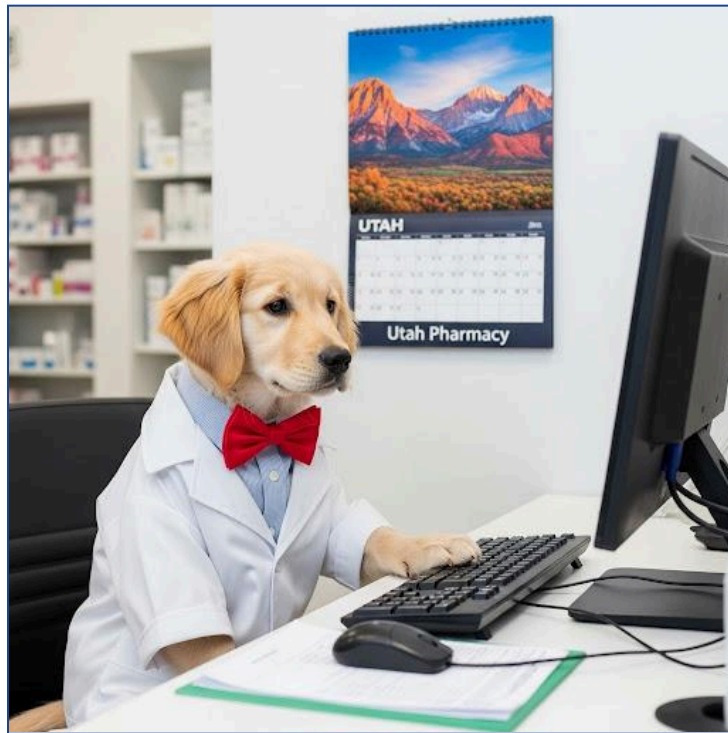


# Utah Pharmacy Upload Portal (U-PUP)

## Submitter and Delegate User Guide



**PREPARED BY:**

**Controlled Substance Database**

Division of Professional Licensing

Utah Department of Commerce

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With the assistance of Google Gemini

# Utah-Pharmacy Upload Portal (U-PUP) Submitter User Guide - Draft

## Table of Contents

- [1. Welcome to the Utah-Pharmacy Upload Portal \(U-PUP\)](#)
  - [1.1 Purpose](#)
  - [1.2 Program Overview](#)
  - [1.3 About the U-PUP](#)
  - [1.4 How the Utah-Pharmacy Upload Portal Integrates with the CSD](#)
- [2. Accessing Your U-PUP Account](#)
  - [2.1 Login Process](#)
  - [2.2 First-Time Login & Registration](#)
  - [2.3 Understanding Your User ID](#)
  - [2.4 SFTP Access and Keys](#)
- [3. Understanding U-PUP Account Types](#)
  - [3.1 Submitter](#)
  - [3.2 Submitter Delegate](#)
  - [3.3 Managing Delegates and Pharmacy Affiliations](#)
- [4. Submitting Pharmacy Data](#)
  - [4.1 Manual Entry \(Universal Claim Form - UCF\)](#)
    - [4.1.1 Supported Data Standards](#)
    - [4.1.2 Required Fields and Validations](#)
  - [4.2 Manual File Upload \(SFTP or Web Portal\)](#)
    - [4.2.1 File Formats and Naming](#)
    - [4.2.2 File Processing Times](#)
    - [4.2.3 SFTP Submissions](#)
    - [4.2.4 Web Portal Submissions](#)
  - [4.3 Zero Reports](#)
    - [4.3.1 Submitting Zero Reports](#)
    - [4.3.2 Avoiding Duplicate Zero Reports](#)
- [5. Managing Your Submissions](#)
  - [5.1 Viewing Submission History](#)
  - [5.2 Understanding Errors and Warnings](#)
  - [5.3 Correcting Submission Errors](#)
  - [5.4 Handling Duplicate Submissions](#)
- [6. Voiding your Submissions](#)
- [7. Managing Your U-PUP Profile](#)
  - [7.1 Updating Personal Information](#)
  - [7.2 Changing Account Status or Type](#)
- [8. Help and Support](#)
  - [8.1 Contacting Support](#)
  - [8.2 Troubleshooting Common Issues](#)

- Appendices
  - [Appendix A: PuTTYgen User Guide: Generating an RSA SSH-2 Key Pair](#)
  - [Appendix B: ASAP 4.2 Regular File Specifications](#)
  - [Appendix C: ASAP 4.2 Zero Report Specifications](#)

## **1. Welcome to the Utah-Pharmacy Upload Portal (U-PUP)**

Welcome to the Utah-Pharmacy Upload Portal (U-PUP), a new system designed to streamline the submission of controlled substance data to the State of Utah's Prescription Drug Monitoring Program (PDMP), the Controlled Substance Database (CSD). This guide will walk you through setting up and accessing your account, submitting data, and managing your account and submissions effectively.

### **1.1 Purpose**

The "Utah-Pharmacy Upload Portal Submitter and Delegate User Guide" is designed to familiarize prescription data submitters with how to access and use the U-PUP to submit their prescription data to Utah's PDMP, the CSD, to fulfill their statutory reporting obligations.

This document is primarily intended for licensed pharmacists and their designated data submitters, whether in-house or as a third-party vendor. It applies to those engaged in the dispensing of prescription controlled substances within the state of Utah.

### **1.2 Program Overview**

The CSD is a resource that assists prescribing practitioners and pharmacists in providing efficient care for their patients and customers' usage of controlled substances. It operates primarily under the authority of the Utah Controlled Substances Act and the Utah Controlled Substances Database Act, as well as other statutes and rules.

The Utah CSD Program was legislatively created and put into effect on July 1, 1995. The CSD collects data on the dispensing of Schedule II-V drugs from all retail, institutional, and outpatient hospital pharmacies, and in-state/out-of-state mail order pharmacies. The data is disseminated to authorized individuals and used to identify potential cases of drug over-utilization, misuse, and over-prescribing of controlled substances throughout the state.

### **1.3 About the Utah-Pharmacy Upload Portal**

The U-PUP facilitates the submissions of prescription data by pharmacies required to submit their controlled substance prescription records in accordance with Utah State Code and Rules.

### **1.4 How the Utah-Pharmacy Upload Portal Integrates with the CSD**

The Utah Department of Commerce decided to bring prescription data submissions in-house and eliminate the reliance on third-party vendors. In order to accomplish this, they brought together a specialized team to develop a replacement web application. This application includes a State-managed data submission application with a public-facing web portal that enables users to submit their pharmacy data directly to the CSD. The data is validated against either the ASAP 4.2 or ASAP 5.0 standard. If the data is validated, it is loaded directly into the CSD every 2 minutes. If there are validation errors, the submitter can view those errors and correct the data directly in the web portal. Instructions for this process are found in Section [5.3](#).

## 2. Accessing Your U-PUP Account

### 2.1 Login Process Overview

To access the U-PUP, you will use your **UtahID**, which controls public access to State systems.

- If you do not have a UtahID account, **first go to [UtahID](#)** to create an account.
  - Click *Create Account* and follow the instructions. You will then be redirected back to the U-PUP registration page.
- Once you have an account, go to either the U-PUP [Test Portal](#) or [Production Portal](#) to create your respective U-PUP accounts. Note: You can use the same UtahID for both the Test and Production U-PUP accounts.
- After successful authentication, you will arrive at the U-PUP **user acknowledgment screen** where you simply click the blue *Accept* button on the bottom to advance.

UTAH  
An official state website

Utah Department of Commerce  
Pharmacy Upload Portal

Hello, TESTUP

Unauthorized Use of the Database is a Felony Punishable by Law  
Please read the Terms of Agreement below

R156-379-203 Submission, Collection, and Maintenance of Data Two options are available for a pharmacist to submit information: real-time submission 24-hour daily or next business day, whichever is later, batch submission The data to submit is from the POS date

1. (a) If the data is submitted by a single pharmacy entity the data is submitted according to the time each Rx was sold.  
2. (b) If the data is submitted by a pharmacy group the data is sorted by individual pharmacy within the group, and the data of each individual pharmacy within the group is submitted according to the date and time each Rx was sold.  
3. (c) If the data is submitted by a vendor for multiple pharmacies the data is sorted by individual pharmacy within the batch, and the data of each individual pharmacy within is submitted according to the date and time each Rx was sold.

(3) Under Subsections 58-37f-203(2), (3), and (5), the data required by this section is submitted to the database through one of the following methods:

- (a) electronic data sent via a secured internet transfer method, including secure file transfer protocol site transfer;
- (b) secure web based service; or

Current user email: UPUPTESTSUBMITTER@GMAIL.COM

By clicking the Accept button below, you are agreeing to the terms stated above.

Accept

Information contained in this website is protected under Utah Code 58-37f-301, 302, and 601. Unlawful access to or release of database information may subject an individual to felony and misdemeanor criminal liability and a civil penalty of up to \$5,000 per violation.  
The information contained in this database is received directly from personnel of the dispensing pharmacy. While efforts are made by pharmacy personnel to ensure accuracy of information provided, DCP cannot guarantee that all information contained in the database is entirely

- **NOTE:** The system is designed so you can jump between U-PUP and the **Controlled Substance Database (CSD)** without needing to re-authenticate each time, provided you are already logged in via UtahID.

### 2.2 First-Time Login & Registration

If it's your first time logging in, you will be directed to the **registration page** after authenticating with UtahID.

UTAH  
An official state website

Utah Department of Commerce  
Pharmacy Upload Portal

Hello, TESTUP

\* All fields are required.

UPO Email  
UPUPTESTSUBMITTER@GMAIL.COM

First Name  
TESTUP

Last Name  
TESTUP

UPO ID  
TESTUP

U-PUP User ID  
AQZTCCHQUP200010001

Phone Number  
Your phone number

Preferred Email  
Your Preferred Email

Account Type  
Default

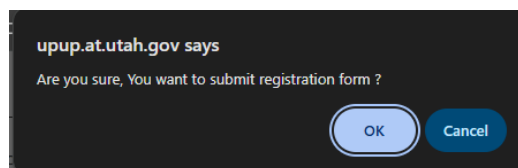
Would you like to enable SFTP for submission?  
Default

Register

- Enter at least the following **required** information (marked with a \*):
  - Preferred Email
    - *NOTE: This will be the email address used for communications from the U-PUP. You can use the same email as your UtahID by copying and pasting it into this field.*
  - Account Type: [Submitter](#) or [Submitter Delegate](#)
    - *NOTE: For submitter delegates make sure to save your U-PUP ID to give to your submitter as it won't be available again until your account is approved.*
  - Enable SFTP submissions?
    - YES
      - Create an SFTP Username
        - **NOTE: When configuring your SFTP connection make sure to specify an exact case match for your username with the SFTP User Name found in your U-PUP user profile.**
      - Enter your RSA SSH-2 public key. If you need to create a pair of SSH keys (1 public/1private) refer to [Appendix A](#) for PuttYGen. You can also refer to your IT team or software vendor, if applicable.
    - NO
      - Continue to next step
  - **(Submitters Only)** Add your authorized Pharmacies by searching by their name, NCPDP/NABP, or DEA numbers. Submitter Delegates will have access to the pharmacies of their respective submitter.
  - **NOTE:** If you are adding a submitter delegate, you will need to enter their 20-digit U-PUP User\_ID into the *Submitter Delegate Key* field.
  - You can complete any optional fields you want, but we encourage filling in as many as you can.
  - Click *Register* at the bottom of the form.

Register

- Click *Ok*

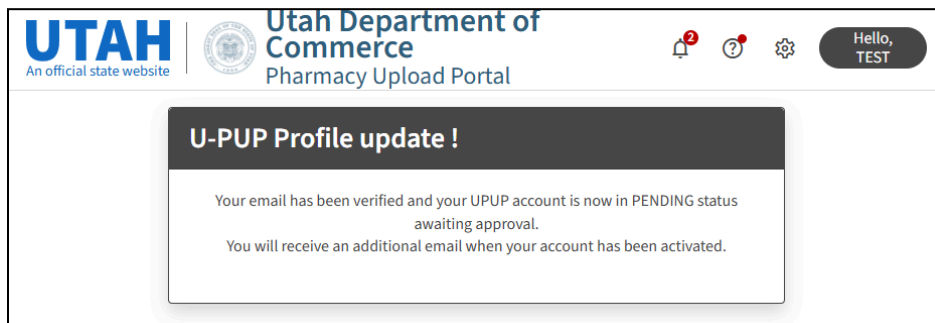


- The next step is email verification. You will need to check your **preferred email** account for an email from Utah Pharmacy Upload Portal (U-PUP) <csdb@utah.gov> to verify your email.

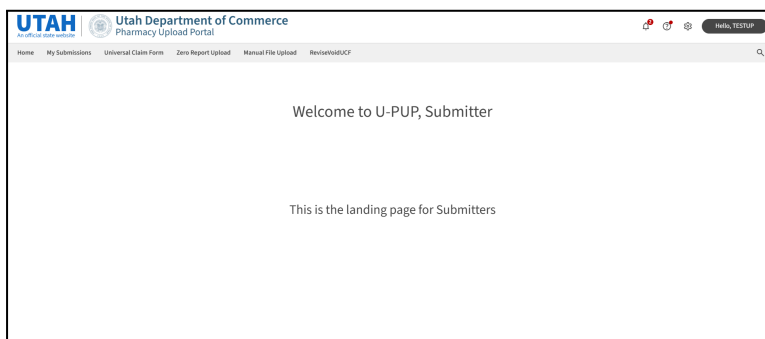
- **NOTE:** A Resend Verification Email button will be on the Pending status screen in U-PUP that you can click if you didn't receive the original email.



- Click on the hyperlink in the email body to verify your email address.
- A new tab or window will appear that will confirm your email has been verified.



- Once your email is verified a member of the CSD Admin Team will review your request. An email will be sent to you with the team's decision. Until a decision is made, you cannot log into the U-PUP but will only have access to your UtahID user profile.
- Once approved, you will receive an email notifying you that your account is active and you can start submitting your data!



- **NOTE:** If you become inactive, a member of the CSD admin team can manually remove delegates from your account.

## 2.3 Understanding Your User ID

- Your **U-PUP User ID** is **unique** to you and will be displayed in your as read-only for all roles.
- The U-PUP User ID is **not the same as your SFTP Username**.

## 2.4 SFTP Access and Keys

- SFTP accounts will only be created **for submitter accounts**. Submitter delegates will submit through their sponsoring submitter's SFTP account.
- You can choose your own SFTP username. This will be stored in your user profile. Note: Make sure wherever you enter your username to create a connection, it will need to be the exact case it is in your user profile!
- For SFTP submissions, you will need to provide your **PUBLIC** RSA SSH key string in your U-PUP profile. (**NOT** the key itself. The string can be obtained from the [PuTTYgen utility](#) on Windows.)
- **Each user will have a unique key**. The SFTP Submitter account will hold the submitter's SSH key and all the keys from their delegates.
- For help generating SSH keys, please refer to [Appendix A](#) for one method to assist through the process.

## 3. Understanding U-PUP Account Types

U-PUP utilizes different account types to manage user capabilities and permissions. The main account types you will interact with are **Submitter** and **Submitter Delegate**.

### 3.1 Submitter

- A **Submitter** account allows you to **submit data for one or more pharmacies**.
- Submitters can **add and manage their affiliated pharmacies which are shared by any delegates subordinate to them**.
- The system allows for **multiple submitters for a single pharmacy**.

### 3.2 Submitter Delegate

- A **Submitter Delegate** account allows a user to **submit data on behalf of a specific submitter**.
- Delegates can only be **linked to one submitter per session**.
- Delegates will inherit the pharmacies managed by whichever submitter they are associated with for that session;
- Delegates **do not choose pharmacies independently**.
- Even though a submitter delegate's **SFTP access uses the submitter's account**, the delegate still needs their own SSH keys for SFTP access.
- To update your affiliated submitter, please **contact that submitter with your U-PUP ID**, so they can add you as a delegate.
- Admins will continue to approve pharmacy submitter delegates.



### 3.3 Managing Delegates and Pharmacy Affiliations

- Submitters will have the ability to **manage their submitter delegates**, by removing or granting access.
- To add a delegate, the submitter will need the **delegate's 20-digit U-PUP User ID**. Enter the ID in the Submitter Delegate User ID field. Then be sure to click Update to save changes.
- To remove a delegate, the submitter can click the x on the delegate's name from the list of delegates. Then be sure to click Update to save changes
- **Pharmacies are tied to the submitter's account**, and a submitter can report for any pharmacy they are approved for.
- When adding pharmacies, users can **look up pharmacies** by Name, DEA, or NCPDP/NABP numbers.
- You will be presented with a **list of available pharmacies** you can submit for.
- The system will **create groups for submitters** to allow people within the same group to view data.

## 4. Submitting Pharmacy Data

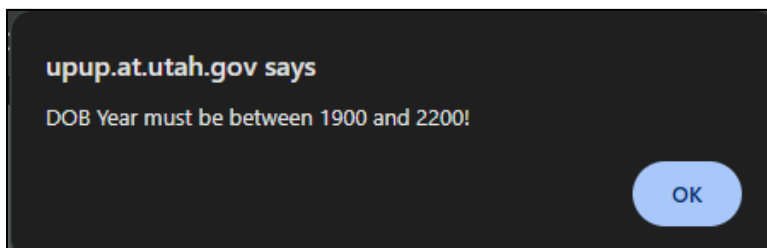
U-PUP supports various methods for submitting controlled substance data, ensuring flexibility for different pharmacy operations.

### 4.1 Manual Entry (Universal Claim Form)

Manual entry allows you to directly input individual dispensing records via the web application, and is also known as the Universal Claim Form (UCF). This is especially useful for users who do not have complex software systems to generate ASAP files or only dispense a few controlled substance scripts each day.

Here are some features of the UCF:

- You can **enter multiple prescribers, dispensers, and dispensings per patient**.
- Data is **validated at the time of entry**. This ensures the data is good-to-go before it's sent to the CSD.
  - If an entry is in the wrong format for a field, an error message will pop-up with details for the correct format.



To get to the UCF, Click on *Universal Claim Form* in the top menu bar

#### 4.1.1 Supported Data Standards

- The U-PUP will only use the **ASAP 5.0 standard** for UCF manual entries.
- The system will **NOT** accept **ASAP 4.2**. To submit an ASAP 4.2 file, you will need to upload a file. Please refer to the [Manual File Upload](#) instructions.

#### 4.1.2 Required Fields and Validations

- **Required fields will** have a red asterisk (\*) next to the field label.
- You will see a **"Show all optional fields"** toggle in the top right of each applicable section that you can click to show all of the available fields.

- **Situational fields are optional until data is entered** into one of the related fields, at which point all related fields become required.
- In the Patient section you can toggle between the default, **"Human"** and **"Animal"** for patient type.
- Fill out every required field and any desired optional fields.

## 4.2 Manual File Upload (SFTP or Web Portal)

You can upload data files directly to the CSD through the U-PUP web portal or via SFTP using your preferred secure file transferring software.

### 4.2.1 File Formats and Naming

- Files submitted via the web portal or SFTP must be in a **ASAP 4.2 or 5.0 standard format**.
- Files must be in **UTF8 (Universal Text Format)**; PDFs or other formats with hidden characters are not accepted and will be rejected immediately if they do not meet the format.
- Each file uploaded must have a **different file name and transaction number**.
- **The system will check for duplicate files when you submit.** Validation Error counts will be created for skipped duplicate records and show that the file Import Success % to less than 100%..

### 4.2.2 File Processing Times

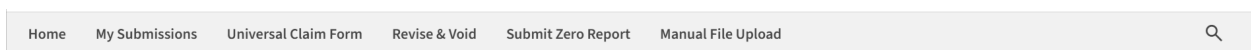
- The Bifrost, the CSD's bulk-processing system bridging U-PUP with the CSD, processes files **every 2 minutes** (on the hour and every even minute thereafter).
- Files submitted via SFTP are copied to storage on the fives, meaning there could be a **maximum wait of 15 minutes** for processing to begin.
- You will be able to see the **status of your uploaded files** in your [submission history](#).

### 4.2.3 SFTP Submissions

- To submit a file through SFTP use the following parameters:
  - Ensure your account has SFTP submissions enabled
    - Have a current, active SFTP account in U-PUP.
    - Provided the public SSH key in your U-PUP profile
  - Configure your SFTP client or script to send files to:
    - Production: [doc-upup-sftp.utah.gov](https://doc-upup-sftp.utah.gov)
    - Test: [doc-upup-sftp.at.utah.gov](https://doc-upup-sftp.at.utah.gov)
    - Port 22
- Submit the file according to your SFTP client's or batch procedures.

### 4.2.4 Web Portal Submissions

To upload data files directly to the CSD through the U-PUP web portal select the Manual File Upload from the menu.

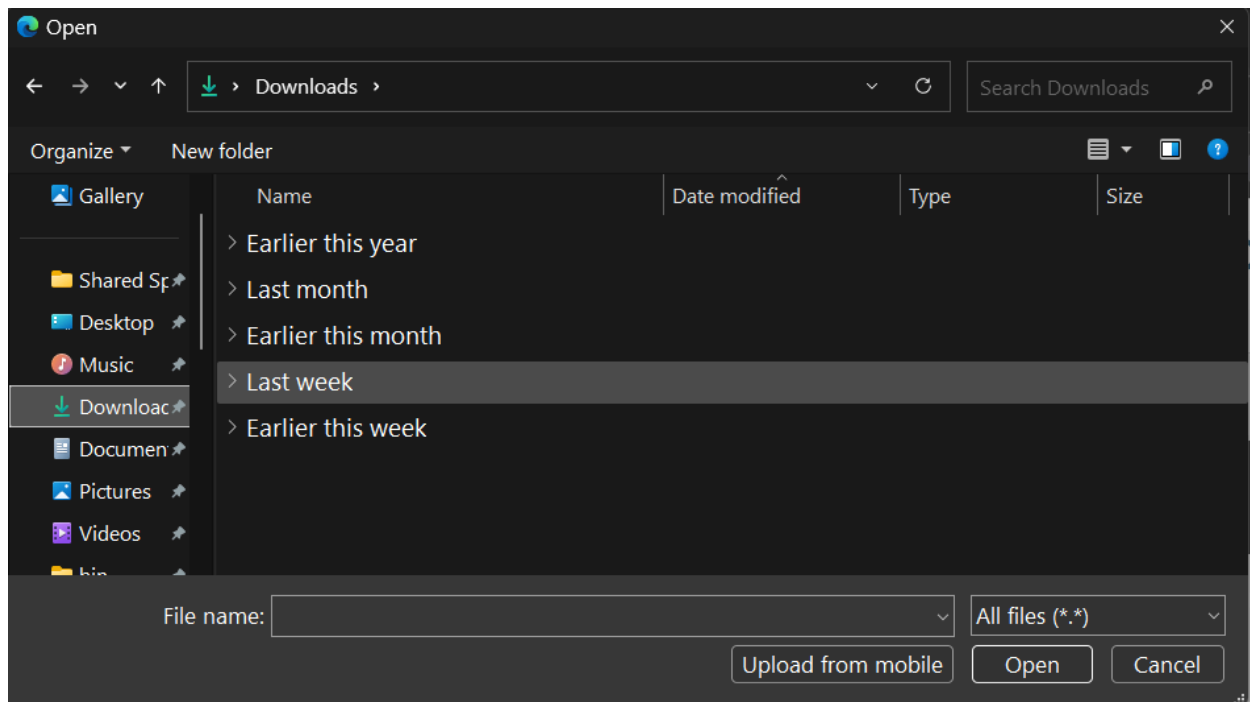


- To locate your ASAP 4.2 data file you can click the Box or the upload arrow icon to open a Windows Explorer window

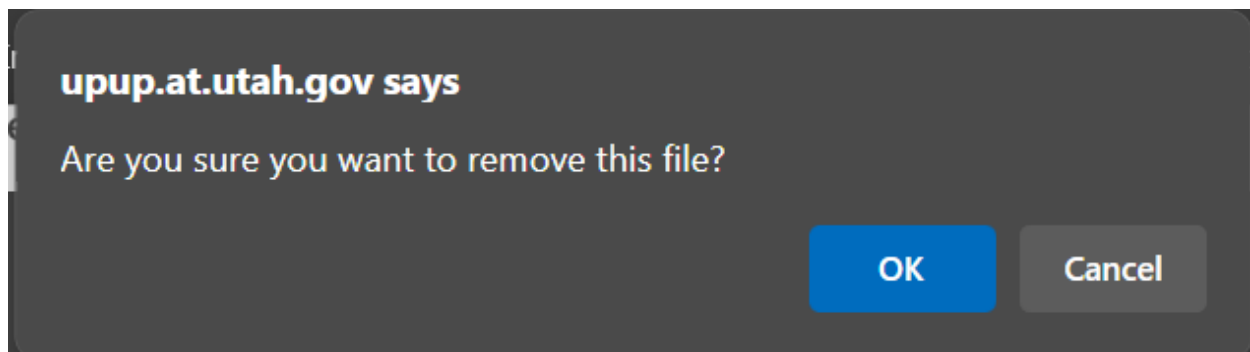
## Upload File \*



Drag a file here or click to upload



- Once you have navigated to the file location and selected the file, click Open
  - Note: U-PUP will only handle a single file at this time.
- The selected file will display along with its approximate file size
  - If you have selected the wrong file click the circled X to restart the file selection steps, a pop-up will appear to confirm this choice

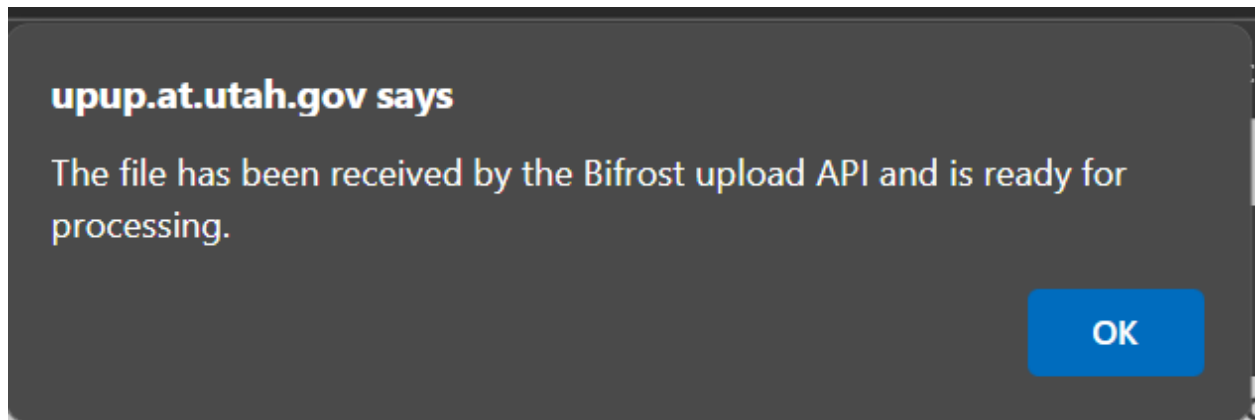


- Click Submit to upload the file

File Name	File Size	Actions
TH4.220250827D202508271430P~Reload~.txt	0.00MB	

Submit

- A pop-up will appear:

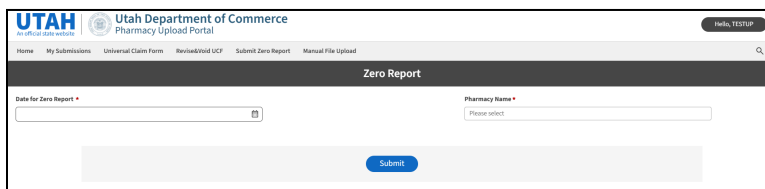


- The screen will then clear and you can navigate to the My Submissions tab or begin the steps again to load another file.

### 4.3 Zero Reports

Zero Reports are submitted when there has been no dispensing activity for a pharmacy for a single day.

#### 4.3.1 Submitting Zero Reports



- You can submit zero reports manually through the web application or as part of a file upload.
- To submit zero reports directly through the U-PUP web portal.
  - Navigate to the *Zero Report* tab
  - Supply the data for the two fields:
    - Date
    - Pharmacy Name
  - Click *Submit*
  - The U-PUP handles the rest of the processing behind the scenes.

- Future dates for zero report submissions are **not allowed**; submissions are restricted to the current day or past dates.

#### 4.3.2 Avoiding Duplicate Zero Reports

The system will **prevent duplicate zero report submissions** for the same pharmacy and date, even if attempted by different submitters, submitter delegates, or admins. An **alert message will be displayed** to prevent duplicate submissions.

### 5. Managing Your Submissions

The Submission History screen allows you to view the status and details of all your submitted files.

#### 5.1 Viewing Submission History

- The "My Submissions" page features **separate tabs for regular and zero reports**.

- You can access your submission history to see **parsed data from any submitted file**, regardless of submission type (e.g., zero report, UCF, manual upload, SFTP).

File Name	Received Timestamp	Import success %	Total Record Count	Import Success Count	Validation Error Count	Status	Last Updated Timestamp
UCFR_00000002_01_20250711_155259	2025/07/11 09:52:59.99303 MST	100.00%	1	1	0	PROCESSED	2025/07/11 09:53:00.00772 MST

- You can toggle between *All Files*, *Error Files*, and *No Error Files* to customize your results based on what you want to do next.

- Submission records can be **ordered/sorted** File Name, Received Time stamp, Success Percent, Record Count, Success Count, Error Count, Status, and Last Updated Time Stamp.
- You can **search submission history by date range** (the default is the last 15 days).
- For zero reports, you will see a **summary view and a pop-up with more details**.

## 5.2 Understanding Errors and Warnings

- **Errors and warnings will be linked to specific, related fields** in the submission. This will allow good data to continue onto the database **without blocking the entire file**.
- **Validation errors will be displayed by clicking on the record containing the error and drilling down to the appropriate field(s)**.
- After you have drilled down to the errors, you can correct them right there in the portal, and resubmit.

## 5.3 Correcting Submission Errors

- As mentioned above, corrections are done at the **record level**. This will allow all the good data to be recorded instead of kicking the entire file back.
- You will be able to **edit files online in two areas in the U-PUP**:
  - The [My Submissions](#) tab
  - The [Revise & Void](#) tab (Only live data already in the system.)
  - The U-PUP system is designed to allow good records into the CSD, and hold out records that do not pass validation rules. If the record cannot be corrected using the error correction logic, You can select to ignore the record and it will strike the records from needing to be addressed.

### 5.3.1 Correcting Errors (My Submissions)

- Navigate to the *My Submissions* tab.
- Regular submissions will be under the *Pharmacy Data* tab, while zero reports can be found under the *Zero Reports* tab.
- Enter the *Start* and *End Dates* for the range you want and click search.

The screenshot displays the 'My Submissions' page of the Utah Department of Commerce Pharmacy Upload Portal. The page header includes the UTAH logo and the text 'Utah Department of Commerce Pharmacy Upload Portal'. A navigation bar contains links: Home, My Submissions, Universal Claim Form, Revise & Void, Submit Zero Report, and Manual File Upload. A search icon is located on the right. Below the navigation bar, the 'My Submissions' section is active, showing two tabs: 'Pharmacy Data' and 'Zero Reports'. Under the 'Pharmacy Data' tab, there are input fields for 'Start Date' (2025/08/12) and 'End Date' (2025/08/27), followed by a 'Search' button. To the right of these fields are three radio button options: 'All Files' (selected), 'Error Files', and 'No Errors'. A 'Hello, TESTUP' button is visible in the top right corner.

- A list of your submitted files will appear informing you of which files have been submitted and how many records from those files have been successfully imported and how many validation errors were encountered.

- Click on any row with at least one validation error to submit a correction.
- A list of Validation Errors will appear:

- Click on the row with the error you'd like to correct and enter the correct information in the *Correction* field. A box that includes the prescription number (DSP02) will appear below the table so you can find the prescription number quickly to get the missing information from your records.



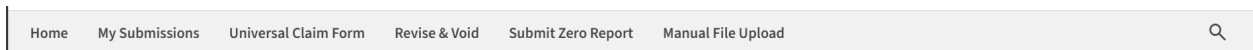
- After entering all the corrections needed, click *Submit Corrections* at the bottom of the Validation Errors table to update the system.
- The records have now been updated with your corrections!

## 5.4 Handling Duplicate Submissions

- The system will **run an algorithm against all** submitted records to identify duplicates.
- If identical records are found, the **older record will need to be voided and replaced with the newest one, if the newest one is the one you want recorded.**

## 6. Voiding Submissions

The U-PUP can help you quickly revise or void a script that was successfully loaded into the CSD. From the Menu Select Revise & Void.



### 6.1 Locating a Record

You will need some key data pieces to have the system locate the record.

- NCPDP/NABP Provider ID [PHA02]\*\*
  - Enter the 7-digit ID number
- Prescription Number [DSP02]\*\*
  - Enter the prescription number that you desire to revise/void
- Refill Number [DSP06]\*\*
  - Enter the refill number
- Date Sold [DSP17]\*\*
  - YYYY/MM/DD

Search Fields

\*\* Search fields are required and can also be edited.

NCPDP/NABP Provider ID [PHA02]\*\*

Prescription Number [DSP02]\*\*

Refill Number [DSP06]\*\*

Date Sold [DSP17]\*\*

Enter a 7-digit alphanumeric ID

Enter prescription number

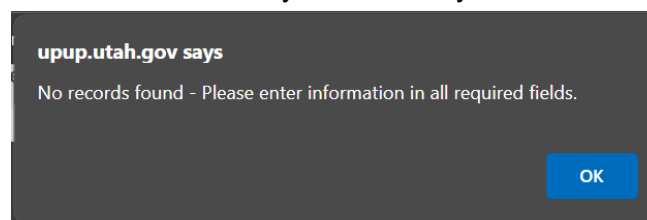
Enter refill number

YYYY/MM/DD

Reset

Search

- After entering the required information click *Search*
- If the provided data is incorrect the system will let you know:



- If the provided search parameters are correct a record will be displayed:

Reporting Status [DSP01]	Patient Last Name [PAT07]	Patient First Name [PAT08]	Pharmacy Name	NCPDP/NABP Provider ID [PHA02]	Prescription Number [DSP02]	Refill Number [DSP06]	Date Sold [DSP17]
00	DOE	JOHN	GLOBAL (TEST) PHARMACY	<a href="#">0000001</a>	1234	0	08/27/2025

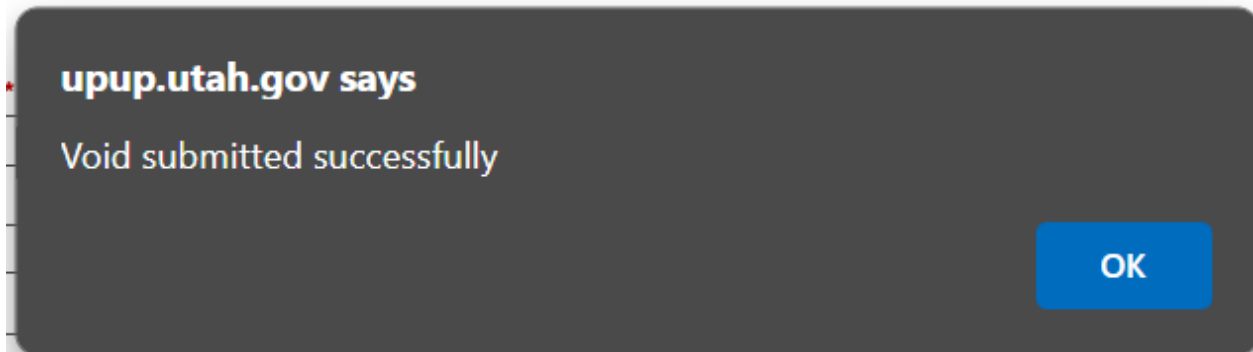
## 6.2 Voiding a Record

The screenshot shows the 'upup.utah.gov' interface. At the top, there is a 'Revise' toggle set to 'Void'. Below it, a message states 'This will do 4.2 Validations'. The form is divided into several sections: 'Pharmacy Details', 'Patient 1 Information', 'Patient 1 > Dispenser 1 Information', 'Patient 1 > Dispenser 1 > Prescriber Information', and 'Patient 1 > Dispenser 1 > Additional Information Reporting (Pick-up)'. Each section contains various input fields for patient and prescription data.

- To Void simple adjust the toggle to Void and then at the bottom of the page click Submit Corrections button
- A pop-up will ask to confirm

The pop-up dialog box has a dark background. It features the text 'upup.utah.gov says' in a bold, white font, followed by the question 'Are you sure you want to submit as void?' in a lighter font. At the bottom right, there are two buttons: a blue 'OK' button and a grey 'Cancel' button.

- If successful a pop-up will display:

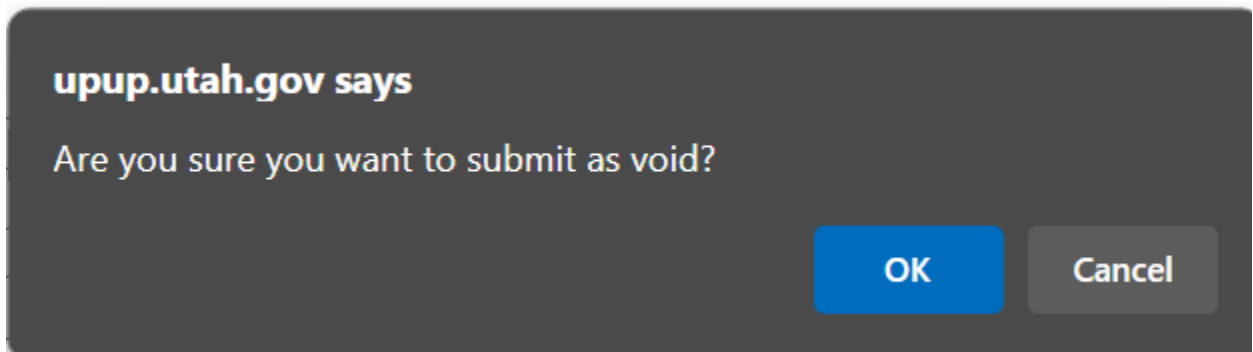


- And the module will clear out for a new search.

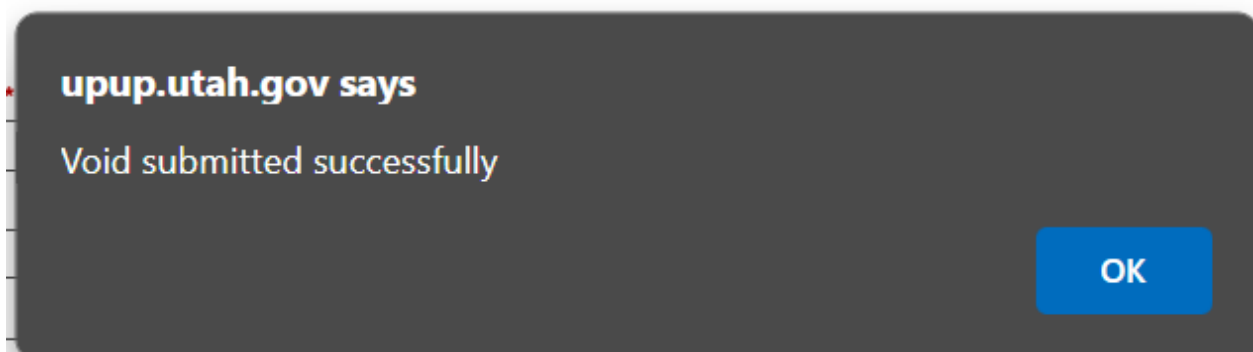
### 6.3 Revising a Field

To Revise a field (like Date Sold) locate the field and enter the data that you want to update.

- For example Date Sold [DSP17]
- Enter the updated date or select from the Calendar
- then at the bottom of the page click Submit Corrections button
- A pop-up will ask to confirm



- If successful, a pop-up will display:



- And the module will clear out for a new search.

- If the validation finds something incompatible this pop-up will appear



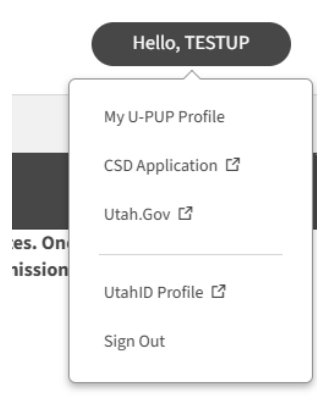
- Check your entry. If a problem persists, [contact the CSD](#).

## 7. Managing Your U-PUP Profile

Your U-PUP profile allows you to view and update key contact information related to your account.

### 7.1 Updating Personal Information

- You can **change your preferred email and preferred phone number** from your profile screen.
  - To access your profile, click on the *Hello, <User Name>* button in the top right of the header and select *My U-PUP Profile*.



- On this screen, you can modify any fields that are not greyed out to include preferred contact information, SFTP, and pharmacy information.
- You will be able to **add and remove pharmacies and delegates** as a submitter.

**NOTE:** You will need to log directly into [UtahID](#) to change your First Name, Last Name, Email, or Phone Number.

## 7.2 Changing Account Status or Type

- In order to change your account status, you'll need to contact the CSD team. They can manually **change your account status** (e.g., pending, expired, inactive, rejected).
- They can also **change your account type** (e.g., from submitter to submitter delegate), if requested.
- If you need to change the pharmacy you work for, you can add the new pharmacy(ies) you are submitting for and remove your former ones from the user profile screen. Be aware that the CSD team needs to approve all added pharmacies before you'll be able to submit on their behalf.

## 8. Help and Support

### 8.1 Contacting Support

- You can **contact the Controlled Substance Database (CSD) support** for assistance.
- A **"Contact Us" page** with relevant details will be available in subsequent versions. Until then, you can find the information below and also through a direct link to the CSD Web Portal where contact information can be found under the *Resources* menu.

#### **Contact Us:**

Utah Controlled Substance Database (CSD)

[csd@utah.gov](mailto:csd@utah.gov)

801.530.6220

### 8.2 Troubleshooting Common Issues

- For issues with **SFTP setup**, specific guidance on port numbers, keys, and software configuration will be provided.
- The system aims to **prevent submission of bad data** at the point of entry to reduce subsequent corrections.
- If you encounter an issue with your phone number/account due to a previous holder, **contact the Utah CSD service desk**.
- Please refer to the table starting on the following page for common troubleshooting issues and solutions:

Area of Functionality	Issue Category	Specific Issue	Potential Cause(s)	Troubleshooting Steps
User Authentication	Credentials	Incorrect username or password	Typo in entered credentials; Caps Lock is enabled; user is using an outdated password.	<p>Verify the username and password for typos.</p> <p>Check if the Caps Lock key is on.</p> <p>If you have recently changed their password, ensure they are using the new one.</p>
User Authentication	Account Status	Account is locked or disabled	Multiple failed login attempts; account has been suspended by an administrator; account is inactive.	<p>Wait for the lockout period to expire (if applicable).</p> <p>Contact the application administrator to unlock the account. <a href="#">Link</a></p> <p>Verify the account status and reactivation procedure.</p>
User Authentication	Session/Access	Session expiry or login failure	Session timeout; security restriction blocking access; invalid token.	<p>Refresh the login page or try logging in again.</p> <p>Clear browser cookies and cache related to the application.</p> <p>Check for network interruptions during the login process.</p>
Account Management	Password Reset/Recovery	Unable to reset password	Email delivery failure; incorrect email address linked to the account; password reset link expired.	<p>Check spam/junk folders for the password reset email.</p> <p>Verify the email address associated with the account is correct.</p> <p>Request a new password reset link.</p>
Account Management	Multi-Factor Authentication (MFA)	MFA verification failure	Incorrect MFA code entered; MFA device synchronization issues; MFA device lost or replaced.	<p>Ensure the MFA code is entered correctly and within the time limit.</p> <p>Check the time synchronization on the MFA device (e.g., Google Authenticator).</p> <p>If the device is lost, use backup codes or contact support for account</p>

Area of Functionality	Issue Category	Specific Issue	Potential Cause(s)	Troubleshooting Steps
				recovery. <a href="#">Link</a>
Browser/Client-side Issues	Browser Configuration	Login button or form not working	JavaScript is disabled; incompatible browser version; browser extensions interfering.	<p>Ensure JavaScript is enabled in the browser settings.</p> <p>Use a compatible browser (check application requirements).</p> <p>Disable browser extensions (especially ad blockers or privacy tools) and try logging in.</p>
Browser/Client-side Issues	Data/Cache	Login loop or failure after successful credentials	Corrupt browser cache or cookies; stored session data conflict.	<p>Clear all cookies and cached data for the web application.</p> <p>Try logging in using an incognito or private Browse window.</p>
Browser/Client-side Issues	Connectivity	Local network issues	Unstable internet connection; firewall or proxy blocking access.	<p>Check internet connectivity.</p> <p>Temporarily disable the firewall or VPN/proxy to see if it resolves the issue.</p> <p>Restart the router or modem.</p>
Network/Server Issues	Server Response	"Service Unavailable" or "Server Error"	Server downtime; heavy server load; internal application error.	<p>Check the application's status page (if available) for known outages.</p> <p>Wait and try again later.</p> <p>Contact application support if the issue persists.</p>
Network/Server Issues	Domain/DNS	Cannot reach the login page	DNS resolution failure; incorrect URL or domain name.	<p>Verify the URL is typed correctly.</p> <p>Flush the DNS cache on the user's computer.</p> <p>Try accessing the application using a different network.</p>
Manual Data Entry	Data Validation	Incorrect Data Format	Data entered does not match required format (e.g., date format, numeric vs. text).	Check validation rules for the field. Ensure data is entered in the expected format (e.g.,

Area of Functionality	Issue Category	Specific Issue	Potential Cause(s)	Troubleshooting Steps
				YYYY-MM-DD for dates).
Manual Data Entry	Data Validation	Missing Required Data	Mandatory fields are left blank.	Ensure all required fields are populated. Check if the field is marked as mandatory in the application settings.
Manual Data Entry	Data Validation	Duplicate Entries	Data already exists in the system based on a unique identifier.	Use data deduplication techniques. Check unique identifiers (e.g., Employee ID, Email) for existing records.
Manual Data Entry		Invalid Data (Out of Range)	Entered data does not meet defined criteria (e.g., age outside a valid range).	Verify the data against the defined validation criteria. Correct the data to fit within the acceptable range.
Manual Data Entry		Typos/Transposition Errors	Mistakes in typing or reversing characters/numbers.	Double-check data entry for accuracy. Utilize real-time validation checks if available.
Manual Data Entry	Application/User Interface	Slow Performance/Lag	High system load, browser issues, or network connectivity problems.	Check browser performance and try a different browser. Clear browser cache and cookies. Verify internet connection stability.
Manual File Uploads	File Constraints	Invalid File Type/Extension	Uploading a file type not supported by the application.	Verify the accepted file types (e.g., .txt, .dat). Convert the file to a supported format.
Manual File Uploads		File Size Exceeded	The file is larger than the maximum allowed size for upload.	Check the maximum file size limit. Split it into smaller files if



Area of Functionality	Issue Category	Specific Issue	Potential Cause(s)	Troubleshooting Steps
				possible.
Manual File Uploads		Corrupted File	The file is damaged and cannot be processed.	Verify the file integrity. Try opening the file locally. Re-export or re-create the file.
Manual File Uploads		Incorrect Encoding/Special Characters	File encoding issues (e.g., not UTF-8) or use of unsupported special characters in data or filename.	Ensure the file is encoded correctly (e.g., UTF-8). Remove any unsupported special characters from the filename and data.
Manual File Uploads	Upload Process	Interrupted Upload/Timeout	Slow internet connection, network issues, or server timeout during large file upload.	Ensure stable internet connectivity. If uploading large files, consider chunking the upload or using a more stable connection.
SFTP Transfers	Connection Issues	"Connection Refused" or "Failed to Connect"	Firewall blocking TCP port 22, incorrect host/port, or server downtime.	Verify SFTP server host and port. Ensure that the IP address is allowlisted in the firewall rules. Check server status.
SFTP Transfers	Authentication Issues	"Authentication Failed"	Incorrect username, password, or SSH key; wrong authentication type.	Verify SFTP credentials (username/password or SSH key).  Ensure the correct authentication type is used (e.g., SSH public key authentication vs. password).
SFTP Transfers		Permission Denied	The user lacks read/write permissions to the target directory.	Verify user permissions on the SFTP server for the specific directory.  Contact the server administrator to grant necessary

Area of Functionality	Issue Category	Specific Issue	Potential Cause(s)	Troubleshooting Steps
				permissions.
SFTP Transfers	File Transfer/Processing	File Ingestion Failure (Post-Transfer)	Incorrect file format (e.g., wrong delimiter), field mapping issues, or data validation errors in the transferred file.	<p>Check file format and delimiter consistency.</p> <p>Verify column mapping between the source file and the application's expected schema.</p> <p>Review application import logs for specific data errors.</p>
SFTP Transfers		SFTP Protocol/Client Issues	Unsupported SFTP protocol version, client-specific configurations (e.g., WinSCP splitting files), or key exchange algorithm mismatch.	<p>Ensure the client supports the required SFTP protocol version.</p> <p>Adjust client settings (e.g., disable time-stamping, ensure complete file transfer).</p>



# Appendix A: PuTTYgen User Guide: Generating an RSA SSH-2 Key Pair

This guide will walk you through the process of generating a public/private SSH-2 key pair using the PuTTYgen application.

## Step 1: Launch PuTTYgen

First, open the **PuTTYgen** application on your computer. If you don't have PuTTYgen on your computer, you can download it [here](#).

## Step 2: Configure Key Generation Settings

In the PuTTY Key Generator window, you'll need to set the parameters for your new key.

1. Select **RSA** under the "Type of key to generate" section.
2. Change the "Number of bits in a generated key" to a minimum of **2048 bits**. The recommended length is 2048 or higher.

## Step 3: Generate the Key Pair

Click the **Generate** button. As the key is being generated, you will see a progress bar. PuTTYgen requires random data to create the key, so you must move your mouse around the empty gray area in the window to provide this randomness. Continue moving your mouse until the green progress bar is full and the key is generated.

## Step 4: Add a Passphrase (Recommended)

After the key is generated, you will see the public key appear in the main text box. For added security, you should protect your private key with a **passphrase**.

1. Enter a strong passphrase in the **"Key passphrase"** field.
2. Re-enter the same passphrase in the **"Confirm passphrase"** field.

If you don't use a passphrase, anyone with access to your private key file can use it to authenticate.

## Step 5: Saving Your Keys

It's crucial to save both your public and private keys in a secure location.

1. **Save the private key:** Click the **"Save private key"** button. PuTTYgen will prompt you to save the key in its native format with a **.ppk** extension. Choose a secure location and a descriptive filename. **Never share this file with anyone.**
2. **Save the public key:** The public key is displayed in the large text box at the top of the window, starting with **ssh-rsa**. This is the key you will need to place on the server you want to connect to. While you can save this key by clicking the **"Save public key"** button, For U-PUP use you can **copy all the text from the top box and paste it into the SSH Public Key box in your profile.** Feel free to save it as a **.txt** file for later use or It is normally saved with a **.pub** extension.

## Step 6: Input Your Public Key

After completing Steps 1-5, you will have a public and private key pair for use with SSH. You can now use your private key with PuTTY, Filezilla, or another SSH client to connect to a server that has your public key installed.

1. **Input your public key:** The public key is entered into your U-PUP user profile.  
**Remember: NEVER share your private key!** Simply copy and paste the public key string into the SSH Key field from PuTTYgen which will look something like:

ssh-rsa

*[Several lines of random characters (letters, numbers, and special characters)]*

NOTE: If you get an invalid format error message, check to see if there are any spaces or "Enter" characters. The U-PUP will force you to enter the key again until it is in a valid format.

**1.1 If you already have a public key but need the key string**  
**Build the public key string by using the following template:**  
**Public Key String Template:**  
**ssh-rsa[SPACE][KEY]<SITUATIONAL>[SPACE][COMMENT]**

**Where:**  
**[SPACE]** is a space

**[KEY]** is the string found between the **Comment:** line and the  
**---- END SSH2 PUBLIC KEY ----** line in the public key file. If the key is spread  
across multiple lines you must remove any CR/LF characters so the key is all on  
one line.

**<SITUATIONAL>** The trailing **[SPACE][COMMENT]** should only be added if the  
value  
of the **Comment:** (what's between the double quotes **""**) is not empty.

**[COMMENT]** is what is found between the double quotes on the **Comment:** line. Do  
not include the double quotes.

- 2. Update your profile:** Remember to click *Update* to save your changes.
- 3. Your U-PUP account is ready to connect:** Return to the [registration process](#) or go to  
[4.2.3 SFTP Submissions](#) for further instructions on configuring your SFTP client or shell  
script.

# Appendix B: ASAP 4.2 Regular File Specifications

The information in this appendix contains the definitions for the specific contents required of submitted records in the American Society for Automation in Pharmacy (ASAP) version 4, release 2 format to comply with the Utah CSD's requirements.

The following elements are used in each submitted file:

1. **Segment Identifier** – indicates the beginning of a new segment, for example *PHA*.

2. **Data Delimiter** – character used to separate segments and the data elements within a segment, for example, an asterisk (\*).

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

If the last field in the segment is blank, it should contain an asterisk and a tilde (~).

3. **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 (~~).

## 4. Field Usage

- R = Required by ASAP
- RR = Required by the Utah CSD
- S = Situational (not required; however, supply if available)

Both “R” and “RR” fields must be reported.

**Note:** For more information regarding ASAP 4.2 specifications, contact the American Society for Automation in Pharmacy at [www.asapnet.org](http://www.asapnet.org) for the full *Implementation Guide for the ASAP Standard for Prescription-Monitoring Programs*. The full guide includes field lengths, acceptable attributes, and examples.

## ASAP 4.2 Fields

Segment	Field ID	Field Name	Field Usage
<b>TH: Transaction Header</b> Required segment; used to indicate the start of a transaction. It also assigns the data element separator, segment terminator, and control number.			
	<b>TH01</b>	<b>Version/Release Number</b>  Code uniquely identifying the transaction. Format = xx.x	R
	<b>TH02</b>	<b>Transaction Control Number</b>  Sender assigned code uniquely identifying a transaction.	R
	<b>TH03</b>	<b>Transaction Type</b>  Identifies the purpose of initiating the transaction. <ul style="list-style-type: none"> <li>•01 Send/Request Transaction</li> <li>•02 Acknowledgement (used in Response only)</li> <li>•03 Error Receiving (used in Response only)</li> <li>•04 Void (used to void a specific Rx in a real-time transmission or an entire batch that has been transmitted)</li> </ul>	S
	<b>TH04</b>	<b>Response ID</b>  Contains the Transaction Control Number of a transaction that initiated the transaction. Required in response transaction only.	S
	<b>TH05</b>	<b>Creation Date</b>  Date the transaction was created. Format: CCYYMMDD.	R
	<b>TH06</b>	<b>Creation Time</b>	R



		Time the transaction was created. Format: HHMMSS or HHMM.	
	<b>TH07</b>	<b>File Type</b>  P = Production T = Test	R
	<b>TH08</b>	<b>Routing Number</b>  Reserved for real-time transmissions that go through a network switch to indicate, if necessary, the specific state CSD the transaction should be routed to.	S
	<b>TH09</b>	<b>Segment Terminator Character</b>  This terminates the TH segment and sets the actual value of the data segment terminator for the entire transaction.	R
<b>IS: Information Source</b>  Required segment; used to convey the name and identification numbers of the entity supplying the information.			
	<b>IS01</b>	<b>Unique Information Source ID</b>  Reference number or identification number. (Example: phone number)	R
	<b>IS02</b>	<b>Information Source Entity Name</b>  Entity name of the Information Source.	R
	<b>IS03</b>	<b>Message</b>  Free-form text message.	S

Segment	Field ID	Field Name	Field Usage
<b>PHA: Pharmacy Header</b> Required segment; used to identify the pharmacy.  <b>Note:</b> It is required that information be provided in PHA02, while PHA01 or PHA03 are acceptable if in the correct format.			
	<b>PHA01</b>	<b>National Provider Identifier (NPI)</b>  Identifier assigned to the pharmacy by CMS.	S
	<b>PHA02</b>	<b>NCPDP/NABP Provider ID</b>  Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	RR
	<b>PHA03</b>	<b>DEA Number</b>  Identifier assigned to the pharmacy by the Drug Enforcement Administration.	S
	<b>PHA04</b>	<b>Pharmacy Name</b>  Free-form name of the pharmacy or dispensing practitioner's name.	S
	<b>PHA05</b>	<b>Address Information – 1</b>  Free-form text for address information.	S
	<b>PHA06</b>	<b>Address Information – 2</b>  Free-form text for address information.	S
	<b>PHA07</b>	<b>City Address</b>  Free-form text for city name.	S
	<b>PHA08</b>	<b>State Address</b>  U.S. Postal Service state code.	S

Segment	Field ID	Field Name	Field Usage
	<b>PHA09</b>	<b>ZIP Code Address</b>  U.S. Postal Service ZIP Code.	S
	<b>PHA10</b>	<b>Phone Number</b>  Complete phone number including area code.	S
	<b>PHA11</b>	<b>Contact Name</b>  Free-form name.	S
	<b>PHA12</b>	<b>Chain Site ID</b>  Store number assigned by the chain to the pharmacy location. Used when the CSD needs to identify the specific pharmacy from which information is required.	S
<b>PAT: Patient Information</b>  Required segment; used to report the patient's name and basic information as contained in the pharmacy record.			
	<b>PAT01</b>	<b>ID Qualifier of Patient Identifier</b>  Code identifying the jurisdiction that issues the ID in PAT03.	S

Segment	Field ID	Field Name	Field Usage
	<b>PAT02</b>	<b>ID Qualifier</b>  Code to identify the type of ID in PAT03. If PAT02 is used, PAT03 is required.  <ul style="list-style-type: none"> <li>•01 Military ID</li> <li>•02 State Issued ID</li> <li>•03 Unique System ID</li> <li>•04 Permanent Resident Card (Green Card)</li> <li>•05 Passport ID</li> <li>•06 Driver's License ID</li> <li>•07 Social Security Number</li> <li>•08 Tribal ID</li> <li>•99 Other (agreed upon ID)</li> </ul>	S
	<b>PAT03</b>	<b>ID of Patient</b>  Identification number for the patient as indicated in PAT02.  An example would be the driver's license number.	S
	<b>PAT04</b>	<b>ID Qualifier of Additional Patient Identifier</b>  Code identifying the jurisdiction that issues the ID in PAT06. Used if the CSD requires such identification.	S
	<b>PAT05</b>	<b>Additional Patient ID Qualifier</b> Code to identify the type of ID in PAT06 if the CSD requires a second identifier. If PAT05 is used, PAT06 is required.  <ul style="list-style-type: none"> <li>•01 Military ID</li> <li>•02 State Issued ID</li> <li>•03 Unique System ID</li> <li>•04 Permanent Resident Card</li> <li>•05 Passport ID</li> <li>•06 Driver's License ID</li> <li>•07 Social Security Number</li> <li>•08 Tribal ID</li> <li>•99 Other (agreed upon ID)</li> </ul>	S

	<b>PAT06</b>	<b>Additional ID</b>  Identification that might be required by the CSD to further identify the individual. An example might be that in PAT03 driver's license is collected and in PAT06 Social Security number is also collected.	S
	<b>PAT07</b>	<b>Last Name</b>  Patient's last name.	R
	<b>PAT08</b>	<b>First Name</b>  Patient's first name.	R
	<b>PAT09</b>	<b>Middle Name</b>  Patient's middle name or initial if available.	S
	<b>PAT10</b>	<b>Name Prefix</b>  Patient's name prefix such as Mr. or Dr.	S

Segment	Field ID	Field Name	Field Usage
	<b>PAT11</b>	<b>Name Suffix</b>  Patient's name suffix such as <i>Jr.</i> or <i>the III.</i>	S
	<b>PAT12</b>	<b>Address Information – 1</b>  Free-form text for street address information.	R
	<b>PAT13</b>	<b>Address Information – 2</b>  Free-form text for additional address information.	S
	<b>PAT14</b>	<b>City Address</b>	R

Segment	Field ID	Field Name	Field Usage
		Free-form text for city name.	
	PAT15	<b>State Address</b>  U.S. Postal Service state code	S
		<b>Note:</b> Field has been sized to handle international patients not residing in the U.S.	
	PAT16	<b>ZIP Code Address</b>  U.S. Postal Service ZIP code.  Populate with zeros if the patient address is outside the U.S.	R
	PAT17	<b>Phone Number</b>  Complete phone number including area code.	S
	PAT18	<b>Date of Birth</b>  Date patient was born. Format: CCYYMMDD	R
	PAT19	<b>Gender Code</b>  Code indicating the sex of the patient.  <ul style="list-style-type: none"> <li>• F Female</li> <li>• M Male</li> <li>• U Unknown</li> </ul>	S
	PAT20	<b>Species Code</b>  Used if required by the CSD to differentiate a prescription for an individual from one prescribed for an animal.  <ul style="list-style-type: none"> <li>• 01 Human</li> <li>• 02 Veterinary Patient</li> </ul>	S

Segment	Field ID	Field Name	Field Usage
	<b>PAT22</b>	<b>Country of Non-U.S. Resident</b>  Used when the patient's address is a foreign country and PAT12 through PAT16 are left blank.	S
	<b>PAT23</b>	<b>Name of Animal</b>  Used if required by the CSD for prescriptions written by a veterinarian and the pharmacist has access to this information at the time of dispensing the prescription.	S
<b>DSP: Dispensing Record</b>  Required segment; used to identify the basic components of a dispensing of a given prescription order including the date and quantity.			
	<b>DSP01</b>	<b>Reporting Status</b>  DSP01 requires one of the following codes, and an empty or blank field no longer indicates a new prescription transaction: <ul style="list-style-type: none"> <li>• 00 New Record (indicates a new prescription dispensing transaction)</li> <li>• 01 Revise (indicates that one or more data element values in a previously submitted transaction are being revised)</li> <li>• 02 Void (message to the CSD to remove the original prescription transaction from its data, or to mark the record as invalid or to be ignored).</li> </ul>	R
	<b>DSP02</b>	<b>Prescription Number</b>  Serial number assigned to the prescription by the pharmacy.	R
	<b>DSP03</b>	<b>Date Written</b>  Date the prescription was written (authorized). Format: CCYYMMDD	R

Segment	Field ID	Field Name	Field Usage
	<b>DSP04</b>	<b>Refills Authorized</b>  The number of refills authorized by the prescriber.	R

Segment	Field ID	Field Name	Field Usage
	<b>DSP05</b>	<b>Date Filled</b>  Date prescription was filled. Format: CCYYMMDD	R
	<b>DSP06</b>	<b>Refill Number</b>  Number of the fill of the prescription.  0 indicates New Rx; 01-99 is the refill number.	R
	<b>DSP07</b>	<b>Product ID Qualifier</b>  Used to identify the type of product ID contained in DSP08.  <ul style="list-style-type: none"> <li>•01 NDC</li> <li>•06 Compound (indicates a compound; if used, the CDI segment becomes a required segment)</li> </ul>	R
	<b>DSP08</b>	<b>Product ID</b>  Full product identification as indicated in DSP07, including leading zeros without punctuation.	R
	<b>DSP09</b>	<b>Quantity Dispensed</b>  Number of metric units dispensed in metric decimal format. Example: 2.5  Note: <b>For compounds show the first quantity in CDI04.</b>	R
	<b>DSP10</b>	<b>Days' Supply</b>	R



Segment	Field ID	Field Name	Field Usage
		Estimated number of days the medication will last.	
	<b>DSP11</b>	<b>Drug Dosage Units Code</b>  Identifies the unit of measure for the quantity dispensed in DSP09. <ul style="list-style-type: none"> <li>•01 Each</li> <li>•02 Milliliters (ml)</li> <li>•03 Grams (gm)</li> </ul>	S
	<b>DSP12</b>	<b>Transmission Form of Rx Origin Code</b>  Code indicating how the pharmacy received the prescription. <ul style="list-style-type: none"> <li>•01 Written Prescription</li> <li>•02 Telephone Prescription</li> <li>•03 Telephone Emergency Prescription</li> <li>•04 Fax Prescription</li> <li>•05 Electronic Prescription</li> <li>•99 Other</li> </ul>	S
	<b>DSP13</b>	<b>Partial Fill Indicator</b>  Used when the quantity in DSP 09 is less than the metric quantity per dispensing authorized by the prescriber. This dispensing activity is often referred to as a split filling. <ul style="list-style-type: none"> <li>•00 Not a Partial Fill</li> <li>•01 First Partial Fill</li> </ul> <b>Note:</b> 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
	<b>DSP14</b>	<b>Pharmacist National Provider Identifier (NPI)</b>  Identifier assigned to the pharmacist by CMS. This number can be used to identify the pharmacist dispensing the medication.	S

Segment	Field ID	Field Name	Field Usage
	<b>DSP15</b>	<b>Pharmacist State License Number</b>  This data element can be used to identify the pharmacist dispensing the medication.  Assigned to the pharmacist by the State Licensing Board.	S
	<b>DSP16</b>	<b>Classification Code for Payment Type</b>  Code identifying the type of payment (i.e., how it was paid for).  <ul style="list-style-type: none"> <li>•01 Private Pay</li> <li>•02 Medicaid</li> <li>•03 Medicare</li> <li>•04 Commercial Insurance</li> <li>•05 Military Installations and VA</li> <li>•06 Workers' Compensation</li> <li>•07 Indian Nations</li> <li>•99 Other</li> </ul>	S
	<b>DSP17</b>	<b>Date Sold</b>  Usage of this field depends on the pharmacy having a point-of-sale system that is integrated with the pharmacy management system to allow a bidirectional flow of information.	RR
	<b>DSP18</b>	<b>RxNorm Product Qualifier</b>  <ul style="list-style-type: none"> <li>•01 Semantic Clinical Drug (SCD)</li> <li>•02 Semantic Branded Drug (SBD)</li> <li>•03 Generic Package (GPCK)</li> <li>•04 Branded Package (BPCK)</li> </ul> <p>The validation will fail if the numeric code is not used. The validation does not accept the alpha codes.</p> <p><b>Note:</b> DSP18 and DSP19 are placeholder fields pending RxNorm becoming an industry standard and should not be required until such time.</p>	S
	<b>DSP19</b>	<b>RxNorm Code</b>	S

Segment	Field ID	Field Name	Field Usage
		Used for electronic prescriptions to capture the prescribed drug product identification.	
		<b>Note:</b> DSP18 and DSP19 are placeholder fields pending RxNorm becoming an industry standard and should not be required until such time.	
	<b>DSP20</b>	<b>Electronic Prescription Reference Number</b>  Used to provide an audit trail for electronic prescriptions.  <b>Note:</b> DSP20 and DSP21 should be reported as a pair to the prescription drug monitoring program, and each program decides which one, if not both, it decides to capture.	S
	<b>DSP21</b>	<b>Electronic Prescription Order Number</b>  <b>Note:</b> DSP20 and DSP21 should be reported as a pair to the prescription drug monitoring program, and each program decides which one, if not both, it decides to capture.	S
<b>PRE: Prescriber Information</b>  Required segment; used to identify the prescriber of the prescription.			

Segment	Field ID	Field Name	Field Usage
	<b>PRE01</b>	<b>National Provider Identifier (NPI)</b>  Identifier assigned to the prescriber by CMS.	S
	<b>PRE02</b>	<b>DEA Number</b>  Identifying number assigned to a prescriber or an institution by the Drug Enforcement Administration (DEA).	R

Segment	Field ID	Field Name	Field Usage
	<b>PRE03</b>	<b>DEA Number Suffix</b>  Identifying number assigned to a prescriber by an institution when the institution's number is used as the DEA number.  <b>Note:</b> This field is required only when institutional DEA # is used to identify the prescribing practitioner.	S
	<b>PRE04</b>	<b>Prescriber State License Number</b>  Identification assigned to the prescriber by the State Licensing Board.	S
	<b>PRE05</b>	<b>Last Name</b>  Prescriber's last name.	S
	<b>PRE06</b>	<b>First Name</b>  Prescriber's first name.	S
	<b>PRE07</b>	<b>Middle Name</b>  Prescriber's middle name or initial.	S
	<b>PRE08</b>	<b>Phone Number</b>	S
<b>CDI: Compound Drug Ingredient Detail</b>  Use of this segment is situational; however, it is required when medication dispensed is a compound and one of the ingredients is a CSD reporting drug. If more than one ingredient is for a CSD reporting drug, then this would be incremented by one for each compound ingredient being reported.			
	<b>CDI01</b>	<b>Compound Drug Ingredient Sequence Number</b>  First reportable ingredient is 1; each additional reportable ingredient is incremented by 1.	R

Segment	Field ID	Field Name	Field Usage
	<b>CDI02</b>	<b>Product ID Qualifier</b>  Code to identify the type of product ID contained in CDI03. <ul style="list-style-type: none"> <li>• 01 NDC</li> <li>• 02 UPC</li> <li>• 03 HRI</li> <li>• 04 UPN</li> <li>• 05 DIN</li> <li>• 06 Compound (this code is not used in this segment)</li> </ul>	R
	<b>CDI03</b>	<b>Product ID</b>  Full product identification as indicated in CDI02, including leading zeros without punctuation.	R
	<b>CDI04</b>	<b>Compound Ingredient Quantity</b>  Metric decimal quantity of the ingredient identified in CDI03. Example: 2.5	R
	<b>CDI05</b>	<b>Compound Drug Dosage Units Code</b>  Identifies the unit of measure for the quantity dispensed in CDI04. <ul style="list-style-type: none"> <li>• 01 Each (used to report as package)</li> <li>• 02 Milliliters (ml) (for liters, adjust to the decimal milliliter equivalent)</li> <li>• 03 Grams (gm) (for milligrams, adjust to the decimal gram equivalent)</li> </ul>	S

**AIR: Additional Information Reporting**

Use of this segment is situational; it is used when state-issued serialized Rx pads are used, the state requires information on the person 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.

Segment	Field ID	Field Name	Field Usage
	<b>AIR01</b>	<b>State Issuing Rx Serial Number</b>  U.S.P.S. state code of state that issued serialized prescription blank. This is required if AIR02 is used.	S
	<b>AIR02</b>	<b>State Issued Rx Serial Number</b>  Number assigned to state issued serialized prescription blank.	S
	<b>AIR03</b>	<b>Issuing Jurisdiction</b>  Code identifying the jurisdiction that issues the ID in AIR05.	RR
	<b>AIR04</b>	<b>ID Qualifier of Person Picking Up Rx</b>  Used to identify the type of ID contained in AIR05 for person picking up the prescription.  <ul style="list-style-type: none"><li>•01 Military ID</li><li>•02 State Issued ID</li><li>•03 Unique System ID</li><li>•04 Permanent Resident Card (Green Card)</li><li>•05 Passport ID</li><li>•06 Driver's License ID</li><li>•07 Social Security Number</li><li>•08 Tribal ID</li><li>•99 Other (agreed upon ID)</li></ul>	RR

**AIR: Additional Information Reporting**

Use of this segment is situational; it is used when state-issued serialized Rx pads are used, the state requires information on the person 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.

	<b>AIR05</b>	<b>ID of Person Picking Up Rx</b>  ID number of patient or person picking up the prescription.	RR
	<b>AIR06</b>	<b>Relationship of Person Picking Up Rx</b>  Code indicating the relationship of the person.  •01 Patient •02 Parent/Legal Guardian •03 Spouse •04 Caregiver •99 Other	S
	<b>AIR07</b>	<b>Last Name of Person Picking Up Rx</b>  Last name of person picking up the prescription.	RR

Segment	Field ID	Field Name	Field Usage
	<b>AIR08</b>	<b>First Name of Person Picking Up Rx</b>  First name of person picking up the prescription.	RR
	<b>AIR09</b>	<b>Last Name or Initials of Pharmacist</b>  Last name or initials of pharmacist dispensing the medication.	RR
	<b>AIR10</b>	<b>First Name of Pharmacist</b>  First name of pharmacist dispensing the medication.	RR

Segment	Field ID	Field Name	Field Usage
	AIR11	<b>Picking Up Identifier Qualifier</b>  Additional qualifier for the ID contained in AIR05  <ul style="list-style-type: none"> <li>• 01 Person Dropping Off*</li> <li>• 02 Person Picking Up*</li> <li>• 98 Unknown/Not Applicable</li> </ul>	S
		<b>Note:</b> *Utah requires the Person picking up information	
<b>TP: Pharmacy Trailer</b>  Required segment; used to identify the end of data for a given pharmacy and provide the count of the total number of detail segments reported for the pharmacy, including the PHA and TP segment.			
	TP01	<b>Detail Segment Count</b>  Number of detail segments included for the pharmacy including the pharmacy header (PHA) and the pharmacy trailer (TP) segments.	R
<b>TT: Transaction Trailer</b>  Required segment; used to indicate the end of the transaction and provide the count of the total number of segments included in the transaction.			
	TT01	<b>Transaction Control Number</b>  Identifying control number that must be unique. Assigned by the originator of the transaction. Must match the number in TH02.	R
	TT02	<b>Segment Count</b>  Total number of segments included in the transaction including the header and trailer segments.	R



# Appendix C: ASAP 4.2 Zero Report Specifications

The information on the following pages contains the definitions for the specific contents required by the American Society for Automation in Pharmacy (ASAP) to comply with zero dispense reporting for the Utah CSD.

The Zero Report specification is a complete transaction that includes the information that would normally be sent with a batch file filled out as it would be for reporting the dispensing of controlled substances. However, for the detail segments, while all the segments and data elements that are required by the Utah CSD are sent, only the Patient First Name, Last Name, and Date Filled fields are populated. The values populating these fields are:

1. First Name = Zero
2. Last Name = Report
3. Date Filled = Date that the report is sent

All other fields in the detail segments would be left blank. The following elements are used in each submitted file:

1. **Segment Identifier** – indicates the beginning of a new segment, for example, *PHA*.
2. **Data Delimiter** – character used to separate segments and the data elements within a segment, for example, an asterisk (\*).
  - a. Each completed field should be followed by an asterisk, and each blank field should contain a single asterisk.
  - b. If the last field in the segment is blank, it should contain an asterisk and a tilde (~).
3. **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 (~~).

For more information, contact the American Society for Automation in Pharmacy for the full *Implementation Guide for the ASAP Standard for Prescription Drug Monitoring Programs Zero Reports*.

Segment	Field ID	Field Name	Field Usage
<b>TH: Transaction Header</b> Used to indicate the start of a transaction. It also assigns the data element separator, segment terminator, and control number.			
	TH01	<b>Version/Release Number</b>	R
	TH02	<b>Transaction Control Number</b>  Sender assigned code uniquely identifying a transaction.	R
	TH03	<b>Transaction Type</b>  Identifies the purpose of initiating the transaction. 01 Send/Request Transaction	S
	TH04	<b>Response ID</b>	S
	TH05	<b>Creation Date</b>  Date the transaction was created. Format: CCYYMMDD.	R
	TH06	<b>Creation Time</b>  Time the transaction was created. Format: HHMMSS or HHMM.	R
	TH07	<b>File Type</b>  P = Production	R
	TH08	<b>Routing Number</b>	S
	TH09	<b>Segment Terminator Character</b>  TH09 also signifies the end of this segment; therefore, it should contain two tildes (~~).	R

Segment	Field ID	Field Name	Field Usage
<b>IS: Information Source</b> Used to convey the name and identification numbers of the entity supplying the information.			
	<b>IS01</b>	<b>Unique Information Source ID</b> Reference number or identification number.	R
	<b>IS02</b>	<b>Information Source Entity Name</b> Entity name of the Information Source.	R
	<b>IS03</b>	<b>Message</b> Enter the date range in the following format: #ccyymmdd#- #ccyymmdd#~.	RR
<b>PHA: Pharmacy Header</b> Used to identify the pharmacy.			
	<b>PHA01</b>	<b>National Provider Identifier (NPI)</b> Identifier assigned to the pharmacy by CMS.	RR
	<b>PHA02</b>	<b>NCPDP/NABP Provider ID</b> Identifier assigned to pharmacy by the National Council for Prescription Drug Programs.	RR
	<b>PHA03</b>	<b>DEA Number</b> Identifier assigned to the pharmacy by the Drug Enforcement Administration.	RR

Segment	Field ID	Field Name	Field Usage
<b>PAT: Patient Information</b> Used to report the patient's name and basic information as contained in the pharmacy record.			
S	PAT01	ID Qualifier of Patient Identifier	S
	PAT02	ID Qualifier	S
	PAT03	ID of Patient	S
	PAT04	ID Qualifier of Additional Patient Identifier	S
	PAT05	Additional Patient ID Qualifier	S
	PAT06	Additional ID	S
	PAT07	Last Name Required value = Report	R
	PAT08	First Name Required value = Zero	R
	PAT09	Middle Name	S
	PAT10	Name Prefix	S
	PAT11	Name Suffix	S
	PAT12	Address Information – 1	S
	PAT13	Address Information – 2	S
	PAT14	City Address	S
	PAT15	State Address	S

Segment	Field ID	Field Name	Field Usage
	PAT16	ZIP Code Address	S
	PAT17	Phone Number	S
	PAT18	Date of Birth	S
	PAT19	Gender Code	S
<b>DSP: Dispensing Record</b>  Used to identify the basic components of a dispensing of a given prescription order including the date and quantity.			
	DSP01	Reporting Status	S
	DSP02	Prescription Number	S
	DSP03	Date Written	S
	DSP04	Refills Authorized	S
	DSP05	Date Filled  Date prescription was filled. Format: CCYYMMDD	R
	DSP06	Refill Number	S
	DSP09	Quantity Dispensed	S
	DSP10	Days Supply	S
<b>PRE: Prescriber Information</b>  Used to identify the prescriber of the prescription.			
	PRE01	National Provider Identifier (NPI)	S

Segment	Field ID	Field Name	Field Usage
	PRE02	DEA Number	S
<b>TP: Pharmacy Trailer</b>  Used to identify the end of data for a given pharmacy and provide the count of the total number of detail segments reported for the pharmacy, including the PHA and TP segment.			
	TP01	<b>Detail Segment Count</b>  Number of detail segments included for the pharmacy including the pharmacy header (PHA) including the pharmacy trailer (TP) segments.	R
<b>TT: Transaction Trailer</b>  Used to indicate the end of the transaction and provide the count of the total number of segments included in the transaction.			
	TT01	<b>Transaction Control Number</b>  Identifying control number that must be unique. Assigned by the originator of the transaction. Must match the number in TH02.	R
	TT02	<b>Segment Count</b>  Total number of segments included in the transaction including the header and trailer segments.	R