

Creating a Controlled Substance Export File with the ASAP 4.2 Format

If you have Cornerstone* 8.6 NEXT or later software, you can create a controlled substance export file that uses the American Society for Automation in Pharmacy (ASAP) 4.2 standard. Many states accept or require the ASAP 4.2 standard for controlled substance reporting.

To use the controlled substance export file feature, you must use the inventory and invoicing features in your Cornerstone software. IDEXX also recommends maintaining accurate quantity-on-hand (QOH) information for controlled substances as a best practice.

This guide covers the following steps needed to update your export template so it includes the information required by the ASAP 4.2 standard:

1. **Set up the export window**—perform this one-time setup task.
2. **Verify and complete patient sex setup**—identify all patient sexes in Cornerstone (even sexes like Other or Unknown) as either male or female.
3. **Verify and complete the practice, doctor, and invoice item information**—enter practice, drug, and doctor ID numbers, client birthdate and gender, and required item information.
4. **Test the export**—after you have completed the tasks above, create a copy of the export list and send it to your state agency to be sure that all required information and header fields are present.

Completion requirements

With the exception of client birthdate and gender, the controlled substance export file is complete only for sales that occur **after** the following information is entered in your Cornerstone software. This information does **not** populate the file retroactively for items already sold.

- Practice's National Council for Prescription Drug Programs (NCPDP) or National Association of Boards of Pharmacy (NABP) and National Provider IDs
- Practice's DEA number
- Prescribing doctor's license number and Drug Enforcement Administration (DEA) number
- National Drug Code/Drug Identification Number (NDC/DIN) for each controlled substance
- Unit of measure dosage units
- Days supply entered on each prescription (can be set as required for controlled substances)

For instructions on entering this information, see "Verify and complete doctor, practice, and invoice item information" later in this document.

Reporting limitations and nonsupported data elements

Cornerstone controlled substance export files comply with the minimum requirements of the ASAP 4.2 standard. However, some states may require additional information not available in Cornerstone.

Data elements not included in a Cornerstone controlled substance export file:

Compounded drug information

Additional recommendations

- Contact your state's controlled substance agency to obtain electronic filing requirements, if you have additional questions on format requirements, or if you need to know how to upload the file.
- IDEXX recommends that you submit one entry created by Cornerstone software to your state agency to confirm that the formatting is acceptable. Continue your current controlled substance recording process until you receive confirmation from your state.

Set up the export window

You must set up specific information in the template before you can create electronic filing forms and submit them to the state. The information is saved to the template and will be used in all future controlled substance electronic filing forms.

1. Go to **Controls > Controlled Substance > Controlled Substance Export**.
2. In the table, select the ASAP 4.2 Format, and then click **Update**. The Controlled Substance Export Information dialog box opens.

Field	Justification	Field Length	Client Prompt	Patient Prompt	Filler Character
Filler	Left justified blank filled	3			TH*
Filler	Left justified blank filled	4			4.2*
Practice Phone Number (no spaces)	Left justified blank filled	10			
Today's Date	Left justified blank filled	8			
Today's Time	Left justified blank filled	4			
Filler	Left justified blank filled	1			*
Filler	Left justified blank filled	3			01*
Filler	Left justified blank filled	1			*
Today's Date	Left justified blank filled	8			
Filler	Left justified blank filled	1			*
Today's Time	Left justified blank filled	4			
Filler	Left justified blank filled	3			*P*
Filler	Left justified blank filled	3			***
Filler	Left justified blank filled	3			IS*
Practice Phone Number (no spaces)	Left justified blank filled	10			
Filler	Left justified blank filled	1			*
Practice Name	Left justified blank filled	40			
Filler	Left justified blank filled	1			*

3. Make sure the **Male flag** box is set to **M** and the **Female flag** box is set to **F**; both boxes are required for the ASAP 4.2 format.

Note: See the following section for instructions on setting up patient sex information.

4. If your state requires you to export only the controlled substances dispensed over a set number of days supply, enter the number of days in the **Minimum days supply to export** box. If your state requires you to export only those controlled substances that are prescribed, rather than used internally, select the **Export prescribed only** check box.
5. In the File Extension field, enter **dat** or **txt**, based on your state's requirements.
6. Click **OK** to close the Controlled Substance Export Information window.
7. Depending on your state regulations, you may need to add other information to the template; work with your state regulatory agency to add the information as needed.

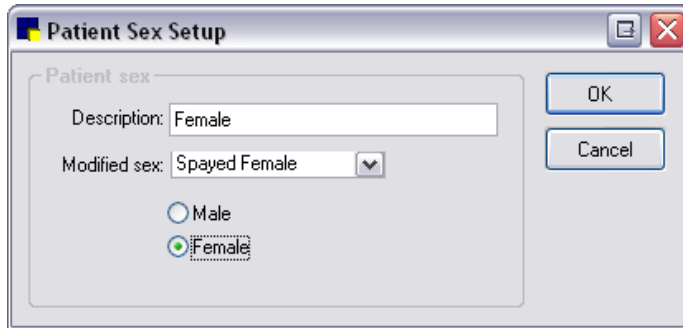
Note: If your state requires **patient** birth date and gender, instead of **client** birth date and gender, update the template where the client birth date and gender appear under the Export Data tab.

Field	Justification	Field Length	Client Prompt
Client Phone Number (no spaces)	Left justified blank filled	16	
Filler	Left justified blank filled	1	
Patient Birthdate	Left justified blank filled	8	
Filler	Left justified blank filled	1	
Client User Defined Prompt	Left justified blank filled	1	Client Gender
Patient City	ied blank filled	1	
Patient Gender	ied blank filled	2	
Patient ID	ied blank filled	1	
Patient Name	ied blank filled	3	
Patient Postal Code	ied blank filled	1	
Patient Species	ied blank filled	30	
Filler	ied blank filled	2	
Filler	Left justified blank filled	4	

Verify and complete patient sex information

In addition to setting the male and female flags in the template, as described above, you must also make sure that all sexes have been set up and assigned as male or female.

1. Go to **Controls > Sex**.
2. Select a patient sex in the table and then click **Update**.
3. Select the appropriate option (**Male** or **Female**).



4. Click **OK**.
5. Repeat **steps 2–4** for each patient sex. All sexes that you have set up, including sexes like Other or Unknown, must be assigned to either male or female.
6. When finished, click **Close**.

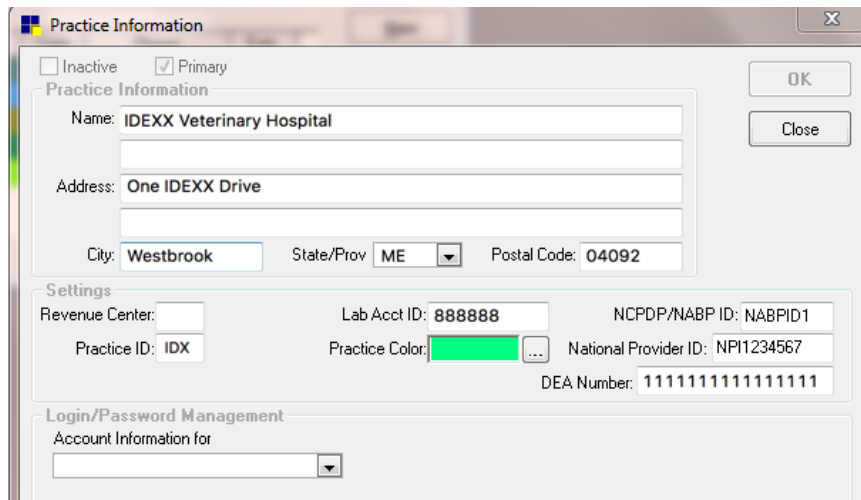
Verify and complete practice, doctor, and invoice item information

Your state may require you to provide all the items listed under [Completion requirements](#). This information will be shown on the export list for all items sold **after the information is added to your Cornerstone system**. Entering this information does **not** populate it retroactively for items already sold.

To verify and complete practice information:

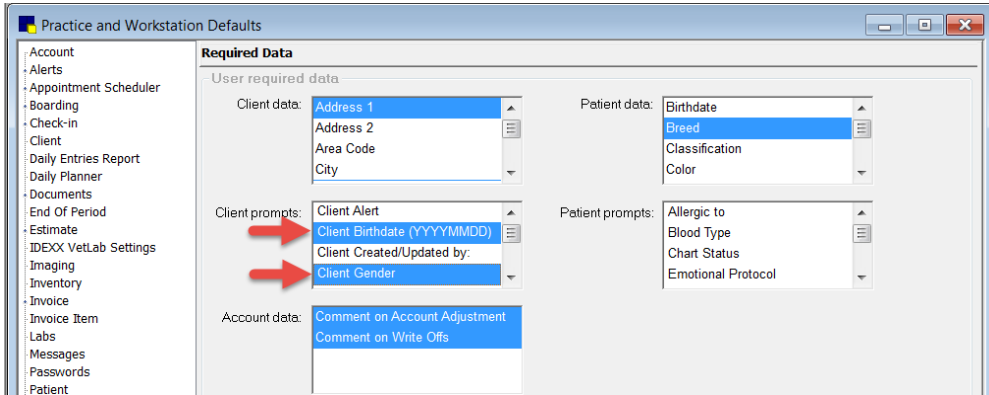
1. Go to **Lists > Practice**.
2. Select the practice, and then click **Update**.
3. Enter your practice's NCPDP or NABP Provider ID, National Provider ID, and DEA number.

Note: In a multi-location, single-database configuration, you can enter credentials for each practice. IDEXX recommends entering practice-specific credentials if you export and submit the information per practice, so that the pharmacy information appears correctly.

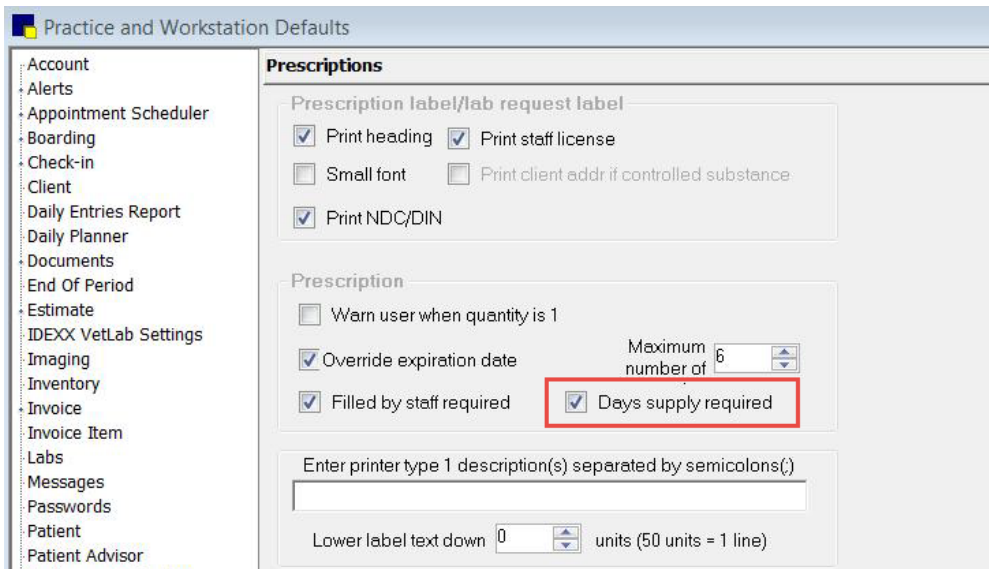


4. Click **OK**.
5. Go to **Controls > User Defined Prompts > Client** and verify that the **Client Birthdate (YYMMDD)** and **Client Gender** prompts are present and listed as active. If the prompts were altered or deleted, press **F1**, and then click the **set up client birth date and gender prompts** link.

6. To verify that these prompts are required:
 - a. Go to **Controls > Defaults > Practice and Workstation > Required Data.**
 - b. Under Client Prompts, make sure that **Client Birthdate (YYYYMMDD)** and **Client Gender** are both highlighted.

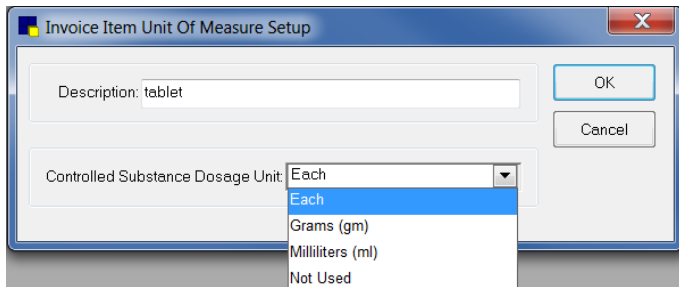


7. Set prescription default settings so that the days supply is required:
 - a. Go to **Controls > Defaults > Practice and Workstation > Prescriptions.**
 - b. Select the **Days Supply required** check box, and then click **OK.**



8. Make sure that all units of measure are set to a controlled substance dosage unit; otherwise you will receive a message when trying to create the export. To set units of measure, go to **Controls > Unit of Measure.**

Note: When setting the dosage unit, do **not** select Not Used; items must be set to a specific dosage unit.



To verify and complete the information for each prescribing doctor:

1. Go to **Lists > Staff**.
2. Select a staff member, and then click **Update**.
3. On the **Information** tab, enter the license and DEA numbers in the **License #** and **DEA #** boxes, and then click **OK**.

4. Repeat steps 2–3 for each prescribing doctor.
5. When finished, click **Close**.

To verify and complete information for each controlled substance:

1. Go to **Lists > Invoice Item**.
2. Select an invoice item for a drug, and then click **Update**.
3. On the Info Tab, make sure the **Controlled Substance** check box is selected and the appropriate Unit of Measure is set, and then click **OK**.
4. Select the Inventory tab, and then enter the NDC/DIN code.

Note: The NDC/DIN does **not** need to be printed on the prescription label to be included in the export list.

IMPORTANT: When you enter the code, be sure to follow the formatting guidelines below.

5. Click **OK**.
6. Repeat **steps 2–5** for each invoice item that is a controlled substance.
7. When finished, click **Close**.

NDC/DIN code formatting guidelines:

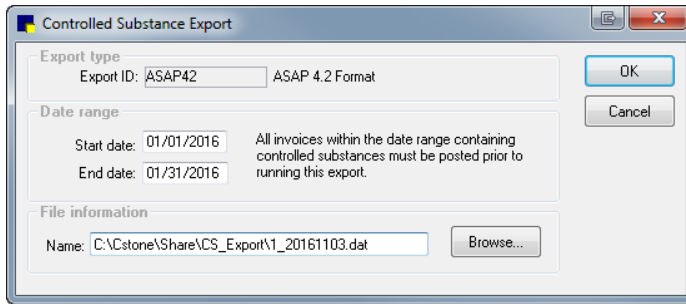
- **Enter the full 11 digits** of the code. NDC/DIN codes are always 11 digits.
- **Do not include dashes.** On the product packaging, NDC/DIN codes may be formatted in digit groups separated by dashes, like this:
55555-4444-22 (i.e., 5 digits-4 digits-2 digits)
Do **not** include these dashes when you enter the code into the Cornerstone software.
- **Restore any leading zeroes** that have been removed. If a digit group does not contain the required number of digits (5 digits-4 digits-2 digits), a 0 is missing from the beginning of the group. You must restore the missing 0.
For example:
 - **0**1234-4444-22 may be shown as 1234-4444-22
 - 55555-**0**123-22 may be shown as 55555-123-22
 - 55555-4444-**0**1 may be shown as 55555-4444-1

Example:

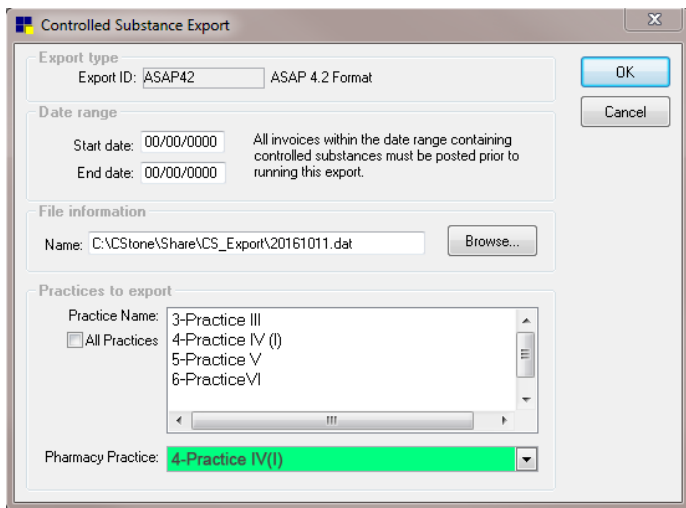
NDC/DIN code as it may appear	With zeroes restored	With dashes removed—ready to enter
1234-5678-91	01234-5678-91	01234567891

Create the export file

1. Go to **Controls > Controlled Substance > Controlled Substance Export**. The Controlled Substance Export List dialog box opens.
2. In the list, select the appropriate format, and then click **Export**. The Controlled Substance Export dialog box opens.



Single-location practice



Multi-location, single-database practice

3. In the Date range area, in the **Start date** and **End date** boxes, enter the dates that apply to this export. This is usually the date range for prescriptions created in the time frame established by your state's requirements. If your practice has a multi-location, single-database configuration, select the practice for which this export applies.
4. In the **File information** area, note the path and file name for the controlled substance export file (.txt or dat file). (The default folder is C:\Cstone\Share\CS_Export\.)

Tip: Refer to the "Set up the export window" section to change the file type, if needed.

5. Click **OK**, and then click **Close**.
6. Follow your state's process to upload the file to the state agency site.

Note: Contact the state agency for instructions if you want to submit the file as a test.

If you have questions

If you have additional questions on format requirements, contact the appropriate state board or department for information.