

#### Overview

If you have Service Pack 5 or higher of the Cornerstone\* 8.3 Practice Management System (8.3.61), you can create a controlled substance export file that uses the ASAP 4.2 standard. Many states accept or require the ASAP (American Society for Automation in Pharmacy) 4.2 standard for controlled substance reporting.

**IMPORTANT:** The controlled substance export file is only complete for sales that occur **after** the following information is entered in your Cornerstone software:

- Prescribing doctor's license number and Drug Enforcement Administration (DEA) number
- National Drug Code/Drug Identification Number (NDC/DIN) for each controlled substance

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

#### **IMPORTANT: Reporting Limitations**

- Controlled substance export files created by Cornerstone comply with the minimum requirements of the ASAP 4.2 standard. However, some states require information beyond minimum ASAP 4.2 requirements. Information for these additional fields may not be available in Cornerstone—see the list of non-supported data elements at the end of this document.
- Due to additional information required by the state of New York, IDEXX recommends that practices in New York contact their state program for other reporting options.

This guide covers the steps you need to take to update your export template and other information related to controlled substances so that the Cornerstone\* Practice Management System has information for all the data fields required by the ASAP 4.2 standard:

- **Set up template header information**—a one-time setup task.
- **Verify and complete patient sex setup**—all the patient sexes that you have set up need to be assigned to either male or female. Even sexes like “Other” or “Unknown” need to be assigned.
- **Verify and complete doctor and invoice information**—make sure that license number and DEA number are recorded for each prescribing doctor and that a NDC/DIN is recorded for each controlled substance.
- **Test the export**—after you have completed the tasks above, create a copy of the export list and check to be sure that all required information and header fields are present.

**Note:** In order to use the controlled substance export feature, you need to use the inventory and invoicing features in your Cornerstone system. IDEXX recommends also maintaining accurate quantity on hand (QOH) information for controlled substances as a best practice.

For more information about setting up and using the controlled substance export list, see “Controlled Substance Export List” in the “Setting Up Cornerstone Controls” chapter of the *Cornerstone Administrator’s Manual*, a copy of which is located on your computer desktop and can also be found online in the [Cornerstone Resource Library](#).

### Additional Recommendations

- Contact your state’s controlled substance agency to obtain the state’s electronic filing form requirements, or if you have additional questions on format requirements or how to upload the file.
- IDEXX recommends that you submit one entry created by Cornerstone to your state to confirm that the formatting is acceptable.
- To ensure that you’re tracking all necessary information, we recommend that you continue any controlled substance information recording process that your practice currently uses.

### Set up template header information

You must set up specific information in the export list header before you create electronic filing forms and submit them to the state. This is a one-time setup task; 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 click **Update**.
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 to set up patient sex information to support this part of the ASAP 4.2 standard.

4. Select the **Export Header** tab.

**Note:** In the following instructions, do not remove or add any asterisks (\*) from any field even if you are updating something in that field. Asterisks are required as delimiters between certain fields in the data format required for state submission.

Count this many rows down in the table	Do this	Comments
21 This is the line right after the line that shows <i>PHA*</i> in the Filler Character column.	If applicable, in the <b>Filler Character</b> column, type the National Provider Identifier number assigned to your practice by the Centers for Medicare and Medicaid Services (CMS).	The National Provider Identifier may be shown as PHA01 or NPI in documentation provided by the state.
23 This is the third line after the line with <i>PHA*</i> in the Filler Character column.	If your state requires you use this row for the number issued to your practice by the National Council for Prescription Drug Programs (NCPDP) or National Association of Boards of Pharmacy (NABP), or for your DEA number:	The NCPDP/NABP number may be shown as PHA02 in documentation provided by the state.  Alternatively, states may require the DEA number

	<p>a. Change the <b>Field Value</b> column to 10, unless your state's guidelines instruct you to use a different value.</p> <p>b. Before the asterisk in the <b>Filler Character</b> column, type your practice's NCPDP/ NABP or DEA number. (Be sure not overwrite the asterisk.)</p>	<p>in this row in addition to the next row.</p>
<p>24 This is the fourth line after the line with <i>PHA*</i> in the Filler Character column.</p> <p>It shows 15 in the Field Length column.</p>	<p>In the <b>Filler Character</b> column, type the DEA number assigned to your practice.</p>	<p>The DEA number may be shown as PHA03 in documentation provided by the state.</p>

Export Header		Export Data		Export Footer	
Field	Justification	Field Length	Client Prompt	Patient Prompt	Filler Character
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			*
Filler	Left justified blank filled	2			**~
Filler	Left justified blank filled	4			PHA*
Filler	Left justified blank filled	15			0123456789
Filler	Left justified blank filled	1			*
Filler	Left justified blank filled	10			AB98765*
Filler	Left justified blank filled	15			AB987654
Filler	Left justified blank filled	1			*
Practice Name	Left justified blank filled	40			
Filler	Left justified blank filled	1			*
Practice Address Line 1	Left justified blank filled	40			
Filler	Left justified blank filled	1			*
Practice Address Line 2	Left justified blank filled	40			
Filler	Left justified blank filled	1			*

The Export Header tab, with lines highlighted for the NPI number and DEA number (yellow), as well as the optional line for the NCPDP/NABP or DEA number (blue).

5. If your state requires you to **not** include information about compounded drugs, do the following:
  - a. Click the **Export Data** tab.
  - b. Locate the rows with *Doctor Name (full name)* in the **Field** column, and then count two rows down to locate the row that shows *CDI\** in the **Filler Character** column.
  - c. Select the 6 rows starting with the *CDI\** row, including four rows with \* in the Filler Character column and one row with *00\*~*.
  - d. Press CTRL+D. The rows are deleted. The lines from *AIR\** on remain in the template.
6. Click **OK** to close the Controlled Substance Export Information window.

7. Depending on the regulations in your state, you may need to add other information to the template.
8. Click **OK** to close the Controlled Substance Export Information window.
9. Follow the instructions below to complete other information required by the ASAP 4.2 standard, and then export the controlled substance export file and check it against the example shown at the end of this document.

### Verify and complete patient sex information

In addition to setting the male and female flags in the template, as described above, you also need to 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 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 must be assigned to either male or female, including sexes like **Other** or **Unknown**.
6. When you're finished, click **Close**.

### Verify and complete doctor and invoice item information

Most states require the license and DEA numbers for each prescribing doctor and the NDC/DIN for each drug.

This information is 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, but it will be there for anything sold going forward.

#### To verify and complete information for each prescribing doctor:

1. Go to **Lists > Staff**.
2. Select a staff member and click **Update**, and then do the following:
  - a. On the **Information** tab, type information in the **License #** and **DEA #** boxes.

- b. Click **OK**.
3. Repeat step 2 for each prescribing doctor.

4. When you are finished, click **Close**.

**To verify and complete information for each NDC/DIN Number:**

1. Go to **Lists > Invoice Item**.
2. Select an invoice item for a drug and click **Update**, and then do the following:
  - a. Make sure the **Controlled Substance** check box is selected.
  - b. Click the **Inventory** tab.
  - c. Type the code in the **NDC/DIN Code** box.



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

**Important:** Be sure to apply the formatting guidelines outlined in the following section when typing NDC/DIN codes.

- d. Click **OK**.
3. Repeat step 2 for each invoice item that is a controlled substance.
4. When you are finished, click **Close**.

**NDC/DIN formatting guidelines:**

NDC/DIN codes are 11 digits and are often presented as groups of digits separated by dashes in the following format: five digits—dash—four digits—dash—two digits. For example, *55555-4444-22*.

Zeroes at the beginning of digit groups are sometimes left out:

- *01234-4444-22* may be shown as *1234-4444-22*
- *55555-0123-22* may be shown as *55555-123-22*
- *55555-4444-01* may be shown as *55555-4444-1*

To enter the NDC/DIN properly, you need to enter the full 11 digits, restoring any zeroes that have been removed. You also need to remove the dashes.

NDC as it may appear	Zeroes restored	Dashes removed—ready to enter in template
1234-4444-22	01234-4444-22	01234444422
5555-123-22	55555-0123-22	55555012322
55555-4444-1	55555-4444-01	55555444401

**Export the controlled substance electronic filing form**

1. Go to **Controls > Controlled Substance > Controlled Substance Export**. The Controlled Substance Export List dialog box appears.

- In the list, select the appropriate format and click **Export**. The Controlled Substance Export dialog box appears.

- In the **Date range** area, in the **Start date** and **End date** boxes, type the dates that apply to this controlled substance export.
- In the **File information** area, note the path and file name for the controlled substance export file (a .txt file). The default folder is *C:\Cstone\Share\CS\_Export*.
- Click **OK**, and then click **Close**.
- After the electronic filing form (.txt file) has been generated, retrieve it from the folder where it is stored.
- The first time you create a controlled substance export file after you complete the header setup and information completion steps above, we recommend that you run a sample report and check that the required header information is correct:
  - Open the file in a text editor such as Notepad and compare it to the example below.
 

**Note:** If you're using Notepad and don't see your information in columns go to **Format > Word Wrap** to turn off the word wrap feature.

```

TH*4.2*6236916305201312021606*01**20131202*1606*T**~IS*6236916305*IDEXX-VetConnect Animal Hospital **~PHA*0123456789] *AB98765*AB98765 *
PAT*8540 99*03*8540 *8540 *03*9952 *Cormier *Buddy ****1492 S 167th DR
PAT*8540 99*03*8540 *8540 *03*9952 *Cormier *Buddy ****1492 S 167th DR
PAT*8540 99*03*8540 *8540 *03*9952 *Cormier *Buddy ****1492 S 167th DR
TP**~TT*62369163052013120216069 **~
  
```

- Check the header and footer areas highlighted in yellow, and confirm that the header information you set up earlier in this document appears in the areas outlined in red. You should see your actual numbers where example numbers are shown for the NPI number (PHA01) and DEA number (PH03).
- Generally, at this point, you send the file to the appropriate state agency by the method designated by that agency (such as email or FTP). If your state requires that the file be submitted in a format other than .txt, or if you need to include segment count information (TP01 and TT02), see further instructions below.

### Convert the export file to a format other than .txt

Depending on your state's requirements, you may need to convert the file from a .txt file to a different file type before sending it. Your state may also require the file name to be in a particular format. If your state requires the .dat format, you can convert the file using a text editor such as Notepad. If you are using Notepad, do the following:

- Open the file in Notepad.

2. Select **File > Save As**.
3. Change the file extension from **.txt** to **.dat**.
4. Note the location where the file is being saved. IDEXX recommends either saving in the same location as the .txt file or creating a consistent location.
5. Click **Save**.

### Enter summary information

If your state requires you to include segment count information (TP01 and TT02), follow the procedure below **each time you create a controlled substance export file**.

1. Locate the data at the end of the document that starts with TP and TT. (Highlighted in blue in the example below.)
2. Determine the number of segments (information sections) in the text file by doing the following:
  - a. If you're using a text editor to look at the export file, close it.
  - b. Open the export file in a word processing program, such as Microsoft® Word.
  - c. Use the find feature to count how many tildes (~) occur in the text file. For example, in Word, press CTRL+F to open the Find and Replace window, type ~ in the **Find what** box, and then click **Find In > Main Document** to display the number of tildes.
3. Subtract one from the total number of segments, and type the result between the two asterisks at the end of the text file (at the end of the TT section, right before the final tilde).
4. Subtract four from the total number of segments, and type the result between the two asterisks in the TP section. Examples of numbers that you might type in steps 3 and 4 are shown below.

```
TH*4.2*6236916305201312021606*01**20131202*1606*T**~IS*6236916305*IDEXX-VetConnect Animal Hospital          **~PHA*0123456789          *AB98765*AB98765          *
PAT*8540          99*03*8540          *8540          *03*9952          *Cormier          *Buddy          ****1002 S 165th DR
PAT*8540          99*03*8540          *8540          *03*9952          *Cormier          *Buddy          ****1002 S 165th DR
PAT*8540          99*03*8540          *8540          *03*9952          *Cormier          *Buddy          ****1002 S 165th DR
TP*8~TT*62369163052013120216069          *11~
```

5. Save the file in a text (.txt) format, or other format as per state requirements.

### List of non-supported data elements

Cornerstone is not able to include the following fields in a controlled substance export file:

- Prescription number
- Refills authorized
- Refill number
- Days supply
- Drug dosage units code
- Compounded drug information

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

