KASPER Controlled Substance Reporting Guide

Cabinet for Health and Family Services
Office of Inspector General

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Document Purpose

One of the largest threats to patient safety in the Commonwealth of Kentucky is the misuse, abuse and diversion of controlled pharmaceutical substances. The Kentucky All Schedule Prescription Electronic Reporting System (KASPER) is Kentucky’s Prescription Drug Monitoring Program. KASPER is housed in the Office of Inspector General in the Cabinet for Health and Family Services (CHFS). KASPER is intended as a tool to help health care providers identify patients at risk of a substance use disorder, and to assist authorized law enforcement and regulatory agencies with drug investigations. Kentucky statutes and regulations require the reporting to KASPER of Schedule II through V controlled substance medications administered or dispensed in Kentucky.

This guide provides information on the following:

- Kentucky statutes and regulations requiring reporting to KASPER
- Establishing a KASPER uploader account
- Data reporting guidelines and transmission methods for KASPER
- Preparing and transmitting data
- Using the web-based prescription data entry form
- Upload reports
- Error thresholds and tolerances
- Error correction requirements
- KASPER contact information

This guide should be used by all practitioners and dispensers who are required to report administered or dispensed controlled substance data to KASPER.

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1 Registration and Reporting Requirements

1.1 Registration Requirements

- All dispensers licensed by the Kentucky Board of Pharmacy that possess a DEA license must register as KASPER data reporters.
- Practitioners who administer or dispense controlled substances must register as KASPER data reporters.
- Practitioners who never administer or dispense controlled substances are not required to register as KASPER data reporters.
- Veterinarians are not required to register or report controlled substance dispensing to KASPER.

1.2 Uploader Account Security

- Each individual who will upload data, either through file upload or the prescription data entry form, must obtain his or her own uploader account, and agree not to share login credentials with others.

1.3 Reporting Requirements

- Reporting is required for any practitioner or pharmacy that administers or dispenses a Schedule II – V controlled substance to a human patient.
- Dispensers and practitioners are required to report dispensed or administered controlled substance data no later than the close of business on the business day immediately following the dispensing or administration.
- Kentucky does not require zero reports. Reporting is only required when a controlled substance has been administered or dispensed as defined in KRS 218A.202 and 902 KAR 55:110.

1.4 Data Reporting Exceptions

The following are the only exceptions to the data reporting requirement:

- A drug administered directly to a patient in a hospital, a resident of a healthcare facility licensed under KRS Chapter 216B, a resident of a child-caring facility as defined by KRS 199.011, or an individual in a jail, correctional facility, or juvenile detention facility.
- A Schedule III through Schedule V controlled substance dispensed by a facility licensed by the cabinet provided that the quantity dispensed is limited to an amount adequate to treat the patient for a maximum of forty-eight (48) hours and is not dispensed by the emergency department of a hospital.
- A drug administered or dispensed to a research subject enrolled in a research protocol approved by an institutional review board that has an active federalwide assurance number from the United States Department of Health and Human Services, Office for Human Research Protections where the research involves single, double, or triple blind drug administration or is additionally covered by a certificate of confidentiality from the National Institutes of Health.
1.5 Reporting Non-Compliance

- Under KRS 218A.202, intentional failure by a dispenser to transmit data to the KASPER program as required shall be a Class B misdemeanor for the first offense, and a Class A misdemeanor for each subsequent offense.

1.6 Data Reporting Waivers

- Dispensers with a DEA license who certify that they do not dispense any controlled substances in Kentucky must register as a KASPER data reporter. However, once registered CHFS can provide a reporting waiver email. Dispensers can request a reporting waiver by contacting KASPER staff at eKASPER.Admin@ky.gov.
2  Account Registration and Management

2.1 Creating an Uploader Account

2.1.1 Creating a Kentucky Online Gateway Account

1. In your browser, go to https://ekasperupload.chfs.ky.gov/GetStarted.aspx to access the KASPER Data Reporting website for account registration.

2. Click on Get Started, which will take you to the Kentucky Online Gateway page.

3. When you get here:
   a. If you already have a Kentucky Online Gateway account, enter your Username and Password on the left and click Log In, then skip to Step 9.
   b. If you do not already have a Kentucky Online Gateway account, click the Create An Account button to begin creating your Kentucky Online Gateway account.
4. Complete all required fields (marked with a *) and any optional fields you wish to complete, then click Submit.

5. Log in to the email account which you provided, and look for an email from Kentucky Online Gateway. The subject should include the words “Account verification”. In the email there should be a link to click on to verify your Kentucky Online Gateway account.
6. A new tab or window should open in your browser, asking you to provide the answers to the security questions you specified earlier when setting up the account. Enter the answers and click **Verify Account**.

7. Click on **Continue to Logon** to proceed.

8. Back on the **Gateway Log In** screen, on the left, enter the username and password that were established earlier when setting up the account, and click **Log In**.
9. On the **New Account Registration** screen, enter the **DEA number** of any dispenser or dispensing practitioner (if you report for many, just choose one) for whom you will be reporting data, as well as the **ZIP Code** associated with that dispenser, and then click **Next**.

**Note:** The ZIP code entered must match the ZIP code listed for that DEA number in the Drug Enforcement Administration database, or the system will provide an error message indicating an **Invalid DEA/ZIP Code**.

10. Click on the **Submit Request** button. You will then be taken to the KASPER Prescription Upload Program to complete the registration process.

### 2.1.2 Prescription Upload Program Registration

Once your Kentucky Online Gateway account registration is complete, you must also register with the KASPER Prescription Upload Program. This is a one-time-only registration.
1. Take the following steps under **Primary Reporting Contact Information**:
   a. Complete all required fields (marked with a *) in the **Primary Contact Information** area of the form. This contact is the person who will receive upload report notification emails, and will be the primary contact for the KASPER Team. Some fields which you already entered for the Kentucky Online Gateway account may already be filled in here.
   b. For the **Default Upload Method**, select either **Data Entry**, **File Upload** or **Secure FTP** to set your primary reporting method. Each time you log in, the system will automatically take you to the appropriate web page for the default reporting method you select to save you time. You can always access other upload methods via the navigation menu.
   c. The optional **Additional Emails** area allows you to provide up to 5 additional email addresses of people who will also receive upload report notifications.

2. Optionally, you may provide a **Secondary Contact**. This individual will only be contacted by the KASPER Team in the event that the primary contact is unavailable, and will
receive no notification emails (unless their email address is also included in the Additional Emails section above).

3. If you plan to submit data files via secure FTP, then you should activate your FTP account by clicking on Activate FTP Account, which will change the contents of that section of the form. If you do not plan to submit via FTP, you can safely ignore this section and skip to Step 5.

4. To complete FTP account activation, create a password and enter it in both fields. Your password does not expire once set, and must meet these requirements:
   a. Is at least 12 characters long
   b. Contains at least one upper case letter, one lower case letter, one number and one special character (*, &, !, ^, #, $ or %)
   c. Does not contain any dictionary words
   d. Is different from your previous 24 passwords

5. When all required actions are completed, click Finish.
6. You are now registered and ready to upload prescription data to KASPER. If you activated your FTP Account, your FTP account name will also be provided here, and can also always be found later under your **Account Profile**. Click **Continue** to go to your default upload method.

7. You will now receive a welcome email from **KPUP.no-reply@ky.gov** along with an attachment of KASPER Controlled Substance Reporting Guide.
2.2 Login Procedure

2.2.1 Logging Into an Existing Account

Once you have completed registration, you can log in to upload data by following these steps.

1. In your browser, go to https://ekasperupload.chfs.ky.gov/Default.aspx to access the KASPER Data Reporting website. You should immediately be redirected to the Kentucky Online Gateway login page.

   **Important:** Do not go to the Get Started page you used for registration.

2. On the left side, enter the Gateway account name and the password you created during registration, and click **Log In**.

3. Once authenticated, you will be taken back to the KASPER Data Reporting webpage and should arrive at either the **File Upload** screen or the **Prescription Data Entry Form** screen, depending on the preference you set during registration. If you chose Secure FTP as your default upload method, you will be taken to your account profile page, since FTP is a separate protocol not done through the web page. Be sure to note your FTP account name which will be displayed at the bottom of that page.
2.2.2 Status Toolbar

- Once logged in, you will see a toolbar in the upper right of the web page. You can use the toolbar to verify which account you are logged into, as well as log out of the system, view the FAQ, contact the KASPER Team, or get the latest version of the reporting guide (this document).
- If you see an alert icon at the right end of the toolbar, you can click it to bring up any messages from the KASPER Team which may be advising you of upcoming scheduled downtime or other system messages.

2.2.3 Navigation Menu

Once logged in, you will see the navigation menu on the left side of the screen. Use this to easily and quickly access any part of the KASPER Data Reporting website needed.

1. **Account Profile** will allow you to edit your account settings, such as contact information.
2. **File Upload** is where you can upload a data file for processing.
3. **Rx Entry/Corrections** is a way to report prescription data by entering the data through a web page.
4. **Uploaded Reports** will allow you to search for your uploaded data files regardless of how you submitted them, and access the upload (error) reports associated with each file.
5. **Reporting Guide** provides information on how to establish an uploader account, reporting guidelines, data transmission methods, uploaded reports, etc.
6. **FAQ** provides a list of Kentucky Controlled Substance Reporting Program frequently asked questions.
2.2.4 Forgotten Username or Password

If you forget your Kentucky Online Gateway username or password, take these steps:

1. In your browser, go to https://ekasperupload.chfs.ky.gov/Default.aspx to access the KASPER Data Reporting website. You should immediately be redirected to the Kentucky Online Gateway login page.

2. Click on Forgot Username? Or Forgot Password? to get help with these issues.
2.3 Editing Your Account Profile

1. At any time while logged in to the Data Reporting Website, click on **Account Profile** on the left navigation menu.

![Primary Reporting Contact Information](image)

2. Under **Primary Reporting Contact Information**, review the information and make any changes necessary.
   a. You can manage the **Additional Emails** section by entering a new address in the text box and clicking **Add Email Address** to add that email address to the list.
   b. You can remove any address in the list by clicking the **Remove** link for that address.

![Secondary Reporting Contact Information](image)
3. Under **Secondary Reporting Contact Information**, review and update any of this optional information.

4. If you intend to encrypt uploaded data files, you will need the PGP Public Key found in this section.
   a. Click **Download Public PGP Key File** to download the key file, to import into your PGP Keyring.
   b. Click on **Regenerate Key** only if your key security has been compromised and you need a new one. Note that once the key is changed, **all** future uploads must be encrypted with the new key, or else KASPER will be unable to decrypt your files. Furthermore, any file already uploaded with the old key but not yet successfully processed by KASPER will have to be uploaded again after being encrypted with the new key.
   c. For more information, see **Using OpenPGP Encryption** elsewhere in this document. If you do not encrypt your files or aren’t sure what this is, you can safely ignore this section.

5. If you have not activated your FTP account and need to do so now, click on **Activate FTP Account**, which will change the contents of that section of the form.
6. To complete FTP account activation, create a password and enter it in both fields. Your password must meet the requirements displayed on the screen.

7. If your FTP account is already active:
   a. You will see your FTP account name here. **You must use this account name and your current password to connect to the FTP server to upload files.**
   b. If you need to change your password, enter a new one in both fields, adhering to the password complexity rules displayed on the screen, then click **Save** below.
   c. Click on **Deactivate FTP Account** if you no longer will use FTP to upload files. Note that if you do this, you will no longer be able to log in to the FTP server.
3 Data Reporting

Data can be reported by several different methods.

- A data file can be created and uploaded using either SFTP in your FTP client program, or through the KASPER Data Reporting website.
- Low volume reporting and record revisions can be entered using the Prescription Data Entry Form on the KASPER Data Reporting website.

3.1 Data File Upload

3.1.1 Data File Format

Data files to be uploaded must observe these requirements, which have not changed from the previous implementation:

- The filename is expected to be the date of upload in YYYYMDD format, with no spaces, and a .dat extension if unencrypted; if encrypted with your PGP Public Key, the file should have a .pgp or .gpg extension, depending on your encryption software.
- Multiple file uploads per day require a suffix such as “_1”, “_2”, etc. to distinguish the different files uploaded on that day.
- The data in the file must adhere strictly to the ASAP 4.2B data standard. Refer to Section 3.3 Required Data Elements, as well as the ASAP 4.2B Standard documentation, for full details on data structure and content.

3.1.1.1 Using OpenPGP Encryption

You may encrypt the file using OpenPGP if you choose, which will help secure the file once it resides on the FTP Server.

1. To find your PGP Public Key, log in to the KASPER Data Reporting website and find it under your Account Profile.
2. Download the key file, then import the PGP public key into your PGP key ring.
3. Encrypt the file using the PGP software of your choice. The file should have a .pgp or .gpg file extension.

3.1.1.2 Using ZIP File Compression

- A single .dat file may be archived in a .zip archive and given the same name as the .dat file, to reduce file size and transfer time.
- Do not put more than one data file inside a given .zip file. If you have multiple .dat files to upload, archive them individually into separate .zip files.
- PGP encryption also compresses your .dat file, so there is no reason to archive your .pgp or .gpg file into a .zip file; just upload the encrypted .pgp or .gpg file.

3.1.2 File Upload Via FTPS (using SSL)

You can submit a data file via our secure FTP server. Note that unsecure FTP connections are not supported.

1. Prepare the file as described above.
2. Make sure you have activated your FTP account. If you did not do so during account registration, you can do so at any time on your **Account Profile** page.

3. In your FTP client, go to ftp.ky.gov.
   a. If you need to use a full connection URL, use https://ftp.ky.gov since our server uses SSL.
   b. If your FTP client requires a port, use the default FTPS port **21**.

   **Note:** Do **not** go to https://ftp.ky.gov/ in a web browser, as Prescription Upload Program user accounts are not authorized to use that interface, and you will be unable to log in there. You must use an FTP client and the secure FTP protocol.

4. Enter your FTP account login information to authenticate to the secure FTP server. Your FTP account name can be found on your **Account Profile** page.

5. Upload the data file.

   **Important:** Our FTP server may also use ports 3000-3003 for data transfer, so open those in your firewall if necessary.

6. Log off when file upload is complete.

3.1.3 File Upload Via SFTP (using SSH)

Authenticating using SSH is not enabled on FTP accounts by default. If you require an SSH connection and have an SSH Public Key to provide to KASPER, then please contact the KASPER Help Desk and tell them you need to have SSH enabled and they will put you in touch with the right person.

3.1.4 File Upload Via Secure Website

Files may be uploaded for processing through our secure web portal.

1. Log in to the KASPER Data Reporting website as directed under Logging Into an Existing Account.

2. Select **File Upload** from the navigation menu under **Data Reporting**. You should already start there if you configured your Default Upload Method to **File Upload**.

---

![File Upload](image-url)
3. Click the **Browse** button and locate the data file (either a .dat, .pgp, .gpg or .zip file) to be uploaded on your local file system.

4. Click **Upload** to upload the file to the KASPER server.

5. You will see the above message when the upload is complete, and will receive an email message from KASPER when the upload report is available.

### 3.2 Prescription Data Entry Form

The **Prescription Data Entry Form** allows you to enter individual prescription records one at a time to build a small batch of records, and then submit it to KASPER. It is not intended for moderate to high volume reporting, due to its manual nature.

#### 3.2.1 Form Layout

The form itself is large and has several sections. The image below shows all sections, and indicates which ones are covered by each step below to assist you in learning how to use it.
3.2.2 Step One: Login

Log in to the KASPER Data Reporting website as directed under Logging Into an Existing Account.

- Select Rx Data Entry Form under Data Reporting from the navigation menu. You should already start there if you configured your Default Upload Method to Data Entry.
3.2.3 Step Two: Enter Dispenser Information

- In the **Dispenser Information** section, enter the DEA number of the dispensing entity or practitioner and then click elsewhere or hit the Tab key. The system will look up the rest of the information and fill it in for you. Multiple address lines in the DEA record will be combined into the address value shown here.
- This is a required field; the DEA **must** be known to the system in order to proceed.
- You can click **Clear Dispenser Info** at any time to clear the section.

**Note:** The name and address information comes directly from the DEA. If any of this information is incorrect, it must be addressed and corrected with the DEA, and **not** with the KASPER team.

3.2.4 Step Three: Enter Patient Information

- In the **Patient Information** section, complete all fields for the patient who received the prescription.

**Note:** The **Middle (or M.I.)** field may be left blank if the middle name or initial is unknown, or the patient has no middle name.

- For the **ID** field, enter the patient’s Social Security Number (SSN).
  - If the patient does not have a **SSN**, change the **ID Type** dropdown to **Driver’s License Number** and enter a valid driver’s license number for the **ID** instead.
  - If the patient does not have a SSN or driver’s license, enter 000000000 (nine zeroes) for the **SSN**.
Note: Kentucky regulation 902 KAR 55:110 Section 5 requires that a patient disclose their SSN to the dispenser for purposes of reporting to KASPER. Only if the patient does not have a SSN may a driver’s license or zeros be reported.

- You can click Clear Patient Info at any time to clear the section.

3.2.5 Step Four: Enter Prescription Information

- Use the **Record Type** to indicate whether the prescription is a new record, a revision to an existing record, or an existing record which you wish to void.
- **Date Filled** and **Date Written** must be later than the patient’s date of birth.
- Enter the **Prescriber DEA** number and then click elsewhere or hit the Tab key. The system will attempt to look up the name of the prescriber and display it besides the DEA. This helps you to be sure you’ve entered the DEA number correctly.
  
  **Note:** The prescriber name comes directly from the DEA. If it is incorrect, it must be addressed and corrected with the DEA, and not with the KASPER team.

  **IMPORTANT:** Do not submit a DEA number beginning with ‘X’, also known as a data waiver DEA number. These numbers will be rejected by the system. You must provide a standard DEA number for the prescriber.

- Use the **Partial Fill Indicator** to indicate whether the prescription is a partial fill or not, **00** indicates not a partial fill and **01-99** when it is a partial fill.
- **Transmission form of Rx origin code** indicates how the pharmacy received the prescription, make a selection from the list of options defined in the dropdown.
- Complete the rest of the required information about the prescription.
3.2.6 Step Five: Enter Controlled Substance Information

For each prescription, choose either the Controlled Substance or the Compounded Controlled Substance tab, depending on whether or not the prescription is compounded. The Instructions tab has a summary of the instructions found here for easy reference.

3.2.6.1 NDC Number Formatting

Records must be submitted using the correct 11-digit National Drug Code (NDC) number. The actual 11 digit NDC number includes three segments in a 5-4-2 format: 99999-9999-99. Some drugs may show a 10-digit Health Related Item (HRI) code or Universal Product Code. Converting a 10-digit code to the correct 11-digit NDC format may require including a leading zero in one of the segments. The following table provides examples for converting a 10 digit NDC code to the 11-digit code based on the placement of the leading zero in the proper segment.

Note: The hyphens are shown below only to illustrate the segment format examples. Do not use hyphens when entering the NDC Number in the Data Entry Form.

<table>
<thead>
<tr>
<th>NDC Format on Product</th>
<th>10 Digit Format Example</th>
<th>Correct 11 Digit NDC Format</th>
<th>Correct 11 Digit Format Showing Insertion of Leading Zero</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-4-2</td>
<td>9999-9999-99</td>
<td>5-4-2</td>
<td>09999-9999-99</td>
</tr>
<tr>
<td>5-3-2</td>
<td>99999-9999-99</td>
<td>5-4-2</td>
<td>99999-0999-99</td>
</tr>
<tr>
<td>5-4-1</td>
<td>99999-9999-99</td>
<td>5-4-2</td>
<td>99999-9999-09</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HRI Format on Product</th>
<th>10 Digit Format Example</th>
<th>Correct 11 Digit NDC Format</th>
<th>Correct 11 Digit Format Showing Insertion of Leading Zero</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-6</td>
<td>9999-999999</td>
<td>5-4-2</td>
<td>09999-999999-99</td>
</tr>
<tr>
<td>5-5</td>
<td>99999-999999</td>
<td>5-4-2</td>
<td>99999-099999-99</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UPC Format on Product</th>
<th>10 Digit Format Example</th>
<th>Correct 11 Digit NDC Format</th>
<th>Correct 11 Digit Format Showing Insertion of Leading Zero</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-5</td>
<td>99999-999999</td>
<td>5-4-2</td>
<td>99999-099999-99</td>
</tr>
</tbody>
</table>

An even more thorough NDC Information Sheet is available here.

3.2.6.2 Non-compounded Prescriptions

For typical prescriptions which are not compounded, use this tab to report the controlled substance ingredient in the prescription.

![Controlled Substance Reporting Form](image-url)
• Enter the NDC number and click elsewhere, or hit the Tab key. The system will attempt to look up the name of the drug and add it to the right of the NDC number. This helps you to be sure you’ve entered the NDC number correctly.

  **Note:** If you feel there is a problem with the displayed drug name, please contact KASPER Program Support.

• Provide the **Metric Quantity**, then select the applicable **Drug Dosage Units**.

**3.2.6.3 Compounded Prescriptions**

Use this tab for compounded prescriptions **only**. Also, you only need to report here those ingredients in the compound **which are controlled substances**.

![Compounded Substance Form](image)

- **Add all reportable** ingredients to the list by following the steps below. Ingredients which are not controlled (i.e. not required to be reported) should not be added.
- Enter the **NDC Number** and **Metric Quantity**, then select the applicable **Dosage Units**.
- Click **Add Ingredient** to add that ingredient to the table. The **Drug Name** is looked up automatically based on the NDC you provide.

  **Note:** If you feel there is a problem with the displayed drug name, please contact KASPER Program Support.

- You can click **Remove** to remove that ingredient from the table.

**3.2.6.4 Add Prescription To Batch List**

- When each prescription’s information is complete, click **Add Prescription To Batch List** to add it to the list.
- Use the **Clear Dispenser Info** and **Clear Patient Info** buttons in the first two sections as needed when you switch to different dispensers and patients.
• Repeat the process to construct a full list of all prescriptions to be reported.

3.2.6.5 Validation Error Messages
Whenever you click **Add Prescription To Batch List**, the system will validate all of the values you have entered. If you make any errors filling out the form, those errors will usually be listed in a red box at the top of the page (some appear embedded in the form in yellow boxes; see the next section). An example:

![Alert]
- Prescriber DEA Number is a required alphanumeric field. Enter in AA9999999 format (2 letters followed by 7 numbers). The first letter must be A, B, F, or M; DEA numbers with data waivers (those beginning with X) are not allowed.
- Date Filled not be earlier than Date Written.
- A selection must be made for 'Payment Type'.

3.2.6.6 Other Error Messages
Depending on the data you enter and records which already exist in the system, there may be conflicts which alert you to errors in the data you entered, or require you to clarify your intentions. Below are some of the error messages which you may encounter when trying to **Add Prescription To Batch List**, and how to act on them.

![Error Message]
- National Drug Code (NDC) '00603254929' is not recognized by KASPER.
- You entered a National Drug Code (NDC) number which is not recognized by KASPER. Please verify the NDC number for this prescription and take one of the following actions.

Choose one:

- [ ] I need to go back and correct a mistake.
- [ ] I am certain the number as entered is correct. Please allow me to continue.

OK

- If you enter an NDC number for a controlled substance which KASPER does not recognize, you will see this message.
- Double check the number you entered and make certain it is a valid NDC number. If you made a mistake, select the first option and click **OK** to return to the form and edit the NDC value. If you are certain it is valid, select the second option and click **OK**, and the NDC value will be accepted as entered.
• If you enter Prescriber DEA number which KASPER does not recognize, you will see this message.

Note: This applies only to prescriber DEA numbers; dispenser DEA numbers must be known to KASPER.

• Double check the number you entered and make certain it is the correct DEA number. If you made a mistake, select the first option and click OK to return to the form and edit the DEA value. If you are certain it is valid, select the second option and click OK, and the DEA value will be accepted as entered.
• If you select **New Record** but enter information all of which matches an existing record, you will see this message.
• If the conflict was caused due to entering erroneous information, select the first option and click **OK** to return to the form and make corrections.
• If you intended to **revise** the existing record but simply forgot to select **Revise Record** for the **Action Type**, then select the second option and click **OK**, and that change will be made automatically and the record added to the **Batch List** as a **Revise Record** action.
• If you intended to **void** the existing record but simply forgot to select **Void Record** for the **Action Type**, then select the third option and click **OK**, and that change will be made automatically and the record added to the **Batch List** as a **Void Record** action.

![Record Not Found!](image)

If you select **Void Record** but the information fail to match an existing record, you will see this message.
• If the issue was caused due to entering erroneous information, select the first option and click **OK** to return to the form and make corrections.
• If you intended to submit a new record but mistakenly selected **Void Record** for the **Action Type**, then select the second option and click **OK**, and that change will be made automatically and the record added to the **Batch List** as a **New Record** action.
3.2.7 Step Six: Review the Batch List and Upload the Data

- Each time you click **Add Prescription To Batch List**, if there are no errors on the form, a new prescription record is added to the Batch List table at the bottom of the form. The details of that prescription depend on whether the **Controlled Substance** or **Compounded Controlled Substance** tab is selected when you click **Add Prescription To Batch List**.

- If you click **Edit** on any prescription in the table:
  - The form values (in all sections, including **Dispenser Information** and **Patient Information**) are populated with that row’s data, and the **Add Prescription To Batch List** button is replaced with **Save** and **Cancel** buttons.
  - Make any needed changes to the prescription, then click **Save** to save the changes.
  - Click on **Cancel** if you change your mind and do not need to make any changes.

- You can click **Remove** on any prescription in the Batch List to remove it from the list.

**Note:** *The removal process cannot be undone!*

- When all the prescription records you need to report are in the Batch List, click on **Upload All Prescriptions In Batch List** to upload the data to KASPER for processing. The system will inform you of the success or failure of the upload.

**IMPORTANT!** *The records in the batch list are not sent to KASPER until you click on Upload All Prescriptions In Batch List!***
3.3 Required Data Elements

All submitted data must adhere to the ASAP 4.2B Standard, and also include any additional Kentucky-required values listed in the table below, which lists the complete set of required values.


3.3.1 Data Element Table

<table>
<thead>
<tr>
<th>ASAP 4.2B Element ID</th>
<th>Name</th>
<th>Usage</th>
<th>Specifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>TH01</td>
<td>Version/Release Number</td>
<td>Required</td>
<td>Always populate with “4.2”</td>
</tr>
<tr>
<td>TH02</td>
<td>Transaction Control Number</td>
<td>Required</td>
<td>Unique transaction identifier</td>
</tr>
<tr>
<td>TH05</td>
<td>Creation Date</td>
<td>Required</td>
<td>Formatting = CCYMMDD</td>
</tr>
<tr>
<td>TH06</td>
<td>Creation Time</td>
<td>Required</td>
<td>Formatting = HHMMSS, HHMM</td>
</tr>
<tr>
<td>TH07</td>
<td>File Type</td>
<td>Required</td>
<td>▪ P = Production ▪ T = Test</td>
</tr>
<tr>
<td>TH09</td>
<td>Segment Terminator Character</td>
<td>Required</td>
<td>Any allowed terminator character (see the ASAP 4.2B specification), although</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>most commonly, the tilde ~ is used. Indicates to the system that this segment</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>has ended. This character must also be used to terminate every subsequent</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>segment.</td>
</tr>
<tr>
<td>IS01</td>
<td>Unique Info Source ID</td>
<td>Required</td>
<td>Always populate with “KY”</td>
</tr>
<tr>
<td>IS02</td>
<td>Info Receiver Entity Name</td>
<td>Required</td>
<td>Always populate with “PMP Program”</td>
</tr>
<tr>
<td>PHA01</td>
<td>Pharmacy NPI</td>
<td>Situational</td>
<td>Used if supplied, but not required.</td>
</tr>
<tr>
<td>PHA02</td>
<td>NCPDP Provider ID</td>
<td>Situational</td>
<td>Used if supplied, but not required.</td>
</tr>
<tr>
<td>PHA03</td>
<td>Pharmacy DEA#</td>
<td>Required</td>
<td>Required as the Pharmacy ID.</td>
</tr>
<tr>
<td>PAT01</td>
<td>ID Qualifier of Patient Identifier</td>
<td>Situational</td>
<td>Used if supplied but not required. Identifies the jurisdiction of ID used in</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>PAT03</td>
</tr>
<tr>
<td>ASAP 4.2B Element ID</td>
<td>Name</td>
<td>Usage</td>
<td>Specifications</td>
</tr>
<tr>
<td>----------------------</td>
<td>--------------------------</td>
<td>-------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| PAT02                | Patient ID Qualifier    | Required    | Qualifies ID type used in PAT03. The only allowable values for Kentucky are 06 or 07.  
▪ 06 = Driver’s License  
▪ 07 = Social Security  |
| PAT03                | Patient ID              | Required    | ID as specified in PAT02. SSN is required if present and **must be reported as nine numeric digits**. If an adult patient has not been assigned an SSN, driver’s license number may be used. If patient does not have SSN or DL, an SSN of all zeros must be used. |
| PAT07                | Patient Last Name       | Required    | Cannot be blank.                                                                                                                                 |
| PAT08                | Patient First Name      | Required    | Cannot be blank.                                                                                                                                 |
| PAT09                | Patient Middle Name     | Situational | Used if supplied, but not required.                                                                                                                                 |
| PAT10                | Prefix                  | Situational | Used if supplied, but not required.                                                                                                                                 |
| PAT11                | Suffix                  | Situational | Used if supplied, but not required.                                                                                                                                 |
| PAT12                | Patient Address 1       | Required    | Cannot be blank. **Note:** This should **not** be a P.O. Box – must be physical address.                                                        |
| PAT13                | Patient Address 2       | Situational | Used if supplied, but not required.                                                                                                                                 |
| PAT14                | City                    | Required    | Cannot be blank.                                                                                                                                 |
| PAT15                | State                   | Required    | Cannot be blank. Two character postal code.                                                                                                                                 |
| PAT16                | ZIP Code                | Required    | Cannot be blank. 5 or 9 digit patient ZIP                                                                                                                                 |
| PAT17                | Phone                   | Situational | Used if supplied, but not required.                                                                                                                                 |
| PAT18                | DOB                     | Required    | CCYYMMDD format. Cannot be future and must not be before 1900.                                                                                           |
| PAT19                | Gender                  | Required    | ▪ M = Male  
▪ F = Female  
▪ U = Unknown                                                                                                                                 |
<p>| PAT22                | Country of Non-U.S. Resident | Situational | Used to identify a patient’s country of origin, in case where address is foreign and PAT12-PAT16 are therefore blank. |</p>
<table>
<thead>
<tr>
<th>ASAP 4.2B Element ID</th>
<th>Name</th>
<th>Usage</th>
<th>Specifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>DSP01</td>
<td>Reporting Status</td>
<td>Required</td>
<td>Specifies whether the record is new, revised, or void.</td>
</tr>
<tr>
<td>DSP02</td>
<td>Prescription Number</td>
<td>Required</td>
<td>RX Number</td>
</tr>
<tr>
<td>DSP03</td>
<td>Date Written</td>
<td>Required</td>
<td>CCYYMMDD, must be later than Patient DOB (PAT18)</td>
</tr>
<tr>
<td>DSP04</td>
<td>Refills Authorized</td>
<td>Required</td>
<td># of refills authorized</td>
</tr>
<tr>
<td>DSP05</td>
<td>Date Filled</td>
<td>Required</td>
<td>CCYYMMDD, must be later than Patient DOB (PAT18)</td>
</tr>
<tr>
<td>DSP06</td>
<td>Refill Number</td>
<td>Required</td>
<td>0 = first fill</td>
</tr>
<tr>
<td>DSP07</td>
<td>Product ID Qualifier</td>
<td>Required</td>
<td>Use 01 to indicate State required NDC</td>
</tr>
<tr>
<td>DSP08</td>
<td>Product ID</td>
<td>Required</td>
<td>NDC with leading zeros and no dashes</td>
</tr>
<tr>
<td>DSP09</td>
<td>Quantity Dispensed</td>
<td>Required</td>
<td>Metric units dispensed, in metric decimal format</td>
</tr>
<tr>
<td>DSP10</td>
<td>Days Supply</td>
<td>Required</td>
<td>Estimation</td>
</tr>
<tr>
<td>DSP12</td>
<td>Transmission Form of Rx Origin Code</td>
<td>Required</td>
<td>Code indicating how the pharmacy received the prescription</td>
</tr>
<tr>
<td>DSP13</td>
<td>Partial Fill Indicator</td>
<td>Required</td>
<td>This field is used to identify when the quantity in DSP09 is less than the metric quantity per dispensing authorized by the prescriber. This dispensing activity is often referred to as a split fill.</td>
</tr>
<tr>
<td>DSP16</td>
<td>Classification Code for Payment Type</td>
<td>Required</td>
<td>Identifies type of payment rendered</td>
</tr>
<tr>
<td>DSP20</td>
<td>Electronic Prescription Reference Number</td>
<td>Situational</td>
<td>Used if supplied, but not required</td>
</tr>
<tr>
<td>DSP21</td>
<td>Electronic Prescription Order Number</td>
<td>Situational</td>
<td>Used if supplied, but not required</td>
</tr>
<tr>
<td>ASAP 4.2B Element ID</td>
<td>Name</td>
<td>Usage</td>
<td>Specifications</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------------------------------------</td>
<td>--------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>PRE02</td>
<td>Prescriber DEA Number</td>
<td>Required</td>
<td>Identifying number assigned to the prescriber by the DEA. The prescriber DEA number must begin with the letter A, B, F or M. DEA data waiver numbers starting with the letter X will be rejected. The prescriber’s actual DEA number must be reported.</td>
</tr>
<tr>
<td>CDI01</td>
<td>Compound Drug Ingredient Sequence Number</td>
<td>Required if Compound</td>
<td>First ingredient must begin with “1” and be incremented by 1 thereafter</td>
</tr>
<tr>
<td>CDI02</td>
<td>Product ID Qualifier</td>
<td>Required if Compound</td>
<td>Use 01 to indicate State Required NDC</td>
</tr>
<tr>
<td>CDI03</td>
<td>Product ID</td>
<td>Required if Compound</td>
<td>Product NDC</td>
</tr>
<tr>
<td>CDI04</td>
<td>Component Ingredient Quantity</td>
<td>Required if Compound</td>
<td>Metric decimal quantity dispensed</td>
</tr>
<tr>
<td>TP01</td>
<td>Detail Segment Count</td>
<td>Required</td>
<td>Number of detail segments included for the pharmacy (includes PHA and TP)</td>
</tr>
<tr>
<td>TT01</td>
<td>Transaction Control Number</td>
<td>Required</td>
<td>Unique transaction number used in TH02</td>
</tr>
<tr>
<td>TT02</td>
<td>Segment Count</td>
<td>Required</td>
<td>Total segments in file in including header and trailer</td>
</tr>
</tbody>
</table>
4 Upload Reports

After a successful upload, the data file will be parsed by the KASPER system. If it meets success criteria, the data will be loaded into the KASPER system; if not, the data will be rejected and not loaded into the KASPER system.

4.1 Error Thresholds and Tolerances

Submitted data files will be accepted or rejected based on these criteria:

- There are two types of errors:
  - Minor – Incorrect data in non-vital field; record can be loaded
  - Fatal – Record cannot be loaded
- An individual record will be rejected if it contains a fatal error.
- As of July 2018, entire files will no longer be rejected for meeting an error threshold. All records will be loaded or rejected on an individual basis.

**Important:** Data Reporters are required to correct fatal errors and resubmit the records within 7 days of the initial record submission.

4.2 Error Correction

When correcting prescription records with errors, here are some guidelines.

- Correcting records with fatal errors should be the highest priority, because those specific records were not loaded into KASPER.
- Records with minor errors are loaded into KASPER, and should be reviewed and corrected as needed.
- When making a correction, it is important to know whether to do so via a record revision, or by voiding the old record and submitting a new one. If one of the following four fields must be changed, then you must void the original and submit a new record:
  - Pharmacy/Dispenser DEA Number
  - Rx Number
  - Date Filled
  - NDC Number
- Otherwise, you can simply submit a revision of the existing record.
- If you use a vendor pharmacy software system, you probably must do revisions and voids using their software. Contact them if you are unsure of how to do so. If you report your own data to KASPER, you can correct records using the Prescription Data Entry Form detailed in Section 3.2. For error correction, you need to set the Action Type dropdown under Prescription Information to Revise or Void as needed.
- In the event that you find records that require a void or revision whose dates (written and/or filled) are older than two years plus the current year, you must contact us to temporarily enable an override to allow those records through the record validation process.
• If you repeatedly receive **Edit Code 21 or 21b (NDC Not Found)**, and you have carefully verified that the NDC is correct and valid, please contact us to report it, and in most cases we will be able to get the NDC added to our reference table within a few weeks.

### 4.3 Upload Notifications

Notification emails are sent to the primary contact’s email address, as well as any additional email addresses listed in your account profile, but not to the secondary contact’s email address.

After KASPER has analyzed and validated the data in your file, a notification email will be sent which provides the following information:

- The total number of records in the data
- The number of fatal and minor errors detected
- Whether or not you are responsible for correcting any issues, and the deadline for doing so

A .csv file containing all details of the upload report will be attached to all emails to allow you to easily review and address the errors. A .csv file can be imported into almost any spreadsheet program. Additionally, the full report can be viewed and downloaded in PDF format from the **Upload Reports** page (see next section).

### 4.4 Viewing Upload Reports

To view the report in an upload report notification email, click on the link and then sign in to the KASPER Data Reporting site if prompted. Afterwards, the report should open for you to view or save in PDF format.

You can also search for upload reports on the site using the following steps.

1. Log in to the KASPER Data Reporting website as directed under Logging Into an Existing Account.
2. Select **Upload Reports** from the navigation menu.
3. The system will automatically display a table of all of your upload reports from the last 30 days.
   - Click on any Report ID link to open that report in PDF format.
   - Click on any File Name to open a .csv file containing the data which was parsed from your uploaded file. A .csv file can be opened by any spreadsheet program.
   - If more reports are found than will fit on one page, you will see paging tools at the bottom right which allow you to access the full set of reports. You can also click on Download As CSV to open a .csv file which contains your search results in a file that you can open with any spreadsheet program.
   - To look up a particular report by ID, enter the Report ID in the box at the top and then click Search.
   - To search for reports from other time periods, set the From Date and To Date to the start and end dates of the time period you want, and then click on Search to display reports from the given date range.

   **Note: The maximum date range is 90 days.**

   - You can also enter a specific filename or select a particular file status from the dropdown menu to further refine your search.
4.4.1 Sample Upload Report

![Pharmacy Data Upload Report](image)

4.5 Report Edits (Error Codes)

The following error codes are used in upload reports to report errors:

<table>
<thead>
<tr>
<th>Edit</th>
<th>Message</th>
<th>Severity</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>File Format Error</td>
<td>Fatal</td>
</tr>
<tr>
<td>Edit</td>
<td>Message</td>
<td>Severity</td>
</tr>
<tr>
<td>------</td>
<td>----------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>02</td>
<td>Dispenser DEA Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>05</td>
<td>Dispenser ID not found</td>
<td>Fatal</td>
</tr>
<tr>
<td>08</td>
<td>Patient ID Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>08a</td>
<td>Patient ID Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>09</td>
<td>DOB Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>09b</td>
<td>DOB Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>10</td>
<td>Gender Invalid</td>
<td>Minor</td>
</tr>
<tr>
<td>14z</td>
<td>Void not found</td>
<td>Minor</td>
</tr>
<tr>
<td>15</td>
<td>Date Filled Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>15b</td>
<td>Date Filled Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>18</td>
<td>Metric Quantity Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>18b</td>
<td>Metric Quantity Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>18c</td>
<td>Metric Quantity Irrational (compound ingredient)</td>
<td>Fatal</td>
</tr>
<tr>
<td>19</td>
<td>Days Supply Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>19b</td>
<td>Days Supply Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>20</td>
<td>Days Supply Extreme</td>
<td>Minor</td>
</tr>
<tr>
<td>21</td>
<td>NDC not found</td>
<td>Minor</td>
</tr>
<tr>
<td>21b</td>
<td>NDC not found (compound ingredient)</td>
<td>Minor</td>
</tr>
<tr>
<td>22</td>
<td>Product ID Qualifier Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>25</td>
<td>Prescriber ID not found</td>
<td>Minor</td>
</tr>
<tr>
<td>25b</td>
<td>Prescriber ID Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>28</td>
<td>Date Written Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>28b</td>
<td>Date Written Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>29</td>
<td>Number Refills Authorized Invalid</td>
<td>Minor</td>
</tr>
<tr>
<td>29b</td>
<td>Refill Number is invalid</td>
<td>Minor</td>
</tr>
<tr>
<td>31</td>
<td>Classification Code For Payment Type Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>32</td>
<td>Transmission Form of Rx Origin Code Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>32b</td>
<td>Transmission Form of Rx Origin Code Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>33</td>
<td>Partial Fill Indicator Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>33b</td>
<td>Partial Fill Indicator Irrational</td>
<td>Fatal</td>
</tr>
<tr>
<td>34</td>
<td>Electronic Prescription Reference Number Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>35</td>
<td>Electronic Prescription Order Number Invalid</td>
<td>Fatal</td>
</tr>
<tr>
<td>50</td>
<td>Customer Last Name Blank</td>
<td>Fatal</td>
</tr>
<tr>
<td>51</td>
<td>Customer First Name Blank</td>
<td>Fatal</td>
</tr>
<tr>
<td>52</td>
<td>Customer Address Blank</td>
<td>Minor</td>
</tr>
<tr>
<td>53</td>
<td>Customer ZIP Code Blank</td>
<td>Fatal</td>
</tr>
<tr>
<td>54</td>
<td>Customer ZIP Code and State Conflict</td>
<td>Fatal</td>
</tr>
<tr>
<td>56</td>
<td>Customer City Blank</td>
<td>Minor</td>
</tr>
<tr>
<td>60</td>
<td>Customer State Code Blank</td>
<td>Fatal</td>
</tr>
<tr>
<td>61</td>
<td>Customer State Code Invalid</td>
<td>Minor</td>
</tr>
</tbody>
</table>
4.5.1 Error Terminology

- In general, the word “Invalid” describes values which are not allowed for a given data field. For example, the field requires a numeric value, but an alphabetic value was provided instead. Generally, most invalid errors are Fatal.

- The word “Irrational” generally indicates that the value provided is out of a defined range. Some of these ranges are defined by the ASAP 4.2B Standard, and others are set by KASPER.
5  KASPER Prescription Upload Support Contacts

5.1 KASPER Prescription Upload Technical Support

Contact the KASPER Help Desk:

Email address:  KPUPSupport@ky.gov

5.2 KASPER Program Support

Contact the Drug Enforcement and Professional Practices Branch:

Email address:  eKASPER.Admin@ky.gov
Phone:  502-564-7985
Address:  Drug Enforcement Branch
          275 East Main Street, 5E-D
          Frankfort, KY 40621
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# Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASAP</td>
<td>American Society for Automation in Pharmacy</td>
</tr>
<tr>
<td>Batch</td>
<td>A group of multiple records sent to KASPER via FTP, secure file upload or</td>
</tr>
<tr>
<td></td>
<td>using the PDEF</td>
</tr>
<tr>
<td>DEA Number</td>
<td>The identification number assigned to a prescriber or dispenser by the Drug</td>
</tr>
<tr>
<td></td>
<td>Enforcement Agency</td>
</tr>
<tr>
<td>Dispenser</td>
<td>Pharmacy, dispensing pharmacist, or dispensing health care practitioner</td>
</tr>
<tr>
<td></td>
<td>which dispenses controlled substances</td>
</tr>
<tr>
<td>KASPER</td>
<td>The Kentucky All Schedule Prescription Electronic Reporting program; the</td>
</tr>
<tr>
<td></td>
<td>name of Kentucky’s Prescription Drug monitoring Program</td>
</tr>
<tr>
<td>FTP</td>
<td>File Transfer Protocol; commonly-used protocol for exchanging files over</td>
</tr>
<tr>
<td></td>
<td>any network</td>
</tr>
<tr>
<td>NDC</td>
<td>National Drug Code; describes specific drugs by drug manufacturer and</td>
</tr>
<tr>
<td></td>
<td>package size</td>
</tr>
<tr>
<td>PDMP</td>
<td>Prescription Drug Monitoring Program</td>
</tr>
<tr>
<td>PMP</td>
<td>Prescription Monitoring Program</td>
</tr>
<tr>
<td>Prescriber</td>
<td>A practitioner who is authorized by state and federal agencies to prescribe</td>
</tr>
<tr>
<td></td>
<td>controlled substances</td>
</tr>
<tr>
<td>Prescription Data</td>
<td>Online form for submitting small quantities of data for those without the</td>
</tr>
<tr>
<td>Entry Form (PDEF)</td>
<td>means of reporting using data files over SFTP or SSL Upload</td>
</tr>
<tr>
<td>SFTP</td>
<td>Secure File Transfer Protocol (also referred to as “SSH File Transfer</td>
</tr>
<tr>
<td></td>
<td>Protocol”); provides file transfer and manipulation functionality over any</td>
</tr>
<tr>
<td></td>
<td>reliable data stream</td>
</tr>
<tr>
<td>SSL</td>
<td>Secure Sockets Layer; cryptographic protocol that provides secure</td>
</tr>
<tr>
<td></td>
<td>communications for data transfers</td>
</tr>
<tr>
<td>Uploader</td>
<td>Someone who uploads data containing controlled substance dispensing</td>
</tr>
<tr>
<td></td>
<td>information, either the dispenser or a third party on behalf of the dispenser</td>
</tr>
</tbody>
</table>

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