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.

Controlled Substance Export In	formation					×
Export information						
Export ID: ASAP42						OK
Description: ASAP 4.2 Format						
	e flag: F	Minim	im days supply to ex	port: 1		Cancel
	andg. I	1111110				
File Extension: dat			Export prescribed	oniy: 🔽		
Date format: YYYYMMDD						
Export Header	Export Da	ta		Export Footer		
Field	Justification	Field Length	Client Prompt	Patient Prompt	Filler Character	<u> </u>
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				
Todays Date	Left justified blank filled	8				=
Todays 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			×	- 1
Todays Date	Left justified blank filled	8				
Filler	Left justified blank filled	1			×	
Todays 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)	· ·	10			×	_
Filler Practice Name	Left justified blank filled	1				_
	Left justified blank filled	40			×	_
Filler	Left justified blank filled	1				Ŧ

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.

xport Header	Export D	Export Data			
Field	Justification	Field Length	Client Promp		
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	10	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			
	ied blank filled	30			
Patient Species	🚽 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).

📕 Patient Sex Setup	🖪 🔀
Patient sex	ОК
Description: Female	
Modified sex: Spayed Female	Cancel
OMale	
● 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 <u>Completion requirements</u>. 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.

Practice I	nformation	×
Inactive	✓ Primary Information	ОК
Name:	IDEXX Veterinary Hospital	Close
Address:	One IDEXX Drive	
City:	Westbrook State/Prov ME 💌 F	Postal Code: 04092
- Settings Revenue Co	enter: Lab Acct ID: 888888	NCPDP/NABP ID: NABPID1
Practic	e ID: IDX Practice Color:	National Provider ID: NPI1234567
		DEA Number: 11111111111111111
	ssword Management nformation for	

- 4. Click OK.
- Go to Controls > User Defined Prompts > Client and verify that the Client Birthdate (YYYMMDD) 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.

Practice and Workstation Defaults									
Account	Required Data								
Alerts	-User required	data							
Appointment Scheduler				D (1) (1)					
Boarding	Client data:	Address 1	•	Patient data:	Birthdate	*			
Check-in		Address 2	Ξ		Breed	=			
Client		Area Code			Classification				
Daily Entries Report		City	-		Color	-			
Daily Planner		ļ_ *]				
End Of Period	Client prompts:	Client Alert		Patient prompts:	Allergic to				
Estimate	Client promots:	Client Birthdate (YYYYMMDD)	A	Patient prompts:	-				
IDEXX VetLab Settings			Ξ		Blood Type	=			
Imaging		Client Created/Updated by:			Chart Status				
Inventory		Client Gender	Ŧ		Emotional Protocol	-			
Invoice					,				
Invoice Item	Account data:	Comment on Account Adjustmer	nt						
Labs		Comment on Write Offs							
Messages									
Passwords									
Patient]							

- 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**.

Practice and Workstat	tion Defaults						
Account	Prescriptions						
Alerts Appointment Scheduler Boarding Check-in Client Daily Entries Report Daily Planner	Prescription label/lab request label Image: Print heading Image: Print staff license Image: Small font Image: Print client addr if controlled substance Image: Print NDC/DIN						
Documents End Of Period Estimate IDEXX VetLab Settings Imaging Inventory Invoice Invoice Item	Prescription Warn user when quantity is 1 Override expiration date Maximum for the number of fulled by staff required Image: Staff required						
Labs Messages	Enter printer type 1 description(s) separated by semicolons(;)						
Passwords Patient Patient Advisor	Lower label text down						

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.

Invoice Item Unit Of Measure Se	tup	X
Description: tablet		ОК
		Cancel
Controlled Substance Dosage Unit:	Each 💌	
	Each	
	Grams (gm)	
	Milliliters (ml)	,
	Not Used	

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.

Information —						
Status:	Active	•	Classifi	ication:	Doctor	•
Title	First		ML	Last		
	▼ Anne			Carson	n, DVM	
Address:	3412 Quarter Path]	
Postal Code:	54703	City: Eau Claire			State/Prov: WI	•
License #:	345678		DEA #: CC-1234	456-3]	

- 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.

Info	Instructions	Reminders	Tax/Disc	Inventory	Vaccine	Link Items	Spec. Actions	Travel	Whiteboard
-li	Inventory information								
1	NDC/DIN Code: 01234567891 Serial number:								
	🖞 Maintain QOH		Track expire	ation dates] Track lot nu	mbers		

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.

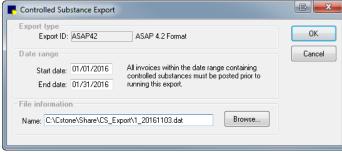
- Restore any leading zeroes that have been removed. If a digit group does not contain the required number of digits (5 digits-4 digits), a 0 is missing from the beginning of the group. You must restore the missing 0. For example:
 - 01234-4444-22 may be shown as 1234-4444-22
 - 55555-0123-22 may be shown as 55555-123-22
 - 55555-4444-01 may be shown as 55555-4444-1

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

Controlled Substance Export	x
Export type Export ID: ASAP42 ASAP 4.2 Format	ОК
Date range Start date: 00/00/0000 End date: 00/00/0000 All invoices within the date range containing controlled substances must be posted prior to running this export.	Cancel
File information Name: C:\CStone\Share\CS_Export\20161011.dat Browse Practices to export	
Practice Name: All Practices All Practice IV (I) 5-Practice V 6-Practice V 4 III	
Pharmacy Practice: 4-Practice IV(I)	

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.

