

**HIPAA TRANSACTION STANDARD  
COMPANION GUIDE**

**APRIL 21, 2004**

**VERSION 004010**

**NATIONAL IMAGING ASSOCIATES VERSION 1.17  
(INCLUDING ADDENDA)**

## Disclosure Statement

While every effort has been made to ensure the accuracy and completeness of this information, National Imaging Associates (NIA) does not warrant the accuracy or completeness of any of this information. NIA assumes no legal liability or responsibility whatsoever for the accuracy or completeness of any such information contained in this guide. This guide is intended to facilitate the implementation of HIPAA-required transactions between trading partners. If changes are required in this document, they will be made in a timely manner. The parties using these materials are responsible for ensuring that they obtain and use the most current version of this guide. NIA will make reasonable efforts to communicate changes to direct trading partners.

The information contained in this Standard Companion Guide does not contradict requirements defined in the ASC X12N HIPAA Implementation Guides.

## Preface

The Health Insurance Portability and Accountability Act (HIPAA) requires that all covered entities as defined by HIPAA must comply with the electronic data interchange standards for health care as established by the Department of Health and Human Services.

This document has been prepared as a NIA specific companion document to the HIPAA ANSI X12N Implementation Guides. The use of this document is solely for the purpose of clarification to identify codes and data elements that are required, situational, or that do not apply to NIA. The information contained in this companion guide does not contradict any requirements in the X12N Implementation Guides.

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# 1 Introduction

## 1.1 Scope

The National Imaging Associates (NIA) Companion Guide provides detailed instructions on exchanging ASC X12N transactions with NIA. Included is information regarding working with NIA, connectivity, contact information, control segments, NIA business rules, acknowledgements, and testing.

The intended audience for this document is the technical area responsible for submitting electronic transactions to NIA. Additionally, the business rules should be communicated and coordinated with the appropriate trading partner department responsible for the capture or generation of any data required in the HIPAA standard transactions.

## 1.2 Overview

Direct trading partners with NIA should use all sections of this guide. Direct trading partners for the provider-based transactions (837P, 837I, 278, 276/277, 270/271, and 835) are the NIA preferred clearinghouses. Direct trading partners for customer-based transactions (834 & 820) are NIA customers and clients (employers and health plans).

Indirect trading partners will primarily use sections 1, 2.2, 2.3, and 3 to document communication rules and limitations. Indirect trading partners are original submitters or final receivers of transactions who work through an NIA-designated clearinghouse. Indirect trading partners will originate or receive provider-based transactions (837P, 837I, 278, 276/277, 270/271, and 835).

Each trading partner (direct or indirect) may use different transaction sets depending on the relationship to NIA. Transaction specific requirements are included in Section 3. Note that requirements for transaction headers and responses are common to all EDI communication and include:

- Interchange Control Header and Trailer (ISA, IEA segments)
- Functional Group Header and Trailer (GS, GE segments)
- Interchange Acknowledgement (TA1 segment)
- Functional Acknowledgement (997 transaction)

## 1.3 Additional Information

### 1.3.1 Employee Assistance Program (EAP) Exclusion

Current HIPAA transactions do not fit the business model used by the majority of EAP providers and vendors. As a result NIA has been working with X12 and a number of stakeholders to increase awareness and promote solutions. Additionally, we are working with American Managed Behavioral Healthcare Association ([www.ambha.org](http://www.ambha.org)). AMBHA has petitioned the Department of Health and Human Services (DHHS at [www.hhs.gov](http://www.hhs.gov)) for a waiver on transactions as they relate to EAP business while work continues to create transactions that meet the business needs of the EAP industry.

## 2 Getting Started

### 2.1 Working with NIA

NIA will trade the following transactions with the related types of trading partners as shown below.

Note that all transactions will go through an NIA-designated clearinghouse except the 834 and 820. These transactions will be traded directly between the customer/client (or their designated business partner) and NIA.

Certain transactions (837, 835, 278) may pass directly between NIA and select health plans depending on the relationship.

ASC X12N Standard	Inbound From:	Outbound To:
<b>837P</b> Health Care Claim: <b>Professional</b>	Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>	Direct: <ul style="list-style-type: none"> <li>Health Plan</li> </ul>
<b>837I</b> Health Care Claim: <b>Institutional</b>		
<b>835</b> Health Care Claim Payment/Advice	Direct: <ul style="list-style-type: none"> <li>Health Plan</li> </ul>	Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>
<b>276 &amp; 277</b> Health Care Claim Status Request and Response	(276) Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>	(277) Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>
<b>270 &amp; 271</b> Health Care Eligibility Benefit Inquiry and Response	(270) Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>	(271) Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>
<b>834</b> Benefit Enrollment and Maintenance	Direct (Customer): <ul style="list-style-type: none"> <li>Employer</li> <li>Health Plan</li> <li>Medicaid</li> <li>Government</li> </ul>	
<b>278</b> Health Care Services Review – Request for Review and Response	Via Clearinghouse: <ul style="list-style-type: none"> <li>Provider &amp; Provider Group</li> </ul>	Direct: <ul style="list-style-type: none"> <li>Health Plan</li> </ul>
<b>820</b> Payroll Deducted and Other Group Premium Payment for Insurance Products	Direct (Customer): <ul style="list-style-type: none"> <li>Employer</li> <li>Health Plan</li> <li>Medicaid</li> <li>Government</li> </ul>	

NIA plans to use the TA1 and 997 response transactions with all trading partners and for all transactions shown above. The 277 Unsolicited (3070 version) will be used to respond to incoming 837 transactions with the direct trading partner. The 277 Unsolicited will indicate claim processing system load status.

## 2.2 Trading Partner Registration

Each direct trading partner will contract and interface with NIA. Indirect trading partners will work with an NIA-designated clearinghouse to establish a feed that will be passed through the clearinghouse to NIA.

Type of Trading Partner	Legal Agreement	Implementation
Client, Customer, Employer, Health Plan	Complete a service contract	Develop and certify customer-based interfaces: 834 & 820
Provider & Provider Group	Work with NIA-designated clearinghouse	Provider/Provider group will work with clearinghouse. Clearinghouse will facilitate signup of providers with NIA
Clearinghouse	Complete a trading partner agreement. Clearinghouses are selected by NIA to consolidate all provider-based transactions.	Certified interfaces will be developed between clearinghouse and NIA. Clearinghouse is responsible for all communication to and from any 3 <sup>rd</sup> party (provider or provider group.) for provider-based transactions: 270/271, 276/277, 278, 835, 837I, 837P.

All providers must register with NIA. Clearinghouses will facilitate this process, working with the Provider and NIA to correctly load provider information and to generate MIS numbers for each provider. NIA will require an MIS number to identify each provider. This will be required until National Provider Identifier numbers are established.

Clearinghouses and clients/customers must provide current name, address, contact and TIN information to start EDI trading. NIA will use TIN numbers to identify trading partners.

## 2.3 Contact Information

### 2.3.1 EDI Support for Direct Trading Partners

EDI direct trading partners include NIA-designated clearinghouses (for 270/271, 276/277, 278, 835, 837Institutional, and 837Professional transactions); and employers and health plans (for 820 and 834 transactions) who trade directly with NIA. Direct trading partners should contact NIA at the following:

Email: [edisupport@magellanhealth.com](mailto:edisupport@magellanhealth.com)

Phone/Voice Mail: 314.387.5890

### 2.3.2 EDI Support for Providers, Provider Groups

Indirect trading partners such as Providers, Provider Groups will trade claim-based transactions (270/271, 276/277, 278, 835, 837Institutional, and 837Professional) via NIA-designated clearinghouses. See Trading Partner Registration above. The clearinghouse will have responsibility to work with indirect trading partners and to successfully transmit transactions between them and NIA.

NIA will work with both direct and indirect trading partners to resolve communication issues as needed, but clearinghouses have primary responsibility to resolve issues with indirect trading partners, and, therefore, should be the primary contact for indirect trading partners.

### 2.3.3 Designated Clearinghouses

As of the May 2003, NIA has an agreement with two clearinghouses to process HIPAA-compliant transactions (270/271, 276/277, 278, 835, 837I, 837P). Agreements are pending with other clearinghouses.

The selected clearinghouses are:

Clearinghouse	Phone	Email	Website
PayerPath, Inc.	877-623-5706	<a href="mailto:sales@payerpath.com">sales@payerpath.com</a>	<a href="http://www.payerpath.com">http://www.payerpath.com</a>
ProxyMed	800-586-6870	<a href="mailto:provider.info@proxymed.com">mailto:provider.info@proxymed.com</a>	<a href="http://www.proxymed.com/">http://www.proxymed.com/</a>

### 2.3.4 References

#### a. NIA Companion Guide (pending)

This NIA Companion Guide is available for download at the following websites:

<http://www.radiology.magellanprovider.com/> For NIA Imaging Providers

#### b. HIPAA Implementation Guides

Washington Publishing Company (WPC) specializes in managing and distributing Electronic Data Interchange (EDI) information, primarily in the form of documentation for organizations that develop, maintain, and implement EDI standards.

The Implementation Guides for all HIPAA transactions, including references for HIPAA Code Sets, are available electronically at:

<http://www.wpc-edi.com/HIPAA>

### **C. Generic Testing Guidelines**

The WEDI-SNIP HIPAA Task Group has been established to meet the immediate need to assess industry-wide HIPAA Administrative Simplification implementation readiness and to bring about the national coordination necessary for successful compliance.

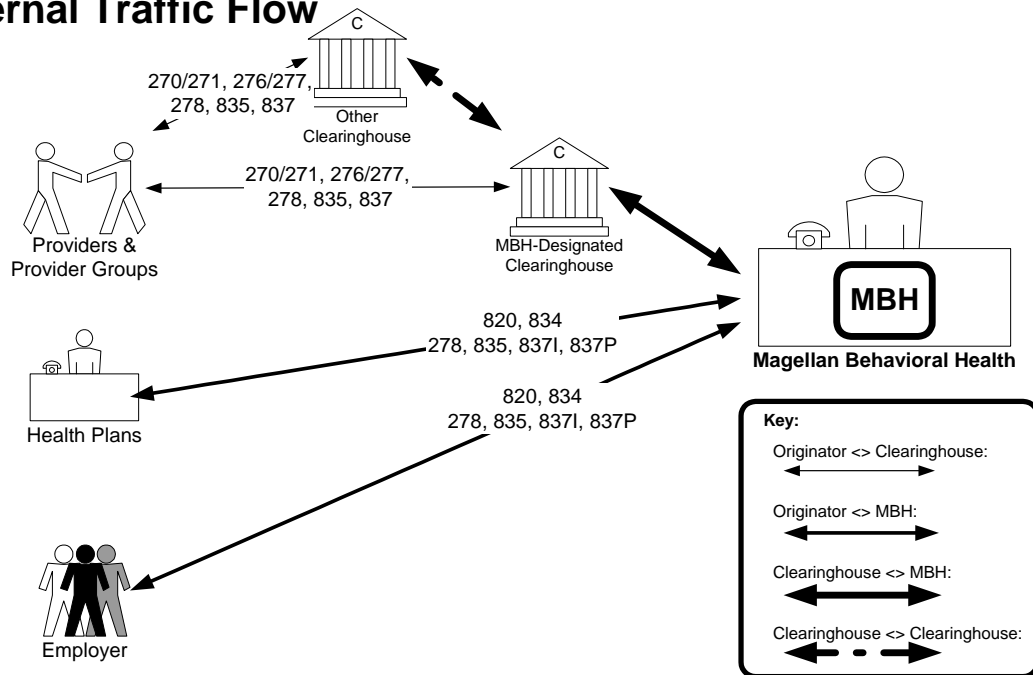
<http://www.wedi.org/snip>

## 2.4 Connectivity with NIA

### 2.4.1 Process Flow

The following diagram represents the flow of data between transaction originators and NIA (incoming), and NIA to final receivers (outgoing). Specifically, claim-based transactions transmit through an NIA-designated clearinghouse to and from NIA. Customer-based transactions go directly between NIA and the originator or receiver. If a trading partner uses another clearinghouse, transactions may pass through more than one clearinghouse (NIA clearinghouse plus other).

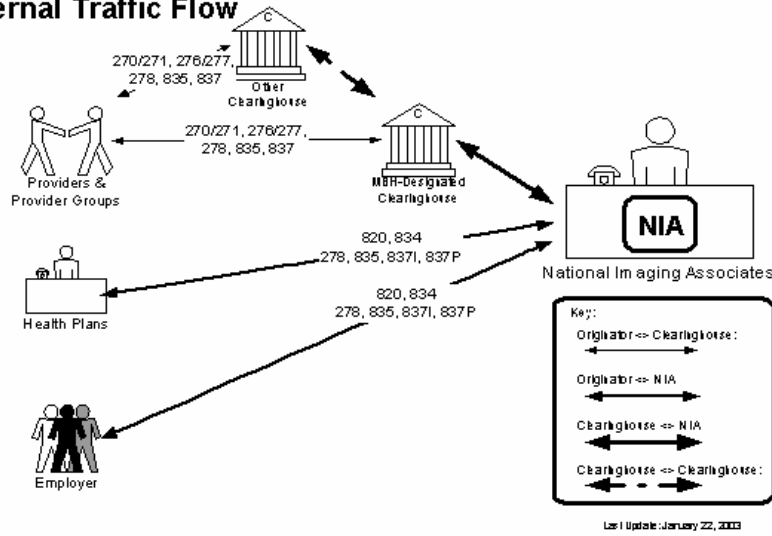
### External Traffic Flow



Last Update: January 22, 2003

2.4.2 Transmission Administrative Procedures

External Traffic Flow



a. Transmission Schedule

File transmission to NIA should be scheduled on a regular basis depending on the transaction type, response requirements, host processing window and capacity management plans. A transmission schedule must be mutually agreed-upon with NIA EDI Department.

NIA will initially trade HIPAA transactions in batch. Direct trading partners will send provider-based claims on an as-needed and frequent basis. NIA would prefer to schedule transmission of these files to facilitate tracking, but ad hoc transmission can be supported.

The 834 transaction should be sent as follows:

- Initially, send a full membership file. Only members that are applicable to NIA should be sent.
- Send delta files with add, change and delete maintenance data as changes occur. This will facilitate current and accurate membership at NIA, and result in optimal claim processing and support.
- On a regular scheduled basis, send a verification file to allow a comparison between the customer's membership and NIA membership. Initially, this file can be sent monthly, and after the interface is stabilized, it can be done quarterly.

b. "Push" vs. "Get" of files

NIA expects inbound files to be sent by the trading partner to the NIA FTP server. NIA will regularly poll this server to initiate transaction processing.

NIA will put outbound files on the Trading Partner's FTP server.

NIA prefers concurrent email messages indicating transmission and/or status of files where possible, particularly for the first 3 months of processing.

**C. Transmission File Retention**

Files incoming to NIA and those outgoing from NIA will be retained for a short period of time (two to seven days) in their transmission (encrypted) format. This will support restart processing for incoming transactions and resend processing for outgoing transactions.

Unencrypted versions of the files will be stored offline to meet federally regulated record retention requirements.

**d. Transmission File Encryption and Compression**

Transmission files will be encrypted using PGP encryption software. Compression will be part of the encryption process. NIA has PGP version 7.01 in production and version 6.5.8 in the development/test area.

Two public encryption keys will be provided to direct trading partners to be used when encrypting a file for transmission to NIA. One key will be for production files and the other for test files. Unique production keys will be provided to each trading partner. A common public key will be provided to all trading partners for test scenarios. In either case, only NIA will have decryption ability.

NIA expects to receive public encryption keys from trading partners for test and for production. NIA will use these keys to encrypt files to be sent to the trading partner.

All transmissions to and from NIA will be encrypted using this method, including test files and test file responses.

Coordinate encryption keys with NIA's EDI department.

**e. Login Procedures**

Each direct trading partner will be given two logon ID's: one for Production and one for Test. The trading partner will logon to their production or test server/directory at NIA as appropriate. The trading partner will transmit the file(s) to the designated NIA server/directory.

Files being sent to each direct trading partner will be sent to that partner's appropriate FTP server.

NIA plans to push files to trading partners. To enable connectivity, NIA will need your logon ID, password and IP address.

Direct trading partners should contact NIA to establish connectivity and trade logon IDs, passwords, IP addresses, and detailed connection procedures.

**f. Transmission File Name**

The file name for incoming or outgoing files will follow the following naming standard:

**aaaaaaaa\_bbbbbbbb\_cccc\_dddeeeeeeeeeee\_ccyymmddhhmss.fff**

The nodes should be populated as follows:

<b>Node</b>	<b>Required or Optional</b>	<b>Size</b>	<b>Notes</b>
<b>aaaaaaaa</b>	Required	1 to 8 characters	<ul style="list-style-type: none"> <li>• Sending Trading Partner ID</li> <li>• unique for each direct trading partner</li> <li>• NIA for outgoing files</li> </ul>
<b>bbbbbbbb</b>	Required	1 to 8 characters	<ul style="list-style-type: none"> <li>• Receiving Trading Partner ID</li> <li>• unique for each direct trading partner</li> <li>• NIA for incoming files</li> </ul>
<b>cccc</b>	Required	3 to 4 characters	Transaction ID: <ul style="list-style-type: none"> <li>• 270</li> <li>• 271</li> <li>• 276</li> <li>• 277</li> <li>• 277U</li> <li>• 278</li> <li>• 820</li> <li>• 834</li> <li>• 835</li> <li>• 837P</li> <li>• 837I</li> <li>• PROP</li> </ul> ("PROP is for Proprietary file)

Node	Required or Optional	Size	Notes																																																
<b>ddd</b>	Optional	0 to 3 characters	Originating system ID at NIA <ul style="list-style-type: none"> <li>• &lt;null&gt; for Unknown</li> <li>• <b>ACS</b> for ACS (outside payer)</li> <li>• <b>AMI</b> for AMISYS Production</li> <li>• <b>EGT</b> for eGate</li> <li>• <b>HST</b> for Generic Host</li> <li>• <b>M2K</b> for Member 2000</li> <li>• <b>MCP</b> for Salt Lake City CAPS</li> <li>• <b>MHP</b> for MHP</li> <li>• <b>PPC</b> for St. Louis CAPS</li> </ul>																																																
<b>eeeeeeeeee</b>	Required	8 to 10 characters	Transaction version number: <table border="1" data-bbox="930 667 1372 1220"> <thead> <tr> <th></th> <th>Version Without Addenda</th> <th>Version With Addenda</th> </tr> </thead> <tbody> <tr><td>Trx</td><td></td><td></td></tr> <tr><td>270</td><td><b>4010X092</b></td><td><b>4010X092A1</b></td></tr> <tr><td>271</td><td><b>4010X092</b></td><td><b>4010X092A1</b></td></tr> <tr><td>276</td><td><b>4010X093</b></td><td><b>4010X093A1</b></td></tr> <tr><td>277</td><td><b>4010X093</b></td><td><b>4010X093A1</b></td></tr> <tr><td>277U</td><td><b>3070X070</b></td><td><b>3070X070</b></td></tr> <tr><td>278</td><td><b>4010X094</b></td><td><b>4010X094A1</b></td></tr> <tr><td>820</td><td><b>4010X061</b></td><td><b>4010X061A1</b></td></tr> <tr><td>834</td><td><b>4010X095</b></td><td><b>4010X095A1</b></td></tr> <tr><td>835</td><td><b>4010X091</b></td><td><b>4010X091A1</b></td></tr> <tr><td>837P</td><td><b>4010X098</b></td><td><b>4010X098A1</b></td></tr> <tr><td>837I</td><td><b>4010X096</b></td><td><b>4010X096A1</b></td></tr> <tr><td>TA1</td><td><b>4010</b></td><td><b>4010</b></td></tr> <tr><td>997</td><td><b>4010</b></td><td><b>4010</b></td></tr> <tr><td>PROP</td><td><b>4010P1</b></td><td><b>4010P1</b></td></tr> </tbody> </table> ("PROP is for Proprietary file)		Version Without Addenda	Version With Addenda	Trx			270	<b>4010X092</b>	<b>4010X092A1</b>	271	<b>4010X092</b>	<b>4010X092A1</b>	276	<b>4010X093</b>	<b>4010X093A1</b>	277	<b>4010X093</b>	<b>4010X093A1</b>	277U	<b>3070X070</b>	<b>3070X070</b>	278	<b>4010X094</b>	<b>4010X094A1</b>	820	<b>4010X061</b>	<b>4010X061A1</b>	834	<b>4010X095</b>	<b>4010X095A1</b>	835	<b>4010X091</b>	<b>4010X091A1</b>	837P	<b>4010X098</b>	<b>4010X098A1</b>	837I	<b>4010X096</b>	<b>4010X096A1</b>	TA1	<b>4010</b>	<b>4010</b>	997	<b>4010</b>	<b>4010</b>	PROP	<b>4010P1</b>	<b>4010P1</b>
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837P	<b>4010X098</b>	<b>4010X098A1</b>																																																	
837I	<b>4010X096</b>	<b>4010X096A1</b>																																																	
TA1	<b>4010</b>	<b>4010</b>																																																	
997	<b>4010</b>	<b>4010</b>																																																	
PROP	<b>4010P1</b>	<b>4010P1</b>																																																	
<b>ccymmddhhmmss</b>	Required	14 characters	Date-time: <b>cc</b> = Century, <b>yy</b> = Year, <b>mm</b> = Month, <b>dd</b> = Day, <b>hh</b> = Hour, <b>mm</b> = Minute, <b>ss</b> = Second																																																
<b>Fff</b>	Required	3 characters	File extension: <ul style="list-style-type: none"> <li>• <b>TXT</b> for original unencrypted file. All files received over networked FTP should be encrypted</li> <li>• <b>PGP</b> for PGP binary encryption &amp; compression</li> <li>• <b>ASC</b> for PGP "ASCII Armored" encryption and compression (this format uses only alphabetic and numeric characters to facilitate translation between platforms)</li> </ul>																																																

Before encryption, the file extension before encryption will be “**TXT**”. The file extension after decryption will be “**TXT**”.

**2.4.3 Re-transmission Procedures**

When issues arise that require re-transmission of transactions, the direct trading partner and NIA must specifically coordinate that re-transmission. As interfaces stabilize, automated checks/balances and resends will be implemented.

**2.4.4 Communication Protocol Specifications**

NIA will use the Basic Character Set as defined in the various 4010 HIPAA Implementation Guides.

The Basic Character Set is designed to have representation in the common character code schemes of EBCDIC, ASCII, and CCITT International Alphabet 5. Common character encoding schemes other than those specified below may be used as long as a common mapping is available.

The basic character set of this standard, includes uppercase letters, digits, space, and special characters as specified below.

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

## 2.5 Control Segments & Envelopes

This section describes general requirements for transaction bundling and header field elements.

### 2.5.1 Transmission Bundling

Clean Claim laws dictate that all valid claims must be processed. HIPAA regulations state that if any part of a transaction set is non-compliant, the transaction set must be rejected. Our bundling approach supports acceptance of all valid claims or rejection of all invalid claims by delivering one detail record (claim) per transaction set.

NIA expects to receive incoming (inbound to NIA) transactions bundled as described below:

- Send one or more transmission file(s) per connection.
- Send transmission files of less than 2 Gigabytes.
- Send a single transaction type (i.e.: 837-Professional, 837-Institutional, 270, 834) per transmission file.
- Send one ISA/IEA interchange per file
- Send one GS/GE functional group per ISA/IEA
- Send one or more ST/SE transaction set(s) per GS/GE
- send one detail record per ST/SE **for all transactions except 834**
- send up to 10,000 detail records per ST/SE **for 834 transactions** (as defined in the Implementation Guide)

Outgoing (Outbound from NIA) transactions will follow the same guidelines as specified above for inbound transactions.

### 2.5.2 Interchange Control Header/Trailer (ISA-IEA)

Interchange Control Header/Trailer specifications include use of expected sender and receiver codes, authorization information, interchange control numbers and delimiters.

Use only one ISA/IEA interchange per file. See “Transaction Bundling” above for limits on Interchange Control Headers.

NIA cannot accept Carriage Returns or Line Feeds in the transmission stream. The basic character set will be accepted, including uppercase letters, digits, space, and special characters as specified below.

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

NIA recommends the use of the following delimiters:

- Up carrot (^) as a data element separator
- Tilde (~) as the segment terminator.
- Pipe (|) as the component element separator

Delimiters are specified on the Interchange Control Header (ISA) segment. This segment is fixed length. It uses the data element separator to break fields and the Segment Terminator at the end of the ISA segment. The component element separator is placed in ISA16.

Since these delimiters are used in the rest of the transaction to separate field components, fields and segments, they cannot be used within any given field.

Control numbers used on the ISA/IEA segments should be unique from a given trading partner and each number should be larger than the previous value from that trading partner. The same register should be used for ISA13 and GS06 (but do not use leading zeros here). **This will link 997 files with original transaction files.** The Control Number elements are ISA13 and IEA02. The Control Number value has the following requirements:

- Numeric
- 9 digits
- Start at 000000001 for the first Interchange (ISA/IEA) sent to NIA. GS/GE control numbers do not have leading zeros.
- Increment for each Interchange (ISA/IEA) sent to NIA. Sequential numbers are preferred, but not required. The number must always be larger than previous numbers.
- If multiple Functional Groups (GS/GE) are sent in an interchange, the ISA13 must be greater than any prior Functional Group control number (GS06).
- Be unique for all Interchanges sent to NIA by the trading partner.
- Trading partner must coordinate with NIA to reset the counter.

The following table will present the ISA and IEA segment layouts:

SegPos	LoopID	SegID	ElmPos	ElmID	Name	MaxUse	UserReq	BaseReq	ElemType	MinLength	MinLength	Level1Note
<b>10</b>		<b>ISA</b>			<b>Interchange Control Header</b>	<b>1</b>	<b>S</b>	<b>M</b>				
10		ISA	1	I01	Authorization Information Qualifier	1	R	M	ID	2	2	Set to "00" for "not used"
10		ISA	2	I02	Authorization Information	1	R	M	AN	10	10	Not used
10		ISA	3	I03	Security Information Qualifier	1	R	M	ID	2	2	Set to "00" for "not used"
10		ISA	4	I04	Security Information	1	R	M	AN	10	10	Not used
10		ISA	5	I05	Interchange ID Qualifier	1	R	M	ID	2	2	Set to "30" for Taxpayer ID Number Set to "33" for NAIC number
10		ISA	6	I06	Interchange Sender ID	1	R	M	AN	15	15	NIA NAIC # (01260) for transactions from NIA Trading partner TIN for transactions from them
10		ISA	7	I05	Interchange ID Qualifier	1	R	M	ID	2	2	Set to "30" for Taxpayer ID Number Set to "33" for NAIC number
10		ISA	8	I07	Interchange Receiver ID	1	R	M	AN	15	15	NIA NAIC # (01260) for transactions to NIA Trading partner TIN for transactions to them
10		ISA	9	I08	Interchange Date	1	R	M	DT	6	6	Date in YYMMDD format
10		ISA	10	I09	Interchange Time	1	R	M	TM	4	4	Time in HHMM format
10		ISA	11	I10	Interchange Control Standards Identifier	1	R	M	ID	1	1	Set to "U" for U.S. EDI Community of ASC X12, TDCC, and UCS
10		ISA	12	I11	Interchange Control Version Number	1	R	M	ID	5	5	Set to "00401" (This also applies to 277Unsolicited 3070 version)
10		ISA	13	I12	Interchange Control Number	1	R	M	N0	9	9	-Numeric 9 digits -Must be unique for a given trading partner -Must be greater than previous control number -Must be greater than previous GS06 control number if multiple Functional Groups are sent in prior Interchanges. -Must coordinate with NIA to reset
10		ISA	14	I13	Acknowledgment Requested	1	R	M	ID	1	1	Set to "1" to request TA1 response transaction
10		ISA	15	I14	Usage Indicator (Test Indicator for 277Unsolicited 3070 version)	1	R	M	ID	1	1	"P" for Production: "T" for Test Coordinate with Login and Encryption key
10		ISA	16	I15	Component Element Separator	1	R	M	AN	1	1	NIA expects " " (Pipe)
<b>40</b>		<b>IEA</b>			<b>Interchange Control Trailer</b>	<b>1</b>	<b>S</b>	<b>M</b>				
40		IEA	1	I16	Number of Included Functional Groups	1	R	M	N0	1	5	Count of number of Functional Groups (GS/GE) within the Interchange (ISA/IEA)
40		IEA	2	I12	Interchange Control Number	1	R	M	N0	9	9	Must match Control Number ISA13 on Interchange (ISA)

Last Update: 4/9/03

Note that NIA expects their NAIC number (01260) to be used as its ID number on the ISA (in either ISA06 or ISA08 depending on whether NIA is sending or receiving the transaction).

NIA also expects the NAIC number to be used to identify NIA as payor or receiver within the transaction. On some transactions, the NAIC number has a qualifier indicating ETIN.

**2.5.3 Functional Group Header/Trailer (GS-GE)**

Functional Group Header/Trailer specifications include use of expected application sender and receiver codes, functional group control numbers and transaction identification.

Use one or more Functional Groups within each Interchange. See “Transaction Bundling” above for limits on Functional Groups.

Note that the Functional Group Header specifies the transaction type contained within it. The following table indicates the settings for Functional Identifier Code (GS01) that indicate the transaction sets contained within as well as the corresponding Version/Release/Industry Identifier Code (GS08) associated with each.

<b>Transaction</b>	<b>GS01</b>	<b>GS08 (Pre-Addenda)</b>	<b>GS08 (With Addenda)</b>
270	HS	004010X092	004010X092A1
271	HB	004010X092	004010X092A1
276	HR	004010X093	004010X093A1
277	HN	004010X093	004010X093A1
277 Unsolicited	HN	003070X070	003070X070
278	HI	004010X094	004010X094A1
820	RA	004010X061	004010X061A1
834	BE	004010X095	004010X095A1
835	HP	004010X091	004010X091A1
837P	HC	004010X098	004010X098A1
837I	HC	004010X096	004010X096A1
TA1	N/A		
997	FA	00401	00401

The following table provides values for the Transmission Type Identification segment, field REF02. This segment exists only for the 837 transactions and occurs immediately after the BHT segment.

<b>Transaction</b>	<b>REF02 (Pre Addenda; In Pilot)</b>	<b>REF02 (With Addenda; In Pilot)</b>	<b>REF02 (Pre Addenda; In Production)</b>	<b>REF02 (With Addenda; In Production)</b>
837P	004010X098D	004010X098DA1	004010X098	004010X098A1
837I	004010X096D	004010X096DA1	004010X096	004010X096A1

Control Numbers used on the GS/GE segments should initially match the control number on the parent Interchange (ISA/IEA) but not have leading zeros and increment if more than one Functional Group (GS/GE) is embedded in the Interchange (ISA/IEA) Control Number elements are GS06 and GE02. The Control Number value has the following requirements:

- Numeric (so suppress leading zeros, unlike the ISA13)
- 1 to 9 digits
- Start equal to the ISA control number ISA13 for the first Functional Group (GS/GE) within the Interchange (ISA/IEA).
- Increment for each additional Functional Group (GS/GE) within the Interchange.
- Be unique within the Interchange.

The following table will present the GS and GE segment layouts:

SegPos	LoopID	SegID	ElmPos	ElmID	Name	MaxUse	UserReq	BaseReq	ElemType	MinLength	MinLength	Level1Note
<b>20</b>		<b>GS</b>			<b>Functional Group Header</b>	<b>1</b>	<b>S</b>	<b>M</b>				
20		GS	1	479	Functional Identifier Code	1	R	M	ID	2	2	(Populate with values from Transaction-Specific Functional Group Settings Table in the HIPAA Transaction Standard Companion Guide)
20		GS	2	142	Application Sender's Code	1	R	M	AN	2	15	NIA NAIC # (01260) for transactions from NIA Trading partner TIN for transactions from them
20		GS	3	124	Application Receiver's Code	1	R	M	AN	2	15	NIA NAIC # (01260) for transactions to NIA Trading partner TIN for transactions to them
20		GS	4	373	Date	1	R	M	DT	8	8	Date in CCYYMMDD format (This format to be used for 277Unsolicited 3070 version)
20		GS	5	337	Time	1	R	M	TM	4	8	Time in HHMM format
20		GS	6	28	Group Control Number	1	R	M	NO	1	9	-Numeric 1 to 9 digits (no leading zeros) -Must be unique within an interchange (ISA/IEA) -Initialize the control number within an ISA/IEA to the value in ISA13, and increase for each Functional Group within the interchange. Subsequent Interchanges (ISA/IEA) should have ISA13 higher than all prior GS06 (GS/GE) control numbers.
20		GS	7	455	Responsible Agency Code	1	R	M	ID	1	2	Set to "X"
20		GS	8	480	Version / Release / Industry Identifier Code	1	R	M	AN	1	12	(Populate with values from Transaction-Specific Functional Group Settings Table in the HIPAA Transaction Standard Companion Guide)
<b>30</b>		<b>GE</b>			<b>Functional Group Trailer</b>	<b>1</b>	<b>S</b>	<b>M</b>				
30		GE	1	97	Number of Transaction Sets Included	1	R	M	NO	1	6	Count of number of Transaction Sets (ST/SE) within the Functional Group (GS/GE)
30		GE	2	28	Group Control Number	1	R	M	NO	1	9	Must match Control Number GS6 on Functional Group Header (GS)
* Red font denotes differences between transactions												
Last Update: 3/24/03												

### 2.5.4 Transaction Set Header/Trailer (ST-SE)

Control numbers used on the ST/SE segments should reset and increment within the Interchange (ISA/IEA). The control number elements are ST02 and SE02. The Control Number value has the following requirements:

- Numeric
- 4 to 9 digits
- Start at 0001 within each Interchange (ISA/IEA)
- Increment for each additional transaction set (ST/SE) within the Interchange.
- Continue to increment this control number across all Functional Groups (GS/GE) within the Interchange. This number is unique within the Interchange.

A “detail record” is defined as a “business document” such as a single claim (837), single eligibility request (270), single claim status request (276) or single member (834).

The following table will present the ST and SE segment layouts:

LoopID	SegID	ElmPos	ElmID	Name	MaxUse	UserReq	BaseReq	ElemType	MinLength	MinLength	Level1Note
	<b>ST</b>			<b>Transaction Set Header</b>	<b>1</b>	<b>R</b>	<b>M</b>				
	ST	1	143	Transaction Set Identifier Code	1	R	M	ID	3	3	Set to transaction ID: 270, 271, 276, 277, 278, 820, 834, 835, 837, 997, TA1
	ST	2	329	Transaction Set Control Number	1	R	M	AN	4	9	· Starting at 0001 within each Interchange (ISA/IEA) · Increment for each additional transaction set (ST/SE) within the Interchange. · Continue to increment across all Functional Groups (GS/GE) within the Interchange. This number is unique within the Interchange.
	<b>SE</b>			<b>Transaction Set Trailer</b>	<b>1</b>	<b>R</b>	<b>M</b>				
	SE	1	96	Number of Included Segments	1	R	M	N0	1	10	Number of segments within the Transaction Set including the ST & SE segments
	SE	2	329	Transaction Set Control Number	1	R	M	AN	4	9	Must match the corresponding ST segment Transaction Set Control Number ST02

Last Update: 3/24/03

## 2.6 Acknowledgements & Reports

### 2.6.1 Direct Trading Partner Responsibilities

The direct trading partner is responsible for monitoring the responses and ensuring that all transactions submitted were received by NIA.

### Response Transaction Matrix

Transaction	Interchange Level (Outer Envelope) (X12)	Functional Group & Transaction Set Level (X12 & HIPAA IG)	Transaction Response
270	TA1	997	271
276	TA1	997	277
278	TA1	997	278
820	TA1	997	tbd
834	TA1	997	tbd
835	TA1	997	tbd
837	TA1	997	277 Unsolicited (3070 version)
			835 (optional)

### 2.6.2 Expected Turnaround of TA1 and 997 Responses

NIA expects to turnaround TA1 and 997 responses in the following timeframes:

Incoming Transaction ID	Outbound Response Expected Transaction Turnaround		Inbound Response Expected Transaction Turnaround	
	TA1	997	TA1	997
270	1 Hr	4 Hrs	1 Hr	4 Hrs
276	1 Hr	4 Hrs	1 Hr	4 Hrs
278	1 Hr	4 Hrs	1 Hr	4 Hrs
820	1 Hr	4 Hrs	1 Hr	4 Hrs
834	1 Hr	4 Hrs	1 Hr	4 Hrs
835	1 Hr	4 Hrs	1 Hr	4 Hrs
837	1 Hr	4 Hrs	1 Hr	4 Hrs

### 2.6.3 Interchange Acknowledgement (TA1 version 4010)

Interchange Acknowledgement (TA1) is an immediate acknowledgement of the communication and receipt of transmitted files. This is the first step in the reconciliation process.

NIA expects to use Interchange Acknowledgements when files are received or sent. To support this process, ISA14 on the original transaction sent from the trading partner to NIA should be set to "1". This indicates that an Interchange Acknowledgement should be returned to the trading partner as confirmation of receipt of a valid X12 file. NIA will set the ISA14 element to "1" for all outgoing transactions.

Interchange Acknowledgements are not an indication that the transmitted files were accepted for processing. Functional Acknowledgements (997) are used for this purpose.

Interchange Acknowledgements will be used for all transactions except other TA1's or 997's

For files sent to NIA, if you do not receive an Interchange Acknowledgement, we did not receive the transmission and the transmission will need to be resent, or the acknowledgement did not get to the trading partner. In either situation, contact NIA to coordinate resend of the original transmission or the acknowledgement.

For files sent from NIA, if NIA does not receive an Interchange Acknowledgement, NIA will contact the trading partner to coordinate a resend of the original transaction.

#### **2.6.4 Functional Acknowledgement (997 version 4010)**

The 997 response transaction is the second step in the reconciliation process. Functional Acknowledgement (997) indicates the results of:

- Parsing the transmission file's headers, trailers and transactions
- General X12 edits
- HIPAA IG edits on transaction sets (levels 1 thru 7 of the WEDI-SNIP testing guidelines, see Testing)

NIA expects to use Functional Acknowledgements for all incoming and outgoing transmissions. Functional Acknowledgements indicate that the transmitted files are accepted for processing.

Functional Acknowledgements will be used for all transactions except other TA1's or 997's

Functional Acknowledgements are sent for each GS/GE Functional Group within the transaction. The status of each transaction set (ST/SE) within the GS/GE is reported on the Functional Acknowledgement. The value in AK102 contains the control number from the original functional group being reported. If these standards are followed, that control number will uniquely identify the original file for positive linking between sent data and responding message.

For files sent to NIA, if you do not receive a Functional Acknowledgement, either we did not receive the transmission and the transmission will need to be resent, or the Functional Acknowledgement did not get to the Trading Partner. In either situation, contact NIA to coordinate resend of the original transmission or acknowledgements.

For files sent from NIA, if NIA does not receive a Functional Acknowledgement, NIA will contact the trading partner to coordinate a resend of the original transaction.

### 3 NIA Specific Business Rules & Limitations

The documents included below will clarify the loops, segments, and data elements for each transaction type that must be used for NIA.

Information will be provided to explain when conditional data must be used for NIA and to identify those codes and elements that do not apply to NIA. This information is designed to help a submitter complete each transaction.

The information contained in these transaction-specific companion guides does not contradict any requirements in the corresponding HIPAA Implementation Guide.

- 3.1 *NIA 997 Companion Guide (tbd)***
- 3.2 *NIA TA1 Companion Guide (tbd)***
- 3.3 [NIA 270/271 Companion Guide](#)**
- 3.4 [NIA 276/277 Companion Guide](#)**
- 3.5 [NIA 277U Companion Guide](#)**
- 3.6 [NIA 278 Companion Guide](#)**
- 3.7 [NIA 820 Incoming Companion Guide](#)**
- 3.8 [NIA 834 Incoming Companion Guide](#)**
- 3.9 [NIA 835 Outgoing Companion Guide](#)**
- 3.10 [NIA 835 Incoming Companion Guide](#)**
- 3.11 [NIA 837 Institutional Incoming Companion Guide](#)**
- 3.12 *NIA 837 Institutional Outgoing Companion Guide (tbd)***
- 3.13 [NIA 837 Professional Incoming Companion Guide](#)**
- 3.14 *NIA 837 Professional Outgoing Companion Guide (tbd)***

## **4 Testing with NIA**

### **4.1 Certification and Testing Overview**

NIA will focus testing on interfaces with direct trading partners. This testing will follow the 7 types of testing as defined in the document named Testing\_whitepaper082602.pdf which can be found on the WEDI-SNIP website. The WEDI SNIP website URL as listed in the References section above.

NIA has defined a Type 8 test that involves transactions communicating successfully into core host systems. This would be the final phase of testing prior to signoff on the interface.

### **4.2 Detailed description of testing phase**

TBD

### **4.3 Separation of Test and Production**

NIA has an isolated testing process. This test process will be used to initially certify a given transaction version between two trading partners, to verify changes to that version, and to verify subsequent versions.

Pilot or pre-production transmissions must follow these test requirements.

A test file being sent to NIA must meet the following requirements.

#### **4.3.1 Interchange Header Test Setting**

Transaction should be constructed using the test indicator ISA15 set to "T" for Test. (Production files will have "P" in this element.)

#### **4.3.2 Test Encryption**

Transaction should be encrypted using the test encryption key and PGP software encryption.

#### **4.3.3 Test Logon**

Transaction should be transmitted using the test logon ID and password. This will place the file in a test folder. Work with your designated NIA EDI Analyst to receive logon ID and password.

#### **4.3.4 Type of test data**

Transaction data should represent valid transaction records without using Personal Health Information (PHI). One level of testing should use data that is meaningful to the NIA test host system. These tests must be coordinated with NIA EDI Analysts, who will coordinate with internal core business system analysts.

## 4.4 Naming conventions

File naming conventions are the same as production. The test logon process will place test files in a corresponding test folder.

## 4.5 Timeliness of processing test files

NIA expects to perform iterative tests until data is successfully processed from beginning to end, and responses are successfully processed. Timely and well-coordinated iterations will significantly improve elapsed test times.

## 4.6 WEDI-SNIP Testing Levels:

The testing types 1 through 7 described below are from Transaction Compliance and Certification; A White Paper Describing the Recommended Solutions For Compliance Testing and Certification of the HIPAA transactions, Version 3.0. It is produced by the WEDI SNIP -- Transactions Work Group; Testing Sub Work-Group.

Type 8 testing includes NIA core business systems. For Type 8 testing, syntactically and functionally correct transaction data must interact successfully with NIA core business systems.

These types of testing are provided here because they are the basis of NIA's testing approach, provide common language to describe testing levels, and are used to define actions and responses during transaction processing.

All 8 types of testing must be complete before the specific interface can move to production. NIA has scheduled multiple releases of HIPAA-required transactions with the final release being HIPAA-compliant and delivered prior to **October 16, 2003**.

Trading partners should work with NIA to coordinate schedules for applicable transactions.

**Type 1: EDI syntax integrity testing** – Testing of the EDI file for valid segments, segment order, element attributes, testing for numeric values in numeric data elements, validation of X12 or NCPDP syntax, and compliance with X12 and NCPDP rules. This will validate the basic syntactical integrity of the EDI submission.

**Type 2: HIPAA syntactical requirement testing** – Testing for HIPAA Implementation Guide-specific syntax requirements, such as limits on repeat counts, used and not used qualifiers, codes, elements and segments. Also included in this type is testing for HIPAA required or intra-segment situational data elements, testing for non-medical code sets as laid out in the Implementation Guide, and values and codes noted in the Implementation Guide via an X12 code list or table.

**Type 3: Balancing** – Testing the transaction for balanced field totals, financial balancing of claims or remittance advice, and balancing of summary fields, if appropriate. An example of this includes items such as all claim line item amounts equal the total claim amount.

**Type 4: Situation testing** – The testing of specific inter-segment situations described in the HIPAA Implementation Guides, such that: If A occurs then B must be populated. This is

considered to include the validation of situational fields given values or situations present elsewhere in the file. Example: if the claim is for an accident, the accident date must be present.

**Type 5: *External code set testing*** – Testing for valid Implementation Guide-specific code set values and other code sets adopted as HIPAA standards. This level of testing will not only validate the code sets but also make sure the usage is appropriate for any particular transaction and appropriate with the coding guidelines that apply to the specific code set.

**Type 6: *Product types or line of services***: This testing type is required to ensure that the segments/records of data that differ based on certain healthcare services are properly created and processed into claims data formats.

**Type 7: *Implementation Guide-Specific Trading Partners***: The Implementation Guides contain some HIPAA requirements that are specific to Medicare, Medicaid, and Indian Health. Compliance or testing with these payer specific requirements is not required from all trading partners. If the trading partner candidate intends to exchange transactions with one of these Implementation Guide special payers, this type of testing is required.

**Type 8: *Business Rule testing*** – (NIA definition) This Testing is to ensure that a “detail record” successfully communicates between NIA core systems and the trading partner. For example, a membership load is received for a subscriber, but cannot be loaded to the host system because of a duplicate situation. This situation will be managed with custom communications between NIA and the customer/client.

## 5 Appendices

### 5.1 Implementation Checklist (tbd)

### 5.2 Frequently Asked Questions (tbd)

### 5.3 Change Summary

Change history of this document

Revision Date	Ver #	Change Description	Author
1/17/03	1.00	Creation	HHH
2/26/03	1.01	Updated Disclosure Statement and Preface	HHH
2/26/03	1.02	Miscellaneous syntax changes	HHH
2/27/03	1.03	Updated EAP notice, section 1.3.1; changed NIA EDI support contact phone number	HHH
3/5/03	1.04	Changed field delimiter from asterisk "*" to up carrot "^"	HHH
3/10/03	1.05	Added PGP encryption software version information	HHH
3/12/03	1.06	Corrected standard character set definition and delimiter requirements	HHH
3/17/03	1.07	Changed possible transaction-specific values for GS08 in the Functional Group header. This field identifies the version of the transaction	HHH
3/19/03	1.08	<ul style="list-style-type: none"> <li>Added 277Unsolicited transaction to Functional Group Header/Trailer transaction-specific requirements.</li> <li>Added Transmission Type Identification specifications for use in 837 transactions for Production, Pilot, Pre-Addenda and With Addenda scenarios</li> </ul>	HHH
3/24/03	1.09	Changed layout for ISA/IEA, GS/GE, ST/SE with documentation for the 3070 version of 277Unsolicited	HHH
4/9/03	1.10	<ul style="list-style-type: none"> <li>Changed component delimiter from colon (:) to Pipe ( )</li> <li>Changed NIA ID to use NAIC number of 1260 instead of TIN</li> </ul>	HHH
4/15/03	1.11	Changed NAIC number to "01260" from "1260" to allow consistency between trading partners. 4 digit NAIC numbers are for organizational groups. 5 digit numbers are for individual (ie: state-based) subgroups.	HHH
4/23/03	1.12	<ul style="list-style-type: none"> <li>Added reference to clearinghouse ProxyMed.</li> <li>Changed file naming standard</li> </ul>	HHH
4/25/03	1.13	<ul style="list-style-type: none"> <li>Added values for GS01 and GS08 for TA1 and 997 transactions</li> <li>Added values for file naming for "proprietary" files</li> </ul>	HHH
5/21/03	1.14	Added Provider EDI Enrollment Form as addenda	HHH
6/25/03	1.15	General text cleanup, Correction of PGP Public Key documentation	HHH
7/23/03	1.16	<ul style="list-style-type: none"> <li>Removed compare text.</li> <li>Added hyperlink to section 3.3, 3.4, 3.5, 3.6, and 3.10</li> <li>Changed Provider EDI Enrollment Form to Provider EDI Registration Form. Added updated form.</li> </ul>	CEG
8/19/03	1.16	<ul style="list-style-type: none"> <li>Updated Registration form to include the current clearing houses</li> </ul>	CEG
9/17/03	1.16	<ul style="list-style-type: none"> <li>Removed entire section regarding Registration Form</li> </ul>	CEG

Revision Date	Ver #	Change Description	Author
		<ul style="list-style-type: none"> <li data-bbox="597 254 976 281">Added page numbers to document</li> </ul>	
2/12/04	1.17	<ul style="list-style-type: none"> <li data-bbox="597 310 1235 422">Changed bundling and setting for Functional Group (GS/GE) control number (GS06) to enable linkage between original transaction file and responding 997 functional acknowledgement.</li> </ul>	HHH
10/19/05	1.16	<ul style="list-style-type: none"> <li data-bbox="597 426 1170 483">Added “no leading zeros” to every reference to the GS control number.</li> </ul>	PEM

## 6 Glossary

Term	Definition
Bundling	Managing transmission data to permit compliance with regulations. Aspects include limiting the number of business records per transaction set per functional group per interchange per file, and other transaction packaging specifications.
Customer-based transactions	Transactions that will primarily be used by NIA customers and clients to communicate with NIA, including 820, 834, 837 (to customer as encounter feed), 835 (from customer as payment notification), 278 (limited usage)
Detail record	A "business document" such as a single claim (837), single eligibility request (270), single claim status request (276), or a single member (834). A "detail record" is the smallest grouping of data that can cause a business event such as filing a claim, requesting eligibility status, requesting claim status, loading/changing member information, respectively, .
Direct trading partner	Any organization outside NIA who electronically sends or receives business transactions to NIA. Direct trading partners send transactions directly to NIA and do not involve a clearinghouse or intermediary. Also see "trading partner" and "indirect trading partner".
Host system or host processing	A core business system whose function is to edit and process data to meet NIA business processes.
Inbound file	Relative to NIA, this is a file that is incoming to NIA
Indirect trading partner	Any organization outside NIA who electronically sends or receives business transactions to NIA. Indirect trading partners send transactions through one or more clearinghouses or intermediaries. Also see "trading partner" and "direct trading partner".
NIA	NIA
Outbound file	Relative to NIA, this is a file that is sent from NIA
Provider-based transactions	Transactions that will primarily be used by providers to communicate with NIA, including 270/271, 276/277, 278, 835, 837 Professional, 837 Institutional.
Trading partner	Any organization outside NIA who electronically sends or receives business transactions to NIA. Also see "direct trading partner" and "indirect trading partner".