

STATE OF LOUISIANA
OFFICE OF GROUP BENEFITS (OGB)

REQUEST FOR PROPOSAL (RFP)

FOR

**PROVIDING EXPLANATION OF BENEFITS
AND
PAYMENTS SYSTEM**



May 26, 2009

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PART I. ADMINISTRATIVE AND GENERAL INFORMATION

1.1 Background

The State of Louisiana through the Office of Group Benefits (OGB) is authorized by statute to provide health and accidental benefits and life insurance to state employee, retirees, their eligible dependents and surviving spouses. Plan member eligibility includes employees of state agencies, institutions of higher education, local school boards that elect to participate and certain political subdivisions. Eligibility does not include local government entities, parishes, or municipalities.

OGB manages self-insured and self-administered health and accident benefit plans for approximately 253,000 covered lives.

The health self-insured benefit plans available to plan participants are: Preferred Provider Option (PPO), administered by OGB; Exclusive Provider Option (EPO) administered by United Health; a Health Maintenance Organization (HMO) administered by Humana; a LaCHIP Affordable Health Plan (LaCHIP) administered by OGB; and four Medicare Advantage Plans.

Basic and supplemental life insurance is provided through Prudential Insurance Company.

NOTE: Services requested in this RFP are being solicited for banking services only for the health benefits plan administered by OGB which is the PPO with approximately 73,000 covered lives and the LaCHIP with approximately 4,000 covered lives.

1.1.1 Purpose

The purpose of this Request for Proposal (RFP) is to obtain competitive proposals as allowed by Louisiana Revised Statute 39:1503.C. from bona fide, qualified proposers who are interested in providing check production; flagging, pulling and overnight checks for OGB's Fiscal Department; explanation of benefits (EOB) production; Zip Code sorting; mailing services; transferring money to select providers electronically (EFT) through ACH; providing all documents back to OGB in PDF format; design, develop and implement a process for sending EOBs to providers electronically in HIPAA 835 format to health providers and third party administrators; and other health insurance communications to OGB 's plan members and/or medical providers.

Specific qualifications for the proposer submitting proposals are included in Section 4.3. Contractor Qualifications.

1.1.2 Goals and Objectives

The goal is to provide useful, timely information to plan members and providers to explain how claims are processed and for whom the benefits are paid. The successful proposer must provide the capability to transform the data output from the current claims processing system into checks, vouchers, explanation of benefits, electronically transfer funds and transaction (HIPAA 835), and send back to OGB in PDF format files. The explanation of benefits should be issued and mailed the same date to plan members to explain the payment to the provider on their behalf. Selected providers will be sent the EOB in electronic format (HIPAA 835), checks and EOB's shall be sorted by zip code in order to receive the most favorable postage rates.

The OGB Information Technology Architecture is:

Desktop: Dell 450 Workstations running Windows 2000

LAN: 10/100/1000 Ethernet using Cisco switches

Servers: Windows servers and AIX UNIX servers

WAN: Frame relay using CISCO routers, switches, and firewalls.
In addition, scanners, and various laser printers are used.

OGB computer applications Include: Impact (claims adjudication, customer service, provider contracting and eligibility processes), Discoverer (Oracle report writer), MS Office, MS Exchange, and FileNet (Oracle based imaging and document management system). OGB uses Oracle Database as corporate standard.

1.2 Definitions

- A. ACH – Automated Clearing House.
- B. ADA – American Disabilities Act
- C. Agency – Any department, commission, council, board, office, bureau, committee, institution, agency, government, corporation, or other establishment of the executive branch of this state authorized to participate in any contract resulting from this solicitation.
- D. ASCII – acronym for the American Standard Code for Information Interchange.
- E. Contractor – Any person and/or company having a legal binding contract with a governmental entity.
- F. Covered Lives – are state employee, retirees, their eligible dependents and surviving spouses.
- G. DDA – demand deposit account.
- H. Discoverer – an intuitive ad-hoc query, reporting, analysis, and web-publishing tool that empowers business users at all levels of the organization to gain immediate access to information from data marts, data warehouses, online transaction processing systems and Oracle E-Business Suite.
- I. Discussions – For the purposes of this RFP, a formal, structured means of conducting written or oral communications/presentations with responsible Proposers who submit proposals in response to this RFP.
- J. EDI – (Electronic Data Interchange) works by providing a collection of standard message formats and elements dictionary in a simple way for businesses to exchange data via any electronic messaging system.
- K. EEOC - US Equal Employment Opportunity Commission

- L. EFT – Electronic Funds Transfer
- M. EOB - Explanation of Benefits
- N. EOB/Check – Checks mailed to insured, providers or any other designated for payment/reimbursement of services. Includes Medical, Dental, Prescription Drugs and Manual checks.
- O. EOB/No Pay – Explanation of Benefits Worksheet mailed to designee for resultant claim that does not receive payment including prescription drugs.
- P. EPO – Exclusive Provider Organization
- Q. ERA – Electronic Remittance Advice.
- R. FileNet – Oracle based imaging and document management system.
- S. Flex Check – Checks mailed to employees for amount reimbursed from spending accounts. A worksheet will be provided with the check.
- T. FOB Destination – A shipping term that indicates the seller pays the freight to the destination. Title does not pass until the merchandise reaches its destination; thus, the seller assumes all risks, loss, or damage while goods are in transit, except for the liability of the carrier.
- U. FTP – File Transfer Protocol
- V. HIPAA – The Health Insurance Portability and Accountability Act of 1996 (Public Law 104 – 191) together with the Administrative Simplification Regulations promulgated pursuant there to (45 CFR Parts 160, 162, and 164).
- W. HIPAA 835 – HIPAA compliant electronic Health Care Claim Payment/Advice.
- X. HIPAA EDI 824 – Application Advice in Response to an 835 Health Care Payment/Advice.
- Y. HIPAA EDI 997 – HIPAA compliant Functional Acknowledgement. In this document it refers to the acknowledgement of a “good” or “bad” 835.
- Z. HMO – Health Maintenance Organization.
- AA. Impact – Claims payment system used by OGB.
- BB. Invoice – a list of goods or services, showing prices, terms, quantities, shipping charges and other particulars sent to a purchaser in request for payment.
- CC. LaChip
- DD. LaPAC – Louisiana Procurement and Contract Network.
- EE. Mailings – All mailing including qualified mail and residual mail.
- FF. May – The term “may” denotes an advisory or permissible action.

- GG. MS Exchange – MicroSoft exchange servers used by OGB.
- HH. MS Office – MicroSoft computer applications used by OGB.
- II. Must – The terms “must” denotes mandatory requirements.
- JJ. OGB – Office of Group Benefits Program, Office of the Governor, Division of Administration, State of Louisiana.
- KK. PDF – Portable Document Format
- LL. Pending Letter – Letter sent to Claimant or Provider requesting additional information needed to process claim.
- MM. PGP – acronym used for “Pretty Good Privacy”. Software used by OGB to encrypt files and emails containing PHI.
- NN. PHI – Private Health Information
- OO. PPO – Preferred Provider Organization
- PP. Qualified Mail – All mail sorted and bundled according to USPS regulations for presorted mail.
- QQ. Report – Internal monthly reports generated for the State of Louisiana and State of Louisiana Clients dealing account activity.
- RR. Residual Mail – Mail which does not qualify for United States Postal Service (USPS) presort discount because of insufficient volume by zip code; or which is not acceptable for presort processing because of size, weight, invalid or unreadable address, or other characteristics which prevents sorting according to USPS regulations regarding presorted mail.
- SS. Shall – The term “shall” denotes mandatory requirements.
- TT. Should – The term “should” denoted desirable.
- UU. State – The State of Louisiana.

1.3 Schedule of Events

	<u>DATE</u>
A. Dates	
Public Notice by advertising in the State official journal	May 26, 2009
RFP mailed or available to prospective Proposers/ Posted to OGB Website/Posted to LAPAC	May 26, 2009
Deadline to notify OGB of interest to submit a Proposal	June 5, 2009
Deadline to receive written questions	June 5, 2009
Issue answers to written questions	June 9, 2009
Proposers Conference – Attendance in Person (Mandatory)	June 16, 2009
Proposals due	June 29, 2009
Probable selection and notification of award	TBD
Contract effective date	August 1, 2009

NOTE: The State of Louisiana reserves the right to revise this schedule. Any such revision will be formalized by the issuance of an addendum to the RFP.

B. Notification to OGB of Interest to Submit a Proposal

All interested Proposers should notify OGB of its interest in submitting a proposal on or before date listed in the Schedule of Events. Notification should be sent to:

Tommy D. Teague
Chief Executive Officer
Office of Group Benefits
Post Office Box 44036
7389 Florida Blvd., Suite 400
Baton Rouge, LA 70804
Fax: (225) 925-4721
Email: prahl@ogb.state.la.us

C. Written Questions

Written questions regarding the RFP are to be submitted to and received on or before 4:00 p.m., Central Standard Time (CST) on the date listed in the Schedule of Events (“A” of this Section). Written questions should be directed to the address listed above in “B” of this Section.

D. Mandatory – Proposers Conference

The Proposers Conference will be held in the boardroom at 10:00 a.m. Central Standard Time (CST) on the date listed in the Schedule of Events (“A” of this Section) at the following location:

Office of Group Benefits
7389 Florida Blvd., Suite 400
Baton Rouge, LA 70806

A representative of your organization must participate in person at the Mandatory Proposers Conference. OGB staff will be available to discuss the proposal specifications with you and answer any questions you may have in regards to submitted questions.

Proposals will only be considered from Proposers that have met this mandatory requirement. Attendance by a subcontractor is welcome, but will not be an acceptable substitute for a representative of the primary proposing firm/organization.

E. Proposal Due Date

The original proposal must be signed by an authorized representative of your firm/organization and delivered, together with eight (8) numbered copies and one (1) redacted copy (see Section 1.6), between the hours of 8:00 a.m. and 4:00 p.m. Central Standard Time (CST) on or before the date listed in the Schedule of Events (“A” of this Section).

1.4 Proposal Response Format

Proposals submitted for consideration should follow the format and order of presentation described below:

- A. **Cover Letter**: The cover letter should exhibit the Proposer’s understanding and approach to the project. It should contain a summary of Proposer’s ability to perform the services described in the RFP and confirm that Proposer is willing to perform those services and enter into a contract with the State. By signing the letter and/or the proposal, the proposer certifies compliance with the signature.

The cover letter should also

- Identify the submitting Proposer;
 - Identify the name, title, address, telephone number, fax number, and email address of each person authorized by the Proposer to contractually obligate the Proposer;
 - Identify the name, address, telephone number, fax number, and email address of the contact person for technical and contractual clarifications throughout the evaluation period.
- B. **Table of Contents**: Organized in the order cited in the format contained in items “C” through “F” below.
 - C. **Proposer Qualifications and Experience**: History and background of Proposer, financial strength and stability, related services provided to government entities, existing customer satisfaction, demonstrated volume of merchants, etc.

- D. **Proposed Solution/Technical Response:** Illustrating and describing proposed technical solution and compliance with the RFP requirements.
- E. **Implementation Schedule:** Detailed schedule of implementation plan for these services. This schedule is to include implementation actions, timelines, responsible parties, etc.
- F. **Financial Proposal:** The Proposer shall present a proposal that includes the cost of all items needed to implement this service. Proposer's prices submitted shall be inclusive of all charges including but not limited to:
1. Check Printing
 2. Non-Check Printing of Explanation of Benefits
 3. Input file transmission from OGB
 4. Output file transmission to OGB
 5. Per Payment Fee (835 payments)
 6. Per Claim Fee
 7. Output 835 file transmission to Third Parties (including but not limited to providers and clearinghouses)
 8. Additional Page Printing (letters)
 9. Inserts

Price must be inclusive of all charges except postage.

Prices proposed shall be firm for the duration of the contract.

1.4.1 Legibility/Clarity

Responses to the requirements of this RFP in the formats requested are desirable with all questions answered in as much detail as practicable. The Proposer's response is to demonstrate an understanding of the requirements. Proposals prepared simply and economically, providing a straightforward, concise description of the Proposer's ability to meet the requirements of the RFP are also desired. Each Proposer is solely responsible for the accuracy and completeness of its proposal.

1.5 Confidential Information, Trade Secrets, and Proprietary Information

The designation of certain information as trade secrets and/or privileged or confidential proprietary information shall only apply to the technical portion of your proposal. Your cost proposal will not be considered confidential under any circumstance. Any proposal copyrighted or marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

For the purposes of this procurement, the provisions of the Louisiana Public Records Act (La. R.S. 44.1 et. seq.) will be in effect. Pursuant to this Act, all proceedings, records, contracts, and other public documents relating to this procurement shall be open to public inspection. Proposers are reminded that while trade secrets and other proprietary information they submit in conjunction with this procurement may not be subject to public disclosure, protections must be claimed by the proposer at the time of submission of its Technical Proposal. Proposers should refer to the Louisiana Public Records Act for further clarification.

The proposer must clearly designate the part of the proposal that contains a trade secret and/or privileged or confidential proprietary information as “confidential” in order to claim protection, if any, from disclosure. The proposer shall mark the cover sheet of the proposal with the following legend, specifying the specific section(s) of his proposal sought to be restricted in accordance with the conditions of the legend:

“The data contained in pages _____ of the proposal have been submitted in confidence and contain trade secrets and/or privileged or confidential information and such data shall only be disclosed for evaluation purposes, provided that if a contract is awarded to this Proposer as a result of or in connection with the submission of this proposal, the State of Louisiana shall have the right to use or disclose the data therein to the extent provided in the contract. This restriction does not limit the State of Louisiana’s right to use or disclose data obtained from any source, including the proposer, without restrictions.”

Further, to protect such data, each page containing such data shall be specifically identified and marked “CONFIDENTIAL”.

Proposers must be prepared to defend the reasons why the material should be held confidential. If a competing proposer or other person seeks review or copies of another proposer's confidential data, the state will notify the owner of the asserted data of the request. If the owner of the asserted data does not want the information disclosed, it must agree to indemnify the state and hold the state harmless against all actions or court proceedings that may ensue (including attorney's fees), which seek to order the state to disclose the information. If the owner of the asserted data refuses to indemnify and hold the state harmless, the state may disclose the information.

The State reserves the right to make any proposal, including proprietary information contained therein, available to OGB personnel, the Office of the Governor, or other state agencies or organizations for the sole purpose of assisting the State in its evaluation of the proposal. The State shall require said individuals to protect the confidentiality of any specifically identified proprietary information or privileged business information obtained as a result of their participation in these evaluations.

You are to provide a **redacted** version of your proposal omitting those responses (or portions thereof) and attachments that you determine are within the scope of the exception to the Louisiana Public Records Law. In a separate document, please provide the justification for each omission. The State of Louisiana OGB will make the edited proposal available for inspection and/or copying upon the request of any individual pursuant to the Louisiana Public Records Law without notice to you.

1.6 Performance Bond

The successful proposer shall be required to provide a performance (surety) bond in the amount of five million dollars (\$5,000,000) to insure the successful performance under the terms and conditions of the contract negotiated between the successful proposer and OGB. Any performance bond furnished shall be written by a surety or insurance company currently on the U.S. Department of the Treasury Financial Management Service list of approved bonding companies which is published annually in the *Federal Register*, or by a Louisiana domiciled insurance company with at least an A-rating in the latest printing of the A.M. Best's Key Rating Guide to write individual bonds up to 10 percent of policyholders' surplus as shown in the A.M.

Best's Key Rating Guide or by an insurance company that is either domiciled in Louisiana or owned by Louisiana residents and is licensed to write surety bonds.

No surety or insurance company shall write a performance bond which is in excess of the amount indicated as approved by the U.S. Department of the Treasury Financial Management Service list or by a Louisiana domiciled insurance company with an A-rating by A.M. Best up to a limit of 10 percent of policyholders' surplus as shown by A.M. Best; companies authorized by this Paragraph who are not on the treasury list shall not write a performance bond when the penalty exceeds 15 percent of its capital and surplus, such capital and surplus being the amount by which the company's assets exceed its liabilities as reflected by the most recent financial statements filed by the company with the Department of Insurance.

In addition, any performance bond furnished shall be written by a surety or insurance company that is currently licensed to do business in the state of Louisiana.

1.7 Ownership of Proposal

All materials (paper content only) submitted in response to this request become the property of the OGB. Selection or rejection of a response does not affect this right. All proposals submitted will be retained by the OGB and not returned to proposers. Any copyrighted materials in the response are not transferred to the OGB.

1.8 Cost of Offer Preparation

The OGB is not liable for any costs incurred by prospective Proposers or Contractors prior to issuance of or entering into a Contract. Costs associated with developing the proposal, preparing for oral presentations, and any other expenses incurred by the Proposer in responding to the RFP are entirely the responsibility of the Proposer, and shall not be reimbursed in any manner by the OGB.

1.9 Non-negotiable Contract Terms

Non-negotiable contract terms include but are not limited to taxes, assignment of contract, audit of records, EEOC and ADA compliance, record retention, content of contract/order of precedence, contract changes, governing law, claims or controversies, and termination based on contingency of appropriation of funds.

1.10 Taxes

Any taxes, other than state and local sales and use taxes, from which the state is exempt, shall be assumed to be included within the Proposer's cost.

1.11 Prime Contractor Responsibilities

The selected Proposer shall be required to assume responsibility for all items and services offered in his proposal whether or not he produces or provides them. The OGB shall consider the selected Proposer to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

1.12 Use of Subcontractors

Each Contractor shall serve as the single prime contractor for all work performed pursuant to its contract. That prime contractor shall be responsible for all deliverables referenced in this RFP. This general requirement notwithstanding, Proposers may enter into subcontractor arrangements. Proposers may submit a proposal in response to this RFP, which identifies subcontract(s) with others, provided that the prime contractor acknowledges total responsibility for the entire contract.

If it becomes necessary for the prime contractor to use subcontractors, the OGB urges the prime contractor to use Louisiana vendors, including small and emerging businesses, if practical. In all events, any subcontractor used by the prime should be identified to the OGB Project Manager.

Information required of the prime contractor under the terms of this RFP, is also required for each subcontractor and the subcontractors must agree to be bound by the terms of the contract. The prime contractor shall assume total responsibility for compliance.

1.13 Written or Oral Discussions/Presentations

Written or oral discussions may be conducted with Proposers who submit proposals determined to be reasonably susceptible of being selected for award; however, the OGB reserves the right to enter into a contract without further discussion of the proposal submitted based on the initial offers received.

Any commitments or representations made during these discussions, if conducted, may become formally recorded in the final contract.

Written or oral discussions/presentations for clarification may be conducted to enhance the OGB's understanding of any or all of the proposals submitted. Proposals may be accepted without such discussions.

1.14 Acceptance of Proposal Content

The mandatory RFP requirements shall become contractual obligations if a contract ensues. Failure of the successful Proposer to accept these obligations shall result in the rejection of the proposal.

1.15 Evaluation and Selection

All responses received as a result of this RFP are subject to evaluation by the OGB Evaluation Committee for the purpose of selecting the Proposer with whom the OGB shall contract.

To evaluate all proposals, a committee whose members have expertise in various areas has been selected. This committee will determine which proposals are reasonably susceptible of being selected for award. If required, written or oral discussions may be conducted with any or all of the Proposers to make this determination.

Written recommendation for award shall be made to the Office of Group Benefits (OGB), Chief Executive Officer, whose proposal, conforming to the RFP, will be the most advantageous to the State of Louisiana and OGB, price and other factors considered.

The committee may reject any or all proposals if none is considered in the best interest of the State and the OGB.

1.16 Contract Award and Execution

The OGB reserves the right to enter into a contract without further discussion of the proposal submitted based on the initial offers received.

The RFP, including any addenda, and the proposal of the selected Contractor will become part of any contract initiated by the OGB.

Proposers are discouraged from submitting their own standard terms and conditions with their proposals. Proposers should address the specific language in the sample contract and submit any exceptions or deviations the proposer wishes to negotiate. The proposed terms will be negotiated before a final contract is entered. Mandatory terms and conditions are not negotiable.

If the contract negotiation period exceeds 30 days or if the selected Proposer fails to sign the Contract within **seven calendar** days of delivery of it, the OGB may elect to cancel the award and award the contract to the next-highest-ranked Proposer.

Award shall be made to the Proposer with the highest points, whose proposal, conforming to the RFP, will be the most advantageous to the State and OGB, price and other factors considered.

The OGB intends to award to a single Proposer.

1.17 Notice of Intent to Award

Upon review and approval of the evaluation committee's and agency's recommendation for award, OGB will issue a "Notice of Intent to Award" letter to the apparent successful Proposer.

OGB will also notify all unsuccessful Proposers as to the outcome of the evaluation process.

Any person aggrieved by the proposed award has the right to submit a protest in writing, to the OGB Chief Executive Officer, within fourteen days of the award/intent to award.

1.18 Insurance Requirements

Staff Insurance - Contractor shall procure and maintain for the duration of this contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors.

Liability Insurance - Contractor shall procure and maintain for the duration of the contract liability insurance and comprehensive liability insurance, with a combined single limit liability of not less than \$10,000,000. The State of Louisiana, Office of Group Benefits must be named as an additional insured.

Contractor shall on request furnish OGB with certificate(s) of insurance affecting coverage required by the contract. The certificate(s) for each insurance policy is to be signed by a person authorized by that insurer to bind coverage on its behalf. OGB reserves the right to require complete, certified copies of all required insurance policies, at any time.

1.19 Subcontractor Insurance

The Contractor shall include all subcontractors as insured's under its policies or shall insure that all subcontractors satisfy the same insurance requirements stated herein for the contractor.

1.20 Indemnification

Contractor agrees to protect, defend, indemnify and hold harmless OGB, the State of Louisiana, all State Departments, Agencies, Boards and Commissions, their respective officers, directors, agents, servants and employees, including volunteers (each a State Affiliated Indemnified Party), from and against any and all claims, demands, expense and liability arising out of or in any way growing out of any act or omission of Contractor, its agents, servants, and employees, together with any and all costs, expenses and/or attorney fees reasonably incurred as a result of any such claim, demands, and/or causes of action, except those claims, demands and/or causes of action arising out of the act or omission of a State Affiliated Indemnified Party. Contractor agrees to investigate, handle, respond to, provide defense for and defend any such claim, demand or suit at its sole expense, even if such claim, demand or suit is groundless, false or fraudulent, provided that (a) the State Affiliated Indemnified Party has given reasonable notice to Contractor of the claim or cause of action, and (b) no State Affiliated Indemnified Party has, by act or failure to act, compromised Contractor's position with respect to the resolution or defense of the claim or cause of action.

1.21 Fidelity Bond Requirements

The Contractor shall be required to provide a Fidelity Bond in the amount of Five Million Dollars (\$5,000,000) to protect OGB and the State of Louisiana from loss resulting from acts of crime or fraud perpetrated either by the Contractor, its agents or subcontractors or against the Contractor, its agents or subcontractors. OGB shall be the named beneficiary.

The fidelity bond furnished shall be written by a surety or insurance company that is currently licensed to do business in the State of Louisiana. This bond must be delivered to OGB within sixty (60) days of signing the contract.

An irrevocable letter of credit may be provided in lieu of a Fidelity Bond.

1.22 Payment for Services

OGB shall pay Contractor in accordance with the Pricing Schedule as follows:

1. Check Printing
2. Non-Check Printing of Explanation of Benefits
3. Input file transmission from OGB
4. Output file transmission to OGB
5. Per Payment Fee (835 payments)
6. Per Claim Fee
7. Output 835 file transmission to Third Parties (including but not limited to providers and clearinghouses)
8. Additional Page Printing (letters)
9. Inserts

The Contractor may invoice the agency monthly at the billing address designated by the agency. Payments will be made by the Agency within approximately thirty (30) days after receipt of a properly executed invoice, and approval by the Agency. Invoices shall include the contract and order number, using department and product purchased. Invoices submitted without the referenced documentation will not be approved for payment until the required information is provided.

1.23 Termination

1.23.1 TERMINATION OF THIS CONTRACT FOR CAUSE – The Office of Group Benefits (OGB) may terminate this Contract for cause based upon the failure of Contractor to comply with the terms and/or conditions of the Contract, or failure to fulfill its performance obligations pursuant to this Contract, provided that the OGB shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have corrected such failure or, in the case of failure which cannot be corrected in (30) days, begun in good faith to correct such failure and thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the Contract shall terminate on the date specified in such notice.

The Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the OGB to comply with the terms and conditions of this Contract, provided that the Contractor shall give the OGB written notice specifying the State's failure and a reasonable opportunity for the OGB to cure the defect.

1.23.2 TERMINATION OF THIS CONTRACT FOR CONVENIENCE – The OGB may terminate this Contract at any time by giving thirty (30) days written notice to contractor of such termination or negotiating with the Contractor an effective date.

The Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.

1.23.3 TERMINATION FOR NON-APPROPRIATION OF FUNDS - The continuance of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act or Title 39 of the Louisiana Revised Statutes of 1950 to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

1.24 Assignment

Assignment of contract, or any payment under the contract, requires the advanced written approval of the Office of Group Benefits and the Office of Contractual Review.

1.25 No Guarantee of Quantities

The successful proposer must have a demonstrated capacity to handle a major volume of production as outlined by estimates below.

A. Check & EOBs

1. Check Printing	300,000
2. Non-Check Printing of Explanation of Benefits	2,000,000
3. Input file transmission from OGB	750
4. Output file transmission to OGB	1,250
5. Per Payment Fee (835 payments)	35,000
6. Per Claim Fee	2,000,000
7. Output 835 file transmission to Third Parties (including but not limited to providers and clearinghouses)	10,000
8. Additional Page Printing (letters)	200,000
9. Inserts	50,000

B. Total Annual Documents: 2.3 million

C. Page Counts Distribution: 50% 50 pages or more, generally in the 50 -100 page range.
50% Less than 50 pages, generally in the 3-5 page range.
Total annual pages are approximately 15 million.

D. Total Annual Letters: Approximately 100,000

Notes: The estimates are based on last year's volume. Volume will be divided between paper and electronic EOB. The volume is highly dependent on member population and their plan selection and therefore subject to change.

In the event a greater or lesser quantity is needed, the right is reserved by the State of Louisiana to increase or decrease the amount, at the unit price stated in the proposal.

Neither the State nor OGB obligates itself to contract for or accept more than their actual requirements during the period of this Contract, as determined by actual needs and availability of appropriated funds.

With regard to items 8 and 9 above, these are included in the current contract, but there has been no utilization. OGB is seeking unit costs for these items in the proposal, but they will not be included in the cost evaluation. The anticipated volumes indicated above are estimates only, not based upon prior utilization since there has been none.

1.26 Audit of Records

Contractor grants to the Office of the Legislative Auditor, Inspector General's Office, the Federal Government, and any other duly authorized agency of the State the right to inspect and review all books and records pertaining to services rendered under this Contract. Contractor shall comply with federal and/or state laws authorizing an audit of Contractor's operation as a whole, or of specific program activities. Any audit shall be conducted during ordinary business hours and upon reasonable advance notice to the Contractor.

1.27 Civil Rights Compliance

The Contractor agrees to abide by the requirements of the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, the Federal Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Act of 1975, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990. Contractor agrees not to discriminate in its employment practices, and will render services under this Contract and any contract entered into as a result of this Contract, without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, or disabilities. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this Contract and any contract entered into as a result of this Contract.

1.28 Record Retention

Contractor agrees to retain all books, records, and other documents relevant to this contract and the funds expended hereunder for at least three (3) years after project completion of contract, or as required by applicable Federal law, whichever is longer.

1.29 Record Ownership

All records, reports, documents, or other material related to any contract resulting from this RFP and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of the OGB and shall, upon request, be returned by Contractor to the OGB, at Contractor's expense, at termination or expiration of this contract.

1.30 Confidentiality, Integrity, and Availability

Any Contract awarded pursuant to this RFP will include the following:

The parties, their agents, staff members and employees agree to maintain as confidential all individually identifiable information regarding Louisiana Office of Group Benefits plan members, including but not limited to patient records, demographic information and claims history. All information obtained by CONTRACTOR from the Office of Group Benefits shall be maintained in accordance with state and federal law, specifically including but not limited to the Health Insurance Portability and Accountability Act of 1996, and any regulations promulgated thereunder (collectively, "HIPAA"). To that end, the parties have executed and hereby make a part of this Agreement a Protected Health Information (Business Associate) Addendum to be in full compliance with all relevant provisions of HIPAA, including but not limited to all provisions relating to Business Associates.

Further, the parties agree that all financial, statistical, personal, technical and other data and information relating to either party's operations which are designated confidential by such party and made available to the other party in carrying out this contract, shall be protected by the receiving party from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the OGB and/or Contractor. Neither party shall be required to keep confidential any data or information which is or becomes publicly available, is already rightfully in the party's possession, is independently developed by the party outside the scope of this contract, or is rightfully obtained from third parties.

1.31 Content of Contract/ Order of Precedence

In the event of an inconsistency between the contract, the RFP and/or the Contractor's Proposal, the inconsistency shall be resolved by giving precedence first to the final contract, then to the RFP and subsequent addenda (if any) and finally, the Contractor's Proposal.

1.32 Amendments in Writing

Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when it has been reduced to writing, duly signed. No amendment shall be valid until it has been executed by all parties and approved by the Director of the Office of Contractual Review, Division of Administration.

1.33 Governing Law, Venue

The validity of this Contract and any of its terms or provisions, as well as the rights and duties of the parties hereunder, shall be construed pursuant to, and in accordance with, the laws of the State of Louisiana, and venue of any action brought under this contract shall be the Nineteenth (19th) Judicial District Court for the parish of East Baton Rouge, Louisiana.

1.34 Monitoring Plan; Performance Measures

Reporting Requirements: Contractor will provide to OGB's Contract Manager, and to others designated by the Contract Manager, the monthly, quarterly, and annual reports as agreed upon by both parties.

Performance Standards and Guarantees: Contractor will abide by the performance standards and guarantees specified in the RFP.

OGB's Contract Manager will be responsible for the Performance Evaluation Report required by the state Office of Contractual Review in regards to the scope of services provided by the Contractor pursuant to this Contract. The performance evaluation will be based on the following: personnel assigned to perform the services pursuant to the contract; the quality of services performed in accordance with required services; the submission of required reports/reporting; attendance at required meetings; and other measurements as determined by the Contract Manager.

1.35 Claims or Controversies

Any claims or controversy arising out of this contract shall be resolved in accordance with the provisions of La R.S. 39:1524 – 1526.

The validity of this contract and any of its terms or provisions, as well as the rights and duties of the parties hereunder, shall be construed pursuant to, and in accordance with, the laws of the State of Louisiana and venue of any action brought under this contract shall be the Nineteenth (19th) Judicial District Court.

1.36 Certification of No Suspension or Debarment

By signing and submitting any proposal, the proposer certifies that their company, any subcontractors, or principals are not suspended or debarred by the General Services Administration (GSA) in accordance with the requirements in OMB Circular A-133.

A list of parties who have been suspended or debarred can be viewed via the internet at <http://www.epls.gov>

1.37 Period of Contract

The term of any contract resulting from this solicitation shall be effective for three (3) years.

PART II SCOPE OF WORK/SERVICES

2.1 Scope of Work/Services

The Contractor is to design a solution to combine and coordinate the receiving, sending, mailing and distribution of HIPAA compliant transactions, EOB's, claims payments, and other health insurance communications to OGB's plan members and/or medical providers.

The contractor is required to provide the following services:

- A. Explanation of Benefits (EOB) printing and mailing to OGB's plan members and providers. The first page of the EOB may also include a check. All EOB's must be printed on both sides of the paper. Refer to Exhibit 8.a, Exhibit 8.b, Exhibit 8.c and Exhibit 8.d for EOB layout and mapping. Checks and EOBs will be printed for multiple DDA accounts.
- B. The contractor shall send a control file/report electronically back to OGB on a daily basis. Refer to Exhibit 2 for the sample report layout. File must report each account separately.
- C. Design, develop and implement a process for sending electronic EOB through HIPAA compliant Electronic Data Interchange (EDI) transaction, 835 to OGB's providers and mailing the corresponding EOB's to OGB's plan members. The contractor through established Electronic Funds Transfer (EFT) transactions shall transfer the funds to the providers. The PDF document describing 835 can be obtained from www.ihs.gov. Refer to Exhibit 3 for OGB's specific structural requirements for 835. Multiple payee accounts will be contained in 835 file.
- D. The contractor shall send HIPAA EDI 997 data acknowledgement after receiving each 835 from OGB. Refer to Exhibit 4 for 997 transaction description and layout.
- E. The contractor shall also send HIPAA EDI 824 application advice after receiving each 835 from OGB. Refer to Exhibit 5 for 824 transaction description and layout. OGB prefers to receive 997 and 824 transmissions together within a single file.
- F. The contractor shall provide a detailed procedure to establish EFT process with the providers.
- G. The contractor shall transfer PDF version of all paper and electronic EOB's to OGB on a daily basis using secured File Transfer Protocol (FTP) (See Exhibit 7). This file will be PGP encrypted. There will not be any difference in appearance and format of the paper and electronic EOB's.
- H. The contractor shall provide secured Internet access to their application for OGB's representatives. OGB's representatives will have the option to pull one or more checks and/or pull one or more electronic EOB+EFT transaction online real-time. OGB representative will also have the option to stop the entire days file processing. The contractor will maintain complete and secured audit trail of all such activities. The contractor will provide these audit trails to OGB on a monthly basis and also on demand more frequently when needed.
- I. The contractor shall provide an option for inserts to members and/or providers mailings. The inserts may be required on different color paper. The information and layout will be sent to the contractor electronically.
- J. The contractor shall provide an option to mail standalone letters to the members and/or providers. The information on the standalone letters will be sent to the contractor electronically.
- K. The contractor shall advise OGB of any out of the ordinary occurrence, event or discrepancy prior to mailing or sending electronic EOB, letters or communications.

2.2 Deliverables

A recommended daily workflow has been outlined below. The contractor may suggest changes for more efficiency and/or accuracy.

- A. OGB generates an EOB file (ASCII flat file) from its check run every night. Refer to Exhibit 6 for the EOB File layout. Under normal circumstances OGB will only run the check cycle on working days. This file will contain information from multiple payee DDA accounts.
- B. The EOB File is encrypted and sent to the contractor electronically through secured FTP.
- C. OGB will send a control file to Contractor to verify accuracy. Refer to Exhibit 1 for the control file layout.
- D. OGB will send encrypted 835 transactions to the contractor through secured FTP.
- E. Contractor shall send an Error/Totals control file to OGB to acknowledge receipt and report errors. Refer to Exhibit 2 for the control file layout.
- F. The contractor shall send 997 back to OGB acknowledging receipt and acceptance or rejection of the 835 transactions file.
- G. The contractor shall validate the 835 and send an encrypted 824 to OGB.
- H. The contractor shall process the EOB file and send an email notification to OGB by 8:00 am (CST) on the following morning.
- I. The contractor shall process the 835 file and send an email notification to OGB by 8:00 am (CST) on the following morning.
- J. Contractor shall provide access to authorized personnel from OGB's Fiscal Department, the ability to pull individual checks and all associated items, place an entire check run on "hold" or release a check run from "hold".
- K. Contractor shall have ability to identify items for return to OGB via overnight delivery. Including but not limited to:
 - 1. Check/EOB with incomplete or missing address
 - 2. Check/EOB with missing payee name
 - 3. Check/EOB payable to "Balance Forward" or "Subrogation Refund"
 - 4. Damaged check/EOB (print error, mangled/torn, etc) and non-negotiable.
 - 5. Duplicate checks
 - 6. Checks missing signature
 - 7. Provider checks with foreign addresses.
- L. Contractor shall proceed with next steps only after OGB's acknowledgement and approval on contractor's web site. Alternative modes of communications, approved by the HCU Director/Privacy Officer, will be established in case web access or email access has a problem.
- M. The contractor shall print and mail the paper EOB including checks. Refer to Exhibit 8 for mapping the file to EOB. Exhibit 8 can also be viewed as an animated PDF and can be viewed electronically using Adobe Acrobat Reader. The mouse over individual fields on the EOB form displays the mapping information.
- N. The contractor shall print special verbiage "LACHIP AFFORDABLE PLAN" on EOB and Check for secondary bank account for DHH. This verbiage appears in the data file. See Exhibit 8.e for placement.
- O. The contractor shall split the 835 file sent to them by OGB and send an 835 to all of the appropriate providers and clearinghouses, and transfer funds to the provider banks through EFT.
- P. The contractor shall send the pulled checks and corresponding EOB to OGB on next day delivery.

- Q. The contractor shall send electronic confirmation for the pulled EOB from electronic file (835).
- R. The contractor shall send OGB electronically, through secured FTP, PDF files for all EOBs mailed or sent electronically (835) to the **providers**. There should be a bookmark in each document of this PDF file containing the trace number that is in positions 5-29 of the EOB file. See Exhibit 6.
- S. The contractor shall send OGB electronically, through secured FTP, PDF files for all EOBs mailed to the **members**. There should be a bookmark in each document of this PDF file containing the trace number that is in positions 5-29 of the EOB file. See Exhibit 6. The contractor will send electronically through secured FTP, PDF files for all EOB's mailed to the members.
- T. Occasionally OGB shall send an insert with the EOB mailing. The insert will be sent electronically to the contractor.
- U. The contractor shall print and obtain OGB's approval on the proof prior to scheduling the insert to the EOB mailing. The mailing could be for the providers and/or the members.
- V. The contractor shall send the insert within the normal EOB PDF file generated each day to OGB just as it was mailed.
- W. For a flowchart overview of the above flow see Exhibits 9 and 10
- X. Occasionally OGB will send a standalone letter to be mailed to the providers and/or the members. The contractor shall print and obtain OGB's approval on the proof prior to mailing.
- Y. The contractor shall send the PDF files for all the letters electronically to OGB through secured FTP.
- Z. For a flowchart of items 24 and 25 above see Exhibit 11.

2.3 Implementation Goals

- A. The system shall be operational by 60 days after contract approval for testing and quality control purposes. The entire system shall be fully functional and operational by 30 days after testing period commences.
- B. A detailed written implementation plan should be developed by Contractor and approved by State of Louisiana based upon marketing and production priorities communicated by State of Louisiana and the analysis of the required mailings. This plan shall specify the sequence and priority of implementation, define activities to be accomplished and specify dated milestones to be used in monitoring the progress of the implementation effort.
 - 1. Goals as Data and Deliverables from the State of Louisiana:
 - a. Contractor shall deploy equipment, which is appropriate to read data delivered by the State of Louisiana.
 - b. The State of Louisiana shall pay for all delivery, fixed and usage charges associated with the delivery or transmission of such data from the State of Louisiana to the Contractor.
 - 2. Service Goals:

Contractor shall provide a chart listing its time frame for receiving data and preparing and mailing checks, EOBs, and other communications. The chart shall be in the form listed below. The times and response times are a sample:

TIME DATA RECEIVED (6 days per week excluding Sunday) (Central Time)		BUSINESS DAYS TO MAIL (Including Saturday)
EOB/Checks	1:00 a.m.	2
Flex Checks	1:00 a.m.	2
EOB/No Pay	1:00 a.m.	2
Pending Letters	1:00 a.m.	2
Copies	1:00 a.m.	2
Reports	1:00 a.m.	2

3. Invoicing Goals:

- a. Contractor shall render bills, certified by an officer of their company, to OGB monthly for all services. Such invoicing should be detailed.
- b. Postage shall be billed to and paid by OGB on a monthly basis.
- c. Contractor shall make documentation available to OGB to support all charges.
- d. With respect to all billings rendered (except postage handling), OGB should pay Contractor net 30 days from the date of such invoices.

PART III EVALUATION

All proposals will be graded and evaluated based on the following set of weighted criteria:

A. 40% Financial Proposal: Cost of all items needed to implement the proposed solution for this RFP. Prices must be inclusive of all charges.

B. 60% Technical and Organizational Proposal: Experience and technical ability to provide services as requested in this RFP.

Each proposal will be evaluated in light of the material and the substantiating evidence presented to OGB, not on the basis of what may be inferred.

The scores for the Financial plus the Technical and Organizational Proposals will be combined to determine the overall score. The Proposer with the highest overall score will be recommended for award.

3.1 Financial Proposal (Value of 400 Points)

A. The Proposer shall present a bid that includes the cost of all items needed to implement this service. Proposer's prices submitted shall be inclusive of all charges including but not limited to:

1. Check Printing
2. Non-Check Printing of Explanation of Benefits
3. Input file transmission from OGB
4. Output file transmission to OGB
5. Per Payment Fee (835 payments)
6. Per Claim Fee
7. Output 835 file transmission to Third Parties (including but not limited to providers and clearinghouses)
8. Additional Page Printing (letters)
9. Inserts

Price must be inclusive of all charges except postage.

B. Prices proposed shall be firm for the duration of the contract.

C. The proposer's base cost score will be based on the estimated Total Annual Cost as reflected in the Cost Quotation and computed as follows:

$$BCS = (LPC/PC \times 400)$$

Where: BCS = Computed cost score (points) for proposer being evaluated
 LPC = Lowest proposed cost of all proposers
 PC = Total cost of proposer being evaluated

3.2 Technical and Organizational Proposal (Value of 600 Points)

The following criteria are of importance and relevance to the evaluation of this RFP and will be used by the Evaluation Committee in the evaluation of the technical proposal. Such factors may include but are not limited to:

- A. The proposer shall provide the following:
 - 1. Implementation Plans for the Scope of Work/Services with a detailed time line.
 - 2. Description of hardware, software, and communications equipment to be used for the Scope of Work/Services.
 - 3. Plans for training OGB Staff on appropriate software and equipment.
 - 4. Provisions for customer service, including personnel assigned, internet access, toll-free number, and account inquiry to assure continuous contact.
 - 5. Resumes for account manager, designated customer service representative(s) and any other key personnel to be assigned to this Scope of Work/Services.
- B. The ability and flexibility of the proposer to respond to down time and emergencies.
- C. The ability of the proposer's systems to keep records secure, confidential, and are in compliance with HIPAA requirements.
- D. Provide three (3) current references that will show experience with the Scope of Work/Services.
- E. Names and phone numbers of current references of at least three clients that processes at least 600,000 documents per year.
- F. Names and phone numbers of current references of at least three clients for whom it processes an 835 (EFT/ERA) files.
- G. Provide a statement of the company's background and history.
- H. Provide copies of the company's latest two (2) Financial Statements.

PART IV. PERFORMANCE STANDARDS AND CONTRACTOR QUALIFICATIONS

4.1 Performance Requirements

The proposer shall provide a solution to the needs listed below:

- A. OGB's goal is to obtain a system that will take OGB data and create and mail health insurance documents/payments including but not limited to the following:
 - 1. Explanation of Benefits and Payments to Plan Members and Providers (EOB)
 - 2. Miscellaneous mailings
 - 3. Envelopes, addressed and zip code presorted for the above items.
- B. Accept health claims in a HIPAA compliant 835 file via FTP with PGP encryption.
- C. From a single 835 file, send each provider a HIPAA compliant 835 file.
- D. OGB will determine which providers receive paper EOB/Check and which get the 835 File.
- E. Must have capability of sending 835 files to multiple providers or the provider's clearing house.
- F. The ability to communicate through the 835 file the transfer of electronic funds from OGB's bank to the provider's bank.
- G. Ability to keep track of which providers want paper EOBs or electronic EOBs and what clearing house the provider wants their EOBs to go to, if any.
- H. Create EOB/Check images in PDF format from ASCII flat file.
- I. Print and mail checks and EOBs for all members and print those EOB/Checks that have not been transmitted electronically via 835.
- J. Ability to identify and retrieve problem items for return to OGB.
- K. Ability to print letters and mail them out to our plan members and/or providers.
- L. Ability to merge and print letters given a document and a file to personalize the letter merge.
- M. OGB should receive a copy of all created PDF files via FTP.

- N. OGB should have pass through, single source sign on authentication capability to the company's web site and must provide OGB necessary parameters for this direct access.

4.2 Performance Standards

All services are subject to the below standard of performance.

- A. The services shall not be accepted and payment shall not be made until the standard of performance is met. The date of acceptance shall be the first day following the successful testing and performance period and the beginning of the contract period. The testing period is the time following contract execution when systems are tested and dummy claims processed. This shall not exceed thirty (30) days.
- B. The performance period shall begin following the testing period and shall end when the services have met the performance requirements for a period of thirty (30) days by operating in conformance with the Contractor's bid.
- C. In the event the equipment or service does not meet the standard of performance during the initial thirty (30) consecutive days, the standard of performance test should continue on a day-to-day basis until the standard of performance is met for a total of thirty (30) consecutive days.
- D. The State shall maintain daily records to satisfy the requirements of standard of performance and acceptance of equipment or services.
- E. The services will not be accepted if the above measurements are not fully sustained for a period of thirty (30) days.
- F. If the services fails to meet the standard of performance after ninety (90) calendar days from the start of performance date, the State and/or OGB may at its option terminate the contract, and proceed against the Performance Bond. Also, if the Contractor is unable to continue to provide services during the term of contract, OGB may proceed against the Performance Bond.

4.3 Contractor Qualifications

Proposer is to provide written documentation of the following minimum criteria with its proposal:

- A. The contractor shall have and maintain throughout the term of the contract capital (exclusive of debt), surplus and reserves of at least \$20,000,000.00. The capital base will be reduced by any negative amounts of equity capital.
- B. The contractor shall currently be and remain throughout the term of the contract, designated as an authorized fiscal agent of the State by the State of Louisiana

Interim Emergency Board, in accordance with LA R.S. 49:317.

- C. The contractor shall be and remain throughout the term of the contract, qualified to accept deposits for the Office of Group Benefits in accordance with LA R.S. 49:327.
- D. The contractor shall currently be and remain throughout the term of the contract, a member of , or have access to, the Federal Reserve System with full wire transfer capabilities, in order to send requests for funds to various federal and state agencies, to receive funds, to transfer funds to other banks/institutions as directed by the Office of Group Benefits and to receive and send book entry securities. In conjunction with the receipt and transfer of book entry securities, the Bank must verify and remit funds immediately involving securities purchased under agreements to resell. This procedure must be reserved for the opening of business on the date of maturity or the next business day, if maturity is on a legal holiday.
- E. Currently have and maintain throughout the term of the contract, certified access to an international wire desk with a specific institution supplying this service.
- F. The contractor must supply certification by the Chairman of the Board of Directors, Attested to by the Secretary of the Board of Directors, that the contractor is not and does not contemplate, as of the date of submission and the date of the execution of the contract, operation under any consent decree or other type of restrictive contract with any state or federal regulatory agency. Throughout the term of the contract, the selected contractor shall not operate under any consent decree or other type of restrictive contract with any state or federal regulatory agency without providing immediate notification to OGB. The contract may be immediately terminable upon notification to OGB of any such restrictive covenant of a regulatory agency.
- G. Currently meet, and maintain throughout the term of the contract, FDIC capital adequacy requirements. The contract may be immediately terminable upon notification to OGB of a failure to meet FDIC capital adequacy requirements.
- H. Currently maintain and maintain through the term of the contract, fidelity and Indemnity insurance coverage for all branches, facilities and offices.
- I. The contractor must have been in business, in compliance with LA R.S. 49:317, for a minimum of five (5) Year prior to the contract period.

ANY PROPOSAL FOR PROVIDING EXPLANATION OF BENEFITS AND PAYMENTS SYSTEM UNABLE TO SATISFY THESE MINIMUM QUALIFICATIONS AS OUTLINED ABOVE WILL BE DISQUALIFIED.

PART V. COST QUOTATION

5.1 EOB Services

Annual Rate – Fee August 1, 2009 – July 31, 2012

	Description	Annual Quantity	Unit Cost	Annual Cost
1.	Check Printing	300,000		
2.	Non-Check Printing of Explanation of Benefits	2,000,000		
3.	Input File Transmission from OGB	750		
4.	Output File Transmission to OGB	1,250		
5.	Per Payment Fee (835 Payments)	35,000		
6.	Per Claim Fee	2,000,000		
7.	Output 835 File Transmission to Third Parties	10,000		
8.	Additional Page Printing (letters)	200,000		
9.	Inserts	50,000		
	Estimated Total Annual Cost			

- NOTES:**
- (1) The provision for Additional Page Printing (letters, #8) and Inserts (#9) has not been used in the previous contract. We anticipate this provision to be utilized over the term of this contract. An annual volume of 200,000 for Additional Page Printing and 50,000 for Inserts should be used for bidding purposes.
 - (2) Your fees must be all-inclusive of administrative expenses, travel, communications materials and any other requirement of this RFP.
 - (3) The original and eight (8) copies of the Fee Proposal Form are to be submitted in a separate envelope marked "EOB Services" on the outside of such envelope. Do not include the Fee Proposal Form in the three ring binder with the other required portions of your proposal.
 - (4) See Sections 1.4 F (Financial Proposal) and 1.25 (No Guarantee of Quantities)

FIRM: _____

BY (PRINT NAME): _____ Title: _____

Signature: _____ Date: _____

ATTACHMENT 1

**STATE OF LOUISIANA
OFFICE OF GROUP BENEFITS**

RFP FOR EOB SERVICES

BUSINESS ASSOCIATE ADDENDUM (BAA)

**State of Louisiana, Division of Administration
Office of Group Benefits**

Protected Health Information Addendum

I. Definitions

- a) “Administrative Safeguards” shall mean administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information., as more particularly set forth in 45 CFR § 164.308.
- b) “Agreement” shall mean the agreement between Business Associate and OGB, dated _____, pursuant to which Business Associate is to provide certain services to OGB involving the use or disclosure of PHI, as defined below.
- c) “Business Associate” shall mean _____.
- d) “ePHI” shall have the same meaning as the term “electronic protected health information” in 45 CFR § 160.103, limited to the information created or received by Business Associate from or on behalf of OGB.
- e) “HIPAA” shall mean the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191.
- f) “HIPAA Regulations” shall mean the Privacy Rule and the Security Rule.
- g) “Individual” shall have the same meaning as the term “individual” in 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).
- h) “OGB” shall mean the State of Louisiana, Division of Administration, Office of Group Benefits, which is a covered entity under the HIPAA Regulations, as defined herein.
- i) “PHI” shall have the same meaning as the term “protected health information” in 45 CFR § 160.103, limited to the information created or received by Business Associate from or on behalf of OGB.
- j) “Physical Safeguards” shall mean physical measures, policies, and procedures to protect a covered entity's electronic information systems and related buildings and equipment, from natural and environmental hazards, and unauthorized intrusion as more particularly set forth in 45 CFR § 164.310.
- k) “Privacy Rule” shall mean the regulations promulgated pursuant to HIPAA regarding Privacy of Individually Identifiable Health Information at 45 CFR, Part 160 and Part 164, Subparts A and E.
- l) “Required By Law” shall have the same meaning as the term “required by law” in 45 CFR § 164.103.
- m) “Secretary” shall mean the Secretary of the Department of Health and Human Services or his designee.
- n) “Security Incident” shall have the same meaning as the term “security incident” in 45 CFR § 164.304.

- o) “Security Rule” shall mean the regulations promulgated pursuant to HIPAA regarding Security Standards for Electronic Protected Health Information at 45 CFR, Part 160 and Part 164, Subparts A and C.
- p) “Technical Safeguards” shall mean the technology and the policy and procedures for its use that protect electronic protected health information and control access to it, as more particularly set forth in 45 CFR § 164.312.
- q) Any other terms used in this Addendum that are not defined herein but are defined in the HIPAA Regulations shall have the same meaning as given in the HIPAA Regulations.

II. Obligations and Activities of Business Associate

- a) Business associate agrees to comply with OGB policies and procedures regarding the use and disclosure of PHI.
- b) Business Associate agrees to not use or further disclose PHI other than as permitted or required by this Addendum, or as Required by Law.
- c) Business Associate agrees to limit all requests to OGB for PHI to the minimum information necessary for Business Associate to perform functions, activities, or services for or on behalf of OGB as specified in the Agreement.
- d) Business Associate agrees to use appropriate safeguards to prevent use or disclosure of PHI other than as provided for by this Addendum.
- e) Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate in violation of the requirements of this Addendum.
- f) Business Associate agrees to report to OGB any use or disclosure of the PHI not provided for by this Addendum of which it becomes aware. Such report shall be made within two (2) business days of Business Associate learning of such use or disclosure.
- g) Business Associate agrees to ensure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by Business Associate on behalf of, OGB agrees to the same restrictions and conditions that apply through this Addendum to Business Associate with respect to such information. However, Business Associate shall not enter into any subcontractor or other agency relationship with any third party that involves use or disclosure of such PHI without the advance written consent of OGB.
- h) Business Associate agrees to provide access, at the request of OGB, and in the time and manner designated by OGB, to PHI maintained by Business Associate in a Designated Record Set, to OGB or, as directed by OGB, to an Individual in order to meet the requirements under 45 CFR § 164.524.
- i) Business Associate agrees to make any amendment(s) to PHI maintained by Business Associate in a Designated Record Set that OGB directs or agrees to pursuant to 45 CFR § 164.526 at the request of OGB or an Individual, and in the time and manner designated by OGB.
- j) Business Associate agrees to make its internal practices, books, and records relating to the use and disclosure of PHI received from, or created or received by Business Associate on behalf of, OGB available to OGB, or at the request of OGB to the Secretary, in a time and manner designated by OGB or the Secretary, for purposes of the Secretary determining OGB's compliance with the Privacy Rule.
- k) Business Associate agrees to document such disclosures of PHI and information related to such disclosures as would be required for OGB to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR § 164.528.

- l) Business Associate agrees to provide to OGB or an Individual, in a time and manner designated by OGB, information collected in accordance with Section II.j of this Addendum, to permit OGB to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR § 164.528.
- m) At any time(s) requested by OGB, Business Associate agrees to return to OGB or destroy such PHI in its possession as directed by OGB.
- n) Business Associate shall defend and indemnify OGB from and against any and all claims, costs, and/or damages arising from a breach by Business Associate of any of its obligations under this Addendum. Any limitation of liability provision set forth in the Agreement, including but not limited to any cap on direct damage liability and any disclaimer of liability for any consequential, indirect, punitive, or other specified types of damages, shall not apply to the defense and indemnification obligation contained in this Addendum.
- o) Business Associates shall relinquish to OGB all control over responses to subpoenas Business Associate receives related to PHI.
- p) Business Associate shall:
 - 1. Implement and document Administrative Safeguards, Physical Safeguards, and Technical Safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the ePHI that it creates, receives, maintains, or transmits on behalf of OGB, specifically including, but not limited to, the following:
 - i) Ensuring the confidentiality, integrity, and availability of all ePHI that it creates, receives, maintains, or transmits on behalf of OGB;
 - ii) Protecting against any reasonably anticipated threats or hazards to the security or integrity of such information;
 - iii) Protecting against any reasonably anticipated uses or disclosures of such information that are not permitted or required by this Addendum or Required by Law; and
 - iv) Ensuring compliance with these requirements by its workforce;
 - 2. Ensure that any agent, including a subcontractor, to whom it provides ePHI agrees to implement reasonable and appropriate safeguards to protect it;
 - 3. Report to OGB any Security Incident of which it becomes aware. If no Security Incidents are reported, Business Associate shall certify to OGB in writing within ten (10) days of each anniversary date of the Agreement that there have been no Security Incidents during the previous twelve months.
- q) Business Associate shall not permit PHI to be disclosed to or used by any individual or entity outside of the territorial and jurisdictional limits of the fifty United States of America.

III. Permitted Uses and Disclosures by Business Associate

- a) Except as otherwise limited in this Addendum, Business Associate may use or disclose PHI to perform functions, activities, or services for or on behalf of OGB as specified in the Agreement, provided that such use or disclosure would not violate the Privacy Rule if done by OGB or the minimum necessary policies and procedures of OGB.
- b) Except as otherwise limited in this Addendum, Business Associate may use PHI for the proper management and administration of Business Associate or to carry out the legal responsibilities of Business Associate.

- c) Except as otherwise limited in this Addendum, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that such disclosures are Required By Law, or Business Associate obtains reasonable assurances from the person to whom the PHI is disclosed that it will remain confidential and be used or further disclosed only as Required By Law or for the purpose for which it was disclosed to the person, and the person promptly notifies the Business Associate of any known instances of breach of the confidentiality of the PHI
- d) Except as otherwise limited in this Addendum, Business Associate may use PHI to provide Data Aggregation services to OGB as permitted by 45 CFR § 164.504(e)(2)(i)(B), provided that such services are contemplated by the Agreement.
- e) Business Associate may use PHI to report violations of law to appropriate Federal and State authorities, consistent with 45 CFR § 164.502(j)(1).

IV. Obligations and Activities of OGB

- a) With the exception of Data Aggregation services as permitted by 45 CFR § 164.504(e)(2)(i)(B), OGB shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by OGB.
- b) OGB shall notify Business Associate of any limitation(s) in OGB's Notice of Privacy Practices in accordance with 45 CFR § 164.520, to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
- c) OGB shall notify Business Associate of any changes in, or revocation of, permission by any Individual to use or disclose PHI, to the extent such changes may affect Business Associate's use or disclosure of PHI.
- d) OGB shall notify Business Associate of any restriction to the use or disclosure of PHI that OGB has agreed to in accordance with 45 CFR § 164.522, to the extent such restriction may affect Business Associate's use or disclosure of PHI.

V. Term and Termination

- a) Term. The Term of this Addendum shall commence on the effective date set forth below, and shall terminate when all of the PHI provided by OGB to Business Associate, or created or received by Business Associate on behalf of OGB, is destroyed or returned to OGB, or, if it is not feasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.
- b) Termination of Agreement for Cause. In the event that OGB learns of a material breach of this Addendum by Business Associate, OGB shall, in its discretion:
 1. Provide a reasonable opportunity for Business Associate to cure the breach to OGB's satisfaction. If Business Associate does not cure the breach within the time specified by OGB, OGB may terminate the Agreement for cause; or
 2. Immediately terminate the Agreement if Business Associate has breached a material term of this Addendum and cure is not possible; or
 3. If neither termination nor cure is feasible, OGB may report the violation to the Secretary.
- c) Effect of Termination.
 1. Except as provided in paragraph (2) below, upon termination of the Agreement for any reason, Business Associate shall return or destroy all PHI received from OGB, or created or received by Business Associate on behalf of OGB. Business

Associate shall retain no copies of the PHI. This provision shall also apply to PHI that is in the possession of subcontractors or agents of Business Associate.

2. In the event that Business Associate determines that returning or destroying the PHI is not feasible, Business Associate shall provide to OGB written notification of the conditions that make return or destruction not feasible. Upon mutual agreement of the parties that return or destruction of PHI is not feasible, Business Associate shall extend the protections of this Addendum to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction not feasible, for so long as Business Associate maintains such PHI.

VI. Miscellaneous

- a) A reference in this Addendum to a section in the HIPAA Regulations means the section as in effect or as amended, and for which compliance is required.
- b) The parties agree to amend this Addendum from time to time as necessary for OGB to comply with the requirements of the HIPAA Regulations and the Health Insurance Portability and Accountability Act, Public Law 104-191.
- c) If applicable, the obligations of Business Associate under Section V.c.2 of this Addendum shall survive the termination of this Addendum.
- d) Any ambiguity in this Addendum shall be resolved in favor of a meaning that permits OGB to comply with the HIPAA Regulations. It is the intent of the parties that neither this Addendum, nor any provision in this Addendum, shall be construed against either party pursuant to the common law rule of construction against the drafter.
- e) Except as expressly stated herein, the parties to this Addendum do not intend to create any rights in any third parties. Nothing in this Addendum shall confer upon any person other than the parties and their respective successors or assigns any rights, remedies, obligations, or liabilities whatsoever.
- f) In the event of any conflict between the terms of the Agreement and the terms of this Addendum, the terms of this Addendum will control, with the exception that if the Agreement contains any provisions relating to the use or disclosure of PHI that are more protective of the confidentiality of PHI than the provisions of this Addendum, then the more protective provisions will control. The provisions of this Addendum are intended to establish the minimum limitations on Business Associate's use and disclosure of PHI.
- g) The terms of this Addendum shall be construed in light of any applicable interpretation or guidance on HIPAA and/or the HIPAA Regulations issued from time to time by the Department of Health and Human Services or the Office for Civil Rights.
- h) This Addendum may be modified or amended only by a writing signed by the party against which enforcement is sought.
- i) Neither this Addendum nor any rights or obligations hereunder may be transferred or assigned by one party without the other party's prior written consent, and any attempt to the contrary shall be void. Consent to any proposed transfer or assignment may be withheld by either party for any or no reason.
- j) Waiver of any provision hereof in one instance shall not preclude enforcement thereof on future occasions.
- k) For matters involving the HIPAA Regulations, this Addendum and the Agreement will be governed by the laws of the State of Louisiana, without giving effect to choice of law principles.

In witness whereof, the parties have executed this Addendum through their duly authorized representatives. This Addendum shall be effective as of the _____ day of _____, 20____.

State of Louisiana,
Division of Administration
Office of Group Benefits

By: _____

By: _____

Name: Tommy D. Teague

Name: _____

Title: Chief Executive Officer

Title: _____

**STATE OF LOUISIANA
OFFICE OF GROUP BENEFITS**

RFP FOR EOB SERVICES

EXHIBITS

- Exhibit 1: Control File Record Layout From OGB to Contractor
- Exhibit 2: Control File/Report From Contractor to OGB
- Exhibit 3: Sample 835 Layout
- Exhibit 4: EDI 997 Transaction Description and Layout
- Exhibit 5: EDI 825 Transaction Description and Layout
- Exhibit 6: EOB File Layout
- Exhibit 7: FTP Directory Request
- Exhibit 8: EOB Mapping
- Exhibit 9: Electronic Output from OGB to Contractor
- Exhibit 10: Electronic Output from Contractor to OGB
- Exhibit 11: Letter Creation

Exhibit 1 Control File Record Layout (from OGB to Contractor)

Field	Position	Picture Clause	Description
Account Sub-Total Record (Multiple occurrences in file)			
RECORD TYPE	001-001	CHAR (1)	= "2"
CUSTOMER FILE ID	002-011	CHAR (10)	= "STATEOFLA"
DDA ACCOUNT	012-029	CHAR (18)	Bank Account #
FILLER	030-031	CHAR (2)	blanks
NUMBER OF RECORDS	032-040	PIC Z(9)9	9 pos; right- justified; blank fill
NUMBER OF DOCUMENTS	041-049	PIC Z(9)9	9 pos; right- justified; blank fill
TOTAL DOLLAR AMOUNT	050-062	PIC Z(10).99	13 pos right- justified; blank fill whole number; print decimal point
FILLER	063-080	CHAR (18)	blanks

Field	Position	Picture Clause	Description
Total Record			
RECORD TYPE	001-001	CHAR (1)	= "3"
CUSTOMER FILE ID	002-011	CHAR (10)	= "STATEOFLA"
FILLER	012-031	CHAR (20)	blank
NUMBER OF RECORDS	032-040	PIC Z(9)9	9 pos; right- justified; blank fill
NUMBER OF DOCUMENTS	041-049	PIC Z(9)9	9 pos; right- justified; blank fill.
TOTAL DOLLAR AMOUNT	050-062	PIC Z(10).99	13 pos right- justified; blank fill whole number; print decimal point
FILLER	063-080	CHAR (18)	blanks

Exhibit 2 Control File/Report from Contractor to OGB

CONTRACTOR HEADING
 DATE: 02/09/09 CUSTOMER INPUT CONFIRMATION REPORT PAGE: 1
 TIME: 20:11:26

FOR: STATEOFLA ATTN: TECHNICAL UNIT

FILE HEADER NAME: HEADER ACCOUNT: FILE DATE: FILE TIME:

 STATE OF LOUISIANA - OGB 02/09/2009 20:07:52

ACCT HEADER RECEIVED: ACCT: ****75788 TYPE: AP
 ACCT TRAILER RECEIVED: ACCT: ****75788 TYPE: AP

ACCT STATISTICS:	ITEM COUNT:	DOLLAR AMOUNT:	RECORD COUNT:

AS - ACH STATEMENTS:			
ELECTRONIC FUNDS:	4	627.29	-----
\$ STATEMENTS:	2	7.20	-----
CK - RECEIVED CHECKS:	30	4042.49	-----
SO - STATEMENTS ONLY:	81	.00	-----

ACCT TOTALS:	117	4676.98	931

ACCT HEADER RECEIVED: ACCT: *****00590 TYPE: AP
 ACCT TRAILER RECEIVED: ACCT: *****00590 TYPE: AP

ACCT STATISTICS:	ITEM COUNT:	DOLLAR AMOUNT:	RECORD COUNT:

AS - ACH STATEMENTS:			
ELECTRONIC FUNDS:	152	173229.87	-----
\$ STATEMENTS:	205	1674417.47	-----
CK - RECEIVED CHECKS:	1162	714655.53	-----
SO - STATEMENTS ONLY:	8233	.00	-----

ACCT TOTALS:	9752	2562302.87	108170

FILE TRAILER RECEIVED:

FILE STATISTICS:	ITEM COUNT:	DOLLAR AMOUNT:	RECORD COUNT:

AS - ACH STATEMENTS:			
ELECTRONIC FUNDS:	156	173857.16	-----
\$ STATEMENTS:	207	1674424.67	-----
CK - RECEIVED CHECKS:	1192	718698.02	-----
SO - STATEMENTS ONLY:	8314	.00	-----

FILE TOTALS:	9869	2566979.85	109103

++++ FILE ACCEPTED ==> STATE OF LOUISIANA - OGB 02/09/2009 20:07:52

Exhibit 3 Sample 835 Layout

Each ST to Se loop is a payment transaction for the provider. One ST to Se loop per provider. The BPR is the payment detail record. There are other segments CAS, CLP, etc that are in between the ST and SE.

- ISA
- GS
- ST
- BPR
- (Miscellaneous 835 segments)
- SE
- ST
- BPR
- (Miscellaneous 835 segments)
- SE
- GE

ASC X12C/005010X230

Based on Version 5, Release 1

ASC X12 Standards for Electronic Data Interchange
Technical Report Type 3

Functional Acknowledgment (997)

APRIL 2005

REVIEW DRAFT

\$67.50 - Bound Document
\$45.00 - Downloaded Portable Document (PDF)
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1 Purpose and Business Information

1.1 Implementation Purpose and Scope

The purpose of this implementation guide is to provide standardized data content and structure to users of the ASC X12 997 transaction set. This implementation guide is intended to enable a receiver of an X12 transaction set to report syntactical errors against the X12 standard, or to acknowledge receipt of an error-free transaction set.

This 997 implementation guide can NOT be used for responding to any implementation guideline (TR3).

This 997 implementation guide can NOT be used for any application level validations.

1.2 Version Information

This implementation guide is based on the October 2003 ASC X12 standards, referred to as Version 5, Release 1, Sub-release 0 (005010). The unique Version/Release/Industry Identifier Code for transaction sets that are defined by this implementation guide is 005010**X230**.

The two-character Functional Identifier Code(s) for the transaction set(s) that are included in this implementation guide is (are):

- **FA** *Functional or Implementation Acknowledgment Transaction Sets (997, 999)*

The Version/Release/Industry Identifier Code and the applicable Functional Identifier Code must be transmitted in the Functional Group Header (GS segment) that begins a functional group of these transaction sets. For more information, see the descriptions of GS01 and GS08 in Appendix C.

1.3 Implementation Limitations

1.3.1 Batch and Real-Time Usage

There are multiple methods available for sending and receiving business transactions electronically. Two common modes for EDI transactions are batch and real-time.

Batch - In a batch mode the sender does not remain connected while the receiver processes the transactions. Processing is usually completed according to a set schedule. If there is an associated business response transaction (such as a 271 Response to a 270 Request for Eligibility), the receiver creates the response transaction and stores it for future delivery. The sender of the original transmission reconnects at a later time and picks up the response transaction. This implementation guide does not set specific response time parameters for these activities.

Real Time - In real-time mode the sender remains connected while the receiver processes the transactions and returns a response transaction to the sender. This implementation guide does not set specific response time parameters for implementers.

This implementation guide is intended to support use in batch mode. This implementation guide is intended to support use in real-time mode.

1.3.2 Other Usage Limitations

The ASC X12 997 transaction set is designed to report only on syntactical conformance against the X12 standard.

This 997 implementation guide can NOT be used for responding to any implementation guideline (TR3).

This 997 implementation guide can NOT be used for any application level validations.

The ASC X12 997 transaction set is designed to respond to one and only one functional group (i.e. GS/GE), but may respond to multiple transaction sets (i.e. ST/SE) within that functional group.

This ASC X12 997 Implementation Guideline can NOT be used to respond to any management transactions sets intended for acknowledgements, i.e., TS 997 and 999, or interchange control segments related to acknowledgements, i.e. TA1 and TA3.

1.4 Business Usage

This ASC X12 997 implementation guide is intended to meet the needs of the EDI industry as a whole, for a standard implementation guideline designed for reporting of syntactical errors against the X12 standard, or to report receipt of a transaction set that fully complies with the X12 standard.

For more information on the relationship between the 997 transaction set and other response transaction sets, refer to the ASC X12 document "Reference Model for the Acknowledgement and Tracking of EDI Interchanges".

1.5 Business Terminology

No special business terms are used in this implementation guide.

1.6 Transaction Acknowledgments

There are several acknowledgement transactions available for use. The recommendations of the implementation guide authors are noted in this section. Other acknowledgement transactions may be used at the discretion of the trading partners.

1.6.1 997 Functional Acknowledgment

The 997 informs the submitter that the functional group arrived at the destination. It may include information about the syntactical quality of the functional group.

The Functional Acknowledgment (997) transaction is not required as a response to receipt of a batch transaction compliant with this implementation guide.

The Functional Acknowledgment (997) transaction is not required as a response to receipt of a real-time transaction compliant with this implementation guide.

1.6.2 999 Implementation Acknowledgment

The 999 informs the submitter that the functional group arrived at the destination. It may include information about the syntactical quality of the functional group and the implementation guide compliance.

The Functional Acknowledgment (999) transaction is not required as a response to receipt of a batch transaction compliant with this implementation guide.

The Functional Acknowledgment (999) transaction is not required as a response to receipt of a real-time transaction compliant with this implementation guide.

1.6.3 824 Application Advice

The 824 informs the submitter that the transaction set arrived at the destination. It may include information about the syntactical quality of the transaction set and the implementation guide compliance.

The Application Advice (824) transaction is not required as a response to receipt of a batch transaction compliant with this implementation guide.

The Application Advice (824) transaction is not required as a response to receipt of a real-time transaction compliant with this implementation guide.

1.7 Related Transactions

There are no transactions related to the transactions described in this implementation guide.

1.8 Trading Partner Agreements

Trading partner agreements are used to establish and document the relationship between trading partners. A trading partner agreement must not override the specifications in this implementation guide if a transmission is reported in GS08 to be a product of this implementation guide

1.9 Data Overview

1.9.1 Overall Data Architecture

NOTE

See Appendix B, Nomenclature, to review the transaction set structure, including descriptions of segments, data elements, levels and loops.

1.9.1.1 Response Process

The following informational flow shows how the 997 transaction set is used with other X12 response transactions.

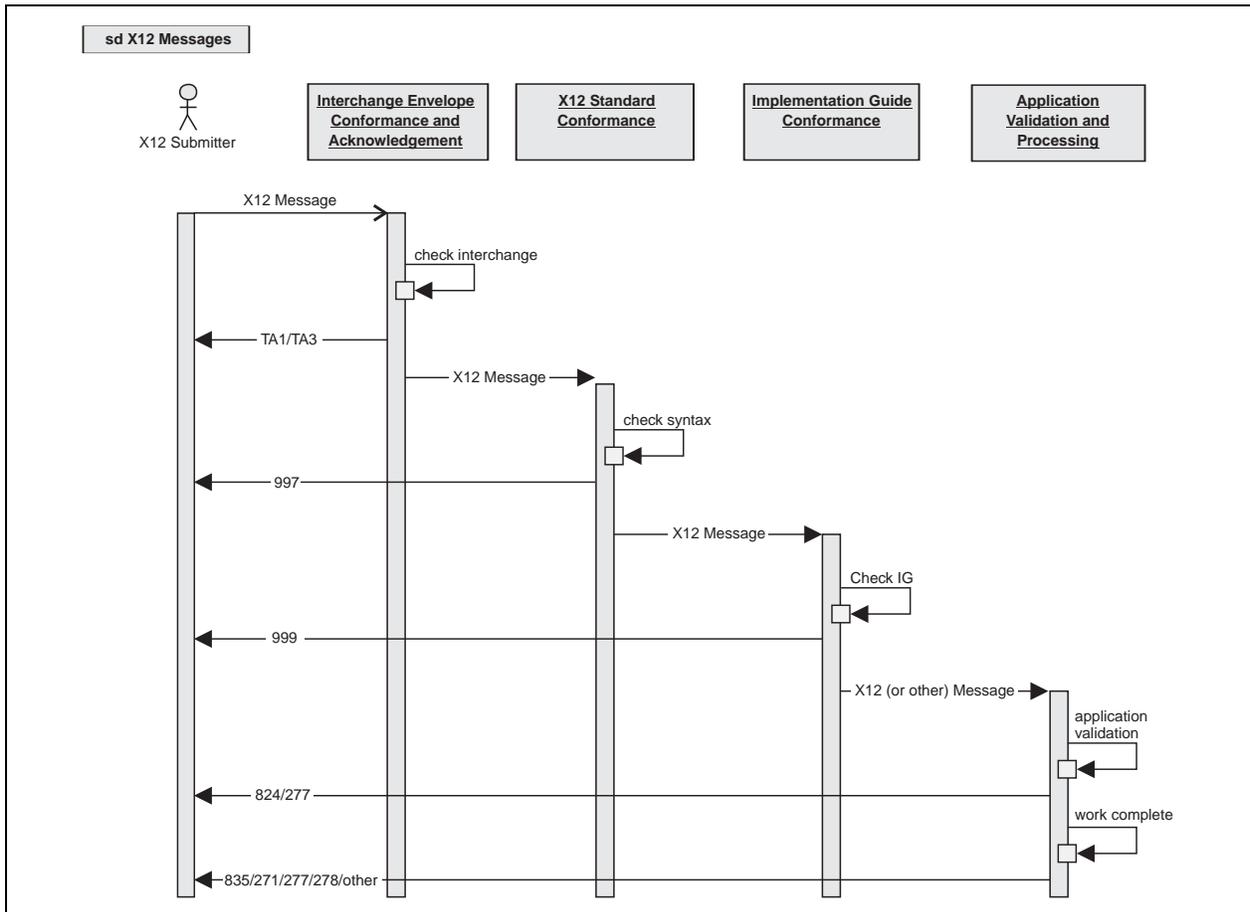


Figure 1.1. Information Flow

For more information on the relationship between the 997 transaction set and other response transaction sets, refer to the ASC X12 document "Reference Model for the Acknowledgement and Tracking of EDI Interchanges".

2 Transaction Set

NOTE

See Appendix B, Nomenclature, to review the transaction set structure, including descriptions of segments, data elements, levels, and loops.

2.1 Presentation Examples

The ASC X12 standards are generic. For example, multiple trading communities use the same PER segment to specify administrative communication contacts. Each community decides which elements to use and which code values in those elements are applicable.

In this implementation guide, **IMPLEMENTATION** specifies the requirements for this implementation. **X12 STANDARD** is included as a reference only.

The transaction set presentation is comprised of two main sections with subsections within the main sections:

2.3 Transaction Set Listing

There are two sub-sections under this general title. The first sub-section concerns this implementation of a generic X12 transaction set. The second sub-section concerns the generic X12 standard itself.

IMPLEMENTATION

This section lists the levels, loops, and segments contained in this implementation. It also serves as an index to the segment detail.

STANDARD

This section is included as a reference.

2.4 Segment Detail

There are three sub-sections under this general title. This section repeats once for each segment used in this implementation providing segment specific detail and X12 standard detail.

SEGMENT DETAIL

This section is included as a reference.

DIAGRAM

This section is included as a reference. It provides a pictorial view of the standard and shows which elements are used in this implementation.

ELEMENT DETAIL

This section specifies the implementation details of each data element.

These illustrations (Figures 2.1 through 2.5) are examples and are not extracted from the Section 2 detail in this implementation guide. Annotated illustrations, presented below in the same order they appear in this implementation guide, describe the format of the transaction set that follows.

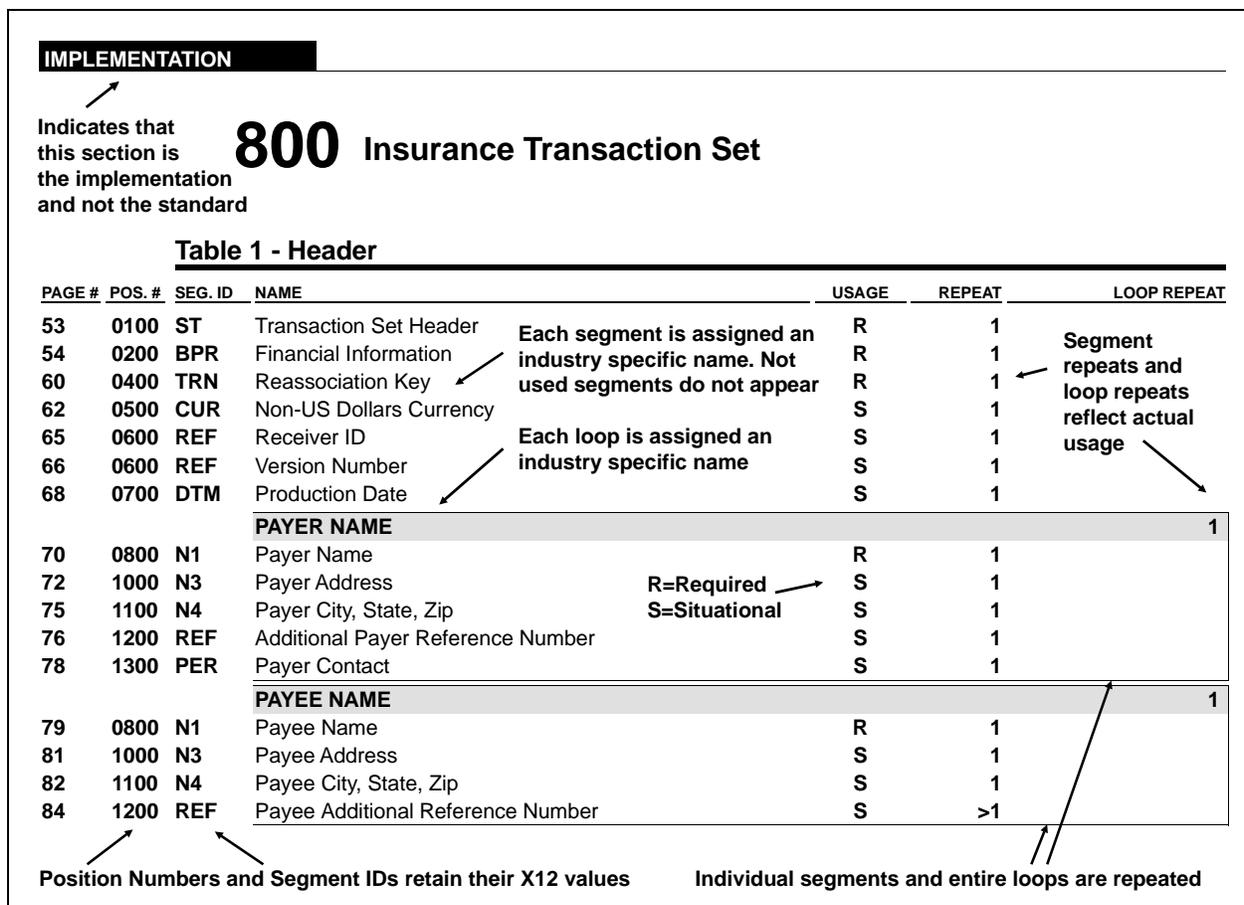


Figure 2.1. Transaction Set Key — Implementation

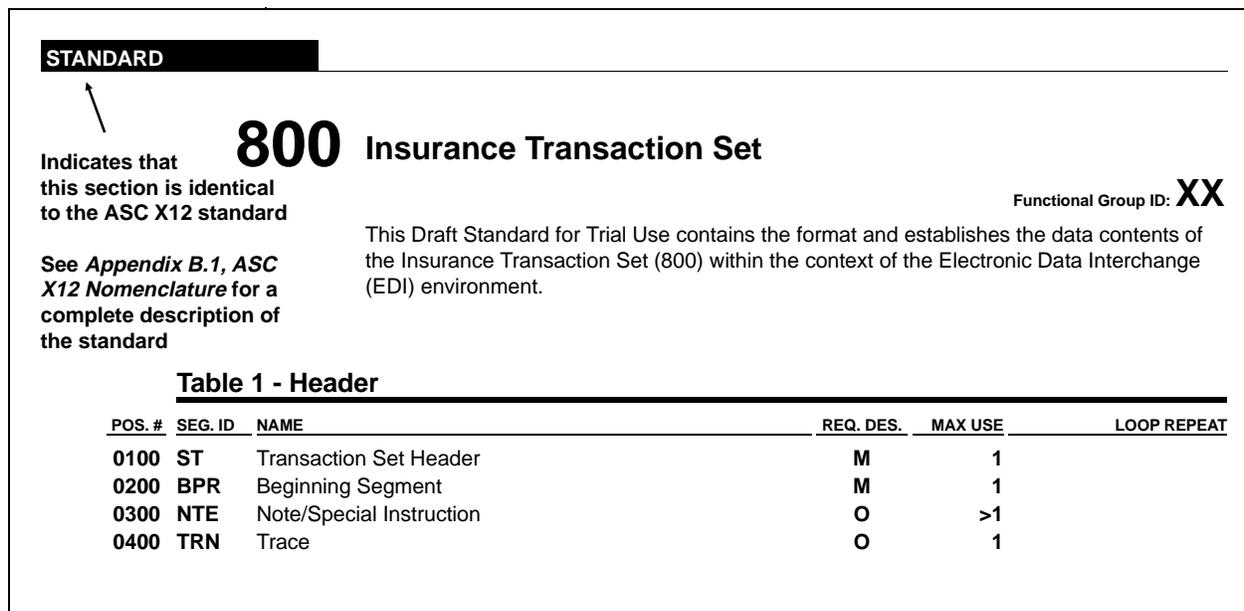


Figure 2.2. Transaction Set Key — Standard

SEGMENT DETAIL	
Industry assigned Segment Name	NM1 - PATIENT NAME
X12 Segment Name:	Individual or Organizational Name
X12 Purpose:	To supply the full name of an individual or organizational entity
X12 Syntax:	<ol style="list-style-type: none"> P0809 If either NM108 or NM109 is present, then the other is required. C1110 If NM111 is present, then NM110 is required. C1203 If NM112 is present, then NM103 is required.
Industry assigned Loop ID and Loop Name	Loop: 2100B — PATIENT NAME Loop Repeat: 1
Industry Segment Repeat	Segment Repeat: 1
Industry usage	Usage: SITUATIONAL
Situational Rule	Situational Rule: Required when the patient is different from the insured. If not required by this implementation guide, do not send.
Industry Notes	TR3 Notes: 1. Any necessary identification number should be provided in NM109.
Example	TR3 Example: NM1*QC*1*Shepard*Sam*A***34*452114586~

Figure 2.3. Segment Key — Implementation

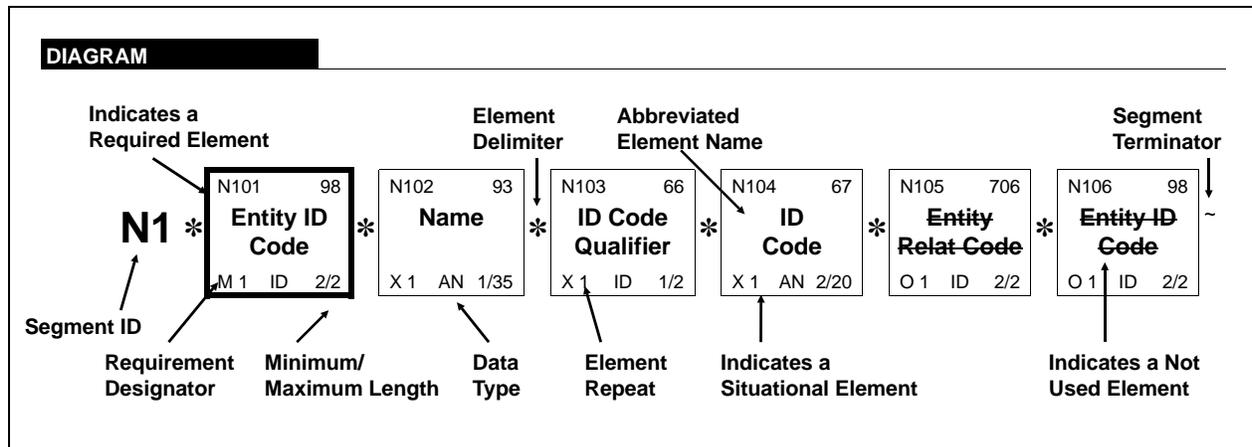


Figure 2.4. Segment Key — Diagram

ELEMENT DETAIL												
USAGE	REF. DES.	DATA ELEMENT	NAME	Element Repeat	ATTRIBUTES							
REQUIRED	SVC01	C003	COMPOSITE MEDICAL PROCEDURE IDENTIFIER To identify a medical procedure by its standardized codes and applicable modifiers Use the Primary Payer's adjudicated Medical Procedure Code.	M 1								
	Reference Designator	Composite Number										
REQUIRED	SVC01 - 1	235	Product/Service ID Qualifier Code identifying the type/source of the descriptive number used in Product/Service ID (234) IMPLEMENTATION NAME: Product or Service ID Qualifier The value in SVC01-1 qualifies the values in SVC01-2, SVC01-3, SVC01-4, SVC01-5, and SVC01-6.	M ID 2/2								
	Industry Usage: See the following page for complete descriptions	Industry Note										
		Selected Code Values	<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>AD</td> <td>American Dental Association Codes CODE SOURCE 135: American Dental Association</td> </tr> <tr> <td>HP</td> <td>Health Insurance Prospective Payment System (HIPPS) Skilled Nursing Facility Rate Code CODE SOURCE 716: Health Insurance Prospective Payment System (HIPPS) Rate Code for Skilled Nursing Facilities</td> </tr> </tbody> </table>	CODE	DEFINITION	AD	American Dental Association Codes CODE SOURCE 135: American Dental Association	HP	Health Insurance Prospective Payment System (HIPPS) Skilled Nursing Facility Rate Code CODE SOURCE 716: Health Insurance Prospective Payment System (HIPPS) Rate Code for Skilled Nursing Facilities			
CODE	DEFINITION											
AD	American Dental Association Codes CODE SOURCE 135: American Dental Association											
HP	Health Insurance Prospective Payment System (HIPPS) Skilled Nursing Facility Rate Code CODE SOURCE 716: Health Insurance Prospective Payment System (HIPPS) Rate Code for Skilled Nursing Facilities											
	See Appendix A for external code source reference											
REQUIRED	SVC01 - 2	234	Product/Service ID Identifying number for a product or service	M AN 1/48								
NOT USED	SVC01 - 3	1339	Procedure Modifier	O AN 2/2								
NOT USED	SVC01 - 4	1339	Procedure Modifier	O AN 2/2								
NOT USED	SVC01 - 5	1339	Procedure Modifier	O AN 2/2								
NOT USED	SVC01 - 6	1339	Procedure Modifier	O AN 2/2								
NOT USED	SVC01 - 7	352	Description	O AN 1/80								
REQUIRED	SVC02	782	Monetary Amount Monetary amount SEMANTIC: SVC02 is the submitted service charge. This value can not be negative.	M 1 R 1/18								
	Data Element Number											
NOT USED	SVC03	782	Monetary Amount	O 1 R 1/18								
SITUATIONAL	SVC04	234	Product/Service ID Identifying number for a product or service SEMANTIC: SVC04 is the National Uniform Billing Committee Revenue Code. SITUATIONAL RULE: Required when an NUBC revenue code was considered during adjudication in addition to a procedure code already identified in SVC01. If not required by this implementation guide, do not send. IMPLEMENTATION NAME: National Uniform Billing Committee Revenue Code	O 1 AN 1/48								
	X12 Semantic Note											
	Situational Rule											
	Implementation Name See Appendix E for definition											

Figure 2.5. Segment Key — Element Summary

2.2 Implementation Usage

2.2.1 Industry Usage

Industry Usage describes when loops, segments, and elements are to be sent when complying with this implementation guide. The three choices for Usage are required, not used, and situational. To avoid confusion, these are named differently than the X12 standard Condition Designators (mandatory, optional, and relational).

Required This loop/segment/element must always be sent.

Required segments in Situational loops only occur when the loop is used.

Required elements in Situational segments only occur when the segment is used.

Required component elements in Situational composite elements only occur when the composite element is used.

Not Used This element must never be sent.

Situational Use of this loop/segment/element varies, depending on data content and business context as described in the defining rule. The defining rule is documented in a Situational Rule attached to the item.

There are two forms of Situational Rules.

The first form is "Required when <explicit condition statement>. If not required by this implementation guide, may be provided at the sender's discretion, but cannot be required by the receiver." The data qualified by such a situational rule cannot be required or requested by the receiver, transmission of this data is solely at the sender's discretion.

The alternative form is "Required when <explicit condition statement>. If not required by this implementation guide, do not send." The data qualified by such a situational rule cannot be sent except as described in the explicit condition statement.

2.2.2 Transaction Compliance Related to Industry Usage

A transmitted transaction complies with an implementation guide when it satisfies the requirements as defined within the implementation guide. The presence or absence of an item (loop, segment, or element) complies with the industry usage specified by this implementation guide according to the following table.

Industry Usage	Business Condition is	Item is	Transaction Complies with Implementation Guide?
Required	N/A	Sent	Yes
		Not Sent	No
Not Used	N/A	Sent	No
		Not Sent	Yes
Situational (Required when <explicit condition statement>. If not required by this implementation guide, may be provided at the sender's discretion, but cannot be required by the receiver.)	True	Sent	Yes
		Not Sent	No
	Not True	Sent	Yes
		Not Sent	Yes
Situational (Required when <explicit condition statement>. If not required by this implementation guide, do not send.)	True	Sent	Yes
		Not Sent	No
	Not True	Sent	No
		Not Sent	Yes

This table specifies how an entity is to evaluate a transmitted transaction for compliance with industry usage. It is not intended to require or imply that the receiver must reject non-compliant transactions. The receiver will handle non-compliant transactions based on its business process and any applicable regulations.

2.2.3 Loops

Loop requirements depend on the context or location of the loop within the transaction. See Appendix B for more information on loops.

- A nested loop can be used only when the associated higher level loop is used.
- The usage of a loop is the same as the usage of its beginning segment.
 - If a loop's beginning segment is Required, the loop is Required and must occur at least once unless it is nested in a loop that is not being used.
 - If a loop's beginning segment is Situational, the loop is Situational.
- Subsequent segments within a loop can be sent only when the beginning segment is used.
- Required segments in Situational loops occur only when the loop is used.

2.3 Transaction Set Listing

2.3.1 Implementation

This section lists the levels, loops, and segments contained in this implementation. It also serves as an index to the segment detail. Refer to section 2.1 Presentation Examples for detailed information on the components of the Implementation section.

IMPLEMENTATION**997** Functional Acknowledgment**Table 1 - Header**

PAGE #	POS. #	SEG. ID	NAME	USAGE	REPEAT	LOOP REPEAT
20	0100	ST	Transaction Set Header	R	1	
22	0200	AK1	Functional Group Response Header	R	1	
LOOP ID - 2000 AK2 TRANSACTION SET RESPONSE						999999
24	0300	AK2	AK2 Transaction Set Response	S	1	
LOOP ID - 2100 AK2/AK3 ERROR IDENTIFICATION						999999
26	0400	AK3	AK2/AK3 Error Identification	S	1	
28	0500	AK4	Data Element Note	S	99	
30	0600	AK5	Transaction Set Response	R	1	
35	0700	AK9	Functional Group Response Trailer	R	1	
40	0800	SE	Transaction Set Trailer	R	1	

2.3.2 X12 Standard

This section is included as a reference. The implementation guide reference clarifies actual usage. Refer to section 2.1 Presentation Examples for detailed information on the components of the X12 Standard section.

STANDARD

997 Functional Acknowledgment

Functional Group ID: **FA**

This X12 Transaction Set contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Table 1 - Header

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
0100	ST	Transaction Set Header	M	1	
0200	AK1	Functional Group Response Header	M	1	
LOOP ID - AK2					>1
0300	AK2	Transaction Set Response Header	O	1	
LOOP ID - AK2/AK3					>1
0400	AK3	Data Segment Note	O	1	
0500	AK4	Data Element Note	O	99	
0600	AK5	Transaction Set Response Trailer	M	1	
0700	AK9	Functional Group Response Trailer	M	1	
0800	SE	Transaction Set Trailer	M	1	

NOTES:

- 1/0100** These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
- 1/0100** There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- 1/0100** Only one acknowledgement, either a single Transaction Set 997 or a single Transaction Set 999, should be generated for a functional group unless mutually agreed upon.
- 1/0200** AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- 1/0200** The Functional Acknowledgment is generated at the point of translation, intended for the originator (not any intermediate parties).
- 1/0200** The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.
- 1/0300** AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.
- 1/0400** The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

2.4 Segment Detail

This section specifies the segments, data elements, and codes for this implementation. Refer to section 2.1 Presentation Examples for detailed information on the components of the Segment Detail section.

SEGMENT DETAIL

ST - TRANSACTION SET HEADER

X12 Segment Name: Transaction Set Header

X12 Purpose: To indicate the start of a transaction set and to assign a control number

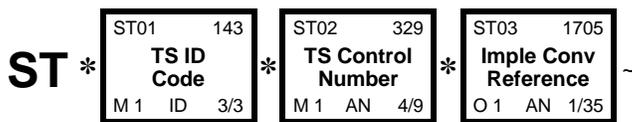
- X12 Set Notes:**
1. These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
 2. There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
 3. Only one acknowledgement, either a single Transaction Set 997 or a single Transaction Set 999, should be generated for a functional group unless mutually agreed upon.

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: ST*997*0001*005010X230~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set	M 1 ID 3/3				
<p>SEMANTIC: The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).</p> <table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>997</td> <td>Functional Acknowledgment</td> </tr> </tbody> </table>					CODE	DEFINITION	997	Functional Acknowledgment
CODE	DEFINITION							
997	Functional Acknowledgment							
REQUIRED	ST02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M 1 AN 4/9				
<p>The Transaction Set Control Numbers in ST02 and SE02 must be identical. The number is assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number 0001 and increment from there.</p>								

REQUIRED	ST03	1705	Implementation Convention Reference	O 1 AN	1/35
-----------------	-------------	-------------	--------------------------------------------	---------------	-------------

Reference assigned to identify Implementation Convention

SEMANTIC: The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition. When used, this implementation convention reference takes precedence over the implementation reference specified in the GS08.

This field contains the same value as data element GS08. This value is always 005010X230. Some translator products strip off the ISA and GS segments prior to application processing. Providing the information from GS08 at this level will help ensure the appropriate application mapping is utilized at translation time.

SEGMENT DETAIL

AK1 - FUNCTIONAL GROUP RESPONSE HEADER

X12 Segment Name: Functional Group Response Header

X12 Purpose: To start acknowledgment of a functional group

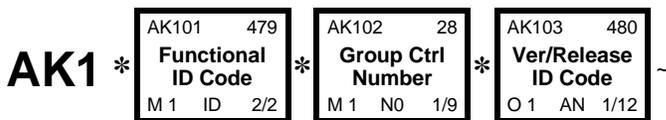
- X12 Set Notes:**
1. AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
 2. The Functional Acknowledgement is generated at the point of translation, intended for the originator (not any intermediate parties).
 3. The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: AK1*0001*004010~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK101	479	Functional Identifier Code Code identifying a group of application related transaction sets SEMANTIC: AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged. Use the value in GS01 from the functional group to which this 997 transaction set is responding.	M 1 ID 2/2
REQUIRED	AK102	28	Group Control Number Assigned number originated and maintained by the sender SEMANTIC: AK102 is the functional group control number found in the GS segment in the functional group being acknowledged. Use the value in GS06 from the functional group to which this 997 transaction set is responding.	M 1 N0 1/9

REQUIRED	AK103	480	Version / Release / Industry Identifier Code	O 1 AN 1/12
			Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed	
			SEMANTIC: AK103 is the version release industry identifier code in the GS segment (GS08) in the functional group being acknowledged.	
			CODE SOURCE 881: Version / Release / Industry Identifier Code	
			Use the value in GS08 from the functional group to which this 997 transaction set is responding.	

SEGMENT DETAIL

AK2 - AK2 TRANSACTION SET RESPONSE

X12 Segment Name: Transaction Set Response Header

X12 Purpose: To start acknowledgment of a single transaction set

X12 Set Notes: 1. AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Loop: 2000 — AK2 TRANSACTION SET RESPONSE **Loop Repeat:** 999999

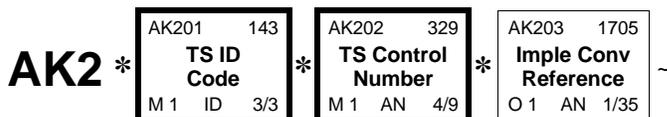
Segment Repeat: 1

Usage: SITUATIONAL

Situational Rule: Required when an error is present in a transaction set contained in the functional group to which this 997 transaction set is responding. If not required by this implementation guide, may be provided at the sender's discretion but cannot be required by the receiver.

TR3 Example: AK2*0001~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK201	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set SEMANTIC: AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged. Use the value in ST01 from the transaction set to which this 997 transaction set is responding.	M 1 ID 3/3
REQUIRED	AK202	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set SEMANTIC: AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged. Use the value in ST02 from the transaction set to which this 997 transaction set is responding.	M 1 AN 4/9

SITUATIONAL **AK203** **1705** **Implementation Convention Reference** **O 1 AN** **1/35**

Reference assigned to identify Implementation Convention

SEMANTIC: AK203 is the implementation convention reference, if any, found in the ST segment (ST03) in the transaction set being acknowledged.

SITUATIONAL RULE: *Required when the ST03 value is available in the transaction set to which this 997 transaction set is responding. If not required by this implementation guide, do not send.*

When used, this is the value in ST03 from the transaction set to which this 997 transaction set is responding.

SEGMENT DETAIL

AK3 - AK2/AK3 ERROR IDENTIFICATION

X12 Segment Name: Data Segment Note

X12 Purpose: To report errors in a data segment and identify the location of the data segment

X12 Set Notes: 1. The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

Loop: 2100 — AK2/AK3 ERROR IDENTIFICATION **Loop Repeat:** 999999

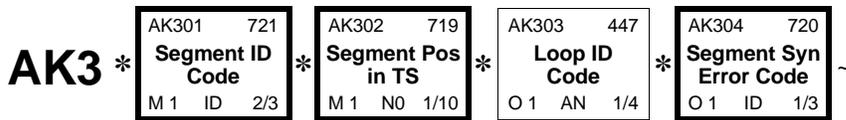
Segment Repeat: 1

Usage: SITUATIONAL

Situational Rule: Required when an error is present in the transaction set identified in this AK2 loop and the location of the data segment containing the error can be identified by the submitter of this 997. If not required by this implementation guideline, do not send.

TR3 Example: AK3*27**3~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK301	721	Segment ID Code Code defining the segment ID of the data segment in error (See Appendix A - Number 77) CODE SOURCE 77: X12 Directories	M 1 ID 2/3
REQUIRED	AK302	719	Segment Position in Transaction Set The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1	M 1 NO 1/10
SITUATIONAL	AK303	447	Loop Identifier Code The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE	O 1 AN 1/4
<p>SITUATIONAL RULE: <i>Required when the data segment containing the error is within a loop and the loop identifier is known by the submitter of this 997. If not required by this implementation guideline, do not send.</i></p>				

REQUIRED **AK304** **720** **Segment Syntax Error Code** **O 1 ID** **1/3**

Code indicating error found based on the syntax editing of a segment

<u>CODE</u>	<u>DEFINITION</u>
1	Unrecognized segment ID
2	Unexpected segment
3	Mandatory segment missing
4	Loop Occurs Over Maximum Times
5	Segment Exceeds Maximum Use
6	Segment Not in Defined Transaction Set
7	Segment Not in Proper Sequence
8	Segment Has Data Element Errors

SEGMENT DETAIL

AK4 - DATA ELEMENT NOTE

X12 Segment Name: Data Element Note

X12 Purpose: To report errors in a data element or composite data structure and identify the location of the data element

Loop: 2100 — AK2/AK3 ERROR IDENTIFICATION

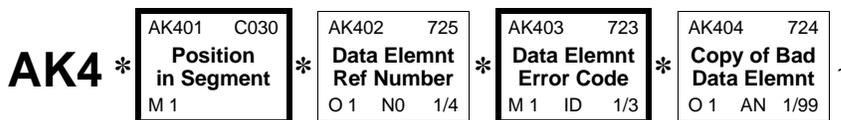
Segment Repeat: 99

Usage: SITUATIONAL

Situational Rule: Required when the error in the segment described in the AK3 segment applies to a data element and the location of the data element containing the error can be identified by the submitter of the 997. If not required by this implementation guideline, do not send.

TR3 Example: AK4*2**1~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK401	C030	POSITION IN SEGMENT	M 1 Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator
REQUIRED	AK401 - 1	722	Element Position in Segment	M N0 1/2 This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID
SITUATIONAL	AK401 - 2	1528	Component Data Element Position in Composite	O N0 1/2 To identify the component data element position within the composite that is in error
<p>SITUATIONAL RULE: <i>Required when the error described in this segment relates to a component data element within a composite data structure. If not required, do not send.</i></p>				

SITUATIONAL AK401 - 3 1686 **Repeating Data Element Position** O N0 1/4
 To identify the specific repetition of a data element that is in error

SITUATIONAL RULE: *Required when the error described in this segment relates to a repeating data element. If not required, do not send.*

SITUATIONAL AK402 725 **Data Element Reference Number** O 1 N0 1/4
 Reference number used to locate the data element in the Data Element Dictionary

SITUATIONAL RULE: *Required when the data element reference number for the errored data is known. If not required, do not send.*

CODE SOURCE 77: X12 Directories

REQUIRED AK403 723 **Data Element Syntax Error Code** M 1 ID 1/3
 Code indicating the error found after syntax edits of a data element

CODE	DEFINITION
1	Mandatory data element missing
2	Conditional required data element missing.
3	Too many data elements.
4	Data element too short.
5	Data element too long.
6	Invalid character in data element.
7	Invalid code value.
8	Invalid Date
9	Invalid Time
10	Exclusion Condition Violated
12	Too Many Repetitions
13	Too Many Components

SITUATIONAL AK404 724 **Copy of Bad Data Element** O 1 AN 1/99
 This is a copy of the data element in error

SEMANTIC: In no case shall a value be used for AK404 that would generate a syntax error, e.g., an invalid character.

SITUATIONAL RULE: *Required unless invalid characters are present or data is missing. If not required by this implementation guide, do not send.*

SEGMENT DETAIL

AK5 - TRANSACTION SET RESPONSE

X12 Segment Name: Transaction Set Response Trailer

X12 Purpose: To acknowledge acceptance or rejection and report errors in a transaction set

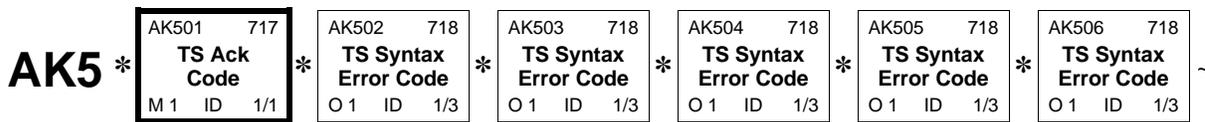
Loop: 2000 — AK2 TRANSACTION SET RESPONSE

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: AK5*R*5~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK501	717	Transaction Set Acknowledgment Code Code indicating accept or reject condition based on the syntax editing of the transaction set	M 1 ID 1/1
			CODE	DEFINITION
			A	Accepted
			E	Accepted But Errors Were Noted
				The transaction set indicated in this AK2 loop contained errors, but was forwarded for further processing.
			M	Rejected, Message Authentication Code (MAC) Failed
			R	Rejected
				The transaction set indicated in this AK2 loop contained errors, and was NOT forwarded for further processing. It will need to be corrected and resubmitted.
			W	Rejected, Assurance Failed Validity Tests
			X	Rejected, Content After Decryption Could Not Be Analyzed
SITUATIONAL	AK502	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set	O 1 ID 1/3
			SITUATIONAL RULE: <i>Required when AK501 = E or R. If not required by this implementation guide, do not send.</i>	
			CODE	DEFINITION
			1	Transaction Set Not Supported
			2	Transaction Set Trailer Missing

- 3 Transaction Set Control Number in Header and Trailer Do Not Match
- 4 Number of Included Segments Does Not Match Actual Count
- 5 One or More Segments in Error
- 6 Missing or Invalid Transaction Set Identifier
- 7 Missing or Invalid Transaction Set Control Number
- 8 Authentication Key Name Unknown
- 9 Encryption Key Name Unknown
- 10 Requested Service (Authentication or Encrypted) Not Available
- 11 Unknown Security Recipient
- 12 Incorrect Message Length (Encryption Only)
- 13 Message Authentication Code Failed
- 15 Unknown Security Originator
- 16 Syntax Error in Decrypted Text
- 17 Security Not Supported
- 18 Transaction Set not in Functional Group
- 19 Invalid Transaction Set Implementation Convention Reference
- 23 Transaction Set Control Number Not Unique within the Functional Group
- 24 S3E Security End Segment Missing for S3S Security Start Segment
- 25 S3S Security Start Segment Missing for S3E Security End Segment
- 26 S4E Security End Segment Missing for S4S Security Start Segment
- 27 S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL

AK503

718

Transaction Set Syntax Error Code O 1 ID 1/3
 Code indicating error found based on the syntax editing of a transaction set

SITUATIONAL RULE: *Required when AK501 = E or R, and AK502 has been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
8	Authentication Key Name Unknown
9	Encryption Key Name Unknown

- 10 Requested Service (Authentication or Encrypted) Not Available
- 11 Unknown Security Recipient
- 12 Incorrect Message Length (Encryption Only)
- 13 Message Authentication Code Failed
- 15 Unknown Security Originator
- 16 Syntax Error in Decrypted Text
- 17 Security Not Supported
- 18 Transaction Set not in Functional Group
- 19 Invalid Transaction Set Implementation Convention Reference
- 23 Transaction Set Control Number Not Unique within the Functional Group
- 24 S3E Security End Segment Missing for S3S Security Start Segment
- 25 S3S Security Start Segment Missing for S3E Security End Segment
- 26 S4E Security End Segment Missing for S4S Security Start Segment
- 27 S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL AK504 718

Transaction Set Syntax Error Code O 1 ID 1/3
Code indicating error found based on the syntax editing of a transaction set

SITUATIONAL RULE: *Required when AK501 = E or R, and AK502 and AK503 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
8	Authentication Key Name Unknown
9	Encryption Key Name Unknown
10	Requested Service (Authentication or Encrypted) Not Available
11	Unknown Security Recipient
12	Incorrect Message Length (Encryption Only)
13	Message Authentication Code Failed
15	Unknown Security Originator
16	Syntax Error in Decrypted Text
17	Security Not Supported
18	Transaction Set not in Functional Group

- 19 Invalid Transaction Set Implementation Convention Reference
- 23 Transaction Set Control Number Not Unique within the Functional Group
- 24 S3E Security End Segment Missing for S3S Security Start Segment
- 25 S3S Security Start Segment Missing for S3E Security End Segment
- 26 S4E Security End Segment Missing for S4S Security Start Segment
- 27 S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL AK505 718

Transaction Set Syntax Error Code O 1 ID 1/3
 Code indicating error found based on the syntax editing of a transaction set

SITUATIONAL RULE: *Required when AK501 = E or R, and AK502, AK503, and AK504 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
8	Authentication Key Name Unknown
9	Encryption Key Name Unknown
10	Requested Service (Authentication or Encrypted) Not Available
11	Unknown Security Recipient
12	Incorrect Message Length (Encryption Only)
13	Message Authentication Code Failed
15	Unknown Security Originator
16	Syntax Error in Decrypted Text
17	Security Not Supported
18	Transaction Set not in Functional Group
19	Invalid Transaction Set Implementation Convention Reference
23	Transaction Set Control Number Not Unique within the Functional Group
24	S3E Security End Segment Missing for S3S Security Start Segment
25	S3S Security Start Segment Missing for S3E Security End Segment

			26	S4E Security End Segment Missing for S4S Security Start Segment		
			27	S4S Security Start Segment Missing for S4E Security End Segment		
SITUATIONAL	AK506	718		Transaction Set Syntax Error Code	O 1	ID 1/3
				Code indicating error found based on the syntax editing of a transaction set		

SITUATIONAL RULE: *Required when AK501 = E or R, and AK502, AK503, AK504, and AK505 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
8	Authentication Key Name Unknown
9	Encryption Key Name Unknown
10	Requested Service (Authentication or Encrypted) Not Available
11	Unknown Security Recipient
12	Incorrect Message Length (Encryption Only)
13	Message Authentication Code Failed
15	Unknown Security Originator
16	Syntax Error in Decrypted Text
17	Security Not Supported
18	Transaction Set not in Functional Group
19	Invalid Transaction Set Implementation Convention Reference
23	Transaction Set Control Number Not Unique within the Functional Group
24	S3E Security End Segment Missing for S3S Security Start Segment
25	S3S Security Start Segment Missing for S3E Security End Segment
26	S4E Security End Segment Missing for S4S Security Start Segment
27	S4S Security Start Segment Missing for S4E Security End Segment

SEGMENT DETAIL

AK9 - FUNCTIONAL GROUP RESPONSE TRAILER

X12 Segment Name: Functional Group Response Trailer

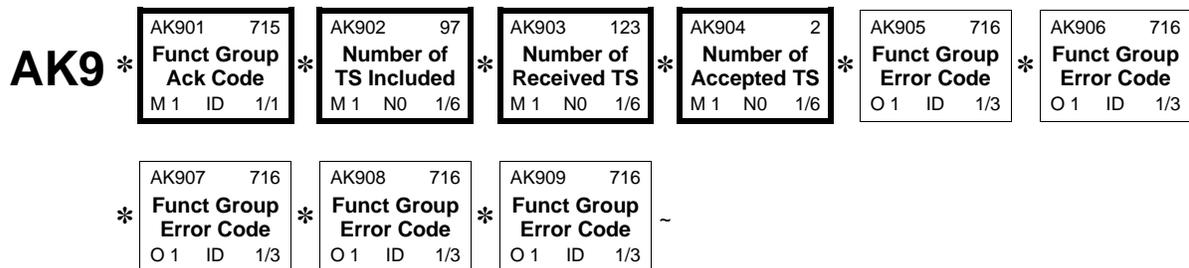
X12 Purpose: To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: AK9*R*1*1*0~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK901	715	Functional Group Acknowledge Code	M 1 ID 1/1
			Code indicating accept or reject condition based on the syntax editing of the functional group	
			COMMENT: If AK901 contains the value "A" or "E", then the transmitted functional group is accepted.	
			CODE	DEFINITION
			A	Accepted
			E	Accepted, But Errors Were Noted.
				The functional group indicated in this 997 transaction set contained errors, but was forwarded for further processing.
			M	Rejected, Message Authentication Code (MAC) Failed
			P	Partially Accepted, At Least One Transaction Set Was Rejected
			R	Rejected
				The functional group indicated in this 997 transaction set contained errors, and was NOT forwarded for further processing. It will need to be corrected and resubmitted.
			W	Rejected, Assurance Failed Validity Tests

			X	Rejected, Content After Decryption Could Not Be Analyzed			
REQUIRED	AK902	97		Number of Transaction Sets Included	M 1	N0	1/6
				Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element			
REQUIRED	AK903	123		Number of Received Transaction Sets	M 1	N0	1/6
				Number of Transaction Sets received			
REQUIRED	AK904	2		Number of Accepted Transaction Sets	M 1	N0	1/6
				Number of accepted Transaction Sets in a Functional Group			
SITUATIONAL	AK905	716		Functional Group Syntax Error Code	O 1	ID	1/3
				Code indicating error found based on the syntax editing of the functional group header and/or trailer			

SITUATIONAL RULE: *Required when AK901 = E or R, and the error is at the functional group level. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax
10	Authentication Key Name Unknown
11	Encryption Key Name Unknown
12	Requested Service (Authentication or Encryption) Not Available
13	Unknown Security Recipient
14	Unknown Security Originator
15	Syntax Error in Decrypted Text
16	Security Not Supported
17	Incorrect Message Length (Encryption Only)
18	Message Authentication Code Failed
19	Functional Group Control Number not Unique within Interchange
23	S3E Security End Segment Missing for S3S Security Start Segment
24	S3S Security Start Segment Missing for S3E End Segment
25	S4E Security End Segment Missing for S4S Security Start Segment
26	S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL **AK906** **716** **Functional Group Syntax Error Code** **O 1 ID 1/3**
 Code indicating error found based on the syntax editing of the functional group header and/or trailer

SITUATIONAL RULE: *Required when AK901 = E or R, and AK905 has been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax
10	Authentication Key Name Unknown
11	Encryption Key Name Unknown
12	Requested Service (Authentication or Encryption) Not Available
13	Unknown Security Recipient
14	Unknown Security Originator
15	Syntax Error in Decrypted Text
16	Security Not Supported
17	Incorrect Message Length (Encryption Only)
18	Message Authentication Code Failed
19	Functional Group Control Number not Unique within Interchange
23	S3E Security End Segment Missing for S3S Security Start Segment
24	S3S Security Start Segment Missing for S3E End Segment
25	S4E Security End Segment Missing for S4S Security Start Segment
26	S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL **AK907** **716** **Functional Group Syntax Error Code** **O 1 ID 1/3**
 Code indicating error found based on the syntax editing of the functional group header and/or trailer

SITUATIONAL RULE: *Required when AK901 = E or R, and AK905 and AK906 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree

- 5 Number of Included Transaction Sets Does Not Match Actual Count
- 6 Group Control Number Violates Syntax
- 10 Authentication Key Name Unknown
- 11 Encryption Key Name Unknown
- 12 Requested Service (Authentication or Encryption) Not Available
- 13 Unknown Security Recipient
- 14 Unknown Security Originator
- 15 Syntax Error in Decrypted Text
- 16 Security Not Supported
- 17 Incorrect Message Length (Encryption Only)
- 18 Message Authentication Code Failed
- 19 Functional Group Control Number not Unique within Interchange
- 23 S3E Security End Segment Missing for S3S Security Start Segment
- 24 S3S Security Start Segment Missing for S3E End Segment
- 25 S4E Security End Segment Missing for S4S Security Start Segment
- 26 S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL AK908 716

Functional Group Syntax Error Code O 1 ID 1/3
 Code indicating error found based on the syntax editing of the functional group header and/or trailer

SITUATIONAL RULE: *Required when AK901 = E or R, and AK905, AK906, and AK907 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax
10	Authentication Key Name Unknown
11	Encryption Key Name Unknown
12	Requested Service (Authentication or Encryption) Not Available
13	Unknown Security Recipient
14	Unknown Security Originator
15	Syntax Error in Decrypted Text
16	Security Not Supported
17	Incorrect Message Length (Encryption Only)

- 18 Message Authentication Code Failed
- 19 Functional Group Control Number not Unique within Interchange
- 23 S3E Security End Segment Missing for S3S Security Start Segment
- 24 S3S Security Start Segment Missing for S3E End Segment
- 25 S4E Security End Segment Missing for S4S Security Start Segment
- 26 S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL

AK909

716

Functional Group Syntax Error Code O 1 ID 1/3

Code indicating error found based on the syntax editing of the functional group header and/or trailer

SITUATIONAL RULE: *Required when AK901 = E or R, and AK905, AK906, AK907, and AK908 have been used, and there are additional error codes to report. If not required by this implementation guide, do not send.*

CODE	DEFINITION
1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax
10	Authentication Key Name Unknown
11	Encryption Key Name Unknown
12	Requested Service (Authentication or Encryption) Not Available
13	Unknown Security Recipient
14	Unknown Security Originator
15	Syntax Error in Decrypted Text
16	Security Not Supported
17	Incorrect Message Length (Encryption Only)
18	Message Authentication Code Failed
19	Functional Group Control Number not Unique within Interchange
23	S3E Security End Segment Missing for S3S Security Start Segment
24	S3S Security Start Segment Missing for S3E End Segment
25	S4E Security End Segment Missing for S4S Security Start Segment
26	S4S Security Start Segment Missing for S4E Security End Segment

SEGMENT DETAIL

SE - TRANSACTION SET TRAILER

X12 Segment Name: Transaction Set Trailer

X12 Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

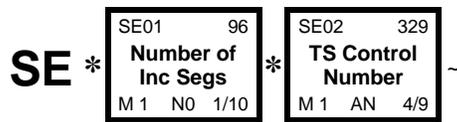
X12 Comments: 1. SE is the last segment of each transaction set.

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: SE*53*0001~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments	M 1 NO 1/10
REQUIRED	SE02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M 1 AN 4/9

3 Example

3.1 EDI Transmission Example

The following example describes a 997 transaction set that is responding to a functional group that was received containing two 837 transaction sets. The first transaction set conformed fully with the X12 standard, while the second contained errors.

The Interchange Control and Functional Group segments (ISA, GS, GE, and IEA) are required in the ASC X12 message. See Appendix C for additional details on these segments.

```
ISA*00*                *00*                *ZZ*123456789
*ZZ*987654321
*041117*1024*U*00501*000000286*0*P*>~
```

```
GS*FA*RCVR*SNDR*20041117*1024*287*X*005010X230~
```

The ST segment indicates the beginning of the 997 transaction set, control number 2870001.

```
ST*997*2870001*005010X230~
```

The AK1 segment describes the functional group to which this 997 is responding.

```
AK1*HC*17456*004010X098A1~
```

The first Transaction Response Loop indicates that the received transaction set, control number 0001, was accepted with no errors.

```
AK2*837*0001~
AK5*A~
```

The second Transaction Response Loop indicates that the received transaction set, control number 0002, was rejected due to a missing CLM01 data element.

```
AK2*837*0002~
AK3*CLM*22**8~
AK4*1*1028*1~
AK5*R*5~
```

The Trailer section provides a summary of the disposition of the received functional group, and ends the transaction set.

```
AK9*P*2*2*1~
SE*11*2870001~
GE*1*287~
IEA*1*000000286~
```


A External Code Sources

77 X12 Directories

SIMPLE DATA ELEMENT/CODE REFERENCES

721, 725

SOURCE

X12.3 Data Element Dictionary
X12.22 Segment Directory

AVAILABLE FROM

Data Interchange Standards Association, Inc. (DISA)
7600 Leesburg Pike
Suite 430
Falls Church, VA 22043

ABSTRACT

The data element dictionary contains the format and descriptions of data elements used to construct X12 segments. It also contains code lists associated with these data elements. The segment directory contains the format and definitions of the data segments used to construct X12 transaction sets.

881 Version / Release / Industry Identifier Code

SIMPLE DATA ELEMENT/CODE REFERENCES

480

SOURCE

Data Interchange Standards Association

AVAILABLE FROM

Data Interchange Standards Association, Inc. (DISA)
7600 Leesburg Pike
Suite 430
Falls Church, VA 22043

ABSTRACT

Code indicating the version, release, sub-release, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and sub-release, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed.

B Nomenclature

B.1 ASC X12 Nomenclature

B.1.1 Interchange and Application Control Structures

Appendix B is provided as a reference to the X12 syntax, usage, and related information. It is not a full statement of Interchange and Control Structure rules. The full X12 Interchange and Control Structures and other rules (X12.5, X12.6, X12.59, X12 dictionaries, other X12 standards and official documents) apply unless specifically modified in the detailed instructions of this implementation guide (see Section B.1.1.3.1.2 for an example of such a modification).

B.1.1.1 Interchange Control Structure

The transmission of data proceeds according to very strict format rules to ensure the integrity and maintain the efficiency of the interchange. Each business grouping of data is called a transaction set. For instance, a group of benefit enrollments sent from a sponsor to a payer is considered a transaction set.

Each transaction set contains groups of logically related data in units called segments. For instance, the N4 segment used in the transaction set conveys the city, state, ZIP Code, and other geographic information. A transaction set contains multiple segments, so the addresses of the different parties, for example, can be conveyed from one computer to the other. An analogy would be that the transaction set is like a freight train; the segments are like the train's cars; and each segment can contain several data elements the same as a train car can hold multiple crates.

The sequence of the elements within one segment is specified by the ASC X12 standard as well as the sequence of segments in the transaction set. In a more conventional computing environ-

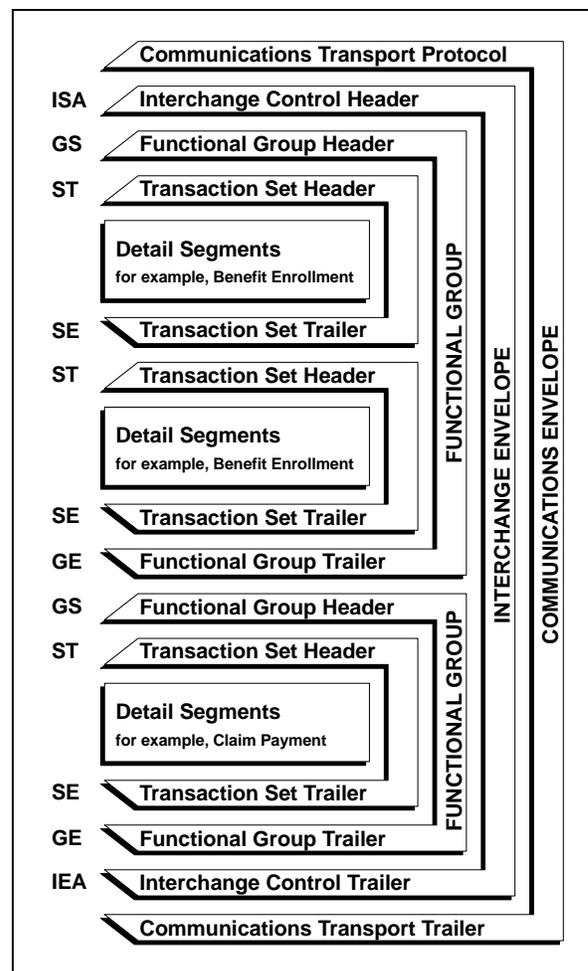


Figure B.1. Transmission Control Schematic

ment, the segments would be equivalent to records, and the elements equivalent to fields.

Similar transaction sets, called “functional groups,” can be sent together within a transmission. Each functional group is prefaced by a group start segment; and a functional group is terminated by a group end segment. One or more functional groups are prefaced by an interchange header and followed by an interchange trailer. Figure B.1., Transmission Control Schematic, illustrates this interchange control.

The interchange header and trailer segments envelop one or more functional groups or interchange-related control segments and perform the following functions:

1. Define the data element separators and the data segment terminator.
2. Identify the sender and receiver.
3. Provide control information for the interchange.
4. Allow for authorization and security information.

B.1.1.2 Application Control Structure Definitions and Concepts

B.1.1.2.1 Basic Structure

A data element corresponds to a data field in data processing terminology. A data segment corresponds to a record in data processing terminology. The data segment begins with a segment ID and contains related data elements. A control segment has the same structure as a data segment; the distinction is in the use. The data segment is used primarily to convey user information, but the control segment is used primarily to convey control information and to group data segments.

B.1.1.2.2 Basic Character Set

The section that follows is designed to have representation in the common character code schemes of EBCDIC, ASCII, and CCITT International Alphabet 5. The ASC X12 standards are graphic-character-oriented; therefore, common character encoding schemes other than those specified herein may be used as long as a common mapping is available. Because the graphic characters have an implied mapping across character code schemes, those bit patterns are not provided here.

The basic character set of this standard, shown in Figure B.2., Basic Character Set, includes those selected from the uppercase letters, digits, space, and special characters as specified below.

A...Z	0...9	!	“	&	'	()	*	+
,	-	.	/	:	;	?	=	“ ” (space)	

Figure B.2. Basic Character Set

B.1.1.2.3

Extended Character Set

An extended character set may be used by negotiation between the two parties and includes the lowercase letters and other special characters as specified in Figure B.3., Extended Character Set.

a..z	%	~	@	[]	_	{
}	\		<	>	#	\$	

Figure B.3. Extended Character Set

Note that the extended characters include several character codes that have multiple graphical representations for a specific bit pattern. The complete list appears in other standards such as CCITT S.5. Use of the USA graphics for these codes presents no problem unless data is exchanged with an international partner. Other problems, such as the translation of item descriptions from English to French, arise when exchanging data with an international partner, but minimizing the use of codes with multiple graphics eliminates one of the more obvious problems.

For implementations compliant with this guide, either the entire extended character set must be acceptable, or the entire extended character set must not be used. In the absence of a specific trading partner agreement to the contrary, trading partners will assume that the extended character set is acceptable. Use of the extended character set allows the use of the “@” character in email addresses within the PER segment. Users should note that characters in the extended character set, as well as the basic character set, may be used as delimiters only when they do not occur in the data as stated in Section B.1.1.2.7.

B.1.1.2.4

Control Characters

Two control character groups are specified; they have restricted usage. The common notation for these groups is also provided, together with the character coding in three common alphabets. In the Matrix B.1., Base Control Set, the column IA5 represents CCITT V.3 International Alphabet 5.

B.1.1.2.4.1

Base Control Set

The base control set includes those characters that will not have a disruptive effect on most communication protocols. These are represented by:

NOTATION	NAME	EBCDIC	ASCII	IA5
BEL	bell	2F	07	07
HT	horizontal tab	05	09	09
LF	line feed	25	0A	0A
VT	vertical tab	0B	0B	0B
FF	form feed	0C	0C	0C
CR	carriage return	0D	0D	0D
FS	file separator	1C	1C	1C
GS	group separator	1D	1D	1D
RS	record separator	1E	1E	1E
US	unit separator	1F	1F	1F
NL	new line	15		

Matrix B.1. Base Control Set

The Group Separator (GS) may be an exception in this set because it is used in the 3780 communications protocol to indicate blank space compression.

B.1.1.2.4.2

Extended Control Set

The extended control set includes those that may have an effect on a transmission system. These are shown in Matrix B.2., Extended Control Set.

NOTATION	NAME	EBCDIC	ASCII	IA5
SOH	start of header	01	01	01
STX	start of text	02	02	02
ETX	end of text	03	03	03
EOT	end of transmission	37	04	04
ENQ	enquiry	2D	05	05
ACK	acknowledge	2E	06	06
DC1	device control 1	11	11	11
DC2	device control 2	12	12	12
DC3	device control 3	13	13	13
DC4	device control 4	3C	14	14
NAK	negative acknowledge	3D	15	15
SYN	synchronous idle	32	16	16
ETB	end of block	26	17	17

Matrix B.2. Extended Control Set

B.1.1.2.5

Delimiters

A delimiter is a character used to separate two data elements or component elements or to terminate a segment. The delimiters are an integral part of the data.

Delimiters are specified in the interchange header segment, ISA. The ISA segment can be considered in implementations compliant with this guide (see Appendix C, ISA Segment Note 1) to be a 105 byte fixed length record, followed by a segment terminator. The data element separator is byte number 4; the repetition separator is byte number 83; the component element separator is byte number 105; and the segment terminator is the byte that immediately follows the component element separator.

Once specified in the interchange header, the delimiters are not to be used in a data element value elsewhere in the interchange. For consistency, this implementation guide uses the delimiters shown in Matrix B.3., Delimiters, in all examples of EDI transmissions.

CHARACTER	NAME	DELIMITER
*	Asterisk	Data Element Separator
^	Caret	Repetition Separator
:	Colon	Component Element Separator
~	Tilde	Segment Terminator

Matrix B.3. Delimiters

The delimiters above are for illustration purposes only and are not specific recommendations or requirements. Users of this implementation guide should be aware that an application system may use some valid delimiter characters within the application data. Occurrences of delimiter characters in transmitted data within a data element will result in errors in translation. The existence of asterisks (*) within transmitted application data is a known issue that can affect translation software.

B.1.1.3

Business Transaction Structure Definitions and Concepts

The ASC X12 standards define commonly used business transactions (such as a health care claim) in a formal structure called “transaction sets.” A transaction set is composed of a transaction set header control segment, one or more data segments, and a transaction set trailer control segment. Each segment is composed of the following:

- A unique segment ID
- One or more logically related data elements each preceded by a data element separator
- A segment terminator

B.1.1.3.1

Data Element

The data element is the smallest named unit of information in the ASC X12 standard. Data elements are identified as either simple or component. A data element that occurs as an ordinal member of a composite data structure is identified as a component data element. A data element that occurs in a segment outside the defined boundaries of a composite data structure is identified as a simple data element. The distinction between simple and component data elements is strictly a matter of context because a data element can be used in either capacity.

Data elements are assigned a unique reference number. Each data element has a name, description, type, minimum length, and maximum length. For ID type data elements, this guide provides the applicable ASC X12 code values and their descriptions or references where the valid code list can be obtained.

A simple data element within a segment may have an attribute indicating that it may occur once or a specific number of times more than once. The number of permitted repeats are defined as an attribute in the individual segment where the repeated data element occurs.

Each data element is assigned a minimum and maximum length. The length of the data element value is the number of character positions used except as noted for numeric, decimal, and binary elements.

The data element types shown in Matrix B.4., Data Element Types, appear in this implementation guide.

SYMBOL	TYPE
Nn	Numeric
R	Decimal
ID	Identifier
AN	String
DT	Date
TM	Time
B	Binary

Matrix B.4. Data Element Types

The data element minimum and maximum lengths may be restricted in this implementation guide for a compliant implementation. Such restrictions may occur by virtue of the allowed qualifier for the data element or by specific instructions regarding length or format as stated in this implementation guide.

B.1.1.3.1.1

Numeric

A numeric data element is represented by one or more digits with an optional leading sign representing a value in the normal base of 10. The value of a numeric data element includes an implied decimal point. It is used when the position of the decimal point within the data is permanently fixed and is not to be transmitted with the data.

This set of guides denotes the number of implied decimal positions. The representation for this data element type is "Nn" where N indicates that it is numeric and n indicates the number of decimal positions to the right of the implied decimal point.

If n is 0, it need not appear in the specification; N is equivalent to N0. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) must not be transmitted.

EXAMPLE

A transmitted value of 1234, when specified as numeric type N2, represents a value of 12.34.

Leading zeros must be suppressed unless necessary to satisfy a minimum length requirement. The length of a numeric type data element does not include the optional sign.

B.1.1.3.1.2

Decimal

A decimal data element may contain an explicit decimal point and is used for numeric values that have a varying number of decimal positions. This data element type is represented as "R."

The decimal point always appears in the character stream if the decimal point is at any place other than the right end. If the value is an integer (decimal point at the right end) the decimal point must be omitted. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) must not be transmitted.

Leading zeros must be suppressed unless necessary to satisfy a minimum length requirement. Trailing zeros following the decimal point must be suppressed unless necessary to indicate precision. The use of triad separators (for example, the commas in 1,000,000) is expressly prohibited. The length of a decimal type data element does not include the optional leading sign or decimal point.

EXAMPLE

A transmitted value of 12.34 represents a decimal value of 12.34.

While the ASC X12 standard supports usage of exponential notation, this guide prohibits that usage

For implementation of this guide under the rules promulgated under the Health Insurance Portability and Accountability Act (HIPAA), decimal data elements in Data Element 782 (Monetary Amount) will be limited to a maximum length of 10 characters including reported or implied places for cents (implied value of 00 after the decimal point). Note the statement in the preceding paragraph that the decimal point and leading sign, if sent, are not part of the character count.

EXAMPLE

For implementations mandated under HIPAA rules:

- The following transmitted value represents the largest positive dollar amount that can be sent:
99999999.99
- The following transmitted value is the longest string of characters that can be sent representing whole dollars.
99999999
- The following transmitted value is the longest string of characters that can be sent representing negative dollars and cents.
-99999999.99
- The following transmitted value is the longest string of characters that can be sent representing negative whole dollars.
-99999999

B.1.1.3.1.3

Identifier

An identifier data element always contains a value from a predefined list of codes that is maintained by the ASC X12 Committee or some other body recognized by the Committee. Trailing spaces must be suppressed unless they are necessary to satisfy a minimum length. An identifier is always left justified. The representation for this data element type is "ID."

B.1.1.3.1.4

String

A string data element is a sequence of any characters from the basic or extended character sets. The string data element must contain at least one non-space character. The significant characters shall be left justified. Leading spaces, when they occur, are presumed to be significant characters. Trailing spaces must be suppressed unless they are necessary to satisfy a minimum length. The representation for this data element type is "AN."

B.1.1.3.1.5

Date

A date data element is used to express the standard date in either YYMMDD or CCYYMMDD format in which CC is the first two digits of the calendar year, YY is the last two digits of the calendar year, MM is the month (01 to 12), and DD is the day in the month (01 to 31). The representation for this data element type is "DT." Users of this guide should note that all dates within transactions are 8-character dates (millennium compliant) in the format CCYYMMDD. The only date data element that is in format YYMMDD is the Interchange Date data element in the ISA segment and the TA1 segment where the century is easily determined because of the nature of an interchange header.

B.1.1.3.1.6

Time

A time data element is used to express the ISO standard time HHMMSSd..d format in which HH is the hour for a 24 hour clock (00 to 23), MM is the minute (00 to 59), SS is the second (00 to 59) and d..d is decimal seconds. The representation for this data element type is "TM." The length of the data element determines the format of the transmitted time.

EXAMPLE

Transmitted data elements of four characters denote HHMM. Transmitted data elements of six characters denote HHMMSS.

B.1.1.3.2 Repeating Data Elements

Simple or composite data elements within a segment can be designated as repeating data elements. Repeating data elements are adjacent data elements that occur up to a number of times specified in the standard as number of repeats. The implementation guide may also specify the number of repeats of a repeating data element in a specific location in the transaction that are permitted in a compliant implementation. Adjacent occurrences of the same repeating simple data element or composite data structure in a segment shall be separated by a repetition separator.

B.1.1.3.3 Composite Data Structure

The composite data structure is an intermediate unit of information in a segment. Composite data structures are composed of one or more logically related simple data elements, each, except the last, followed by a sub-element separator. The final data element is followed by the next data element separator or the segment terminator. Each simple data element within a composite is called a component.

Each composite data structure has a unique four-character identifier, a name, and a purpose. The identifier serves as a label for the composite. A composite data structure can be further defined through the use of syntax notes, semantic notes, and comments. Each component within the composite is further characterized by a reference designator and a condition designator. The reference designators and the condition designators are described in Sections B.1.1.3.8 and B.1.1.3.9.

A composite data structure within a segment may have an attribute indicating that it may occur once or a specific number of times more than once. The number of permitted repeats are defined as an attribute in the individual segment where the repeated composite data structure occurs.

B.1.1.3.4 Data Segment

The data segment is an intermediate unit of information in a transaction set. In the data stream, a data segment consists of a segment identifier, one or more composite data structures or simple data elements each preceded by a data element separator and succeeded by a segment terminator.

Each data segment has a unique two- or three-character identifier, a name, and a purpose. The identifier serves as a label for the data segment. A segment can be further defined through the use of syntax notes, semantic notes, and comments. Each simple data element or composite data structure within the segment is further characterized by a reference designator and a condition designator.

B.1.1.3.5 Syntax Notes

Syntax notes describe relational conditions among two or more data segment units within the same segment, or among two or more component data elements within the same composite data structure. For a complete description of the relational conditions, See B.1.1.3.9, Condition Designator.

B.1.1.3.6

Semantic Notes

Simple data elements or composite data structures may be referenced by a semantic note within a particular segment. A semantic note provides important additional information regarding the intended meaning of a designated data element, particularly a generic type, in the context of its use within a specific data segment. Semantic notes may also define a relational condition among data elements in a segment based on the presence of a specific value (or one of a set of values) in one of the data elements.

B.1.1.3.7

Comments

A segment comment provides additional information regarding the intended use of the segment.

B.1.1.3.8

Reference Designator

Each simple data element or composite data structure in a segment is provided a structured code that indicates the segment in which it is used and the sequential position within the segment. The code is composed of the segment identifier followed by a two-digit number that defines the position of the simple data element or composite data structure in that segment.

For purposes of creating reference designators, the composite data structure is viewed as the hierarchical equal of the simple data element. Each component data element in a composite data structure is identified by a suffix appended to the reference designator for the composite data structure of which it is a member. This suffix is a two-digit number, prefixed with a hyphen, that defines the position of the component data element in the composite data structure.

EXAMPLE

- The first simple element of the CLP segment would be identified as CLP01.
- The first position in the SVC segment is occupied by a composite data structure that contains seven component data elements, the reference designator for the second component data element would be SVC01-02.

B.1.1.3.9

Condition Designator

This section provides information about X12 standard conditions designators. It is provided so that users will have information about the general standard. Implementation guides may impose other conditions designators. See implementation guide section 2.1 Presentation Examples for detailed information about the implementation guide Industry Usage requirements for compliant implementation.

Data element conditions are of three types: mandatory, optional, and relational. They define the circumstances under which a data element may be required to be present or not present in a particular segment.

DESIGNATOR	DESCRIPTION
M- Mandatory	The designation of mandatory is absolute in the sense that there is no dependency on other data elements. This designation may apply to either simple data elements or composite data structures. If the designation applies to a composite data structure, then at least one value of a component data element in that composite data structure shall be included in the data segment.

DESIGNATOR	DESCRIPTION												
O- Optional	The designation of optional means that there is no requirement for a simple data element or composite data structure to be present in the segment. The presence of a value for a simple data element or the presence of value for any of the component data elements of a composite data structure is at the option of the sender.												
X- Relational	<p>Relational conditions may exist among two or more simple data elements within the same data segment based on the presence or absence of one of those data elements (presence means a data element must not be empty). Relational conditions are specified by a condition code (see table below) and the reference designators of the affected data elements. A data element may be subject to more than one relational condition.</p> <p>The definitions for each of the condition codes used within syntax notes are detailed below:</p> <table border="1"> <thead> <tr> <th>CONDITION CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>P- Paired or Multiple</td> <td>If any element specified in the relational condition is present, then all of the elements specified must be present.</td> </tr> <tr> <td>R- Required</td> <td>At least one of the elements specified in the condition must be present.</td> </tr> <tr> <td>E- Exclusion</td> <td>Not more than one of the elements specified in the condition may be present.</td> </tr> <tr> <td>C- Conditional</td> <td>If the first element specified in the condition is present, then all other elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.</td> </tr> <tr> <td>L- List Conditional</td> <td>If the first element specified in the condition is present, then at least one of the remaining elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.</td> </tr> </tbody> </table>	CONDITION CODE	DEFINITION	P- Paired or Multiple	If any element specified in the relational condition is present, then all of the elements specified must be present.	R- Required	At least one of the elements specified in the condition must be present.	E- Exclusion	Not more than one of the elements specified in the condition may be present.	C- Conditional	If the first element specified in the condition is present, then all other elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.	L- List Conditional	If the first element specified in the condition is present, then at least one of the remaining elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.
CONDITION CODE	DEFINITION												
P- Paired or Multiple	If any element specified in the relational condition is present, then all of the elements specified must be present.												
R- Required	At least one of the elements specified in the condition must be present.												
E- Exclusion	Not more than one of the elements specified in the condition may be present.												
C- Conditional	If the first element specified in the condition is present, then all other elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.												
L- List Conditional	If the first element specified in the condition is present, then at least one of the remaining elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.												

Table B.5. Condition Designator

B.1.1.3.10

Absence of Data

Any simple data element that is indicated as mandatory must not be empty if the segment is used. At least one component data element of a composite data structure that is indicated as mandatory must not be empty if the segment is used. Optional simple data elements and/or composite data structures and their preceding data element separators that are not needed must be omitted if they occur at the end of a segment. If they do not occur at the end of the segment, the simple data element values and/or composite data structure values may be omitted. Their absence is indicated by the occurrence of their preceding data element separators, in order to maintain the element's or structure's position as defined in the data segment.

Likewise, when additional information is not necessary within a composite, the composite may be terminated by providing the appropriate data element separator or segment terminator.

If a segment has no data in any data element within the segment (an “empty” segment), that segment must not be sent.

B.1.1.3.11 Control Segments

A control segment has the same structure as a data segment, but it is used for transferring control information rather than application information.

B.1.1.3.11.1 Loop Control Segments

Loop control segments are used only to delineate bounded loops. Delineation of the loop shall consist of the loop header (LS segment) and the loop trailer (LE segment). The loop header defines the start of a structure that must contain one or more iterations of a loop of data segments and provides the loop identifier for this loop. The loop trailer defines the end of the structure. The LS segment appears only before the first occurrence of the loop, and the LE segment appears only after the last occurrence of the loop. Unbounded looping structures do not use loop control segments.

B.1.1.3.11.2 Transaction Set Control Segments

The transaction set is delineated by the transaction set header (ST segment) and the transaction set trailer (SE segment). The transaction set header identifies the start and identifier of the transaction set. The transaction set trailer identifies the end of the transaction set and provides a count of the data segments, which includes the ST and SE segments.

B.1.1.3.11.3 Functional Group Control Segments

The functional group is delineated by the functional group header (GS segment) and the functional group trailer (GE segment). The functional group header starts and identifies one or more related transaction sets and provides a control number and application identification information. The functional group trailer defines the end of the functional group of related transaction sets and provides a count of contained transaction sets.

B.1.1.3.11.4 Relations among Control Segments

The control segment of this standard must have a nested relationship as is shown and annotated in this subsection. The letters preceding the control segment name are the segment identifier for that control segment. The indentation of segment identifiers shown below indicates the subordination among control segments.

GS Functional Group Header, starts a group of related transaction sets.

ST Transaction Set Header, starts a transaction set.

LS Loop Header, starts a bounded loop of data segments but is not part of the loop.

LS Loop Header, starts an inner, nested, bounded loop.

LE Loop Trailer, ends an inner, nested bounded loop.

LE Loop Trailer, ends a bounded loop of data segments but is not part of the loop.

SE Transaction Set Trailer, ends a transaction set.

GE Functional Group Trailer, ends a group of related transaction sets.

More than one ST/SE pair, each representing a transaction set, may be used within one functional group. Also more than one LS/LE pair, each representing a bounded loop, may be used within one transaction set.

B.1.1.3.12

Transaction Set

The transaction set is the smallest meaningful set of information exchanged between trading partners. The transaction set consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment. See Figure B.1., Transmission Control Schematic.

B.1.1.3.12.1

Transaction Set Header and Trailer

A transaction set identifier uniquely identifies a transaction set. This identifier is the first data element of the Transaction Set Header Segment (ST). A user assigned transaction set control number in the header must match the control number in the Trailer Segment (SE) for any given transaction set. The value for the number of included segments in the SE segment is the total number of segments in the transaction set, including the ST and SE segments.

B.1.1.3.12.2

Data Segment Groups

The data segments in a transaction set may be repeated as individual data segments or as unbounded or bounded loops.

B.1.1.3.12.3

Repeated Occurrences of Single Data Segments

When a single data segment is allowed to be repeated, it may have a specified maximum number of occurrences defined at each specified position within a given transaction set standard. Alternatively, a segment may be allowed to repeat an unlimited number of times. The notation for an unlimited number of repetitions is ">1."

B.1.1.3.12.4

Loops of Data Segments

Loops are groups of semantically related segments. Data segment loops may be unbounded or bounded.

B.1.1.3.12.4.1

Unbounded Loops

To establish the iteration of a loop, the first data segment in the loop must appear once and only once in each iteration. Loops may have a specified maximum number of repetitions. Alternatively, the loop may be specified as having an unlimited number of iterations. The notation for an unlimited number of repetitions is ">1."

A specified sequence of segments is in the loop. Loops themselves are optional or mandatory. The requirement designator of the beginning segment of a loop indicates whether at least one occurrence of the loop is required. Each appearance of the beginning segment defines an occurrence of the loop.

The requirement designator of any segment within the loop after the beginning segment applies to that segment for each occurrence of the loop. If there is a mandatory requirement designator for any data segment within the loop after the beginning segment, that data segment is mandatory for each occurrence of the loop. If the loop is optional, the mandatory segment only occurs if the loop occurs.

B.1.1.3.12.4.2

Bounded Loops

The characteristics of unbounded loops described previously also apply to bounded loops. In addition, bounded loops require a Loop Start Segment (LS) to

appear before the first occurrence and a Loop End Segment (LE) to appear after the last consecutive occurrence of the loop. If the loop does not occur, the LS and LE segments are suppressed.

B.1.1.3.12.5 Data Segments in a Transaction Set

When data segments are combined to form a transaction set, three characteristics are applied to each data segment: a requirement designator, a position in the transaction set, and a maximum occurrence.

B.1.1.3.12.6 Data Segment Requirement Designators

A data segment, or loop, has one of the following requirement designators for health care and insurance transaction sets, indicating its appearance in the data stream of a transmission. These requirement designators are represented by a single character code.

DESIGNATOR	DESCRIPTION
M- Mandatory	This data segment must be included in the transaction set. (Note that a data segment may be mandatory in a loop of data segments, but the loop itself is optional if the beginning segment of the loop is designated as optional.)
O- Optional	The presence of this data segment is the option of the sending party.

B.1.1.3.12.7 Data Segment Position

The ordinal positions of the segments in a transaction set are explicitly specified for that transaction. Subject to the flexibility provided by the optional requirement designators of the segments, this positioning must be maintained.

B.1.1.3.12.8 Data Segment Occurrence

A data segment may have a maximum occurrence of one, a finite number greater than one, or an unlimited number indicated by ">1."

B.1.1.3.13 Functional Group

A functional group is a group of similar transaction sets that is bounded by a functional group header segment and a functional group trailer segment. The functional identifier defines the group of transactions that may be included within the functional group. The value for the functional group control number in the header and trailer control segments must be identical for any given group. The value for the number of included transaction sets is the total number of transaction sets in the group. See Figure B.1., Transmission Control Schematic.

B.1.1.4 Envelopes and Control Structures

B.1.1.4.1 Interchange Control Structures

Typically, the term "interchange" connotes the ISA/IEA envelope that is transmitted between trading/business partners. Interchange control is achieved through several "control" components. The interchange control number is contained in data element ISA13 of the ISA segment. The identical control number must also occur in data element 02 of the IEA segment. Most commercial translation software products will verify that these two elements are identical. In most translation software products, if these elements are different the interchange will be "suspended" in error.

There are many other features of the ISA segment that are used for control measures. For instance, the ISA segment contains data elements such as authoriza-

tion information, security information, sender identification, and receiver identification that can be used for control purposes. These data elements are agreed upon by the trading partners prior to transmission. The interchange date and time data elements as well as the interchange control number within the ISA segment are used for debugging purposes when there is a problem with the transmission or the interchange.

Data Element ISA12, Interchange Control Version Number, indicates the version of the ISA/IEA envelope. GS08 indicates the version of the transaction sets contained within the ISA/IEA envelope. The versions are not required to be the same. An Interchange Acknowledgment can be requested through data element ISA14. The interchange acknowledgement is the TA1 segment. Data element ISA15, Test Indicator, is used between trading partners to indicate that the transmission is in a “test” or “production” mode. Data element ISA16, Subelement Separator, is used by the translator for interpretation of composite data elements.

The ending component of the interchange or ISA/IEA envelope is the IEA segment. Data element IEA01 indicates the number of functional groups that are included within the interchange. In most commercial translation software products, an aggregate count of functional groups is kept while interpreting the interchange. This count is then verified with data element IEA01. If there is a discrepancy, in most commercial products, the interchange is suspended. The other data element in the IEA segment is IEA02 which is referenced above.

See the Appendix C, EDI Control Directory, for a complete detailing of the interchange control header and trailer. The authors recommend that when two transactions with different X12 versions numbers are sent in one interchange control structure (multiple functional groups within one ISA/IEA envelope), the Interchange Control version used should be that of the most recent transaction version included in the envelope. For the transmission of HIPAA transactions with mixed versions, this would be a compliant enveloping structure.

B.1.1.4.2

Functional Groups

Control structures within the functional group envelope include the functional identifier code in GS01. The Functional Identifier Code is used by the commercial translation software during interpretation of the interchange to determine the different transaction sets that may be included within the functional group. If an inappropriate transaction set is contained within the functional group, most commercial translation software will suspend the functional group within the interchange. The Application Sender's Code in GS02 can be used to identify the sending unit of the transmission. The Application Receiver's Code in GS03 can be used to identify the receiving unit of the transmission. The functional group contains a creation date (GS04) and creation time (GS05) for the functional group. The Group Control Number is contained in GS06. These data elements (GS04, GS05, and GS06) can be used for debugging purposes. GS08, Version/Release/Industry Identifier Code is the version/release/sub-release of the transaction sets being transmitted in this functional group.

The Functional Group Control Number in GS06 must be identical to data element 02 of the GE segment. Data element GE01 indicates the number of transaction sets within the functional group. In most commercial translation software products, an aggregate count of the transaction sets is kept while interpreting the functional group. This count is then verified with data element GE01.

See the Appendix C, EDI Control Directory, for a complete detailing of the functional group header and trailer.

B.1.1.4.3

HL Structures

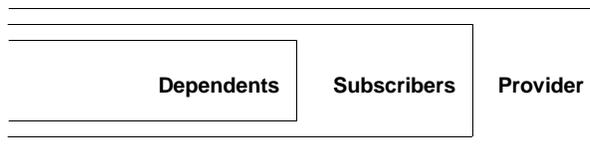
The HL segment is used in several X12 transaction sets to identify levels of detail information using a hierarchical structure, such as relating dependents to a subscriber. Hierarchical levels may differ from guide to guide.

For example, each provider can bill for one or more subscribers, each subscriber can have one or more dependents and the subscriber and the dependents can make one or more claims.

Each guide states what levels are available, the level's usage, number of repeats, and whether that level has subordinate levels within a transaction set.

For implementations compliant with this guide, the repeats of the loops identified by the HL structure shall appear in the hierarchical order specified in BHT01, when those particular hierarchical levels exist. That is, an HL parent loop must be followed by the subordinate child loops, if any, prior to commencing a new HL parent loop at the same hierarchical level.

The following diagram, from transaction set 837, illustrates a typical hierarchy.



The two examples below illustrate this requirement:

Example 1 based on Implementation Guide 811X201:

INSURER

- First STATE in transaction (child of INSURER)
 - First POLICY in transaction (child of first STATE)
 - First VEHICLE in transaction (child of first POLICY)
 - Second POLICY in transaction (child of first STATE)
 - Second VEHICLE in transaction (child of second POLICY)
 - Third VEHICLE in transaction (child of second POLICY)
- Second STATE in transaction (child of INSURER)
 - Third POLICY in transaction (child of second STATE)
 - Fourth VEHICLE in transaction (child of third POLICY)

Example 2 based on Implementation Guide 837X141

- First PROVIDER in transaction
 - First SUBSCRIBER in transaction (child of first PROVIDER)
- Second PROVIDER in transaction
 - Second SUBSCRIBER in transaction (child of second PROVIDER)
 - First DEPENDENT in transaction (child of second SUBSCRIBER)
 - Second DEPENDENT in transaction (child of second SUBSCRIBER)
 - Third SUBSCRIBER in transaction (child of second PROVIDER)
- Third PROVIDER in transaction
 - Fourth SUBSCRIBER in transaction (child of third PROVIDER)
 - Fifth SUBSCRIBER in transaction (child of third PROVIDER)
 - Third DEPENDENT in transaction (child of fifth SUBSCRIBER)

B.1.1.5

Acknowledgments

B.1.1.5.1

Interchange Acknowledgment, TA1

The TA1 segment provides the capability for the interchange receiver to notify the sender that a valid envelope was received or that problems were encountered with the interchange control structure. The TA1 verifies the envelopes only. Transaction set-specific verification is accomplished through use of the Functional Acknowledgment Transaction Set, 997. See B.1.1.5.2, Functional Acknowledgment, 997, for more details. The TA1 is unique in that it is a single segment transmitted without the GS/GE envelope structure. A TA1 can be included in an interchange with other functional groups and transactions.

Encompassed in the TA1 are the interchange control number, interchange date and time, interchange acknowledgment code, and the interchange note code. The interchange control number, interchange date and time are identical to those that were present in the transmitted interchange from the trading partner. This provides the capability to associate the TA1 with the transmitted interchange. TA104, Interchange Acknowledgment Code, indicates the status of the interchange control structure. This data element stipulates whether the transmitted interchange was accepted with no errors, accepted with errors, or rejected because of errors. TA105, Interchange Note Code, is a numerical code that indicates the error found while processing the interchange control structure. Values for this data element indicate whether the error occurred at the interchange or functional group envelope.

See the Appendix C, EDI Control Directory, for a complete detailing of the TA1 segment.

B.1.1.5.2

Functional Acknowledgment, 997

The 997 informs the submitter that the functional group arrived at the destination. It may include information about the syntactical quality of the functional group.

The Functional Acknowledgment (997) transaction is not required as a response to receipt of a batch transaction compliant with this implementation guide.

The Functional Acknowledgment (997) transaction is not required as a response to receipt of a real-time transaction compliant with this implementation guide.

B.2

Object Descriptors

Object Descriptors (OD) do not apply to this implementation guide.

C EDI Control Directory Including Implementation Usage

C.1 Control Segments

- **ISA**
Interchange Control Header Segment
- **TA1**
Interchange Acknowledgment Header Segment
- **GS**
Functional Group Header Segment
- **GE**
Functional Group Trailer Segment
- **IEA**
Interchange Control Trailer Segment

SEGMENT DETAIL

ISA - INTERCHANGE CONTROL HEADER

X12 Segment Name: Interchange Control Header

X12 Purpose: To start and identify an interchange of zero or more functional groups and interchange-related control segments

Segment Repeat: 1

Usage: REQUIRED

TR3 Notes: 1. All positions within each of the data elements must be filled.

2. For compliant implementations under this implementation guide, ISA13, the interchange Control Number, must be a positive unsigned number. Therefore, the ISA segment can be considered a fixed record length segment.

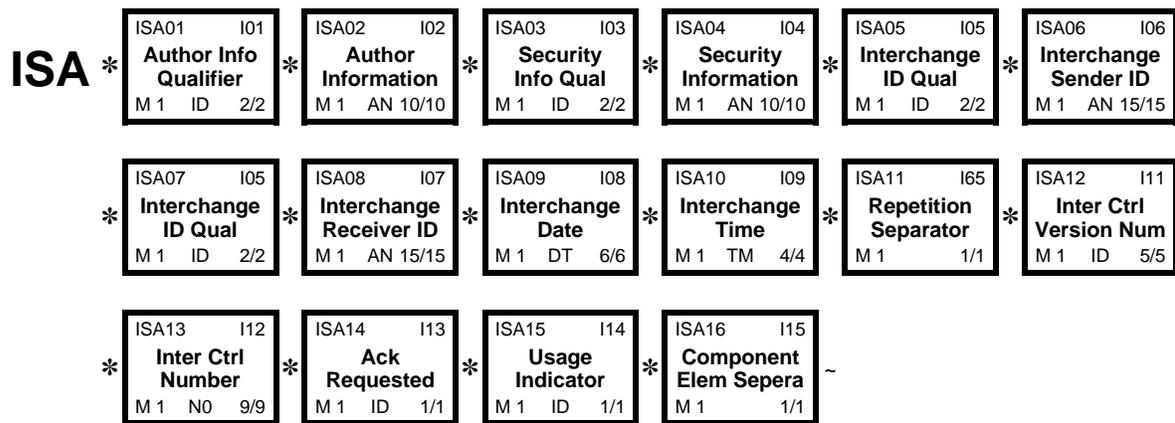
3. The first element separator defines the element separator to be used through the entire interchange.

4. The ISA segment terminator defines the segment terminator used throughout the entire interchange.

5. Spaces in the example interchanges are represented by “.” for clarity.

TR3 Example: ISA*00*.....*01*SECRET....*ZZ*SUBMITTERS.ID..*ZZ*
 RECEIVERS.ID...*030101*1253*^*00501*000000905*1*T*::~~

DIAGRAM



CONTROL SEGMENTS

ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	ISA01	I01	Authorization Information Qualifier Code identifying the type of information in the Authorization Information	M 1 ID 2/2
REQUIRED	ISA02	I02	Authorization Information Information used for additional identification or authorization of the interchange sender or the data in the interchange; the type of information is set by the Authorization Information Qualifier (I01)	M 1 AN 10/10
REQUIRED	ISA03	I03	Security Information Qualifier Code identifying the type of information in the Security Information	M 1 ID 2/2
REQUIRED	ISA04	I04	Security Information This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03)	M 1 AN 10/10
REQUIRED	ISA05	I05	Interchange ID Qualifier Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified	M 1 ID 2/2
This ID qualifies the Sender in ISA06.				
REQUIRED	ISA06	I06	Interchange Sender ID Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element	M 1 AN 15/15
REQUIRED	ISA07	I05	Interchange ID Qualifier Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified	M 1 ID 2/2
This ID qualifies the Receiver in ISA08.				
REQUIRED	ISA08	I07	Interchange Receiver ID Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them	M 1 AN 15/15
REQUIRED	ISA09	I08	Interchange Date Date of the interchange	M 1 DT 6/6
The date format is YYMMDD.				
REQUIRED	ISA10	I09	Interchange Time Time of the interchange	M 1 TM 4/4
The time format is HHMM.				
REQUIRED	ISA11	I65	Repetition Separator Type is not applicable; the repetition separator is a delimiter and not a data element; this field provides the delimiter used to separate repeated occurrences of a simple data element or a composite data structure; this value must be different than the data element separator, component element separator, and the segment terminator	M 1 1/1
REQUIRED	ISA12	I11	Interchange Control Version Number Code specifying the version number of the interchange control segments	M 1 ID 5/5

CODE	DEFINITION
00501	Standards Approved for Publication by ASC X12 Procedures Review Board through October 2003

REQUIRED	ISA13	I12	Interchange Control Number A control number assigned by the interchange sender	M 1 N0 9/9
The Interchange Control Number, ISA13, must be identical to the associated Interchange Trailer IEA02.				
Must be a positive unsigned number and must be identical to the value in IEA02.				
REQUIRED	ISA14	I13	Acknowledgment Requested Code indicating sender's request for an interchange acknowledgment	M 1 ID 1/1
See Section B.1.1.5.1 for interchange acknowledgment information.				
		CODE	DEFINITION	
		0	No Interchange Acknowledgment Requested	
		1	Interchange Acknowledgment Requested (TA1)	
REQUIRED	ISA15	I14	Interchange Usage Indicator Code indicating whether data enclosed by this interchange envelope is test, production or information	M 1 ID 1/1
REQUIRED	ISA16	I15	Component Element Separator Type is not applicable; the component element separator is a delimiter and not a data element; this field provides the delimiter used to separate component data elements within a composite data structure; this value must be different than the data element separator and the segment terminator	M 1 1/1

SEGMENT DETAIL

TA1 - INTERCHANGE ACKNOWLEDGMENT

X12 Segment Name: Interchange Acknowledgment

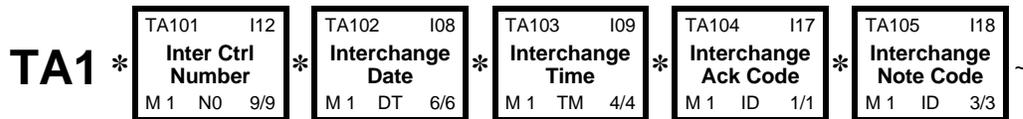
X12 Purpose: To report the status of processing a received interchange header and trailer or the non-delivery by a network provider

Segment Repeat: 1

Usage: REQUIRED

TR3 Notes: 1. When requested by the sender (as indicated in the ISA14 of the submitted interchange), or when an interchange is rejected, a TA1 segment may be included in the same interchange as the 997 transaction set. When this is done, the TA1 segment must be included within the interchange (ISA/IEA) and outside of any included functional groups (GS/GE). It is recommended that the TA1 segment be placed between the ISA and GS segments. However, at the sender's discretion, the TA1 segment may be sent within its own interchange (i.e. ISA-TA1-IEA).

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	TA101	I12	Interchange Control Number A control number assigned by the interchange sender	M 1 NO 9/9
This is the value in ISA13 from the interchange to which this TA1 is responding.				
REQUIRED	TA102	I08	Interchange Date Date of the interchange	M 1 DT 6/6
REQUIRED	TA103	I09	Interchange Time Time of the interchange	M 1 TM 4/4
REQUIRED	TA104	I17	Interchange Acknowledgment Code Code indicating the status of the receipt of the interchange control structure	M 1 ID 1/1
REQUIRED	TA105	I18	Interchange Note Code Code specifying the error found processing the interchange control structure	M 1 ID 3/3

SEGMENT DETAIL

GS - FUNCTIONAL GROUP HEADER

X12 Segment Name: Functional Group Header

X12 Purpose: To indicate the beginning of a functional group and to provide control information

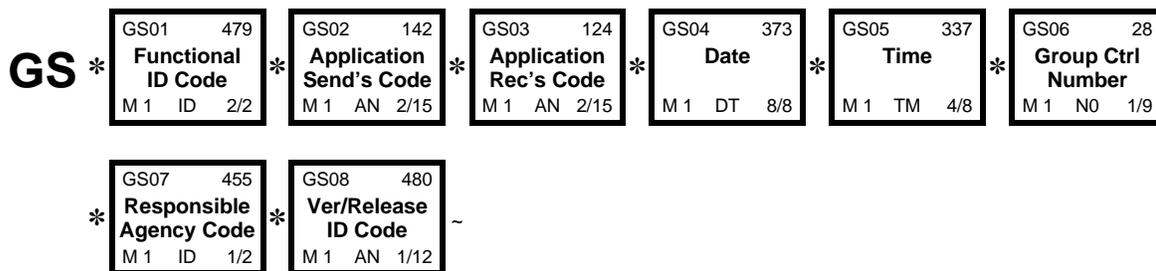
X12 Comments: 1. A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer.

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: GS*XX*SENDER CODE*RECEIVER
 CODE*19991231*0802*1*X*005010X230~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	GS01	479	Functional Identifier Code Code identifying a group of application related transaction sets	M 1 ID 2/2
<p>This is the 2-character Functional Identifier Code assigned to each transaction set by X12. The specific code for a transaction set defined by this implementation guide is presented in section 1.2, Version Information.</p> <p>The functional identifier code required when creating a 997 transaction set is FA.</p>				
REQUIRED	GS02	142	Application Sender's Code Code identifying party sending transmission; codes agreed to by trading partners	M 1 AN 2/15
<p>Use this code to identify the unit sending the information.</p>				
REQUIRED	GS03	124	Application Receiver's Code Code identifying party receiving transmission; codes agreed to by trading partners	M 1 AN 2/15
<p>Use this code to identify the unit receiving the information.</p>				

CONTROL SEGMENTS

REQUIRED	GS04	373	Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year SEMANTIC: GS04 is the group date. Use this date for the functional group creation date.	M 1 DT 8/8
REQUIRED	GS05	337	Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) SEMANTIC: GS05 is the group time. Use this time for the creation time. The recommended format is HHMM.	M 1 TM 4/8
REQUIRED	GS06	28	Group Control Number Assigned number originated and maintained by the sender SEMANTIC: The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02. In order to provide sufficient discrimination for the acknowledgment process to operate reliably and to ensure that audit trails are unambiguous, the combination of Functional ID Code (GS01), Application Sender's ID (GS02), Application Receiver's ID (GS03), and Functional Group Control Numbers (GS06, GE02) shall by themselves be unique within a reasonably extended time frame whose boundaries shall be defined by trading partner agreement. Because at some point it may be necessary to reuse a sequence of control numbers, the Functional Group Date and Time may serve as an additional discriminant only to differentiate functional group identity over the longest possible time frame.	M 1 N0 1/9
REQUIRED	GS07	455	Responsible Agency Code Code identifying the issuer of the standard; this code is used in conjunction with Data Element 480	M 1 ID 1/2
REQUIRED	GS08	480	Version / Release / Industry Identifier Code Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed CODE SOURCE 881: Version / Release / Industry Identifier Code This is the unique Version/Release/Industry Identifier Code assigned to an implementation by X12. The specific code for a transaction set defined by this implementation guide is presented in section 1.2, Version Information. Functional Acknowledgment (997) transactions must use only the Version/Release of the underlying standard used to create the 997.	M 1 AN 1/12
			005010X230	Standards Approved for Publication by ASC X12 Procedures Review Board through October 2003

SEGMENT DETAIL

GE - FUNCTIONAL GROUP TRAILER

X12 Segment Name: Functional Group Trailer

X12 Purpose: To indicate the end of a functional group and to provide control information

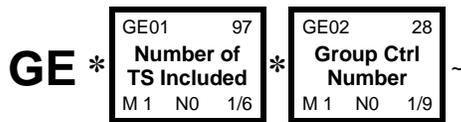
X12 Comments: 1. The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header.

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: GE*1*1~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	GE01	97	Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element	M 1 NO 1/6
REQUIRED	GE02	28	Group Control Number Assigned number originated and maintained by the sender	M 1 NO 1/9

SEMANTIC: The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06.

The value in GE02 must be identical to the value in GS06.

SEGMENT DETAIL

IEA - INTERCHANGE CONTROL TRAILER

X12 Segment Name: Interchange Control Trailer

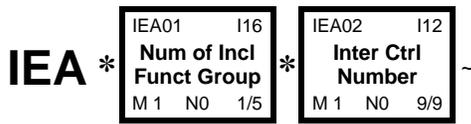
X12 Purpose: To define the end of an interchange of zero or more functional groups and interchange-related control segments

Segment Repeat: 1

Usage: REQUIRED

TR3 Example: IEA*1*00000905~

DIAGRAM



ELEMENT DETAIL

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	IEA01	I16	Number of Included Functional Groups A count of the number of functional groups included in an interchange	M 1 NO 1/5
REQUIRED	IEA02	I12	Interchange Control Number A control number assigned by the interchange sender	M 1 NO 9/9

The value in IEA02 must be identical to the value in ISA13.

D **Change Summary**

This is the first ASC X12N Implementation Guide for the Functional Acknowledgment business use of the 997. In future guides, this section will contain a summary and detail of all changes since the previous guide.

**National Electronic Data Interchange
Transaction Set Implementation Guide**

**Implementation
Guide Reporting**

824

ASC X12N 824 (004050X166)

July 2002 • Draft 1

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1 Purpose and Business Overview

1.1 Document Purpose

The purpose of this implementation guide is to provide standardized data content and structure to users of the ASC X12N 824. This implementation guide is intended to enable a receiver of an X12 transaction, related to insurance business processes, to report errors that are outside of the scope of the ASC X12 997 error reporting, or to acknowledge receipt of an error-free transaction.

This ASC X12N 824 implementation guide does not replace existing ASC X12N approved implementation guides designed to report transaction errors, such as the ASC X12N 277 implementation guide designed for reporting certain implementation-related errors and status in the ASC X12N 837. Nor does it replace transaction-specific ASC X12N 824 implementation guides such as the ASC X12N 266/824 or the ASC X12N 148/824. The use of the 824 transaction is not required. Use of the 824 transaction is subject to trading partner agreement.

This implementation guide was designed to be usable by the receiver of an X12 transaction related to insurance business processes. It is designed to report transaction set errors related to the use of any X12N-approved implementation guide that does not have another standard vehicle for the reporting of such errors. It has also been developed to supplement other error-reporting vehicles that may not provide for reporting of every transaction set error. It was designed as a standard vehicle to allow users to replace the myriad proprietary electronic and hard copy formats developed for error reporting or for implementation guide compliance acknowledgement.

Trading partners would determine jointly whether to exchange the 824 to acknowledge receipt of a transaction that complied with the respective implementation guide, in addition to error reporting. Users of this guide include, but are not limited to, insurers, clearinghouses that transfer insurance data in standard transactions between users, and providers of services.

The content of this implementation guide is expected to evolve with greater exposure and user experience. Future versions will incorporate additional business needs as identified. Newly identified business requirements should be reported to the Architecture Task Group TG8 of the ASC X12N subcommittee for consideration for inclusion in a subsequent version.

1.2 Version and Release

This implementation guide is based on the October 2001 ASC X12 standards, referred to as Version 4, Release 5 (004050) of the 824 transaction set.

1.3 Business Use and Definition

This ASC X12N 824 implementation guide is intended to meet the needs of the insurance industry as a whole, for a standard implementation convention designed for reporting of errors that are not included in the error reporting of the 997, or to

acknowledge receipt of a transaction that fully complies with the implementation guide requirements.

1.4 Information Flows

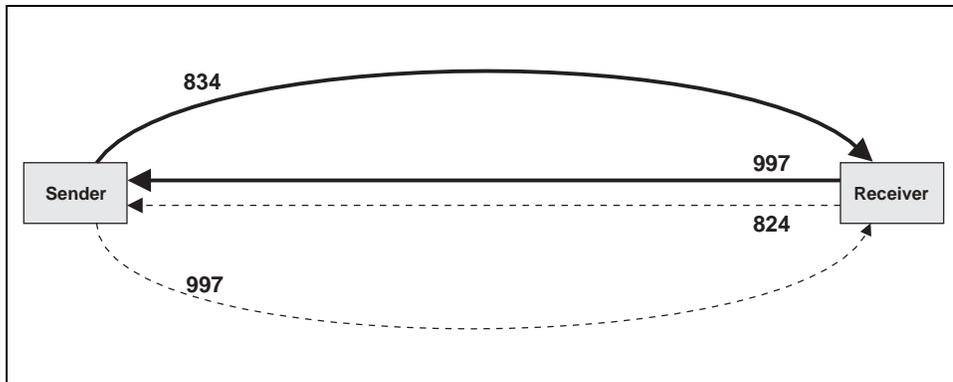


Figure 1. 834 Flow.

- 834 Flow:
1. 834 Enrollment sent from sender.
 2. 997 file acknowledgement returned to sender from receiver.
 3. Optional 824 transaction to report error from receiver to sender.
 4. Optional 997 sender's acknowledgment of 824 from sender to receiver.

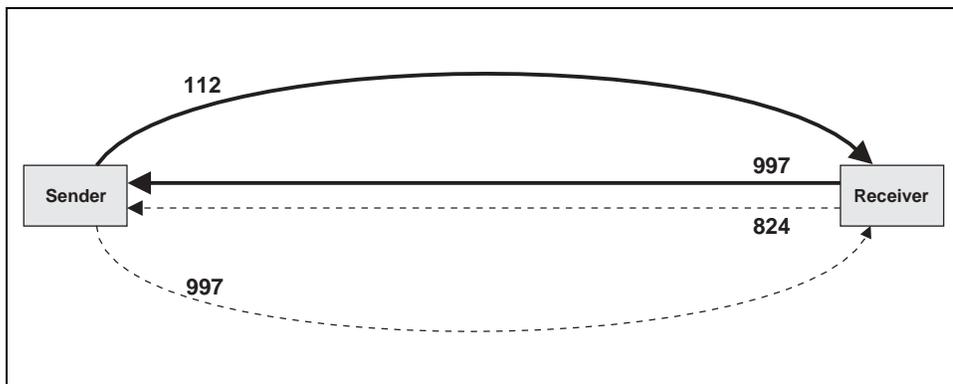


Figure 2. 112 Flow.

- 112 Flow:
1. 112 Property Damage Report sent from sender.
 2. 997 file acknowledgement returned to sender from receiver.
 3. Optional 824 transaction to report error from receiver to sender.
 4. Optional 997 sender's acknowledgment of 824 from sender to receiver.

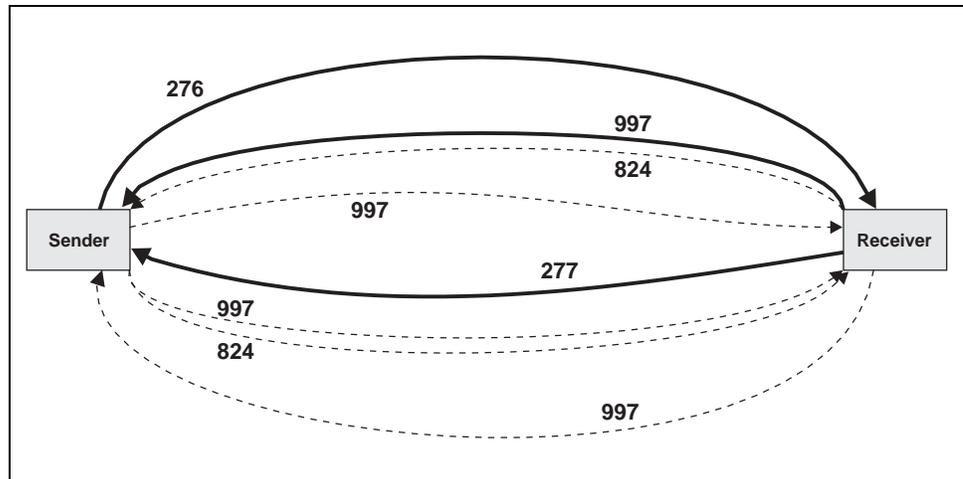


Figure 3. 276/277 Flow.

- 276/277 Flow:
1. 276 Claim Status Request sent from sender.
 2. 997 file acknowledgement returned to sender from receiver.
 3. Optional 824 transaction to report error from receiver to sender.
 4. Optional 997 sender's acknowledgement of 824 from sender to receiver.
 5. 277 Claim Status Reponse sent from sender.
 6. Optional 997 sender's acknowledgement of 277 from sender to receiver.
 7. Optional 824 transaction to report error from sender to receiver.
 8. Optional 997 receiver's acknowledgement of 824 from receiver to sender.

2 Data Overview

2.1 Overall Data Architecture

NOTE

See Appendix A, ASC X12 Nomenclature, to review the transaction set structure, including descriptions of segments, data elements, levels and loops.

2.1.1 Error Reporting / Acknowledgement Process

The receiver of a transaction that includes errors initiates error reporting. Errors of this nature are detected during translation or application level processing of a received transaction. The 824 is used to notify the submitter that the transaction contained errors, what the errors are and if necessary what action the submitter should take.

Use of 824 acknowledgement is at the discretion of the trading partners. Many may prefer to not receive acknowledgement of compliance for a transaction with the requirements respective to the implementation guide. When there is an agreement to use the 824 acknowledgement, it is generated and issued to the submitter by the receiver of the transaction.

2.1.2 Envelope Process

Two N1 loops are used in the transaction to identify the sender and the receiver of the 824. The OTI loop is used to identify the received transaction being acknowledged as compliant or for which errors are being reported. The TED loop is used to report the nature of the errors. As designed, the 824 would identify a particular transaction and the location of each error within that transaction, i.e., loop, segment, data element, and composite data element if applicable and identify a reason code to explain the error. Generic error messages are used to facilitate the use of the 824 for reporting of errors included in a wide range of X12 insurance transactions. The 824 transaction does not report enveloping errors, the TA1 would be used for this purpose.

2.1.3 Application Advice

The 824 acknowledgment is divided into two tables, Header and Detail. See Section 3, Transaction Set, for a description of the following presentation format.

The Header level, Table 1, contains general information, such as the transaction set control reference number of the previously sent transaction, date time, sender and receiver.

The Detail level, Table 2, contains error level reporting and/or acknowledgement of no error reporting.

The 824 transaction is a response to one and only one X12 transaction related to insurance business processes.

3 Transaction Set

NOTE

See Appendix A, ASC X12 Nomenclature, for a review of transaction set structure, including descriptions of segments, data elements, levels, and loops.

3.1 Presentation Examples

The ASC X12 standards are generic. For example, multiple trading communities use the same PER segment to specify administrative communication contacts. Each community decides which elements to use and which code values in those elements are applicable. This implementation guide uses a format that depicts both the generalized standard and the trading community-specific implementation.

The transaction set detail is comprised of two main sections with subsections within the main sections.

Transaction Set Listing

- Implementation

- Standard

Segment Detail

- Implementation

- Standard

- Diagram

- Element Summary

The examples in figures 4 through 9 define the presentation of the transaction set that follows.

The following pages provide illustrations, in the same order they appear in this implementation guide, to describe the format.

IMPLEMENTATION

Indicates that this section is the implementation and not the standard

835 Health Care Claim Payment/Advice

Table 1 - Header

PAGE #	POS. #	SEG. ID	NAME	USAGE	REPEAT	LOOP REPEAT
53	010	ST	835 Header	R	1	
54	020	BPR	Financial Information	R	1	
60	040	TRN	Reassociation Key	R	1	
62	050	CUR	Non-US Dollars Currency	S	1	
65	060	REF	Receiver ID	S	1	
66	060	REF	Version Number	S	1	
68	070	DTM	Production Date	S	1	
PAYER NAME						1
70	080	N1	Payer Name	R	1	
72	100	N3	Payer Address	S	1	
75	110	N4	Payer City, State, Zip	S	1	
76	120	REF	Additional Payer Reference Number	S	1	
78	130	PER	Payer Contact	S	1	
PAYEE NAME						1
79	080	N1	Payee Name	R	1	
81	100	N3	Payee Address	S	1	
82	110	N4	Payee City, State, Zip	S	1	
84	120	REF	Payee Additional Reference Number	S	>1	

R=Required
S=Situational

Position Numbers and Segment IDs retain their X12 values
Individual segments and entire loops are repeated

Figure 4. Transaction Set Key - Implementation

STANDARD

Indicates that this section is identical to the ASC X12 standard

835 Health Care Claim Payment/Advice

Functional Group ID: **HP**

See Appendix A, ASC X12 Nomenclature for a complete description of the standard

This Draft Standard for Trial Use contains the format and establishes the data contents of the Health Care Claim Payment/Advice Transaction Set (835) within the context of the Electronic Data Interchange (EDI) environment. This transaction set can be used to make a payment, send an Explanation of Benefits (EOB) remittance advice, or make a payment and send an EOB remittance advice only from a health insurer to a health care provider either directly or via a financial institution.

Table 1 - Header

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
010	ST	Transaction Set Header	M	1	
020	BPR	Beginning Segment for Payment Order/Remittance Advice	M	1	
030	NTE	Note/Special Instruction	O	>1	

Figure 5. Transaction Set Key - Standard

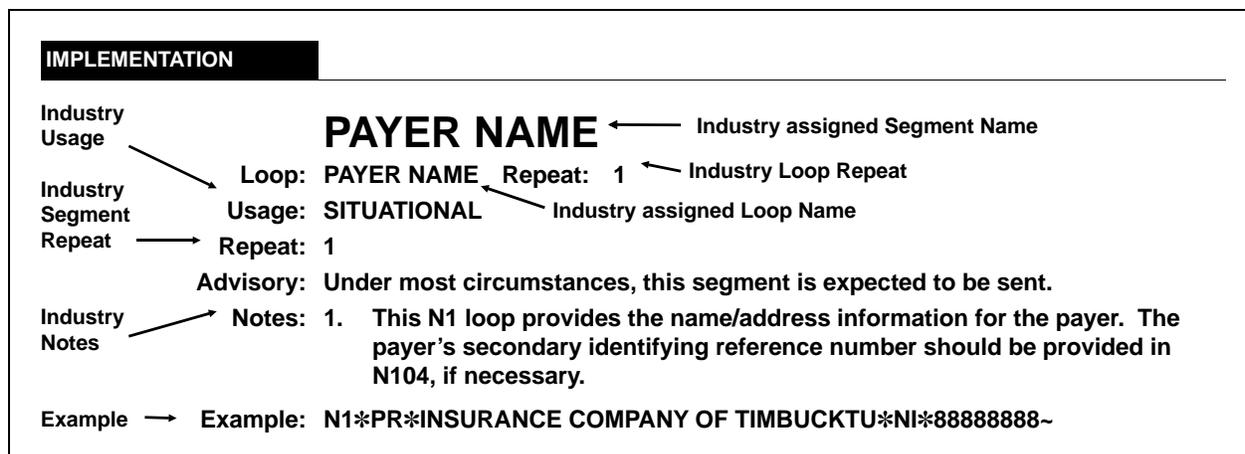


Figure 6. Segment Key - Implementation

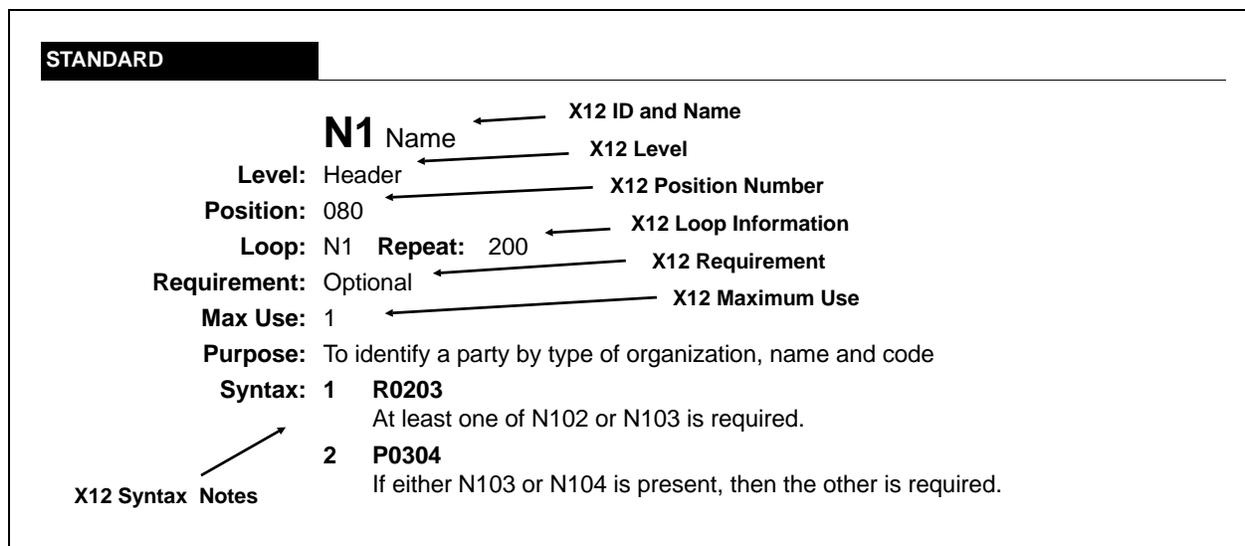


Figure 7. Segment Key - Standard

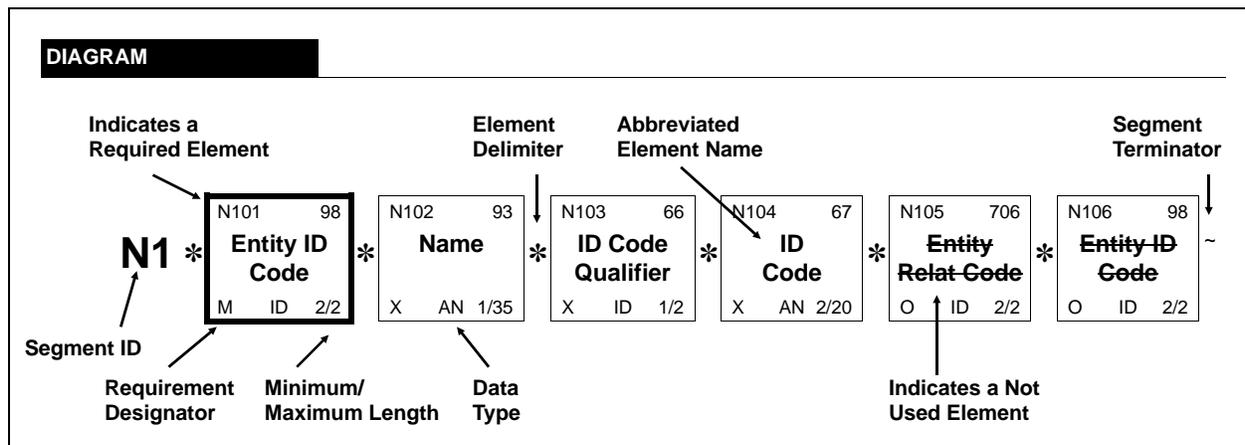


Figure 8. Segment Key - Diagram

ELEMENT SUMMARY								
USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	SVC01	C003	COMPOSITE MEDICAL PROCEDURE IDENTIFIER	M				
Industry Usages: See the following page for complete descriptions X12 Semantic Note Industry Note			To identify a medical procedure by its standardized codes and applicable modifiers SEMANTIC NOTES 03 C003-03 modifies the value in C003-02. 04 C003-04 modifies the value in C003-02. 05 C003-05 modifies the value in C003-02. 06 C003-06 modifies the value in C003-02. 07 C003-07 is the description of the procedure identified in C003-02. Use the adjudicated Medical Procedure Code.					
REQUIRED	SVC01 - 1	235	Product/Service ID Qualifier	M ID 2/2				
Selected Code Values			Code identifying the type/source of the descriptive number used in Product/Service ID (234)					
Code Source			<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>AD</td> <td>American Dental Association Codes</td> </tr> </tbody> </table>	CODE	DEFINITION	AD	American Dental Association Codes	CODE SOURCE 135: American Dental Association Codes
CODE	DEFINITION							
AD	American Dental Association Codes							

ELEMENT SUMMARY				
USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	N101	98	Entity Identifier Code	M ID 2/3
Reference Designator			Code identifying an organizational entity, a physical location, property or an individual	
SITUATIONAL	N102	93	Name	X AN 1/60
Data Element Number			Free-form name SYNTAX: R0203	
SITUATIONAL	N103	66	Identification Code Qualifier	X ID 1/2
			Code designating the system/method of code structure used for Identification Code (67)	
SITUATIONAL	N104	67	Identification Code	X AN 2/20
			Code identifying a party or other code	
X12 Syntax Note			SYNTAX: P0304	
X12 Comment			ADVISORY: Under most circumstances, this element is expected to be sent. COMMENT: This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.	

Figure 9. Segment Key - Element Summary

Industry Usages:

- Required** This item must be used to be compliant with this implementation guide.
- Not Used** This item should not be used when complying with this implementation guide.
- Situational** The use of this item varies, depending on data content and business context. The defining rule is generally documented in a syntax or usage note attached to the item.* The item should be used whenever the situation defined in the note is true; otherwise, the item should not be used.

*** NOTE:**

If no rule appears in the notes, the item should be sent if the data is available to the sender.

Loop Usages:

Loop usage within ASC X12 transactions and their implementation guides can be confusing. Care must be used to read the loop requirements in terms of the context or location within the transaction. The usage designator of a loop's beginning segment indicates the usage of the loop. Segments within a loop cannot be sent without the beginning segment of that loop.

If the first segment is Required, the loop must occur at least once unless it is nested in a loop that is not being used. A note on the Required first segment of a nested loop will indicate dependency on the higher level loop.

If the first segment is Situational, there will be a Segment Note addressing use of the loop. Any required segments in loops beginning with a Situational segment only occur when the loop is used. Similarly, nested loops only occur when the higher level loop is used.

IMPLEMENTATION

824 Application Advice

Table 1 - Header

PAGE #	POS. #	SEG. ID	NAME	USAGE	REPEAT	LOOP REPEAT
20	0100	ST	Transaction Set Header	R	1	
22	0200	BGN	Beginning Segment	R	1	
LOOP ID - N1 RECEIVER NAME						1
24	0300	N1	Receiver Name	R	1	
LOOP ID - N1 SENDER NAME						1
26	0300	N1	Sender Name	R	1	
28	0700	REF	Sender Secondary Identifier	S	12	
29	0800	PER	Submitter EDI Contact Information	S	2	

Table 2 - Detail

PAGE #	POS. #	SEG. ID	NAME	USAGE	REPEAT	LOOP REPEAT
LOOP ID - OTI ORIGINAL TRANSACTION IDENTIFICATION						>1
32	0100	OTI	Original Transaction Identification	R	1	
38	0200	REF	Reference Information	S	12	
42	0300	DTM	Date/Time Reference	S	2	
45	0500	AMT	Monetary Amount Information	S	1	
47	0600	QTY	Quantity Information	S	1	
49	0650	NM1	Individual or Organizational Name	S	6	
LOOP ID - OTI/TED TECHNICAL ERROR DESCRIPTION						>1
54	0700	TED	Technical Error Description	S	1	
57	0750	CTX	Context	S	10	
59	0800	NTE	Note/Special Instruction	S	3	
LOOP ID - OTI/LM CODE SOURCE INFORMATION						>1
60	0850	LM	Code Source Information	S	1	
LOOP ID - OTI/LM/LQ INDUSTRY CODE						100
61	0860	LQ	Industry Code	S	1	
62	0870	RED	Related Data	S	100	
64	0900	SE	Transaction Set Trailer	R	1	

STANDARD

824 Application Advice

Functional Group ID: **AG**

This X12 Transaction Set contains the format and establishes the data contents of the Application Advice Transaction Set (824) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to provide the ability to report the results of an application system's data content edits of transaction sets. The results of editing transaction sets can be reported at the functional group and transaction set level, in either coded or free-form format. It is designed to accommodate the business need of reporting the acceptance, rejection or acceptance with change of any transaction set. The Application Advice should not be used in place of a transaction set designed as a specific response to another transaction set (e.g., purchase order acknowledgment sent in response to a purchase order).

Table 1 - Header

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
0100	ST	Transaction Set Header	M	1	
0200	BGN	Beginning Segment	M	1	
LOOP ID - N1					>1
0300	N1	Party Identification	O	1	
0400	N2	Additional Name Information	O	2	
0500	N3	Party Location	O	2	
0600	N4	Geographic Location	O	1	
0700	REF	Reference Information	O	12	
0800	PER	Administrative Communications Contact	O	3	

Table 2 - Detail

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
LOOP ID - OTI					>1
0100	OTI	Original Transaction Identification	M	1	
0200	REF	Reference Information	O	12	
0300	DTM	Date/Time Reference	O	2	
0400	PER	Administrative Communications Contact	O	3	
0500	AMT	Monetary Amount Information	O	>1	
0600	QTY	Quantity Information	O	>1	
0650	NM1	Individual or Organizational Name	O	9	
LOOP ID - OTI/TED					>1
0700	TED	Technical Error Description	O	1	
0750	CTX	Context	O	10	
0800	NTE	Note/Special Instruction	O	100	
0820	RED	Related Data	O	100	
LOOP ID - OTI/LM					>1
0850	LM	Code Source Information	O	1	
LOOP ID - OTI/LM/LQ					100
0860	LQ	Industry Code Identification	M	1	
0870	RED	Related Data	O	100	
0900	SE	Transaction Set Trailer	M	1	

NOTES:

- 2/0100** The OTI loop is intended to provide a unique identification of the transaction set that is the subject of this application acknowledgment.
- 2/0200** The REF segment allows for the provision of secondary reference identification or numbers required to uniquely identify the original transaction set. The primary reference identification or number should be provided in elements OTI02-03.
- 2/0300** The DTM segment allows for the provision of date, time, or date and time information required to uniquely identify the original transaction set.
- 2/0400** The PER segment should be utilized if administrative communications contact information is important to the unique identification of the original transaction set.
- 2/0500** The AMT segment should be utilized if monetary amount information is important to the unique identification of the original transaction set.
- 2/0600** The QTY segment should be utilized if quantity information is important to the unique identification of the original transaction set.
- 2/0650** The NM1 segment allows for the provision of entity identification information required to uniquely identify the original transaction set.
- 2/0820** The RED segment may be used to provide data related to the error condition specified in the associated TED01 element.
- 2/0850** The LM loop is used to identify industry-based or proprietary application error conditions.
- 2/0870** The RED segment may be used to provide data related to the error condition specified in the associated LQ02 element.

IMPLEMENTATION

TRANSACTION SET HEADER

Usage: REQUIRED

Repeat: 1

Example: ST*824*1234*004050~

STANDARD

ST Transaction Set Header

Level: Header

Position: 0100

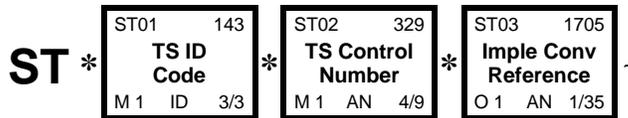
Loop: _____

Requirement: Mandatory

Max Use: 1

Purpose: To indicate the start of a transaction set and to assign a control number

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set	M 1 ID 3/3				
<p>SEMANTIC: The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).</p> <table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>824</td> <td>Application Advice</td> </tr> </tbody> </table>					CODE	DEFINITION	824	Application Advice
CODE	DEFINITION							
824	Application Advice							
REQUIRED	ST02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M 1 AN 4/9				
<p>The Transaction Set Control Numbers in ST02 and SE02 must be identical. The number is assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number 0001 and increment from there.</p>								

REQUIRED	ST03	1705	Implementation Convention Reference	O 1 AN	1/35
-----------------	-------------	-------------	--------------------------------------------	---------------	-------------

Reference assigned to identify Implementation Convention

SEMANTIC: The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition. When used, this implementation convention reference takes precedence over the implementation reference specified in the GS08.

INDUSTRY: *Implementation Convention Reference Identifier*

This field contains the same value as data element GS08. The value is 004050X166. Some translator products strip off the ISA and GS segments prior to application (ST - SE) processing. Providing the information from GS08 at this level will help ensure the appropriate application mapping is utilized at translation time.

This value is always 004050X166.

IMPLEMENTATION

BEGINNING SEGMENT

Usage: REQUIRED

Repeat: 1

Example: BGN*11*20011218001*20011224*2311**123456789**U~

STANDARD

BGN Beginning Segment

Level: Header

Position: 0200

Loop: _____

Requirement: Mandatory

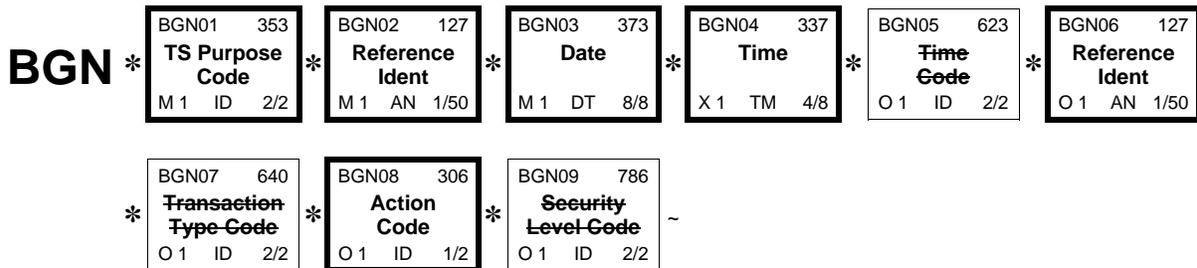
Max Use: 1

Purpose: To indicate the beginning of a transaction set

Syntax: 1. C0504

If BGN05 is present, then BGN04 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	BGN01	353	Transaction Set Purpose Code Code identifying purpose of transaction set	M 1 ID 2/2
			11 Response	
REQUIRED	BGN02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier	M 1 AN 1/50
			SEMANTIC: BGN02 is the transaction set reference number.	
			INDUSTRY: <i>Transaction Set Identifier Code</i>	
			Use the transaction set reference number assigned by the sender's application to uniquely identify this occurrence of the transaction for future reference.	

REQUIRED	BGN03	373	Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year SEMANTIC: BGN03 is the transaction set date. <i>INDUSTRY: Transaction Set Create Date</i>	M 1 DT 8/8								
REQUIRED	BGN04	337	Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) SYNTAX: C0504 SEMANTIC: BGN04 is the transaction set time. <i>INDUSTRY: Transaction Set Create Time</i>	X 1 TM 4/8								
NOT USED	BGN05	623	Time Code	O 1 ID 2/2								
REQUIRED	BGN06	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier SEMANTIC: BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction. <i>INDUSTRY: Referenced Interchange Control Number</i> This is the value in ISA13 from the transaction being acknowledged by this 824 transaction set.	O 1 AN 1/50								
NOT USED	BGN07	640	Transaction Type Code	O 1 ID 2/2								
REQUIRED	BGN08	306	Action Code Code indicating type of action <table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>RU</td> <td>Return Use this value when a portion of the transaction is being accepted which meets compliance with implementation guide criteria. The portion of the transaction set not meeting the implementation guide criteria will be reported in this transaction to the submitting entity for correction and re-transmission if necessary or possible.</td> </tr> <tr> <td>U</td> <td>Reject Use this value when an entire transaction is being rejected for non compliance with implementation guide errors. The entire ST to SE transaction is Rejected by the receiving entity</td> </tr> <tr> <td>WQ</td> <td>Accept Use this value when an entire transaction is being accepted and meets all compliance with implementation guide criteria. The entire ST to SE transaction is accepted by the receiving entity for application processing.</td> </tr> </tbody> </table>	CODE	DEFINITION	RU	Return Use this value when a portion of the transaction is being accepted which meets compliance with implementation guide criteria. The portion of the transaction set not meeting the implementation guide criteria will be reported in this transaction to the submitting entity for correction and re-transmission if necessary or possible.	U	Reject Use this value when an entire transaction is being rejected for non compliance with implementation guide errors. The entire ST to SE transaction is Rejected by the receiving entity	WQ	Accept Use this value when an entire transaction is being accepted and meets all compliance with implementation guide criteria. The entire ST to SE transaction is accepted by the receiving entity for application processing.	O 1 ID 1/2
CODE	DEFINITION											
RU	Return Use this value when a portion of the transaction is being accepted which meets compliance with implementation guide criteria. The portion of the transaction set not meeting the implementation guide criteria will be reported in this transaction to the submitting entity for correction and re-transmission if necessary or possible.											
U	Reject Use this value when an entire transaction is being rejected for non compliance with implementation guide errors. The entire ST to SE transaction is Rejected by the receiving entity											
WQ	Accept Use this value when an entire transaction is being accepted and meets all compliance with implementation guide criteria. The entire ST to SE transaction is accepted by the receiving entity for application processing.											
NOT USED	BGN09	786	Security Level Code	O 1 ID 2/2								

IMPLEMENTATION

RECEIVER NAME

Loop: N1 — RECEIVER NAME Repeat: 1
 Usage: REQUIRED
 Repeat: 1
 Notes: 1. This segment identifies the information about the Receiver of the the 824 transaction.

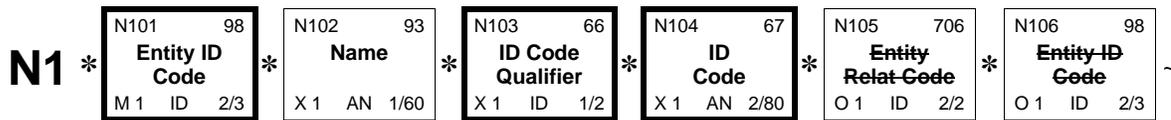
Example: N1*40*ABC Receiver Name*46*EDCBA987654321~

STANDARD

N1 Party Identification

Level: Header
 Position: 0300
 Loop: N1 Repeat: >1
 Requirement: Optional
 Max Use: 1
 Purpose: To identify a party by type of organization, name, and code
 Syntax: 1. **R0203**
 At least one of N102 or N103 is required.
 2. **P0304**
 If either N103 or N104 is present, then the other is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	N101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property or an individual	M 1 ID 2/3
			CODE	DEFINITION
			40	Receiver

SITUATIONAL	N102	93	Name Free-form name SYNTAX: R0203	X 1 AN 1/60				
<i>INDUSTRY: Receiver Name</i>								
Use this data element to clarify the entity identified in N104. Consult specific Trading Partner Agreement for more detailed information.								
REQUIRED	N103	66	Identification Code Qualifier Code designating the system/method of code structure used for Identification Code (67) SYNTAX: R0203, P0304	X 1 ID 1/2				
<table border="1"> <thead> <tr> <th data-bbox="649 609 812 640">CODE</th> <th data-bbox="820 609 1440 640">DEFINITION</th> </tr> </thead> <tbody> <tr> <td data-bbox="649 651 812 682">46</td> <td data-bbox="820 651 1440 787"> Electronic Transmitter Identification Number (ETIN) Use this code value to identify the trading partner value in BGN04 from the Submitter's translator software. </td> </tr> </tbody> </table>					CODE	DEFINITION	46	Electronic Transmitter Identification Number (ETIN) Use this code value to identify the trading partner value in BGN04 from the Submitter's translator software.
CODE	DEFINITION							
46	Electronic Transmitter Identification Number (ETIN) Use this code value to identify the trading partner value in BGN04 from the Submitter's translator software.							
REQUIRED	N104	67	Identification Code Code identifying a party or other code SYNTAX: P0304	X 1 AN 2/80				
COMMENT: This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.								
<i>INDUSTRY: Receiver Identifier</i>								
NOT USED	N105	706	Entity Relationship Code	O 1 ID 2/2				
NOT USED	N106	98	Entity Identifier Code	O 1 ID 2/3				

IMPLEMENTATION

SENDER NAME

Loop: N1 — SENDER NAME Repeat: 1
 Usage: REQUIRED
 Repeat: 1
 Notes: 1. This segment identifies the information about the Sender of the the 824 transaction.

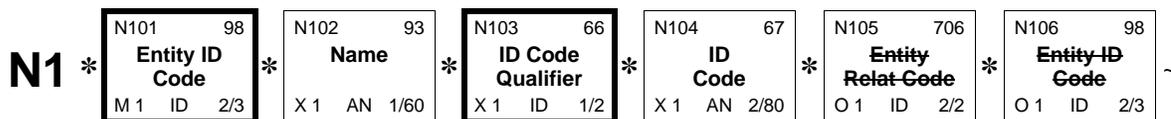
Example: N1*41*ABC Sender Name*46*123456789ABCDE~

STANDARD

N1 Party Identification

Level: Header
 Position: 0300
 Loop: N1 Repeat: >1
 Requirement: Optional
 Max Use: 1
 Purpose: To identify a party by type of organization, name, and code
 Syntax: 1. **R0203**
 At least one of N102 or N103 is required.
 2. **P0304**
 If either N103 or N104 is present, then the other is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	N101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property or an individual	M 1 ID 2/3
			41 Submitter	

SITUATIONAL	N102	93	Name Free-form name SYNTAX: R0203	X 1 AN 1/60
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INDUSTRY: Sender Name

**Use this data element to clarify the entity identified in N104.
Consult specific Trading Partner Agreement for more detailed
information.**

REQUIRED	N103	66	Identification Code Qualifier Code designating the system/method of code structure used for Identification Code (67) SYNTAX: R0203, P0304	X 1 ID 1/2
-----------------	------	----	--------------------------------------------------------------------------------------------------------------------------------------------------------	------------

The number to be used must be established by trading partner agreement.

CODE	DEFINITION
1	D-U-N-S Number, Dun & Bradstreet CODE SOURCE 16: D-U-N-S Number
46	Electronic Transmitter Identification Number (ETIN) Use this code value to identify the trading partner value in BGN04 from the Receiver's translator software.
FI	Federal Taxpayer's Identification Number

SITUATIONAL	N104	67	Identification Code Code identifying a party or other code SYNTAX: P0304	X 1 AN 2/80
--------------------	------	----	---------------------------------------------------------------------------------------	-------------

COMMENT: This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.

INDUSTRY: Sender Identifier

NOT USED	N105	706	Entity Relationship Code	O 1 ID 2/2
NOT USED	N106	98	Entity Identifier Code	O 1 ID 2/3

IMPLEMENTATION

SENDER SECONDARY IDENTIFIER

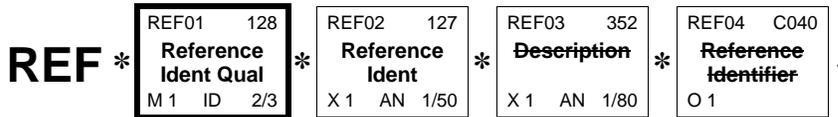
Loop: N1 — SENDER NAME
Usage: SITUATIONAL
Repeat: 12
Example: REF*3L*12345~

STANDARD

REF Reference Information

Level: Header
Position: 0700
Loop: N1
Requirement: Optional
Max Use: 12
Purpose: To specify identifying information
Syntax: 1. R0203
At least one of REF02 or REF03 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	REF01	128	Reference Identification Qualifier Code qualifying the Reference Identification	M 1 ID 2/3
<i>INDUSTRY: Sender Branch Qualifier</i>				
			3L Branch Identifier	
SITUATIONAL	REF02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier	X 1 AN 1/50
SYNTAX: R0203				
<i>INDUSTRY: Sender Branch Identifier Code</i>				
NOT USED	REF03	352	Description	X 1 AN 1/80
NOT USED	REF04	C040	REFERENCE IDENTIFIER	O 1

IMPLEMENTATION

SUBMITTER EDI CONTACT INFORMATION

- Loop:** N1 — SENDER NAME
- Usage:** SITUATIONAL
- Repeat:** 2
- Notes:**
1. Use when contact information is available. When used, point to the contact(s) in the sender organization who deals with data transmission issues.
 2. When the communication number represents a telephone number in the United States and other countries using the North American Dialing Plan (for voice, data, fax, etc.), the communication number must always include the area code and phone number using the format AAABBBCCCC where AAA is the area code, BBB is the telephone number prefix, and CCCC is the telephone number (e.g., (534) 224-2525 would be represented as 5342242525). The extension, if known, must be included in the communication number data element immediately after the telephone number.
 3. The PER segment must be filled from left to right. PER04 must be present before PER06. The PER06 must be present before using PER08.
 4. Only one telephone, extension, electronic mail, or facsimile may be reported per contact, even if two PER segments are used.
 5. The second repetition of the PER must not occur unless the first is full, if the information applies to the same contact.

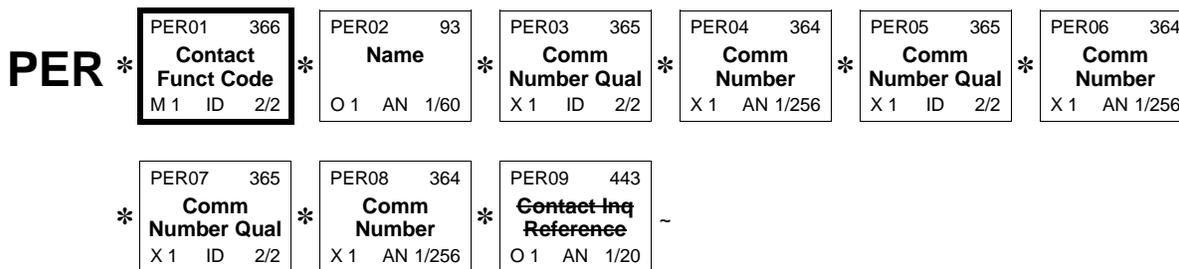
Example: PER*IC*Johnathan Smith*TE*8005551212*EX*1439~

STANDARD

PER Administrative Communications Contact

- Level:** Header
- Position:** 0800
- Loop:** N1
- Requirement:** Optional
- Max Use:** 3
- Purpose:** To identify a person or office to whom administrative communications should be directed
- Syntax:**
1. **P0304**
If either PER03 or PER04 is present, then the other is required.
 2. **P0506**
If either PER05 or PER06 is present, then the other is required.
 3. **P0708**
If either PER07 or PER08 is present, then the other is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	PER01	366	Contact Function Code Code identifying the major duty or responsibility of the person or group named	M 1 ID 2/2
			CODE DEFINITION	
			IC Information Contact	
SITUATIONAL	PER02	93	Name Free-form name	O 1 AN 1/60
			<i>INDUSTRY: Sender Contact Name</i>	
SITUATIONAL	PER03	365	Communication Number Qualifier Code identifying the type of communication number	X 1 ID 2/2
			SYNTAX: P0304	
			CODE DEFINITION	
			EM Electronic Mail	
			FX Facsimile	
			TE Telephone	
SITUATIONAL	PER04	364	Communication Number Complete communications number including country or area code when applicable	X 1 AN 1/256
			SYNTAX: P0304	
			Do not use more than 80 characters.	
SITUATIONAL	PER05	365	Communication Number Qualifier Code identifying the type of communication number	X 1 ID 2/2
			SYNTAX: P0506	
			CODE DEFINITION	
			EM Electronic Mail	
			EX Telephone Extension Extension cannot be reported unless TE exists in PER03 and a phone number exists in PER04.	
			FX Facsimile	
			TE Telephone	

SITUATIONAL	PER06	364	Communication Number Complete communications number including country or area code when applicable SYNTAX: P0506 Do not use more than 80 characters.	X 1 AN	1/256								
SITUATIONAL	PER07	365	Communication Number Qualifier Code identifying the type of communication number SYNTAX: P0708 <table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>EM</td> <td>Electronic Mail</td> </tr> <tr> <td>FX</td> <td>Facsimile</td> </tr> <tr> <td>TE</td> <td>Telephone</td> </tr> </tbody> </table>	CODE	DEFINITION	EM	Electronic Mail	FX	Facsimile	TE	Telephone	X 1 ID	2/2
CODE	DEFINITION												
EM	Electronic Mail												
FX	Facsimile												
TE	Telephone												
SITUATIONAL	PER08	364	Communication Number Complete communications number including country or area code when applicable SYNTAX: P0708 Do not use more than 80 characters.	X 1 AN	1/256								
NOT USED	PER09	443	Contact Inquiry Reference	O 1 AN	1/20								

IMPLEMENTATION

ORIGINAL TRANSACTION IDENTIFICATION

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION Repeat: >1

Usage: REQUIRED

Repeat: 1

Notes: 1. An 824 transaction may be used to reported acceptance or rejection of an entire transaction or individual portions of a transaction. The OTI segment is used as the primary mean to identify the portion (or all) of the received transaction which is being reported upon.

For example, if an entire transaction set (i.e. ST/SE) is being rejected, then the OTI segment would likely indicate the ST control number to identify the ST/SE portion of the received transaction that is being rejected. If part of the transaction is being rejected (e.g. a single check in an 835 remittance advice), then the OTI segment could indicate the actual check number of the rejected portion (or, for example, the subscriber loop in an 834 enrollment transaction).

Example: P&C Example:

OTI*IR*IX*999999999***20020605*1430*555555*0001*266*004010~
This example indicates the rejection of a single item within a 266 transaction set.

Example: Health Care Example:

OTI*TP*TN*999999999***20020605*1442*555555*0001*835*004010A1~

This example indicates that part of the 835 transaction set was accepted and part was rejected.

STANDARD

OTI Original Transaction Identification

Level: Detail

Position: 0100

Loop: OTI Repeat: >1

Requirement: Mandatory

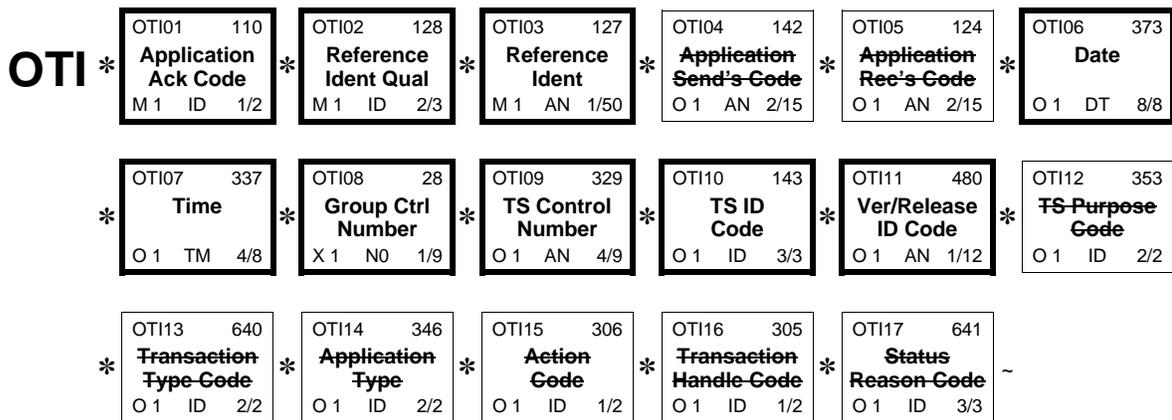
Max Use: 1

Purpose: To identify the edited transaction set and the level at which the results of the edit are reported, and to indicate the accepted, rejected, or accepted-with-change edit result

Set Notes: 1. The OTI loop is intended to provide a unique identification of the transaction set that is the subject of this application acknowledgment.

Syntax: 1. **C0908**
If OTI09 is present, then OTI08 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	OTI01	110	Application Acknowledgment Code	M 1 ID 1/2

The codes for the "Application Acknowledgement Code" contain two characters. The first character indicates the edit level, and the second character indicates the results of the edit. Any combination of the first and second characters is valid. The following values are valid for each set of characters:

- First character**
- T=Transaction - All transactions from a single source; the transactions may represent multiple entities.
 - B=Batch - All transactions from a single entity.
 - I=Item - One of the transactions from a single entity that may have submitted multiple transactions.

The REF segment would be used if needed to identify the single entity or other identifying data to supplement what is in the OTI.

Second character

A=Accept: Use this code when no errors are found and all data is accepted for further processing.

C=Accept with Data Content Change: Use this code when errors are present and the data is changed to accept for further processing.

E=Accept with Errors: Use this code when all data is accepted for further processing even though errors are present.

P=Partial Accept/Reject: Use this code when a portion of the data is accepted and a portion of the data is rejected due to errors. Some data has been accepted for further processing. Rejected data must be corrected by the submitter and resubmitted.

R=Reject: Use this code when all data is rejected due to errors. No data is accepted for further processing. Submitter must correct and resubmit the (batch, transaction, functional group, or item) that was in error.

CODE	DEFINITION
BA	Batch Accept
BC	Batch Accept with Data Content Change
BE	Batch Accept with Error
BP	Batch Partial Accept/Reject
BR	Batch Reject
IA	Item Accept
IC	Item Accept with Data Content Change
IE	Item Accept with Error
IP	Item Partial Accept/Reject
IR	Item Reject
TA	Transaction Set Accept
TC	Transaction Set Accept with Data Content Change
TE	Transaction Set Accept with Error
TP	Transaction Set Partial Accept/Reject
TR	Transaction Set Reject

REQUIRED	OTI02	128	Reference Identification Qualifier Code qualifying the Reference Identification COMMENT: OTI02 contains the qualifier identifying the business transaction from the original business application, and OTI03 will contain the original business application identification.	M 1	ID	2/3
			CODE	DEFINITION		
			BT	Batch Number		
			F8	Original Reference Number		
			IX	Item Number		
			OIC	Object Identifier		
			TN	Transaction Reference Number		
REQUIRED	OTI03	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier SEMANTIC: OTI03 is the primary reference identification or number used to uniquely identify the original transaction set.	M 1	AN	1/50
NOT USED	OTI04	142	Application Sender's Code	O 1	AN	2/15
NOT USED	OTI05	124	Application Receiver's Code	O 1	AN	2/15
REQUIRED	OTI06	373	Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year SEMANTIC: OTI06 is the group date. This is the value in GS04 from the transaction being acknowledged by the 824 transaction set.	O 1	DT	8/8
REQUIRED	OTI07	337	Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) SEMANTIC: OTI07 is the group time. This is the value in GS05 from the transaction being acknowledged by the 824 transaction set.	O 1	TM	4/8
REQUIRED	OTI08	28	Group Control Number Assigned number originated and maintained by the sender SYNTAX: C0908 This is the value in GS06 from the transaction being acknowledged by the 824 transaction set.	X 1	N0	1/9
REQUIRED	OTI09	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set SYNTAX: C0908 COMMENT: If used, OTI09 through OTI10 will contain values from the original electronic transaction set generated by the sender. This is the value in ST02 from the transaction being acknowledged by the 824 transaction set.	O 1	AN	4/9

REQUIRED	OTI10	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set	O 1	ID	3/3
			CODE	DEFINITION		
			112	Property Damage Report		
			124	Vehicle Damage		
			148	Report of Injury, Illness or Incident		
			187	Premium Audit Request and Return		
			266	Mortgage or Property Record Change Notification		
			269	Health Care Benefit Coordination Verification		
			270	Eligibility, Coverage or Benefit Inquiry		
			271	Eligibility, Coverage or Benefit Information		
			272	Property and Casualty Loss Notification		
			274	Healthcare Provider Information		
			275	Patient Information		
			276	Health Care Claim Status Request		
			277	Health Care Claim Status Notification		
			278	Health Care Services Review Information		
			811	Consolidated Service Invoice/Statement		
			820	Payment Order/Remittance Advice		
			834	Benefit Enrollment and Maintenance		
			835	Health Care Claim Payment/Advice		
			837	Health Care Claim Includes Property and Casualty Medical Bill Report to Regulatory Agencies.		
			841	Specifications/Technical Information		
REQUIRED	OTI11	480	Version / Release / Industry Identifier Code Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed	O 1	AN	1/12
			SEMANTIC: If OTI11 is present, it will contain the version/release under which the original electronic transaction was translated by the receiver.			
			CODE SOURCE 881: Version / Release / Industry Identifier Code			
			This is the value in GS08 from the transaction being acknowledged by the 824 transaction set.			
NOT USED	OTI12	353	Transaction Set Purpose Code	O 1	ID	2/2
NOT USED	OTI13	640	Transaction Type Code	O 1	ID	2/2

NOT USED	OTI14	346	Application Type	O 1	ID	2/2
NOT USED	OTI15	306	Action Code	O 1	ID	1/2
NOT USED	OTI16	305	Transaction Handling Code	O 1	ID	1/2
NOT USED	OTI17	641	Status Reason Code	O 1	ID	3/3

IMPLEMENTATION

REFERENCE INFORMATION

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION

Usage: SITUATIONAL

Repeat: 12

Notes: 1. The REF segment is used to provide additional information to identify the portion (or all) of the transaction that is being reported in this OTI loop.

For example, if the OTI has been defined as a provider loop, the REF segment could be used to identify the actual provider number, indicating the specific provider loop within the transaction.

Example: REF*0B*SCOTT1~

STANDARD

REF Reference Information

Level: Detail

Position: 0200

Loop: OTI

Requirement: Optional

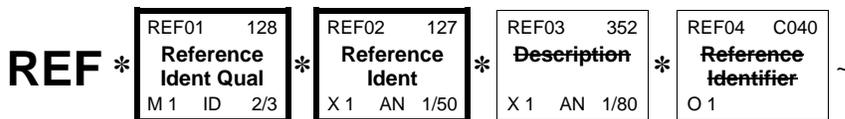
Max Use: 12

Purpose: To specify identifying information

Set Notes: 1. The REF segment allows for the provision of secondary reference identification or numbers required to uniquely identify the original transaction set. The primary reference identification or number should be provided in elements OTI02-03.

Syntax: 1. **R0203**
 At least one of REF02 or REF03 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	REF01	128	Reference Identification Qualifier Code qualifying the Reference Identification	M 1 ID 2/3
			CODE	DEFINITION
			0B	State License Number
			0F	Subscriber Number

0M	Mortgage Identification Number
11	Account Number
18	Plan Number
1A	Blue Cross Provider Number
1B	Blue Shield Provider Number
1C	Medicare Provider Number
1D	Medicaid Provider Number
1E	Dentist License Number
1F	Anesthesia License Number
1G	Provider UPIN Number
1H	CHAMPUS Identification Number
1J	Facility ID Number
1L	Group or Policy Number
1S	Ambulatory Patient Group (APG) Number
1W	Member Identification Number
28	Employee Identification Number
2I	Tracking Number
2U	Payer Identification Number
33	Lender Case Number
5G	Complaint
5H	Incident
6N	Claimant Number
6R	Provider Control Number
7I	Subscriber Authorization Number
7K	List of Materials
89	Assembly Number
9A	Repriced Claim Reference Number
9C	Adjusted Repriced Claim Reference Number
9K	Servicer
9N	Investor
9R	Job Order Number

A9	Health Insurance Account Number
AAL	Agent Number
ADB	Master Property Number
AZ	Health Insurance Policy Number
B7	Life Insurance Policy Number
BA	Retirement Plan Policy Number
BB	Authorization Number
BR	Broker or Sales Office Number
BT	Batch Number
CE	Class of Contract Code
CK	Check Number
CRN	Casualty Report Number
D3	National Association of Boards of Pharmacy Number CODE SOURCE 307: National Association of Boards of Pharmacy Number
D9	Claim Number
E5	Claimant's Claim Number
E9	Attachment Code
EA	Medical Record Identification Number
EI	Employer's Identification Number
EO	Submitter Identification Number
EV	Receiver Identification Number
F2	Version Code - Local
F6	Health Insurance Claim (HIC) Number
F8	Original Reference Number
FI	File Identifier
FJ	Line Item Control Number
G1	Prior Authorization Number
G2	Provider Commercial Number
G3	Predetermination of Benefits Identification Number
HI	Health Industry Number (HIN) CODE SOURCE 121: Health Industry Number
HPI	Health Care Financing Administration National Provider Identifier

CODE SOURCE 537: Health Care Financing Administration
National Provider Identifier

IG	Insurance Policy Number
IX	Item Number
LC	Lease Number
LD	Loan Number
LU	Location Number
LZ	Lender Account Number
N5	Provider Plan Network Identification Number
NF	National Association of Insurance Commissioners (NAIC) Code
	CODE SOURCE 245: National Association of Insurance Commissioners (NAIC) Code
OZ	Product Number
PM	Part Number
POL	Policy Number
PQ	Payee Identification
Q5	Property Control Number
RB	Rate code number
SY	Social Security Number
TJ	Federal Taxpayer's Identification Number
TX	Tax Exempt Number
UA	Mortgage Number
VT	Motor Vehicle ID Number
WU	Vessel
X1	Provider Claim Number
Z8	Federal Housing Administration Case Number
Z9	Veterans Affairs Case Number
ZZ	Mutually Defined

REQUIRED	REF02	127	Reference Identification	X 1 AN 1/50
			Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier	
			SYNTAX: R0203	
NOT USED	REF03	352	Description	X 1 AN 1/80
NOT USED	REF04	C040	REFERENCE IDENTIFIER	O 1

IMPLEMENTATION

DATE/TIME REFERENCE

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION

Usage: SITUATIONAL

Repeat: 2

Notes: 1. The DTM segment is used to provide additional information to identify the portion (or all) of the transaction that is being reported in this OTI loop.

For example, if the OTI has been defined as a particular insurance policy, the DTM segment could be used to identify the policy effective date, helping indicate the specific policy within the transaction.

Example: DTM*007*20020517~

STANDARD

DTM Date/Time Reference

Level: Detail

Position: 0300

Loop: OTI

Requirement: Optional

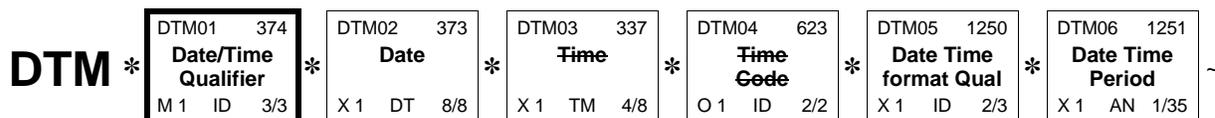
Max Use: 2

Purpose: To specify pertinent dates and times

Set Notes: 1. The DTM segment allows for the provision of date, time, or date and time information required to uniquely identify the original transaction set.

- Syntax:
1. **R020305**
At least one of DTM02, DTM03 or DTM05 is required.
 2. **C0403**
If DTM04 is present, then DTM03 is required.
 3. **P0506**
If either DTM05 or DTM06 is present, then the other is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	DTM01	374	Date/Time Qualifier Code specifying type of date or time, or both date and time	M 1 ID 3/3
			CODE	DEFINITION
			007	Effective
			036	Expiration
			050	Received
			089	Inquiry
			096	Discharge
			150	Service Period Start
			151	Service Period End
			186	Invoice Period Start
			187	Invoice Period End
			193	Period Start
			194	Period End
			227	Lease Term Start
			228	Lease Term End
			232	Claim Statement Period Start
			233	Claim Statement Period End
			285	Employment or Hire
			310	Date of Closing
			356	Eligibility Begin
			357	Eligibility End
			439	Accident
			485	Injury Begin
			486	Injury End
			523	Date of Claim
			539	Policy Effective
			540	Policy Expiration
			547	Date of Loan
			666	Date Paid

			881	Request			
			INC	Incident			
SITUATIONAL	DTM02	373	Date		X 1	DT	8/8
			Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year				
			SYNTAX: R020305				
NOT USED	DTM03	337	Time		X 1	TM	4/8
NOT USED	DTM04	623	Time Code		O 1	ID	2/2
SITUATIONAL	DTM05	1250	Date Time Period Format Qualifier		X 1	ID	2/3
			Code indicating the date format, time format, or date and time format				
			SYNTAX: R020305, P0506				
			CODE	DEFINITION			
			D8	Date Expressed in Format CCYYMMDD			
			RD8	Range of Dates Expressed in Format CCYYMMDD-CCYYMMDD			
			RDT	Range of Date and Time, Expressed in Format CCYYMMDDHHMM-CCYYMMDDHHMM			
SITUATIONAL	DTM06	1251	Date Time Period		X 1	AN	1/35
			Expression of a date, a time, or range of dates, times or dates and times				
			SYNTAX: P0506				

IMPLEMENTATION

MONETARY AMOUNT INFORMATION

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION

Usage: SITUATIONAL

Repeat: 1

Notes: 1. The AMT segment is used to provide additional information to identify the portion (or all) of the transaction that is being reported in this OTI loop.

For example, if the OTI has been defined as a premium payment, the AMT segment could be used to identify the premium amount, helping to indicate the specific premium payment within the transaction.

Example: AMT*P3*123456~

STANDARD

AMT Monetary Amount Information

Level: Detail

Position: 0500

Loop: OTI

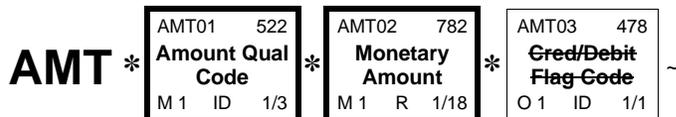
Requirement: Optional

Max Use: >1

Purpose: To indicate the total monetary amount

Set Notes: 1. The AMT segment should be utilized if monetary amount information is important to the unique identification of the original transaction set.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AMT01	522	Amount Qualifier Code Code to qualify amount	M 1 ID 1/3
			CODE DEFINITION	
			1	Line Item Total
			2	Batch Total
			5	Total Invoice Amount
			3Y	Non-operational Fixed Assets
			4Y	Damages

			8Y	Share Premium Capital			
			AU	Coverage Amount			
			GW	Total Charge			
			P3	Premium Amount			
			TP	Total payment amount			
			TT	Total Transaction Amount			
			ZZ	Mutually Defined			
REQUIRED	AMT02	782	Monetary Amount		M 1	R	1/18
			Monetary amount				
NOT USED	AMT03	478	Credit/Debit Flag Code		O 1	ID	1/1

IMPLEMENTATION

QUANTITY INFORMATION

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION

Usage: SITUATIONAL

Repeat: 1

Notes: 1. The QTY segment is used to provide additional information to identify the portion (or all) of the transaction that is being reported in this OTI loop.

For example, if the OTI has been defined as a remittance advice, the QTY segment could be used to identify the total number of checks, helping to indicate the specific remittance within the transaction.

Example: QTY*42*123~

STANDARD

QTY Quantity Information

Level: Detail

Position: 0600

Loop: OTI

Requirement: Optional

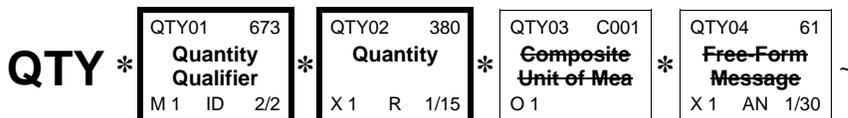
Max Use: >1

Purpose: To specify quantity information

Set Notes: 1. The QTY segment should be utilized if quantity information is important to the unique identification of the original transaction set.

Syntax: 1. **R0204**
At least one of QTY02 or QTY04 is required.
2. **E0204**
Only one of QTY02 or QTY04 may be present.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	QTY01	673	Quantity Qualifier Code specifying the type of quantity	M 1 ID 2/2
			CODE	DEFINITION
			02	Cumulative Quantity
			2W	Segments

			2Y	Functional Groups			
			2Z	Transaction Sets			
			3S	Total Debits			
			3T	Total Credits			
			3U	Total Transactions This code is not part of the 004050 standard.			
			41	Number of Batches			
			42	Number of Checks			
			HF	Invoices			
			NP	Number of Members			
			P6	Number of Services or Procedures			
			TO	Total			
REQUIRED	QTY02	380	Quantity Numeric value of quantity SYNTAX: R0204, E0204		X 1	R	1/15
NOT USED	QTY03	C001	COMPOSITE UNIT OF MEASURE		O 1		
NOT USED	QTY04	61	Free-Form Message		X 1	AN	1/30

IMPLEMENTATION

INDIVIDUAL OR ORGANIZATIONAL NAME

Loop: OTI — ORIGINAL TRANSACTION IDENTIFICATION

Usage: SITUATIONAL

Repeat: 6

Notes: 1. The NM1 segment is used to provide additional information to identify the portion (or all) of the transaction that is being reported in this OTI loop.

For example, if the OTI has been defined as a specific dependent within an enrollment transaction, the NM1 segment could be used to identify the specific dependent within the transaction.

Example: NM1*03*1*Smith*Jerome*A~

STANDARD

NM1 Individual or Organizational Name

Level: Detail

Position: 0650

Loop: OTI

Requirement: Optional

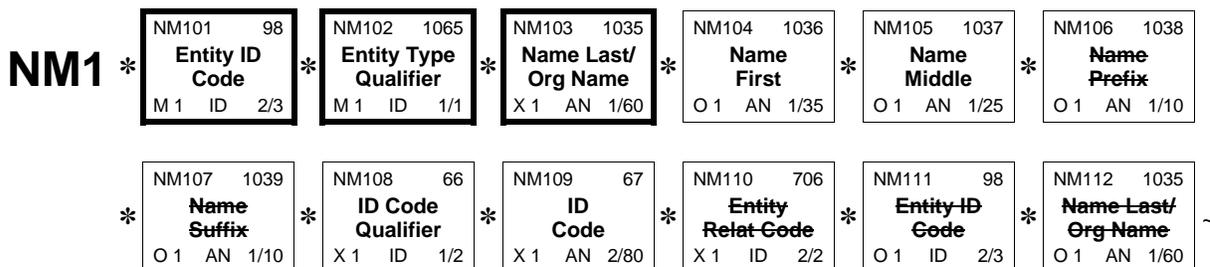
Max Use: 9

Purpose: To supply the full name of an individual or organizational entity

Set Notes: 1. The NM1 segment allows for the provision of entity identification information required to uniquely identify the original transaction set.

- Syntax: 1. **P0809**
If either NM108 or NM109 is present, then the other is required.
2. **C1110**
If NM111 is present, then NM110 is required.
3. **C1203**
If NM112 is present, then NM103 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	NM101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property or an individual	M 1 ID 2/3
			CODE	DEFINITION
			03	Dependent
			1B	Applicant
			1E	Health Maintenance Organization (HMO)
			1H	Kidney Dialysis Unit
			1I	Preferred Provider Organization (PPO)
			1K	Franchisor
			1P	Provider
			1R	University, College or School
			1T	Physician, Clinic or Group Practice
			1X	Laboratory
			2D	Miscellaneous Health Care Facility
			2K	Partnership
			30	Service Supplier
			40	Receiver
			41	Submitter
			74	Corrected Insured
			77	Service Location
			80	Hospital
			82	Rendering Provider
			85	Billing Provider
			87	Pay-to Provider
			8W	Payment Address
			AAP	Employee
			ACV	Information Source
			AG	Agent/Agency
			BB	Business Partner
			BE	Beneficiary

BR	Broker
BV	Billing Service
CC	Claimant
CX	Claim Administrator
DN	Referring Provider
EF	Electronic Filer
ENR	Enroller
EY	Employee Name
GW	Group
GY	Treatment Facility
H5	Paying Agent
HA	Owner
HK	Subscriber
IAE	Member
IL	Insured or Subscriber
IN	Insurer
IP	Independent Adjuster
KU	Receiver Site
L5	Contact
LE	Lessor
LN	Lender
LS	Lessee
MH	Mortgage Insurer
NZ	Primary Physician
P2	Primary Insured or Subscriber
P3	Primary Care Provider
PE	Payee
PR	Payer
QA	Pharmacy
QC	Patient
QH	Physician

			QN	Dentist			
			QV	Group Practice			
			R6	Requester			
			RI	Remit To			
			SJ	Service Provider			
			TM	Transmitter			
			TT	Transfer To			
			TV	Third Party Administrator (TPA)			
			UY	Vehicle			
			ZZ	Mutually Defined			
REQUIRED	NM102	1065	Entity Type Qualifier		M 1	ID	1/1
			Code qualifying the type of entity				
			SEMANTIC: NM102 qualifies NM103.				
			CODE	DEFINITION			
			1	Person			
			2	Non-Person Entity			
REQUIRED	NM103	1035	Name Last or Organization Name		X 1	AN	1/60
			Individual last name or organizational name				
			SYNTAX: C1203				
SITUATIONAL	NM104	1036	Name First		O 1	AN	1/35
			Individual first name				
			Required if NM102 is equal to the value "1".				
SITUATIONAL	NM105	1037	Name Middle		O 1	AN	1/25
			Individual middle name or initial				
			Required if present in the transaction being acknowledged by the 824 transaction set.				
NOT USED	NM106	1038	Name Prefix		O 1	AN	1/10
NOT USED	NM107	1039	Name Suffix		O 1	AN	1/10
SITUATIONAL	NM108	66	Identification Code Qualifier		X 1	ID	1/2
			Code designating the system/method of code structure used for Identification Code (67)				
			SYNTAX: P0809				
			Required if present in the transaction being acknowledged by the 824 transaction set.				
SITUATIONAL	NM109	67	Identification Code		X 1	AN	2/80
			Code identifying a party or other code				
			SYNTAX: P0809				
			Required if present in the transaction being acknowledged by the 824 transaction set.				

NOT USED	NM110	706	Entity Relationship Code	X 1	ID	2/2
NOT USED	NM111	98	Entity Identifier Code	O 1	ID	2/3
NOT USED	NM112	1035	Name Last or Organization Name	O 1	AN	1/60

IMPLEMENTATION

TECHNICAL ERROR DESCRIPTION

Loop: OTI/TED — TECHNICAL ERROR DESCRIPTION Repeat: >1

Usage: SITUATIONAL

Repeat: 1

Notes: 1. Required if OTI01 is equal to "BR", "IR" or "TR". Allowed when OTI01 is equal to "BC", "IC", "TC", "BE", "IE", "TE", "BP", "IP", or "TP" Not used when OTI01 is equal to "BA" "IA" or "TA".

Example: TED* ~

STANDARD

TED Technical Error Description

Level: Detail

Position: 0700

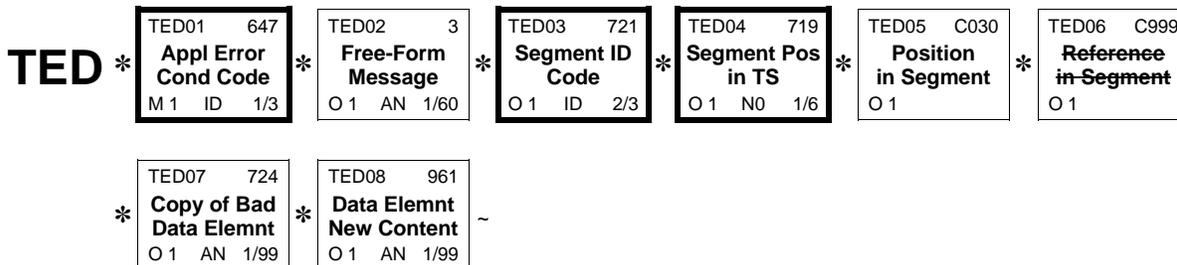
Loop: OTI/TED Repeat: >1

Requirement: Optional

Max Use: 1

Purpose: To identify the error and, if feasible, the erroneous segment, or data element, or both

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	TED01	647	Application Error Condition Code Code indicating application error condition	M 1 ID 1/3
			CODE	DEFINITION
			006	Duplicate
			007	Missing Data
			008	Out of Range
			009	Invalid Date
			010	Total Out of Balance

			011	Not Matching			
			012	Invalid Combination			
			024	Other Unlisted Reason Use code 024 when TED02 is used to report a code.			
			815	Duplicate Batch			
			848	Incorrect Data			
			DTE	Incorrect Date			
			DUP	Duplicate Transaction			
			ICA	Invalid Claim Amount			
			NAU	Not Authorized			
			P	Missing or Invalid Item Quantity			
			Q	Missing or Invalid Item Identification			
			U	Missing or Unauthorized Transaction Type Code			
			UCN	Unknown Claim Number			
SITUATIONAL	TED02	3		Free Form Message Free-form text	O 1	AN	1/60
				COMMENT: If used, TED02 will contain a generic description of the data in error (e.g., part number, date, reference number, etc.).			
				When code 024 is used in TED01, use the first two characters of this data element for error code reporting, followed by a single space, with the remaining spaces reserved for free form messages. Valid error codes are as follows:			
				X1 Invalid data for implementation			
				X2 Required segment missing			
				X3 Required data missing			
				X4 Required data element missing			
				X5 Situational data missing			
				X6 Data too long			
				X7 Invalid external code value			
				X8 Data value out of sequence			
				X9 "Not Used" data element present			
REQUIRED	TED03	721		Segment ID Code Code defining the segment ID of the data segment in error (See Appendix A - Number 77)	O 1	ID	2/3
				CODE SOURCE 77: X12 Directories			
REQUIRED	TED04	719		Segment Position in Transaction Set The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1	O 1	N0	1/6
				If segment is missing, indicate position of next identifiable segment.			

SITUATIONAL	TED05	C030	POSITION IN SEGMENT	O 1
			Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator	
Required if TED01 applies to a data element.				
REQUIRED	TED05 - 1	722	Element Position in Segment	M N0 1/2
			This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID	
SITUATIONAL	TED05 - 2	1528	Component Data Element Position in Composite	O N0 1/2
			To identify the component data element position within the composite that is in error	
SITUATIONAL	TED05 - 3	1686	Repeating Data Element Position	O N0 1/4
			To identify the specific repetition of a data element that is in error	
NOT USED	TED06	C999	REFERENCE IN SEGMENT	O 1
SITUATIONAL	TED07	724	Copy of Bad Data Element	O 1 AN 1/99
			This is a copy of the data element in error	
Required unless invalid characters are present or data is missing.				
SITUATIONAL	TED08	961	Data Element New Content	O 1 AN 1/99
			New data which has replaced erroneous data	
Required if OTI01 is equal to "BC", "IC", or "TC".				

IMPLEMENTATION

CONTEXT

Loop: OTI/TED — TECHNICAL ERROR DESCRIPTION
Usage: SITUATIONAL
Repeat: 10
Notes: 1. Must be used if error in TED was triggered by situational requirement of the implementation guide. The CTX should be used to identify the situational requirement.

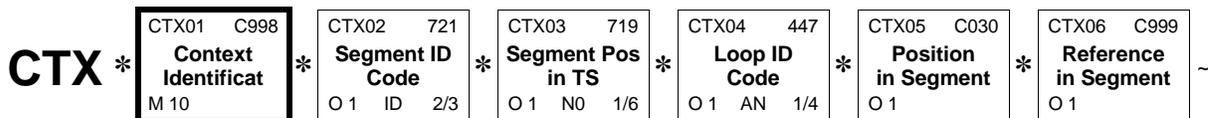
Example: CTX ~

STANDARD

CTX Context

Level: Detail
Position: 0750
Loop: OTI/TED
Requirement: Optional
Max Use: 10
Purpose: Describes an event context in terms of the application or implementation contexts in force at the time the event occurred and the position in the EDI stream at which that context was activated

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	CTX01	C998	CONTEXT IDENTIFICATION	M 10
			Holds information to identify a context	
REQUIRED	CTX01 - 1	9999	Context Name	M AN 1/35
			Holds the name or 'tag' of a context	
			Holds the name or "TAG" of a context, such as the industry name.	
SITUATIONAL	CTX01 - 2	9998	Context Reference	O AN 1/35
			Holds a reference to or for a context	
SITUATIONAL	CTX02	721	Segment ID Code	O 1 ID 2/3
			Code defining the segment ID of the data segment in error (See Appendix A - Number 77)	
			CODE SOURCE 77: X12 Directories	
			Required if situational requirement relates to a segment.	

SITUATIONAL	CTX03	719	Segment Position in Transaction Set	O 1 NO 1/6
			The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1	
			Required if CTX02 is used.	
SITUATIONAL	CTX04	447	Loop Identifier Code	O 1 AN 1/4
			The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE	
			Required if situational requirement relates to a loop.	
SITUATIONAL	CTX05	C030	POSITION IN SEGMENT	O 1
			Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator	
			Required if situational requirement relates to an element.	
REQUIRED	CTX05 - 1	722	Element Position in Segment	M NO 1/2
			This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID	
SITUATIONAL	CTX05 - 2	1528	Component Data Element Position in Composite	O NO 1/2
			To identify the component data element position within the composite that is in error	
			Required if situational requirement relates to a composite element.	
SITUATIONAL	CTX05 - 3	1686	Repeating Data Element Position	O NO 1/4
			To identify the specific repetition of a data element that is in error	
			Required if situational requirement relates to a repeating data element in a composite element.	
SITUATIONAL	CTX06	C999	REFERENCE IN SEGMENT	O 1
			To hold the reference number of a data element and optionally a component data element within a composite	
REQUIRED	CTX06 - 1	725	Data Element Reference Number	M NO 1/4
			Reference number used to locate the data element in the Data Element Dictionary	
			CODE SOURCE 77: X12 Directories	
			If sender considers this supplemental information necessary to identify the situational requirement that triggered the error.	
SITUATIONAL	CTX06 - 2	725	Data Element Reference Number	O NO 1/4
			Reference number used to locate the data element in the Data Element Dictionary	
			CODE SOURCE 77: X12 Directories	
			Required if CTX06 relates to a composite element.	

IMPLEMENTATION

NOTE/SPECIAL INSTRUCTION

Loop: OTI/TED — TECHNICAL ERROR DESCRIPTION
Usage: SITUATIONAL
Repeat: 3
Notes: 1. Can be used to: Send informational broadcast messages to partners not necessarily related to this transaction: Further clarify the reason a transaction has been rejected: Report test results: or Share other supplemental information.

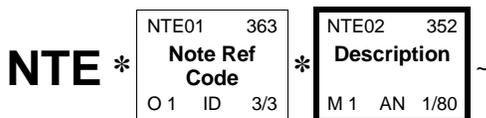
Example: NTE*ALT*The System will be down for maintenance on 6/25/2002~

STANDARD

NTE Note/Special Instruction

Level: Detail
Position: 0800
Loop: OTI/TED
Requirement: Optional
Max Use: 100
Purpose: To transmit information in a free-form format, if necessary, for comment or special instruction

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
SITUATIONAL	NTE01	363	Note Reference Code Code identifying the functional area or purpose for which the note applies	O 1 ID 3/3
			CODE	DEFINITION
			ALT	Alerts
			APN	Application Notes
			DEE	Event Description
			DEP	Problem Description
			TST	Test Results
			ZZZ	Mutually Defined
REQUIRED	NTE02	352	Description A free-form description to clarify the related data elements and their content	M 1 AN 1/80

IMPLEMENTATION

CODE SOURCE INFORMATION

Loop: OTI/LM — CODE SOURCE INFORMATION Repeat: >1
 Usage: SITUATIONAL
 Repeat: 1
 Notes: 1. The LM and LQ segments are used to report application errors only. Neither LM nor LQ may be used to report semantic or syntax related errors related to an ASC X12 standard or an ASC X12N implementation guide. The LM and LQ application error reporting requirements and codes to be used in an ASC X12 824 must be defined by the trading partners.

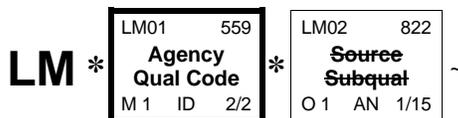
Example: LM*94~

STANDARD

LM Code Source Information

Level: Detail
 Position: 0850
 Loop: OTI/LM Repeat: >1
 Requirement: Optional
 Max Use: 1
 Purpose: To transmit standard code list identification information
 Set Notes: 1. The LM loop is used to identify industry-based or proprietary application error conditions.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	LM01	559	Agency Qualifier Code Code identifying the agency assigning the code values	M 1 ID 2/2				
<p>The 'organization that is the destination of the transaction set' refers to the sender of the 824 transaction.</p> <table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>94</td> <td>Code Assigned by the Organization that is the Ultimate Destination of the Transaction Set</td> </tr> </tbody> </table>					CODE	DEFINITION	94	Code Assigned by the Organization that is the Ultimate Destination of the Transaction Set
CODE	DEFINITION							
94	Code Assigned by the Organization that is the Ultimate Destination of the Transaction Set							
NOT USED	LM02	822	Source Subqualifier	O 1 AN 1/15				

IMPLEMENTATION

INDUSTRY CODE

Loop: OTI/LM/LQ — INDUSTRY CODE Repeat: 100
Usage: REQUIRED
Repeat: 1
Example: LQ**ABC~

STANDARD

LQ Industry Code Identification

Level: Detail
Position: 0860
Loop: OTI/LM/LQ Repeat: 100
Requirement: Mandatory
Max Use: 1
Purpose: To identify standard industry codes
Syntax: 1. C0102
If LQ01 is present, then LQ02 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
NOT USED	LQ01	1270	Code List Qualifier Code	O 1 ID 1/3
REQUIRED	LQ02	1271	Industry Code	X 1 AN 1/30

Code indicating a code from a specific industry code list

SYNTAX: C0102

CODE SOURCE 46: Telecommunications Industry Codes
CODE SOURCE 70: Voluntary Inter-Industry Commerce Standards (VICS) EDI
CODE SOURCE 214: Coverage Code List
CODE SOURCE 244: Line of Business
CODE SOURCE 290: Loss Description Code
CODE SOURCE 291: Cause of Loss Code
CODE SOURCE 436: Product Category Code
CODE SOURCE 446: Calculation Method Code
CODE SOURCE 461: Association of American Railroads Locomotive Information Codes
CODE SOURCE 507: Health Care Claim Status Category Code
CODE SOURCE 508: Health Care Claim Status Code
CODE SOURCE 711: Association of American Railroads Trailer/Container-on-Flat-Car (TOFC/COFC) Serv
CODE SOURCE 886: Health Care Service Review Decision Reason Codes

Error code identified by the entity in LM01.

IMPLEMENTATION

RELATED DATA

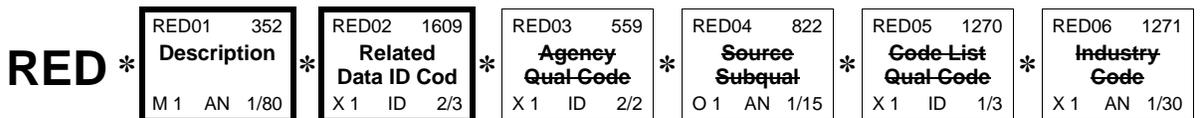
Loop: OTI/LM/LQ — INDUSTRY CODE
 Usage: SITUATIONAL
 Repeat: 100
 Example: RED*Product or Service Identification*AI~
 Example: RED*FILE.ABCDEF.123456*AI~

STANDARD

RED Related Data

Level: Detail
 Position: 0870
 Loop: OTI/LM/LQ
 Requirement: Optional
 Max Use: 100
 Purpose: To provide business data related to an item within a transaction to which a business application editing process has been applied, and an error condition has resulted
 Set Notes: 1. The RED segment may be used to provide data related to the error condition specified in the associated LQ02 element.
 Syntax: 1. **R0206**
 At least one of RED02 or RED06 is required.
 2. **E0206**
 Only one of RED02 or RED06 may be present.
 3. **P030506**
 If either RED03, RED05 or RED06 are present, then the others are required.
 4. **C0403**
 If RED04 is present, then RED03 is required.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	RED01	352	Description A free-form description to clarify the related data elements and their content SEMANTIC: RED01 provides the related business data, whose nature is defined by the code in RED02 or RED06. COMMENT: As an example of the use of the RED01 element, an application edit is applied to the Unit Price element within an Invoice (810) transaction set. The result of that edit indicates an invalid unit price. One piece of related business data would be the associated Product or Service Identification (data element #234). In this example, RED01 would be used to convey the associated Product or Service Identification.	M 1 AN 1/80
REQUIRED	RED02	1609	Related Data Identification Code Code identifying the nature of data related to an application edit error condition SYNTAX: R0206, E0206 SEMANTIC: RED02 is an X12-defined code identifying the specific type of related data in RED01.	X 1 ID 2/3
			CODE	DEFINITION
			AI	Assigned Identification For this implementation guide, the RED02 provides no useful information, but since it is required, this value is for filler only.
NOT USED	RED03	559	Agency Qualifier Code	X 1 ID 2/2
NOT USED	RED04	822	Source Subqualifier	O 1 AN 1/15
NOT USED	RED05	1270	Code List Qualifier Code	X 1 ID 1/3
NOT USED	RED06	1271	Industry Code	X 1 AN 1/30

IMPLEMENTATION

TRANSACTION SET TRAILER

Usage: REQUIRED

Repeat: 1

STANDARD

SE Transaction Set Trailer

Level: Detail

Position: 0900

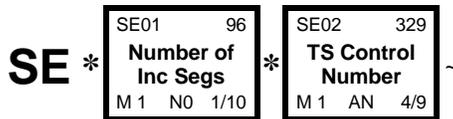
Loop: _____

Requirement: Mandatory

Max Use: 1

Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments	M 1 NO 1/10
REQUIRED	SE02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M 1 AN 4/9

4 Examples

4.1 Business Scenario 1 - Positive Acknowledgement

ABC Insurance is a health care insurance company and has a payer identification of 111111111. ABC Insurance provides health care insurance to SmithCo Steel Manufacturing, which uses a sender number of A1234 for all of its EDI transmissions with ABC Insurance. The EDI contact at ABC Insurance is John Johnson, who can be reached to discuss transmission issues at (800) 555-1212, extension 1439.

ABC Insurance received a benefit enrollment (834 transmission, version 004010X095) from SmithCo on 7/9/2002 at 9:02am, which contained an Interchange Control number (ISA13) of 123456789, a Functional Group Control number (GS06) of GS0002, and a Transaction Set Control Number (ST02) of ST0001. The transmission was subjected to the appropriate implementation guide edits and was found it to be in compliance with the implementation guide.

ABC Insurance prepared an 824 positive acknowledgement, on 7/9/2002 at 9:32am, for return to SmithCo. The acknowledgement's unique transaction identifier within ABC Insurance's application was FFA.ABCDEF.123456. and contained a Transaction Set Control Number of ACK0001.

4.1.1 Transmission

The following is the 824 transmission sent from ABC Insurance to acknowledge receipt of the 834 from SmithCo described in 4.1, Business Scenario 1:

```
ST*824*ACK0001*004050X166~
BGN*11*FFA.ABCDEF.123456*20020709*0932*
  *123456789**WQ~
N1*40*SMITHCO*46*A1234~
N1*41*ABC INSURANCE*46*111111111~
PER*1C*JOHN JOHNSON*TE*8005551212*EX*1439~
OTI*TA*TN*ST0001***20020709*0902*GS0002*ST0001*
  834*004010X095~
SE*7*ACK0001~
```

4.2 Business Scenario 2 - Complete Transaction Set Reject Reporting

DEF Insurance is an automobile insurance company and has a payer identification of 222222222. DEF Insurance provides automobile insurance to the fleet of JohnsCo Transportation, which uses a sender number of B5678 for all of its EDI transmissions with DEF Insurance. The EDI contact at DEF Insurance is Tom Evans, who can be reached to discuss transmission issues at (800) 555-1212, extension 1439. DEF Insurance has an agreement with its trading partners that any implementation guide edit failure will result in the rejection of the entire transaction set.

DEF Insurance received a vehicle damage report (124 transmission, version 004010) from JonesCo on 7/9/2002 at 9:02am, which contained an Interchange Control number (ISA13) of 123456789, a Functional Group Control number (GS06) of GS0002, and a Transaction Set Control Number (ST02) of ST0001. The transmission was subjected to the appropriate implementation guide edits and contained an invalid character in the VEH02 (Vehicle Identification Number) data element.

DEF Insurance prepared an 824 implementation guide report, on 7/9/2002 at 9:32am, for return to JonesCo. The report's unique transaction identifier within DEF Insurance's application was FFA.ABCDEF.123456. and contained a Transaction Set Control Number of ACK0001.

4.2.1 Transmission

The following is the 824 transmission sent from DEF Insurance to report on the implementation guide error of the 124 from JonesCo described in 4.2, Business Scenario 2:

```
ST*824*ACK0001*004050X166~
BGN*11*FFA.ABCDEF.123456*20020709*0932**
 123456789**U~
N1*40*JONESCO*46*B5678~
N1*41*DEF INSURANCE*46*22222222~
PER*1C*TOM EVANS*TE*8005551212*EX*1439~
OTI*TR*TN*ST0001***20020709*0902*GS0002*ST0001*
 124*004010~
TED*024*X1 - Invalid character in VIN*VEH*36*
 2**12345678-2345~
SE*8*ACK0001~
```

4.3 Business Scenario 3 - Partial Transaction Set Reject Reporting

ABC Insurance is a health care insurance company and has a payer identification of 111111111. Asa Allen, MD is a provider of medical services, who uses a sender number of A1234 for all of his EDI transmissions with ABC Insurance. The EDI contact at ABC Insurance is John Johnson, who can be reached to discuss transmission issues at (800) 555-1212, extension 1439.

ABC Insurance received a claim status request (276 transmission, version 004010X093) from Dr Allen on 7/9/2002 at 9:02am, which contained an Interchange Control number (ISA13) of 123456789, a Functional Group Control number (GS06) of GS0002, and a Transaction Set Control Number (ST02) of ST0001. The transmission included requests for the status of claims on two of Dr Allen's patients; Jane Smith (whose subscriber number is X234Y5) and Fred Post (whose subscriber number is B789T1).

The transmission was subjected to the appropriate implementation guide edits. The request for a status of Fred Post's claim contained an unknown claim number (2200D Loop, REF02) of 987654321. The request for a status of Jane Smith's claim was missing the DMG 2000D Loop, which is required when the subscriber is the patient (2000D Loop, HL04=0).

ABC Insurance prepared an 824 implementation guide report, on 7/9/2002 at 9:32am, for return to Dr Allen. The acknowledgement's unique transaction identifier within ABC Insurance's application was FFA.ABCDEF.123456. and contained a Transaction Set Control Number of ACK0001.

4.3.1 Transmission

The following is the 824 transmission sent from ABC Insurance to acknowledge receipt of the 270 from Dr Allen described in 4.3, Business Scenario 3:

```

ST*824*ACK0001*004050X166~
BGN*11*FFA.ABCDEF.123456*20020709*0932**
 123456789**RU~
N1*40*ALLEN*46*A1234~
N1*41*ABC INSURANCE*46*111111111~
PER*1C*JOHN JOHNSON*TE*8005551212*EX*1439~
OTI*TP*TN*ST0001***20020709*0902*GS0002*ST0001*
 276*004010X093~
OTI*IR*OIC*2200D***20020709*0902*GS0002*ST0001*
 276*004010X093~
REF*0F*B789T1~
REF*D9*987654321~
NM1*HK*1*POST*FRED~
TED*UCN**REF*123*2**987654321~
OTI*IR*OIC*2000D***20020709*0902*GS0002*ST0001*
 276*004010X093~
REF*0F*X234Y5~
NM1*HK*1*SMITH*JANE~
TED*024*X2 REQUIRED DMG MISSING WHEN 2000D HL04=0*
 DMG*357~
CTX*2000D SUBSCRIBER LEVEL*HL*356*2000D*4~
SE*17*ACK0001~
    
```


A ASC X12 Nomenclature

A.1 Interchange and Application Control Structures

A.1.1 Interchange Control Structure

The transmission of data proceeds according to very strict format rules to ensure the integrity and maintain the efficiency of the interchange. Each business grouping of data is called a transaction set. For instance, a group of benefit enrollments sent from a sponsor to a payer is considered a transaction set.

Each transaction set contains groups of logically related data in units called segments. For instance, the N4 segment used in the transaction set conveys the city, state, ZIP Code, and other geographic information. A transaction set contains multiple segments, so the addresses of the different parties, for example, can be conveyed from one computer to the other. An analogy would be that the transaction set is like a freight train; the segments are like the train's cars; and each segment can contain several data elements the same as a train car can hold multiple crates.

The sequence of the elements within one segment is specified by the ASC X12 standard as well as the sequence of segments in the transaction set. In a more conventional computing environment, the segments would be equivalent to records, and the elements equivalent to fields.

Similar transaction sets, called "functional groups," can be sent together within a transmission. Each functional group is prefaced by a group start segment; and a functional group is terminated by a group end segment. One or more functional groups are prefaced by an interchange header and followed by an interchange trailer. Figure A1, Transmission Control Schematic, illustrates this interchange control.

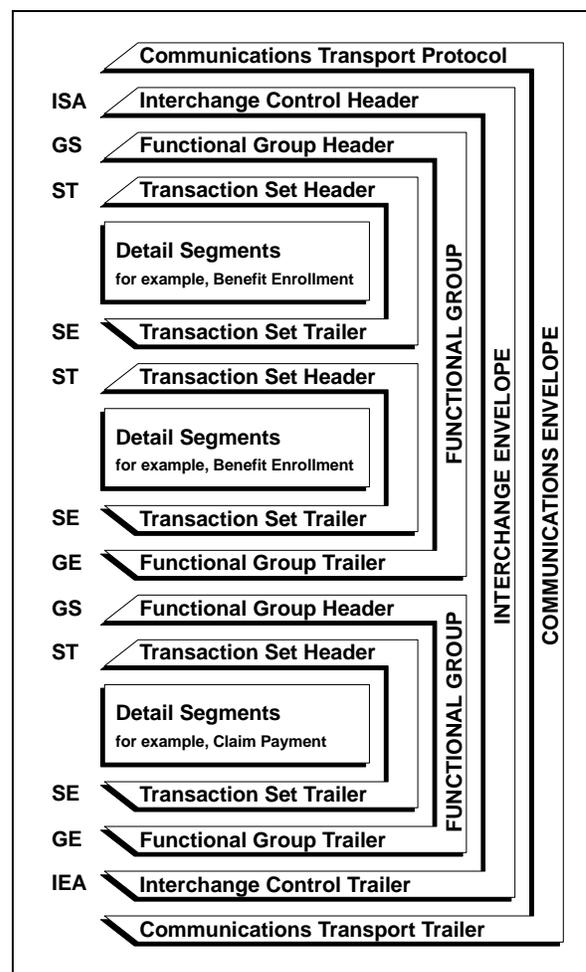


Figure A1. Transmission Control Schematic

The interchange header and trailer segments envelop one or more functional groups or interchange-related control segments and perform the following functions:

1. Define the data element separators and the data segment terminator.
2. Identify the sender and receiver.
3. Provide control information for the interchange.
4. Allow for authorization and security information.

A.1.2 Application Control Structure Definitions and Concepts

A.1.2.1 Basic Structure

A data element corresponds to a data field in data processing terminology. The data element is the smallest named item in the ASC X12 standard. A data segment corresponds to a record in data processing terminology. The data segment begins with a segment ID and contains related data elements. A control segment has the same structure as a data segment; the distinction is in the use. The data segment is used primarily to convey user information, but the control segment is used primarily to convey control information and to group data segments.

A.1.2.2 Basic Character Set

The section that follows is designed to have representation in the common character code schemes of EBCDIC, ASCII, and CCITT International Alphabet 5. The ASC X12 standards are graphic-character-oriented; therefore, common character encoding schemes other than those specified herein may be used as long as a common mapping is available. Because the graphic characters have an implied mapping across character code schemes, those bit patterns are not provided here.

The basic character set of this standard, shown in figure A2, Basic Character Set, includes those selected from the uppercase letters, digits, space, and special characters as specified below.

A...Z	0...9	!	“	&	'	()	*	+
,	-	.	/	:	;	?	=	" " (space)	

Figure A2. Basic Character Set

A.1.2.3 Extended Character Set

An extended character set may be used by negotiation between the two parties and includes the lowercase letters and other special characters as specified in figure A3, Extended Character Set.

a..z	%	~	@	[]	_	{
}	\		<	>	#	\$	

Figure A3. Extended Character Set

Note that the extended characters include several character codes that have multiple graphical representations for a specific bit pattern. The complete list appears

in other standards such as CCITT S.5. Use of the USA graphics for these codes presents no problem unless data is exchanged with an international partner. Other problems, such as the translation of item descriptions from English to French, arise when exchanging data with an international partner, but minimizing the use of codes with multiple graphics eliminates one of the more obvious problems.

A.1.2.4 Control Characters

Two control character groups are specified; they have only restricted usage. The common notation for these groups is also provided, together with the character coding in three common alphabets. In the matrix A1, Base Control Set, the column IA5 represents CCITT V.3 International Alphabet 5.

A.1.2.5 Base Control Set

The base control set includes those characters that will not have a disruptive effect on most communication protocols. These are represented by:

NOTATION	NAME	EBCDIC	ASCII	IA5
BEL	bell	2F	07	07
HT	horizontal tab	05	09	09
LF	line feed	25	0A	0A
VT	vertical tab	0B	0B	0B
FF	form feed	0C	0C	0C
CR	carriage return	0D	0D	0D
FS	file separator	1C	1C	1C
GS	group separator	1D	1D	1D
RS	record separator	1E	1E	1E
US	unit separator	1F	1F	1F
NL	new line	15		

Matrix A1. Base Control Set

The Group Separator (GS) may be an exception in this set because it is used in the 3780 communications protocol to indicate blank space compression.

A.1.2.6 Extended Control Set

The extended control set includes those that may have an effect on a transmission system. These are shown in matrix A2, Extended Control Set.

NOTATION	NAME	EBCDIC	ASCII	IA5
SOH	start of header	01	01	01
STX	start of text	02	02	02
ETX	end of text	03	03	03
EOT	end of transmission	37	04	04
ENQ	enquiry	2D	05	05
ACK	acknowledge	2E	06	06
DC1	device control 1	11	11	11
DC2	device control 2	12	12	12
DC3	device control 3	13	13	13
DC4	device control 4	3C	14	14
NAK	negative acknowledge	3D	15	15
SYN	synchronous idle	32	16	16
ETB	end of block	26	17	17

Matrix A2. Extended Control Set

A.1.2.7 Delimiters

A delimiter is a character used to separate two data elements (or subelements) or to terminate a segment. The delimiters are an integral part of the data.

Delimiters are specified in the interchange header segment, ISA. The ISA segment is a 105 byte fixed length record, followed by a segment terminator. The data element separator is byte number 4; the repetition separator is byte number 83; the component element separator is byte number 105; and the segment terminator is the byte that immediately follows the component element separator.

Once specified in the interchange header, the delimiters are not to be used in a data element value elsewhere in the interchange. For consistency, this implementation guide uses the delimiters shown in matrix A3, Delimiters, in all examples of EDI transmissions.

CHARACTER	NAME	DELIMITER
*	Asterisk	Data Element Separator
^	Caret	Repetition Separator
:	Colon	Subelement Separator
~	Tilde	Segment Terminator

Matrix A3. Delimiters

The delimiters above are for illustration purposes only and are not specific recommendations or requirements. Users of this implementation guide should be aware that an application system may use some valid delimiter characters within the application data. Occurrences of delimiter characters in transmitted data within a data element can result in errors in translation programs. The existence of asterisks (*) within transmitted application data is a known issue that can affect translation software.

A.1.3 Business Transaction Structure Definitions and Concepts

The ASC X12 standards define commonly used business transactions (such as a health care claim) in a formal structure called “transaction sets.” A transaction set is composed of a transaction set header control segment, one or more data segments, and a transaction set trailer control segment. Each segment is composed of the following:

- A unique segment ID
- One or more logically related data elements each preceded by a data element separator
- A segment terminator

A.1.3.1 Data Element

The data element is the smallest named unit of information in the ASC X12 standard. Data elements are identified as either simple or component. A data element that occurs as an ordinal member of a composite data structure is identified as a component data element. A data element that occurs in a segment outside the defined boundaries of a composite data structure is identified as a simple data element. The distinction between simple and component data elements is strictly a matter of context because a data element can be used in either capacity.

Data elements are assigned a unique reference number. Each data element has a name, description, type, minimum length, and maximum length. For ID type data elements, this guide provides the applicable ASC X12 code values and their descriptions or references where the valid code list can be obtained.

A simple data element within a segment or a composite data element may have an attribute indicating that it may occur once or a specific number of times more than once. The number of permitted repeats are defined as an attribute in the individual segment or composite structure where the repeated data element occurs. In this implementation guide, no simple data element repeats.

Each data element is assigned a minimum and maximum length. The length of the data element value is the number of character positions used except as noted for numeric, decimal, and binary elements.

The data element types shown in matrix A4, Data Element Types, appear in this implementation guide.

SYMBOL	TYPE
Nn	Numeric
R	Decimal
ID	Identifier
AN	String
DT	Date
TM	Time
B	Binary

Matrix A4. Data Element Types

A.1.3.1.1

Numeric

A numeric data element is represented by one or more digits with an optional leading sign representing a value in the normal base of 10. The value of a numeric data element includes an implied decimal point. It is used when the position of the decimal point within the data is permanently fixed and is not to be transmitted with the data.

This set of guides denotes the number of implied decimal positions. The representation for this data element type is "Nn" where N indicates that it is numeric and n indicates the number of decimal positions to the right of the implied decimal point.

If n is 0, it need not appear in the specification; N is equivalent to N0. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) should not be transmitted.

EXAMPLE

A transmitted value of 1234, when specified as numeric type N2, represents a value of 12.34.

Leading zeros should be suppressed unless necessary to satisfy a minimum length requirement. The length of a numeric type data element does not include the optional sign.

A.1.3.1.2

Decimal

A decimal data element may contain an explicit decimal point and is used for numeric values that have a varying number of decimal positions. This data element type is represented as "R."

The decimal point always appears in the character stream if the decimal point is at any place other than the right end. If the value is an integer (decimal point at the right end) the decimal point should be omitted. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) should not be transmitted.

Leading zeros should be suppressed unless necessary to satisfy a minimum length requirement. Trailing zeros following the decimal point should be suppressed unless necessary to indicate precision. The use of triad separators (for example, the commas in 1,000,000) is expressly prohibited. The length of a decimal type data element does not include the optional leading sign or decimal point.

EXAMPLE

A transmitted value of 12.34 represents a decimal value of 12.34.

For implementation of this guide under the rules promulgated under the Health Insurance Portability and Accountability Act (HIPAA), decimal data elements in Data Element 782 (Monetary Amount) will be limited to a maximum length of 10 characters including reported or implied places for cents (implied value of 00 after the decimal point). Note the statement in the preceding paragraph that the decimal point and leading sign, if sent, are not part of the character count.

A.1.3.1.3 Identifier

An identifier data element always contains a value from a predefined list of codes that is maintained by the ASC X12 Committee or some other body recognized by the Committee. Trailing spaces should be suppressed unless they are necessary to satisfy a minimum length. An identifier is always left justified. The representation for this data element type is "ID."

A.1.3.1.4 String

A string data element is a sequence of any characters from the basic or extended character sets. The significant characters shall be left justified. Leading spaces, when they occur, are presumed to be significant characters. Trailing spaces should be suppressed unless they are necessary to satisfy a minimum length. The representation for this data element type is "AN."

A.1.3.1.5 Date

A date data element is used to express the standard date in either YYMMDD or CCYYMMDD format in which CC is the first two digits of the calendar year, YY is the last two digits of the calendar year, MM is the month (01 to 12), and DD is the day in the month (01 to 31). The representation for this data element type is "DT." Users of this guide should note that all dates within transactions are 8-character dates (millennium compliant) in the format CCYYMMDD. The only date data element that is in format YYMMDD is the Interchange Date data element in the ISA segment, and also used in the TA1 Interchange Acknowledgment, where the century can be readily interpolated because of the nature of an interchange header.

A.1.3.1.6 Time

A time data element is used to express the ISO standard time HHMMSSd..d format in which HH is the hour for a 24 hour clock (00 to 23), MM is the minute (00 to 59), SS is the second (00 to 59) and d..d is decimal seconds. The representation for this data element type is "TM." The length of the data element determines the format of the transmitted time.

EXAMPLE

Transmitted data elements of four characters denote HHMM. Transmitted data elements of six characters denote HHMMSS.

A.1.3.2 Composite Data Structure

The composite data structure is an intermediate unit of information in a segment. Composite data structures are composed of one or more logically related simple data elements, each, except the last, followed by a sub-element separator. The final data element is followed by the next data element separator or the segment terminator. Each simple data element within a composite is called a component.

Each composite data structure has a unique four-character identifier, a name, and a purpose. The identifier serves as a label for the composite. A composite data structure can be further defined through the use of syntax notes, semantic notes, and comments. Each component within the composite is further characterized by a reference designator and a condition designator. The reference designators and the condition designators are described below.

A composite data structure within a segment may have an attribute indicating that it may occur once or a specific number of times more than once. The number of permitted repeats are defined as an attribute in the individual segment where the repeated composite data structure occurs. In this implementation guide, no composite data structure repeats.

A.1.3.3 Data Segment

The data segment is an intermediate unit of information in a transaction set. In the data stream, a data segment consists of a segment identifier, one or more composite data structures or simple data elements each preceded by a data element separator and succeeded by a segment terminator.

Each data segment has a unique two- or three-character identifier, a name, and a purpose. The identifier serves as a label for the data segment. A segment can be further defined through the use of syntax notes, semantic notes, and comments. Each simple data element or composite data structure within the segment is further characterized by a reference designator and a condition designator.

A.1.3.4 Syntax Notes

Syntax notes describe relational conditions among two or more data segment units within the same segment, or among two or more component data elements within the same composite data structure. For a complete description of the relational conditions, See A.1.3.8, Condition Designator.

A.1.3.5 Semantic Notes

Simple data elements or composite data structures may be referenced by a semantic note within a particular segment. A semantic note provides important additional information regarding the intended meaning of a designated data element, particularly a generic type, in the context of its use within a specific data segment. Semantic notes may also define a relational condition among data elements in a segment based on the presence of a specific value (or one of a set of values) in one of the data elements.

A.1.3.6

Comments

A segment comment provides additional information regarding the intended use of the segment.

A.1.3.7

Reference Designator

Each simple data element or composite data structure in a segment is provided a structured code that indicates the segment in which it is used and the sequential position within the segment. The code is composed of the segment identifier followed by a two-digit number that defines the position of the simple data element or composite data structure in that segment.

For purposes of creating reference designators, the composite data structure is viewed as the hierarchical equal of the simple data element. Each component data element in a composite data structure is identified by a suffix appended to the reference designator for the composite data structure of which it is a member. This suffix is a two-digit number, prefixed with a hyphen, that defines the position of the component data element in the composite data structure.

EXAMPLE

- The first simple element of the CLP segment would be identified as CLP01.
- The first position in the SVC segment is occupied by a composite data structure that contains seven component data elements, the reference designator for the second component data element would be SVC01-02.

A.1.3.8

Condition Designator

This section provides information about X12 standard conditions designators. It is provided so that users will have information about the general standard. Implementation guides may impose other conditions designators. See implementation guide section 3.1 Presentation Examples for detailed information about the implementation guide Industry Usage requirements for compliant implementation.

Data element conditions are of three types: mandatory, optional, and relational. They define the circumstances under which a data element may be required to be present or not present in a particular segment.

DESIGNATOR	DESCRIPTION
M- Mandatory	The designation of mandatory is absolute in the sense that there is no dependency on other data elements. This designation may apply to either simple data elements or composite data structures. If the designation applies to a composite data structure, then at least one value of a component data element in that composite data structure shall be included in the data segment.
O- Optional	The designation of optional means that there is no requirement for a simple data element or composite data structure to be present in the segment. The presence of a value for a simple data element or the presence of value for any of the component data elements of a composite data structure is at the option of the sender.
X- Relational	Relational conditions may exist among two or more simple data elements within the same data segment based on the presence or absence of one of those data elements (presence means a data element must not be empty). Relational conditions are specified by a condition code (see table below) and the reference designators of the affected data elements. A data element may be subject to more than one relational condition. The definitions for each of the condition codes used within syntax notes are detailed below:

CONDITION CODE	DEFINITION
P- Paired or Multiple	If any element specified in the relational condition is present, then all of the elements specified must be present.
R- Required	At least one of the elements specified in the condition must be present.
E- Exclusion	Not more than one of the elements specified in the condition may be present.
C- Conditional	If the first element specified in the condition is present, then all other elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.
L- List Conditional	If the first element specified in the condition is present, then at least one of the remaining elements must be present. However, any or all of the elements not specified as the first element in the condition may appear without requiring that the first element be present. The order of the elements in the condition does not have to be the same as the order of the data elements in the data segment.

Table A5. Condition Designator

A.1.3.9 Absence of Data

Any simple data element that is indicated as mandatory must not be empty if the segment is used. At least one component data element of a composite data structure that is indicated as mandatory must not be empty if the segment is used. Optional simple data elements and/or composite data structures and their preceding data element separators that are not needed should be omitted if they occur at the end of a segment. If they do not occur at the end of the segment, the simple data element values and/or composite data structure values may be omitted. Their absence is indicated by the occurrence of their preceding data element separators, in order to maintain the element's or structure's position as defined in the data segment.

Likewise, when additional information is not necessary within a composite, the composite may be terminated by providing the appropriate data element separator or segment terminator.

A.1.3.10 Control Segments

A control segment has the same structure as a data segment, but it is used for transferring control information rather than application information.

A.1.3.10.1 Loop Control Segments

Loop control segments are used only to delineate bounded loops. Delineation of the loop shall consist of the loop header (LS segment) and the loop trailer (LE segment). The loop header defines the start of a structure that must contain one or more iterations of a loop of data segments and provides the loop identifier for this loop. The loop trailer defines the end of the structure. The LS segment appears only before the first occurrence of the loop, and the LE segment appears

only after the last occurrence of the loop. Unbounded looping structures do not use loop control segments.

A.1.3.10.2 Transaction Set Control Segments

The transaction set is delineated by the transaction set header (ST segment) and the transaction set trailer (SE segment). The transaction set header identifies the start and identifier of the transaction set. The transaction set trailer identifies the end of the transaction set and provides a count of the data segments, which includes the ST and SE segments.

A.1.3.10.3 Functional Group Control Segments

The functional group is delineated by the functional group header (GS segment) and the functional group trailer (GE segment). The functional group header starts and identifies one or more related transaction sets and provides a control number and application identification information. The functional group trailer defines the end of the functional group of related transaction sets and provides a count of contained transaction sets.

A.1.3.10.4 Relations among Control Segments

The control segment of this standard must have a nested relationship as is shown and annotated in this subsection. The letters preceding the control segment name are the segment identifier for that control segment. The indentation of segment identifiers shown below indicates the subordination among control segments.

GS Functional Group Header, starts a group of related transaction sets.

ST Transaction Set Header, starts a transaction set.

LS Loop Header, starts a bounded loop of data segments but is not part of the loop.

LS Loop Header, starts an inner, nested, bounded loop.

LE Loop Trailer, ends an inner, nested bounded loop.

LE Loop Trailer, ends a bounded loop of data segments but is not part of the loop.

SE Transaction Set Trailer, ends a transaction set.

GE Functional Group Trailer, ends a group of related transaction sets.

More than one ST/SE pair, each representing a transaction set, may be used within one functional group. Also more than one LS/LE pair, each representing a bounded loop, may be used within one transaction set.

A.1.3.11 Transaction Set

The transaction set is the smallest meaningful set of information exchanged between trading partners. The transaction set consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment. See figure A1, Transmission Control Schematic.

A.1.3.11.1**Transaction Set Header and Trailer**

A transaction set identifier uniquely identifies a transaction set. This identifier is the first data element of the Transaction Set Header Segment (ST). A user assigned transaction set control number in the header must match the control number in the Trailer Segment (SE) for any given transaction set. The value for the number of included segments in the SE segment is the total number of segments in the transaction set, including the ST and SE segments.

A.1.3.11.2**Data Segment Groups**

The data segments in a transaction set may be repeated as individual data segments or as unbounded or bounded loops.

A.1.3.11.3**Repeated Occurrences of Single Data Segments**

When a single data segment is allowed to be repeated, it may have a specified maximum number of occurrences defined at each specified position within a given transaction set standard. Alternatively, a segment may be allowed to repeat an unlimited number of times. The notation for an unlimited number of repetitions is ">1."

A.1.3.11.4**Loops of Data Segments**

Loops are groups of semantically related segments. Data segment loops may be unbounded or bounded.

A.1.3.11.4.1**Unbounded Loops**

To establish the iteration of a loop, the first data segment in the loop must appear once and only once in each iteration. Loops may have a specified maximum number of repetitions. Alternatively, the loop may be specified as having an unlimited number of iterations. The notation for an unlimited number of repetitions is ">1."

A specified sequence of segments is in the loop. Loops themselves are optional or mandatory. The requirement designator of the beginning segment of a loop indicates whether at least one occurrence of the loop is required. Each appearance of the beginning segment defines an occurrence of the loop.

The requirement designator of any segment within the loop after the beginning segment applies to that segment for each occurrence of the loop. If there is a mandatory requirement designator for any data segment within the loop after the beginning segment, that data segment is mandatory for each occurrence of the loop. If the loop is optional, the mandatory segment only occurs if the loop occurs.

A.1.3.11.4.2**Bounded Loops**

The characteristics of unbounded loops described previously also apply to bounded loops. In addition, bounded loops require a Loop Start Segment (LS) to appear before the first occurrence and a Loop End Segment (LE) to appear after the last occurrence of the loop. If the loop does not occur, the LS and LE segments are suppressed.

A.1.3.11.5**Data Segments in a Transaction Set**

When data segments are combined to form a transaction set, three characteristics are applied to each data segment: a requirement designator, a position in the transaction set, and a maximum occurrence.

A.1.3.11.6 Data Segment Requirement Designators

A data segment, or loop, has one of the following requirement designators for health care and insurance transaction sets, indicating its appearance in the data stream of a transmission. These requirement designators are represented by a single character code.

DESIGNATOR	DESCRIPTION
M- Mandatory	This data segment must be included in the transaction set. (Note that a data segment may be mandatory in a loop of data segments, but the loop itself is optional if the beginning segment of the loop is designated as optional.)
O- Optional	The presence of this data segment is the option of the sending party.

A.1.3.11.7 Data Segment Position

The ordinal positions of the segments in a transaction set are explicitly specified for that transaction. Subject to the flexibility provided by the optional requirement designators of the segments, this positioning must be maintained.

A.1.3.11.8 Data Segment Occurrence

A data segment may have a maximum occurrence of one, a finite number greater than one, or an unlimited number indicated by ">1."

A.1.3.12 Functional Group

A functional group is a group of similar transaction sets that is bounded by a functional group header segment and a functional group trailer segment. The functional identifier defines the group of transactions that may be included within the functional group. The value for the functional group control number in the header and trailer control segments must be identical for any given group. The value for the number of included transaction sets is the total number of transaction sets in the group. See figure A1, Transmission Control Schematic.

A.1.4 Envelopes and Control Structures

A.1.4.1 Interchange Control Structures

Typically, the term "interchange" connotes the ISA/IEA envelope that is transmitted between trading/business partners. Interchange control is achieved through several "control" components. The interchange control number is contained in data element ISA13 of the ISA segment. The identical control number must also occur in data element 02 of the IEA segment. Most commercial translation software products will verify that these two fields are identical. In most translation software products, if these fields are different the interchange will be "suspended" in error.

There are many other features of the ISA segment that are used for control measures. For instance, the ISA segment contains data elements such as authorization information, security information, sender identification, and receiver identification that can be used for control purposes. These data elements are agreed upon by the trading partners prior to transmission and are contained in the written trading partner agreement. The interchange date and time data elements as well as the interchange control number within the ISA segment are used for debugging purposes when there is a problem with the transmission or the interchange.

Data Element ISA12, Interchange Control Version Number, indicates the version of the ISA/IEA envelope. The ISA12 does not indicate the version of the transaction set that is being transmitted but rather the envelope that encapsulates the transaction. An Interchange Acknowledgment can be denoted through data element ISA14. The acknowledgment that would be sent in reply to a “yes” condition in data element ISA14 would be the TA1 segment. Data element ISA15, Test Indicator, is used between trading partners to indicate that the transmission is in a “test” or “production” mode. This becomes significant when the production phase of the project is to commence. Data element ISA16, Subelement Separator, is used by the translator for interpretation of composite data elements.

The ending component of the interchange or ISA/IEA envelope is the IEA segment. Data element IEA01 indicates the number of functional groups that are included within the interchange. In most commercial translation software products, an aggregate count of functional groups is kept while interpreting the interchange. This count is then verified with data element IEA01. If there is a discrepancy, in most commercial products, the interchange is suspended. The other data element in the IEA segment is IEA02 which is referenced above.

See the Appendix B, EDI Control Directory, for a complete detailing of the interchange control header and trailer. The authors recommend that when two transactions with different X12 versions numbers are sent in one interchange control structure (multiple functional groups within one ISA/IEA envelope), the Interchange Control version used should be that of the most recent transaction version included in the envelope. For the transmission of HIPAA transactions with mixed versions, this would be a compliant enveloping structure.

A.1.4.2 Functional Groups

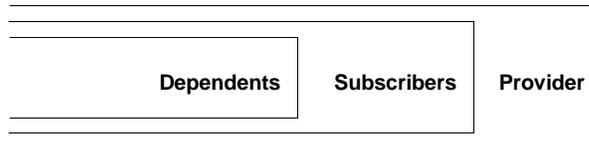
Control structures within the functional group envelope include the functional identifier code in GS01. The Functional Identifier Code is used by the commercial translation software during interpretation of the interchange to determine the different transaction sets that may be included within the functional group. If an inappropriate transaction set is contained within the functional group, most commercial translation software will suspend the functional group within the interchange. The Application Sender’s Code in GS02 can be used to identify the sending unit of the transmission. The Application Receiver’s Code in GS03 can be used to identify the receiving unit of the transmission. For health care, this unit identification can be used to differentiate between managed care, indemnity, and Medicare. The functional group contains a creation date (GS04) and creation time (GS05) for the functional group. The Group Control Number is contained in GS06. These data elements (GS04, GS05, AND GS06) can be used for debugging purposes during problem resolution. GS08, Version/Release/Industry Identifier Code is the version/release/sub-release of the transaction sets being transmitted in this functional group. Appendix B provides guidance for the value for this data element. The GS08 does not represent the version of the interchange (ISA/IEA) envelope but rather the version/release/sub-release of the transaction sets that are encompassed within the GS/GE envelope.

The Functional Group Control Number in GS06 must be identical to data element 02 of the GE segment. Data element GE01 indicates the number of transaction sets within the functional group. In most commercial translation software products, an aggregate count of the transaction sets is kept while interpreting the functional group. This count is then verified with data element GE01.

See the Appendix B, EDI Control Directory, for a complete detailing of the functional group header and trailer.

A.1.4.3 HL Structures

The HL segment is used in several X12 transaction sets to identify levels of detail information using a hierarchical structure, such as relating dependents to a subscriber. Hierarchical levels may differ from guide to guide. The following diagram, from transaction set 837, illustrates a typical hierarchy.



Each provider can bill for one or more subscribers, each subscriber can have one or more dependents and the subscriber and the dependents can make one or more claims. Each guide states what levels are available, the level's requirement, a repeat value, and whether that level has subordinate levels within a transmission.

A.1.5 Acknowledgments

A.1.5.1 Interchange Acknowledgment, TA1

The Interchange or TA1 Acknowledgment is a means of replying to an interchange or transmission that has been sent. The TA1 verifies the envelopes only. Transaction set-specific verification is accomplished through use of the Functional Acknowledgment Transaction Set, 997. See A.1.5.2, Functional Acknowledgment, 997, for more details. The TA1 is a single segment and is unique in the sense that this single segment is transmitted without the GS/GE envelope structures. A TA1 can be included in an interchange with other functional groups and transactions.

Encompassed in the TA1 are the interchange control number, interchange date and time, interchange acknowledgment code, and the interchange note code. The interchange control number, interchange date and time are identical to those that were present in the transmitted interchange from the sending trading partner. This provides the capability to associate the TA1 with the transmitted interchange. TA104, Interchange Acknowledgment Code, indicates the status of the interchange control structure. This data element stipulates whether the transmitted interchange was accepted with no errors, accepted with errors, or rejected because of errors. TA105, Interchange Note Code, is a numerical code that indicates the error found while processing the interchange control structure. Values for this data element indicate whether the error occurred at the interchange or functional group envelope.

The TA1 segment provides the capability for the receiving trading partner to notify the sending trading partner of problems that were encountered in the interchange control structure.

Due to the uniqueness of the TA1, implementation should be predicated upon the ability for the sending and receiving trading partners commercial translators to ac-

commodate the uniqueness of the TA1. Unless named as mandatory in the Federal Rules implementing HIPAA, use of the TA1, although urged by the authors, is not mandated.

See the Appendix B, EDI Control Directory, for a complete detailing of the TA1 segment.

A.1.5.2 Functional Acknowledgment, 997

The Functional Acknowledgment Transaction Set, 997, has been designed to allow trading partners to establish a comprehensive control function as a part of their business exchange process. This acknowledgment process facilitates control of EDI. There is a one-to-one correspondence between a 997 and a functional group. Segments within the 997 can identify the acceptance or rejection of the functional group, transaction sets or segments. Data elements in error can also be identified. There are many EDI implementations that have incorporated the acknowledgment process in all of their electronic communications. Typically, the 997 is used as a functional acknowledgment to a previously transmitted functional group. Many commercially available translators can automatically generate this transaction set through internal parameter settings. Additionally translators will automatically reconcile received acknowledgments to functional groups that have been sent. The benefit to this process is that the sending trading partner can determine if the receiving trading partner has received ASC X12 transaction sets through reports that can be generated by the translation software to identify transmissions that have not been acknowledged.

As stated previously the 997 is a transaction set and thus is encapsulated within the interchange control structure (envelopes) for transmission.

As with any information flow, an acknowledgment process is essential. If an “automatic” acknowledgment process is desired between trading partners then it is recommended that the 997 be used. Unless named as mandatory in the Federal Rules implementing HIPAA, use of the 997, although recommended by the authors, is not mandated.

See Appendix B, EDI Control Directory, for a complete detailing of transaction set 997.

B EDI Control Directory

B.1 Control Segments

- **ISA**
Interchange Control Header Segment
- **IEA**
Interchange Control Trailer Segment
- **GS**
Functional Group Header Segment
- **GE**
Functional Group Trailer Segment
- **TA1**
Interchange Acknowledgment Segment

B.2 Functional Acknowledgment Transaction Set, 997

IMPLEMENTATION

INTERCHANGE CONTROL HEADER

Notes: 1. The ISA is a fixed record length segment and all positions within each of the data elements must be filled. The first element separator defines the element separator to be used through the entire interchange. The segment terminator used after the ISA defines the segment terminator to be used throughout the entire interchange. Spaces in the example are represented by c. for clarity.

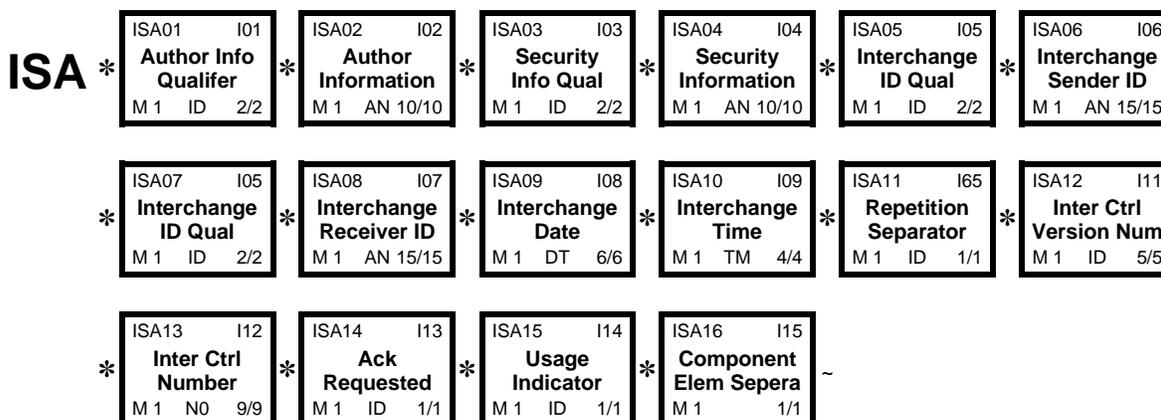
Example: ISA* 00** 01* SECRET....* ZZ* SUBMITTERS.ID..* ZZ* RECEIVERS.ID...* 930602* 1253* ^* 00405* 00000905* 1* T* :-

STANDARD

ISA Interchange Control Header

Purpose: To start and identify an interchange of zero or more functional groups and interchange-related control segments

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES						
REQUIRED	ISA01	I01	Authorization Information Qualifier Code identifying the type of information in the Authorization Information	M 1 ID 2/2						
			<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>00</td> <td>No Authorization Information Present (No Meaningful Information in I02) ADVISED UNLESS SECURITY REQUIREMENTS MANDATE USE OF ADDITIONAL IDENTIFICATION INFORMATION.</td> </tr> <tr> <td>03</td> <td>Additional Data Identification</td> </tr> </tbody> </table>	CODE	DEFINITION	00	No Authorization Information Present (No Meaningful Information in I02) ADVISED UNLESS SECURITY REQUIREMENTS MANDATE USE OF ADDITIONAL IDENTIFICATION INFORMATION.	03	Additional Data Identification	
CODE	DEFINITION									
00	No Authorization Information Present (No Meaningful Information in I02) ADVISED UNLESS SECURITY REQUIREMENTS MANDATE USE OF ADDITIONAL IDENTIFICATION INFORMATION.									
03	Additional Data Identification									
REQUIRED	ISA02	I02	Authorization Information Information used for additional identification or authorization of the interchange sender or the data in the interchange; the type of information is set by the Authorization Information Qualifier (I01)	M 1 AN 10/10						

REQUIRED **ISA03** **I03** **Security Information Qualifier** **M 1 ID 2/2**
 Code identifying the type of information in the Security Information

CODE	DEFINITION
00	No Security Information Present (No Meaningful Information in I04) ADVISED
01	Password

REQUIRED **ISA04** **I04** **Security Information** **M 1 AN 10/10**
 This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03)

REQUIRED **ISA05** **I05** **Interchange ID Qualifier** **M 1 ID 2/2**
 Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified

This ID qualifies the Sender in ISA06.

CODE	DEFINITION
01	Duns (Dun & Bradstreet)
14	Duns Plus Suffix
20	Health Industry Number (HIN) CODE SOURCE 121: Health Industry Number
27	Carrier Identification Number as assigned by Health Care Financing Administration (HCFA)
28	Fiscal Intermediary Identification Number as assigned by Health Care Financing Administration (HCFA)
29	Medicare Provider and Supplier Identification Number as assigned by Health Care Financing Administration (HCFA)
30	U.S. Federal Tax Identification Number
33	National Association of Insurance Commissioners Company Code (NAIC)
ZZ	Mutually Defined

REQUIRED **ISA06** **I06** **Interchange Sender ID** **M 1 AN 15/15**
 Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element

REQUIRED **ISA07** **I05** **Interchange ID Qualifier** **M 1 ID 2/2**
 Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified

This ID qualifies the Receiver in ISA08.

CODE	DEFINITION
01	Duns (Dun & Bradstreet)
14	Duns Plus Suffix

			20	Health Industry Number (HIN) CODE SOURCE 121: Health Industry Number			
			27	Carrier Identification Number as assigned by Health Care Financing Administration (HCFA)			
			28	Fiscal Intermediary Identification Number as assigned by Health Care Financing Administration (HCFA)			
			29	Medicare Provider and Supplier Identification Number as assigned by Health Care Financing Administration (HCFA)			
			30	U.S. Federal Tax Identification Number			
			33	National Association of Insurance Commissioners Company Code (NAIC)			
			ZZ	Mutually Defined			
REQUIRED	ISA08	I07	Interchange Receiver ID	M 1 AN 15/15 Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them			
REQUIRED	ISA09	I08	Interchange Date	M 1 DT 6/6 Date of the interchange The date format is YYYYMMDD.			
REQUIRED	ISA10	I09	Interchange Time	M 1 TM 4/4 Time of the interchange The time format is HHMM.			
REQUIRED	ISA11	I65	Repetition Separator	M 1 ID 1/1 Type is not applicable; the repetition separator is a delimiter and not a data element; this field provides the delimiter used to separate repeated occurrences of a simple data element or a composite data structure; this value must be different than the data element separator, component element separator, and the segment terminator			
REQUIRED	ISA12	I11	Interchange Control Version Number	M 1 ID 5/5 Code specifying the version number of the interchange control segments			
			00405	Standards Approved for Publication by ASC X12 Procedures Review Board through October 2001			
REQUIRED	ISA13	I12	Interchange Control Number	M 1 N0 9/9 A control number assigned by the interchange sender The Interchange Control Number, ISA13, must be identical to the associated Interchange Trailer IEA02.			
REQUIRED	ISA14	I13	Acknowledgment Requested	M 1 ID 1/1 Code indicating sender's request for an interchange acknowledgment See Section A.1.5.1 for interchange acknowledgment information.			
			0	No Interchange Acknowledgment Requested			
			1	Interchange Acknowledgment Requested (TA1)			

REQUIRED **ISA15** **I14** **Interchange Usage Indicator** **M 1 ID 1/1**
 Code indicating whether data enclosed by this interchange envelope is test, production or information

CODE	DEFINITION
P	Production Data
T	Test Data

REQUIRED **ISA16** **I15** **Component Element Separator** **M 1 1/1**
 Type is not applicable; the component element separator is a delimiter and not a data element; this field provides the delimiter used to separate component data elements within a composite data structure; this value must be different than the data element separator and the segment terminator

IMPLEMENTATION

INTERCHANGE CONTROL TRAILER

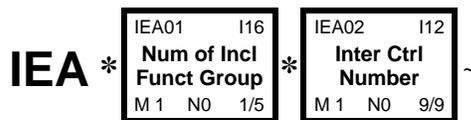
Example: IEA*1*000000905~

STANDARD

IEA Interchange Control Trailer

Purpose: To define the end of an interchange of zero or more functional groups and interchange-related control segments

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	IEA01	I16	Number of Included Functional Groups A count of the number of functional groups included in an interchange	M 1 NO 1/5
REQUIRED	IEA02	I12	Interchange Control Number A control number assigned by the interchange sender	M 1 NO 9/9

IMPLEMENTATION

FUNCTIONAL GROUP HEADER

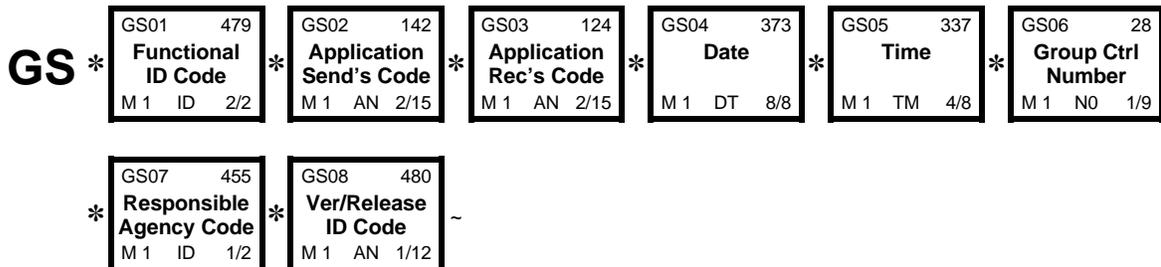
Example: **GS*AG*SENDER CODE*RECEIVER CODE***
19940331*0802*1*X*004050X166~

STANDARD

GS Functional Group Header

Purpose: To indicate the beginning of a functional group and to provide control information

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	GS01	479	Functional Identifier Code Code identifying a group of application related transaction sets	M 1 ID 2/2
			AG Application Advice (824)	
REQUIRED	GS02	142	Application Sender's Code Code identifying party sending transmission; codes agreed to by trading partners Use this code to identify the unit sending the information.	M 1 AN 2/15
REQUIRED	GS03	124	Application Receiver's Code Code identifying party receiving transmission; codes agreed to by trading partners Use this code to identify the unit receiving the information.	M 1 AN 2/15
REQUIRED	GS04	373	Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year SEMANTIC: GS04 is the group date. Use this date for the functional group creation date.	M 1 DT 8/8
REQUIRED	GS05	337	Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) SEMANTIC: GS05 is the group time. Use this time for the creation time. The recommended format is HHMM.	M 1 TM 4/8

REQUIRED	GS06	28	Group Control Number	M 1 N0 1/9
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Assigned number originated and maintained by the sender

SEMANTIC: The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02.

REQUIRED	GS07	455	Responsible Agency Code	M 1 ID 1/2
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Code identifying the issuer of the standard; this code is used in conjunction with Data Element 480

CODE	DEFINITION
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X	Accredited Standards Committee X12
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REQUIRED	GS08	480	Version / Release / Industry Identifier Code	M 1 AN 1/12
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Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed

CODE SOURCE 881: Version / Release / Industry Identifier Code

CODE	DEFINITION
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004050X166	Standards Approved for Publication by ASC X12 Procedures Review Board through October 2001, as published in this implementation guide.
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IMPLEMENTATION

FUNCTIONAL GROUP TRAILER

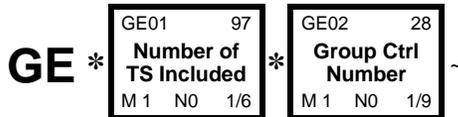
Example: GE*1*1~

STANDARD

GE Functional Group Trailer

Purpose: To indicate the end of a functional group and to provide control information

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	GE01	97	Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element	M 1 NO 1/6
REQUIRED	GE02	28	Group Control Number Assigned number originated and maintained by the sender	M 1 NO 1/9

SEMANTIC: The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06.

IMPLEMENTATION

INTERCHANGE ACKNOWLEDGMENT

- Notes:**
1. All fields must contain data.
 2. This segment acknowledges the reception of an X12 interchange header and trailer from a previous interchange. If the header/trailer pair was received correctly, the TA1 reflects a valid interchange, regardless of the validity of the contents of the data included inside the header/trailer envelope.
 3. See A.1.5.1, Interchange Acknowledgment, TAI, for interchange acknowledgment.
 4. Use of TA1 is subject to trading partner agreement and is neither mandated or prohibited in the Appendix.

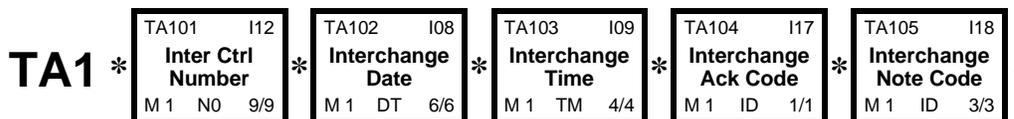
Example: TA1*000000905*940101*0100*A*001~

STANDARD

TA1 Interchange Acknowledgment

Purpose: To report the status of processing a received interchange header and trailer or the non-delivery by a network provider

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	TA101	I12	Interchange Control Number A control number assigned by the interchange sender	M 1 NO 9/9
			<p>This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number.</p> <p>In the TA1, this should be the interchange control number of the original interchange that this TA1 is acknowledging.</p>	
REQUIRED	TA102	I08	Interchange Date Date of the interchange	M 1 DT 6/6
			<p>This is the date of the original interchange being acknowledged (YYMMDD).</p>	

REQUIRED TA103 I09 **Interchange Time** M 1 TM 4/4
 Time of the interchange

This is the time of the original interchange being acknowledged (HHMM).

REQUIRED TA104 I17 **Interchange Acknowledgment Code** M 1 ID 1/1
 Code indicating the status of the receipt of the interchange control structure

CODE	DEFINITION
A	The Transmitted Interchange Control Structure Header and Trailer Have Been Received and Have No Errors.
E	The Transmitted Interchange Control Structure Header and Trailer Have Been Received and Are Accepted But Errors Are Noted. This Means the Sender Must Not Resend This Data.
R	The Transmitted Interchange Control Structure Header and Trailer are Rejected Because of Errors.

REQUIRED TA105 I18 **Interchange Note Code** M 1 ID 3/3
 Code specifying the error found processing the interchange control structure

CODE	DEFINITION
000	No error
001	The Interchange Control Number in the Header and Trailer Do Not Match. The Value From the Header is Used in the Acknowledgment.
002	This Standard as Noted in the Control Standards Identifier is Not Supported.
003	This Version of the Controls is Not Supported
004	The Segment Terminator is Invalid
005	Invalid Interchange ID Qualifier for Sender
006	Invalid Interchange Sender ID
007	Invalid Interchange ID Qualifier for Receiver
008	Invalid Interchange Receiver ID
009	Unknown Interchange Receiver ID
010	Invalid Authorization Information Qualifier Value
011	Invalid Authorization Information Value
012	Invalid Security Information Qualifier Value
013	Invalid Security Information Value
014	Invalid Interchange Date Value
015	Invalid Interchange Time Value
016	Invalid Interchange Standards Identifier Value

017	Invalid Interchange Version ID Value
018	Invalid Interchange Control Number Value
019	Invalid Acknowledgment Requested Value
020	Invalid Test Indicator Value
021	Invalid Number of Included Groups Value
022	Invalid Control Structure
023	Improper (Premature) End-of-File (Transmission)
024	Invalid Interchange Content (e.g., Invalid GS Segment)
025	Duplicate Interchange Control Number
026	Invalid Data Element Separator
027	Invalid Component Element Separator
028	Invalid Delivery Date in Deferred Delivery Request
029	Invalid Delivery Time in Deferred Delivery Request
030	Invalid Delivery Time Code in Deferred Delivery Request
031	Invalid Grade of Service Code

STANDARD

997 Functional Acknowledgment

Functional Group ID: FA

This X12 Transaction Set contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Table 1 - Header

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
0100	ST	Transaction Set Header	M	1	
0200	AK1	Functional Group Response Header	M	1	
LOOP ID - AK2					999999
0300	AK2	Transaction Set Response Header	O	1	
LOOP ID - AK2/AK3					999999
0400	AK3	Data Segment Note	O	1	
0500	AK4	Data Element Note	O	99	
0600	AK5	Transaction Set Response Trailer	M	1	
0700	AK9	Functional Group Response Trailer	M	1	
0800	SE	Transaction Set Trailer	M	1	

NOTES:

- 1/0100** These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
- 1/0100** The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.
- 1/0100** There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- 1/0200** AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- 1/0200** The Functional Acknowledgment is generated at the point of translation, intended for the originator (not any intermediate parties).
- 1/0300** AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.
- 1/0400** The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

IMPLEMENTATION

TRANSACTION SET HEADER

Usage: REQUIRED

Repeat: 1

Notes: 1. Use of the 997 transaction is subject to trading partner agreement or accepted usage and is neither mandated nor prohibited in this Appendix.

Example: ST*997*1234~

STANDARD

ST Transaction Set Header

Level: Header

Position: 0100

Loop: _____

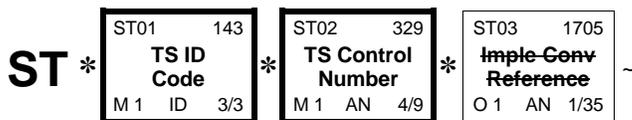
Requirement: Mandatory

Max Use: 1

Purpose: To indicate the start of a transaction set and to assign a control number

- Set Notes:
1. These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
 2. The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.
 3. There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set SEMANTIC: The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).	M 1 ID 3/3				
			<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>997</td> <td>Functional Acknowledgment</td> </tr> </tbody> </table>	CODE	DEFINITION	997	Functional Acknowledgment	
CODE	DEFINITION							
997	Functional Acknowledgment							
REQUIRED	ST02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set The Transaction Set Control Numbers in ST02 and SE02 must be identical. The number is assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number 0001 and increment from there. Use the corresponding value in ST02 for this transaction set.	M 1 AN 4/9				
NOT USED	ST03	1705	Implementation Convention Reference	O 1 AN 1/35				

IMPLEMENTATION

FUNCTIONAL GROUP RESPONSE HEADER

Usage: REQUIRED

Repeat: 1

Example: AK1*AG*1~

STANDARD

AK1 Functional Group Response Header

Level: Header

Position: 0200

Loop: _____

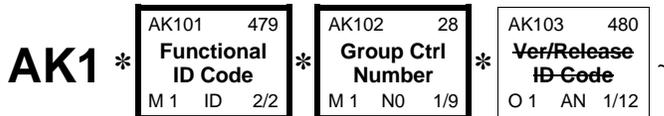
Requirement: Mandatory

Max Use: 1

Purpose: To start acknowledgment of a functional group

- Set Notes:**
1. AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
 2. The Functional Acknowledgement is generated at the point of translation, intended for the originator (not any intermediate parties).

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK101	479	Functional Identifier Code Code identifying a group of application related transaction sets SEMANTIC: AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged.	M 1 ID 2/2
			AG Application Advice (824)	
REQUIRED	AK102	28	Group Control Number Assigned number originated and maintained by the sender SEMANTIC: AK102 is the functional group control number found in the GS segment in the functional group being acknowledged.	M 1 N0 1/9
NOT USED	AK103	480	Version / Release / Industry Identifier Code	O 1 AN 1/12

IMPLEMENTATION

TRANSACTION SET RESPONSE HEADER

Loop: AK2 — TRANSACTION SET RESPONSE HEADER Repeat: 999999

Usage: SITUATIONAL

Repeat: 1

Notes: 1. Required when communicating information about a transaction set within a functional group identified in AK1.

Example: AK2*824*000000905~

STANDARD

AK2 Transaction Set Response Header

Level: Header

Position: 0300

Loop: AK2 Repeat: 999999

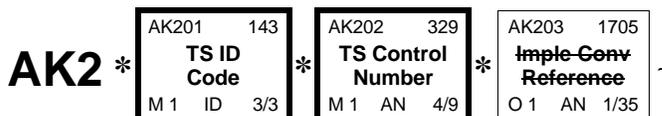
Requirement: Optional

Max Use: 1

Purpose: To start acknowledgment of a single transaction set

Set Notes: 1. AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES				
REQUIRED	AK201	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set SEMANTIC: AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged.	M 1 ID 3/3				
<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>824</td> <td>Application Advice</td> </tr> </tbody> </table>					CODE	DEFINITION	824	Application Advice
CODE	DEFINITION							
824	Application Advice							
REQUIRED	AK202	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set SEMANTIC: AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.	M 1 AN 4/9				
NOT USED	AK203	1705	Implementation Convention Reference	O 1 AN 1/35				

IMPLEMENTATION

DATA SEGMENT NOTE

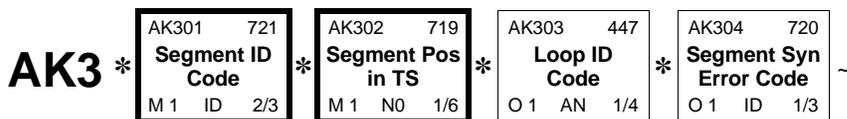
Loop: AK2/AK3 — DATA SEGMENT NOTE Repeat: 999999
 Usage: SITUATIONAL
 Repeat: 1
 Notes: 1. Used when there are errors to report in a transaction.
 Example: AK3*NM1*37*CLP*7~

STANDARD

AK3 Data Segment Note

Level: Header
 Position: 0400
 Loop: AK2/AK3 Repeat: 999999
 Requirement: Optional
 Max Use: 1
 Purpose: To report errors in a data segment and identify the location of the data segment
 Set Notes: 1. The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK301	721	Segment ID Code Code defining the segment ID of the data segment in error (See Appendix A - Number 77) CODE SOURCE 77: X12 Directories This is the 2 or 3 characters which occur at the beginning of a segment.	M 1 ID 2/3
REQUIRED	AK302	719	Segment Position in Transaction Set The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1 This is a data count, not a segment position in the standard description.	M 1 N0 1/6

SITUATIONAL **AK303** **447** **Loop Identifier Code** **O 1 AN 1/4**
 The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE

Code identifying a loop within the transaction set which is bounded by the related LS and LE segments (corresponding LS and LE segments must have the same value for loop identifier). (Note: The loop ID number given on the transaction set diagram is recommended as the value for this data element in the segments LS and LE.)

SITUATIONAL **AK304** **720** **Segment Syntax Error Code** **O 1 ID 1/3**
 Code indicating error found based on the syntax editing of a segment

Required if error exists.

CODE	DEFINITION
1	Unrecognized segment ID
2	Unexpected segment
3	Mandatory segment missing
4	Loop Occurs Over Maximum Times
5	Segment Exceeds Maximum Use
6	Segment Not in Defined Transaction Set
7	Segment Not in Proper Sequence
8	Segment Has Data Element Errors

IMPLEMENTATION

DATA ELEMENT NOTE

Loop: AK2/AK3 — DATA SEGMENT NOTE
 Usage: SITUATIONAL
 Repeat: 99
 Notes: 1. Used when there are errors to report in a data element or composite data structure.

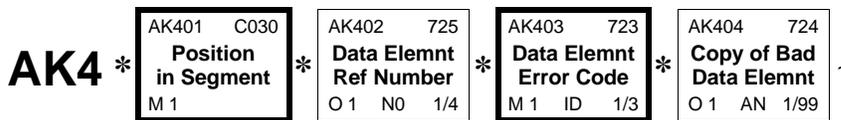
Example: AK4*1*98*7~

STANDARD

AK4 Data Element Note

Level: Header
 Position: 0500
 Loop: AK2/AK3
 Requirement: Optional
 Max Use: 99
 Purpose: To report errors in a data element or composite data structure and identify the location of the data element

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK401	C030	POSITION IN SEGMENT	M 1 Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator
REQUIRED	AK401 - 1	722	Element Position in Segment	M NO 1/2 This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID

SITUATIONAL	AK401 - 2	1528	Component Data Element Position in Composite To identify the component data element position within the composite that is in error	O N0 1/2																										
Used when an error occurs in a composite data element and the composite data element position can be determined.																														
SITUATIONAL	AK401 - 3	1686	Repeating Data Element Position To identify the specific repetition of a data element that is in error	O N0 1/4																										
SITUATIONAL	AK402 725		Data Element Reference Number Reference number used to locate the data element in the Data Element Dictionary CODE SOURCE 77: X12 Directories	O 1 N0 1/4																										
The Data Element Reference Number for this data element is 725. All reference numbers are found with the segment descriptions in this guide.																														
REQUIRED	AK403 723		Data Element Syntax Error Code Code indicating the error found after syntax edits of a data element	M 1 ID 1/3																										
<table border="1"> <thead> <tr> <th>CODE</th> <th>DEFINITION</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Mandatory data element missing</td> </tr> <tr> <td>2</td> <td>Conditional required data element missing.</td> </tr> <tr> <td>3</td> <td>Too many data elements.</td> </tr> <tr> <td>4</td> <td>Data element too short.</td> </tr> <tr> <td>5</td> <td>Data element too long.</td> </tr> <tr> <td>6</td> <td>Invalid character in data element.</td> </tr> <tr> <td>7</td> <td>Invalid code value.</td> </tr> <tr> <td>8</td> <td>Invalid Date</td> </tr> <tr> <td>9</td> <td>Invalid Time</td> </tr> <tr> <td>10</td> <td>Exclusion Condition Violated</td> </tr> <tr> <td>12</td> <td>Too Many Repetitions</td> </tr> <tr> <td>13</td> <td>Too Many Components</td> </tr> </tbody> </table>					CODE	DEFINITION	1	Mandatory data element missing	2	Conditional required data element missing.	3	Too many data elements.	4	Data element too short.	5	Data element too long.	6	Invalid character in data element.	7	Invalid code value.	8	Invalid Date	9	Invalid Time	10	Exclusion Condition Violated	12	Too Many Repetitions	13	Too Many Components
CODE	DEFINITION																													
1	Mandatory data element missing																													
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6	Invalid character in data element.																													
7	Invalid code value.																													
8	Invalid Date																													
9	Invalid Time																													
10	Exclusion Condition Violated																													
12	Too Many Repetitions																													
13	Too Many Components																													
SITUATIONAL	AK404 724		Copy of Bad Data Element This is a copy of the data element in error SEMANTIC: In no case shall a value be used for AK404 that would generate a syntax error, e.g., an invalid character.	O 1 AN 1/99																										
Used to provide copy of erroneous data to the original submitter, but this is not used if the error reported in an invalid character.																														

IMPLEMENTATION

TRANSACTION SET RESPONSE TRAILER

Loop: AK2/AK3 — DATA SEGMENT NOTE

Usage: REQUIRED

Repeat: 1

Example: AK5*E*5~

STANDARD

AK5 Transaction Set Response Trailer

Level: Header

Position: 0600

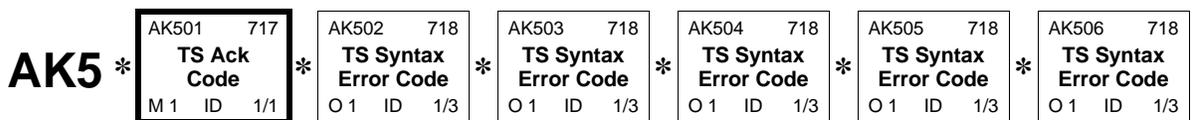
Loop: AK2

Requirement: Mandatory

Max Use: 1

Purpose: To acknowledge acceptance or rejection and report errors in a transaction set

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK501	717	Transaction Set Acknowledgment Code	M 1 ID 1/1
			Code indicating accept or reject condition based on the syntax editing of the transaction set	
			<u>CODE</u>	<u>DEFINITION</u>
			A	Accepted ADVISED
			E	Accepted But Errors Were Noted
			M	Rejected, Message Authentication Code (MAC) Failed
			R	Rejected ADVISED
			W	Rejected, Assurance Failed Validity Tests
			X	Rejected, Content After Decryption Could Not Be Analyzed

SITUATIONAL **AK502** **718** **Transaction Set Syntax Error Code** **O 1 ID 1/3**
Code indicating error found based on the syntax editing of a transaction set

Required if error exists.

CODE	DEFINITION
1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
8	Authentication Key Name Unknown
9	Encryption Key Name Unknown
10	Requested Service (Authentication or Encrypted) Not Available
11	Unknown Security Recipient
12	Incorrect Message Length (Encryption Only)
13	Message Authentication Code Failed
15	Unknown Security Originator
16	Syntax Error in Decrypted Text
17	Security Not Supported
23	Transaction Set Control Number Not Unique within the Functional Group
24	S3E Security End Segment Missing for S3S Security Start Segment
25	S3S Security Start Segment Missing for S3E Security End Segment
26	S4E Security End Segment Missing for S4S Security Start Segment
27	S4S Security Start Segment Missing for S4E Security End Segment

SITUATIONAL **AK503** **718** **Transaction Set Syntax Error Code** **O 1 ID 1/3**
Code indicating error found based on the syntax editing of a transaction set

Use the same codes indicated in AK502.

SITUATIONAL	AK504	718	Transaction Set Syntax Error Code	O 1 ID 1/3
			Code indicating error found based on the syntax editing of a transaction set	
			Use the same codes indicated in AK502.	
SITUATIONAL	AK505	718	Transaction Set Syntax Error Code	O 1 ID 1/3
			Code indicating error found based on the syntax editing of a transaction set	
			Use the same codes indicated in AK502.	
SITUATIONAL	AK506	718	Transaction Set Syntax Error Code	O 1 ID 1/3
			Code indicating error found based on the syntax editing of a transaction set	
			Use the same codes indicated in AK502.	

IMPLEMENTATION

FUNCTIONAL GROUP RESPONSE TRAILER

Usage: REQUIRED

Repeat: 1

Example: AK9*A*1*1*1~

STANDARD

AK9 Functional Group Response Trailer

Level: Header

Position: 0700

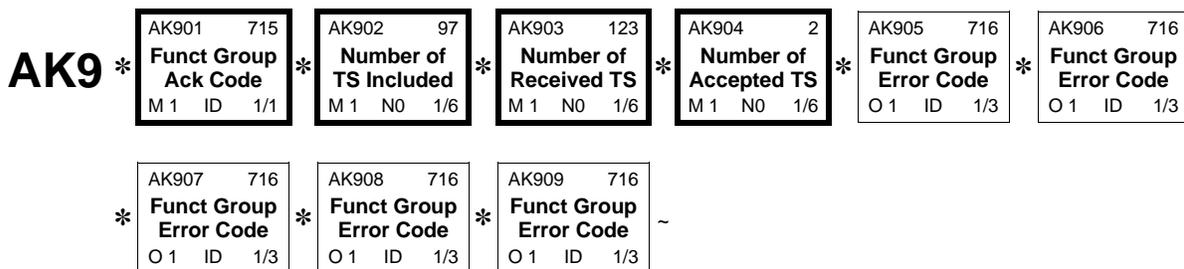
Loop: _____

Requirement: Mandatory

Max Use: 1

Purpose: To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	AK901	715	Functional Group Acknowledge Code	M 1 ID 1/1
			Code indicating accept or reject condition based on the syntax editing of the functional group	
			COMMENT: If AK901 contains the value "A" or "E", then the transmitted functional group is accepted.	
			CODE	DEFINITION
			A	Accepted ADVISED
			E	Accepted, But Errors Were Noted.
			M	Rejected, Message Authentication Code (MAC) Failed

			P	Partially Accepted, At Least One Transaction Set Was Rejected ADVISED
			R	Rejected ADVISED
			W	Rejected, Assurance Failed Validity Tests
			X	Rejected, Content After Decryption Could Not Be Analyzed
REQUIRED	AK902	97	Number of Transaction Sets Included	M 1 N0 1/6 Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element
			This is the value in the original GE01.	
REQUIRED	AK903	123	Number of Received Transaction Sets	M 1 N0 1/6 Number of Transaction Sets received
REQUIRED	AK904	2	Number of Accepted Transaction Sets	M 1 N0 1/6 Number of accepted Transaction Sets in a Functional Group
SITUATIONAL	AK905	716	Functional Group Syntax Error Code	O 1 ID 1/3 Code indicating error found based on the syntax editing of the functional group header and/or trailer
			Required if error exists.	
			CODE	DEFINITION
			1	Functional Group Not Supported
			2	Functional Group Version Not Supported
			3	Functional Group Trailer Missing
			4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
			5	Number of Included Transaction Sets Does Not Match Actual Count
			6	Group Control Number Violates Syntax
			10	Authentication Key Name Unknown
			11	Encryption Key Name Unknown
			12	Requested Service (Authentication or Encryption) Not Available
			13	Unknown Security Recipient
			14	Unknown Security Originator
			15	Syntax Error in Decrypted Text
			16	Security Not Supported
			17	Incorrect Message Length (Encryption Only)
			18	Message Authentication Code Failed

			23	S3E Security End Segment Missing for S3S Security Start Segment			
			24	S3S Security Start Segment Missing for S3E End Segment			
			25	S4E Security End Segment Missing for S4S Security Start Segment			
			26	S4S Security Start Segment Missing for S4E Security End Segment			
SITUATIONAL	AK906	716		Functional Group Syntax Error Code	O 1	ID	1/3
				Code indicating error found based on the syntax editing of the functional group header and/or trailer			
				Use the same codes indicated in AK905.			
SITUATIONAL	AK907	716		Functional Group Syntax Error Code	O 1	ID	1/3
				Code indicating error found based on the syntax editing of the functional group header and/or trailer			
				Use the same codes indicated in AK905.			
SITUATIONAL	AK908	716		Functional Group Syntax Error Code	O 1	ID	1/3
				Code indicating error found based on the syntax editing of the functional group header and/or trailer			
				Use the same codes indicated in AK905.			
SITUATIONAL	AK909	716		Functional Group Syntax Error Code	O 1	ID	1/3
				Code indicating error found based on the syntax editing of the functional group header and/or trailer			
				Use the same codes indicated in AK905.			

IMPLEMENTATION

TRANSACTION SET TRAILER

Usage: REQUIRED

Repeat: 1

Example: SE*27*1234~

STANDARD

SE Transaction Set Trailer

Level: Header

Position: 0800

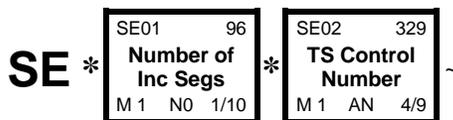
Loop: _____

Requirement: Mandatory

Max Use: 1

Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

DIAGRAM



ELEMENT SUMMARY

USAGE	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments	M 1 NO 1/10
REQUIRED	SE02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M 1 AN 4/9

The Transaction Set Control Numbers in ST02 and SE02 must be identical. The number is assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number 0001 and increment from there.

C External Code Sources

16 D-U-N-S Number

SIMPLE DATA ELEMENT/CODE REFERENCES

860, 66/1, 66/9, 128/DNS, 128/DUN

SOURCE

Dun & Bradstreet

AVAILABLE FROM

U.S. D-U-N-S Number assignment and lookup services are available through EDI, on-line, several types of mainframe and personal computer media, through a 900 Number Service (900-990-3867), and in print.

Dun & Bradstreet Information Services
Information Quality Department
D-U-N-S Number Administration
899 Eaton Avenue
Bethlehem, PA 18025-0001

ABSTRACT

The D-U-N-S Number is a non-indicative nine-digit number assigned and maintained by Dun & Bradstreet to identify unique business establishments. D-U-N-S Numbers are assigned to businesses worldwide. The ninth digit of the D-U-N-S Number is a Modulus Ten Check Digit which catches 100% of single digit errors and 98% of single transposition errors. D-U-N-S Numbers provide positive identification of business locations possessing unique, separate, and distinct operations. Through the D-U-N-S Number, Dun & Bradstreet maintains linkage between units of an organization to easily identify corporate family relationships, such as those between headquarters, branches, subsidiaries, and divisions. The D-U-N-S Number is the non-indicative computer "address" of a business for which detailed marketing and credit information is maintained by Dun & Bradstreet.

46 Telecommunications Industry Codes

SIMPLE DATA ELEMENT/CODE REFERENCES

150, 560, 751, 1000, 1271, 1301, 66/42, 235/SH, 235/SV, 235/TY, 235/WJ, 559/TI

SOURCE

Telecommunication Industry Forum (TCIF) Guidelines

TCIF Service Characteristic Qualifiers and Codes

AVAILABLE FROM

Alliance for Telecommunications Industry Solutions, Secretariat1200 G Street,
NW Suite 500 Washington, DC 20005

- 70** **Voluntary Inter-Industry Commerce Standards (VICS) EDI**
- ABSTRACT**
The TCIF Guidelines and Service Characteristic Qualifiers and Codes list the suggested codes to be used in the industry. The codes in the Guidelines are subsets of the ASC X12.3 Data Element Dictionary. The Service Characteristic Qualifiers and Codes contain the industry-maintained codes for the service ordering and billing processes for the industry.
- SIMPLE DATA ELEMENT/CODE REFERENCES**
1271, 559/VI
- SOURCE**
VICS EDI Implementation Guidelines for EDI
- AVAILABLE FROM**
Uniform Code Council, Inc.
8163 Yankee Road, Suite J
Dayton, OH 45459
- ABSTRACT**
Conventions and implementation guidelines for electronic data interchange utilizing the ASC X12 Standards within the retail industry.
- 77** **X12 Directories**
- SIMPLE DATA ELEMENT/CODE REFERENCES**
721, 725
- SOURCE**
X12.3 Data Element Dictionary
X12.22 Segment Directory
- AVAILABLE FROM**
Data Interchange Standards Association, Inc. (DISA)
Suite 200
1800 Diagonal Road
Alexandria, VA 22314-2852
- ABSTRACT**
The data element dictionary contains the format and descriptions of data elements used to construct X12 segments. It also contains code lists associated with these data elements. The segment directory contains the format and definitions of the data segments used to construct X12 transaction sets.
- 121** **Health Industry Number**
- SIMPLE DATA ELEMENT/CODE REFERENCES**
66/21, 128/HI, 1270/HI, I05/20
- SOURCE**
Health Industry Number Database

214

AVAILABLE FROM

Health Industry Business Communications Council
5110 North 40th Street
Phoenix, AZ 85018

ABSTRACT

The HIN is a coding system, developed and administered by the Health Industry Business Communications Council, that assigns a unique code number to hospitals other provider organizations, and manufacturers and distributors.

Coverage Code List

SIMPLE DATA ELEMENT/CODE REFERENCES

1271, 128/D7, 1270/CV

SOURCE

Coverage Code List

AVAILABLE FROM

Standards Department
Agency Company Organization for Research and Development (ACORD)
One Blue Hill Plaza - 15th Floor
P.O. Box 1529
Pearl River, NY 10965-8529

ABSTRACT

Codes identifying the insurance coverage.

244

Line of Business

SIMPLE DATA ELEMENT/CODE REFERENCES

1271, 128/TV, 235/TV, 1136/24, 1270/LN

SOURCE

Line of Business

AVAILABLE FROM

Standards Department
Agency Company Organization for Research and Development (ACORD)
One Blue Hill Plaza - 15th Floor
P.O. Box 1529
Pearl River, NY 10965-8529

ABSTRACT

Codes identifying the nature of insurance coverage.

245

National Association of Insurance Commissioners (NAIC) Code

SIMPLE DATA ELEMENT/CODE REFERENCES

128/NF

SOURCE

National Association of Insurance Commissioners Company Code List Manual

290

AVAILABLE FROM

National Association of Insurance Commission Publications Department
12th Street, Suite 1100
Kansas City, MO 64105-1925

ABSTRACT

Codes that uniquely identify each insurance company.

Loss Description Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271, 1270/GZ

SOURCE

Loss Description Code List

AVAILABLE FROM

Standards Department
Agency Company Organization for Research and Development (ACORD)
One Blue Hill Plaza - 15th Floor
P.O. Box 1529
Pearl River, NY 10965-8529

ABSTRACT

Codes describing the loss.

291

Cause of Loss Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271, 1270/GY

SOURCE

Cause of Loss Code List

AVAILABLE FROM

Standards Department
Agency Company Organization for Research and Development (ACORD)
One Blue Hill Plaza - 15th Floor
P.O. Box 1529
Pearl River, NY 10965-8529

ABSTRACT

Codes indicating the approximate cause of loss.

307

National Association of Boards of Pharmacy Number

SIMPLE DATA ELEMENT/CODE REFERENCES

128/D3

SOURCE

National Council for Prescription Drugs (NCPDP) Provider Number Database
and listings

AVAILABLE FROM

National Council for Prescription Drug Programs (NCPDP)
4201 North 24th Street, Suite 365
Phoenix, AZ 85016-6268

ABSTRACT

A unique number assigned in the U.S. and its territories to individual clinic, hospital, chain, and independent pharmacy and dispensing physician locations that conduct business by billing third-party and dispensing physician locations that conduct business by billing third-party drug benefit payers. The National Council for Prescription Drug Programs (NCPDP) maintains this database. The NCPDP Provider Number is a seven-digit number with the following format SSNNNNC, where SS=NCPDP assigned state code number, NNNN=sequential numbering scheme assigned to pharmacy locations, and C=check digit calculate by algorithm from previous six digits.

436 Product Category Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

Product Category List

AVAILABLE FROM

Uniform Code Council, Inc.
8163 Old Yankee Road, Suite J
Dayton, OH 45458

ABSTRACT

An industry maintained list of grocery product categories such as dairy products, vegetables, frozen dinners, fresh meat, packaged meat, etc.

446 Calculation Method Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

Calculation Method Code List

AVAILABLE FROM

Collision Industry Electronic Commerce Association (CIECA)
P.O. Box 74404
Romulus, MI 48174

ABSTRACT

Codes indicating the method used to calculate materials costs.

461 Association of American Railroads Locomotive Information Codes

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

Association of American Railroads Locomotive Status Manual

AVAILABLE FROM

Railinc/Association of American Railroads
Manager EDI/Customs
Suite 200
7001 Weston Parkway
Cary, NC 27513

ABSTRACT

Code specifying Locomotive Failures.

507 Health Care Claim Status Category Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

Health Care Claim Status Category Code

AVAILABLE FROM

The Blue Cross Blue Shield Association Interplan Teleprocessing Services Division 676 North St. Clair Street Chicago, IL 60611

ABSTRACT

Code used to organize the Health Care Claim Status Codes into logical groupings

508 Health Care Claim Status Code

SIMPLE DATA ELEMENT/CODE REFERENCES

1271, 1270/65

SOURCE

Health Care Claim Status Code

AVAILABLE FROM

The Blue Cross Blue Shield Association Interplan Teleprocessing Services Division 676 North St. Clair Street Chicago, IL 60611

ABSTRACT

Code identifying the status of an entire claim or service line

537

Health Care Financing Administration National Provider Identifier

SIMPLE DATA ELEMENT/CODE REFERENCES

66/XX, 128/HPI

SOURCE

National Provider System

AVAILABLE FROM

Health Care Financing Administration
Office of Information Services, Security and Standards Group
Division of Health Care Information Systems Standards
N2-14-26
7500 Security Boulevard
Baltimore, MD 21244-1850

ABSTRACT

The Health Care Financing Administration is developing the National Provider Identifier (NPI), which has been proposed as the standard unique identifier for each health care provider under the Health Insurance Portability and Accountability Act of 1996.

711

Association of American Railroads Trailer/Container-on-Flat-Car (TOFC/COFC) Serv

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

TOFC/COFC Interchange Rules

AVAILABLE FROM

Association of American Railroads Mechanical Division
50 F Street, NW
Washington, DC 20001-1564

ABSTRACT

Interchange rules governing the interchange of, repairs to, and settlement for, trailers and containers used in Trailer/Container-on-Flat-Car (TOFC/COFC) Service. Contains all codification schemes including job codes, etc.

881

Version / Release / Industry Identifier Code

SIMPLE DATA ELEMENT/CODE REFERENCES

480

SOURCE

Data Interchange Standards Association

AVAILABLE FROM

Data Interchange Standards Association
333 John Carlyle Street, Suite 600
Alexandria, VA 22314

886

ABSTRACT

Code indicating the version, release, sub-release, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and sub-release, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed.

Health Care Service Review Decision Reason Codes

SIMPLE DATA ELEMENT/CODE REFERENCES

1271

SOURCE

Health Care Service Review Decision Reason Code List

AVAILABLE FROM

The Blue Cross Blue Shield Association
Interplan Teleprocessing Services Division
676 North St. Clair Street
Chicago, IL 60611

ABSTRACT

Code identifying the decision of a health care service review as reported by the transaction set sender

D **Change Summary**

This is the first ASC X12N implementation guide for the Implementation Guide Reporting of the 824. In future guides, this section will contain a summary and detail of all changes since the previous guide.

EOB File Layout

Field	Position	Size	Type	Description
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0000 Header Record

Record always appears as first record in file and only appears once

001	0001-0004	4	Text "0000"	Record Type
002	0005-0022	18	Text	Filler
003	0023-0030	8	Text	Transmit date (ccyymmdd)
004	0031-0036	6	Text	Transmit time (hhmmss)

0000 Account Header Record

Record will appear once for each account; preceded by 0000 Header Record or AT99 Account Trailer Record

001a	0001-0004	4	Text "AH00"	Record Type
002a	0005-0022	18	Text	DDA account number
003a	0023-0036	14	Text	Filler

0001 Master Delivery Record

005	0001-0004	4	Text "0001"	Record Type
006	0005-0008	4	Text	Internal Account Number
007	0009-0011	3	Text	"028"
008	0012-0019	8	Text	Date (ccyymmdd)
009	0020-0021	2	Text	Sequential file counter: "01"
010	0022-0027	6	Text	Document counter: Starts over from 01 everyday
011	0028-0029	2	Text	"01"
012	0030-0032	3	Text	Relation code 002 eob to plan member 005 batch eob check to member or provider 006 batch eob to member or provider when paid amount is <=0
013	0033-0034	2	Text	Recipient IN – individual PR – provider
014	0035-0037	3	Text	Claim type EPO – Exclusive provider organization PPO – Preferred provider option
015	0038-0039	2	Text	Routing Code 00 – US Mail First class 11 – Federal Express back to OGB EF – Electronic funds records in 835/ACH file (images created/printing suppressed)
016	0040-0084	45	Text	Payee name (Addressee)
017	0085-0124	40	Text	Payee Address 1
018	0125-0164	40	Text	Payee Address 2
019	0165-0194	30	Text	Payee City
020	0195-0196	2	Text	Payee State
021	0197-0201	5	Text	Payee 5 digit zip code
022	0202-0241	40	Text	8 byte Claim ID
023	0242-0242	1	Text	EOL

EOB File Layout

Field	Position	Size	Type	Description
024	0243-0244	2	Text	Country code
025	0245-0279	35	Text	Country
026	0280-0289	10	Text	Check number For 835/ACH checks – ACH check number For no checks – NC99999999 (where 99999999 is a unique counter) For Balance Forward – BF99999999 (where 99999999 is a unique counter) <i>Used to index PDF documents</i>
027	0290-0299	10	Numeric	Check amount
028	0300-0307	8	Numeric	Payee number

0002 EOB Non Detail

029	0001-0004	4	Text "0002"	Record Type
030	0005-0008	4	Text	Internal Account Number
031	0009-0011	3	Text	"028"
032	0012-0019	8	Text	Date (ccyymmdd)
033	0020-0021	2	Text	Sequential file counter: "01"
034	0022-0027	6	Text	Document counter: Starts over from 01 everyday
035	0028-0029	2	Text	"01"
036	0030-0035	6	Text	Claim Sequence
037	0036-0065	30	Text	Claim Number
038	0066-0095	30	Text	Insured's first and last name (Employee)
039	0096-0104	9	Text	Insured's SSN
040	0105-0124	20	Text	Insured's policy number(not used)
041	0125-0159	35	Text	Employee's Address 1(not used)
042	0160-0194	35	Text	Employee's Address 2(not used)
043	0195-0229	35	Text	Employee's city, state and zip(not used)
044	0230-0259	30	Text	Patient first and last name
045	0260-0279	20	Text	Dependent number
046	0280-0299	20	Text	Relationship(not used)
047	0300-0307	8	Text	Receipt date (ccyymmdd)(not used)
048	0308-0315	8	Text	Process date (ccyymmdd)(not used)
049	0316-0323	8	Text	Paid date (ccyymmdd)
050	0324-0328	5	Text	Processor ID
051	0329-0358	30	Text	Processor Name(not used)
052	0359-0362	4	Text	Claim year(not used)
053	0363-0377	15	Text	Client Code 1(not used)
054	0378-0417	40	Text	Special Account Label for DHH LaChip
055	0418-0432	15	Text	Client Code 2(not used)
056	0433-0472	40	Text	Blanks
057	0473-0487	15	Text	Client Code 3(not used)
058	0488-0527	40	Text	Blanks
059	0528-0542	15	Text	Client Code 4(not used)
060	0543-0582	40	Text	Blanks

EOB File Layout

Field	Position	Size	Type	Description
061	0583-0598	16	Text	Check Number If payment = 0 then this field will contain 8 spaces followed by 8 "0"
062	0599-0613	15	Numeric	Check Amount
063	0614-0629	16	Text	Voucher number
064	0630-0669	40	Text	Provider Name
065	0670-0678	9	Text	Provider TIN
066	0679-0718	40	Text	Form letter name(not used)
067	0719-0723	5	Text	Form letter ID(not used)
068	0724-0763	40	Text	"If you have any questions, Please" (not used)
069	0764-0803	40	Text	"call " phone#(not used)
070	0804-0843	40	Text	Blanks
071	0844-0883	40	Text	Blanks
072	0884-0888	5	Text	Administrator return logo(not used)
073	0889-0889	1	Text	Administrator return style(not used)
074	0890-0929	40	Text	Administrator return address 1
075	0930-0969	40	Text	Administrator return address 2
076	0970-1009	40	Text	Administrator return address 3
077	1010-1049	40	Text	Administrator return address 4(not used)
078	1050-1099	50	Text	Network(not used)
079	1100-1104	5	Text	Group logo(not used)
080	1105-1105	1	Text	Pre-treatment estimate(not used) 1 – when claim form type = "p"; otherwise blank
081	0106-1108	3	Text	Blanks
082	1109-1111	3	Text	Blanks
083	1112-1113	2	Text	Copy number(not used) 01 – original 02 – copy
084	1114-1123	10	Text	"ALL "(not used)
085	1124-1153	30	Text	Patient record ID
086	1154-1183	30	Text	DRG code
087	1184-1213	30	Text	Blanks
088	1214-1243	30	Text	Blanks
089	1244-1273	30	Text	Blanks
090	1274-1274	1	Text	EOL
090a	1275-1276	2	Text	Country Code
090b	1277-1311	35	Text	Country Name

0003 Service Line

091	0001-0004	4	Text "0003"	Record Type
092	0005-0008	4	Text	Internal Account Number
093	0009-0011	3	Text	"028"
094	0012-0019	8	Text	Date (ccyymmdd)
095	0020-0021	2	Text	Sequential file counter: "01"
096	0022-0027	6	Text	Document counter: Starts over from 01 everyday

EOB File Layout

Field	Position	Size	Type	Description
097	0028-0029	2	<i>Text</i>	“01”
098	0030-0035	6	<i>Text</i>	Claim Sequence
099	0036-0038	3	<i>Text</i>	Line Number
100	0039-0040	2	<i>Text</i>	Type of service(not used)
101	0041-0050	10	<i>Text</i>	Procedure code
102	0051-0052	2	<i>Text</i>	Place of service(not used)
103	0053-0055	3	<i>Text</i>	Units or days(not used)
104	0056-0085	30	<i>Text</i>	Procedure description(not used)
105	0086-0102	17	<i>Text</i>	Dates of service Only contains the from date...the thru date was removed (mm/dd/yy)
106	0103-0117	15	<i>Text</i>	Charges
107	0118-0132	15	<i>Text</i>	Discount (Excluded)
108	0133-0147	15	<i>Text</i>	Ineligible expense (Not Covered)
109	0148-0162	15	<i>Text</i>	Pended(not used)
110	0163-0177	15	<i>Text</i>	Allowed (Covered by Plan)
111	0178-0187	10	<i>Text</i>	Reason Code
112	0188-0197	10	<i>Text</i>	Reason Code (2)
113	0198-0207	10	<i>Text</i>	Blanks
114	0208-0222	15	<i>Numeric</i>	Deductible
115	0223-0237	15	<i>Numeric</i>	Co-pay + Coinsurance Amount
116	0238-0252	15	<i>Numeric</i>	Coinsurance
117	0253-0267	15	<i>Numeric</i>	Balance
118	0268-0270	3	<i>Numeric</i>	Percent
119	0271-0285	15	<i>Numeric</i>	Other Carrier(not used)
120	0286-0300	15	<i>Numeric</i>	Payment
121	0301-0315	15	<i>Numeric</i>	Patient responsibility (Allowed – member payment – provider payment)
122	0316-0375	60	<i>Text</i>	Description – line level information(not used) Contains blanks
123	0376-0378	3	<i>Text</i>	Tooth number(not used)
124	0379-0381	3	<i>Text</i>	Tooth surface(not used)
125	0382-0390	9	<i>Text</i>	Provider TIN
126	0391-0393	3	<i>Text</i>	Provider sub TIN(not used) Contains blanks
127	0394-0413	20	<i>Text</i>	Provider alternate ID(not used) Contains blanks
128	0414-0453	40	<i>Text</i>	Provider name
129	0454-0493	40	<i>Text</i>	Provider address 1(not used)
130	0494-0533	40	<i>Text</i>	Provider address 2(not used)
131	0534-0573	40	<i>Text</i>	Provider address 3(not used)
132	0574-0603	30	<i>Text</i>	Patient control ID number
133	0604-0604	1	<i>Text</i>	Blanks
134	0605-0619	15	<i>Text</i>	Contains all “0”
135	0620-0634	15	<i>Text</i>	Contains all “0”

EOB File Layout

Field	Position	Size	Type	Description
136	0635-0649	15	Text	Contains all "0"
137	0650-0664	15	Text	Contains all "0"
138	0665-0679	15	Text	Contains all "0"
139	0680-0709	30	Text	Blanks
140	0710-0739	30	Text	Blanks
141	0740-0769	30	Text	Medicaid resub
142	0770-0799	30	Text	Blanks
143	0800-0829	30	Text	Blanks
144	0830-0830	1	Text	EOL

0004 Totals Record

145	0001-0004	4	Text "0004"	Record Type
146	0005-0008	4	Text	Internal Account Number
147	0009-0011	3	Text	"028"
148	0012-0019	8	Text	Date (ccyymmdd)
149	0020-0021	2	Text	Sequential file counter "01"
150	0022-0027	6	Text	Document counter Starts over from 01 everyday
151	0028-0029	2	Text	"01"
152	0030-0035	6	Text	Claim Sequence
153	0036-0050	15	Text	Total charges
154	0051-0065	15	Text	Total discount (excluded)
155	0066-0080	15	Text	Total ineligible (not covered)
156	0081-0095	15	Text	Total pended (not used)
157	0096-0110	15	Text	Total allowed (covered by plan)
158	0111-0125	15	Text	Total deductible
159	0126-0140	15	Text	Total co-pay + coinsurance
160	0141-0155	15	Text	Total coinsurance (not used)
161	0156-0170	15	Text	Total balance
162	0171-0185	15	Text	Total other carrier
163	0186-0200	15	Text	Total payment
164	0201-0215	15	Text	Total patient responsibility
165	0216-0230	15	Text	Contains all "0"
166	0231-0245	15	Text	Contains all "0"
167	0246-0260	15	Text	Contains all "0"
168	0261-0275	15	Text	Contains all "0"
169	0276-0290	15	Text	Contains all "0"
170	0291-0305	15	Text	Contains all "0"
171	0306-0320	15	Text	Contains all "0"
172	0321-0335	15	Text	Contains all "0"
173	0336-0350	15	Text	Contains all "0"
174	0351-0365	15	Text	Contains all "0"
175	0366-0380	15	Text	Contains all "0"
176	0381-0395	15	Text	Contains all "0"

EOB File Layout

Field	Position	Size	Type	Description
177	0396-0410	15	Text	Contains all "0"
178	0411-0425	15	Text	Contains all "0"
179	0426-0440	15	Text	Contains all "0"
180	0441-0455	15	Text	Contains all "0"
181	0456-0470	15	Text	Contains all "0"
182	0471-0485	15	Text	Contains all "0"
183	0486-0500	15	Text	Contains all "0"
184	0501-0515	15	Text	Contains all "0"
185	0516-0530	15	Text	Contains all "0"
186	0531-0545	15	Text	Contains all "0"
187	0546-0560	15	Text	Contains all "0"
188	0561-0590	30	Text	Spaces
189	0591-0620	30	Text	Spaces
190	0621-0650	30	Text	Spaces
191	0651-0680	30	Text	Spaces
192	0681-0710	30	Text	Spaces
193	0711-0711	1	Text	EOL

0005 Comments

194	0001-0004	4	Text "0005"	Record Type
195	0005-0008	4	Text	Internal Account Number
196	0009-0011	3	Text	"028"
197	0012-0019	8	Text	Date (ccyymmdd)
198	0020-0021	2	Text	Sequential file counter: "01"
199	0022-0027	6	Text	Document counter: Starts over from 01 everyday
200	0028-0029	2	Text	"01"
201	0030-0035	6	Text	Claim Sequence
202	0036-0065	30	Text	Claim number
203	0066-0068	3	Text	Line number (print sequence of the comment)
204	0069-0078	10	Text	Event code from claim errors file
205	0079-0278	200	Text	Description From claim errors file (only 70 bytes filled with spaces)
206	0279-0279	1	Text	EOL

0006 Payment Distribution

207	0001-0004	4	Text "0006"	Record Type
208	0005-0008	4	Text	Internal Account Number
209	0009-0011	3	Text	"028"
210	0012-0019	8	Text	Date (ccyymmdd)
211	0020-0021	2	Text	Sequential file counter: "01"
212	0022-0027	6	Text	Document counter: Starts over from 01 everyday
213	0028-0029	2	Text	"01"
214	0030-0069	40	Text	Payee's name
215	0070-0084	15	Text	Check amount
216	0085-0100	16	Text	Check number

EOB File Layout

Field	Position	Size	Type	Description
217	0101-0108	8	Text	Check date (ccyymmdd)
218	0109-0109	1	Text	EOL

0007 Check Record

219	0001-0004	4	Text "0007"	Record Type
220	0005-0008	4	Text	Internal Account Number
221	0009-0011	3	Text	"028"
222	0012-0019	8	Text	Date (ccyymmdd)
223	0020-0021	2	Text	Sequential file counter: "01"
224	0022-0027	6	Text	Document counter: Starts over from 01 everyday
225	0028-0029	2	Text	"01"
226	0030-0039	10	Text	Fraction number 1
227	0040-0049	10	Text	Fraction number 2
228	0050-0059	10	Text	Fraction number 3(not used)
229	0060-0099	40	Text	Bank name
230	0100-0139	40	Text	Bank address 1
231	0140-0179	40	Text	Bank address 2
232	0180-0219	40	Text	Bank address 3(not used)
233	0220-0224	5	Text	Bank logo(not used)
234	0225-0229	5	Text	Signature 1 (not used)
235	0230-0234	5	Text	Signature 2 (not used)
236	0235-0239	5	Text	Signature 3 (not used)
237	0240-0389	150	Text	Check amount written out in words
238	0390-0439	50	Text	Message 1: Potential check restrictions
239	0440-0489	50	Text	Message 2 (not used): Blanks
240	0490-0554	65	Text	Micr line
241	0555-0569	15	Text	Check amount
242	0570-0619	50	Text	Admin name(not used)
243	0620-0669	50	Text	Admin address 1(not used)
244	0670-0719	50	Text	Admin address 2(not used)
245	0720-0769	50	Text	Admin address 3(not used)
246	0770-0819	50	Text	Special Account Label for DHH LaChip
247	0820-0869	50	Text	Blanks
248	0870-0874	5	Text	Admin logo(not used)
249	0875-0924	50	Text	Payee name
250	0925-0964	40	Text	Payee address 1(not used)
251	0965-1004	40	Text	Payee address 2(not used)
252	1005-1044	40	Text	Payee address 3(not used)
253	1045-1052	8	Text	Check date (ccyymmdd)
254	1053-1068	16	Text	Check number
255	1069-1070	2	Text	Blanks
256	1071-1100	30	Text	"Voucher Number: "
257	1101-1130	30	Text	Voucher number
258	1131-1160	30	Text	"Provider Tax ID: "

EOB File Layout

Field	Position	Size	Type	Description
259	1161-1190	30	Text	Provider TIN
260	1191-1220	30	Text	Blanks
261	1221-1250	30	Text	Blanks
262	1251-1280	30	Text	Blanks
263	1281-1310	30	Text	Blanks
264	1311-1340	30	Text	Blanks
265	1341-1370	30	Text	DDA Account # (OGB)
266	1371-1400	30	Text	Blanks
267	1401-1430	30	Text	ABA Routing Code (OGB)
268	1431-1431	1	Text	EOL

0008 Totals Record

269	0001-0004	4	Text "0008"	Record Type
270	0005-0008	4	Text	Internal Account Number
271	0009-0011	3	Text	"028"
272	0012-0019	8	Text	Date (ccyymmdd)
273	0020-0021	2	Text	Sequential file counter: "01"
274	0022-0027	6	Text	Document counter: Starts over from 01 everyday
275	0028-0029	2	Text	"01"
276	0030-0035	6	Text	Claim Sequence
277	0036-0075	40	Text	Description: Accumulator type followed by " - Individual " or " - Family"
278	0076-0090	15	Text	Amount of accumulator met
279	0091-0105	15	Text	Amount of accumulator remaining
280	0106-0120	15	Text	Total amount of accumulator
281	0121-0121	1	Text	Amount type \$ = dollar C = count D = date
282	0122-0125	4	Text	Accumulator year contains blanks
283	0126-0126	1	Text	EOL

0009 Form Letter Text Information

284	0001-0004	4	Text "0009"	Record Type(not used)
285	0005-0008	4	Text	Internal Account Number
286	0009-0011	3	Text	"028"
287	0012-0019	8	Text	Date (ccyymmdd)
288	0020-0021	2	Text	Sequential file counter: "01"
289	0022-0027	6	Text	Document counter: Starts over from 01 everyday
290	0028-0029	2	Text	"01"
291	0030-0035	6	Text	Line number – print in this order
292	0036-0235	200	Text	Text
293	0236-0236	1	Text	EOL

EOB File Layout

Field	Position	Size	Type	Description
0010 Copy Address				
294	0001-0004	4	Text "0010"	Record Type(not used)
295	0005-0008	4	Text	Internal Account Number
296	0009-0011	3	Text	"028"
297	0012-0019	8	Text	Date (ccyymmdd)
298	0020-0021	2	Text	Sequential file counter "01"
299	0022-0027	6	Text	Document counter: Starts over from 01 everyday
300	0028-0029	2	Text	"01"
301	0030-0032	3	Text	Cover ID – unique identifier
302	0033-0077	45	Text	Name
303	0078-0117	40	Text	Address 1
304	0118-0157	40	Text	Address 2
305	0158-0187	30	Text	City
306	0188-0189	2	Text	State
307	0190-0194	5	Text	Zip code
308	0195-0195	1	Text	EOL
309	0196-0199	4	Text	Zip extension
310	0200-0203	3	Text	Carrier Route
311	0204-0206	1	Text	Delivery point bar

AT99 Account Trailer Record

Record always appears as the last record for each account

312a	0001-0004	4	Text "AT99"	Record Type
313a	0005-0022	18	Text	DDA account number
314a	0023-0031	9	Text	Number of records in file including "0000" and "9999"

9999 Trailer Record

Record always appears as the last record in file and only appears once

312	0001-0004	4	Text "9999"	Record Type
313	0005-0022	18	Text	Filler
314	0023-0031	9	Text	Number of records in file including "0000" and "9999"

Exhibit 7 FTP Request

LOUISIANA OFFICE OF GROUP BENEFITS
INFORMATION TECHNOLOGY
FTP DIRECTORY REQUEST

***** Information needed from the Organization that will use the FTP directory*****

Company Name:

Company Contact Person:

Phone:

E-Mail:

Technical Contact Person:

Phone:

E-Mail:

Company I/P Address:

Firewall: Yes No

Company Operating System:

Company PGP Public Key:

(if PGP encryption needed)

File Transfer: In Out Both

*****Below to be filled out by OGB Personnel Requesting FTP Directory*****

Directory Name:

User Name:

Needed By:

Requested By:

Request Date:

*****Below to be filled out by System Personnel*****

Password:

Completed By:

Date Completed:

Exhibit 8 EOB Mapping

A. Document Trace Number

This is a unique number for each individual document. It appears in position 0005-0029 in each record on the EOB file generated by OGB. This number shall appear in small font (4pt) in the upper right hand corner of each page of all EOB documents. It should be mapped to the EOB document from the 0001 record (fields 002-007) for each document. The file date is imbedded in the number and will be unique both within a file and across all files. Each record in the file with the same trace number is associated with the same document.

B. Document Title and Customer Service/Provider Assistance Boxes

Each document will have either “Member Explanation of Benefits” or “Provider Explanation of Benefits” printed in the upper right hand portion of each page. Which title and “assistance box” printed is determined by the contents of field 013.

1. When field 013 = “IN”

Title should be “Member Explanation of Benefits”

Customer Service Information Box should be printed on the first page only.

2. When field 013 = “PR”

Title should be “Provider Explanation of Benefits”

“OGB Provider Assistance” box should be printed on the first page only.

C. Sample EOB/Check

Attached below are sample documents which contain mapping information. The field numbers from the EOB File Layout (Exhibit 6) are indicated on a sample of an EOB image. These images can be viewed in Adobe Acrobat Reader for ease of viewing. Each color corresponds to a record number (i.e. Aqua corresponds to Record 0001).



Office of Group Benefits
 P.O. Box 44036
 BATON ROUGE, LA 708044036

Return Service Requested



00434 0GB 001 001 36608 - 23904162

Doctor/Clinic Name
 Address Line 1
 Address Line 2
 City, State Zip Code

Provider Explanation of Benefits

Date: 12/31/2008
 Payee Number: 00000388
 Check #: 23904162

OGB Provider Assistance
 Telephone 1-800-215-1093

Rightfax: 1-800-233-8156 or 225-216-6955

Website: www.groupbenefits.org

Pre-Certification Hotline - 1-800-432-3432

Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
12/19/08	29876	2,591.00	0.00		1,638.78	952.22	0.00	95.22	952.22	90%	857.00
12/19/08	29877-59	2,430.00	0.00		1,979.87	450.13	0.00	45.01	450.13	90%	405.12
12/19/08	29877	2,430.00	0.00	97	2,430.00	0.00	0.00	0.00	0.00	0%	0.00
Totals:		7,451.00	0.00		6,048.65	1,402.35	0.00	140.23	1,402.35		1,262.12
										Other Insurance Credits or Adjustments:	0.00
										Patient's Responsibility:	140.23



Office of Group Benefits
 P.O. Box 44036
 BATON ROUGE, LA 708044036

Voucher Number: 002092
 Provider Tax ID: 00000000

CHECK NO.: 23904162

CHECK DATE: 12/31/2008

\$1,293.80

void after 180 days

PAY ** ONE THOUSAND TWO HUNDRED NINETY THREE DOLLARS AND 80.00**

TO THE ORDER OF
Doctor/Clinic Name
 JPMorgan Chase Bank, N.A.
 Baton Rouge, LA 70801



Authorized Signature

⑈ 23904162 ⑈ ⑆065204757⑆ 0950000590⑈

Provider Name: Doctor/Clinic Name		Patient Name: Last, First Initial		Employee: Last, First Initial							
Claim #: 21941492		Patient Acct #: LPWPHP000DRG:									
OGB Member #: 00585178		Medicare Claim #:									
Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
12/16/08	72069-TC	93.00	0.00		61.32	31.68	0.00	0.00	31.68	100%	31.68
Totals:		93.00	0.00		61.32	31.68	0.00	0.00	31.68		31.68
										Other Insurance Credits or Adjustments:	
										0.00	
										Patient's Responsibility:	
										0.00	

Statement Totals



Total Charge	Not Covered	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Payment Amount
7,544.00	0.00	6,109.97	1,434.03	0.00	140.23	1,434.03	1,293.80

Explanations of Claims Handling

- 97 The benefit for this service is included in the payment/allowance for another service/procedure that has already been adjudicated.



***FEDERAL RESERVE BOARD OF GOVERNORS REG. CC**

Listed below are the security features provided on this document which meets and/or exceeds industry guidelines.

Security Features:	Description / Fraud Indicator:
Security Watermark	Reflective, white opaque ink readable when held at an angle, viewed under UV light, or rubbed with coin.
Microprinting	Reduced lines of type on front sides of check appear as a solid line until viewed under magnification.
Chemical Sensitization	Colored stain(s) on either or both sides of check indicate possible chemical alteration.
Invisible Fluorescent Fibers	Invisible fibers on surface of check become visible under UV light.
Toner Retention Treatment	Ink is bonded to surface of check. Surface disturbance indicates possible alteration.
Advisory Icon	Icon located on face of check that alerts handler that the document contains security features.



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ENDORSE HERE



Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Return Service Requested

01489 068 001 001 36608 - 23904161
Last, First M
Street Address
2nd Address Line if Applicable
Their City, ST 99999-9999

Member Explanation of Benefits

Date: 12/31/2008
Check #: 23904161
Payee Number: 00770702
Voucher #: 002092

Customer Service Information

Baton Rouge: 1-800-272-8451 Monroe: 1-800-335-6206
Alexandria: 1-800-813-1578 New Orleans: 1-800-335-6208
Lafayette: 1-800-414-6409 Shreveport: 1-800-813-1574
Lake Charles: 1-800-525-3256 TDD: 1-800-259-6771

Pre-Certification Hotline 1-800-432-3432

Explanation of Benefits -- This is NOT a Bill

Provider Name: Physician/Office Name Patient Name: Patient Last, First M. Insured: Employee Last, First M.
Claim #: 21940663 Patient Acct #: 0640128334 DRG:
OGB Member #: 00817113 Medicare Claim #:

Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
10/16/08	76645-26	88.00	0.00	111	49.86	38.14	0.00	0.00	38.14	100%	38.14
Totals:		88.00	0.00		49.86	38.14	0.00	0.00	38.14		38.14

Other Insurance Credits or Adjustments: 0.00

Patient's Responsibility: 0.00

Statement Totals	Total Charge	Not Covered	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Payment Amount
	88.00	0.00	49.86	38.14	0.00	0.00	38.14	38.14

Accumulators	Total	Met	Remaining
DEDUCTIBLE AMOUNT - Individual	500.00	500.00	0.00

Explanations of Claims Handling

111 Not covered unless the provider accepts assignments



Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Voucher Number: 002092
Provider Tax ID: 741740101

CHECK NO.: 23904161

CHECK DATE: 12/31/2008

\$38.14

void after 180 days

PAY ** THIRTY EIGHT DOLLARS AND 14/100**

TO THE ORDER OF Member Last, First M.

JPMorgan Chase Bank, N.A.
Baton Rouge, LA 70801

SECURITY FEATURES INCLUDED: SEE DETAILS ON BACK

Authorized Signature

⑈ 23904161 ⑆ ⑆ 065204757 ⑆ 0950000590 ⑆

X

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Chemical Sensitization

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Toner Retention Treatment

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Advisory Icon

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Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Return Service Requested



00002 0GB 001 001 36608 - 00000000

PROVIDER NAME
ADDRESS LINE 1
ADDRESS LINE 2
CITY STATE ZIP

Provider Explanation of Benefits

Date: 12/31/2008
Payee Number: 00000061

OGB Provider Assistance

Telephone 1-800-215-1093

Rightfax: 1-800-233-8156 or 225-216-6955

Website: www.groupbenefits.org

Pre-Certification Hotline - 1-800-432-3432

Provider Name: PROVIDER NAME		Patient Name: LASTNAME, FIRST		Insured: LASTNAME, FIRST							
Claim #: 24444444		Patient Acct #: ACCT00000000		DRG:							
OGB Member #: 11111111		Medicare Claim #:									
Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
11/26/08	73500-26	32.00	0.00		30.39	1.61	1.61	0.00	0.00	0%	0.00
Totals:		32.00	0.00		30.39	1.61	1.61	0.00	0.00		0.00
										Other Insurance Credits or Adjustments:	0.00
										Patient's Responsibility:	1.61

Statement Totals

Total Charge	Not Covered	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Payment Amount
32.00	0.00	30.39	1.61	1.61	0.00	0.00	0.00



Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Return Service Requested

Member Explanation of Benefits

Insured: LASTNAME, FIRST
OGB Member #: 00000000
Patient: LASTNAME, FIRST
Patient Acct #: 123004P12
Provider Name: CLINIC O
Claim Number: 11111111
Date: 12/31/2008



00005 0GB 001 001 36608 - 23904293

LASTNAME, FIRST
ADDRESS 1
CITY ST 00000

Customer Service Information

Baton Rouge: 1-800-272-8451 Monroe: 1-800-335-6206
Alexandria: 1-800-813-1578 New Orleans: 1-800-335-6208
Lafayette: 1-800-414-6409 Shreveport: 1-800-813-1574
Lake Charles: 1-800-525-3256 TDD: 1-800-259-6771

Pre-Certification Hotline 1-800-432-3432

Explanation of Benefits -- This is NOT a Bill

Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
12/22/08	97110	129.00	0.00		37.20	91.80	0.00	9.18	91.80	90%	82.62
12/24/08	97110	129.00	0.00		37.20	91.80	0.00	9.18	91.80	90%	82.62
12/26/08	97110	129.00	0.00		37.20	91.80	0.00	9.18	91.80	90%	82.62
Totals:		387.00	0.00		111.60	275.40	0.00	27.54	275.40		247.86
Other Insurance Credits or Adjustments:											0.00
Patient's Responsibility:											27.54

Accumulators

	Total	Met	Remaining
DEDUCTIBLE AMOUNT - Individual	500.00	500.00	0.00



Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Return Service Requested

LACHIP AFFORDABLE PLAN



01609 0GB 001 001 03309 - 10003124

FACILITY NAME
ADDRESS 1
ADDRESS 2
CITY LA 00000

Provider Explanation of Benefits

Date: 02/02/2009
Payee Number: 00000000
Check #: 10000000

OGB Provider Assistance

Telephone 1-800-215-1093
Rightfax: 1-800-233-8156 or 225-216-6955
Website: www.groupbenefits.org
Pre-Certification Hotline - 1-800-432-3432

Provider Name: FACILITY NAME Patient Name: LASTNAME, FIRST Insured: LASTNAME, FIRST
Claim #: 00000000 Patient Acct #: 0000000000 DRG:
OGB Member #: 00000000 Medicare Claim #:

Initial Date of Service	Service Code	Total Charge	Not Covered	Reason Codes	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Paid At	Payment Amount
01/2/09	320 73090	139.65	0.00		53.28	86.37	0.00	8.64	86.37	90%	77.73
Totals:		139.65	0.00		53.28	86.37	0.00	8.64	86.37		77.73

Other Insurance Credits or Adjustments: 0.00

Patient's Responsibility: **8.64**

Statement Totals

Total Charge	Not Covered	Excluded Amount	Covered By Plan	Deductible Amount	Copay/Coins Amount	Balance	Payment Amount
139.65	0.00	53.28	86.37	0.00	8.64	86.37	77.73



Office of Group Benefits
P.O. Box 44036
BATON ROUGE, LA 708044036

Voucher Number: 002120
Provider Tax ID: 000000000

84-13
654

CHECK NO.: 10000000

CHECK DATE: 02/02/2009

LACHIP AFFORDABLE PLAN

\$77.73

void after 180 days

VOID

PAY ** SEVENTY SEVEN DOLLARS AND 73/100**

TO THE FACILITY NAME
ORDER OF

JPMorgan Chase Bank, N.A.

Baton Rouge, LA 70801



SECURITY FEATURES INCLUDED: SEE DETAILS ON BACK

Authorized Signature

10003124 065400137 753975788

ENDORSE HERE

X

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Toner Retention Treatment

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Advisory Icon

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Exhibit 9 Electronic Output from OGB to Contractor

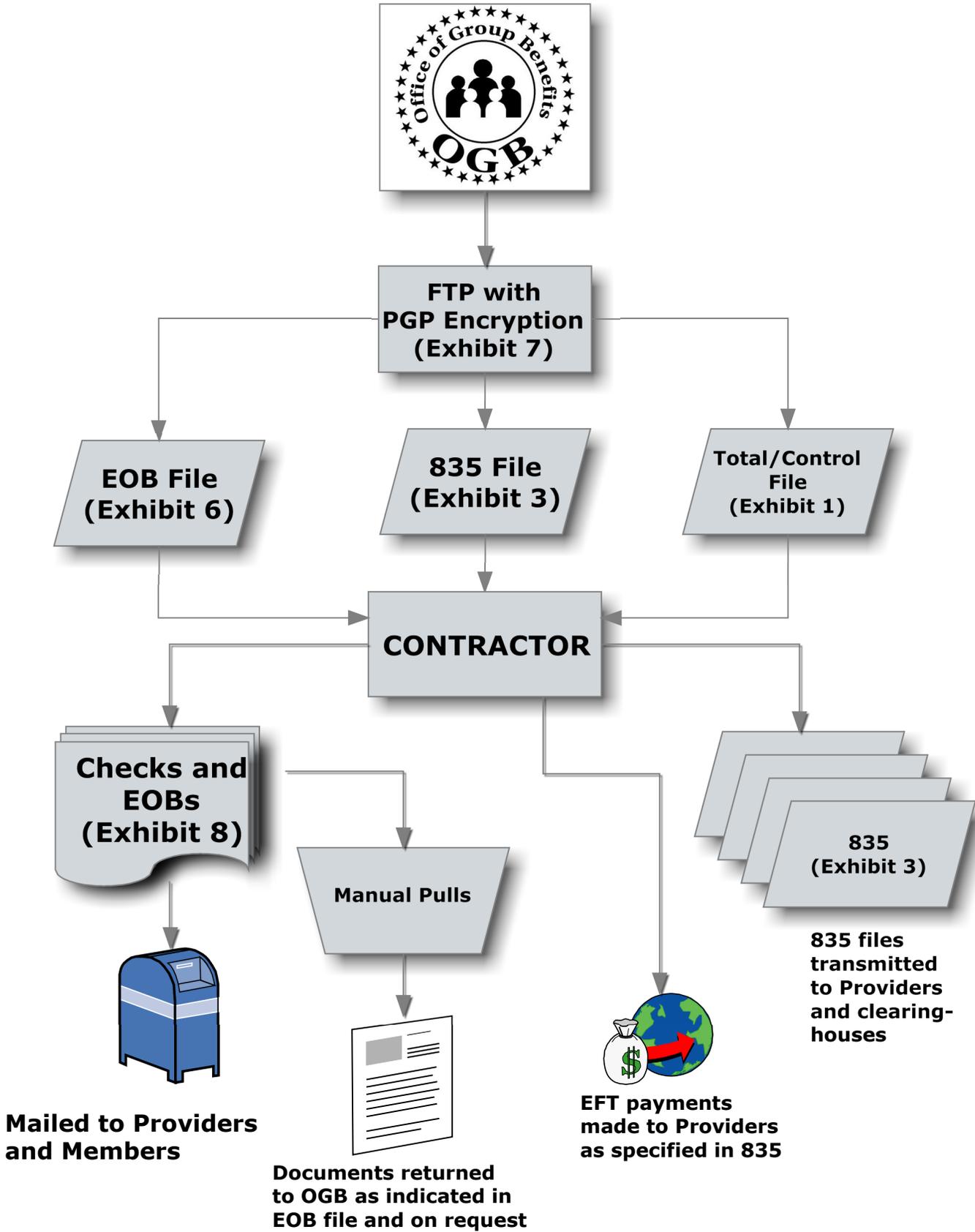


Exhibit 10

Electronic Output from Contractor to OGB

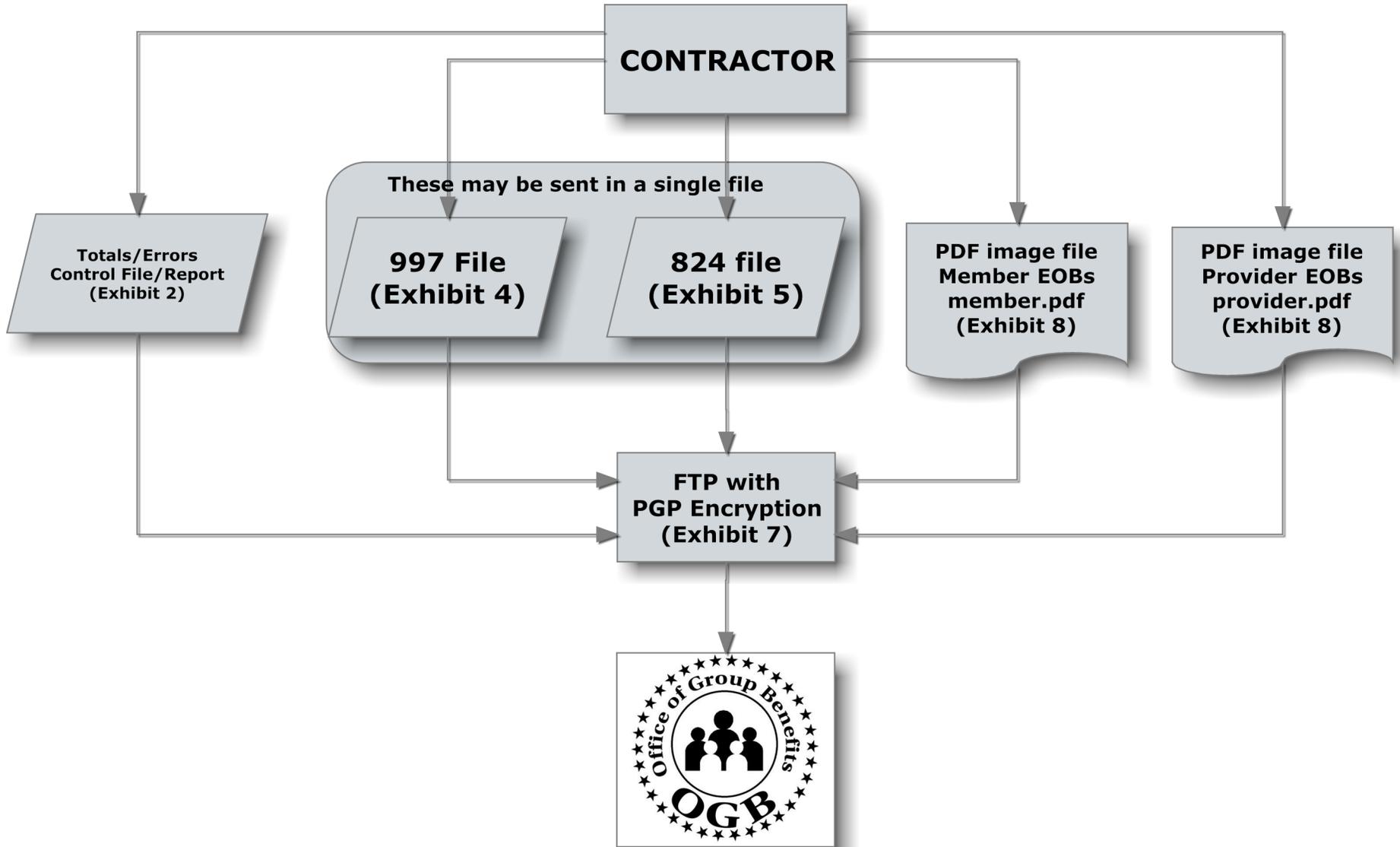


Exhibit 11

Letter Creation

