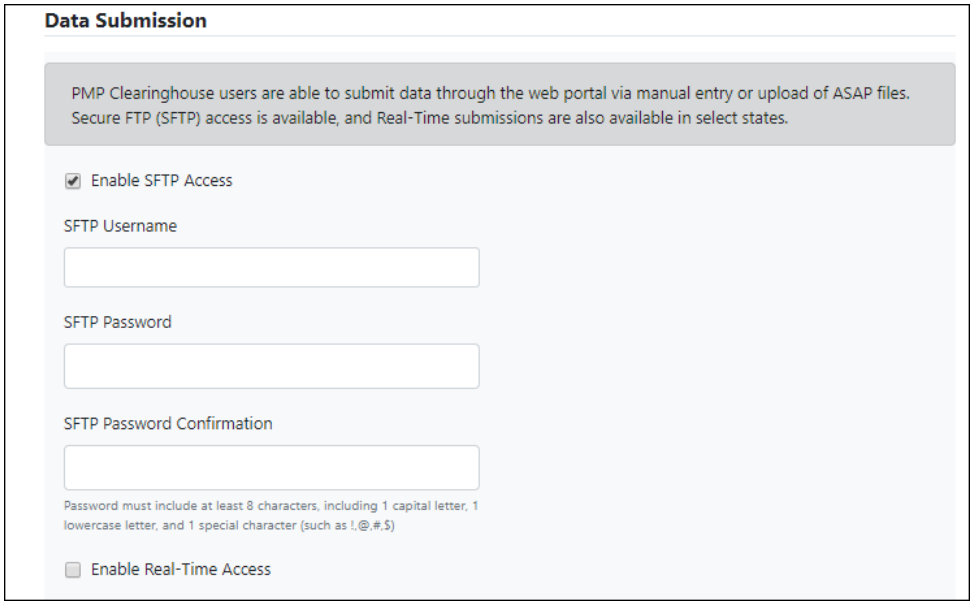
The SFTP access fields are displayed.



b. Your **SFTP Username** is automatically generated using the first five characters ofyour employer's name + your employer's phone number + @prodpmpsftp. For example, if you entered "Test" as your employer's name and "555-555-5555" asyour employer's phone number, your SFTP username would be *test5555555555@prodpmpsftp*.

c. Enter a password for your SFTP account in the **SFTP Password** field, then re- enter it in the **SFTP Password Confirmation** field. The password requirementsare provided below.

Passwords must contain:

- *At least eight (8) characters*
- *One (1) uppercase letter*
- *One (1) lowercase letter*
- *One (1) number*
- *One (1) special character, such as !, @, #, $, etc.*

This password will be input into the pharmacy software so that submissions canbe automated.

Notes:

- *This password can be the same as the one previously entered under Profile.*
- *Unlike the Profile password (i.e., your 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 C: SFTP Configuration.*

5. In the Submission Destinations section of the page, select the PMP(s) for which youwill be submitting data.

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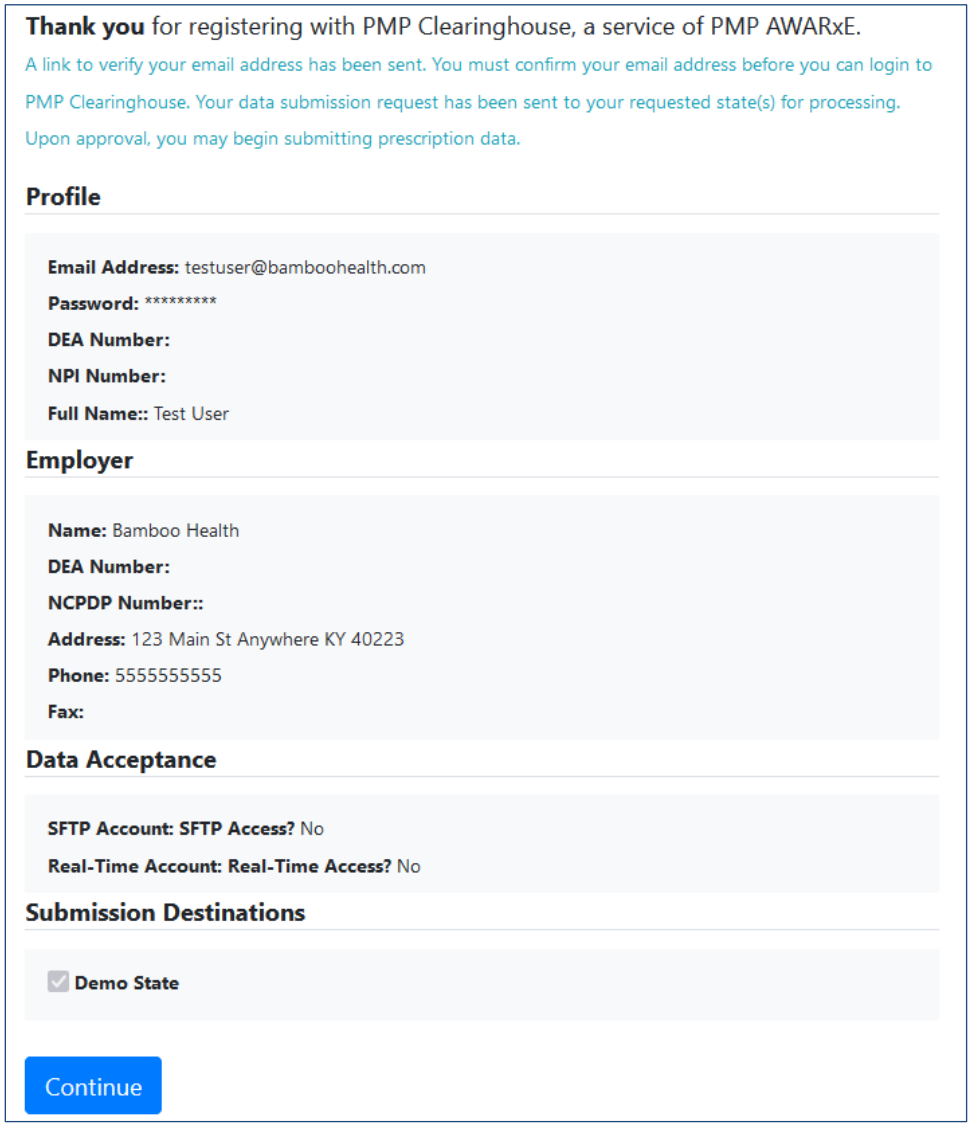
6. Click **Submit**.



The request is submitted to the PMP administrator for each of the PMPs you selected for data submission, and the Registration Information Overview page isdisplayed.

7. Click **Continue**.

The PMP Clearinghouse Login page is displayed. However, you will not be able to login until your account has been approved. Once the PMP administrator has approved your request, you will receive a welcome email instructing you to confirm your account. Follow the instructions in the email to confirm your account and beginsubmitting data to PMP AWARxE.

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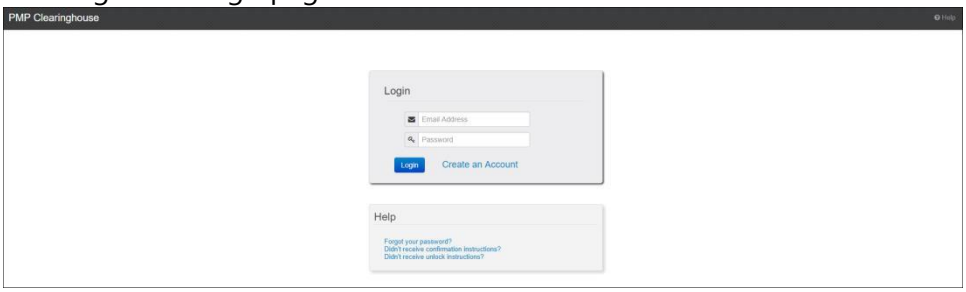
3.2 Logging In to PMP Clearinghouse

1. Open an internet browser window and navigate to the PMP Clearinghouse Loginpage located at



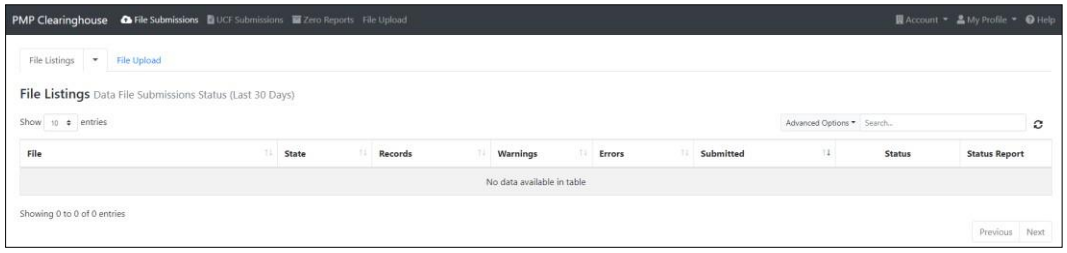
https://pmpclearinghouse.net/users/sign_in.

2. Enter the email address you used to create your account in the **Email Address** field.
3. Enter your password in the **Password** field.

Note: *If you have forgotten your password, have completed your registration but did not receive the account confirmation email, or your account has been locked and you did not receive the email with instructions for unlocking your account, please refer to the links in the Help section of the page. For detailed instructions on resetting your password, refer to Resetting Your Password.*

4. Click **Login**.

   The PMP Clearinghouse home page is displayed.



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4 Data Submission

This chapter provides information and instructions for submitting data to the PMPClearinghouse repository.

4.1 Timeline and Requirements

- Pharmacies and software vendors can establish submission accounts upon receipt ofthis guide. See Creating Your Account for more information. Communication with the pharmacy dispensing software vendor is suggested and may be required to establish the connection.
- You can begin submitting data to PMP Clearinghouse as soon as your account hasbeen created.
- As of December 12, 2017, dispensers are required to transmit their data using PMP Clearinghouse. Data should be reported in accordance with the guidelines outlinedunder Reporting Requirements.
- If a pharmacy does not dispense any reportable drugs for the preceding reporting period, it must file a zero report for that reporting period, or it will beconsidered noncompliant. See Zero Reports for additional details.
- If you are already registered with PMP Clearinghouse to report from another PMP,you do not need to create a new account. Please refer to Adding PMPs to Your Upload Account to add PMPs to your account.

4.2 Upload Specifications

Files should be in the ASAP 4.2B format, which was released in September 2011, as defined in Appendix A: ASAP 4.2B Specifications. Files for upload should be named in aunique 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.

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5 Data Delivery Methods

This chapter provides information about data delivery methods you can use to upload yourreportable drugs reporting data file(s) to PMP Clearinghouse.

For quick reference, you may click the desired hyperlink in the following table to view the step-by-step instructions for your chosen data delivery method:

Delivery Method	Page
Secure FTP	11
Web Portal Upload	11
Manual Entry (UCF)	13
Zero Reports	16

5.1 Secure FTP

If you are submitting data to PMP Clearinghouse using SFTP, you must configure individual subfolders for the PMP systems to which you are submitting data. These sub-folders must be created in the *homedir/directory* folder, which is where you are directed once authenticated, and **should be named using the PMP abbreviation (e.g., AK, DC, GA, KS, GU, PR, etc.).** Data files not submitted to a PMP subfolder will be requiredto have a manual PMP assignment made on the File Listings page. Please refer to PMP Subfolders for additional details on this process.

1. If you do not have a PMP Clearinghouse account, perform the steps in Creating YourAccount.

   Or

2. If you have a PMP Clearinghouse account but have not enabled SFTP access,perform the steps in Adding SFTP Access to an Upload Account.
3. Prepare the data file(s) for submission, using the ASAP specifications described inAppendix A: ASAP 4.2B Specifications.
4. SFTP the file to sftp://sftp.pmpclearinghouse.net.
5. When prompted, enter the username and password you created when setting upthe SFTP account.
6. Place the file in the appropriate state-abbreviated directory.
7. You can view the results of the transfer/upload on the Submissions page in PMPClearinghouse.

Note: *If you place the data file in the root directory and not a PMP subfolder, a symbol with a mouse over hint of "**Determine PMP**" is displayed on the **File Status** page, and you will be prompted to select a destination PMP to which the data should be sent.*

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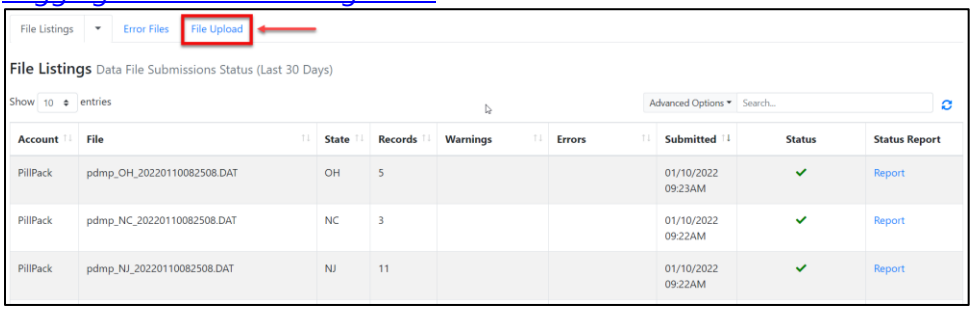
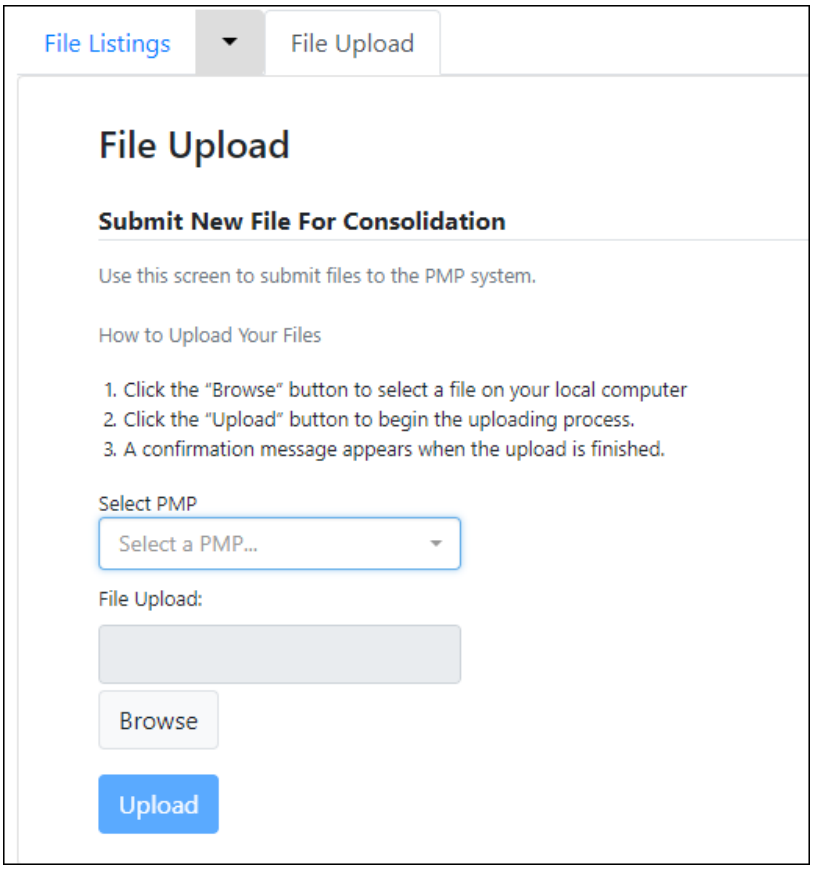
5.2 Web Portal Upload

1. If you do not have an account, perform the steps in Creating Your Account.
2. Prepare the data file(s) for submission, using the ASAP specifications described inAppendix A: ASAP 4.2B Specifications.
3. Logging in to PMP Clearinghouse.



4. From the home page, click the **File Upload** tab.

   The File Upload page is displayed.



5. Select the PMP to which you are submitting the file from the drop-down list inthe **Select PMP** field.
6. Click the **Browse** button, located next to the **File Upload** field, and select the file youcreated in step 2.
7. Click **Upload**.

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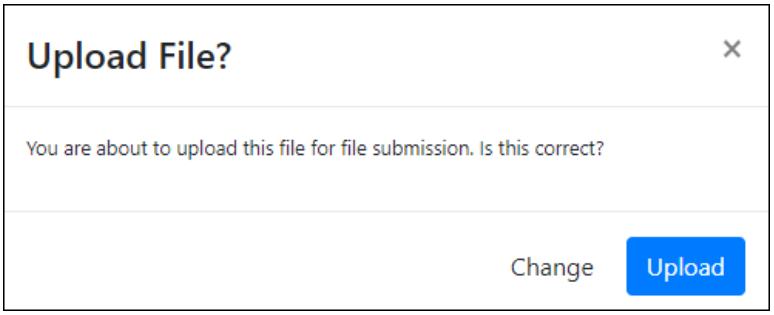
A message is displayed prompting you to confirm the submission.



8. Click **Upload** to continue with the file submission.

   Your file is uploaded, and you can view the results of the upload on the FileSubmissions page.

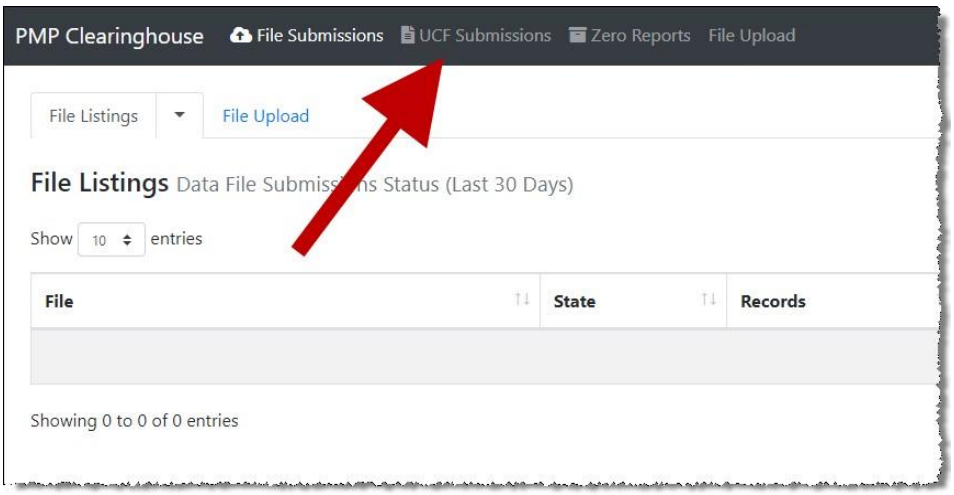
   Note: *When uploading a file, the file name must be unique. If the file name is not unique, a message is displayed indicating that the file name has already been taken.*

5.3 Manual Entry (UCF)

You can manually enter your prescription information into the PMP Clearinghouse system using the Universal Claim Form (UCF) within the PMP Clearinghouse web portal.This form allows you to enter patient, prescriber, dispenser, and prescription information.

Please refer to Reporting Requirements for the complete list of reporting requirements.

1. If you do not have an account, perform the steps in Creating Your Account.
2. Logging in to PMP Clearinghouse.
3. Click **UCF Submissions**.



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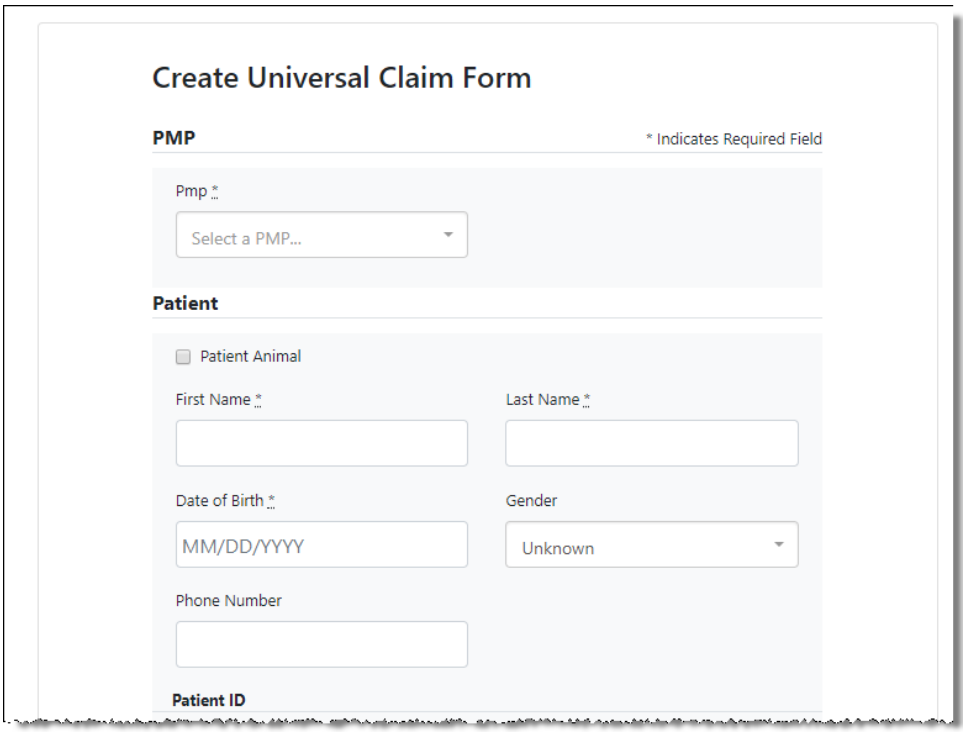
The UCF Listings page is displayed.

4. Click the **New Claim Form** tab, located at the top of the page.The Create Universal Claim Form page is displayed.



5. Select the PMP to which you are submitting data from the drop-down list inthe **Select a PMP** field.
6. Complete the required fields.

Notes:

- *An asterisk (*****) indicates a required field.*
- ***If you are entering a compound**, click the **Compound** checkbox in the Drug Information section of the page, complete the required fields for the first drug ingredient, then click **Add New** to add additional drug ingredients.*

7. Once you have completed all required fields, click **Save**.

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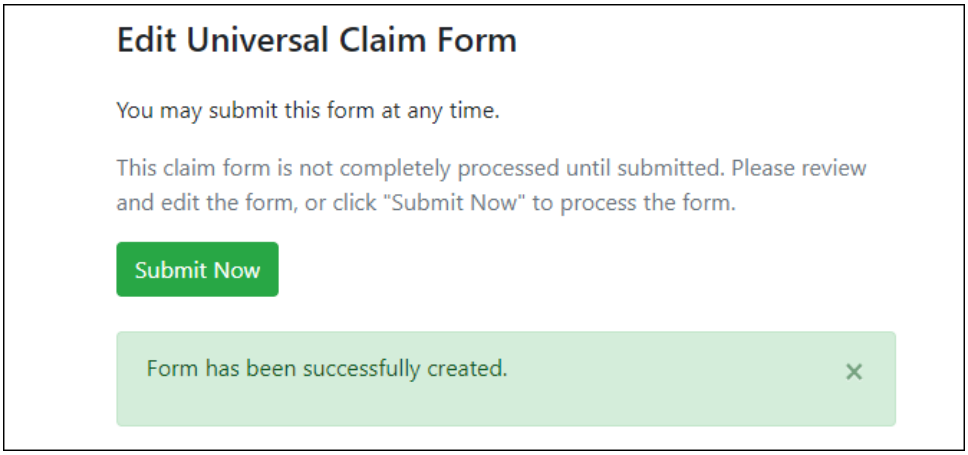
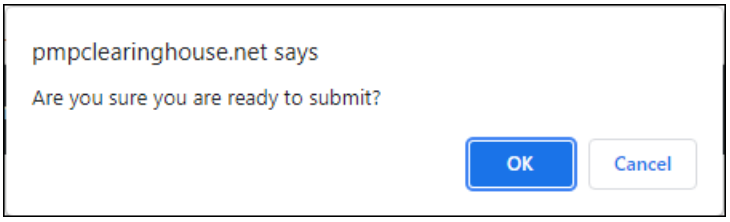
The **Submit Now** button is displayed at the top of the page.



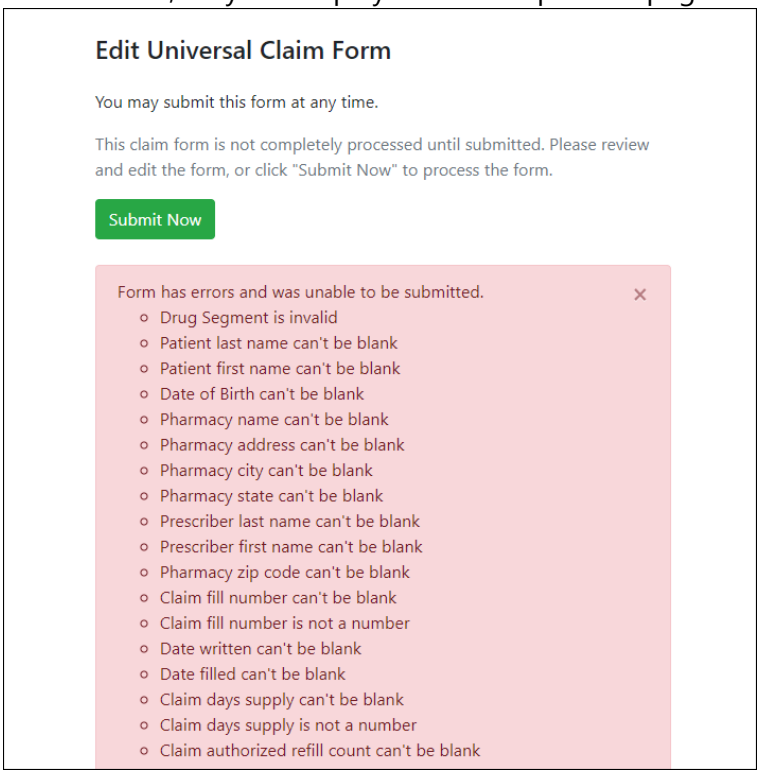
8. Click **Submit Now** to continue with the data submission process.

   A message is displayed prompting you to confirm the data submission.



9. Click **OK**.

   Your data will be validated upon submission. If there are any errors on the UCFform, they are displayed at the top of the page.



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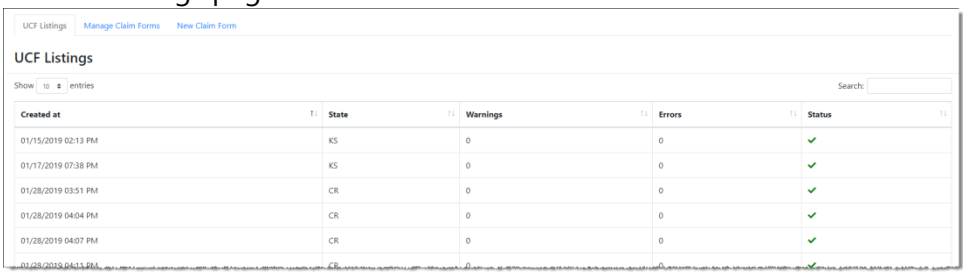
***Note:** If there are no errors, you are returned to the Submitted Claim Forms page and your report is listed there.*

10. Correct the indicated errors, then repeat steps 7–9.
11. Once your data has been successfully submitted, your report is listed on the UCFListings page.



5.4 Zero Reports

If you have no dispensations to report for the preceding reporting period, you mustreport this information to the Alabama PDMP.

You may submit your zero report through the PMP Clearinghouse web portal by following the steps below or via SFTP using the ASAP Standard for Zero Reports. For additional details on submitting via SFTP, please refer to Appendix B: ASAP Zero ReportSpecifications.

You may submit zero reports through the PMP Clearinghouse web portal using one ofthe following methods:

- Submit a Single-Click Zero Report
- Create a New Zero Report

5.4.1 Submit a Single-Click Zero Report

Single-click zero reporting allows you to create a profile for the pharmacy thatincludes its identifiers (e.g., DEA, NPI, NCPDP), so you do not have to enter it each time you submit a zero report.

To create a pharmacy profile and begin submitting single-click zero reports:

1. If you do not have an account, perform the steps in Creating Your Account.
2. Logging in to PMP Clearinghouse.
3. Click **Zero Reports**.

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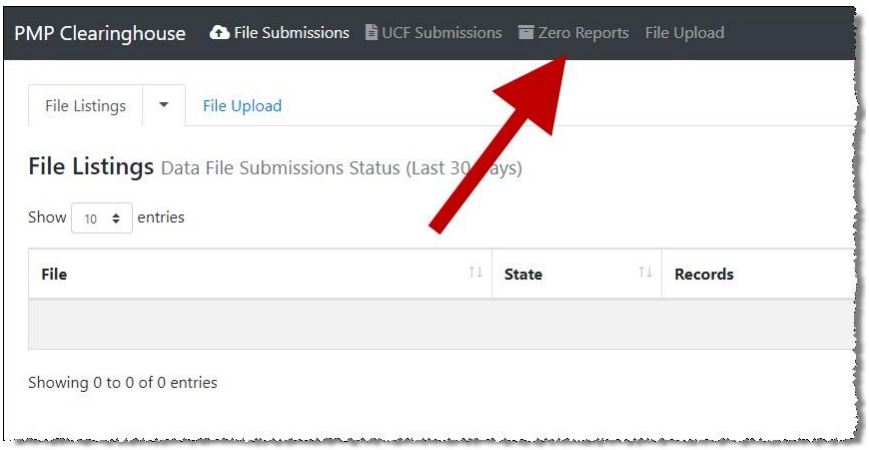
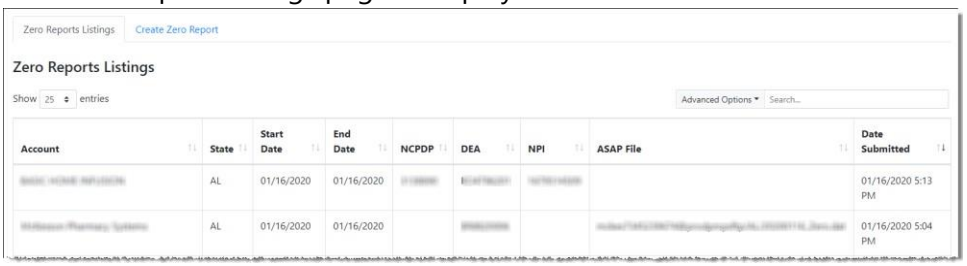
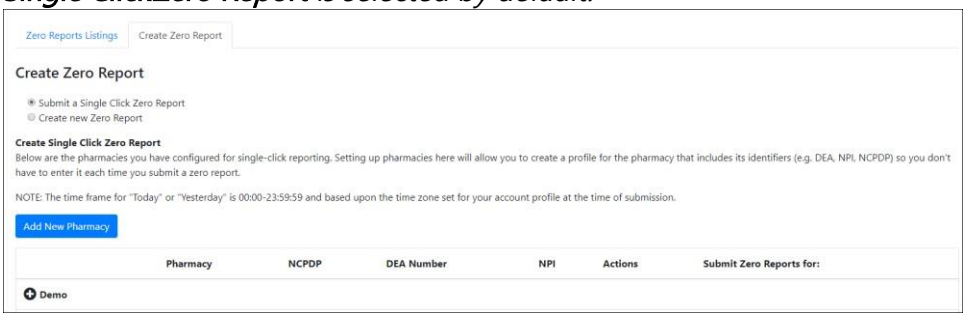


The Zero Report Listings page is displayed.



4. Click the **Create Zero Report** tab.

   The Create Zero Report page is displayed. *Note that **Submit a Single ClickZero Report** is selected by default.*



   - Any pharmacies you have already configured for single-click zero reporting are displayed at the bottom of the page. Continue to Step 10 to submit a zero report for those pharmacies.
   - If you have not configured your pharmacy for single-click zero reporting,continue to Step 5.

5. Click **Add New Pharmacy**.

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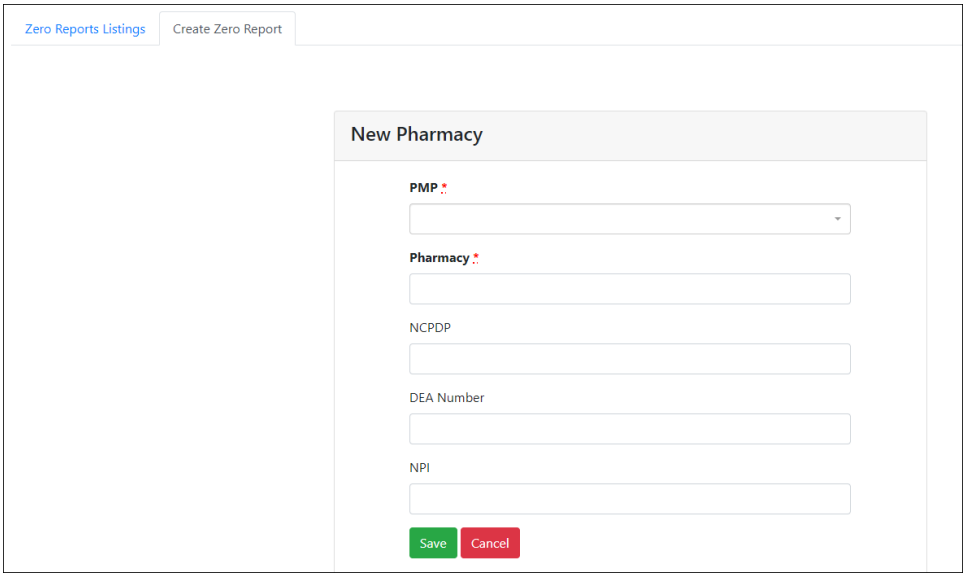
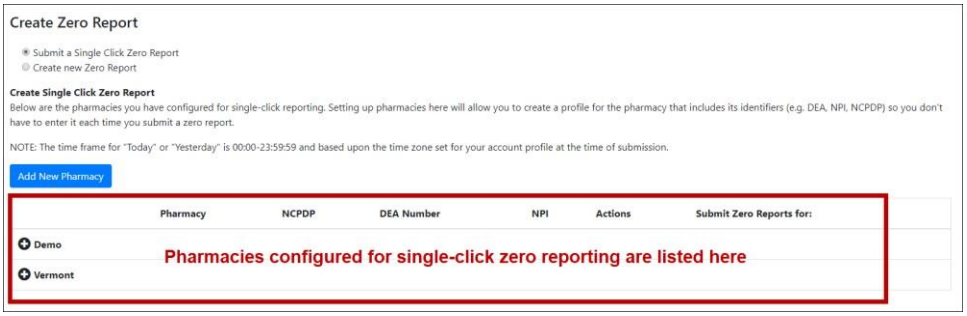
The New Pharmacy page is displayed.



6. Select the PMP for which you are submitting a zero report from the drop-down list in the **PMP** field.
7. Enter the pharmacy's name in the **Pharmacy** field.
8. Populate the **NCPDP**, **DEA Number**, and/or **NPI** fields as required by the PMP you selected in step 6. If any of these fields are required, a red asterisk(*) will be displayed next to that field once you have selected a PMP.
9. Click **Save**.

   The pharmacy is saved and will be listed under the drop-down for theselected PMP, which is located at the bottom of the



   page.

10. Click the plus sign ("+") next to the PMP for which you wish to submit a zero report.

    The list of pharmacies you have configured for single-click zero reporting forthat PMP is displayed. *Note that this page allows you to submit a zero reportfor the current date (**Today**) or the previous day (**Yesterday**).*

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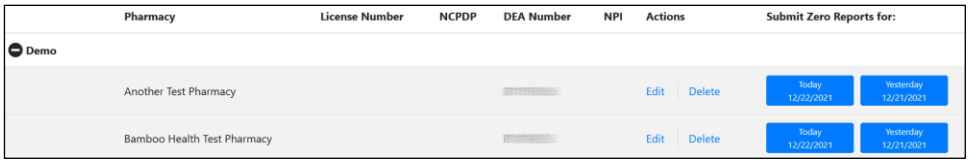
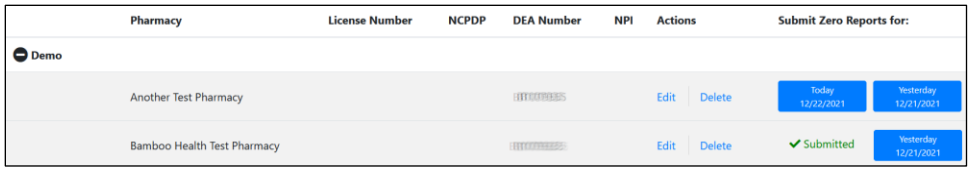


11. Click **Today** to submit a zero report for the current date;

    Or

12. Click **Yesterday** to submit a zero report for the previous date.

    Once the report is submitted, the submission is indicated on the screen, andthe zero report is displayed on the **Zero Report Listings** tab.

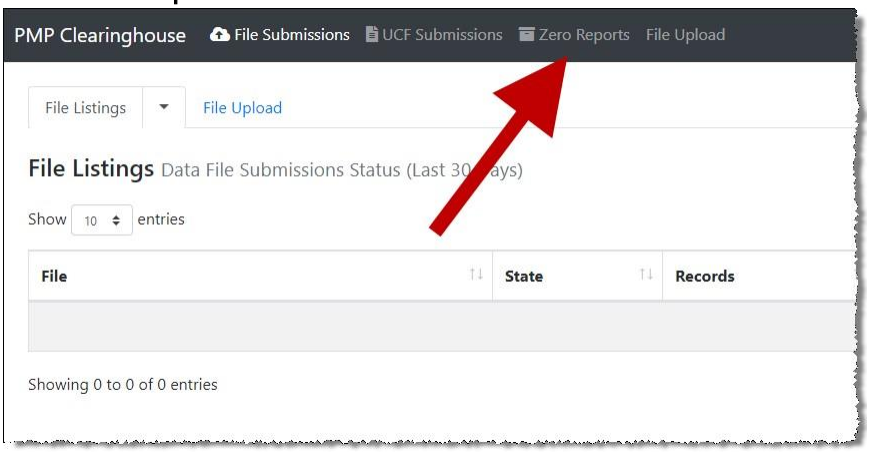


***Note:** You may edit or delete a pharmacy from this page.*

- *To edit a pharmacy, click **Edit** to display the Edit Pharmacy page and make any necessary changes. Refer to steps 6–9 for guidance on entering pharmacy information.*
- *To delete a pharmacy, click **Delete**. You will be prompted to confirm the deletion. Once you confirm the deletion, the pharmacy configuration will be removed.*

5.4.2 Create a New Zero Report

1. If you do not have an account, perform the steps in Creating Your Account.
2. Logging in to PMP Clearinghouse.
3. Click **Zero Reports**.



The Zero Report Listings page is displayed.

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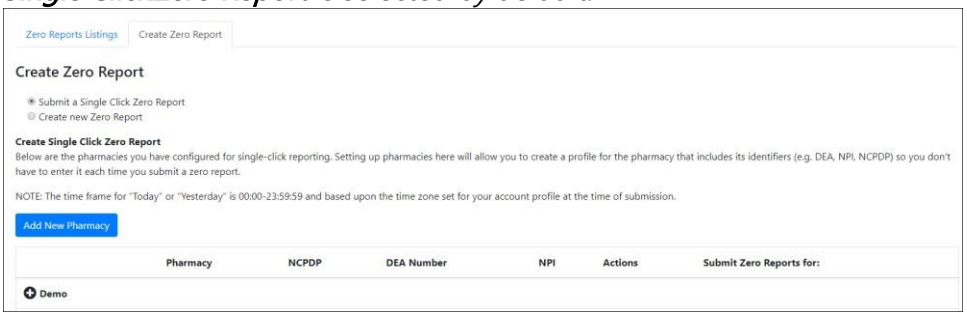
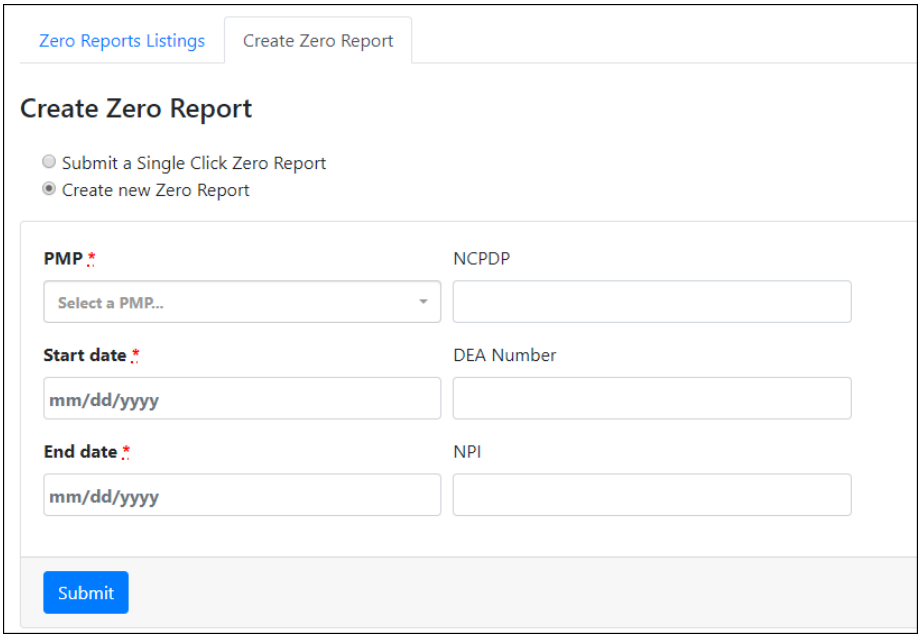
4. Click the **Create Zero Report** tab.

   The Create Zero Report page is displayed. *Note that **Submit a Single ClickZero Report** is selected by default.*



5. Click the button to select **Create new Zero Report**.The Create Zero Report page is displayed.



6. Select the PMP for which you are submitting a zero report from the drop-down list in the **PMP** field.
7. Enter the start date and end date for the zero report in the **Start date** and**End date** fields using the *MM/DD/YYYY* format. You may also select the dates from the calendar that is displayed when you click in these fields.

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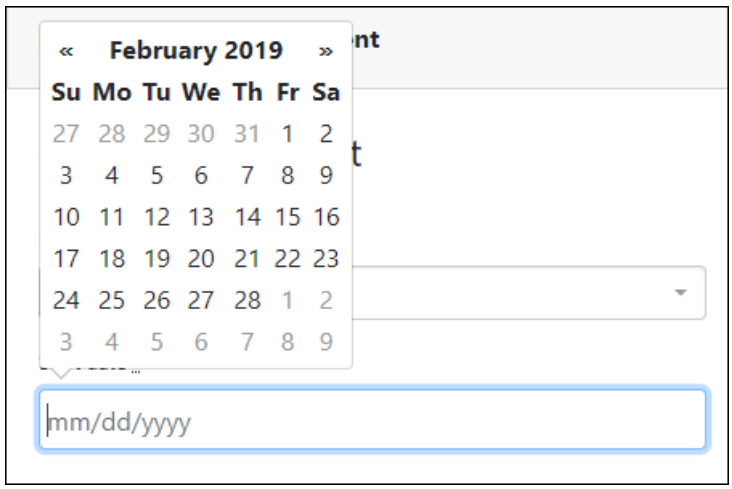

8. Enter your NCPDP, DEA, and/or NPI numbers, if required by your state's PMP.

   Note: *If any of these fields are required by your state's PMP, they will be marked with a red asterisk (*).*

9. Click **Submit**.

   Your zero report is submitted to PMP Clearinghouse and will be displayedon the **Zero Report Listings** tab.

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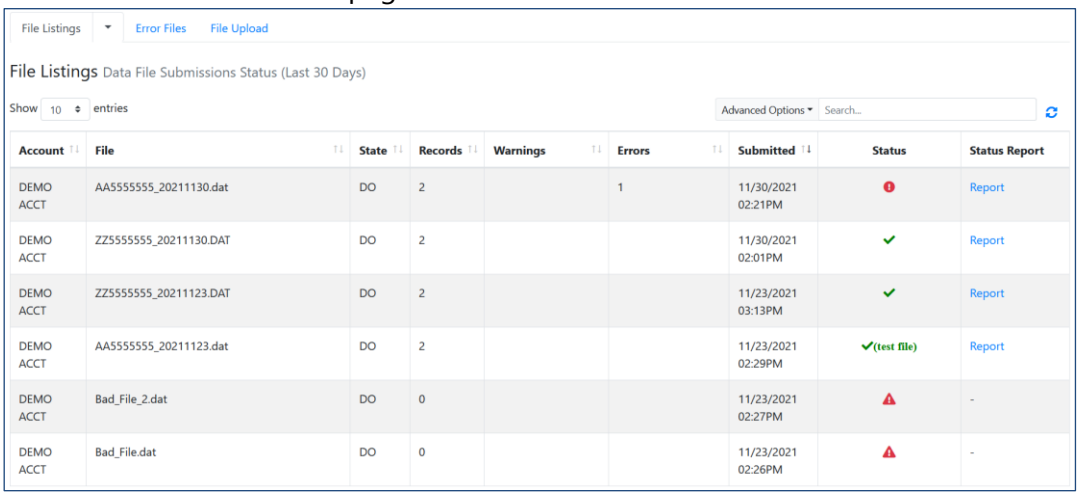
6 Data Compliance

This chapter describes how to view the status of your submitted data files and how to correcterrors.

6.1 File Listings

The File Listings page displays information extracted from the data files submitted to PMP Clearinghouse, including the file name, number of records identified within the data file, number of records that contain warnings, number of records that contain errors, and the date and time of submission. Click **File Submissions** to access this page.



- The **Status** column, located at the end of each row, displays the file status.
- The **Status Report** column, located next to the **Status** column, contains a link to thestatus report for that file. Please refer to File Status Report for more information onhow to read and interpret this report.

If a file contains errors, it will have a symbol with a mouse over hint of "**Pending Dispensation Error**" within the status column. You can click the error icon in the **Status** column to display the Error Correction page, which allows you to view the records containing errors (see View Records for more information). Please refer to Error Correction for instructions on how to correct errors.

If a file is unable to be parsed into the PMP Clearinghouse application, it will have an symbol with a mouse over hint of "**ASAP Errors**." Clicking the icon will display the detailed error, which indicates what element was missing or malformed. To correct these errors, 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 PMP Clearinghouse.

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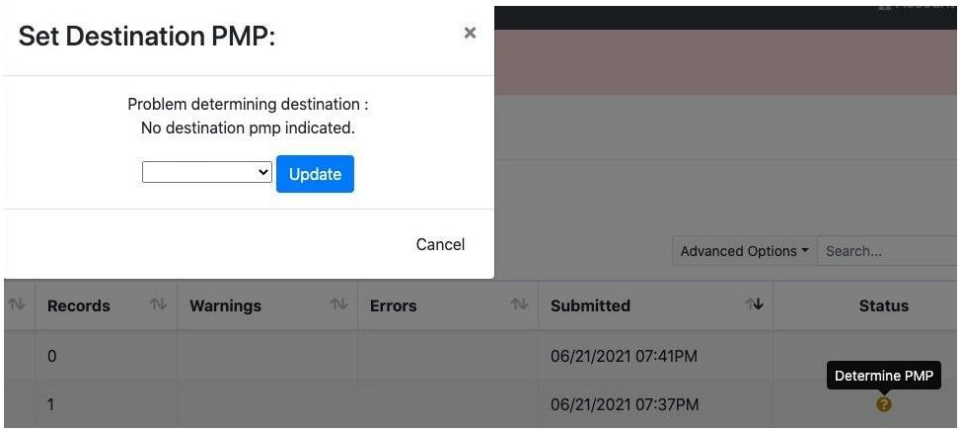
If you submitted a file via SFTP without using a PMP-specific sub-folder, the file will be displayed, and symbol will be displayed in the status column with a mouse over hint of "Determine PMP." Clicking the icon will prompt you to select a destination PMP to which the data file will be transferred.



If you submitted a zero report via file upload or SFTP that is malformed or missing information, the file will be displayed, and an exclamation mark icon inside a red triangle will be displayed in the status column. Hovering over the icon will display the "Invalid Zero Report" error. Clicking on the icon will display the detailed error message. To correct these errors, a new zero report must be submitted. Error example:

6.2 UCF Listings

The UCF Listings page displays information about the UCFs submitted to PMP Clearinghouse, including the number of warnings and errors. Click **UCF Submissions** toaccess this page.

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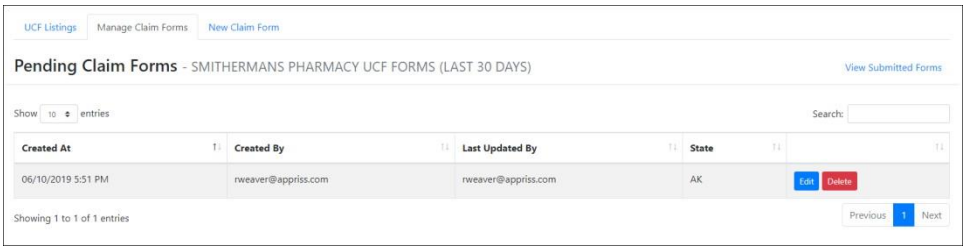
The **Status** column, located at the end of each row, displays the UCF's status. Data entered into the UCF is validated upon submission; therefore, successfully submitted UCFs should not contain errors. However, if you have attempted to submit a UCF with errors and did not immediately correct those errors and submit the record, you have 30 days to make updates to these records in Clearinghouse.

1. To view pending or incomplete submissions, click the **Manage Claim Forms** tab.

The Pending Claim Forms page is displayed.



2. Click **Edit** next to the form you wish to update.

***Note:** If it has been longer than 30 days, the **Edit** option will not be available. You must click **Delete** to delete the record and start over.*

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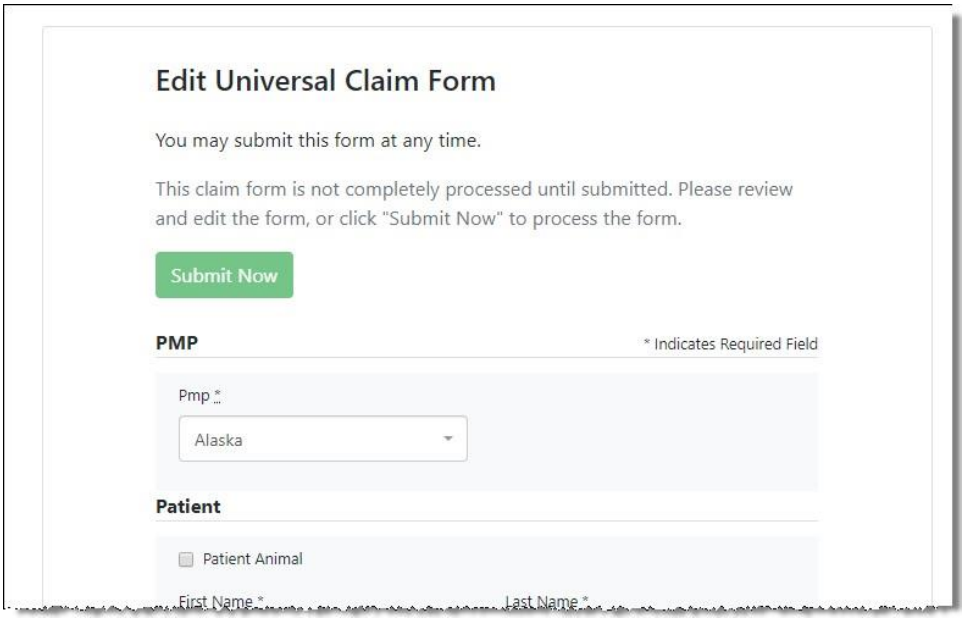
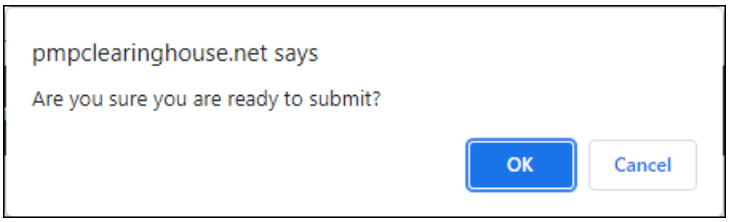
The Edit Universal Claim Form page is displayed.



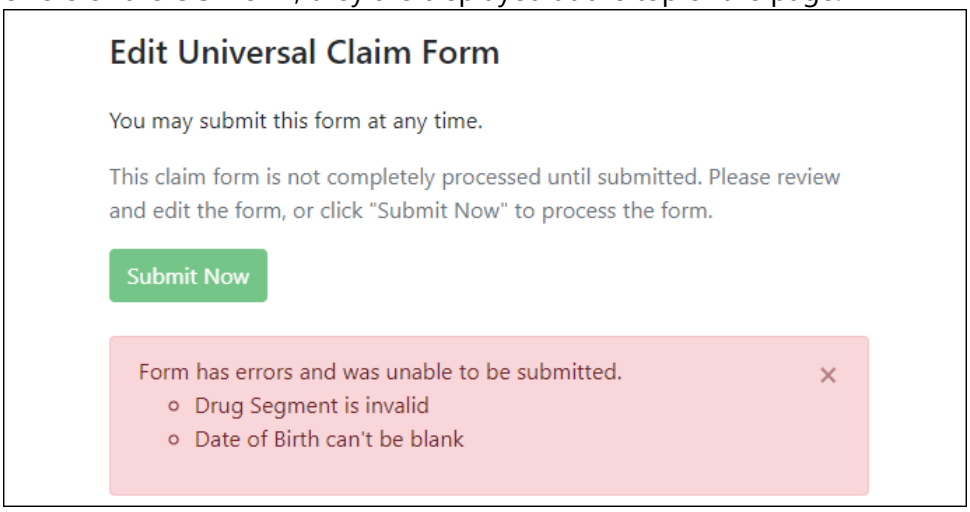
3. Make the necessary corrections or changes, and then click **Submit Now**, located atthe top of the page.

   A message is displayed prompting you to confirm the data submission.



4. Click **OK**.

   Your data will be validated upon submission. If there are any remaining errors onthe UCF form, they are displayed at the top of the page.



***Note:** If there are no errors, you are returned to the UCF Listings page and your report is listed there.*

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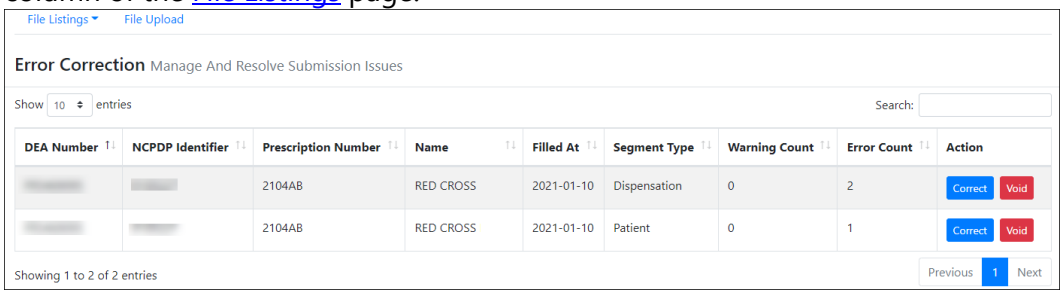
5. Correct the indicated errors, then repeat steps 3-4.
6. Once your data has been successfully submitted, your report is listed on the UCFListings page.

6.3 Error Correction Page

6.3.1 View Records with Errors

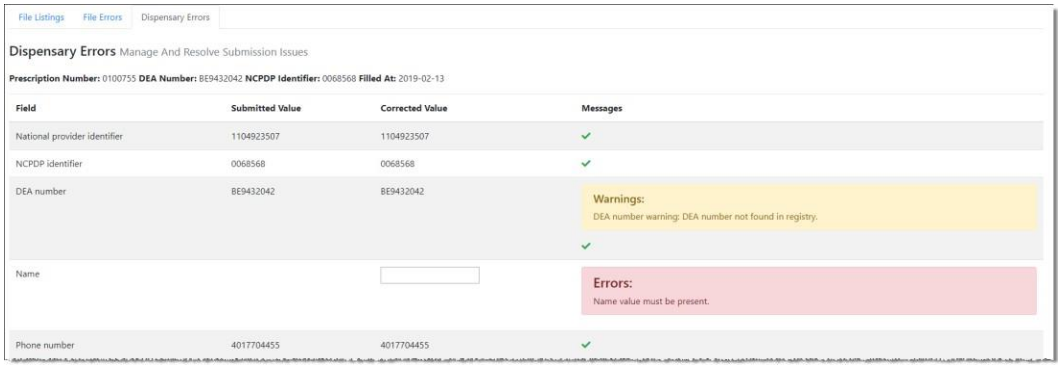
The Error Correction page displays more information about the records within a selected data file that need correcting, including **Prescription Number**, **SegmentType**, **Warning Count**, and **Error Count**. To access this page, click the "**Pending Dispensation Error**" message in the **Status** column of the File Listings page.



The **Correct** button, located at the end of each row, allows you to makecorrections to the record.

6.3.2 Error Correction via PMP Clearinghouse

Once you click **Correct** on the Error Correction page, the Errors page is displayed. This page displays detailed information about the records within a selected data file that need correcting, including all the fields contained withinthe record and the originally submitted value, and allows you to correct those records.



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- The **Corrected Value** column allows you to enter a new value to correct theerror.
- The **Message** column displays the relevant error message explaining whythe value entered in that field 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. In thiscase, you must submit a corrected file.

To correct records:

1. Identify the fields that require corrections. Fields containing errors arehighlighted in red, as shown in the screenshot above.
2. Enter the corrected value in the **Corrected Value** column.
3. Click **Submit**.

   The error is processed through the validation rules.

   a. If the changes pass the validation rules, the record is valid, and a message is displayed indicating that the errors have been corrected. TheFile Listings and Error Correction pages are also updated.

   b. If the changes fail the validation rules, a message is displayed indicatingthat there was a problem correcting the errors, and the **Message** column is updated with any new error message. Repeat steps 2–3 until the errors have been corrected and the file can be successfully submitted.

6.3.3 Error Correction via File Submission

The

4.2B standard requires a pharmacy to select an indicator in the **DSP01** (Reporting Status) field. These indicators allow you to submit new records, revise and resubmit records, and void (delete) erroneous records. These actionsare indicated by supplying one of the following values in the **DSP01** field:

- **00 New Record** – indicates a new record
- **01 Revise** – indicates that one or more data elements in a previously-submitted record have been revised
- **02 Void** – indicates that the original record should be removed

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To revise a record:

1. Create a record with the value *01* in the **DSP01** field.
2. Populate the following fields with the same information originally submittedin the erroneous record:
   - Dispensary identifier (e.g., DEA number)
   - Prescription number (DSP02)
   - Date filled (DSP05)
   - Refill number (DSP06)
   - Quantity (DSP09)

   Note: *If you need to revise any of the fields listed above, you must delete the original record and submit a new one with the correct information. Otherwise, a duplicate record will be created.*
3. Fill in all other data fields with the correct information. This information willoverride the original data linked to the fields referenced in step 2.
4. Submit the record.

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7 Email Reports

Email status reports are automatically sent to all users associated with a specific data submitteraccount. These reports are used to identify errors in files that have been submitted and to confirm zero report submissions. This chapter describes the status reports you may receive via email.

7.1 File Failed Report

You will receive the *File Failed Report* if a submitted file was not able to be parsed andwas not processed into PMP Clearinghouse. The report 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.

Note: *Failed files are not parsed into Clearinghouse and do not require a voided ASAP file to remove it from the system.*

An example *File Failed Report* is provided below.

```
SUBJ: Alabama 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: 4.2B
* 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.
```

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7.2 File Status Report

The *File Status Report* serves as notification that a data file is currently being parsed bythe PMP system.

This report identifies specific records in the submitted data file and returns identifyinginformation about the record, including specific errors identified during the validationprocess. It uses fixed-width columns and contains a summary section after the error listings. Each column contains a blank two-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

The *File Status Report* notifies you 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 existingwithin 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

  ***Note:** Records remaining to be processed will continue to be processed even after the status report is sent.*

  at the timethe report is sent out).
- **Records with errors**: The number of records that contain errors. These errors must be corrected for the record to be imported into the system. If a zero (0) is displayed,there are no errors in the data. Please refer to Error Correction for instructions on correcting errors.
- **Records with warnings**: The number of 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.

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- **Records imported with warnings**: The number of records with warnings that wereimported. If a record contains both warnings and errors, the errors must be corrected to be submitted to the system. Please refer to Error Correction for instructions on correcting errors.
- **Records imported without warnings**: The number of records without warnings thatwere imported.

Note: *The initial File Status Report is sent out two (2) hours after the file has been submitted to the system. Additional reports will be sent out every 24 hours if errors continue to be identified within a submitted data file.*

An example *File Status Report* is provided on the following page.

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SUBJ: Alabama

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: 4.2B
* 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: ###

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7.3 Zero Report Confirmation

You will receive a *Zero Report Confirmation* after successfully submitting a zero report to PMP Clearinghouse. This report displays the PMP to which the zero report was submitted, date range for the zero report, date the zero report was submitted to PMP Clearinghouse, and date the report was originally created.

An example *Zero Report Confirmation* is provided below.

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

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

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8 Managing Your Upload Account

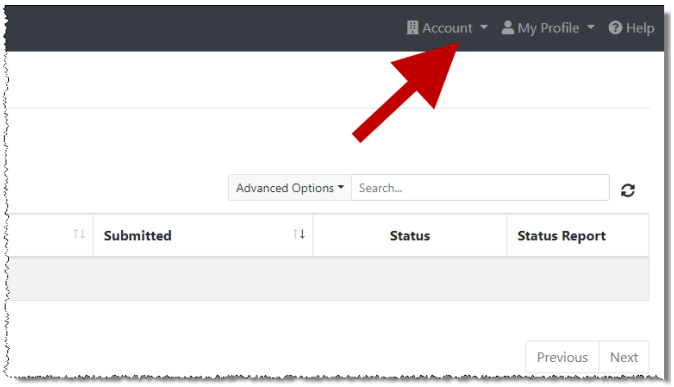
The **Account** menu option allows you to manage the information associated with your organization's upload account, including adding users, PMPs, and SFTP access to your account as well as editing your organization's account information.

Note: *This chapter contains information for managing the upload account with which your user account is associated. For information about editing and managing your individual user account, including how to change your password, please refer to Managing Your User Profile.*

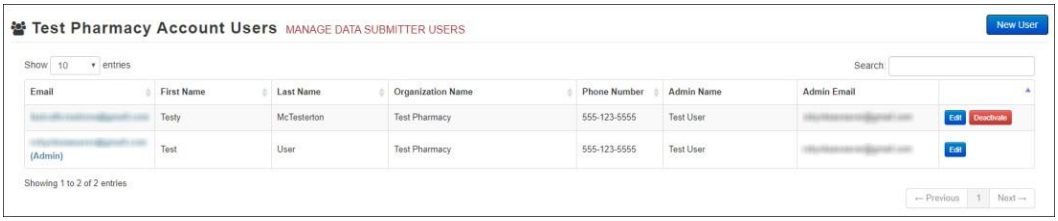
8.1 Adding Users to Your Upload Account

PMP Clearinghouse allows data submitters to add new users to the system who havethe same rights and access to submitting data and viewing file status. This practice allows you to create an account to be used for a backup individual.

1. Logging in to PMP Clearinghouse.
2. Click **Account**.



3. Select **Users** from the **Account** drop-down menu.The Account Users page is displayed.



4. Click **New User**, located in the top right corner of the page.

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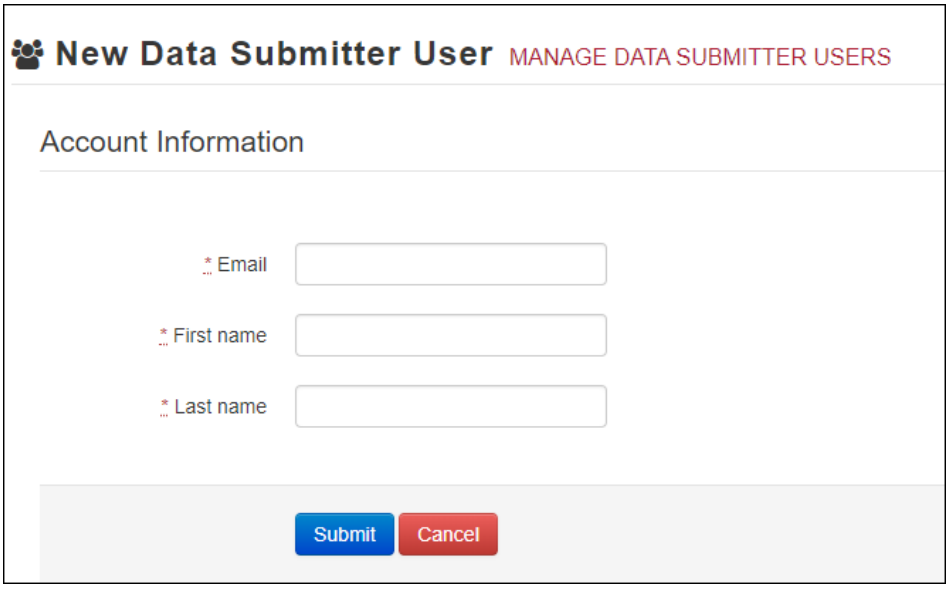
The New Data Submitter User page is displayed.

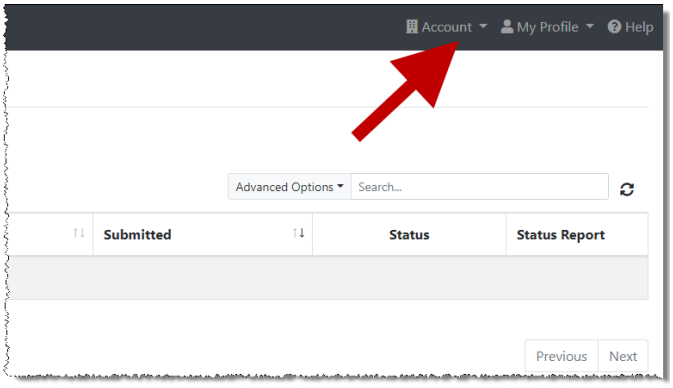


5. Enter the new data submitter's email address, first name, and last name in the appropriate fields. *Note that all fields are required.*
6. Click **Submit**.

   The user is added to the list of data submitters for your organization, and you arereturned to the Account Users page.
7. Please inform the new user of the account creation.
   a. The user will receive an email with a link for them to confirm their account.
   b. Once the account has been confirmed, the user will need to navigate to thePMP Clearinghouse Login page and click **Forgot your password?** to create apassword for their account and log in.
   c. Upon logging in, the user will be able to view all files submitted for your organization's upload account.

8.1.1 Changing Another User's Password

1. Logging in to PMP Clearinghouse.
2. Click **Account**.



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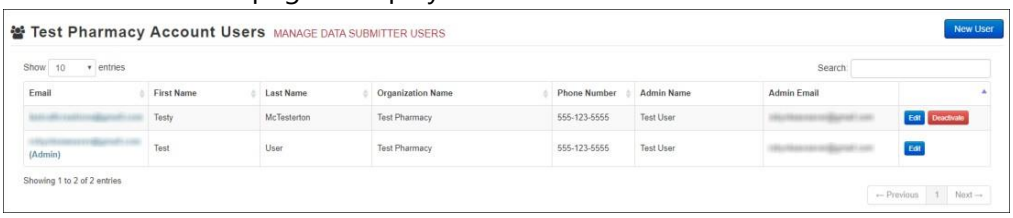
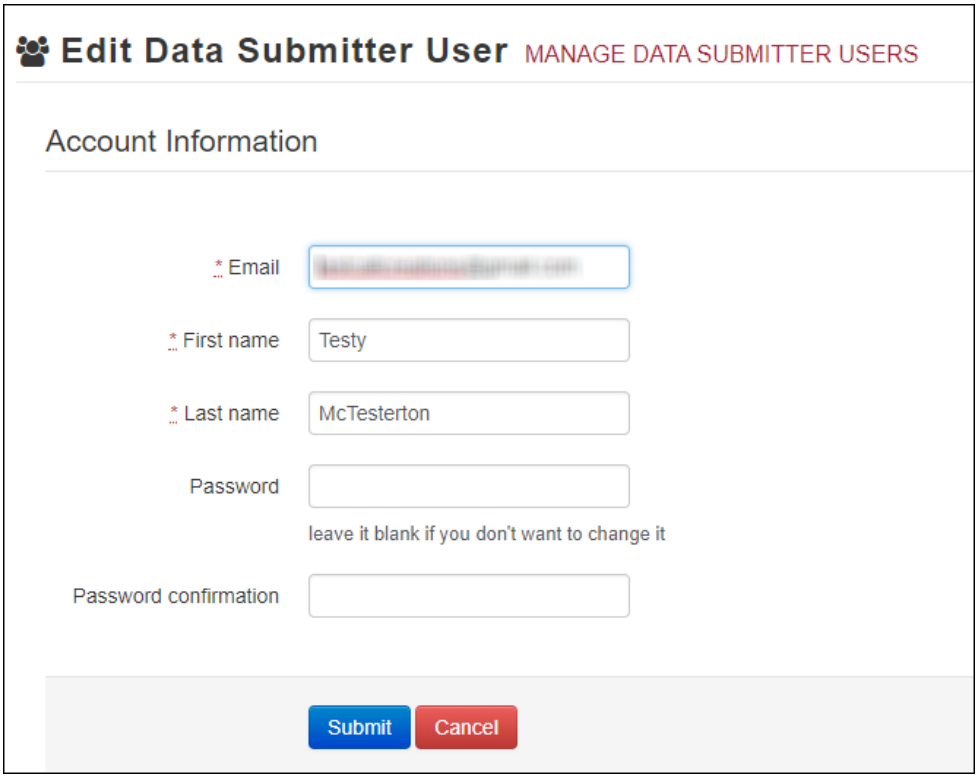
3. Select **Users** from the **Account** drop-down menu.

   The Account Users page is displayed.



4. Click the **Edit** button, located to the right of the user's information.The Edit Data Submitter User page is displayed.



5. Enter a new password for the user in the **Password** field, then re-enter it inthe **Password confirmation** field. The password requirements are providedbelow.

   Passwords must contain:

   - *At least eight (8) characters*
   - *One (1) uppercase letter*
   - *One (1) lowercase letter*
   - *One (1) number*
   - *One (1) special character, such as !, @, #, $, etc.*

6. Click **Submit**.

   The password is changed.

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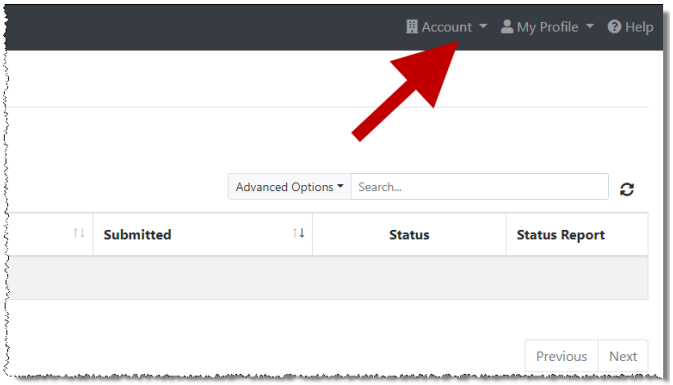
8.2 Adding PMPs to Your Upload Account

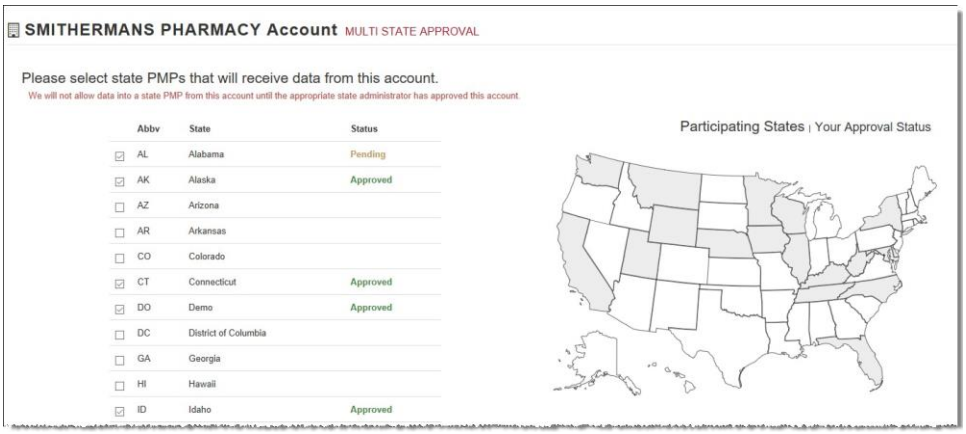
If your organization needs to submit data files to an additional PMP that uses PMPAWARxE, you can submit the request through PMP Clearinghouse.

1. Logging in to PMP Clearinghouse.
2. Click **Account**.



3. Select **Multi State Approval** from the **Account** drop-down menu.

   The **Multi State Approval** page is displayed. This page displays all PMPs currently using the PMP AWARxE system as well as your data sharing status with each PMP.



4. To request to submit data to another state or PMP, click to select the checkbox next to it.

   PMP Clearinghouse automatically saves your changes, and your request is submitted to the PMP administrator for review and approval. Once the request has been approved, the status for that state will change from "Pending" to "Approved," and you may begin submitting data to that PMP.

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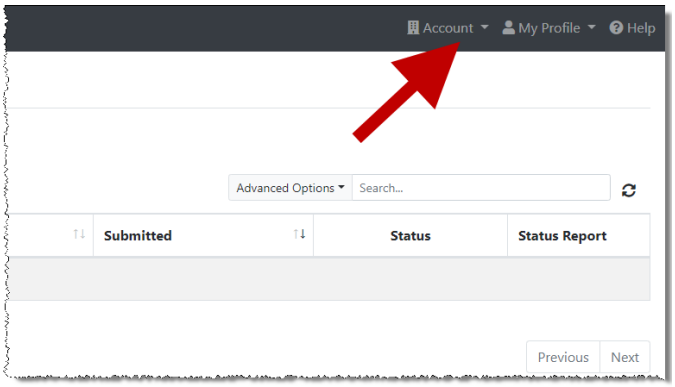
Notes:

- *If you are submitting data via SFTP, the file must be located in the proper sub-folder to ensure delivery to the desired PMP.*
- *To cancel data submission to a PMP, uncheck the box for that state. Note that if you need to submit data to that state again in the future, you will have to go through the approval process again.*

8.3 Adding SFTP Access to an Upload Account

If a registered upload account did not request an SFTP account during the account creation process, you can request one at any time using the **Account** menu option.

1. Logging in to PMP Clearinghouse.
2. Click **Account**.



3. Select **SFTP Details**.

   The SFTP Account page is displayed.

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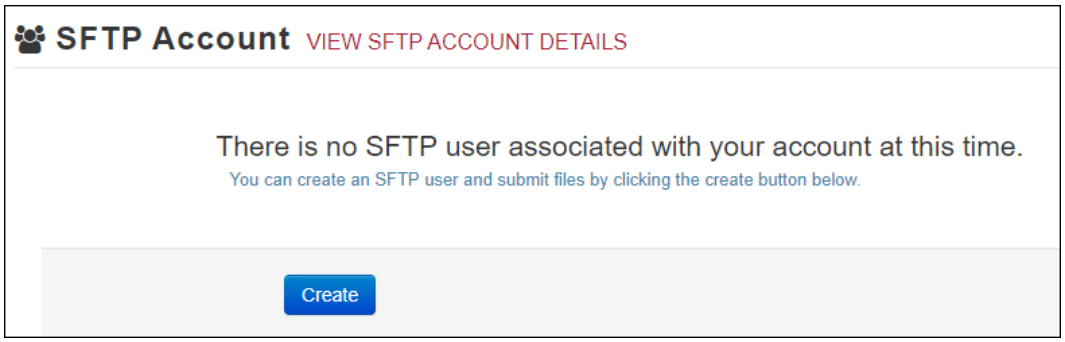
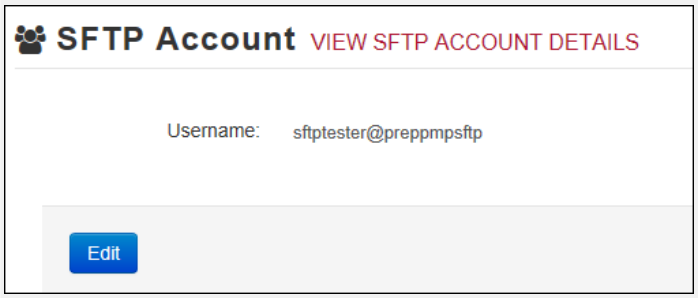


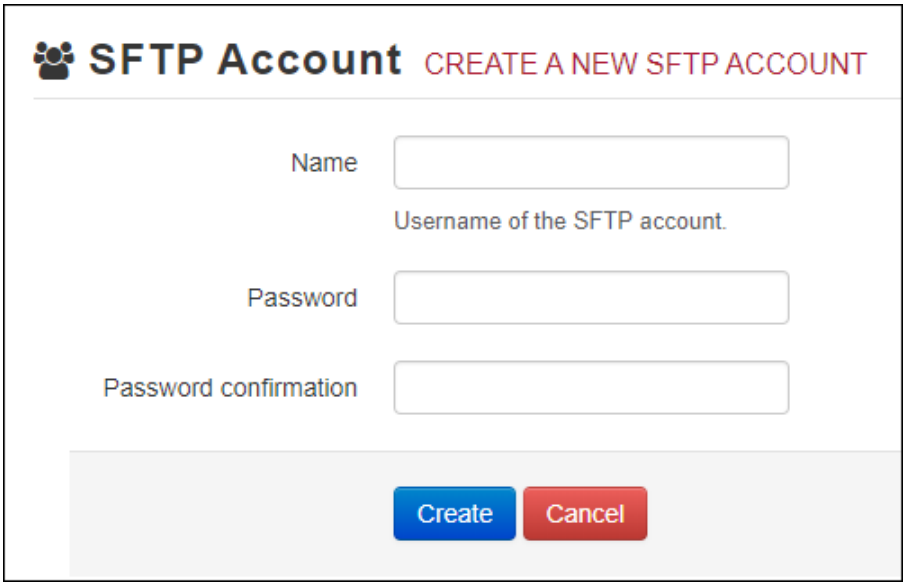
Note: *If an SFTP account already exists for the upload account, the username is displayed on the SFTP Account page.*



You cannot change the SFTP account username; however, you can update the password by clicking ***Edit****.*

4. Click **Create**.

   The Create a New SFTP Account page is displayed.



5. Enter a username for the account in the **Name** field.

   Notes:

   - *The username must contain a minimum of eight (8) characters.*
   - *Once the SFTP account has been created, you cannot change the username.*

6. Enter a password for the account in the **Password** field, then re-enter it in the **Password confirmation** field. The password requirements are as follows:

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***Passwords must contain**:*

- *At least eight (8) characters*
- *One (1) uppercase letter*
- *One (1) lowercase letter*
- *One (1) number*
- *One (1) special character, such as !, @, #, $, etc.*

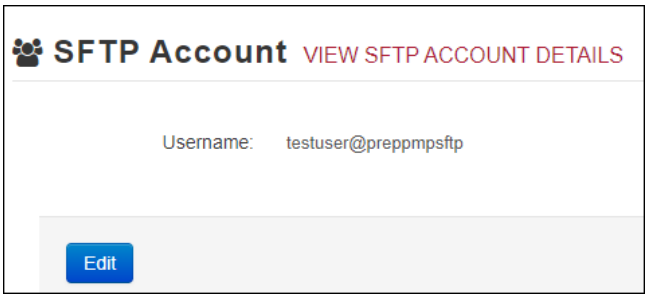
Once the account has been successfully created, this password will be input into thepharmacy software so that submissions can be automated.

Notes:

- *This password can be the same as the one used when the upload account was created.*
- *Unlike your Profile password (i.e., your 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 C: SFTP Configuration.*

7. Click **Create**.

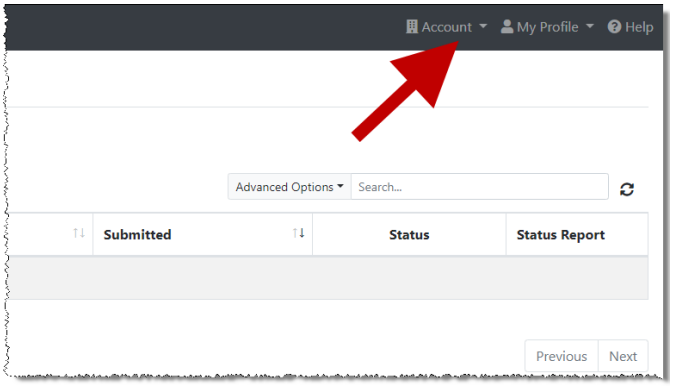
   The account is created, and the username is displayed.



8.4 Editing Your Upload Account

***Note:** This function only allows you to edit your organization's upload account. If you need to edit your individual profile information, please refer to Editing Your Profile.*

1. Logging in to PMP Clearinghouse.
2. Click **Account**.



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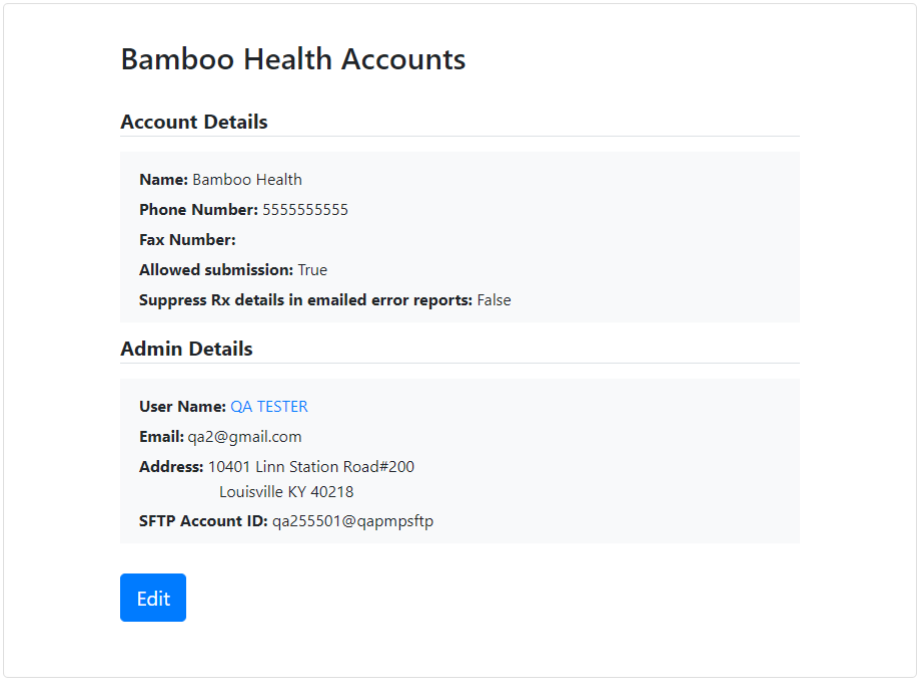
3. Select **Account Details**.
   The Account page is displayed as shown on the following page.



4. Click **Edit**.
   The Edit Account page is displayed.

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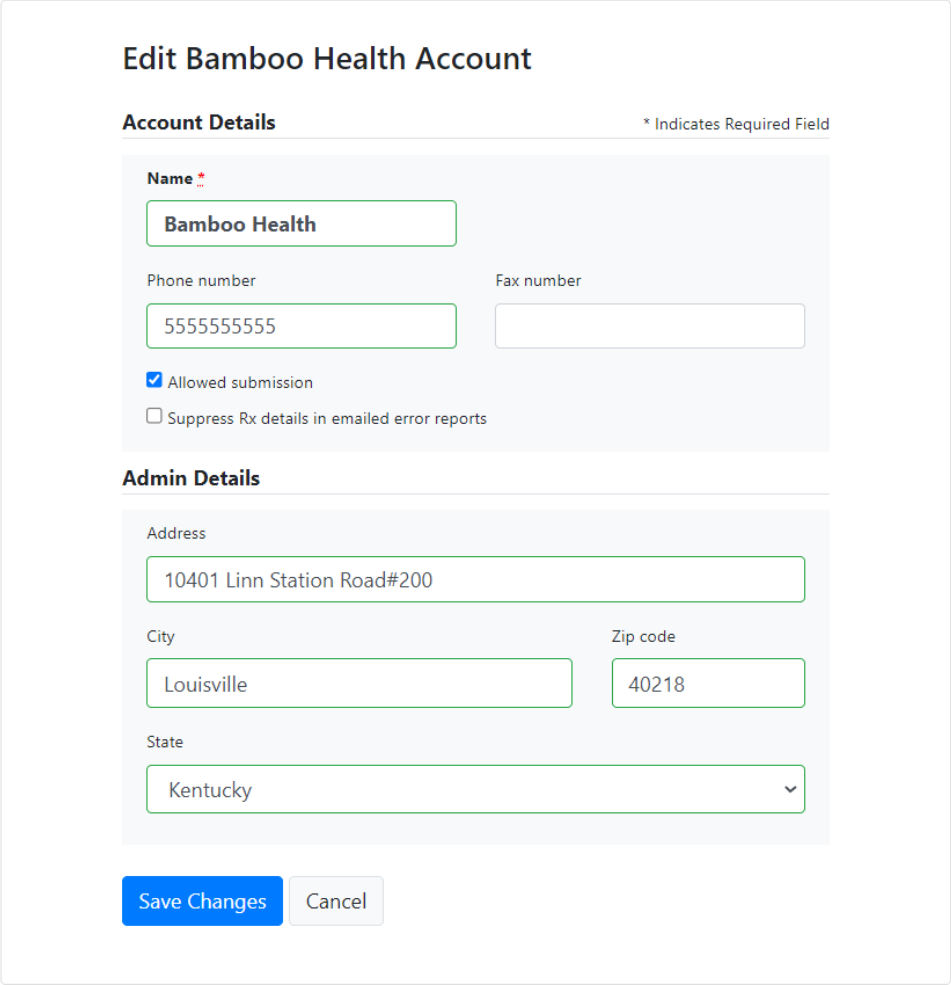

5. Update the information as necessary, then click **Submit**.

   The account information is updated.

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9 Managing Your User Profile

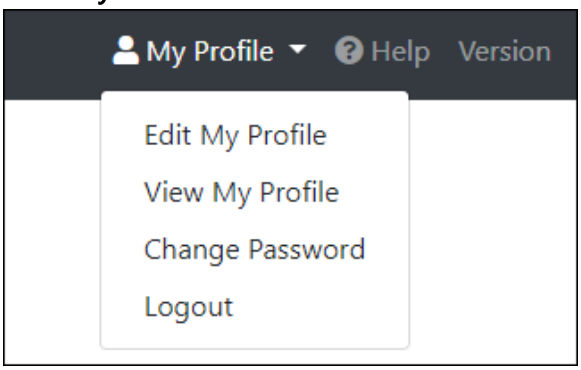
This chapter describes how to manage your individual user profile, including how to edit yourprofile and manage your password.

Note: *This chapter contains information for managing your individual user profile. For information about managing your organization's upload account, including how to add users, please refer to Managing Your Upload Account.*

9.1 Editing Your Profile

Note: *This function only allows you to edit your individual profile information. If you need to edit the Organization Information, please refer to Editing Your Upload Account.*

1. Logging in to PMP Clearinghouse.
2. Click **My Profile**.



3. Select **Edit My Profile**.

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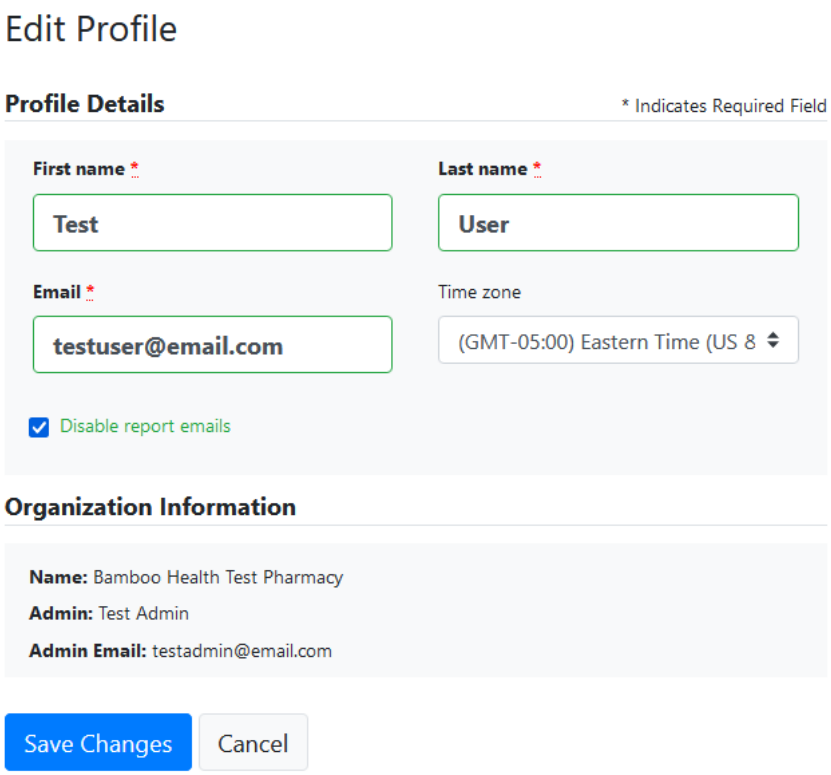


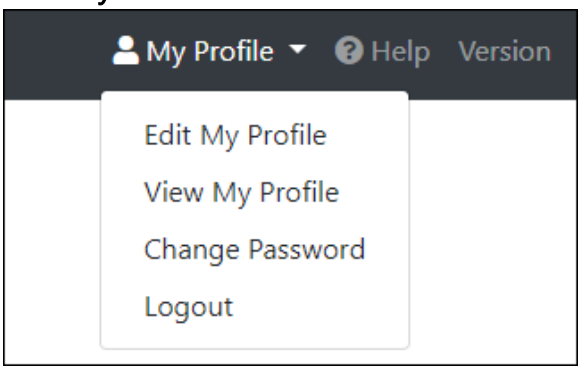
4. Update your information as necessary, then click **Submit**.

   Your changes are saved, and your updated profile is displayed.

9.2 Changing Your Password

Note: *Clearinghouse passwords expire every 90 days. You can use this function to proactively change your password before it expires. If your password has already expired, or you have forgotten your password, navigate to the PMP Clearinghouse Login page and click* ***Forgot your password?*** *to reset it. Please refer to Resetting Your Password for more information.*

1. Logging in to PMP Clearinghouse.
2. Click **My Profile**.



3. Select **Change Password**.

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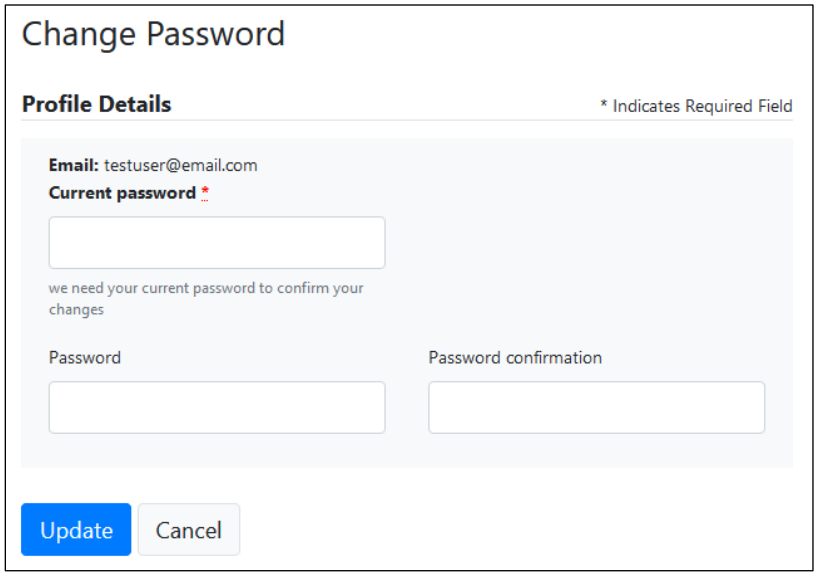


4. Enter your current password in the **Current Password** field.
5. Enter your new password in the **Password** field, then reenter it in the **Password confirmation** field. The password requirements are as follows:

Passwords must contain:

- *At least eight (8) characters*
- *One (1) uppercase letter*
- *One (1) lowercase letter*
- *One (1) number*
- *One (1) special character, such as !, @, #, $, etc.*

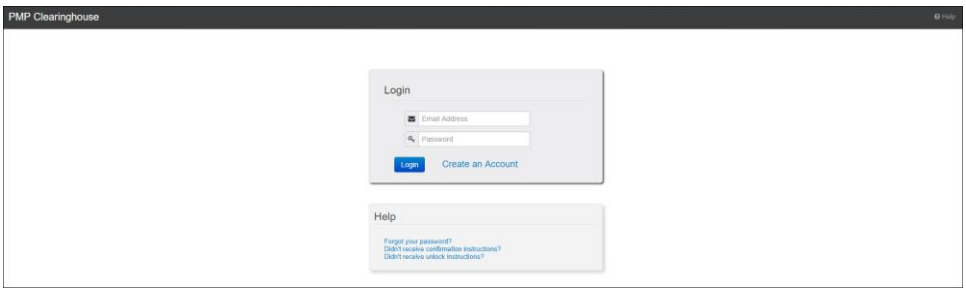
6. Click **Update**.

   Your password is updated, and you will use it the next time you log in to PMPClearinghouse.

9.3 Resetting Your Password

If you have forgotten your password or your password has expired, perform thefollowing steps to reset it.

1. Open an internet browser window and navigate to the PMP Clearinghouse Loginpage located at https://pmpclearinghouse.net/users/sign_in.



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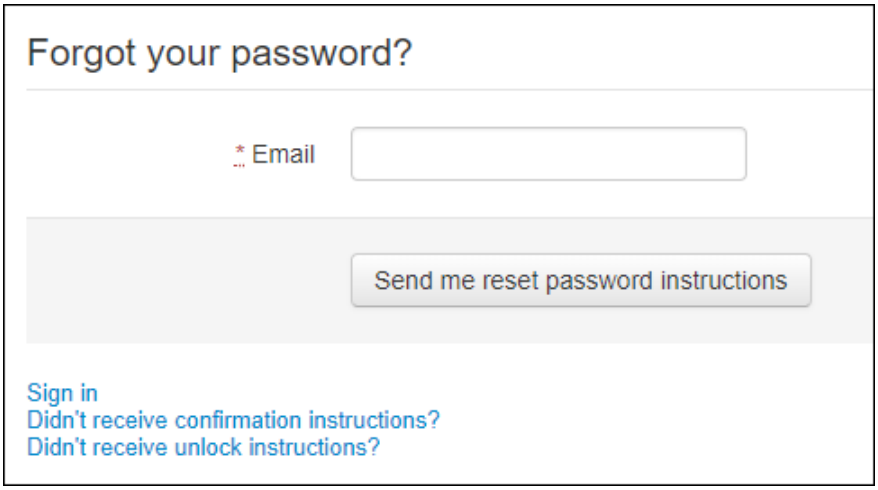
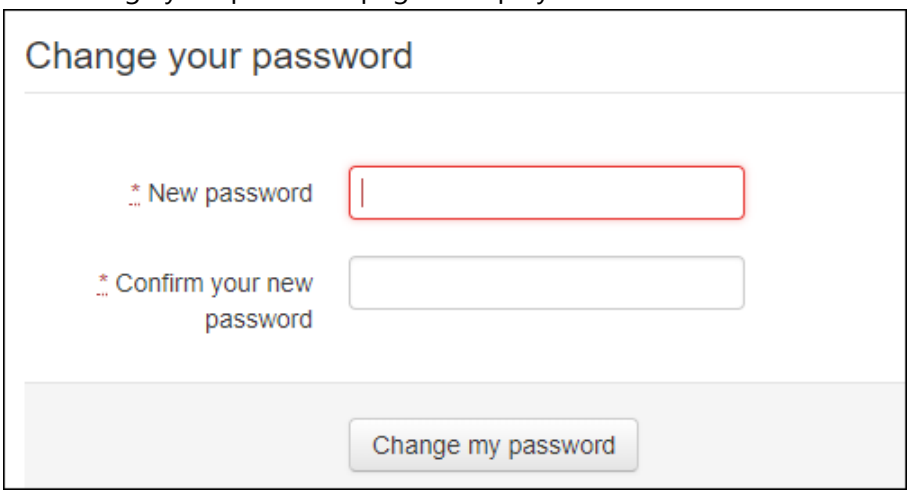
2. Click the **Forgot your password?** link, located in the Help section of the page.The Forgot your password page is displayed.



3. Enter the email address associated with your user account, then click **Send me resetpassword instructions**.
4. Once you receive the reset password email, click the **Change my password** linkwithin the email.

   The Change your password page is displayed.



5. Enter your new password in the **New password** field, then re-enter it in the **Confirmyour new password** field. The password requirements are as follows:

   Passwords must contain:

   - *At least eight (8) characters*
   - *One (1) uppercase letter*
   - *One (1) lowercase letter*
   - *One (1) number*
   - *One (1) special character, such as !, @, #, $, etc.*

6. Click **Change my password**.

   Your password is changed, and you can now use it to log in to PMP Clearinghouse.

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10 Assistance and Support

10.1 Technical Assistance

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

- Contact Bamboo Health at 1-855-925-4767;

  OR
- Create a support request at the following URL:

  https://pmpclearinghouse.zendesk.com/hc/en-us/

Technical assistance is available Monday through Friday from 8:00 a.m. to 5:00 p.m.CT.

10.2 Administrative Assistance

If you have non-technical questions regarding the Alabama PDMP, please contact:Alabama Department of Public Health
Bureau of Professional and Support
Services201 Monroe Street, Suite 1010
Montgomery, AL 36104

Phone: 334-206-5226
Fax: 334-206-3749
E-mail: pdmp@adph.state.al.us

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11 Document Information

11.1 Disclaimer

Bamboo Health has made every effort to ensure the accuracy of the information in thisdocument at the time of printing; however, information is subject to change.

11.2 Change Log

Version	Date	Chapter/Section	Change Made
1.0	07/21/2017	N/A	Initial draft
1.1	08/08/2017	Global	Added verbiage per state request
1.2	08/11/2017	Appendix B	Added language to clarify use oftildes in TH09
1.3	10/09/2017	Reporting Requirements	Updated effective date
		Timeline and Requirements	Updated dates pharmacies and software vendors may establish submission accounts
1.4	11/09/2017	Global	Updated verbiage per state request
			Updated screen shot relating to which states the registering user willbe submitting data for
		Administrative Assistance	Updated contact information
		Appendix A	Added supplementary language toPAT02
		Appendix B	Added supplementary language PRE,CDI, AIR, and TP segments
1.5	11/21/2017	Table of Contents	Removed headers for noncomplianceand exemptions
2.0	06/12/2019	Global	Updated to current documenttemplate
2.1	01/22/2020	5.4/Zero Reports	Separated into two sections (Submit a Single-Click Zero Report and Createa New Zero Report) to reflect the addition of the single-click zero report submission functionality
		5.4.1/Submit a Single-Click Zero Report	Added new section with instructionsfor submitting a single-click zero report

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		6.3.3/ Error Correction via File Submission	Added clarification on correcting errors by submitting a revision file using 01 (revise) in the DSP01 field
2.2	7/30/21	Appendix A – Change to ASAP 4.2B	Update ASAP version to 4.2B Including new fields: DSP13 Partial Fill Indicator, PRE01 NPI, Situational field PRE09 XDEA Number, and additional reporting specs for DSP24 Treatment Type
2.3	9/17/21	Appendix A – 4.2B File Segment Updates	The following fields were changed to Situational instead of Required: DSP13 Partial Field Indicator, PRE01 NPI
2.4	1/19/22	General	Updated guide from Appriss branding to Bamboo Health branding

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Appendix A: ASAP 4.2B Specifications

The information on the following pages contains the definitions for the specific contents required of uploaded records in the American Society for Automation in Pharmacy (ASAP) format to comply with the Alabama PDMP requirements. The definitions contain a mix of fieldsrequired by ASAP and additional requirements established by the Alabama PDMP.

The following elements are used in each upload file:

- **Segment Identifier** – indicates the beginning of a new segment, for example, *PHA*.
- **Data Delimiter** – character used to separate segments and the data elements within asegment, for example, an asterisk (*).

  Each completed field should be followed by an asterisk, and each blank field should containa single asterisk.

  If the last field in the segment is blank, it should contain an asterisk and a tilde (~).
- **Segment Terminator** – character used to mark the end of a segment, for example, the tilde(~).

  ***Note**: Field TH09 in the Transaction Header segment contains a built-in segment terminator. Since TH09 also signifies the end of the segment, it should contain two tildes (~~).*
- **Requirement**
  - R = Required by ASAP
  - RR – Required by Alabama PDMP
  - N = Not used
  - S = Situational

  Both "R" and "RR" fields must be reported.

***Note**: For more information, contact the American Society for Automation in Pharmacy for the full Implementation Guide for the ASAP Standard for Prescription-Monitoring Programs. This guide includes field lengths, acceptable attributes, and examples.*

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Segment	Element ID	Element Name	Requirement
TH: Transaction Header (required) Used to indicate the start of a transaction. It also assigns the data element separator, segment terminator, andcontrol number.			
	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 statePMP the transaction should be routed to.	N
	TH09	**Segment Terminator Character** This terminates the TH segment and sets the actual value ofthe data segment terminator for the entire transaction.	R
IS: Information Source (required) Used 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

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Segment	Element ID	Element Name	Requirement
	IS03	**Message** Free-form text message.	N
PHA: Pharmacy Header (required) Used to identify the pharmacy. **Note:** It is required that information be provided in at least one of the following fields: PHA01, PHA02, orPHA03.			
	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.	S
	PHA03	**DEA Number** Identifier assigned to the pharmacy by the Drug Enforcement Administration.	RR
	PHA04	**Pharmacy Name** Free-form name of the pharmacy.	RR
	PHA05	**Address Information – 1** Free-form text for address information.	RR
	PHA06	**Address Information – 2** Free-form text for address information.	S
	PHA07	**City Address** Free-form text for city name.	RR
	PHA08	**State Address** U.S. Postal Service state code.	RR
	PHA09	**ZIP Code Address** U.S. Postal Service ZIP Code.	RR
	PHA10	**Phone Number** Complete phone number including area code. Do not include hyphens.	RR
	PHA11	**Contact Name** Free-form name.	RR
	PHA12	**Chain Site ID** Store number assigned by the chain to the pharmacy location.Used when the PMP needs to identify the specific pharmacy from which information is required.	S
	PHA13	**Pharmacy's Permit/License Number**	S
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

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Segment	Element ID	Element Name	Requirement
	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) It is strongly recommended by the Alabama PDMP that the patient's social security number be used as the patient identifier. The identifier 000-00-0005 can be used by dispensers reporting data on animals.	S
	PAT03	**ID of Patient** Identification number for the patient as indicated in PAT02.An example would be the Social Security Number.	S
	PAT04	**ID Qualifier of Additional Patient Identifier** Code identifying the jurisdiction that issues the ID in PAT06.Used if the PMP requires such identification.	S
	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)	S
	PAT06	**Additional ID** Identification that might be required by the PMP to further identify the individual. An example might be that in PAT03 driver's license is required and in PAT06 Social Security number is also required.	S
	PAT07	**Last Name** Patient's last name.	RR
	PAT08	**First Name** Patient's first name.	RR

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Segment	Element ID	Element Name	Requirement
	PAT09	**Middle Name** Patient's middle name or initial if available. It is recommended that a middle name or initial be included tohelp distinguish patients with the same name.	S
	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*.	S
	PAT12	**Address Information – 1** Free-form text for street address information.	RR
	PAT13	**Address Information – 2** Free-form text for additional address information.	S
	PAT14	**City Address** Free-form text for city name.	RR
	PAT15	**State Address** U.S. Postal Service state code **Note:** Field has been sized to handle international patients not residing in the U.S.	RR
	PAT16	**ZIP Code Address** U.S. Postal Service ZIP code. Populate with zeros if patient address is outside the U.S.	RR
	PAT17	**Phone Number** Complete phone number including area code. Do not include hyphens.	S
	PAT18	**Date of Birth** Date patient was born. Format: CCYYMMDD	RR
	PAT19	**Gender Code** Code indicating the sex of the patient. • F Female • M Male • U Unknown	RR
	PAT20	**Species Code** Used if required by the PMP to differentiate a prescription foran individual from one prescribed for an animal. • 01 Human • 02 Veterinary Patient	RR

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Segment	Element ID	Element Name	Requirement
	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	S
	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 informationat the time of dispensing the prescription.	S
DSP: Dispensing Record (required) Used to identify the basic components of a dispensing of a given prescription order including the date andquantity.			
	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 valuesin 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).	RR
	DSP02	**Prescription Number** Serial number assigned to the prescription by the pharmacy.	RR
	DSP03	**Date Written** Date the prescription was written (authorized). Format: CCYYMMDD	RR
	DSP04	**Refills Authorized** The number of refills authorized by the prescriber.	RR

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Segment	Element ID	Element Name	Requirement
	DSP05	**Date Filled** Date prescription was filled. Format: CCYYMMDD	RR
	DSP06	**Refill Number** Number of the fill of the prescription. 0 indicates New Rx; 01-99 is the refill number.	RR
	DSP07	**Product ID Qualifier** Used to identify the type of product ID contained in DSP08. • 01 NDC • 06 Compound (indicates a compound; if used, the CDI segment becomes a required segment)	RR
	DSP08	**Product ID** Full product identification as indicated in DSP07, includingleading zeros without punctuation. If 06 Compound is indicated in DSP07, use 99999 as the firstfive characters; CDI then becomes required.	RR
	DSP09	**Quantity Dispensed** Number of metric units dispensed in metric decimal format. Example: 2.5 ***Note:*** *For compounds show the first quantity in CDI04.*	RR
	DSP10	**Days' Supply** Estimated number of days the medication will last.	RR
	DSP11	**Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in DSP09. • 01 Each • 02 Milliliters (ml) • 03 Grams (gm)	RR
	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

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Segment	Element ID	Element Name	Requirement
	DSP13	**Partial Fill Indicator** Used when the quantity in DSP 09 is less than the metric quantity per dispensing authorized by the prescriber. Thisdispensing activity is often referred to as a split filling. • 00 Not a partial fill • 01 First partial fill ***Note:*** *For additional fills per prescription, increment by 1. So,the second partial fill would be reported as 02, up to a maximum of 99.*	S
	DSP14	**Pharmacist National Provider Identifier (NPI)** Identifier assigned to the pharmacist by CMS. This number canbe 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.	
	DSP16	**Classification Code for Payment Type** Code identifying the type of payment (i.e., how it was paidfor). • 01 Private Pay • 02 Medicaid • 03 Medicare • 04 Commercial Insurance • 05 Military Installations and VA • 06 Workers' Compensation • 07 Indian Nations • 99 Other	RR
	DSP17	**Date Sold** Used to determine the date the prescription left the pharmacy, not the date it was filled, if the dates differ. Format: YYYYMMDD	S
	DSP18	**RxNorm Code Qualifier** RxNorm Code that is populated in the DRU-010-09 field in the SCRIPT transaction. • 01 Semantic Clinical Drug (SCD) • 02 Semantic Branded Drug (SBD) • 03 Generic Package (GPCK) • 04 Branded Package (BPCK)	S
	DSP19	**RxNorm Code** Used for electronic prescriptions to capture the prescribeddrug product identification.	S
	DSP20	**Electronic Prescription Reference Number** This field should be populated with the Initiator Reference Number from field UIB-030-01 in the SCRIPT transaction.	S

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Segment	Element ID	Element Name	Requirement
	DSP21	**Electronic Prescription Order Number** This field should be populated with the Initiator Control Reference from field UIH-030-01 in the SCRIPT standard.	S
	DSP22	**Quantity Prescribed** This field adds clarity to the value reported in DSP13, PartialFill Indicator. ***Note:*** *ASAP 4.2B increases this field size to a maximum of 100 characters.*	R
	DSP23	**Rx SIG** This field captures the actual directions printed on theprescription vial label.	N
	DSP24	**Treatment Type** This field is used to explain the reason for an opioid prescription. If the prescription is not for an opioid, this field should not be used. • 01 Not used for opioid dependency treatment • 02 Used for opioid dependency treatment • 03 Pain associated with active and aftercare cancer treatment • 04 Palliative care in conjunction with a serious illness • 05 End-of-life and hospice care • 06 A pregnant individual with pre-existing prescription for opioids • 07 Acute pain for an individual with an existing opioid prescription for chronic pain • 08 Individuals pursuing an active taper of opioid medications • 09 Patient is participating in a pain management contract • 10 Acute Opioid Therapy • 11 Chronic Opioid Therapy • Other (trading partner agreed upon reason) ***Note:*** *Codes 3-11 can only be reported if the state has mandated that they be provided by the prescriber on the prescription.*	S
	DSP25	**Diagnosis Code** This field is used to report the ICD-10 code or CDT. If required by a PDMP, this field would be populated only with the ICD-10or CDT code included with the prescription. Exclude the decimal point when reporting this field.	S
PRE: Prescriber Information (required) Used to identify the prescriber of the prescription.			
	PRE01	**National Provider Identifier (NPI)** Identifier assigned to the prescriber by CMS.	N

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Segment	Element ID	Element Name	Requirement
	PRE02	**DEA Number** Identifying number assigned to a prescriber or an institutionby the Drug Enforcement Administration (DEA).	R 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.	R R
	PRE06	**First Name** Prescriber's first name.	R R
	PRE07	**Middle Name** Prescriber middle name or initial.	S
	PRE08	**Phone Number** Complete phone number, including area code. Do not include hyphens	S
	PRE09	**XDEA Number** This field is in addition to Treatment Type in the DSP segment.This gives PDMPs the option to require the XDEA Number (NADEAN) in the PRE segment.	S
	PRE10	**Jurisdiction or State Issuing Prescriber License Number** Use this field to further identify the information provided in PRE04.	N
CDI: Compound Drug Ingredient Detail (situational) Use of this segment is required when medication dispensed is a compound and one of the ingredients is a PDMPreporting drug. If more than one ingredient is for a PDMP reporting drug, then this would be incremented by one for each compound ingredient being reported. If CDI is filled in, the NDC of DSP08 must be 99999999999.			
	CDI01	**Compound Drug Ingredient Sequence Number** First reportable ingredient is 1; each additional reportableingredient is incremented 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, includingleading zeros without punctuation.	S
	CDI04	**Compound Ingredient Quantity** Metric decimal quantity of the ingredient identified in CDI03. Example: 2.5	S

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Segment	Element ID	Element Name	Requirement
	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) Used when state-issued serialized Rx pads are used, the state requires information on the person dropping offor picking up the prescription, or for data elements not included in other detail segments. **Note:** If this segment is used, at least one of the data elements (fields) will be required.			
	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)	S
	AIR05	**ID of Person Dropping Off or Picking Up Rx** ID number of patient or person picking up or dropping off the prescription.	S
	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

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Segment	Element ID	Element Name	Requirement
	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.	RR
	AIR10	**First Name of Pharmacist** First name of pharmacist dispensing the medication.	N
TP: Pharmacy Trailer (required) Used to identify the end of data for a given pharmacy and provide the count of the total number of detailsegments reported for the pharmacy, including the PHA and TP segment.			
	TP01	**Detail Segment Count** Number of detail segments included for the pharmacy including the pharmacy header (PHA) and the pharmacy trailer(TP) segments.	R
TT: Transaction Trailer (required) Used to indicate the end of the transaction and provide the count of the total number of segments included inthe transaction.			
	TT01	**Transaction Control Number** Identifying control number that must be unique, assigned by the originator of the transaction, and 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

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Appendix B: ASAP Zero Report Specifications

The following table contains the required definitions for submitting zero reports via SFTP or manual upload to the Alabama PDMP. It lists the **Segment** and **Element ID** with pre-populateddata to be used as an example for constructing a zero report. For more details regarding theseSegment or Elements IDs, or for details on reporting actual dispensations, please refer to Appendix A: ASAP 4.2B Specifications.

Segment	Element ID	Element Name	Requirement
TH: Transaction Header (required)			
	TH01	4.1 Code uniquely identifying the transaction.	R
	TH02	**Transaction Type:** Sender assigned code uniquely identifying a transaction. Example: 123456	R
	TH05	**Creation Date:** Date the transaction was created. Format: YYYYMMDD Example: 20220101	R
	TH06	**Creation Time:** Time the transaction was created. Format: HHMMSS or HHMM Example: 223000	R
	TH07	**File Type:** P = Production	R
	TH09	**Segment Terminator Character: ~~** TH09 signifies the end of this segment; therefore, it should contain two characters (~~).	R
IS: Information Source (required)			
	IS01	**Unique Information Source ID**: Reference number or identification number. Example: 7705555555	R
	IS02	**Information Source Entity Name (Pharmacy Name):** Entity name of the Information Source.	R
	IS03	**Date Range of Report** #YYYYMMDD#-#YYYYMMDD#	R
PHA: Pharmacy Header (required)			
	PHA02	**NCPDP/NABP Provider ID:** Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	

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	PHA03	**DEA Number:** Identifier assigned to the pharmacy by the Drug Enforcement Administration. Example: ZZ1234567	R
PAT: Patient Information (required)			
	PAT07	**Last Name:** Required value = REPORT	R
	PAT08	**First Name:** Required value = ZERO	R
DSP: Dispensing Record (required)			
	DSP05	**Date Filled:** Date prescription was not filled. Format: YYYYMMDD Example: 20220101	R
PRE: Prescriber Information (required; can be null as follows: PRE*****\)**			
CDI: Compound Drug Ingredient Detail			
AIR: Additional Information Reporting			
TP: Pharmacy Trailer (required)			
	TP01	**Detail Segment Count:** Number of detail segments included for the pharmacy including the pharmacy header (PHA) including the pharmacytrailer (TP) segments.	R
TT: Transaction Trailer (required)			
	TT01	**Transaction Control Number:** Identifying control number that must be unique. Assigned by the originator of the transaction. Must match the number in TH02. Example: 123456	R
	TT02	**Segment Count:** Total number of segments included in the transaction including the header and trailer segments. Example: 10	R

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Sample Zero Report

The following example illustrates a zero report using the above values.

TH*4.1*123456*01**20150108*223000*P**\\
IS*7705555555*PHARMACY NAME*#20150101#-#20150107#\
PHA*** ZZ1234567\
PAT*******REPORT*ZERO***********\
DSP*****20220108******\
PRE*
\
CDI*\
AIR*\
TP*7\
TT*123456*10\

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Appendix C: SFTP Configuration

This appendix describes the SFTP configurations required to upload your data to PMPClearinghouse.

Note: *Submitting data via SFTP requires that you have an existing PMP Clearinghouse account with SFTP access.*

- *If you need to create a PMP Clearinghouse account, please refer to Creating Your Account. You will be able to set up your SFTP account during the account creation process.*
- *If you have an existing PMP Clearinghouse account but do not have SFTP access, please refer to Adding SFTP Access to an Upload Account.*

SFTP Connection Details

Hostname: sftp.pmpclearinghouse.net

Bamboo Health recommends that you use the hostname when configuring the connection rather than the IP address, as the IP address is subject to change.

Port: 22

Note: *The port will always be 22.*

- **Credentials:** Your SFTP account credentials (username and password) can be found withinthe PMP Clearinghouse website. To locate your credentials, Logging in to PMP Clearinghouse, then click ***Account*** > ***SFTP Details*** > ***Edit***.
- Your username cannot be modified; however, you can update your password.

  Note: *Your current SFTP password cannot be seen or recovered. If you have forgotten or lost it, you will need to create a new one. For more information on changing the SFTP password, please refer to Adding SFTP Access to an Upload Account.*
- **Once you have established SFTP access, you can test the SFTP connection, but you will notbe able to submit data to a PMP until your account has been approved by the PMP administrator.**

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PMP Subfolders

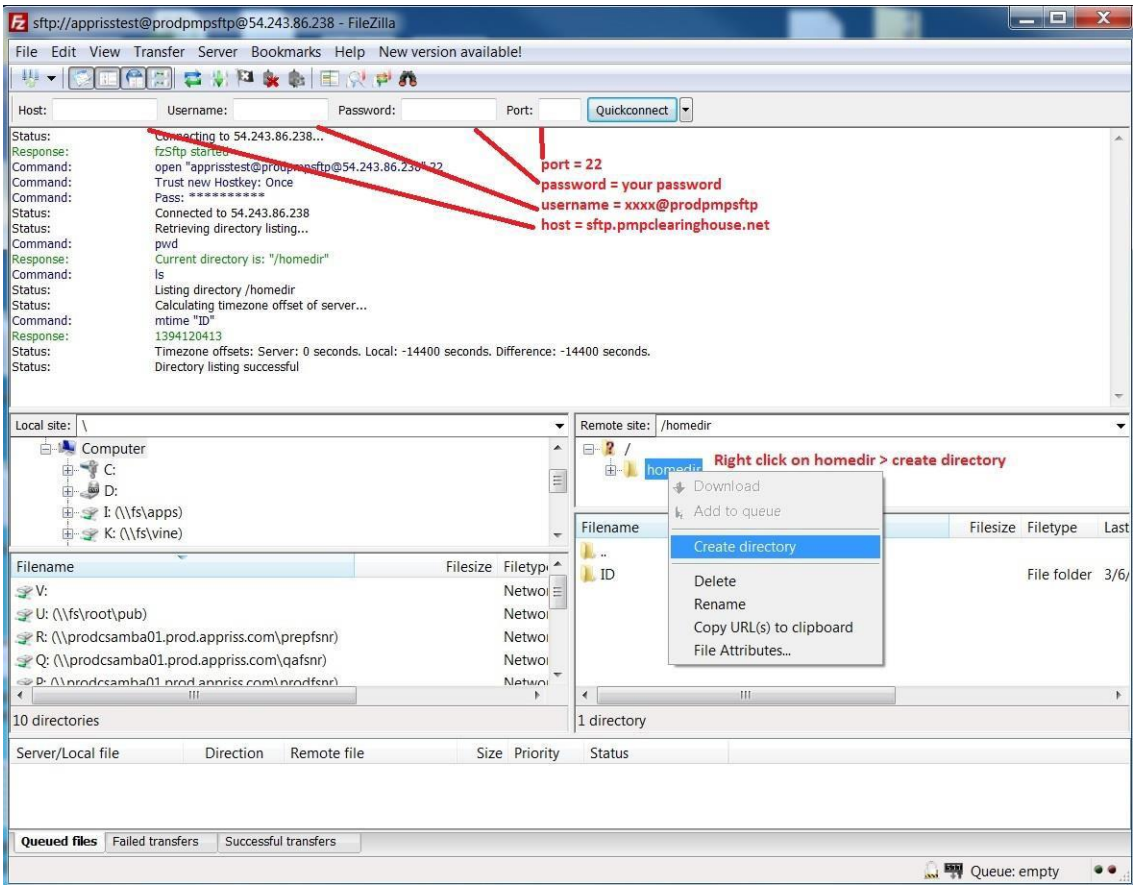
PMP Clearinghouse is the data repository for numerous PMPs. As such, data submitted via SFTP must be placed in the appropriate folder for the PMP for which you are submitting data so that it can be properly imported to that PMP. The creation of subfolders must be done outside of the PMP Clearinghouse website using third-party software, such as an SSH client or a command line utility. Files placed in the root/home directory of the SFTP server will not be imported, as this will cause the dispensing entity to appear as noncompliant/delinquent.

Your pharmacy software will need to be configured to place files in the appropriate PMP folderwhen submitting. You may need to contact your software vendor for additional assistance withthis process.

***NOTE**: Capitalization of the abbreviated PMP folders' names has no bearing on whether or not Clearinghouse processes the files; however, some pharmacy systems, especially *nix-based systems, will require that the exact case is used when specifying the target folder.*

There are two methods by which to create PMP subfolders for SFTP submissions:

1. **Via SSH client** (e.g., WinSCP, FileZilla, etc.)
   a. Log in to your SFTP account.
   b. Create the required directories under ***/homedir***.



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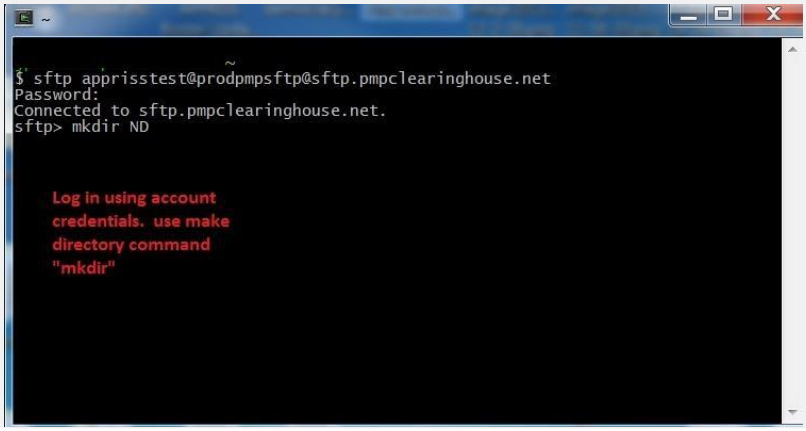
2. **Via command prompt**
   a. Log in to your SFTP account using command prompt.
   b. Type "**mkdir**" followed by a space and then the PMP abbreviation you are using (e.g., *mkdir PR*).

***NOTE:** The PMP folder must be titled with the two-letter PMP abbreviation as specifiedabove.*

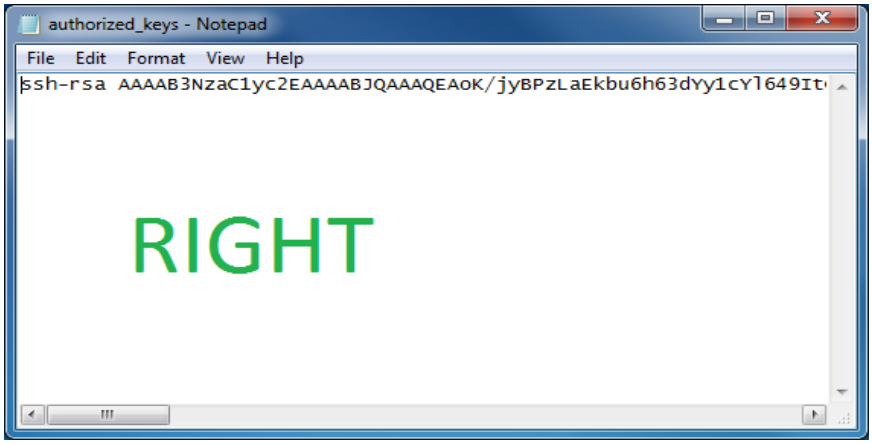


Public (SSH/RSA) Key Authentication

PMP Clearinghouse supports SSH key authentication. The generation of the key is outside thescope of this document; however, general guidelines about the key, along with how to import/load it, are provided below.

***Note: PGP Encryption** is not supported.*

- **Supported Key Types:**
  - SSH-2 RSA 2048 bit length
- **Unsupported Key Types:**
  - SSH-1 RSA
  - SSH-2 DSA
- **Correct Public Key Format:** If opened in a text editor, the key should look like thescreenshot below.



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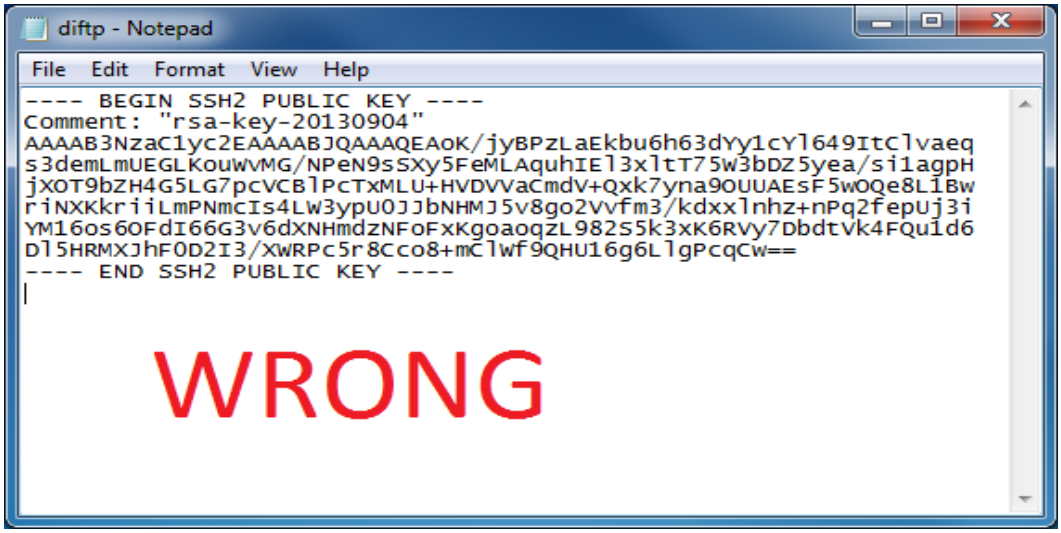
- **Incorrect Public Key Format:** If opened in a text editor, the key SHOULD NOT look like thescreenshot below.



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

  Notes:

  - *There is no file extension.*
  - *There is an underscore between the words **authorized** and **keys**.*

- A *.ssh* subfolder needs to be created in the SFTP account's home directory. The "***authorized_keys***" file must be placed in the *.ssh* folder. The creation of this folder follows the same process as creating a PMP subfolder. Please refer to PMP Subfolders for steps oncreating subfolders.

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