



Medication History for Populations Patient File Load

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1. Medication History for Populations Patient File Load Overview

About Patient File Load

The Medication History for Populations Patient File Load process is used by customers to enroll patients of interest. This process is currently used by the following products:

- Medication History for Populations (Panel)
- Medication History for Populations (Prescription Notifications)

For more information on the Patient File Load process, see the [Process Overview](#) section.

About Medication History for Populations

The Surescripts Medication History services provide prescribers with the electronic delivery of PBM/payer claim data and/or pharmacy fill data.

Medication History for Populations (Panel) is designed to assist authorized health systems, hospitals, risk-bearing groups and their authorized agents to electronically access a patient's medication history, including but not limited to data sourced from PBM/payers and retail pharmacies, while only used in connection and conjunction with the treatment of a specific patient and for the purposes of better managing the health of patient populations.

Medication History for Populations (Prescription Notifications) is designed to assist authorized health systems, hospitals, risk-bearing groups and their authorized agents to electronically access a patient's medication history notifications based on pharmacy fill data, while only used in connection and conjunction with the treatment of a specific patient and for the purposes of better managing the health of patient populations.

About This Guide

Surescripts created this document to assist customers in enrolling patients for Medication History for Populations (Panel) and Medication History for Populations (Prescription Notifications). The audience for this document includes any customer responsible for developing a system interface for these electronic messages.

Document References

Please reference the following documents when reading this guide:

Surescripts provided materials
Medication History for Populations (Panel) Flat File Implementation Guide
Medication History for Populations (Panel) Implementation Guide
Medication History for Populations (Prescription Notifications) Implementation Guide

2. Integration & Production

The following section defines related technical and support elements needed to achieve certification for moving into production, along with our Integration, Compliance, and Certification processes.

Integration Process

When a customer begins integrating a Surescripts product into their application(s), they will be provided access to all the Surescripts documentation pertaining to the product being implemented. In addition, customers will be provided access to the staging environment to design, develop and test the product integration within their application.

Note: The time frame of the project can vary depending on the customer's resource allocation for the project.

Meeting Requirements

During Integration, customers will ensure their system has met all product requirements. The Certification Testing will focus on message format, application workflow and display in accordance with Surescripts documentation and the associated Application Certification Requirements (ACRs). Upon successful completion of certification and, when applicable, other pre-production network requirements (e.g., Identity Proofing, Attestations, DEA audit), customers will be enabled in production.

For requirements, consider the following:

- Surescripts ACRs are required to be met to achieve production status on the Surescripts network and will be enforced as part of certification.
- To ensure high-quality transactions, Surescripts applies additional business rules above and beyond the NCPDP schema defined requirements that will cause a message to be successful or rejected.
- Surescripts test cases do not cover all possible scenarios in production. Customers are responsible for testing any other applicable scenarios specific to their production environment.
- In accordance with the customer's legal agreement with Surescripts, each customer is responsible for ensuring compliance with all applicable laws including, but not limited to, local and state laws/regulations where doing business.

Transition to Production

Once certification and the contract are complete and approved by the Surescripts Certification Review Board, the customer is ready to move into production. Surescripts will configure the production connection and validate successful operations with the customer. Prior to the transition to production, Surescripts Account Management will work with the customer and internal Surescripts teams to discuss the following:

- Production support contacts (Escalation Matrix)
- Support process and training
- Support hours

Surescripts Terminology Usage

For terminology usage throughout this guide, consider the following:

Term	Term usage
must	Requirements that are enforced as part of the production code or by Surescripts business rules. Note: Some business rules reside in the element details section of the guide.
shall	The requirements customers are required to meet in order to be certified on the Surescripts network. These requirements will be enforced as part of certification, not through business rules.
should	Used for guidance and best practices to produce superior results and enhance electronic messaging. Best practices can also be found in the Best Practice sections. Customers are encouraged, but not required, to meet best practices in order to be certified on the Surescripts network.

Communication Rules

Please refer to the Connectivity and Authentication Guide for details regarding communication and security protocol requirements as well as references to all links and IP addresses associated with Surescripts services. For the network to be reliable, there are communication rules to which all customers must adhere.

UTC Time Format

By using Coordinated Universal Time (UTC), the receiver of a message will know the time regardless of their time zone. For example: If a message was sent from Boston at 5:30PM EDT (Eastern Daylight Time), the time would be sent as 21:30 UTC time. If this message was received in Chicago CDT (Central Daylight Time), the 21:30 UTC could be converted to the local CDT time of 4:30PM. Refer to http://en.wikipedia.org/wiki/Coordinated_Universal_Time, or <http://www.w3.org/XML/> for more information. UTC time must be synchronized with NIST (National Institute of Standards and Technology) and the difference must be less than one minute. Drift of no more than one minute will be acceptable.

When sending only a Date (not Date and Time), it should be sent in your local time zone, and the receiver should interpret it in their local time. Neither party should attempt to convert the Date to UTC.

All standard programming languages should have a function for generating a date in the UTC time zone or displaying a date in the local time zone. The format of the date/time fields in the XML schema must use the xsd:dateTime format. Examples of that format are: CCYY-MM-DDTHH:MM:SS.FZ, where the UTC time zone may be specified as Z, + 00:00, or - 00:00. For example, 2013-01-01T16:09:04.5Z, or 2013-01-01T16:09:04.5-00:00, or 2013-01-01T16:09:04.5+00:00, where 16:09:04.5Z would be 16 hours, 09 minutes, 04 seconds, 5 fractional seconds. UTC time is denoted by either the "Z" in the first example or the "-00:00" in the second example, or the "+00:00" in the third example. The fractional seconds is not required. Refer to xsd:dateTime for more information.

For simple date fields that do not include the time portion, the format is: CCYY-MM-DD.

Note: For the Patient File Load, the format is as follows:

- For Date fields the format is: CCYYMMDD
- For Time fields the format is: HHMMSSDD

Character Set

The character set contains ASCII values 32 – 126, which includes:

Symbols	! " # \$ % & ' () * + , - . / : ; < = > ? @ [\] ^ _ ` { } ~
Numerals	0 to 9
Letters, upper and lower case	A to Z, a to z

Unprintable characters, such as control characters, are not used within the field sets. Defined unprintable characters are used as delimiters.

Compliance

Surescripts goal is efficiency and consistency across the network so all customers can meet the highest measures of patient safety, end-to-end reliability, and quality. To ensure that customers comply with and adhere to the approved certification requirements, Surescripts:

- Monitors customers in production to ensure all network customers remain in compliance with certification requirements and contractual terms.
- Initiates a remediation process for identified compliance issues.

To ensure network and patient safety, customer agrees to notify Surescripts of any modifications through use of the Surescripts recertification form. Upon receipt of this form, changes will be reviewed, and a determination made as to what (if any) level of certification may be required before being placed into production.

When changes are made to a customer's implementation, the customer should advise their account manager. The customer will be given a recertification guide to provide details regarding the changes made. Upon receipt of the completed document, the details will be reviewed, and a determination will be made as to what (if any) level of recertification is necessary.

As a reminder, Surescripts conducts certification with customers to ensure the application adheres to network requirements. Surescripts will enforce mandatory fields as required by the Standards body and Surescripts guide requirements. To maximize interoperability, customers are recommended to support optional fields that have been created to address gaps in discrete data needs and the many solutions that are in place for the benefit of the receiver. Surescripts encourages, but does not guarantee, the use of optional discrete fields to support end user workflows.

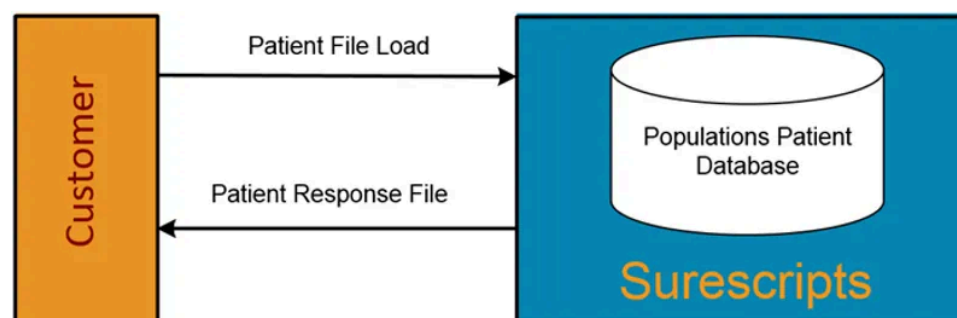
This guide is intended for certification on our network only and is not intended to ensure compliance with state and federal law. In accordance with the customer's legal agreement with Surescripts, each customer is responsible for conducting its own due diligence to ensure compliance with all applicable laws and requirements, including, but not limited to, local and state laws and regulations in which the customer's application is deployed and used.

Secure FTP

Contact your Surescripts resource for Secure FTP requirements.

3. Process Overview

Patient File Load Flow



1. The customer generates and posts the Patient File Load (onto the SFTP site) that identifies which patients they want to enroll for Medication History for Populations.
 - Patients enrolled in Medication History for Populations (Prescription Notifications) are enrolled until the specified **End Monitoring Date**. Customers can define the End Monitoring Date (which *must* be set for a future time period) on the initial load, which automatically stops notifications at that point. If no value for End Monitoring Date is specified, then patient processing will continue until an End Monitoring Date is loaded. Please refer to the *Medication History for Populations (Prescription Notifications) Implementation Guide* for details on accessing the notification details.
 - Patients enrolled for Medication History for Populations (Panel) are enrolled for a one time medication history response. Please refer to either the *Medication History for Populations (Panel) Implementation Guides* for details on accessing the response details depending if your organization utilizes XML or Flat File panel output.

Note: If a patient does not grant access to their data, then the customer is responsible for excluding the patient from the Patient File Load.

2. Surescripts validates the submitted file.
3. Surescripts generates and posts onto the SFTP site the Patient Response File for retrieval. The response file notifies the customer that the Patient File Load was received and provides details into any errors that were encountered during the validation process.
4. The customer should review the Patient Response File to determine if a file and/or patient resubmission is required due to errors.

Note: Only resubmit records that have errors.

5. Review the Panel Response file and/or Prescription Notification API request response.

Patient File Load Maintenance – Prescription Notifications

After the initial file load, additions and changes to the list of enrolled patients is accomplished using the same file format and process. Each file is considered an update to the current list of enrolled patients. It is not necessary to resend the entire list every time.

Recipient and Patient Identity

Prescription Notifications uses the following to identify a notification recipient and each patient that recipient has enrolled.

Intended Recipient of a Notification

- Sender ID
- NPI

Patient the Recipient is Monitoring

- Assigning Authority
- Patient ID

Notes:

- Sender ID is from the file header (HDR) record. The rest of the fields are from the patient detail (PMA) record.
- When a patient (Assigning Authority plus Patient ID) is enrolled by more than one recipient (Sender ID plus NPI), it is necessary to send patient updates for each recipient's enrolled record.

Updating a Previously Enrolled Patient

To change data for a patient, submit the patient in a patient file using the updated information for the patient. Updates can be made to any data in the patient detail record (PMA) other than NPI, Assigning Authority, and Patient ID.

Updates can include:

- Change of patient demographics (name fields, address fields, date of birth, gender)
- Adding / removing Notifications Requested for this Patient
- Changes to the End Monitoring Date

Deleting a Previously Enrolled Patient

It is not possible to delete an enrolled patient; however, customers can stop receiving notifications for a patient. This is accomplished by updating the End Monitoring Date of the patient to a desired future date. Once the update is processed by Surescripts and the date is reached, no notifications will be generated for the patient.

Note: All patients who are currently being monitored can be unenrolled from Prescription Notifications with a UNR file load (Panel does not apply to this feature). See [Detail Information for Unenrollment](#).

Enrolling or Adding a New Patient or Notification Recipient

Please consider the following when enrolling or adding a new patient or notification recipient:

- New patients (Assigning Authority plus Patient ID) received in a patient file load will be validated and loaded.
- New recipients (Sender ID, NPI) with associated patient detail (PMA) records will be validated and loaded.
- A new recipient for a patient already monitored by a different recipient will be validated and loaded independently from the original recipient record. Surescripts considers the combination of Sender ID, NPI, Assigning Authority, and Patient ID to be the unique keys to a record being monitored for notifications.

File Validation

Surescripts will ensure that customers are in compliance with the message specifications outlined in this Guide during Integration Testing and will continue to enforce once in production.

At a minimum, Surescripts validations include:

- The sender identification and authentication
- The recipient identification
- Syntax of the message, including field lengths, required fields, data types, number of repeats and code values
- Surescripts business rules and applicable requirements

4. Patient File Load Details

Refer to the following topics for information on patient file load details:

[Patient File Naming](#)

[Patient File Load](#)

[Patient Response File](#)

4.1. Patient File Naming

Patient File Load Naming

The File Load naming convention is: *<CustomerName>_PMA_<YYYYMMDD-XX>.<CompressionFormat>*. Surescripts recommends compressing the file prior to transmitting it to Surescripts. The current zip protocols that are supported are gzip, bzip2 and zip.

Example: **ACOCompany_PMA_20201204-01.gz**

Patient Response File Naming

The naming convention is *<InputFileName sans extension>.<sstimestamp>.<sstimestamp>.rsp*.

Example: **ACOCompany_PMA_20201204-01.20201204012025.20201204012025.rsp**

4.2. Patient File Load

The Patient File Load format will be pipe-delimited (hex7c). Each field is delimited by the pipe character (|). If a pipe-character (hex7c) is used in field data, it must be escaped with \F\. For example, Main | Street would be listed as Main \F\ Street. Each line is to be separated by a new line (hex0A) character.

Note: If mandatory fields are not included, the Patient File Load and/or patient record will not pass validation, and the patient will not be loaded or monitored. All conditional fields must be accounted for, either with data, or a placeholder delimiter.

Requirement Designation

Field Attributes:

Code	Description
mandatory	The element must be used per the specification (e.g., XML schema validation).
conditional	The element is to be used per the conditions specified.

Header Information

Note: Certain errors pertaining the Record Type and Transmission File Type fields could result the file not being processed, which would cause the response file to not be generated, preventing the visibility of resulting errors.

File Id	Field Name	Type	Code	Description	Example
0	Record Type	an3	mandatory	Identifies record type.	HDR
1	Version	an3..5	mandatory	Version Number of this specification.	2.0
2	Sender ID	an15	mandatory	ID as assigned by Surescripts identifying customer sending the file.	P0000000 0023456
3	Sender Password	an10	mandatory	Password for customer to access the Surescripts system.	M94WJ7C W6H
4	Receiver ID	an15	mandatory	Represents Surescripts as the receiver of the file. Set to the Surescripts ID.	S0000000 0000006
5	Transmission Control Number	an1..10	mandatory	Unique identifier defined by the sender. The value must be unique for each file transmission and is used to map the Patient File Load to the Patient Response File.	123456789 1
6	Transmission Date	dt8	mandatory	Date transaction was created (D8 - CCYYMMDD)	20060701
7	Transmission Time	tm8	mandatory	Time transaction was created (HHMMSSDD)	12200101
8	Transmission File Type	an1..4	mandatory	Identifier telling the type of File. This file load can accept patient enrollment for Panel only, Patient notification only, or for both depending on the recordtype value in the detail information. Value: PMA	PMA
9	Transmission Action	an1..10	conditional	Leave empty, or use U . If empty, field will default to U .	U
10	Extract Date	dt8	mandatory	Date File was created (CCYYMMDD)	20140104
11	Usage Indicator	an1	mandatory	Values: - T = Test - P = Production	T
12	Patient Population ID	an1..64	mandatory	Customer defined value to label the list of patients being loaded in this file. The same patient population can be loaded/uploaded in multiple files.	HighRisk
13	File Schedule	an1..20	conditional	Field is not currently used. Leave empty. Field will default to "ADHOC".	ADHOC
14	Look Back Period in Months	n1..3	conditional	Panel Management field. Not used by Prescription Notifications. May be left empty, or customized to pull data from one to a maximum of 12 months. Default value is set to 12.	12

Detail Information

The following sections describe separate detail information for enrollment and unenrollment file loads.

Detail Information for Enrollment

Field	Field Name	Type	Code	Description	Example(s)
0	Record Type	an3	mandatory	Identifies record type. Values: - PAT = Prescription Notifications and Panel enrollment - PNM = Panel enrollment - PMA = Prescription Notifications enrollment Note: Patient file loads with PAT, PNM, or PMA record types cannot be combined with UNR record types.	PMA
1	Record Sequence Number	n1..10	mandatory	Unique Number for this detail row in the file.(Record Sequence Number starting with 1and continuing up to the number of detail records in the file.)	1 2 3
2	Assigning Authority	an1..64	mandatory	ID for the organization/system that assigned the related patient ID.	1.3.44444.666.3.2.1
3	Patient ID	an1..35	mandatory	Customer's internal Patient ID. This is case-sensitive, and reflected back in the final MH response file.	58861323
4	Last Name	an1..35	mandatory	Last name of the patient.	Jones
5	First Name	an1..35	mandatory	First name of the patient.	Robert
6	Middle Name	an1..35	conditional	Patient middle name. Sent to aid in patient matching.	Jonathan
7	Prefix	an1..10	conditional	Patient prefix. Sent to aid in patient matching.	Mr.
8	Suffix	an1..20	conditional	Patient suffix. Sent to aid in patient matching.	II
9	Address Line 1	an1..55	conditional	First line of the patient address (no C/O type information). Sent to aid in patient matching.	123 Street Avenue
10	Address Line 2	an1..55	conditional	Second line of the patient address (no C/O type information). Sent to aid in patient matching.	Unit #41

Field	Field Name	Type	Code	Description	Example(s)
11	City Name	an2. .30	conditional	Patient city name. Sent to aid in patient matching.	Jacksonville
12	State	an2. ..55	conditional	Only United States addresses are supported. Sent to aid in patient matching. Note: Both state abbreviations and full state names are supported.	- Colorado - CO
13	Postal Code	an 5.1 0	mandatory	Patient postal or zip code must consist of five digits, an optional hyphen (-), and up to four additional digits. The first five characters must only consist of numbers.	55123 97116-2245 200607011
14	Date of Birth	dt8	mandatory	Patient DOB (CCYYMMDD)	20060701
15	Gender	an1	mandatory	Patient gender Values: - M = Male - F = Female - U = Unidentified	M
16	NPI	n10	mandatory	Requester NPI requesting for the MH data. This can be an organization or individual NPI. The NPI will be validated against the National Provider Identification file to verify that it exists. https://nppes.cms.hhs.gov/#/ Note: A test NPI can be used in staging, as no NPPES validation is used during the testing process. Surescripts will instead only map to test data.	1234567893
17	End Monitoring Date	dt8	conditional	Date when this patient should no longer be monitored. Leave empty to monitor the patient indefinitely. This field is only relevant for Prescription Notifications with PAT and PMA record types. Note: <i>The End Monitoring Date must be set beyond the current date.</i> Prescription Notifications cannot be stopped retroactively.	20231231
18	Notifications Requested for This Patient	an1. .100 0	conditional	The list of notifications for which the patient is being enrolled. This field is only relevant for Prescription Notifications with PAT and PMA record types. If left empty, this patient will be monitored for all contracted notifications. If this patient is to be monitored for a list of notifications that is shorter than the contracted list, include individual notifications requested in a comma separated list. Field is case insensitive. Values: PMANewRx	PMANewRx, PMARefill, PMAInfo

Field	Field Name	Type	Code	Description	Example(s)
				- PMARefill - PMANewPrescriber - PMAControlledSubstance - PMARefillsRemaining - PMARefillNotPickedUp - PMACashPayRx - PMAMonitoredMedRx Recommendations: - Leave this field empty to make it easy for contracting new notification types in the future without need for a Patient File Load reload. - If enrolling for specific notification types using this field, you must also include PMAInfo in order to receive informational notifications (e.g., patient is not found).	

Detail Information for Unenrollment

Field	Field Name	Type	Code	Description	Example
0	Record Type	numeric3	mandatory	Identifies record type. Value: UNR = Unenroll patients Note: Patient file loads with this record type cannot be combined with PAT, PNM, or PMA record types.	UNR
1	Record Sequence Number	numeric10	mandatory	Number for this detail row in the file.	1
2	Product	numeric3	mandatory	Product Type. Allowed value is PMA.	PMA
3	End Monitoring Date	datetime8	mandatory	This is the date when <i>all</i> patients who are currently being monitored will be unenrolled from Prescription Notifications (Panel does not apply). This date must be set in the future from current date. Please be aware that specific patients cannot be unenrolled using this process.	20231231

Trailer Information

Field	Field Name	Type	Code	Description	Example
0	Record Type	an3	mandatory	Identifies record type. Value: TRL	TRL
1	Total Records	n1..10	mandatory	Total Detail Records submitted	• 1 • 2 • 3

4.3. Patient Response File

Each Patient Response File will contain an overall file load status code, including description, within the header record. This code indicates if the file loaded with either partial or full success (i.e., patients were loaded from the file), and/or if errors were encountered.

In addition, there will be a record containing an error code and description for every error found in the file. These records will include the line number of the incoming file that had the related error. Line number starts with 1 for the header record and is incremented by 1 for every record in the incoming file.

Line number 1 will indicate an error on the incoming file header. Line numbers 2 - n will indicate errors on subsequent records in the incoming file. There may be multiple records listing an error code and description for the same line number from the incoming file.

The Patient Response File format is pipe-delimited (hex7c). Each field is delimited by the pipe character (|). If a pipe-character (hex7c) is used in field data, it will be escaped with \F\. For example, Main | Street will be listed as Main \F\ Street. Each line will be separated by a new line (Hex 0A) character.

Requirement Designation

Field Attributes:

Code	Description
mandatory	The element must be used per the specification (e.g., XML schema validation).
conditional	The element is to be used per the conditions specified.

Header Information

Field	Field Name	Type	Code	Description	Example
0	Record Type	an3	mandatory	Identifies record type.	SHD
1	Version	an3..5	mandatory	Version Number of this specification.	2.0
2	Receiver ID	an3..30	mandatory	ID assigned by Surescripts for the recipient of the Patient Response File (i.e., the original sender of the Patient File Load).	P00000000012345
3	Sender ID	an3..30	mandatory	ID as assigned by Surescripts identifying Surescripts.	S000000000000006
4	Transaction Control Number	an1..36	mandatory	Unique identifier defined by the sender. Will be a GUID in the response from Surescripts.	ec622dd2-dab7-4945-bc2f-a9c0a78c64dd
5	Transaction Date	dt8	mandatory	Date transaction was created. CCYYMMDD	20170331
6	Transaction Time	tm8	mandatory	Time transaction was created. HHMMSSDD	13214577
7	Transaction File Type	an3	mandatory	Identifier telling receiver the type of file.	PMA
8	Transmission Control Number - Originating	an1..10	mandatory	The value will echo the Transmission Control Number sent in the patient file transmitted to Surescripts.	1234567891
9	Transmission Date- Originating	dt8	mandatory	Date Original Incoming File was created (D8) CCYYMMDD.	20200331
10	Transmission Time- Originating	tm8	mandatory	Time Original Incoming File was created HHMMSSDD.	10443025
11	File Type	an1	mandatory	Values: - T = Test - P = Production	T
12	Load Status	an2	mandatory	Header Response Code explaining the status of the load. Values:	01

Field	Field Name	Type	Code	Description	Example
			ry	• 01 = File loaded correctly. • 02 = File loaded with errors and/or warnings. • 03 = Failed to load file. No data was processed. Note: If there is more than one error at the file level, there will be additional errors in detail records with a sequence of 1, null patient ID, and the header response code in the error code field.	
13	Load Status Description	an1. .25 0	mandatory	Description of the status of the load	See Header Load Status Response Codes table above.

Detail Information

Field	Field Name	Type	Code	Description	Example
0	Record Type	an3	mandatory	Identifies record type	SDT
1	Record Sequence Number	n1.10	mandatory	Surescripts assigned number for the record in the received file. Number starts with 1 for the first record and is incremented by 1 for each record in the file as Surescripts processes the file.	2
2	Source Record Sequence Number	n1.10	conditional	Record Sequence Number from the detail row on the incoming file. This is the value assigned by the sender of the file.	1
3	Assigning Authority	an1.64	conditional	ID for the organization / system that assigned the related patient ID.	1.3.44444.666.3.2.1
4	Patient ID	an1.35	conditional	Customer's internal Patient ID from the incoming transaction.	58861323
5	Error Type	an1	mandatory	Values: - W = Warning – Does not fail file or row. - E = Error – Fails row error it is associated with. - F = Fatal – Fails entire file load, nothing is processed.	
6	Error Code	an10	mandatory	Code for the error found on this record.	See Validation and Error Code Details
7	Error Description	an1.250	conditional	Text describing the error.	See Validation and Error Code Details

Trailer Information

Field	Field Name	Type	Code	Description	Example
0	Record Type	an3	mandatory	Identifies record type.	STR
1	Processed Record Count	n1..10	mandatory	Count of detail patient records processed in file. Error Record Count + Loaded Record Count = Processed Record Count	100
2	Error Record Count	n1..10	conditional	Count of detail patient records that contained an error and did not load.	3
3	Loaded Record Count	n1..10	conditional	Count of detail patient records that were loaded for enrollment.	97
4	Total Error Count	n1..10	conditional	Number of errors listed in the Patient Response File. A single input record could have one or more errors listed in the response file. Total Error Count will be > or = Error Record Count.	7

5. Patient File Load Examples

The following flat files examples are provided in this section:

- [Patient File Enrollment Load Example](#)
- [Patient File Unenrollment Load Example](#)
- [Patient Response File Example](#)
- [Patient File Load Error Examples](#)
 - [Header Information – Invalid Participant ID](#)
 - [Detail Information Patient File – File Loaded with Error](#)
 - [Detail Information Patient File – Multiple Errors](#)

Patient File Enrollment Load Example

The following is an example of a Patient File Load that was successfully processed.

HDR|2.0|T00000000012345|PASSWORD|S000000000000006|TRS8804|20181217|00110102|PMA|U|20181217|T|HIGHRISK||12||2024
0101|20241231

PMA|1|72.7.2.7272510|58861323|Jones|Robert|Jonathan|Mr.||123 Street
Avenue|Unit#41|Jacksonville|CO|55123|20060701|M|1234567893|20231231|PMANewRx,PMARefill

PNM|2|72.7.2.7272510|6756367|Crandall|Max||MR||382 115th Road SE||Comal|SC|29929|19521101|M|199999999|20180908|

PNM|3|72.7.2.7272510|56800669|Mann|Adam||Dr.||1926 800th ST||Collingsworth|NE|68178|19700515|M|199999999|20180908|

PAT|4|72.7.2.7272510|43726207|Bell|Catherine|Marcia|||6245 572nd
Street||Gholson|WY|82010|19800527|F|199999999|20180908|

PAT|5|72.7.2.7272510|27335157|Rogers|Steven|||PHD|3539 Salmon Lane
E||Williamson|ND|58102|19541109|M|199999999|20180908|

PMA|6|72.7.2.7272510|96067214|Flash|Dale|||MD|8896 Arthur Lane||Pleasanton|GU|96919|19540707|M|199999999|20180908|

PMA|7|72.7.2.7272510|58861323|Kelley|Carrie|||1879 Madison ST||Yorktown|PR|00601|20100301|F|199999999|20180908|

PMA|8|72.7.2.7272510|75519315|Kyle|Selina|||2048 642nd Avenue NE||Schleicher|OH|44322|19690326|F|199999999|20180908|

PMA|9|72.7.2.7272510|90718490|Scott|Allan|||II|7017 Walleye AVE||Randall|MD|21401|20020409|M|199999999|20180908|

PMA|10|72.7.2.7272510|80289001|Grayson|Dick|Robin|||5946 90th Lane NW||North
Cleveland|OR|97420|20081203|M|199999999|20180908|

TRL|10

Patient File Unenrollment Load Example

The following is an example of a UNR Patient File Load that was successfully processed.

HDR|2.0|T00000004654294|PASSWORD94|S000000000000006|Trnsm030|20170307|10110102|PMA|U|20170228|T|PAT||

UNR|1|PMA|20210901

TRL|1

Patient Response File Example

The following is an example of a Patient Response File that is sent from Surescripts to the customer.

```
SHD|2.0|T00000000012345|S000000000000006|27cbc136-16c1-489e-84c8-
f1e56cd22e9d|20181217|07024411|PMA|TRS8804|20181217|00110102|T|01|File Loaded Correctly.

STR|10|0|10|0
```

Patient File Load Error Examples

Header Information – Invalid Participant ID

Patient File Load

The Patient File Load example below contains an error in the header. In this example no records were loaded. The error has been color-coded as follows:

- **Invalid Sender ID, does not match the Customer ID**
- **Invalid Participant Password (Customer Password)**

Example:

```
HDR|2.0|T00000000099999|PASSING|S000000000000006|TRS8804|20181217|00110102|PMA|U|20181217|T|HIGHRISK||
PMA|1|72.7.2.7272510|57919598|Austin|Steve||MR||1152 Winding LN||Trinidad|NJ|07101|20021103|M|199999999|20180908|
PNM|2|72.7.2.7272510|6756367|Crandall|Max||MR||382 115th Road SE||Comal|SC|29929|19521101|M|199999999|20180908|

TRL|2
```

Patient Response File

The Patient Response File example below shows an example of an error that will be sent in response to a Patient File Load that includes errors in the header (e.g., Invalid Participant ID, Invalid Participant Password).

Example:

```
SHD|2.0|T00000000099999|S000000000000006|bda2d0fb-f3d2-4d6b-be58-
46a2d5255dfb|20181218|23020861|PMA|TRS8804|20181217|00110102|T|03|Invalid HDR and / or TRL. File not loaded.
```

SDT|1|||E|118|The Sender Password provided in the fileload is different than the password provided in the customer activation form.

SDT|1|||E|116|The Sender ID T00000000012345 provided in the header does not match the customer ID T00000000099999 in the activation form.

SDT|2|1|72.7.2.7272510|57919598|E|101|No valid contract for record type PMA exists.

SDT|3|2|72.7.2.7272510|6756367|E|101|No valid contract for record type PNM exists.

STR|2|2|0|4

Detail Information Patient File – File Loaded with Error

Patient File Load

In the Patient File Load example below, record #2 did not include the birthdate column, which is a required field. The data in the error has been color-coded as follows:

Record 2 is missing the Date of Birth

Example:

```
HDR|2.0|T00000000012345|PASSWORD|S000000000000006|TRS8804|20181217|00110102|PMA|U|20181217|T|HIGHRISK||
PMA|1|72.7.2.7272510|57919598|Austin|Steve||MR||1152 Winding LN||Trinidad|NJ|07101|20021103|M|199999999|20180908|
PNM|2|72.7.2.7272510|6756367|Crandall|Max||MR||382 115th Road SE||Comal|SC|29929||M|199999999|20180908|
TRL|2
```

Patient Response File

The Patient Response File example below shows an example of an error that will be sent in response to a Patient File Load that did not include a required field (e.g., Date of Birth).

Example:

```
SHD|2.0|T00000000012345|S000000000000006|8cb0906a-330d-4bc2-83b4-
0459ae87bb46|20181217|09030947|PMA|TRS8804|20181217|00110102|T|02|File loaded with errors.
```

SDT|3|2|72.7.2.7272510|6756367|E|107|Required column birthDate missing.

```
STR|2|1|1|1
```

Detail Information Patient File – Multiple Errors

Patient File Load

The Patient File Load example below contains multiple errors in the Detail Information Patient File.

The errors have been color-coded as follows:

- **Record 1 has an invalid NPI**
- **Record 2 is missing the NPI**
- **Record 3 has an invalid end monitoring date**
- **Record 4 has an invalid name character count**
- **Record 5 is missing the Patient Id**

Example:

```
HDR|2.0|T00000000012345|PASSWORD|S000000000000006|TRS8804|20181217|00110102|PMA|U|20181217|T|HIGHRISK||12||2024
0101|20241231
PMA|1|72.7.2.7272510|57919598|Austin|Steve||MR||1152 Winding
LN||Trinidad|NJ|07101|20021103|M|999999999|20180908|PMAControlledSubstance,PMANewPrescriber
PNM|2|72.7.2.7272510|6756367|Crandall|Max||MR||382 115th Road SE||Comal|SC|29929|19521101|M||20180908|
PNM|3|72.7.2.7272510|80289003|Valdez|J|Pickle||2590 388th LN||West Orange|AR|72944|20120316|M|1932400116|202108254|
```

PMA|4|72.7.2.7272510|75519318|**Va|J|P**|||2590 388th LN||West Orange|AR|72944|20120316|M|1932400116|20211899|

PMA|5|72.7.2.7272510||Rogers|Steven|||PHD|3539 Salmon Lane E||Williamson|ND|58102|19541109|M|199999999|20180908|

PMA|6|72.7.2.7272510|96067214|Flash|Dale|||MD|8896 Arthur Lane||Pleasanton|GU|96919|19540707|M|199999999|20180908|

PMA|7|72.7.2.7272510|58861323|Kelley|Carrie|||1879 Madison ST||Yorktown|PR|00601|20100301|F|199999999|20180908|

PMA|8|72.7.2.7272510|75519315|Kyle|Selina|||2048 642nd Avenue NE||Schleicher|OH|44322|19690326|F|199999999|20180908|

PMA|9|72.7.2.7272510|90718490|Scott|Allan|||II|7017 Walleye AVE||Randall|MD|21401|20020409|M|199999999|20180908|

PMA|10|72.7.2.7272510|80289001|Grayson|Dick|Robin|||5946 90th Lane NW||North
Cleveland|OR|97420|20081203|M|199999999|20180908|

TRL|10

Patient Response File

The Patient Response File example below shows an example of an error that will be sent in response to a Patient File Load that contains multiple errors.

Example:

SHD|2.0|T00000000012345|S000000000000006|e61d1e43-a6c2-42e4-a7d8-36c99f7ff9bc|20181219|01022815|PMA|TRS8804|20181217|00110102|T|02|File loaded with errors.

SDT|2|1|72.7.2.7272510|57919598|E|109|Invalid NPI value: 9999999999.

SDT|3|2|72.7.2.7272510|6756367|E|107|Required column npi missing.

SDT|4|3|72.7.2.7272510|56800669|E|110|Invalid format for date field End Monitoring Date Expected: 8 digits in the CCYYMMDD format. Actual: 20210825.

SDT|5|4|72.7.2.7272510|43726207|E|127|Two of a person's names (Last Name, First Name, Middle Name) must have 2 or more characters.

SDT|6|5|72.7.2.7272510||E|107|Required column patientId missing.

STR|10|5|5|5

6. Validation and Error Code Details

Error Type Descriptions

Error Type	Description
Warning	Does not fail file or row.
Error	Fails row error it is associated with.
Fatal	Fails entire file load, nothing is processed.

Patient File Load Validations and Errors

Load Status	Type	Description
01	N/A	File loaded correctly.
02	Warning	File loaded with errors and/or warnings.
03	Fatal	Failed to load file. No data was processed.

Patient Response File Errors

C od e	Typ e	Description	Comment
100	Warning	Record count in the trailer does not match the actual number of records in file. Actual: <recordCount> Expected: <trailerCount>.	Make sure number of rows in file matched what was reported in the trailer.
101	Fatal	No valid contracts exist. Customer is missing contract for <recordTypeCode (PNM, PMA, PAT)>.	
103	Error	Trailer Not Present.	
104	Error	Incorrect number of fields for row type <rowType>. Expected: <expectednNumber>, Actual: <actualNumber>.	Example: SDT 1242 E 104 Incorrect number of columns for row type PNM. Expected: 19, Actual: 20.
105	Error	Rows exist after trailer.	
106	Error	Multiple Header rows encountered.	
107	Error	Required field <fieldName> is missing.	
108	Error	Maximum length for field <fieldName> exceeded. Maximum Length: <maximumNumber>, Actual Length: <actualNumber>.	
109	Error	Invalid NPI value: <NPI>.	
110	Error	Invalid format for [time, date] field <fieldName>. Expected: <expectedNumber> digits in the <expectedLayout> format. Actual: <actualNumber>.	Used on date/time checks. Example: Invalid format for date field Date of Birth Expected: 8 digits in the CCYYMMDD format. Actual: 01/15/98.
113	Error	Expected value for field <fieldName> not found. Expected: <expectednNumber>. Actual: <actualNumber>.	Transmission action and FileSchedule are both conditional, as a result the file will not fail if this does not exist. For example, receiverId must be S000000000000006.
114	Error	Incorrect length for field <fieldName>. Expected Length: <expectednNumber>, Actual Length: <actualNumber>.	Used for NPI
115	Error	Date for field <fieldName> must be in the past. Actual Date: <date from file>.	Used for DateOfBirth validation. Note: This field takes the time into consideration when that field is included.
116	Error	The Sender ID <senderID> provided in the header does not match the Customer ID <userID> in the activation form.	

C od e	Typ e	Description	Comment
117	Error	Field <fieldName> must contain ASCII characters between 32 and 126. Invalid characters found: <actual>.	The actual value <actual> will display the Unicode escaped response (U+hex: \u0020) showing the character detected. Example: Field State must contain ASCII characters between 32 and 126. Invalid characters found: \u0BAF\u0BBE
118	Error	The Sender Password provided in the fileload is different than the password provided in the customer activation form.	
119	Error	The notification type(s) provided <requestedNotificationTypes> are not in your list of contracted notification type(s) <validNotificationTypes>.	A list of alerts was included on the patient record, but none of them were contracted. The patient was not loaded.
122	Warning	You have specified a prescription notification type for a panel-only patient. Your specified notification types of <requestedNotificationTypes> will be ignored.	
123	Error	Value provided <actual> is not in range. Must be between <min> and <max>.	Example: Value provided 13 is not in range. Must be between 1 and 12.
124	Error	The NPI provided is valid but the NPPES registration is missing the provider first or last name which prevents processing this row. The NPPES registry will need to be updated.	Data mapping issue. If this error appears, Contact Surescripts support with error code and description to resolve.
125	Error	The NPI provided is valid but the NPPES registration is missing the facility name which prevents processing this row. The NPPES registry will need to be updated.	Data mapping issue. If this error appears, Contact Surescripts support with error code and description to resolve.
126	Error	Field <fieldName> does not meet minimum length. Must be at least <min> characters. Actual: <actual>.	
127	Error	Two of a person's names (Last Name, First Name, Middle Name) must have 2 or more characters.	
128	Error	Field end monitoring date must be a date in the future or empty. Actual: <actual>	
129	Fatal	The file <currentFilename> was not loaded. A file <previousFilename> with the same detail information was processed on <YYYY-MM-DD HH:MM:SS,SSS>.	Duplicate Panel File. To resolve this error, make changes to the details in the file that you are loading, change the lookback period, or wait at least 24 hours to reload it.
131	Fatal	The UNR record type is not allowed in the same file with [PMA, PAT, PNM] record types.	
132	Error	Field Postal Code must consist of 5 digits, an optional hyphen (-), and up to 4 additional digits. Actual value: <passedInZipCode>.	

C od e	Typ e	Description	Comment
133	Err or	Value for field <fieldName> must be a positive integer. Actual: <actual>.	
134	War nin g	Blank row ignored on line number %s	
135	Err or	RequestRangeStart must be earlier than RequestRangeEnd	
136	Err or	Date range cannot be more than %s months	
137	Err or	Invalid Phone number	
138	Fat al	Med history health plan participant must be configured with flat file output	
139	Fat al	Med history health plan participant must be configured with version Mhv4	

Applicable Header Row Error Codes

The following table lists the possible error codes that could occur for each field.

Please be aware that over time, Surescripts may continue to modify, add, or remove applicable field error code listings. As error information is updated, the table below is subject to change, and this implementation guide will be revised to provide all of the necessary details for displaying accurate error information within a timely manner.

Note: All header errors are fatal and will fail the entire file load.

Field #	Field Name	Possible Error Code(s)
0	Record Type	113
1	Version	113 117
2	Sender ID	114 116 117 118
3	Sender Password	114 117 118
4	Receiver ID	113 114 117
5	Transmission Control Number	107 108 117
6	Transmission Date	107 110 117
7	Transmission Time	107 110 117
8	Transmission File Type	N/A
9	Transmission Action	113 117
10	Extract Date	107 110 117
11	Usage Indicator	113 117
12	Patient Population ID	107 108 117
13	File Schedule	108 113 117
14	Look Back Period in Months	117 123

Applicable Enrollment Detail Row Error Codes

The following table lists the possible error codes that could occur for each field.

Please be aware that over time, Surescripts may continue to modify, add, or remove applicable field error code listings. As error information is updated, the table below is subject to change, and this implementation guide will be revised to provide all of the necessary details for displaying accurate error information within a timely manner.

Field #	Field Name	Possible Error Code(s)
0	Record Type	101 113
1	Record Sequence Number	107 108 117 133
2	Assigning Authority	107 108 117
3	Patient ID	107 108 117
4	Last Name	107 108 117 127
5	First Name	107 108 117 127
6	Middle Name	108 117 127
7	Prefix	108 117
8	Suffix	108 117
9	Address Line 1	108 117
10	Address Line 2	108 117
11	City Name	108 117 126
12	State	117 118
13	Postal Code	107 117 132

Field #	Field Name	Possible Error Code(s)
14	Date of Birth	107 110 115 117
15	Gender	113 117
16	NPI	107 109 114 117 124 125
17	End Monitoring Date	110 128
18	Notification Requested for This Patient	108 119 122

Applicable Unenrollment Detail Row Error Codes

The following table lists the possible error codes that could occur for each field.

Please be aware that over time, Surescripts may continue to modify, add, or remove applicable field error code listings. As error information is updated, the table below is subject to change, and this implementation guide will be revised to provide all of the necessary details for displaying accurate error information within a timely manner.

Field #	Field Name	Possible Error Code(s)
0	Record Type	113
1	Record Sequence Number	N/A
2	Product	113
3	End Monitoring Date	107 128

Applicable Trailer Row Error Codes

The following table lists the possible error codes that could occur for each field.

Please be aware that over time, Surescripts may continue to modify, add, or remove applicable field error code listings. As error information is updated, the table below is subject to change, and this implementation guide will be revised to provide all of the necessary details for displaying accurate error information within a timely manner.

Note: All footer errors are warnings.

Field #	Field Name	Possible Error Code(s)
0	Record Type	113
1	Total Records	100 107 129

7. Disclaimers

Guide Disclaimer

In the event that the Participant chooses to make any software changes based upon recommendations in this guide, the Participant acknowledges and agrees that Surescripts Network shall bear no responsibility or liability for the Participant's changes or any effects thereof. The Participant shall also be required to transition to the new guide at such time as said guide is published, which may involve different or additional parameters than are published in this guide.

Examples Disclaimer

Examples provided throughout this guide are not intended to be all-inclusive. This pertains to example workflows, element-specific (field) examples, or message examples. Participants should not restrict coding to the examples used herein.

When developing, this guide should be used along with additional documentation referenced and applicable customary coding standards.

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8. Document Change Log

▼ 2026-08-06

Section Title	Change Description
N/A	N/A - Developer Portal - initial release