Prescription Drug Monitoring Programs

Kristin M. Finklea
Specialist in Domestic Security

Erin Bagalman
Analyst in Health Policy

Lisa N. Sacco
Analyst in Illicit Drugs and Crime Policy

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Summary

In the midst of national concern over illicit drug use and abuse, prescription drug abuse has been described by the Centers for Disease Control as an epidemic in the United States. Nearly all prescription drugs involved in overdoses are originally prescribed by a physician (rather than, for example, being stolen from pharmacies). Thus, attention has been directed toward preventing the diversion of prescription drugs after the prescriptions are dispensed.

Prescription drug monitoring programs (PDMPs) maintain statewide electronic databases of prescriptions dispensed for controlled substances (i.e., prescription drugs of abuse that are subject to stricter government regulation). Information collected by PDMPs may be used to support access to and legitimate medical use of controlled substances; identify or prevent drug abuse and diversion; facilitate the identification of prescription drug-addicted individuals and enable intervention and treatment; outline drug use and abuse trends to inform public health initiatives; or educate individuals about prescription drug use, abuse, and diversion as well as about PDMPs.

How PDMPs are organized and operated varies among states. Each state determines which agency houses the PDMP; which controlled substances must be reported; which types of dispensers are required to submit data (e.g., pharmacies); how often data are collected; who may access information in the PDMP database (e.g., prescribers, dispensers, or law enforcement); the circumstances under which the information may (or must) be accessed; and what enforcement mechanisms are in place for noncompliance.

PDMP costs may vary widely, with startup costs ranging from $450,000 to over $1.5 million and annual operating costs ranging from $125,000 to nearly $1.0 million. States finance PDMPs using monies from a variety of sources including the state general fund, prescriber and pharmacy licensing fees, state controlled substance registration fees, health insurers’ fees, direct-support organizations, state grants, and/or federal grants. The federal government has established two grant programs aimed at supporting state PDMPs: The Harold Rogers PDMP grant, administered by the Department of Justice, and the National All Schedules Prescription Electronic Reporting Act of 2005 (NASPER) grant, administered by the Department of Health and Human Services. The Harold Rogers PDMP received $7.0 million in appropriations for FY2012; NASPER last received appropriations (of $2.0 million) in FY2010.

State PDMPs vary widely with respect to whether or how information contained in the database is shared with other states. While some states do not have measures in place allowing interstate sharing of information, others have specific practices for sharing. An effort is ongoing to facilitate information sharing using prescription monitoring information exchange (PMIX) architecture. Currently, there are no national level standards for state PDMP information sharing and interoperability. Congress has, through Section 1141 of the Food and Drug Administration Safety and Innovation Act (P.L. 112-144), authorized the Secretary of HHS, consulting with the Attorney General as appropriate, to facilitate the development of recommendations on interoperability standards for interstate exchange of PDMP information by states receiving federal grants to support their PDMPs.

The available evidence suggests that PDMPs are effective in reducing the time required for drug diversion investigations, changing prescribing behavior, reducing “doctor shopping,” and reducing prescription drug abuse; however, research on the effectiveness of PDMPs is limited. Assessments of effectiveness may also take into consideration potential unintended consequences.
of PDMPs, such as limiting access to medications for legitimate use or pushing drug diversion activities over the border into a neighboring state. Experts suggest that PDMP effectiveness might be improved by increasing the timeliness, completeness, consistency, and accessibility of the data.

Current policy issues that might come before Congress include the role of state PDMPs in the federal prescription drug abuse strategy and the role of the federal government in interstate data-sharing and interoperability. While establishment and enhancement of PDMPs enjoy broad support, stakeholders express concerns about health care versus law enforcement uses of PDMP data (particularly with regard to protection of personally identifiable health information) and maintaining access to medication for patients with legitimate medical needs.
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Introduction

In the midst of national concern over illicit drug use and abuse, prescription drug abuse has been described by the Centers for Disease Control (CDC) as an epidemic in the United States.1 Seven million individuals aged 12 or older (2.7% of this population) were current nonmedical2 users of prescription—or psychotherapeutic—drugs in 2010.3 Over 1 million emergency department visits involved nonmedical use of pharmaceuticals in 2010.4

Leading the spike in prescription drug abuse is an “epidemic of prescription painkiller abuse. Nearly three out of four prescription drug overdoses are caused by prescription painkillers” or opioids.5 Prescription drug overdoses caused 20,044 deaths in the United States in 2008; of these, 74% (14,800) involved opioid pain relievers.6 Of those individuals who used prescription painkillers non-medically in 2010, nearly three-quarters received the drugs from a friend or relative—either for free, through a purchase, or via stealing the drugs.7 Aside from prescription painkillers such as oxycodone, other commonly abused medications include benzodiazepines and amphetamine-like drugs.

Florida has been cited as an epicenter of prescription drug abuse. Data indicate that 2,488 individuals in Florida died from prescription drugs in 20098—averaging 6.8 prescription drug-related deaths per day. Many have cited the burgeoning number of legal pain management clinics and illegitimate clinics (or “pill mills”) as contributing to the epidemic. The Drug Enforcement Administration (DEA) has indicated that recent enforcement and regulatory actions against

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1 Centers for Disease Control and Prevention, Policy Impact: Prescription Painkiller Overdoses, December 19, 2011, http://www.cdc.gov/homeandrecreationalsafety/rxbrief/. Hereinafter: Policy Impact: Prescription Painkiller Overdoses; Office of National Drug Control Policy, Prescription Drug Abuse, http://www.whitehouse.gov/ondcp/prescription-drug-abuse. Prescription drugs of abuse are often divided into the categories of pain relievers (e.g., oxycodone), central nervous system stimulants (e.g., amphetamine), and central nervous system depressants (e.g., benzodiazepines). Pain relievers that are subject to abuse may be called narcotics or opioids. Central nervous system depressants may be further divided into tranquilizers (also called anxiolytics, used to reduce anxiety) and sedatives (also called sedative-hypnotics, used to induce sleep). The term psychotherapeutics is sometimes used to capture all of these categories.

2 Nonmedical use of prescription drugs occurs when the drugs are used without a prescription or solely for the feeling they cause. Terms such as misuse, abuse, dependence, and addiction are often used interchangeably with nonmedical use, although each term may have its own definition within a specific context.

3 U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Results from the 2010 National Survey on Drug Use and Health: Summary of National Findings, September 2011, http://www.oas.samhsa.gov/NSDUH/2k10NSDUH/2k10Results.htm#Ch2. Hereinafter: 2010 National Survey on Drug Use and Health. According to the survey, “current” was defined as using the drug within the past month.


7 2010 National Survey on Drug Use and Health.

Florida doctors have caused a decline in oxycodone purchases in Florida.9 While Florida has been noted for its legitimate and illegitimate prescription drug distribution, states throughout the nation face the same threats from prescription drug abuse and have taken measures to prevent and treat the abuse as well as to ensure the operation of legitimate prescription drug dispensaries and pharmacies.

Nearly all prescription drugs involved in overdoses are originally prescribed by a physician (rather than, for example, being stolen from pharmacies).10 Thus, attention has been directed toward preventing the diversion of prescription drugs after the prescriptions are dispensed. Prescription drug monitoring programs (PDMPs) maintain statewide electronic databases of dispensed prescriptions for controlled substances. PDMP information can aid those in law enforcement and/or health care in identifying patterns of prescribing, dispensing, or receiving controlled substances that may indicate abuse.11

For over a decade, Congress has provided financial support for state-level PDMPs using electronic databases. In 2002, Congress established the Harold Rogers PDMP grant, administered by the Department of Justice (DOJ), to help law enforcement, regulatory entities, and public health officials analyze data on prescriptions for controlled substances. Three years later, Congress passed the National All Schedules Prescription Electronic Reporting Act of 2005 (NASPER) requiring the Secretary of Health and Human Services (HHS) to award grants to states to establish or improve PDMPs.

Congress has demonstrated a particular interest in facilitating interoperability among state-level PDMPs, as well as in establishing national programs.12 Policymakers have focused on enhancing state-level databases and interstate information sharing, and some have suggested establishing a national system. A related issue that policymakers may consider is whether PDMPs and their interstate information sharing platforms adequately protect personally identifiable and related health information and whether they can ensure that patients with legitimate medical needs have access to prescriptions. Congress may also exercise oversight with respect to the role of PDMPs in the Administration's action plan to combat the prescription drug epidemic;13 policymakers may question the extent to which the Office of National Drug Control Policy (ONDCP), along with the other relevant departments and agencies, has taken steps to accomplish these PDMP-related goals laid out in the plan.

This report provides an overview of PDMPs, including their operation, enforcement mechanisms, costs, and financing. It also examines the effectiveness of PDMPs and outlines federal grants

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11 Initiatives countering prescription drug abuse range from prevention and treatment to enforcement. These activities include scheduling chemicals used in certain prescription drugs, supporting public awareness campaigns, bolstering law enforcement, and providing assistance to states—in part through PDMPs. This report focuses on PDMPs.

12 Congress addressed these issues in Section 1141 of the Food and Drug Administration Safety and Innovation Act (P.L. 112-144).

supporting PDMPs. Finally, this report discusses relevant considerations for policymakers, such as interstate data sharing, interoperability, and protection of health information.

**Prescription Drug Monitoring Programs (PDMPs)**

PDMPs maintain statewide electronic databases of designated information on specified prescription drugs dispensed within the states. Data are made available to individuals or organizations as authorized under state law; these may include prescribers, law enforcement officials, licensing boards, or others. Possible uses of PDMPs include

- supporting patient access to controlled substances for legitimate medical use;
- identifying or preventing drug abuse and diversion;
- facilitating the identification of prescription drug-addicted individuals and appropriate intervention and treatment;
- outlining use and abuse trends to inform public health initiatives; and
- educating individuals about prescription drug use, abuse, and diversion.14

In addition to uses of PDMPs aimed at drug abuse and diversion, an explicit goal of PDMPs is supporting access to controlled substances for legitimate medical use. This may best be understood by viewing PDMPs in comparison to earlier, paper-based programs called multiple-copy prescription programs. For example, in 1914 a New York state law required physicians to use state-issued, serialized, duplicate prescription forms for certain drugs.15 Similarly, California began a multiple-copy prescription program using triplicate forms for specified narcotics in 1939; it expanded to monitor all schedule II narcotics in 1972 and schedule II non-narcotics in 1981.16 Studies of multiple-copy prescription programs found that many prescribers did not order the required prescription forms, rendering them unable to prescribe specified controlled substances even when medically appropriate.17 In addition, the ability to check a patient’s prescription history using an electronic PDMP might give prescribers more confidence when considering the use of drugs with high risk of abuse.

As of October 2012, 42 states had operational PDMPs, seven additional states and one territory (Guam) had enacted PDMP legislation (but the programs were not yet operational), and the District of Columbia had pending PDMP legislation.18

Program Operation

The entity responsible for administering the PDMP varies by state and may be pharmacy boards, departments of health, professional licensing agencies, law enforcement agencies, substance abuse agencies, or consumer protection agencies. Of the 49 authorized PDMPs, two-thirds are administered by either state pharmacy boards (18) or health departments (15).19

Each state determines which entities dispensing prescriptions for controlled substances are required to submit data to the PDMP. These entities can include hospitals and facilities, sole practitioners, or wholesale distributors, among others.20 Some states also have statutory authority to require out-of-state, mail order, and internet pharmacies to submit data to the PDMP regarding prescription or controlled drugs dispensed to residents of the state. For instance, if a patient in Alabama receives a prescription for a monitored drug from an out-of-state mail order pharmacy, the mail order pharmacy must report the prescription to the Alabama PDMP.21 State laws also indicate which schedules of controlled substances are monitored under each program (see text box for a brief explanation of schedules), which information about the substances is submitted, the means by which dispensers or dispensaries submit the required information, and the timeframe under which information is submitted.

Access to information contained in the PDMP database is determined by state law and varies by state. The majority of states allow pharmacists and practitioners to access information related to their patients, and some also allow other entities—law enforcement, licensing and regulatory boards, state Medicaid Programs, state medical examiners, and research organization—to access the information under certain circumstances.23 State laws outline the procedures by which information from the PDMP may be accessed.

With respect to how the states identify and investigate cases of potential prescription drug diversion or abuse, PDMPs may be classified as reactive or proactive. In essence, “[s]tates with [r]eactive PDMPs ... generate solicited reports only in response to a specific inquiry made by a prescriber, dispenser, or other party with appropriate authority” while “[s]tates with [p]roactive

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22 For more information, please see CRS Report R40548, Legal Issues Relating to the Disposal of Dispensed Controlled Substances, by Brian T. Yeh.
PDMPs ... identify and investigate cases, generating unsolicited reports whenever suspicious behavior is detected.”

### Interstate Information Sharing and Interoperability

State PDMPs vary widely with respect to whether or how information contained in the database is shared with other states. While some states do not have measures in place allowing interstate sharing of information, others have specific practices for sharing. These practices may be based on factors such as agreed-upon reciprocity between states, or whether a request stems from an ongoing investigation. As of September 2012, 43 states allowed for sharing PDMP information on some level—with PDMPs in other states, with authorized PDMP users in other states, or both.

Researchers have provided states with guidance in creating Memoranda of Understanding (MOUs) for interstate data exchange. Questions that states may consider when drafting an MOU include the following:

- How is the information to be reported?
- How will the information be used by the relevant states?
- What are the guidelines on data retention?
- What are the state responsibilities in the event of a data breach?
- Are there measures in place for conflict resolution?
- What are the consequences of potential data misuse?

In addition, the Council of State Governments has highlighted four areas as central to the success of interstate compacts regarding PDMPs and data sharing:

- **Education**—responsibility of providers, data integrity, training requirements (start up versus ongoing)[;]
- **Funding**—state funding, costs of data sharing, costs of operation[;]
- **Security and Access**—authorized users, authentication, audit trails, Internet access, vendor security, reporting, privacy, confidentiality, use of data[; and]
- **Technology**—data transfer and exchange, uniformity and standards, cost reduction, compatibility, quality/error correction[.]

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26 For a map depicting the interstate sharing of PDMP data, see http://www.namsdl.org/documents/InterstateSharingofPMPData09122012.pdf.

An effort is ongoing to facilitate information sharing using prescription monitoring information exchange (PMIX) architecture.\textsuperscript{29} The PMIX program is intended to enable the interstate exchange of PDMP information, providing information on an individual’s prescription drug history across states participating in the information exchange. This information can help identify potential prescription drug abuse or diversion, and can help inform stakeholders such as law enforcement, health and human services, health practitioners, and public regulatory agencies. A state can participate in the PMIX program if it has

- legislation allowing it to share information with other states in real time,
- identified at least one other state as a partner in the information exchange, and
- either (1) established an MOU with their identified partner(s) in the information exchange or (2) ratified the Prescription Monitoring Interstate Compact.\textsuperscript{30}

The infrastructure of the PMIX program is based on the National Information Exchange Model, which is a data sharing partnership between all levels of government as well as the private sector.\textsuperscript{31} To facilitate information security and data privacy, data are encrypted while passing through “hubs,” and no data are actually stored on these hubs. PMIX allows for hubs to exist at the state and national levels, and it allows for hub-to-hub information exchange.\textsuperscript{32}

With pharmaceutical industry support, the National Association of Boards of Pharmacy (NABP) has developed a technology platform to facilitate interstate sharing of PDMP data, called InterConnect, which NABP has committed to make compliant with PMIX architecture.\textsuperscript{33} NABP anticipates that approximately 25 states will be sharing data using NABP InterConnect by early 2013.\textsuperscript{34}

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\textsuperscript{29} More information on PMIX can be found at http://www.pmpalliance.org/content/prescription-monitoring-information-exchange-pmix. A pilot project between Kentucky and Ohio’s PDMPs formed the springboard for the larger PMIX initiative. Through this pilot, a PMIX hub server was installed in Ohio, and Ohio and Kentucky signed an MOU for data exchange, http://www.ijis.org/_programs/pdmp.html.


\textsuperscript{31} More information can be found at https://www.niem.gov/.


\textsuperscript{34} National Association of State Boards of Pharmacy (NABP), NABP PMP InterConnect, 2012, http://www.nabp.net/programs/pmp-interconnect/nabp-pmp-interconnect.
Although there are no federal requirements for state PDMP interoperability and information sharing, Congress has passed legislation that

- authorizes the HHS Secretary, consulting with the Attorney General as appropriate, to “facilitate … the development of recommendations on interoperability standards” for interstate information exchange by states receiving specified federal grants to support their PDMPs;
- requires the HHS Secretary, in so doing, to consider the PMIX standards; and
- requires the HHS Secretary to submit “a report on enhancing the interoperability of [state PDMPs] with other technologies and databases used for detecting and reducing fraud, diversion, and abuse of prescription drugs.”

Compliance and Enforcement Mechanisms

In ensuring that a given state’s PDMP reflects comprehensive data from all relevant pharmacies, physicians, and other dispensaries, one principal concern is how to ensure that these dispensaries are reporting prescription data to the program. The laws or rules governing consequences for failure to report data are determined by each state. For example, one consequence may be disciplinary action by the appropriate licensing board or commission. Another may be that failure to report information could trigger the PDMP program office to report the lapse in compliance to the PDMP governing agency, which may then refer the information to law enforcement.

Program Costs

PDMP expenses involve startup costs, funds needed to operate and maintain the programs, and any monies used to enhance program operation and interoperability. Overall program costs can entail

- hardware such as servers;
- software to run the PDMP database and ensure information security;
- connectivity such that pharmacies and dispensaries can enter data and such that prescribers and/or law enforcement officials can request and access data;
- staff to administer the PDMP and provide technical assistance; and
- overhead fees.

A 2009 evaluation by the Maryland Advisory Council on Prescription Drug Monitoring assessed existing state PDMPs on a range of factors including the costs associated with establishing and maintaining the programs. The overarching finding was that costs vary widely, with program

35 Section 1141 of the Food and Drug Administration Safety and Innovation Act (P.L. 112-144).
36 See, for example, Florida’s PDMP rule states that “Failure to report the dispensing of Schedules II-IV controlled substances will result in the Program filing a complaint with the Department [of Health] for investigation and a referral to law enforcement,” Rule 64K-1.004, https://www.flrules.org/gateway/RuleNo.asp?title=Prescription%20Drug%20Monitoring%20Program&ID=64K-1.004.
startup costs ranging from $450,000 to over $1.5 million. Further, based on available data from six operational PDMPs, results from the Maryland Advisory Council’s evaluation indicate that annual operating costs range from $125,000 to nearly $1.0 million, with an average annual cost of about $500,000. For example, the state of Florida estimated that it would “cost $480,000 dollars to purchase and initially operate the system for one year” and that “[a]nnual operating costs after that [would be] $450,000 per year.”

The Maryland Advisory Council reported that

> [c]ost variations are affected by the frequency of data collection (e.g., daily, weekly, bi-weekly, monthly), the use of third party vendors for data collection and analysis, the number of prescriptions written and filled in the state, the number of drug schedules (II-V) and drugs of interest collected, and the use of official forms or other required collection and submission mechanisms.  

A 2002 Government Accountability Office (GAO) evaluation of PDMP costs in Kentucky, Nevada, and Utah revealed findings similar to those presented by the Maryland Advisory Council. GAO noted a number of PDMP design and operational factors driving variations in state costs for running PDMPs. Specifically, these involved “differences in the PDMP systems implemented, the number of pharmacies reporting drug dispensing data, and the number of practitioners and law enforcement agencies seeking information from the systems.”

**PDMP Financing**

States finance the startup and operation of PDMPs through a variety of channels. PDMP financing often involves monies from the state general fund, prescriber and pharmacy licensing fees, state controlled substance registration fees, health insurers’ fees, direct-support organizations, state or federal grants, or a combination thereof. Guidelines for how states may fund PDMPs are outlined in each state’s PDMP authorizing legislation. For example, Oregon’s PDMP has a fund within the state treasury. This fund receives monies, in part, from a proportion of medical provider fees. These fees are paid to the appropriate medical board, and the board in turn transmits a portion of these fees to the PDMP fund. The Oregon Department of Human...
Services, which administers the PDMP, may also accept and deposit into the fund money from a
variety of additional sources, including grants and donations.42

Some states prohibit the use of certain sources of funding, thus limiting the potential range of
funding mechanisms. For instance, Florida law specifically prohibits the use of state funds or
funds received—directly or indirectly—from prescription drug manufacturers to support the
PDMP. As such, the program receives funding from three sources: the Florida PDMP Foundation,
Inc., an organization established in Florida law for the purpose of funding the PDMP; federal
grants; and private grants and donations.43

**PDMP Effectiveness**

The available evidence suggests that PDMPs are effective in some ways for both law enforcement
and health care purposes; however, research on the effectiveness of PDMPs is limited, especially
in the area of law enforcement. Assessments of effectiveness may also take into consideration
potential unintended consequences of PDMPs. Experts suggest that PDMPs have the potential to
be more effective.

**Effectiveness Research**

Research on PDMP effectiveness suggests that existence of a PDMP has an impact on both law
enforcement and health care. A 2002 GAO study found that “the time and effort required by law
enforcement and regulatory investigators to explore leads and the merits of possible drug
diversion cases” declined after PDMP implementation.44 The study found that Kentucky
investigations of alleged doctor shoppers took an average of 156 days prior to PDMP
implementation and 16 days after PDMP implementation (a 90% decrease). Nevada and Utah
reported decreases in investigation time of 83% and 80%, respectively. These decreases in
investigation time do not necessarily translate into less prescription drug abuse.

A 2012 review article summarized all peer-reviewed research articles about PDMPs published
between 2001 and 2011, which amounted to 11 articles (not all of which addressed
effectiveness).45 The author concluded that PDMPs reduce “doctor shopping,” change prescribing
behavior, and reduce prescription drug abuse. For example, a 2006 federally funded study
(included in the 2012 review article) found that PDMPs—especially ones that issue reports
proactively—change prescriber behavior in a way that reduces the per capita supply of
prescription pain relievers and stimulants, which in turn reduces the likelihood of abuse.46 A study

42 Oregon PDMP statute (ORS 431.960 et seq.), available at http://www.orpdmp.com/orpdmpfiles/PDF_Files/
ORS%20431.960%20PDMP.pdf.


44 U.S. General Accounting Office, *Prescription Drugs: State Monitoring Programs Provide Useful Tool to Reduce

45 Julie Worley, “Prescription Drug Monitoring Programs, a Response to Doctor Shopping: Purpose, Effectiveness, and
Directions for Future Research,” *Issues in Mental Health Nursing*, vol. 33, no. 5 (2012), pp. 319-328. Note: The GAO
study was not included, because it was not published in the peer-reviewed literature.

46 Ronald Simeone and Lynn Holland, *An Evaluation of Prescription Drug Monitoring Programs*, Simeone Associates,
Inc., No. 2005PMBXK189, September 1, 2006, http://www.simeoneassociates.com/simeone3.pdf. This study was
commissioned by the U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice
(continued...)
published in 2012 (and therefore not included in the review) found that while opioid abuse was increasing over time, the rate of increase was slower in states with PDMPs than in states without PDMPs.47

**Limitations of the Research**

Research regarding PDMP effectiveness is limited, at least in part, by the difficulties inherent in conducting such research. Challenges in conducting high-quality research on PDMP effectiveness include (but are not limited to) (1) defining effectiveness, (2) accounting for differences among PDMPs, and (3) considering potential confounding factors.

In order to study effectiveness, researchers must first define effectiveness in a way that can be systematically measured as a study outcome. PDMPs are statewide programs; thus, researchers look for outcome measures that are available statewide. Some outcomes that have been measured in research on PDMP effectiveness are shipment and sales of controlled substances, benzodiazepine use in a Medicaid population, opioid consumption, substance abuse treatment admissions, drug overdose mortality, and multiple provider episodes (i.e., doctor shopping).48 On the one hand, opioid consumption includes both nonmedical use of opioids and medically appropriate use of opioids to manage pain. On the other hand, a count of substance abuse treatment admissions fails to capture substance abuse that goes untreated. Each of these measures presents only a portion of the picture of prescription drug diversion and abuse.

Studies that compare states with and without PDMPs and/or before and after implementation of a PDMP vary in the degree to which they account for differences among PDMPs. For example, despite evidence that proactive PDMPs are more effective than reactive PDMPs, most studies do not distinguish between proactive and reactive PDMPs. Another difference that may influence PDMP effectiveness is in which drugs are required to be reported to the PDMP, ranging from only those drugs with the highest potential for abuse to all prescription controlled substances plus other drugs of concern. Research generally focuses on those controlled substances that are included in all of the PDMPs being examined. Differences in PDMPs over time may also influence effectiveness. For example, some states have transitioned from paper-based systems for monitoring prescriptions for controlled substances to the electronic PDMPs used today. Effectiveness studies have generally not accounted for such transitions over time, classifying two different systems as the same PDMP. Accounting for these and other differences between PDMPs may shed light on factors that influence effectiveness.

Researchers must also consider factors that may confound study results, both when comparing outcomes across states (i.e., those with and without PDMPs) and when comparing outcomes over

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time (i.e., before and after PDMP implementation). For example, the baseline rate of prescription
drug abuse may vary across states; the authors of the federally funded study noted that the
likelihood of abuse was actually higher in states with PDMPs than in states without PDMPs, but
that proactive PDMPs inhibited the rate of increase in prescription drug abuse.49 A PDMP may be
part of a larger effort to reduce prescription drug diversion and abuse, in which case other
initiatives may be responsible for any change in the outcome. A seemingly unrelated event, such
as an economic downturn or upturn, may also affect the outcome. These considerations, among
many others, impede the ability of researchers—and therefore policymakers—to draw
conclusions about the effectiveness of PDMPs.

Potential Unintended Consequences

PDMPs may have unintended consequences beyond reducing prescription drug diversion and
abuse.50 Prescribers may hesitate to prescribe medications monitored by the PDMP—even for
appropriate medical use—if they are concerned about potentially coming under scrutiny from law
enforcement or licensing authorities. Studies of paper-based prescription monitoring programs
that preceded the electronic PDMPs found that many prescribers did not order the required
prescription forms, rendering them unable to prescribe specified controlled substances at all.
Their concerns may lead prescribers to replace medications that are monitored by the PDMP with
medications that are not monitored by the PDMP, even if the unmonitored medications are
inferior in terms of effectiveness or side effects. Studies showed that after benzodiazepines were
added to New York’s paper-based program in 1989, a decrease in benzodiazepine prescriptions
was accompanied by an increase in prescriptions for other sedatives. Individuals whose intent is
to use controlled substances for nonmedical purposes may also substitute unmonitored
prescription drugs or street drugs for those that are monitored by the PDMP.

Like prescribers, patients may fear coming under scrutiny from law enforcement if they use
medications monitored by the PDMP, even if they have a legitimate medical need for the
medications. Patients may worry about changes in prescribing behavior, which may limit their
access to needed medications. Patients may worry about the additional cost of more frequent
office visits if prescribers become more cautious about writing prescriptions with refills. Patients
may also have concerns about the privacy and security of their prescription information if it is
submitted to a PDMP.

Another potential unintended consequence of a state PDMP is that it may push drug diversion
activities over the border into a neighboring state with no PDMP. A GAO study, completed in
2002, found evidence of this spillover across state lines.51 This concern is one of the reasons
interstate data sharing and interoperability have become priorities. Similarly, a PDMP may push
drug diversion activities into a neighboring state with a PDMP that does not monitor as many
medications. In any of these cases, the effectiveness of the PDMP may be offset by unintended
consequences.

49 Ronald Simeone and Lynn Holland, *An Evaluation of Prescription Drug Monitoring Programs*, Simeone Associates,
50 Most of the unintended consequences identified in this section are discussed in Scott M. Fishman et al., “Regulating
Opioid Prescribing Through Prescription Monitoring Programs: Balancing Drug Diversion and Treatment of Pain,”
51 U.S. General Accounting Office, *Prescription Drugs: State Monitoring Programs Provide Useful Tool to Reduce
A PDMP may also have positive unintended consequences. For example, when accessing information from a PDMP, a prescriber or dispenser may identify a patient who is receiving legitimate prescriptions for multiple controlled substances and who is therefore at risk of harmful drug interactions. PDMPs may also enable prescribers to monitor their own DEA number to determine whether someone else is using it to forge prescriptions.

**Potential to Increase Effectiveness**

A PDMP is essentially a source of information; its effectiveness depends largely on the quality of the information and how the information is used. The quality of PDMP information depends on its timeliness, completeness, accuracy, and consistency. Expert recommendations to enhance data quality include

- collecting data at the point of sale (in real time);
- monitoring all prescribed controlled substances and other drugs of concern;
- integrating electronic prescribing technology;
- sharing data between states;
- standardizing the content across states;
- identifying the person picking up the prescription (which may be someone other than the patient, such as a family member); and
- linking prescription records for an individual (to avoid confusion if, for example, an address changes or a name is spelled differently).

In order for PDMP information to be well used, it must be accessible. A survey of prescribers found that the most common reason given for not using a PDMP was the time required to access it (73%); two other reasons—difficult navigation of the web portal (29%) and forgetting the password (28%)—may contribute to the amount of time required to access PDMP information. More than a third of survey respondents (39%) felt that accessing PDMP information would not change their practice for that patient, although research suggests PDMP information changes prescribing behavior. Relatively small numbers of respondents reported that lack of computer availability (9%) or never having applied for access (11%) were barriers to using a PDMP. Expert recommendations to enhance data use include

- providing easy online access;

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53 Ibid.


• issuing automated, unsolicited reports; and
• increasing participation through education and promotional campaigns.

Experts recommend making PDMP information available for research and public health purposes, which would require permitting access by designated non-prescribers (e.g., researchers and medical examiners). An example of a public health use of PDMP information is to identify patients for enrollment in special programs: Washington state used its PDMP to select Medicaid enrollees for a Patient Review Coordination Program, which decreased emergency department visits, physician visits, and prescriptions (resulting in an average savings of $6,000 per patient per year).56 PDMP data may also be analyzed to identify geographic areas where interventions (such as increased law enforcement attention or establishment of a substance abuse clinic) are most needed. Carefully controlled access to de-identified data for research and public health purposes may yield other uses.

Federal Grant Programs for State PDMPs

The federal government has established two grant programs aimed at supporting state PDMPs—the Harold Rogers PDMP and the National All Schedules Prescription Electronic Reporting Act of 2005 (P.L. 109-60, NASPER). The sections that follow provide an overview of each program.

Harold Rogers PDMP

The Harold Rogers PDMP is a discretionary, competitive grant program administered by the U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA). It was created to help law enforcement, regulatory entities, and public health officials analyze data on prescriptions for controlled substances.57 Law enforcement uses of PDMP data include (but are not limited to) investigations of physicians who prescribe controlled substances for drug dealers or abusers, pharmacists who falsify records in order to sell controlled substances, and people who forge prescriptions.58

The program assists states (including U.S. territories) in the planning, implementation, and enhancement of their PDMPs. This involves

• establishing data collection and analysis systems to bolster the drug abuse prevention efforts of law enforcement, regulatory entities, and public health officials;
• enhancing existing PDMPs’ use of data in order to identity trends in drug abuse and sources of diversion as well as increase the number of PDMP users;
• participating in national efforts to evaluate the efficiency and effectiveness of PDMPs;

57 More information on this program can be found at from the U.S. Department of Justice, Bureau of Justice Assistance, Harold Rogers Prescription Drug Monitoring Program, http://www.ojp.usdoj.gov/BJA/grant/prescripdrugs.html.
Prescription Drug Monitoring Programs

- implementing and enhancing the interstate exchange of information to prevent diversion;
- assessing the efficiency and effectiveness of existing PDMPs and encouraging other states to implement programs; and
- enhancing collaboration between law enforcement, prosecutors, treatment professionals, medical community members, and pharmacies to create a comprehensive PDMP strategy.\(^{59}\)

**Grant Purpose Areas**

States may apply for Harold Rogers PDMP grants in one of three categories: planning, implementation, or enhancement.\(^{60}\)

- **Planning Grants.** States that do not have an operational PDMP may apply for planning grants of up to $50,000, regardless of whether they have regulations or legislation requiring a PDMP.
- **Implementation Grants.** States with legislation or regulations requiring the centralized collection of prescription drug dispensing data and/or designating the oversight or implementation of such a PDMP to a state agency may apply for implementation grants of up to $400,000.
- **Enhancement Grants.** States seeking to enhance or expand their existing PDMPs may apply for enhancement grants of up to $400,000.

PDMP conformance to prescription monitoring information exchange (PMIX) architecture is an explicit goal of BJA, and grant funding may be used for implementation of PMIX architecture-compliant hub solutions (among other things).\(^{61}\)

**Appropriations**

The program began receiving federal funding in FY2002 through the Departments of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriations Act, 2002 (P.L. 107-77). While the program itself has never been authorized in statute, funding for the program has been provided to DOJ each year through the annual appropriations process. Annual appropriations information is listed in Table 1.

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\(^{60}\) Ibid., pp. 2 – 3.

Table 1. Harold Rogers Prescription Drug Monitoring Program Funding

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Appropriation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
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</tr>
<tr>
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</tr>
<tr>
<td>2011</td>
<td>$5.80</td>
</tr>
<tr>
<td>2012</td>
<td>$7.00</td>
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</table>


National All Schedules Prescription Electronic Reporting Act of 2005 (NASPER)

The NASPER PDMP grant is a formula grant administered by the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT). The National All Schedules Prescription Electronic Reporting Act of 2005\(^\text{62}\) amended the Public Health Service Act\(^\text{63}\) to require the Secretary of HHS to award grants to states\(^\text{64}\) to establish or improve PDMPs. Specifically, NASPER is intended to provide grant support to states to establish PDMPs that will allow health care providers to access prescription history information in order to identify patients at risk for addiction. It also requires that local, state, and federal law enforcement agencies have access to the database. Of note, however, the grants to states under NASPER are only for the PDMP; they do not fund any substance abuse treatment services.

Grant Purpose Areas

The two objectives of NASPER are to (1) foster the establishment of state-administered PDMPs that providers can access for the early identification of patients at risk for addiction in order to initiate appropriate interventions, and (2) establish a set of best practices for new PDMPs and improvement of existing PDMPs.

\(^{62}\) Unless otherwise noted, all information in this section on NASPER comes from the text of P.L. 109-60.

\(^{63}\) 42 U.S.C. §280g et seq.

\(^{64}\) States are defined as each of the 50 states and the District of Columbia
Appropriations

Funding was authorized for NASPER beginning in FY2006. The program began receiving appropriations in FY2009. The final continuing resolution for FY2011 (P.L. 112-10) specifically prohibited the funding of NASPER.\(^{65}\) Annual authorizations of appropriations and actual appropriations are listed in Table 2.

In order to be eligible for NASPER grant funding, states must meet certain requirements, such as having legal authority to implement PDMPs. All states that submit applications and meet the requirements receive grants non-competitively. The amount awarded to each state is defined by a two-part formula:

1. Each state receives a base amount of 1% of the total funding (i.e., $20,000 in FY2010).
2. The remaining amount is distributed according to the ratio of the number of pharmacies in the individual state to the number of pharmacies in all states with approved applications.

Thirteen states received grants under NASPER in FY2010, the last year of funding.\(^{66}\)

### Table 2. National All Schedules Prescription Electronic Reporting Act of 2005 (NASPER) Funding through FY2012

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Authorization of Appropriation</th>
<th>Appropriation</th>
</tr>
</thead>
<tbody>
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</tr>
<tr>
<td>2012</td>
<td>NA</td>
<td>$0.00</td>
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</tbody>
</table>


**Note:** NA = not authorized.

Although NASPER is not currently funded, HHS continues to fund state PDMPs through grants to support interstate interoperability of PDMPs and/or integration of PDMPs with electronic...
health records;\textsuperscript{67} additionally, HHS funds a project to improve the timeliness of access to PDMP data using health information technology.\textsuperscript{68}

**Program Comparison**

Table 3 provides an overview and comparison of the Harold Rogers PDMP and the NASPER PDMP. Basic information is provided on program legislation, administering agencies, program objectives, performance measures, grant types, authorization of appropriations, and actual appropriations.

<table>
<thead>
<tr>
<th></th>
<th>Harold Rogers</th>
<th>NASPER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administering Agency</td>
<td>U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA)</td>
<td>U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT)</td>
</tr>
<tr>
<td>Program Objectives</td>
<td>Help states to plan, implement, and enhance their PDMPs.</td>
<td>Two objectives:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. Foster the establishment of state-administered PDMPs that providers can access for the early identification of patients at risk for addiction in order to initiate appropriate interventions.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Establish a set of best practices for new programs and improvement of existing programs.</td>
</tr>
</tbody>
</table>


\textsuperscript{68} The project involves HHS’s Office of National Coordination for Health Information Technology (ONC), SAMHSA, CDC, and ONDCP. See HHS, ONC, Policymaking, Regulation, & Strategy: Behavioral Health Initiative (Overview), http://www.healthit.gov/policy-researchers-implementers/behavioral-health-initiative-overview.
Selected Policy Issues

Role of PDMPs in the Federal Prescription Drug Abuse Strategy

In response to the trend in prescription drug abuse, in April 2011 the Obama Administration released an action plan to respond to the “epidemic.” This plan, from ONDCP, outlines four primary areas that may reduce the abuse of prescription drugs: educating individuals on the safe use of prescription drugs and risks involved in abusing them; implementing prescription drug monitoring programs (PDMPs) in the states and encouraging information sharing; developing programs for proper drug disposal; and providing law enforcement with tools to enforce proper prescribing practices and disband pill mills.

As part of this plan, the Administration outlined actions to improve the functioning of state PDMPs and increase interstate PDMP operability and communications. Specific actions offered include:

- working with states to establish effective PDMPs and encouraging research on PDMP effectiveness and means to improve PDMP effectiveness;
- supporting the NASPER reauthorization;
- ensuring that the Secretaries of the Department of Veterans Affairs (VA)\(^{70}\) and the Department of Defense (DOD)\(^{71}\) are authorized to share patient information with state PDMPs;
- encouraging federally funded health care programs to provide controlled substance prescription information to the state PDMPs (in states where they operate health care facilities or pharmacies);
- potentially reimbursing prescribers for checking PDMPs before writing controlled substance prescriptions to patients covered under insurance plans;
- evaluating programs that require certain doctor shoppers or drug abusing individuals to use one doctor and one pharmacy;
- evaluating the potential for state PDMPs to reduce Medicare and Medicaid fraud;
- issuing a final rule from DEA on electronic prescribing of controlled substances;
- increasing the use of “Screening, Brief Intervention, and Referral to Treatment” programs to identify and prevent prescription drug abuse;
- identifying how health information technologies can enhance prescription drug information;
- testing the Centers for Disease Control and Prevention’s surveillance system to generate measures of prescription drug abuse;
- assessing the use of the Drug Abuse Warning Network in the domain of prescription drug abuse;
- expanding DOJ’s efforts to enhance interstate PDMP interoperability, particularly though the PMIX program; and
- evaluating existing databases with information on prescription drug access, use, misuse, and toxicity.\(^{72}\)

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\(^{70}\) The Consolidated Appropriations Act, 2012 (P.L. 112-74) authorized the VA Secretary to share prescription information with state PDMPs.

\(^{71}\) According to Department of Defense, Report to Congress: Medication Management for Physically and Psychologically Wounded Armed Forces Members In Fiscal Year 2011-2012, RefID: 6-B74CA6F, March 14, 2012, “DoD providers can access PDMPs for controlled substance prescription histories before generating prescriptions for controlled substances…. The military specific response to this challenge includes work by the Pharmacovigilence Center to apply the lessons learned and apply it to the military where relevant.” The report does not indicate whether DOD dispensers contribute information to state PDMPs; however, if service members fill prescriptions at retail pharmacies in the private sector (in a state with a PDMP), the prescriptions would be reported just like any others.

As noted, supporting PDMPs is just one component in the overall federal efforts against prescription drug abuse. Research on PDMP effectiveness has yielded sometimes inconclusive results, though research findings suggest that PDMPs may contribute to reduced doctor shopping and prescription drug abuse. As such, policymakers may question the extent to which ONDCP, along with the other relevant departments and agencies, has taken steps to accomplish these PDMP-related goals laid out in the Administration’s action plan.

Balancing Stakeholder Concerns

While establishment and enhancement of PDMPs (such as interstate data sharing and real-time data access) enjoy broad support, some stakeholders express concerns about (1) health care versus law enforcement uses of PDMP data, particularly with regard to protection of personally identifiable health information, and (2) maintaining access to medication for patients with legitimate medical needs.

Research has demonstrated that PDMPs save law enforcement officials time in investigations, if law enforcement officials have access to PDMP information. Concerns about potential law enforcement uses of PDMP data are expressed by stakeholder organizations representing prescribers. The American Medical Association (AMA), a professional association of more than 200,000 physicians, supports the use of PDMPs and recommends that PDMPs be housed in health-related agencies (rather than law enforcement agencies). AMA further recommends that information from PDMPs “be used first for education of the specific physicians involved prior to any civil action against these physicians.” The American Society of Addiction Medicine (ASAM), one of several national medical specialty societies under the AMA umbrella, likewise expresses concern about the use of PDMP data for purposes other than health care: “[L]aw enforcement, the judiciary, corrections professionals, employers, and others outside of the health care system should not be granted access to PDMP data except via the means available to them to secure access to other personally identifiable health information.” The fact that PDMPs contain personally identifiable health information raises concerns about privacy and data security. Both AMA and ASAM stress the need to subject PDMP information to the same standards applied to other patient records.

For example, the Pharmaceutical Research and Manufacturers of America (PhRMA)—the industry group representing pharmaceutical research and biotechnology companies—supports PDMPs and recommends assessing their effectiveness and exploring enhancements. PhRMA, Prescription Drug Abuse, http://www.phrma.org/issues/prescription-drug-abuse.


Limiting access to medication for patients with legitimate medical need is a potential unintended consequence of PDMP implementation. The prescription drug abuse prevention strategy of the Center for Lawful Access and Abuse Deterrence (CLAAD), which is endorsed by more than 20 organizations, emphasizes that “efforts to prevent abuse must not impede proper medical practice and patient care.” The American Academy of Pain Medicine (AAPM), a national medical specialty society under the AMA umbrella, similarly recognizes “the need for policies that support effective control of drug abuse without harming the appropriate treatment of pain.” This concern may be related to fears about law enforcement uses of PDMP information, if prescribers are hesitant to prescribe monitored drugs for fear of becoming targets of investigations.

Federal Role in Interstate Information Sharing and Interoperability

In 2012, Administration and congressional attention to PDMPs has largely focused on enhancing interstate information sharing and the interoperability of state systems. The PDMP component of the Administration’s action plan to counter prescription drug abuse includes efforts to improve the functioning of state PDMPs and increase interstate PDMP operability and communications. In July 2012, Congress passed legislation (P.L. 112-144) that authorizes the Secretary of HHS, consulting with the Attorney General as appropriate, to facilitate the development of recommendations on interoperability standards for interstate exchange of PDMP information by states receiving federal grants to support their PDMPs.

Past PDMP proposals in Congress have ranged from enhancing state-level databases and interstate information sharing to establishing a national system. While some may argue that monitoring controlled prescription substances is a state level activity, along with regulation of pharmacies and licensing of health care professionals, others may note that with the increasing reliance on mail order prescriptions and online pharmacies that deliver across state lines, monitoring of controlled prescription substances may be evolving into more of a federal or shared state-federal activity. Policymakers may debate the role of the federal government in incentivizing, directing, or establishing PDMP interoperability and information sharing standards and programs. Such a debate could take place in the context of other federal, state, and local efforts to reduce prescription drug abuse.

(...continued)
Author Contact Information

Kristin M. Finklea  
Specialist in Domestic Security  
kfinklea@crs.loc.gov, 7-6259

Erin Bagalman  
Analyst in Health Policy  
ebagalman@crs.loc.gov, 7-5345

Lisa N. Sacco  
Analyst in Illicit Drugs and Crime Policy  
lisacc@crs.loc.gov, 7-7359