

ELECTRONIC DATA TRANSMISSION FREQUENTLY ASKED QUESTIONS

for the



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**Department
of Health**

Bureau of Narcotic Enforcement
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www.health.ny.gov/professionals/narcotic

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Please visit the [Submitter's Guide to Electronic Data Transmission](#) for all references in this document.

General Data Reporting

- Q. How does a pharmacist get access to submit controlled substance prescription data to the PMP Registry?**
- A.** The individual responsible for reporting the pharmacy's controlled substance prescription data will need a NYS DOH [Health Commerce System \(HCS\) account](#), and that account will need to be associated with their pharmacy as an HCS Director/Coordinator before they can submit and review their controlled substance data. See Chapters 2 and 3 of the Submitter's Guide for reporting requirements and establishing an HCS account.
- Q. How does an entity submit dispensed controlled substance prescription information to the NYS Department of Health's (NYSDOH) Bureau of Narcotic Enforcement (BNE) for inclusion within the PMP registry?**
- A.** Submissions to the PMP Registry, retrieval of associated critical error information, and monitoring of all submissions is accomplished via the NYSDOH's PMP Data Collection Tool and requires the establishment of an [HCS account](#). Data submissions may be made via manual file upload, manual data entry or unattended file upload.
- Q. What data standard must be used when submitting controlled substance prescription information to NYSDOH?**
- A.** Submissions must be in American Society for Automation in Pharmacy (ASAP) Version 4.2, 4.2a or 4.2b formats.
- Q. Can the NYSDOH provide a submitting organization with a copy of the "Implementation Guide ASAP Standard for Prescription Monitoring Programs"?**
- A.** No. To obtain a copy of the guide, please directly contact the American Society for Automation in Pharmacy (ASAP) at 610-825-7783 or visit the ASAP web site at www.asapnet.org.
- Q. Can a submitting organization concatenate complete files from multiple locations, without modification, and transmit as a single file?**
- A.** Yes.

Q. What is the maximum file size of a data submission?

A. There is no maximum file size.

Q. What is a serial number and how should it be formatted?

A. A serial number, which is found in the lower right hand corner of an Official New York State prescription, is used for tracking purposes. Serial numbers are made up of eight (8) alpha-numeric characters.

NOTE: if a prescription is not written on NYS serialized script paper:

- A serial number of “EEEEEEEE” is used for an e-prescription from NYS licensed prescriber
- A serial number of “99999999” indicates oral or faxed prescriptions
- A serial number of “ZZZZZZZZ” is used by:
 - VA hospitals and clinics
 - Military bases
 - Indian Reservations
 - Any practitioner or veterinarian for controlled substances they dispense from their office
 - A prescriber who is not licensed in New York State

Q. What is a DEA number and how should it be formatted?

A. A DEA number, issued to a practitioner by the U.S. Drug Enforcement Administration (DEA), allows the practitioner to prescribe a controlled substance to a patient. A valid DEA number begins with two (2) alpha characters followed by seven (7) numeric characters. The number must be registered with the DEA or it will be rejected upon submission.

Q. Which DEA number does New York State accept when dispensing buprenorphine for substance use disorder: the X-DEA number or standard DEA number?

A. The X-DEA Number should be reported when buprenorphine is dispensed for a substance use disorder.

Q. Can the X-DEA number be entered when submitting a manual entry for dispensing practitioners?

A. Yes. Enter the Ordering Practitioner’s DEA or X-DEA number under the “DEA of Ordering Practitioner” in the “General Information” section. And enter the dispensing practitioner’s X-DEA number in the “Prescription Information” section.

Q. How is “quantity dispensed” [DSP09, DSP11 and CDI04] reported?

A. For “EACH”, enter actual quantity when dispensing tablets, capsules, patches. Use “Grams” when dispensing solids (ointments, creams, powders): enter grams directly (i.e., submit only “2.5” for “2.5 grams”, do not round up). Use milliliters when dispensing liquids. To report liters and milligrams, adjust to the decimal equivalent. Please refer to the ASAP guide for additional information. Submitting organization must report the actual amount of controlled substance dispensed. Therefore, “Quantity Dispensed” must not be rounded to the next highest whole number.

Q. How should a pharmacy report multiple (also known as “split”) payment types when dispensing a controlled substance?

A. To ensure data integrity of the PMP, pharmacies must submit only one dispensing record in situations involving multiple payment types for the same fill of a controlled substance prescription when the pharmacy

has the full prescription in stock. To do so, set Classification Code for Payment Type (DSP16) to “99 – Other”.

Q. How should a pharmacy report a dispensed prescription’s NDC number, if part of the fill has one NDC number and part has a different NDC number?

- A. Report the full quantity filled under only one NDC number. It is advised to use the NDC number that represents the largest number of units in the prescription.

Q. How should a pharmacy report partial fills when they happen on the same day?

- A. To ensure that the full quantity dispensed for that prescription displays on the PMP Registry, pharmacies must submit the combined number of dispensed units in one record. If this is not done, only the latest record’s quantity will appear on the PMP Registry. The record can be modified after submission to show the full quantity dispensed for that day by using the PMP Data Collection Tool’s Rx Review module to make the correction.

Q. Why are two records displayed for the same patient for the same drug, from the same pharmacy, with fill dates just a couple of days apart, when only one fill date is accurate?

- A. Although the record may have been reversed at the pharmacy, a void was not submitted to the PMP Data Collection Tool for the reversed record. Please submit a void record for the reversed prescription to the PMP Data Collection Tool. A record can also be voided in the PMP Data Collection Tool → Rx Review Module.

Q. Do all of the data elements displayed on the manual entry screen require input?

- A. All data elements with a red asterisk (*) are required.

Q. Can a transaction that was previously submitted via direct manual entry input be modified?

- A. Yes. Records can be corrected by accessing the PMP Data Collection Tool → Rx Review Module and entering the Rx Number that requires correction. See Chapter 6 of the Submitter’s Guide.

Q. I am a dispensing practitioner and I do not have an Rx Number. It is a required data element. What number do I use?

- A. Each controlled substance dispensed must be given a unique Rx Number that is used only once for that day’s dispensing. The number can be any combination of numbers or letters and may be up to 25 characters in length. *Example:* Chart Number 123456

1st Rx Number for that patient for that day = 123456A

2nd Rx Number for that patient for that day = 123456B

Q. How does a pharmacy modify a previously submitted record?

- A. It depends what ASAP data elements you wish to correct. Changes to one or more of any of the following data elements require a void (DSP01 = “02”) prior to the subsequent submission of a new record:

NCPDP/NABP Provider ID (PHA02)

Prescription Number (DSP02)

Date Filled (DSP05)

If the change is to any other data element, make the change to that element and resubmit the record.

NOTE: If the medication in a “dispensed and reported” record was never picked up from the pharmacy by a customer, then the record should be resubmitted to NYSDOH as a void as described above. Voids and corrections can also be made using the PMP Data Collection Tool → RX Review Module.

Q. Can a compound drug be corrected using the “Correction” function in the Rx Review module?

A. No. Corrections to compound drug prescription records must be made by uploading a new record on the next file submitted. If the new record matches the existing record on NABP/NCPDP Number, Rx Number and Date Filled, then the new record will override the errored record. If either the NABP/NCPDP Number, Rx Number or Date Filled on the new record differ from what was submitted on the original record, the original record will need to be voided, and the new record will need to be submitted.

Q. If I have no dispensing data for a given day, but I have voids/corrections to report, should I submit a Zero Report for that day or should I submit the voids/corrections?

A. Submit a data file containing your voids/corrections and then separately submit your Zero Report. Voids, Corrections and Zero Reports can also be submitted using the PMP Data Collection Tool.

Testing Procedures

Q. Should a submitting organization transmit test data prior to the submission of production data?

A. Submitting organizations are encouraged to upload a test file to NYSDOH BNE prior to submission of actual production data. Test files must indicate a File Type (TH07) set to “T” within the TH Transaction Header segment. While the test file may contain actual prescription data, records submitted with a File Type set to “T” are not stored and therefore do not comply with reporting requirements. Test records will not display on the PMP Registry. Submitters may check the status of their test submissions via the PMP Data Collection Tool → Submission Status module. Once testing is complete, set TH07 to “P” to submit production data. Each file submitted must have a unique Transaction Control Number (TCN) in the TH Transaction Header. If one TCN was used for a test file, that particular TCN must be modified before resubmitting it as a Production file, or the file will be rejected.

Submission Status and Correction

Q. How can a submitter tell if the data submission upload was successful?

A. A message will display indicating that the submission was accepted and has been submitted for processing. The data was not successfully transmitted if a confirmation message does not display or if a message displayed indicates that the file was not accepted, i.e.,

There were fatal errors: This submission is not accepted!

Q. If a pharmacy uses a software vendor to submit their files, how do they know if their data submission was a success?

A. They can consult the Submission Status option on the PMP Data Collection Tool. The “Submission Log” will indicate whether the file was “Accepted”, “Rejected”, or “Processed”. If the file was “Processed – Error”, the Summary report will indicate if the errors were related to their pharmacy.

Pharmacy providers or dispensing practitioners utilizing a data submission service should contact their software vendor if the file was rejected, or if they need assistance correcting errors.

Q. If the file submitted is not accepted, can it be submitted via email to NYSDOH BNE for processing?

A. No. Contact your software vendor to correct the file, and then resubmit the corrected file.

Q. How can a submitting entity tell if the processing of their data transmission has been successful?

A. Submitters need to check the status of their submission via the PMP Data Collection Tool. To do so, click on "Submissions Status".

Q. How do I confirm that the data I manually entered was received by NYSDOH BNE?

A. After the data was submitted, a message will display stating "Manual Submission is Successfully Processed". This confirms the data was received by NYSDOH BNE. Alternatively, the information can be viewed by performing the following steps:
Go to Prescription Monitoring Program Data Collection Tool → Submission Status → View → Manual Submission Status → Enter applicable date range → Submit
Scroll down to see each data submission listed under "File Submission Status".

Q. Why does the submission status show the file processed with errors when the file uploaded successfully?

A. This will occur when the file is successfully uploaded but one or more of the individual prescription records within the file contain data errors.

Q. How are errors that need correction retrieved?

A. To view your cumulative outstanding errors, click on the green button "ALL OUTSTANDING ERRORS". Two formats for this file are available: CSV or PDF. CSV opens as an Excel spreadsheet and is the better option if you have many errors to view.

To retrieve errors and view warnings for a specific file submission, follow the steps below:

Go to Submission Status → Submission Log (each file submission is listed) → Submission Statistics (Summary Link) → Check the summary report for errors

Click the PDF link under the column heading "Detailed Errors & Warnings" if the report indicates that the file has errors or warnings.

NOTE: If a summary did not show errors, no further action is required.

Q. How do I open a .CSV Errors & Warning report file within the PMP Data Collection Tool?

A. Industry standard .CSV files are compatible with Microsoft Excel as well as other similar spreadsheet programs. If you do not have a CSV compatible spreadsheet program, open the .PDF version of the Errors & Warnings report. The .PDF report may be a better option for review of errors and warnings related to a particular file.

NOTE: Each error record contains:

- NABP number
- Pharmacy Name
- Rx Number
- Date Filled
- Field with the error

- Field description
- "Error" vs. "Warning" indicator
- Value submitted which has the error
- Error description

Q. What is the difference between a “Warning” and an “Error”?

- A.** A record with an “Error” requires correction and resubmission. Records with errors will NOT display on the PMP Registry and must be corrected and resubmitted within 3 days.
A record with a “Warning” has been successfully processed, but provides an informational message intended to alert the submitter to review their data. These records will display on the PMP Registry, and corrections are not required.

Q. When reviewing the Submission Status log, the submitted file is displayed in red and states that the file was processed with errors. Why aren’t there any errors listed when viewing the associated detailed errors and warnings report?

- A.** Vendors often submit data for multiple pharmacies in a single file. An error in any one pharmacy’s data will cause the entire file to display in red indicating that there are errors in the file. To determine if your pharmacy’s data had an error, click “Summary” under the Submission Statistics and review the summary report.

Q. Will the Summary report and the Errors & Warnings report be updated after the error has been corrected in the Prescription Monitoring Program Data Collection Tool?

- A.** No. Since the Summary report and Errors & Warnings are a snapshot of that data submission, they will not change after the errors are corrected or voided. Each file listed in the File Submission Status is a record of the data submitted at that point in time. To see if there are any outstanding errors, click on the “ALL OUTSTANDING ERRORS” button.

Q. How are errors concerning an incorrect number of fields in the TH, IS, PHA, PAT, DSP, PRE, CDI, AIR, TP or TT Segment (TH) handled?

- A.** The type of file is a delimited file using the data segment terminator specified in the Transaction Header. For more detail, refer to the “Implementation Guide ASAP Standard for Prescription Drug Monitoring Programs”. The guide is available on the ASAP’s website: <https://asapnet.org/>.

Q. Why do I see an “Access Denied” message when I click on the link for the Prescription Monitoring Program (PMP) Data Collection Tool?

- A.** The roles of “Controlled Substance Prescription Data Submitter” and/or “Controlled Substance Prescription Data Reviewer” must be assigned to an HCS user who will be submitting or monitoring data submissions, or correcting data.

If you will be responsible for both data submissions and review of errors, then BOTH roles are required. Contact your organization’s HCS Coordinator to assign one or both of the roles described above in the HCS Coordinator’s Update Tool. If the PMP Data Collection Tool is not available after the roles have been assigned, click the refresh button, and the PMP Data Collection Tool should appear as an option.
If you determine that the roles have been assigned, and you receive “Access Denied”, ensure you are clicking the PMP Data Collection Tool and not the PMP Registry.

Q. Why isn't the Submission Status menu option displaying in the Prescription Monitoring Program Data Collection Tool?

A. This menu option will only display for users with the role of "Controlled Substance Prescription Data Reviewer", which is assigned by your HCS Coordinator.

Reporting using ASAP Standard Version 4.2, 4.2a and 4.2b

Q. What is ASAP?

A. ASAP is a national standard for submitting controlled substance prescription data to state prescription monitoring programs. ASAP stands for the American Society for Automation in Pharmacy.

Q. Is reporting in ASAP Version 4.2 required to submit controlled substance data in order to accept electronic prescriptions for controlled substances?

A. Yes. In order to capture all fields that are required when submitting controlled substance prescription data to NYSDOH BNE, data must be submitted using ASAP Version 4.2, 4.2a or 4.2b.

Q. What fields are required for reporting controlled substance prescription data for electronic prescriptions?

A. Currently all pharmacies accepting electronic prescriptions for controlled substances must report the following information using ASAP Version 4.2, 4.2a or 4.2b: Electronic Prescription Reference Number (DSP20) and Electronic Prescription Order Number (DSP21). The serial number (AIR02) must be reported with eight "E"s (EEEEEEEE).

Q. Where does the Electronic Prescription Reference Number (DSP20) come from?

A. This number is generated from the prescriber's system sending the controlled substance prescription.

Q. What is reported for the Serial number when the prescriber is not licensed in New York State?

A. Eight "Z"s (ZZZZZZZZ) should be reported for the Serial Number for any prescriber who is not licensed in NYS.

Q. What is reported for the Serial number for a controlled substance that is dispensed from a veterinarian's or other dispensing practitioner's office?

A. A dispensing veterinarian or practitioner will not be writing a prescription. They should indicate 8 "Z"s (ZZZZZZZZ) for the Serial number when reporting.

Q. What should be reported for the Serial number for an oral prescription?

A. Eight "9"s (99999999) should be reported for an oral prescription filled by a pharmacy.

Q. How is Date Sold (DSP17) reported if the patient never picked up the prescription?

A. If the prescription was not picked up, the record should not be reported to NYSDOH BNE. The record should ONLY be reported within 24 hours of the date the patient picked up the prescription. If the record was reported, it must be VOIDED using the PMP Data Collection Tool or by sending in the VOIDED record on the next file upload.

Q. How does a mail-order pharmacy report Date Sold (DSP17)?

A. The Date Sold (DSP17) is the date the prescription is shipped from the pharmacy. Pharmacies delivering prescriptions by mail or licensed express delivery services shall submit the prescription information not later than 72 hours after the controlled substance was shipped from the pharmacy.

Q. What is the difference between Date Filled (DSP05) and Date Sold (DSP17)?

A. Date Filled is the date that the pharmacist filled the prescription. Date Sold (DSP17) is the date that the prescription was picked up or mailed from the pharmacy. The prescription dispensing record should not be submitted to NYSDOH BNE until the prescription is picked up by the patient or mailed from the pharmacy.

Q. How is Species Code (PAT20) reported?

A. The Species Code must be included in your controlled substance data submission to NYSDOH BNE. Please contact your vendor to discuss how to capture this information.

- Human = "01" in PAT20 field
- Veterinary Patient = "02" in PAT2 field

Q. How is Name of Animal (PAT23) reported?

A. If the prescription is dispensed for an animal, the animal's name must be included in the Name of Animal (PAT23) field. Please contact your vendor to discuss how to capture this information.

NOTE: In addition to the pet's name included in PAT23, the pet owner's name must also be reported: PAT07 (Last Name) and PAT08 (First Name).

Q. What birthdate should be included if the prescription is for an animal?

A. Include the birthdate of the animal in the PAT18 – Date of Birth field.

Q. Where can more information regarding the submission of controlled substance data be found?

A. Additional information can be found on the Bureau's Electronic Data Submission web page:
http://www.health.ny.gov/professionals/narcotic/electronic_data_transmission/

Q. If the DEA suffix is not included in the controlled substance reporting record when submitting a record with an institutional DEA number, will it result in an error?

A. No. The Bureau of Narcotic Enforcement is interested in collecting the DEA suffix of the practitioners using an institutional DEA number. However, at this time, only a warning will be generated if the DEA suffix field is left blank or null, and the DEA Number field (PRE02) contains an institutional DEA number. However, if your pharmacy system does store the DEA Suffix, please be sure NOT to include a dash (-) after the DEA Number in the DEA Number (PRE02) field on your submitted data file as it will generate an error for those records.

Unattended File Transfer (UPHN Lite)

Q. What is UPHN Lite and how would it benefit my organization?

A. UPHN Lite is a scalable, standards-based software package used by the NYSDOH for the secure unattended transmission of data.

Q. Does NYSDOH support common file transfer protocols such as FTP, SFTP and SSH for unattended transmission of data?

A. No. In order to provide the greatest level of security, unattended data may only be submitted to NYSDOH via UPHN Lite.

Q. Is use of UPHN Lite mandatory if an organization manually uploads dispensed controlled substance data into the PMP Registry and wishes to continue to do so?

A. No. UPHN Lite is voluntary; pharmacy providers not interested in using UPHN Lite for their data submissions may continue to manually upload their data into the PMP Registry.

Q. Which version of Microsoft Windows is required to install UPHN Lite? Can it be installed under other operating systems?

A. UPHN Lite supports Windows 10 (32 and 64-bit), 2012 (64-bit), 2012 R2 (64-bit), Windows Server 2016, & Windows Server 2019. Other operating systems, such as UNIX, LINUX, or Mac OS X, are not currently supported.

Q. What network port does UPHN Lite require?

A. UPHN Lite uses standard HTTPS port 443 which is supported by the vast majority of organizational firewalls.

Q. How long will UPHN Lite installation take?

A. Installation time is typically less than one hour.

Q. I already have an HCS Account. Why does a UPHN Lite software installation require an AFT Account?

A. UPHN Lite relies upon the AFT Account to securely transmit data between your organization and NYSDOH. AFT Account credentials (user ID and password) are entered into UPHN Lite during the installation process and provide authentication back to NYSDOH. An X.509 digital certificate further enhances the security of the data transport process.

Q. Who has access to an organization's AFT account credentials?

A. Your organization's Organization Security Coordinator (OSC).

Q. UPHN Lite has successfully transferred my data to NYSDOH. Does this mean that the data has successfully been processed and entered into the PMP Registry?

A. Not necessarily. UPHN Lite is simply a software solution for organizations to securely submit data to NYSDOH in an unattended manner. Successfully transmitted data may still be rejected by the PMP Registry if the data does not meet submission and validation standards.

NOTE: All pharmacies using UPHN Lite to send their files automatically MUST continue to monitor the success of their submissions and their errors in submission: PMP Data Collection Tool → Submission Status (tab).

Q. Are files scanned by UPHN Lite for viruses prior to transfer?

A. Files that are sent to NYSDOH are automatically scanned for viruses prior to being accepted into NYSDOH data systems.

Q. I have a question about installing UPHN Lite, how can I get my question answered?

A. All UPHN Lite questions must be sent to: UPHN@health.ny.gov.