



RURAL HOUSING SERVICE

Electronic Data Interchange Implementation Guide



**Guaranteed Loan System
Status and Default Status Reporting**

(Revised May 2002)

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OVERVIEW

Government and industry are moving toward a common goal of electronic business. As part of this move, Rural Housing Service (RHS) is now accepting electronic reporting of guaranteed loan status information from RHS guaranteed loan-servicing lenders.

RHS is committed to implementing direct computer application-to-computer application exchange of standardized information between private industry and RHS. In a movement toward this goal, RHS began offering servicing lenders the option of Electronic Data Interchange (EDI) for annual status reporting in December 1996. This pilot has been quite successful, but participation has been minimal. With the exception of 15 lenders who send electronic annual status reports in an RHS proprietary flat file format, most servicing lenders continue to report annual and default status information via hard copy.

Both the hard copy and proprietary approach to the electronic annual status reports require extensive manual efforts on both the servicing lender and RHS to validate the integrity and formatting of the data.

Due to the increase in guaranteed loan funding, it is paramount to make it easier for servicing lenders to fulfill their guaranteed loan reporting requirements and for RHS to collect and manage the reported data. The growing guaranteed loan program makes it essential that RHS has access to current loan status and delinquency information to better monitor lender performance and overall program results.

Therefore, RHS has restructured its use of EDI. Our electronic reporting options will allow lenders to either send ANSI X12 files via the Internet or use web pages designed for entering transactions manually. Lenders with more than 100 Guaranteed Rural Housing (GRH) loans will be required to use the ANSI X12 method. New reporting requirements are also being introduced as part of the conversion to electronic reporting. Quarterly reporting on all loans will be required and replaces the annual status reporting currently used. These reports will be required as of March 31, June 30, September 30, and December 31. Delinquency reporting will continue to be required monthly.

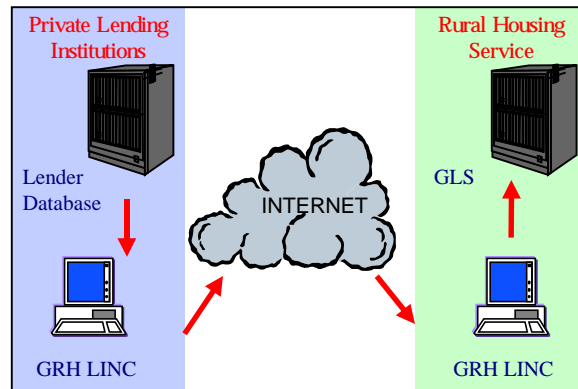
The first quarterly status report will be due from all lenders on April 1, 2001 and must be submitted electronically. The first electronic default status report is due July 1, 2001. RHS can accept electronic submissions of both quarterly and default reports by January 31, 2001 if you prefer to implement before the mandatory dates. Reports must be transmitted by 6:00 PM CST/CDT of the Federal Government's sixth working day following the end of the month or the quarter. When reporting begins on a quarterly basis in April 2001, the annual status report will be discontinued. With the implementation of mandated industry standard reporting methods, the quality of data and lender compliance with reporting requirements will improve significantly.

The goal of our EDI program is to streamline the process of tracking guaranteed loan status history. RHS's intention is to receive all loan level reports via EDI or Web Application Input pages (for servicing lenders with less than 100 loans) by April 2001.

EDI streamlines the process of tracking guaranteed loan status history by allowing private lending institutions to electronically submit their quarterly portfolio reports directly to the USDA, Rural Housing Service's Guaranteed Rural Housing Lender Interactive Network Connection (GRH LINC). Therefore, interface with the Guaranteed Loan System (GLS) mainframe application requires minimal human intervention.

Lenders will use the USDA LINC on the Internet as the starting point for reporting quarterly portfolio reports and monthly default status reports. The USDA LINC Website at <https://usdalinc.egov.usda.gov> also provides on-line registration and contact telephone numbers. Once you have obtained your access code and password, you can access the GRH LINC through the USDA LINC. The GRH LINC contains the pages that allow you to either manually update the quarterly or default status report information or send the information via EDI ANSI ASC X12 files. Servicing lenders are encouraged to visit the GRH LINC frequently as new reporting options will constantly be made available.

A typical electronic submission is depicted below.



EDI is an important component of continuing initiatives within RHS to improve the effectiveness and efficiency of government programs using electronic information systems technology.

The EDI projects are conducted under the direction of Rural Development's Office of Information Resources Management (IRM). IRM is responsible for providing policy direction and coordination of RHS's EDI effort.

BENEFITS OF EDI

As a participant in RHS's EDI program, you will be exchanging monthly and quarterly loan level reporting data electronically, enabling your organization to experience the benefits listed below. You may realize additional benefits and savings over time by being a part of the movement toward industry-wide EDI participation.

- Time savings and associated financial savings accrued from:
 - reduced document processing and transmittal costs,
 - elimination of keying of redundant information,
 - reduction of manual reconciliation of information,
 - correction of data entry errors,
 - sorting, distribution, and filing of documents, and
 - document mailing or telephoning of information.
- Improved accuracy.
- Improved trading partner relationships and client interactions.
- Improved reconciliation of transactions exchanged.
- Increased efficiencies based on the use of the same transaction sets for investor reporting with RHS, Ginnie Mae, Fannie Mae, and Freddie Mac.

INTRODUCTION TO EDI

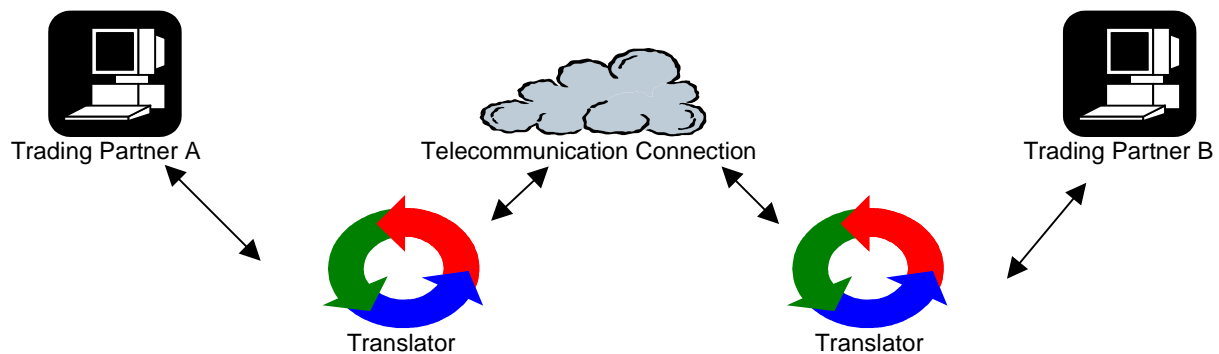
Electronic Commerce is the electronic exchange of documents and information between business partners without human intervention. As a component of electronic commerce, EDI is the Application-to-Application exchange of structured business documents in either the American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12-approved format or a mutually agreed upon format. EDI is widely recognized as a strategic information systems technology in both the private sector and within the Federal Government.

The EDI process begins when a business entity (Trading Partner A) chooses to electronically exchange data with another business entity (Trading Partner B). The first step in the process is to establish a communication link between the two trading partners. RHS has designed the GRH LINC for this purpose. The GRH LINC currently supports the following telecommunications methods:

- Web Reporting Input Pages, and
- File Transfer Via Web Pages

Once a communication link is established, Trading Partner A takes its proprietary business data and translates it into the EDI standard format. This data is then transmitted to Trading Partner B, who translates it from EDI to its proprietary format. Typically, Trading Partner B sends an acknowledgment to Trading Partner A to confirm the success or failure of the transmission and the acceptability of the transaction set syntax.

The typical EDI data flow includes two trading partners, two translation functions, and a telecommunications connection, as depicted below.



EDI DEFINITIONS

The following is a list of EDI terms and acronyms to help you understand EDI.

Trading Partner - A trading partner is any company, government department, or commercial or noncommercial entity with which an organization regularly exchanges documents of formatted data (not just letters or memos).

Trading Partner Agreement - This document outlines all the conditions that will allow electronic communication between trading partners. The agreement states that the parties intend to operate in the same manner as though they were exchanging hard copy paper documents. The signature on the agreement serves as a substitute for signature on each paper-based business document previously submitted.

Mapping - The process of taking data from a company-specific format and fitting it to the EDI standard format (transaction set).

Transaction Set - A standard format EDI business document.

Translation Software - Software used to convert data from a flat file into a standard EDI format or from a standard EDI format into a flat file.

A more comprehensive list of EDI terms and acronyms is located in the glossary at the back of this guide.

EDI STANDARDS

Trading Partners must adhere strictly to established EDI standards for a successful EDI implementation. Use of EDI standards is essential to ensure that the business document (transaction set) being exchanged can be interpreted and validated by trading partners.

EDI standards are agreements between EDI users on how to format and communicate data. Standards are key to both the effectiveness and integrity of EDI. These standards are embodied in the electronic format of business documents known as transaction sets. The standards used by RHS are the ANSI ASC X12 standards, abbreviated herein as X12.

Standards provide a common syntax, set of rules, and procedures for their maintenance and enhancements. EDI standards presently define and support more than 200 business documents derived from industry and government working groups. They provide a framework from which new standards can be derived as well as a database of elements to be used in the creation of new standards.

In general, EDI formatting standards address the following issues:

- What documents can be communicated electronically;
- What information is to be included;
- What sequence the information should follow;
- What form the information (i.e., numeric, ID codes, etc.) should use; and
- The meaning of the individual pieces of information.

ANSI chartered ASC X12 to develop uniform standards for EDI to meet the emerging requirements for standard EDI protocols. The X12 data structure is based on a proven methodology for adapting business forms for electronic transmission across telecommunication networks. A group of standards subcommittees are in place to advise, critique, and monitor the development of all X12 formats and make these formats available for business or government use.

The Data Interchange Standards Association (DISA) was formed in 1986 to encourage the use of X12 standards. This organization is the administrative secretariat for the X12 organization. It provides services such as printing, distribution, and storage of standards. Additionally, DISA participates in the international development of standards working with EDI for Administration, Commerce, and Trade (EDIFACT). EDIFACT is a family of standards sponsored by the United Nations. These standards are emerging as the medium for global electronic trade.

The National Institute of Standards and Technology (NIST) issued Federal Information Processing Standard (FIPS) 161, Electronic Data Interchange (EDI), which mandated the use of ASC X12 standards by the Federal Government, for any EDI initiative implemented after September 30, 1991. In compliance with this Federal standard, RHS is committed to using X12 standards in all Department initiatives involving EDI.

ABOUT THIS GUIDE

The RHS EDI Implementation Guide provides the information necessary to electronically exchange business documents with RHS using the X12 file format.

This guide is available as a detailed reference manual for RHS's implementation of transaction sets (TS) 203, Secondary Mortgage Market Investor Report; TS 264, Mortgage Loan Default Status, and the adjunct transaction set, TS 997, Functional Acknowledgment. The RHS EDI Implementation Guide addresses electronic reporting by submitting ANSI ASC X12 files via the USDA LINC. This format is required for all lenders with 100 or more loans. The actual exchange of these files takes place via the GRH LINC on the Internet.

Lenders with less than 100 loans may utilize the X12 format or the GRH LINC *web reporting input* pages. On-line Help for the GRH LINC input page's is located on the GRH LINC Home Page. Refer to Appendix A, USDA, RHS USDA LINC, for a complete description of this web site.

An overview of EDI, including definitions and standards; hardware, software, and communications requirements; and a systematic approach to implementing EDI technology, is also included in this guide. This guide introduces RHS trading partners to EDI, explains how EDI works at RHS, and provides testing instructions. A data map for each transaction set, the adjunct transaction set, and the communications envelopes are included. Parts 1 to 5 cover the general concepts and elements of EDI. Part 6 focuses on business scenarios for transaction sets 203 and 264, and the specific RHS EDI transaction sets used to electronically exchange business documents.

Part 6 and Appendices contain the following tools to aid in understanding and implementing RHS EDI transaction set(s) in lieu of your current business transactions.

- Business Scenarios
- Transaction Set Outline
- Transmission Notes
- Data Mapping Guide
- Cross Reference Matrix (where applicable)
- Adjunct Transaction Sets

The entire EDI Implementation Guide is available in PDF format. You can read and print PDF files with Adobe Acrobat Reader, available free from Adobe Corporation.

RHS will update the EDI Implementation Guide as often as required. We recommend you download or print the entire document and maintain this as the current baseline. Also, make sure you check regularly for updates.

CONTENTS OF THIS GUIDE

Part 1, Introducing EDI, introduces the specifics of EDI use at RHS, RHS's EDI goals, EDI's impact on RHS business processes, and the benefits of EDI. It introduces EDI definitions, concepts, standards, and functional requirements.

Part 2, Using This Guide, describes the contents of this guide and explains how to use it.

Part 3, Before You Begin, specifies the technical requirements for implementing EDI, including hardware, Internet access, and software.

Part 4, Getting Started, provides the operational, procedural, and management details for implementing EDI in your organization. It includes the Trading Partner Agreement, security and quality control issues, and testing procedures.

Part 5, Introducing X12 Transaction Sets, introduces the electronic form of RHS business documents (transaction sets) and the components of a transaction set.

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Part 6, RHS EDI Business Documents, provides instructions for electronically filing RHS EDI business documents. This part focuses on the mapping guides and business scenarios for conversion of the RHS business documents to an electronic format.

Part 7, Technical Assistance, provides telephone numbers and an email address for technical assistance.

Appendix A describes the USDA, RHS USDA LINC.

Appendix B contains the forms required for implementing EDI with RHS.

Appendix C contains the specifications for the RHS communications envelope.

Appendix D contains the adjunct transaction set that applies to all RHS transaction sets.

A Glossary and Reference section is also provided. References list standards and other documents used in conjunction with EDI while the glossary defines EDI-related terms.

TECHNICAL ENVIRONMENT

As an RHS trading partner, you must be able to translate data that resides in your internal loan servicing system into the standard X12 electronic format. You must also be able to interchange the data electronically with RHS via the Internet using a standard web browser. In order to accomplish this, you will need three general resources: computer hardware, software, and Internet access. These products serve to convert standard text data into an X12 structure, arrange data into sets that match the receiving system, and execute the action required to transmit data across the Internet.

The items listed below are the minimum resources needed to begin submitting and receiving data via EDI:

- Microcomputer system that meets Y2K requirements;
- Data mapping interface or mapping software;
- EDI X12 translation software that supports X12 Release 4010;
- Netscape 4.08 or Internet Explorer 4.x, or higher; and
- Internet access.

This part of the Implementation Guide outlines each of these requirements and provides guidance for acquiring the appropriate resources to support the EDI efforts.

HARDWARE REQUIREMENTS

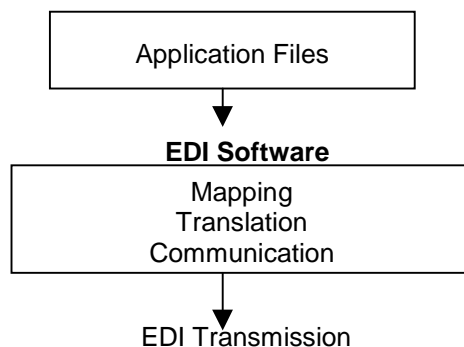
Microcomputers, minicomputers, or mainframes can be used to transact EDI. The hardware platform selected depends upon the information system requirements and constraints of each trading partner.

SOFTWARE REQUIREMENTS

In the EDI environment, software serves the essential role of routing and translating user application data into standard transaction sets. These processes entail moving data from an application by abstracting data from databases, formatting or translating the file into a standard X12 format, and accessing the internet for delivery of the data to the trading partner.

Mapping Software

The mapping process converts trading partner-specific application data into an EDI vendor-specific flat file. The flat file does not need to contain all of the data from the original application. However, this process must be customized to each application. You can accomplish this process either through programming or with commercially available mapping software.



Mapping sets up a profile for each type of incoming and outgoing file format (transaction set) by:

- Separating EDI data from non-EDI data. All information contained in an application system may not be relevant to the particular transaction set.
- Filtering information for trading partners. The mapping function provides only that information from an application that is relevant to a particular message.
- Converting data values. Mapping converts data to the appropriate value range or equivalent value as required by a trading partner or the transaction set.
- Reformatting data.

Mapping software reformats the application data by performing the following actions.

- Changing the position of the data. — An incoming data element is mapped to multiple places in the reformatted file.
- Changing alphanumeric data length. — Field lengths are truncated or expanded as required.
- Converting one type of numeric data to another type. — Numeric data can be rounded or the number of digits following a decimal can be truncated or expanded as required.
- Reformatting dates. — For example, a date can be changed from the format 10/12/92 to 101292.

Translation Software

The translation process converts an EDI vendor-specific flat file (ASCII or EBCDIC format) into an X12 standard format.

EDI standards are not computer language and there is no incompatibility with existing systems. You can use one electronic standard across multiple languages. Translation software is required for this purpose. The major function that translation software performs is converting data from a specific company or organization format to an EDI standard format.

EDI software generally uses a table structure to perform the function of converting information to the proper EDI format. The software includes tables consisting of the standard data dictionary and syntax rules. This process is known as translation and it relates the information formed in the mapping process to a particular transaction set.

Once translation is complete and basic error checking performed, the user accesses the GRH LINC and sends the formatted data to RHS.

For incoming EDI transmissions, this process occurs in reverse.

Translation software is multi-standard and contains all the rules, syntax, and dictionaries for all major standards. It is also multi-network, with facilities to accommodate all possible communication scripts.

EDI software should possess the following characteristics:

- Table-driven (rather than code-driven) — Transaction sets, segments, and data elements are described in tables. "Table-driven" subroutines are used to generate processing of information. This mechanism permits the use of multiple transaction sets.
- Editing capabilities and error checking — The software provides built-in error checking capabilities such as identifying appropriate types of data (i.e., numeric versus alphanumeric) and data element length.
- Customizing ease — The software can be customized for multiple transaction sets and/or EDI applications.
- Audit options — An audit trail is the presence of information processing media (paper, tapes, disks, etc.) and procedures that permit an auditor to trace a transaction through the various steps of processing, communication, and storage. It may include data logs, transaction control numbers, and controlled computer processing procedures.

EDI software vendors provide a wealth of software from which to choose. Before deciding on a software product, take a moment to determine what hardware platform to use and decide what role, beyond the RHS initiative, EDI will serve in other business communications to your trading partners.

Web Browser Software

You must use a standard web browser to access the Internet, such as Netscape 4.08 or Internet Explorer 4.x. The type of browser and its version of the browser must support 128-bit encryption using Secure Socket Layer (SSL.)

INTERNET ACCESS

The USDA LINC on the Internet is the starting point for reporting quarterly portfolio reports and monthly default status reports. The USDA LINC address (URL) is <https://usdalinc.sc.egov.usda.gov>. Once you have obtained your access code and password, you can access the GRH LINC through the USDA LINC. You can electronically submit X12 files to RHS via the GRH LINC. An X12 File must not exceed 100 megabytes. Refer to Appendix A, USDA, RHS's USDA LINC for more information concerning the USDA LINC.

The Internet was selected as the sole communication method since the majority of trading partners have internet access within their institution on at least one microcomputer, if not all microcomputers.

If by chance you do not have Internet access you can contact an Internet Service provider in your area to get a connection or you may visit a local library that provides Internet access. If you access the Internet at your local library, you must take your X12 file with you on a diskette.

GUIDELINES FOR EDI IMPLEMENTATION

This part provides guidelines for the successful implementation of EDI in your organization. It identifies criteria for initiating EDI, the Trading Partner Agreement, the three EDI transaction sets that RHS will be using, security, quality control issues, and testing procedures.

EDI changes the way in which you do business. It affects the support and operational mission of your organization. Consequently, management as well as technological issues must be addressed. In general, the following guidelines are provided for an EDI implementation.

- Consider EDI as part of a business solution, not simply a technical issue.
- Do not deviate from published standards.
- Initiate pilot production first.
- Conduct integrated testing.
- Provide an audit trail of EDI activities.
- Integrate EDI with internal systems and business procedures.

INITIATING EDI

There are a number of criteria for the initiation of EDI. The following is a partial list of RHS requirements.

- Contact the RHS EDI Lender Outreach Team to indicate interest in conducting EDI and to coordinate an implementation schedule.
- Sign a Trading Partner Agreement and submit the agreement to the RHS EDI Lender Outreach Team.
- Develop technical environment as described in Part 3 of this guide.
- Modify internal operational environment to facilitate changes from paper-based processing.
- Review Trading Partner Agreement for conditions and procedures to follow when utilizing EDI to transmit data.
- Access USDA LINC web site and enter Lender Access Code and Lender Password received from RHS and create User ID and User Password for the lender representatives.
- Conduct testing.

TRADING PARTNER AGREEMENT

The Trading Partner Agreement is an essential document in the implementation of EDI. It sets forth the rights and obligations of the EDI trading parties. This agreement outlines all conditions that will allow the parties to communicate electronically with each other. The agreement prescribes the general procedures and policies to be followed when EDI is used for transmitting and receiving electronic business information with RHS. The agreement states that the parties intend to operate in the same manner as though they were exchanging hard copy paper documents. The associated Addenda provide additional information for those transactions that you will trade with RHS.

A copy of the Trading Partner Agreement and each Addendum used as an RHS baseline is found in Appendix B.

RHS's EDI TRANSACTION SETS

The business documents that we will be trading are known as transaction sets. The Accredited Standards Committee (ASC) of the American National Standards Institute (ANSI) defines each transaction set. Within the ASC, an X12 subcommittee is dedicated to EDI standards. Each transaction set has a name defined by ASC X12, which is usually a three-digit number. RHS is initially going to trade the following three transaction sets:

- Transaction Set 203, Secondary Mortgage Market Investor Report (Quarterly Portfolio Report),
- Transaction Set 264, Mortgage Loan Default Status (Monthly Default Status Report), and
- Transaction Set 997, Functional Acknowledgment.

These transaction sets are further explained in Part 6, RHS EDI Business Documents, and Appendix D, Adjunct Transaction Set.

As a trading partner with RHS, you must use EDI ANSI X12 standard format for Rural Housing (RH) monthly portfolio reports and quarterly default status reports. With the implementation of Single Family Housing electronic reporting, RHS will be modifying the reporting policy to require an RH quarterly portfolio report for all loans and an RH monthly default status report for all delinquent loans.

SECURITY

RHS takes security very seriously due to the sensitivity of the data electronically shared and the threat of compromised web sites. RHS is implementing security using multiple mechanisms, each building on the other to create a very secure environment. Two of the security mechanisms we utilize have a direct impact on the trading partners.

First, the web browser on the PC that you use to access the USDA LINC web site must support 128-bit encryption using Secure Socket Layer. Encryption scrambles the data sent so that no one except the intended recipient can read the confidential data.

Secondly, each trading partner will be issued a Lender Access Code and Lender Password after RHS receives a signed Trading Partner Agreement. These two values must be entered on the USDA LINC web site in order to create User IDs and Passwords for lender representatives. The lender representative must then access the USDA LINC web site and enter their User ID and Password in order to gain access to the particular web pages from which data can be submitted.

QUALITY CONTROL

The issue of quality control is an important aspect of a well-designed EDI implementation process. Many of the manual and automated processes will have to be re-addressed to appropriately ensure ongoing quality control.

EDI can facilitate the quality control processes with built-in audit trails and reports that are available through the EDI software. In EDI, all transactions are time- and date-stamped automatically. EDI software provides a log of all transactions that provide a better audit trail than paper. An Inbound Control Log and Outbound Control Log supply an excellent mechanism for ensuring appropriate management of all EDI transmissions.

Automated reports are available from the translation and mapping software, if applicable. A list of the reports and their general content is listed below. We recommend that you ensure that your translation software provide similar capabilities. Use the translation software to provide detailed information about electronic transmissions both sent and received.

The reports listed below are typically available from the translation software.

- Generator log indicating transmitted transaction sets and control information.
- Interpreter log indicating received transaction sets and control information.
- Formatted report of both incoming and screen-prepared data.
- Communication management reports related to EDI activity.

The reports listed below are typically available from the mapping software.

- Message/Status Log — Provides a log of all EDI messages for a range of dates or events.
- Event Log — Used for host notification of event results.
- Session Totals Report — Summarizes transmission totals for a range of events with subtotals for EDI transactions.
- Data Generated through the Database — User defined report capability.

The EDI transaction sets also provide for a control number that is an effective means of regulating and monitoring receipt and delivery of EDI transmissions. Each transaction set is conveyed in a communications envelope. The interchange control header and trailer control all EDI transmissions. The interchange header and trailer contain information which identifies and authorizes the sender of all EDI transmissions to RHS through the authorization and security identifiers, sender and receiver ID numbers, date, and time. In addition, usage of a standards identifier, version number, and control number also safeguards the sender and receiver on all EDI transmissions.

EDI transactions/communications with RHS will be restricted to RHS-approved lenders or servicers with a valid Trading Partner Agreement on file with RHS. This requirement will ensure RHS quality control measures.

An RHS trading partner representative can access the GRH LINC after they provide the following information via the User ID Request page.

- User representative's name, telephone number, and E-mail address.
- Desired user password.

TESTING PROCEDURES

Testing is required to ensure the accuracy of all components of the EDI solution. Testing ensures that:

- The GRH LINC send and receive facilities are operational.
- Translation and mapping software are functioning properly.
- Data is accurately mapped, translated, and transmitted between RHS and its trading partners.

Testing procedures are classified in two different groups.

- Stand-alone testing; and
- USDA, Rural Housing Service's GRH LINC connectivity.

Stand-Alone Testing

The trading partner must complete stand-alone testing before contacting RHS. To perform accurate stand-alone testing the trading partner must consider all possible scenarios of data when selecting sample data from their daily work and generate X12 output. You should review and compare the X12 output to the associated Data Mapping Guide for accuracy.

USDA, Rural Housing Service's GRH LINC Connectivity

Trading Partners must test the connectivity with the web site and the ability to send the X12 file via the Internet. This testing should be done with the same data used in the stand-alone testing. Two basic types of testing may be performed with RHS upon completion of Group 1 testing. They are:

- Simulated testing, and
- Limited parallel testing.

The servicing lender's staff should contact the RHS EDI Lender Outreach Team when they are ready to transfer the test data for each transaction set. A time frame will be established for transferring the data files for each of the required transaction sets.

WHAT ARE TRANSACTION SETS?

Transaction sets are the EDI equivalent of a business document. The Accredited Standards Committee (ASC) X12 defines format, content, and nomenclature standards for transaction sets. This part of the Implementation Guide provides a basic overview of transaction sets with definitions and guidelines for appropriate use of a transaction set in exchanging information with RHS.

In basic terms, a transaction set consists of business information of strategic significance arranged in a standard syntax. A transaction set is the electronic equivalent of a specific business document and each transaction set has a three-digit numeric code that corresponds to a paper form control number. For example, X12 transaction set 264 is the general electronic equivalent of a Guaranteed Rural Housing Borrower Default Status and is used specifically in the RHS environment as the replacement for the Form RD 1980-81.

TRANSACTION SET COMPOSITION

The data included in a transaction set can convey the same information as a conventional printed document, but is usually a subset. Within each transaction set are three general areas that relate directly to the format of the printed document. These are:

- **Heading Area** – This area contains preliminary information that pertains to the entire document, such as the date, organization’s name, and address. It identifies the sending and receiving parties and transmission instructions.
- **Detail Area** – This area contains the actual business transaction and includes information such as quantity and descriptions of individual items.
- **Summary Area** – This area contains control information and other data that relates to the entire transaction. Not all transaction sets contain a summary area.

The X12 EDI standards define how to take paper format information and structure it into electronic format using transaction sets, data segments, and data elements. The standard guidelines are:

- Transaction Set Description,
- Data Segment Directory, and
- Data Element Dictionary.

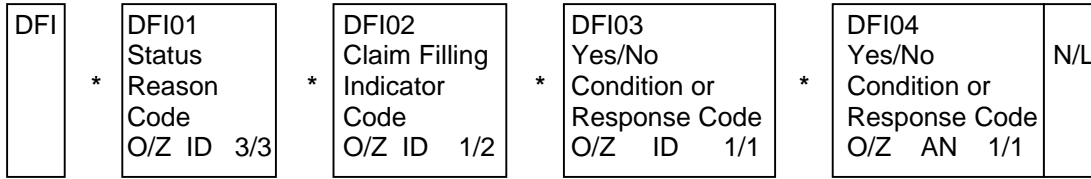
DATA SEGMENTS

Each of the header, detail, and summary areas of the transaction set are composed of one or more data segments. A data segment is a line of information in an EDI message. A data segment consists of logically related elements in a defined sequence. Each segment is composed of one or more data elements. A data element *equals* each individual piece of information and is the smallest unit of a transaction set.

A data segment is described using a segment diagram structure. The basic components of the diagram are:

- **Data Segment Identifier** — Identifier that indicates which segment is being described.
- **Separator** — A character that precedes each element and acts as a position marker (*).
- **Terminator** — A new line character (N/L). Either the *[Return]* or *[Enter]* key is used.
- **Element Diagrams** — Boxes that describe each element.

An example of a segment diagram used with transaction set 264 is as follows:



Although at first glance the diagram looks confusing, it is actually very straightforward and provides all of the information needed to translate information from paper format to structured EDI format.

DFI — Default Information. This is the data segment identifier.

***** — This is the character separator. It functions to separate data elements.

N/L — New line character signifying the end of the data segment.

The boxes between the separators are element diagrams and are described in detail in the next subpart (Data Elements).

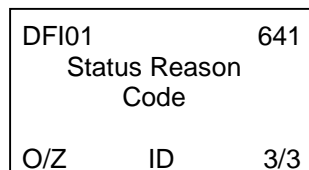
Data segments or groups of data segments can be repeated in *loops*. A loop is a group of semantically related data segments. Loops must have an identifier and maximum occurrences. Loops can be optional or mandatory. There are also *nested loops*; i.e., a loop within a loop.

The Segment Directory provides a detailed description and format for each segment used in a transaction set.

DATA ELEMENTS

Data elements are the smallest unit of information contained in a transaction set. Data elements translate to data fields and represent a qualifier, value, or text. As such, data elements contain information like quantity and cost. Data elements possess two attributes: length and type. Data elements are defined and maintained in the Data Dictionary. Each element is identified by a number that is referenced in the Data Dictionary. Within segments, data elements are also assigned a requirement designation.

The data element diagram defines the content of each data element.



The meanings of the components of the data element diagram are as follows:

DFI01 — The data element with multiple three-digit codes to specify why a loan is in default.

641 — The data element reference number.

Status Reason Code — The name of the data element.

O/Z — Indicates that the data element is optional. Data elements can be *M* for mandatory, *O* for optional, or *X* for conditional. A “Z” behind the O, M, or X indicates that there are semantic notes that apply to this data element.

ID — Indicates the data element type. Data can be:

- N = Numeric
- R = Decimal
- ID = Identification code found in data dictionary
- AN= Alphanumeric string
- DT = Date in CCYYMMDD format
- TM = Time in HHMM form using a 24-hour clock

3/3 — Minimum/maximum length for the data element.

COMMUNICATIONS ENVELOPE – GRAMMAR EDITS

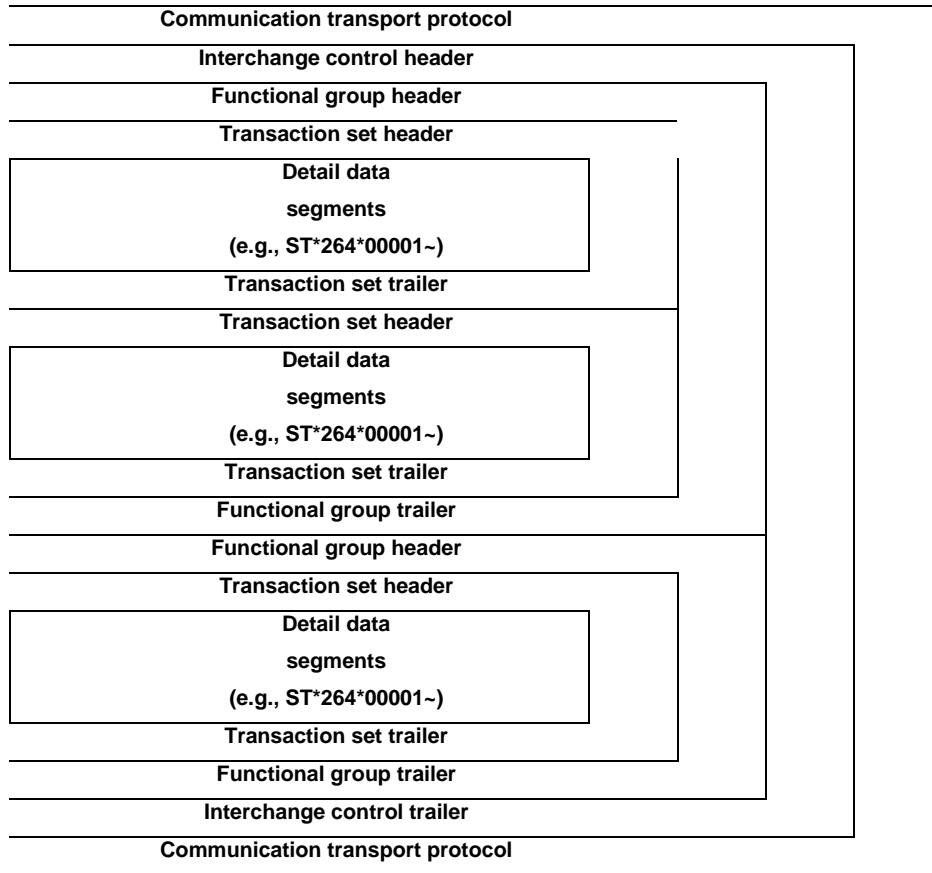
A communications envelope is required for each EDI communications session. A communications envelope consists of a communications protocol, e.g., a Value Added Network and an interchange control header and trailer that enclose one or more subordinate electronic envelopes known as functional groups. A group of like transaction sets, e.g., a group of monthly status default reports, is placed in a functional group envelope. The functional group has a header and trailer, each with a matching control number. Figure 5-1 is a graphic that demonstrates the construction of a multiple transaction set transmission and the corresponding electronic envelope.

In a communications session, the interchange envelope contains control information about you and your trading partner(s) and indicates the number of functional groups included in the transmission. Therefore, an interchange is the set of information that is transferred as a whole in a single communications session. At the beginning and end of an interchange, the header and trailer provide general information about the EDI messages being interchanged, including EDI addressing information. Similarly, each functional group of EDI messages within an interchange contains a header and trailer.

An interchange header contains information such as sender and receiver EDI address, date and time of preparation, unique interchange control number, and acknowledgment request. The interchange trailer contains a count of functional groups in the interchange and a unique interchange control number.

A functional group header and trailer contain information similar to that required for the interchange control.

**Figure 5-1
Communications Envelope**



The portion of the communications envelope that provides information on you and your trading partners is called the interchange control header (ISA Segment). Complete specifications for the ISA segment are provided in Appendix C.

The data is compressed and organized into one continuous data stream and then surrounded by the communication protocol envelope for error-free and economic data transmission.

DATA MAPPING

Mapping is the process of identifying the standard data element's relationship to application data elements. It is the process in which information held in one format is restructured to a different format.

A data mapping guide is used to assist in the use of a transaction set. The guide presents each of the segments and the constituent data elements. To use the guide effectively, it is important to understand each of the components of the guide. The following list defines each of the components of an individual segment description.

Notes - Provides RHS-specific information on the segment and individual data element level. Instructs the user how the transaction set must be used in conducting electronic business with RHS. The Notes part on the data element level also provides information about the individual data elements as they relate to the individual application. This information is useful in terms of the codes that are appropriate for each of the data elements, as they relate to codes used on paper forms.

Segment - This is the segment identifier which includes a two or three digit code assigned to identify the segment and the name of the segment.

Position - Specifies the order (usually in multiples of ten) in which the segment appears in the transaction set. The order is originally specified in multiples of ten to assist in the maintenance of the transaction set. For example, if a segment is later required between 010 and 020, the new segment will be given the designation of 015. This procedure then eliminates the requirement of renumbering segments during the maintenance of the transaction set.

Loop - Indicates the loop, if any, in which this segment is contained. A **0** indicates that the segment is **not** contained within a loop.

Level - Indicates whether the segment is part of the heading area, detail area or summary area.

Usage - Indicates whether the segment is **Mandatory** or **Optional**.

Max Use - Indicates the maximum number of times the segment can be used at the specific position in a transaction set.

Purpose - Indicates the general function of the segment. For example, **ST** always indicates the start of a transaction and **SE** indicates the end of a transaction.

Syntax Notes - Indicate the syntactical use of the data elements within a segment. Syntax notes indicate whether data elements are **Required**, **Paired**, or **Conditional**. The **X** designator in the data element attributes column flags the existence of syntax notes. For example, **R0203** indicates that you must use either data element 02 or 03; whereas, **P0304** indicates that if either 03 or 04 is present, then the other is required. **C0203** indicates that data element 03 is required when 02 is present.

Semantic Notes - Presents notes that provide the contextual meaning of the data elements used within a specific segment in a transaction set. For example, the semantic notes listed in the mapping guide closely follow the semantic notes for the ANSI ASC X12 approved standards.

Comment - Provides additional information regarding the use of the segment.

Data Element Summary - Provides information about each of the data elements contained in the segment. Information consists of the following:

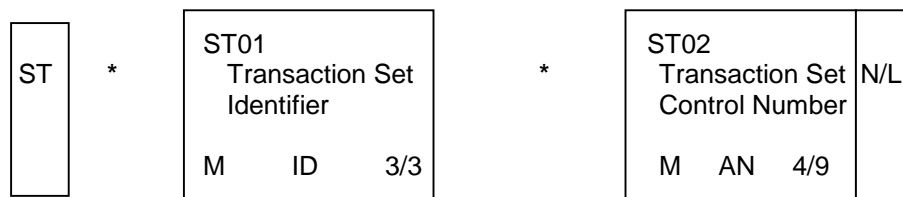
Ref. Des. - Indicates the data element identifier and a two-digit sequence number. For example, ST01 is the first data element of the ST segment.

Data Element - Provides the number of the data element as referenced in the Data Dictionary.

Name - The name of the data element.

Attributes - Indicates the attributes of the data element: usage, type, and minimum/maximum length.

The following pages present the ST segment page of a data mapping guide. The ST segment is the transaction set header used with every transaction set. It provides a good example of the components of a data mapping guide. The components of the mapping guide can be presented in a corresponding data diagram. For example, the ST segment would be diagrammed as follows:



The ST line of transmission would appear as follows:

ST*264*0001 N/L

The ST segment then consists of an ST01 element of 264 (i.e., the Transaction Set Identifier) and an ST02 element of 0001 (Transaction Set Control Number).

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number
Syntax Notes:
Semantic Notes: 01 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).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M/Z ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

The following pages present a series of diagrams that demonstrate the composition of a mapping guide. The diagrams illustrate how each of the major components is used within the RHS business environment and, therefore, assists the user in "mapping" the EDI transaction set to the paper-based form from which it was derived. The mapping guide shown below in the example is the **ST**, **PER**, and **CSI** segments. The **PER** and **CSI** segments are shown only to exemplify the usage of syntax and semantic notes.

Segment

The Segment identifier includes a two or three alphanumeric character code assigned to identify the segment, followed by the segment name.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Position

Specifies the order (usually in multiples of ten) in which the segment appears in the transaction set.


Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Loop

Indicates whether segment is part of a loop, and names it. In the case of the ST, Transaction Set Header, the loop field is left blank because the header is never part of a loop.

Segment: **ST Transaction Set Header**
Position: 010
Loop: 
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Level

Indicates the location of the segment. There are three possible levels: heading; detail; and summary. Heading information will always be present. Detail and summary information are optional depending upon the design of the transaction set.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Usage

Indicates whether the segment is **Mandatory** or **Optional**.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Max Use

Indicates the maximum number of times the segment can be used in a transaction.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Purpose

Indicates the general function of the segment. For example, **ST** always indicates the start of a transaction and **SE** indicates the end of a transaction.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Syntax Notes

Presents notes that provide the syntactical use of the data elements used within a specific segment in a transaction set, as defined by the X12 standard. The syntax notes may indicate a **Required**, **Paired**, or **Conditional** use. An X designator in the attributes column flags the presence of syntax notes. For example, P0304 indicates the **Paired** use of 03 and 04.

Segment: PER Administrative Communications Contact
Position: 080
Loop: 0100 Mandatory
Level: Heading
Usage: Optional
Max Use: 1
Purpose: To identify a person or office to whom administrative communications should be directed.

► **Syntax Notes:** 1 If either PER03 or PER04 is present, then the other is required.
 2 If either PER05 or PER06 is present, then the other is required.

Semantic Notes:
Comments:

Data Element Summary

	<u>Ref</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	PER01	366	Contact Function Code Code identifying the major duty or responsibility of the person or group named. 27011 Block No. 133. Holding Mortgagee Contact Name and Telephone Number 133. Servicing Mortgagee Contact Name and Telephone Number CN General Contact	M ID 2/2
	PER02	93	Name Free-form name.	O AN 1/35
	PER03	365	Communication Number Qualifier Code identifying the type of communication number. WP Work Phone Number	X ID 2/2
	PER04	364	Communication Number Complete communications number including country or area code when applicable.	X AN 1/80
Not Used	PER05	365	Communication Number Qualifier Code identifying the type of communication number. Refer to 003032 Data Element Dictionary for acceptable code values.	X ID 2/2
Not Used	PER06	364	Communication Number Complete communications number including country or area code when applicable.	X AN 1/80

Semantic Notes

Presents notes that provide the contextual meaning of the data elements used within a specific segment in a transaction set. The semantic notes listed in this Mapping example closely follow the semantic notes for the ASC X12 approved standards.

Segment: **CSI Claim Status Information**
Position: 010
Loop: 0200 Mandatory
Level: Summary:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the status of a claim for mortgage insurance benefits.
Syntax Notes:

➔ **Semantic Notes:** 1 CSI01 contains the code indicating the status of the claim for mortgage insurance benefits.
2 CSI02, CSI03, and CSI04 indicate the submission date associated with the claim status indicated in CSI01.

Comments:

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
Must Use CSI01	1383	Claim Submission Reason Code Code identifying reason for claim submission. 27011 Block No. For claim types 02, 03, 04, 06, and 07 submitting Parts A & B together, use Code 20. For claim type 01 submitting Parts A & B separately use Code 00 to indicate Part A; Code 20 to indicate Part B. Enter 22 when using transaction set 264 for comments ONLY. For claim types 02, 03, 04, 06, and 07 submitting Parts A & B together, use Code 03 when transmitting a corrected claim. For claim type 01 submitting Parts A & B separately, use Code 02 for corrected and verified Part A; Code 03 for corrected and verified Part B.	M ID 2/2
Must Use CSI02	374	Date/Time Qualifier Code specifying type of date or time, or both date and time. 27011 Block No. 6. Date form prepared 104. Date form prepared NOTE: For claim types that submit Part A and Part B together, enter Block 6 only.	M ID 3/3

Comment

Presents notes that relate the segment to the application in which it is used. In this case, the comment is geared toward the 264 transaction set.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

► **Comments:**
Notes:

The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Notes

Provides general or RHS-specific information about the segment and individual data elements. Instructs the user on how the transaction set must be constructed in conducting business with RHS. All segments are used unless guidance is given stating that RHS does not use the segment. In addition, two designators, **M** and **O**, are used to indicate **Mandatory** and **Optional** sending requirements for data elements when they differ from the X12 specifications. The Notes part on the data element level also provides information about the individual data elements as they relate to the individual application. This information is useful in terms of the codes that are appropriate for each of the data elements, as they relate to codes used on paper forms.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

Data Element Summary

Provides information about each of the data elements that are contained within the segment.

Ref. Des. — The data element reference designator is the data segment identifier plus a two-digit sequence code.

Data Element — The index reference number to the Data Dictionary standard where the content of all data elements is found.

Name — Name of the data element and its definition. When specific codes are listed in this mapping example, they represent the set of codes to be used when the data element is used. Note that the codes with Code Number (e.g., 194) and code definition (e.g., Period Ending) listed represent existing ANSI ASC X12 approved data element codes.

X12 Attributes — Includes the data element requirement designator (**M**andatory, **O**ptional, **X**-Conditional), data element type (ID, AN, NO, R), and data element size (minimum/maximum). The data element requirement designator **X** indicates the presence of syntax notes specifying the conditional use for the data element.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

➔ **Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set.	M ID 3/3
Must Use	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. NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction.	M AN 4/9

TRANSACTION SET 203 - SECONDARY MORTGAGE MARKET INVESTOR REPORT

Transaction set (TS) 203, Secondary Mortgage Market Investor Report, is used for the submission and processing of mortgage loan status data in place of Form RD 1980-80 and the RHS requirement to mail pay off documents. The TS 203 is an approved X12 Draft Standard for Trial Use (DSTU). Lenders are required to submit the Secondary Mortgage Market Investor Report for every loan for the quarters ending March 31, June 30, September 30, and December 31.

The first quarterly status report will be due from all lenders on April 1, 2001 and must be submitted electronically. The submission must occur on or before 6:00 PM Central Standard Time of the sixth business day of the month following the end of the quarter.

Servicing lenders begin by extracting the raw data from their data storage and converting the data into the standard X12 format as described in the following TS 203 data mapping instructions. Once the data is converted, the servicing lender electronically transmits loan status data from their computers to RHS through the GRH LINC on the Internet. Upon receipt and acceptance of the electronic input, RHS's EDI translator verifies the loan status information for completeness.

If the electronic loan status data is translated successfully, the sender should be able to pickup an RHS acknowledgment receipt within an hour. The RHS acknowledgement receipt will be in the form of an X12 TS 997, Functional Acknowledgment, and is accessible on the GRH LINC. If the electronic loan status data cannot be translated successfully, an X12 TS 997, Functional Acknowledgment, requesting corrections is placed on the GRH LINC within an hour, for the sender to pickup.



If you do not receive an X12 TS 997 within one hour of your submission, please contact the Guaranteed Loan Branch at 877-636-3789 or email them at guaranteed.loan@stl.rural.usda.gov.

The sender will make the corrections and resubmit the entire loan status file before 6:00 PM Central Standard Time of the sixth business day of the month following the end of the quarter. The loan status file should contain the originally accepted 203 transaction sets and the corrected 203 transaction sets.

Part 6 provides the following tools for each transaction set to help you interface your guaranteed loan related applications with an EDI environment capable of transferring X12 transaction sets to RHS. Each tool is discussed briefly below.

- Business Scenario
- Transmission Notes
- Transaction Set Outline
- Data Mapping Guide
- Adjunct Transaction Set

Business Scenario - Business scenarios are provided to illustrate the structure of an EDI transmission.

Transmission Notes — Transmission notes inform you of any special concerns you should address regarding a particular transaction set before sending data and ensures you provide the correct data for the transaction set.

Transaction Set Outline — A transaction set outline helps you understand the format of the transaction set. The outline specifies the format that you must follow to exchange information with RHS.

Data Mapping Guide — We will present a data mapping guide for each transaction set in this part. The guide presents each of the segments and the constituent data elements that comprise the transaction set as defined by the X12 standard. In addition, the shaded note parts provide essential information necessary to understand and implement each transaction set in the context of the relevant RHS application system. Refer to Part 5, Introducing X12 Transaction Sets, for an overview on how to read a Data Mapping Guide.

Adjunct Transaction Set — The business transaction sets included have an adjunct transaction set associated with them. The adjunct transaction set supports the primary transaction sets in EDI.

Business Scenario for Transaction Set 203

Sample of Raw Data

The following table provides information you will report to Rural Housing Service regarding the loan status for guaranteed Single Family Housing loans.

Date of Report	09/30/2000
Lender Name	USA Loan and Trust
Lender Tax ID Number	111111111
Lender Branch Number	002
First Loan - Loan was Paid Off	
Lender Loan Number	123456789ABCDEFG
Borrower SSN	998877665
Borrower Name	Smith, John P.
Unpaid Principal	0.00
Principal and Interest Payment	450.00
Total Amount Delinquent	0.00
Investor Reporting Action Code	09
Property Location	MS
Second Loan	
Lender Loan Number	43875621
Borrower SSN	492383293
Borrower Name	Jones, Greg E.
Unpaid Principal	98,500.00
Principal and Interest Payment	785.00
Total Amount Delinquent	321.00
Investor Reporting Action Code	01
Property Location	ND

Sample of Actual T.S. 203 X12 file

The following illustrates how transaction set 203 looks with this sample data.

```

ISA*00*      *00*      *ZZ*111111111002 *ZZ*RHSSFH      *000827*1053*U*00401*
000000007*0*T*>~
GS*MH*111111111002*RHSSFH*20000827*1053*7*X*004010SFH~
ST*203*0037~
BGN*00*QUARTERLY*20000827~
DTP*730*D8*20000930~
REF*ZZ*QUARTERLY~
N1*LV*USA Loan and Trust*62*111111111~
N4*****ZZ*002~
LX*1~
REF*3H*998877665*Smith, John P.~
RLT*LD*123456789ABCDEFG~
DTP*730*D8*20000930~
AMT*UB*0~
AMT*KP*45000~
AMT*RW*0~
IRA*09~
NX2*09*MS~
SE*16*0037~
ST*203*0038~

```

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BGN*00*QUARTERLY*20000827~
DTP*730*D8*20000930~
REF*ZZ*QUARTERLY~
N1*LV*USA Loan and Trust*62*11111111~
N4*****ZZ*002~
LX*1~
REF*3H*492383293*Jones, Greg E.~
RLT*LD*43875621~
DTP*730*D8*20000930~
AMT*UB*9850000~
AMT*KP*78500~
AMT*RW*32100~
IRA*01~
NX2*09*ND~
SE*16*0038~
GE*2*7~
IEA*1*000000007~

Explanation of Actual T.S. 203 X12 file

The table presented on the following pages displays each line of the EDI transmission for the first loan of the business scenario presented above. An explanation of each segment and data element is also provided with the exception of the envelope segments (i.e., ISA/IEA, GS/GE).

EDI Transmission	Data	Explanation	Ref. Des.
ST*203*0037 ~	ST	ST is the Transaction Set Header segment ID.	
	203	203 indicates transaction set 203.	ST01
	0037	0037 is the control number assigned by the Lender translation software.	ST02
BGN*00*QUARTERLY*20000827~	BGN	BGN is the Beginning Segment ID.	
	00	00 indicates that this is an original transaction being reported.	BGN01
	QUARTERLY	QUARTERLY is the reference name for the transaction set.	BGN02
	20000827	20000827 is the transmission date (08/27/2000).	BGN03
DTP*730*D8*20000930~	DTP	DTP is the Date, Time, or Period segment ID.	
	730	730 indicates the cycle date.	DTP01
	D8	D8 indicates the format is YYYYMMDD.	DTP02
	20000930	20000930 indicates the September 2000 reporting cycle. (09/30/2000)	DTP03
REF*ZZ*QUARTERLY~	REF	REF is the Reference Number segment ID.	
	ZZ	ZZ indicates mutually defined.	REF01
	QUARTERLY	QUARTERLY is report type.	REF02
N1*LV*USA Loan and Trust*62*11111111~	N1	N1 is the Name segment ID.	
	LV	LV indicates the Loan Servicer.	REF01
	USA Loan and Trust	USA Loan and Trust is the Lender Name.	REF02

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EDI Transmission	Data	Explanation	Ref.Des.
	62	62 indicates Servicing Mortgagee Number	REF03
	111111111	111111111 is the Lender's IRS Tax Identification Number	REF04
N4****ZZ*002~	N4	N4 is the Geographic Location segment ID.	
	ZZ	ZZ indicates Mutually defined.	N405
	002	002 is the Lender Branch Number assigned by Rural Housing Service.	N406
LX*1~	LX	LX is the Assigned Number segment ID.	
	1	1 is the LX iteration count assigned by the Lender translation software.	LX01
REF*3H*998877665*Smith, John P.~	REF	REF is the Reference Number segment ID.	
	3H	3H indicates the institution number.	REF01
	998877665	998877665 is the Borrower's SSN.	REF02
	Smith, John P.	Smith, John P. is the borrower's name.	REF03
RLT*LD*123456789ABCDEFG~	RLT	RLT is the Real Estate Loan Type segment ID.	
	LD	LD indicates Loan Number.	RLT01
	123456789AB CDEFG	123456789ABCDEFG is the Lender Loan Number.	RLT02
DTP*730*D8*20000930~	DTP	DTP is the Date or Time or Period segment ID.	
	730	730 indicates Reporting Cycle Date.	DTP01
	D8	D8 indicates the date format is YYYYMMDD.	DTP02
	20000930	20000930 indicates the September 2000 reporting cycle. (09/30/2000).	DTP03
AMT*UB*0~	AMT	AMT is the Amount segment ID.	
	UB	UB indicates Unpaid Principal Balance.	AMT01
	0	0 is the UPB of the loan (\$0.00).	AMT02
AMT*KP*45000~	AMT	AMT is the Amount segment ID.	
	KP	KP indicates Principal and Interest Payment Amount.	AMT01
	45000	45000 is the Principal and Interest Payment Amount (\$450.00).	AMT02
AMT*RW*0~	AMT	AMT is the Amount segment ID.	
	RW	RW indicates Total Amount Delinquent.	AMT01
	0	0 is the Total Amount Delinquent (\$0.00).	AMT02
IRA*09~	IRA	IRA is the Investor Reporting Action Code segment ID	
	09	09 indicates payoff	IRA01
NX2*09*MS~	NX2	NX2 is the Location ID Component segment ID.	
	09	09 indicates State Postal Code	NX201
	MS	MS is the Property State Name	NX202
SE*16*0037~	SE	SE is the Transaction Set Trailer segment ID.	
	16	16 is the number of segments in the transmission.	SE01
	0037	0037 is the control number.	SE02

TRANSACTION SET 203 TRANSMISSION NOTES

Review the following items to ensure a successful transmission of TS 203.

- Ensure that the interchange control segments information for you and RHS is specified as discussed in Appendix C, RHS Communication Envelope Specifications.
- Ensure that all data is in the format required by RHS's application system.
- Ensure that the file is in the format required by RHS's application system.

The paragraphs below describe each bulleted item.

Interchange Control Segments. As stated in Part 5, Introducing X12 Transaction Sets, the interchange control segments contain control information about you and your trading partner(s) and indicate the number of functional groups included in the transmission. An interchange control header (ISA) identifies the beginning of an interchange of one or more functional groups and interchange-related control segments. An interchange control trailer (IEA) defines the end of an interchange of one or more functional groups and interchange-related control segments. Ensure that all specifications outlined in Appendix C, RHS Communication Envelope Specifications, are met.

Data Format. RHS's application system requires specific formats for data elements within TS 203. These format requirements include the acceptable length for RHS's application system when it is less than the length allowed in the X12 standards. Individual data elements format requirements are specified in the shaded note parts of the TS 203 Data Mapping Guide, presented later in this part.

File Format. RHS's application system requires that the file does not have any carriage returns or line feeds. There are no naming conventions for the submitted filename. However, the name is changed to RHS naming conventions once it is received and stored in RHS's application system.

203 SECONDARY MORTGAGE MARKET INVESTOR REPORT OUTLINE

Functional Group = MH

Introduction

This Draft Standard for Trial Use contains the format and establishes the data contents of the Secondary Mortgage Market Investor Report Transaction Set (203) for use within the context of an EDI environment. This transaction set can be used for the transfer and reporting of mortgage servicing information between mortgage servicers, mortgage service bureaus, and secondary mortgage market organizations.

Header							
	<u>NOTE</u>	<u>POS.</u>	<u>TAG</u>	<u>NAME</u>	<u>STATUS</u>	<u>REPEAT</u>	<u>LOOP REPEAT</u>
Must Use		010	ST	Transaction Set Header	M	1	
Must Use		020	BGN	Beginning Segment	M	1	
Must Use	N	030	DTP	Date or Time or Period	M	1	
Must Use	N	040	REF	Reference Identification	M	1	
GROUP N1					O		5
Must Use	N	050	N1	Name	M	1	
Not Used		060	N2	Additional Name Information	O	1	
Not Used		070	N3	Address Information	O	2	
Must Use		080	N4	Geographic Location	O	1	
Not Used		090	PER	Administrative Communications Contact	O	2	
Detail							
	<u>NOTE</u>	<u>POS.</u>	<u>TAG</u>	<u>NAME</u>	<u>STATUS</u>	<u>REPEAT</u>	<u>LOOP REPEAT</u>
GROUP LX					M		>1
Must Use		010	LX	Assigned Number	M	1	
Must Use	N	020	REF	Reference Identification	O	4	
Not Used		030	MPP	Mortgage Pool Program	O	1	
Not Used		040	AMT	Monetary Amount	O	10	
Not Used		045	INT	Interest	O	2	
Not Used		047	QTY	Quantity	O	5	
Not Used		048	DTM	Date/Time Reference	O	5	
GROUP RLT					O		>1
Must Use		050	RLT	Real Estate Loan Type	M	1	
Must Use	N	060	DTP	Date or Time or Period	M	3	
Must Use	N	070	AMT	Monetary Amount	M	8	
Must Use		080	IRA	Investor Reporting Action Code	O	1	
Not Used		090	INT	Interest	O	2	
Not Used	N	100	PRC	Payment Rate Change	O	3	
Must Use		110	NX2	Location ID Component	O	10	
Not Used		115	LQ	Industry Code	O	5	
GROUP N1					O		1
Not Used		120	N1	Name	M	1	
Not Used		130	N2	Additional Name Information	O	1	
Not Used	N	140	DTP	Date or Time or Period	O	2	
Not Used	N	160	YNQ	Yes/No Question	O	>1	
GROUP AMT					O		>1
Not Used	N	170	AMT	Monetary Amount	M	1	
Not Used	N	180	DTP	Date or Time or Period	O	1	
Must Use		190	SE	Transaction Set Trailer	M	1	

Transaction Set Notes

- 1/030 The DTP segment states the reporting cycle date.
- 1/040 The REF segment indicates the Servicer or Issuer Institution Number.
- 1/050 The N1 loop identifies the sending and receiving parties, such as Mortgage Servicer, Service Bureau, Investor, etc.
- 2/020 The REF segment is used to identify Sub Servicer, Pool, Document Custodial Note Holder, or Issuer.
- 2/060 The DTP segment is used to state the Last Paid Installment Date and the Date of the Last Payment Received.
- 2/070 The AMT segment is used to report amounts such as the Actual or Scheduled Unpaid Principal Balance, Principal or Interest Due to Investor, Current Principal and Interest, Prepayment Penalties.
- 2/100 The PRC segment is used to report Variable Loan Information characteristics (Adjustable Rate Mortgages, Graduated Payment Mortgages, etc.)
- 2/140 The DTP segment is used to identify the Original Maturity Date and the Date of First Payment.
- 2/160 The YNQ segment determines whether or not Foreclosure proceedings have begun on the loan, flood insurance is current, hazard insurance is current, real estate tax is current, or guarantee is terminated.
- 2/170 The AMT loop is used to define curtailment data, to state the Original Principal Balance, and to state the Tax & Insurance Escrow Fund Balance.
- 2/180 The DTP segment is used to define dates associated with curtailment data.

TRANSACTION SET 203 DATA MAPPING GUIDE

The following data mapping guide for TS 203 is based on version 004010, as defined by X12 standards. The guide presents essential information for each of the segments and the constituent data elements.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number
Syntax Notes:
Semantic Notes: 01 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).

Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 203 X12.340 Secondary Mortgage Market Investor Report	M/Z ID 3/3
Must Use	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. Your translation software assigns this control number.	M AN 4/9
This element is not reported in the Quarterly Status Report Submission, but is required for the EDI Quarterly Status Report Submission.				

Segment: **BGN Beginning Segment**
Position: 020
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a transaction set.
Syntax Notes: 1 If BGN05 is present, then BGN04 is required.
Semantic Notes: 1 BGN02 is the transaction set reference number.
 2 BGN03 is the transaction set date.
 3 BGN04 is the transaction set time.
 4 BGN05 is the transaction set time qualifier.
 5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.

Comments:
Notes: The BGN segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	BGN01	353	Transaction Set Purpose Code	M ID 2/2
			Code identifying purpose of transaction set.	
			Lenders will send code "00" to identify the first transmission of any secondary mortgage market investor report in each reporting cycle. Lenders will send code "41" to identify "resubmit" reports after receiving a TS 997 functional acknowledgement from RHS.	
			00 Original	
			41 Corrected and Verified	
Must Use	BGN02	127	Reference Identification	M/Z AN 1/30
			Reference number or identification number as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier.	
			Insert "QUARTERLY."	
Must Use	BGN03	373	Date	M/Z DT 8/8
			Date expressed as CCYYMMDD.	
			Insert the current date.	
Not Used	BGN04	337	Time	X/Z TM 4/8
Not Used	BGN05	623	Time Code	O/Z ID 2/2
Not Used	BGN06	127	Reference Identification	O/Z AN 1/30
Not Used	BGN07	640	Transaction Type Code	O ID 2/2
Not Used	BGN08	306	Action Code	O ID 1/2
Not Used	BGN09	786	Security Level Code	O ID 2/2
Not Used	BGN10	624	Century	O/Z NO 2/2

Segment: **DTP Date or Time or Period**
Position: 030
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To specify any or all of a date, a time, or a time period.
Syntax Notes:
Semantic Notes: 1 DTP02 is the date or time or period format that will appear in DTP03.
Comments:
Notes: The DTP segment provides quarter ending data for the status report.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	DTP01	374	Date/Time Qualifier Code specifying type of date or time, or both date and time. 730 Reporting Cycle Date	M ID 3/3
Must Use	DTP02	1250	Date Time Period Format Qualifier Code indicating the date format, time format, or date and time format. D8 Date Expressed in Format CCYYMMDD	M/Z ID 2/3
Must Use	DTP03	1251	Date Time Period Expression of a date, a time, or range of dates, times or dates and times. Insert the Date of Report formatted as CCYYMMDD MMDD can only equal 0331, 0630, 0930, or 1231.	M AN 1/35

Segment: REF Reference Identification
Position: 040
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To specify identifying information.
Syntax Notes: 02 R0208 – At least one of REF02 or REF03 is required.
Semantic Notes: 04 REF04 contains data relating to the value cited in REF02.
Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	REF01	128	Reference Identification Qualifier Code qualifying the Reference Identification. ZZ Mutually Defined	M ID 2/2
Must Use	REF02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier. Insert "QUARTERLY."	X AN 9/13
Not Used	REF03	352	Description	X AN 1/80
Not Used	REF04	C040	Reference Identifier	O/Z

Segment: N1 Name
Position: 050
Loop: N1
Level: Heading
Usage: Optional
Max Use: 1
Purpose: To identify a party by type of organization, name, and code.
Syntax Notes: 02 R0203 - At least one of N102 or N103 is required.
 03 P0304 - If either N103 or N104 is present, then the other is required.

Semantic Notes:
Comments: 04 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.
 05 N105 and N106 further define the type of entity in N101.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	N101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property, or an individual. LV Loan Servicer	M ID 2/3
Must Use	N102	93	Name Free-form name. Insert Lender Name left justified.	X AN 1/60
Must Use	N103	66	Identification Code Qualifier Code designating the system/method of code structure used for Identification Code (67). 62 Servicing Mortgagee Number	X ID 1/2
Must Use	N104	67	Identification Code Code identifying a party or other code. Insert the Lender's Internal Revenue Service Tax Identification Number using the following format: Always 9 numeric digits. If the Lender IRS Tax Identification Number is less than 9 digits, left pad with zeros to make it 9 digits. For example, enter 125678 as 000125678.	X AN 2/20
Not Used	N105	706	Entity Relationship Code	O ID 2/2
Not Used	N106	98	Entity Identifier Code	O ID 2/3

Segment: N4 Geographic Location
Position: 080
Loop: N1
Level: Heading
Usage: Optional
Max Use: 1
Purpose: To specify the geographic place of the named party.
Syntax Notes: 06 CO605 – If N406 is present, then N405 is required.
Semantic Notes:
Comments: 01 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location.
 02 N402 is required only if city name (N401) is in the U.S. or Canada.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Not Used	N401	19	City Name	O AN 2/30
Not Used	N402	156	State or Province Code	O ID 2/2
Not Used	N403	116	Postal Code	O ID 3/15
Not Used	N404	26	Country Code	O ID 2/3
Must Use	N405	309	Location Qualifier	X ID 1/2
			Code identifying type of location. ZZ Mutually Defined	
Must Use	N406	310	Location Identifier	O AN 1/30
			Code which identifies a specific location. Insert the Rural Housing Service assigned Lender Branch Number using the following format: Always 3 numeric digits. If the Lender Branch Number is less than 3 digits, left pad with zeros to make it 3 digits. For example, enter 1 as 001.	

Segment: **LX Assigned Number**
Position: 010
Loop: LX
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To reference a line number in a transaction set.
Syntax Notes:
Semantic Notes:
Comments:
Notes: The LX is a required segment. One LX segment should be reported for each loan.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	LX01	554	Assigned Number Number assigned for differentiation within a transaction set. The sender assigns LX01 to indicate the number of the iteration of the LX loop sent. For RHS, only ONE iteration of the LX loop can be used per transaction set, so LX01 will always show the number 1.	M NO 1/6

Segment: REF Reference Identification
Position: 020
Loop: LX
Level: Detail
Usage: Optional
Max Use: 4
Purpose: To specify identifying information.
Syntax Notes: 02 R0208 – At least one of REF02 or REF03 is required.
Semantic Notes: 04 REF04 contains data relating to the value cited in REF02.
Comments:
Notes: One iteration of the REF segment is required for each loan.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	REF01	128	Reference Identification Qualifier Code qualifying the Reference Identification. 3H Case Number	M ID 2/3
Must Use	REF02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier. Insert Borrower's SSN using the following format: Always 9 numeric digits. If the Borrower SSN is less than 9 digits, left pad with zeros to make it 9 digits. For example, enter 125678 as 000125678.	X AN 1/30
Must Use	REF03	352	Description A free-form description to clarify the related data elements and their content. Insert Borrower's Name using the following format: maximum 40 AN characters. Enter the last name followed by a comma and a space, enter the first name followed by a space, and then enter the middle initial. Left justify.	X AN 1/80
Not Used	REF04	C040	Reference Identifier	O/Z

Segment: **RLT Real Estate Loan Type**
Position: 050
Loop: RLT
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: Used to identify the agency case number, loan number, real estate loan type, pool type and amortization terms.

Syntax Notes: 03 P00304 - If either RLT03 or RLT04 is present, then the other is required.
07 P070809 - If any of RLT07 RLT08 or RLT09 is present, then the others are required.
11 C1110 - If RLT11 is present, then RLT10 is required.

Semantic Notes: 05 RLT05 identifies the real estate loan type.
06 RLT06 identifies the product type.
12 RLT12 identifies the pool type.

Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	RLT01	128	Reference Identification Qualifier Code qualifying the Reference Identification. LD Loan Number	M ID 2/3
Must Use	RLT02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier. Insert Lender's assigned Loan Number using the following format: Maximum 16 AN characters, left justify.	M AN 1/30
Not Used	RLT03	128	Reference Identification Qualifier	X ID 2/3
Not Used	RLT04	127	Reference Identification	X AN 1/30
Not Used	RLT05	1093	Real Estate Loan Type Code	O/Z ID 1/1
Not Used	RLT06	1085	Loan Payment Type Code	O/Z ID 2/2
Not Used	RLT07	673	Quantity Qualifier	X ID 2/2
Not Used	RLT08	380	Quantity	X R 1/15
Not Used	RLT09	C001	Composite Unit of Measure	X
Not Used	RLT10	128	Reference Identification Qualifier	X ID 2/3
Not Used	RLT11	127	Reference Identification	O AN 1/30
Not Used	RLT12	1193	Program Type Code	O/Z ID 2/2

Segment: **DTP Date or Time or Period**
Position: 060
Loop: RLT
Level: Detail
Usage: Mandatory
Max Use: 3
Purpose: To specify any or all of a date, a time, or a time period.
Syntax Notes:
Semantic Notes: 1 DTP02 is the date or time or period format that will appear in DTP03.
Comments:
Notes: The DTP segment provides the quarter ending date for the status report.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	DTP01	374	Date/Time Qualifier Code specifying type of date or time, or both date and time. 730 Reporting Cycle Date	M ID 3/3
Must Use	DTP02	1250	Date Time Period Format Qualifier Code indicating the date format, time format, or date and time format. D8 Date Expressed in Format CCYYMMDD	M/Z ID 2/3
Must Use	DTP03	1251	Date Time Period Expression of a date, a time, or range of dates, times or dates and times. Insert the Date of Report formatted as CCYYMMDD MMDD can only equal 0331, 0630, 0930, or 1231.	M AN 1/35

Segment: **AMT Monetary Amount**
Position: 070
Loop: RLT
Level: Detail
Usage: Mandatory
Max Use: 8
Purpose: To indicate the total monetary amount.
Syntax Notes:
Semantic Notes:
Comments:
Notes:

Three iterations of the AMT segment are required for each loan; one providing Unpaid Principal Balance, one providing Principal and Interest Payment Amount, and one providing Total Amount Delinquent.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	AMT01	522	Amount Qualifier Code Code to qualify amount. UB Unpaid Principal Balance KP Principal and Interest RW Total Delinquency	M ID 1/2
Must Use	AMT02	782	Monetary Amount Monetary amount. Insert Unpaid Principal Balance on the first iteration with "UB." This amount should be as of the date of status. Insert Principal and Interest Payment Amount on the second iteration with "KP." Insert Total Amount Delinquent on the third iteration with "RW." This amount should be as of the date of status and should only include principal and interest. A loan is delinquent if it is 30 or more days past due for all months except February. For example: A loan is considered 30 days delinquent if the June 1st installment has not been paid as of June 30th. A loan is 60 days delinquent if the May 1st installment has not been paid as of June 30th. For February: A loan is considered delinquent if the February 1st installment has not been paid as of February 28th, except in a leap year, the installment would be due on the 29th. Use the following format for all three amounts: Maximum of 10 numeric digits. Do not include decimal or sign in monetary amount. The last two digits of each reported amount are expected to be the cent portion of the amount. For example, \$123,456.99 should be entered as 12345699, \$123,456.00 should be entered as 12345600, and 0.00 should be entered as 0.	M R 1/15
Not Used	AMT03	478	Credit/Debit Flag Code	O ID 1/1

Segment: IRA Investor Reporting Action Code
Position: 080
Loop: RLT
Level: Detail
Usage: Optional
Max Use: 1
Purpose: To identify actions on a status of the mortgage.
Syntax Notes: 02 P0203 – If either IRA02 or IRA03 is present, then the other is required.
Semantic Notes: 03 IRA03 is the effective date of the action or status.
Comments:

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	IRA01	1376	Investor Reporting Action Code Code identifying the type of investor reporting action that was needed. 01 No Special Accounting Action 09 Payoff	M ID 2/2
Not Used	IRA02	1250	Date Time Period Format Qualifier	X ID 2/3
Not Used	IRA03	1251	Date Time Period	X/Z AN 1/35

Segment: **NX2 Location ID Component**
Position: 110
Loop: RLT
Level: Detail
Usage: Optional
Max Use: 10
Purpose: To define types and values of a geographic location.
Syntax Notes:
Semantic Notes:
Comments:
Notes: NX2 is a required segment. One NX2 segment is required for an existing loan.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>																																																																																																																																
Must Use	NX201	1106	Address Component Qualifier Code qualifying the type of address component. 09 State Postal Code	M ID 2/2																																																																																																																																
Must Use	NX202	166	Address Information Address information. Insert Property State Name using the following format: Always 2 AN characters. Acceptable state code values are: <table border="0" style="width: 100%; border-collapse: collapse;"> <tr><td>AL</td><td>Alabama</td><td>NY</td><td>New York</td></tr> <tr><td>AK</td><td>Alaska</td><td>NC</td><td>North Carolina</td></tr> <tr><td>AZ</td><td>Arizona</td><td>ND</td><td>North Dakota</td></tr> <tr><td>AR</td><td>Arkansas</td><td>OH</td><td>Ohio</td></tr> <tr><td>CA</td><td>California</td><td>OK</td><td>Oklahoma</td></tr> <tr><td>CO</td><td>Colorado</td><td>OR</td><td>Oregon</td></tr> <tr><td>CT</td><td>Connecticut</td><td>PA</td><td>Pennsylvania</td></tr> <tr><td>DE</td><td>Delaware</td><td>PR</td><td>Puerto Rico</td></tr> <tr><td>DC</td><td>District of Columbia</td><td>RI</td><td>Rhode Island</td></tr> <tr><td>FL</td><td>Florida</td><td>SC</td><td>South Carolina</td></tr> <tr><td>GA</td><td>Georgia</td><td>SD</td><td>South Dakota</td></tr> <tr><td>HI</td><td>Hawaii</td><td>TN</td><td>Tennessee</td></tr> <tr><td>ID</td><td>Idaho</td><td>TX</td><td>Texas</td></tr> <tr><td>IL</td><td>Illinois</td><td>UT</td><td>Utah</td></tr> <tr><td>IN</td><td>Indiana</td><td>VT</td><td>Vermont</td></tr> <tr><td>IA</td><td>Iowa</td><td>VI</td><td>Virgin Islands</td></tr> <tr><td>KS</td><td>Kansas</td><td>VA</td><td>Virginia</td></tr> <tr><td>KY</td><td>Kentucky</td><td>WA</td><td>Washington</td></tr> <tr><td>LA</td><td>Louisiana</td><td>WV</td><td>West Virginia</td></tr> <tr><td>ME</td><td>Maine</td><td>WP</td><td>Western Pacific</td></tr> <tr><td>MD</td><td>Maryland</td><td>WI</td><td>Wisconsin</td></tr> <tr><td>MA</td><td>Massachusetts</td><td>WY</td><td>Wyoming</td></tr> <tr><td>MI</td><td>Michigan</td><td></td><td></td></tr> <tr><td>MN</td><td>Minnesota</td><td></td><td></td></tr> <tr><td>MS</td><td>Mississippi</td><td></td><td></td></tr> <tr><td>MO</td><td>Missouri</td><td></td><td></td></tr> <tr><td>MT</td><td>Montana</td><td></td><td></td></tr> <tr><td>NE</td><td>Nebraska</td><td></td><td></td></tr> <tr><td>NV</td><td>Nevada</td><td></td><td></td></tr> <tr><td>NH</td><td>New Hampshire</td><td></td><td></td></tr> <tr><td>NJ</td><td>New Jersey</td><td></td><td></td></tr> <tr><td>NM</td><td>New Mexico</td><td></td><td></td></tr> </table>	AL	Alabama	NY	New York	AK	Alaska	NC	North Carolina	AZ	Arizona	ND	North Dakota	AR	Arkansas	OH	Ohio	CA	California	OK	Oklahoma	CO	Colorado	OR	Oregon	CT	Connecticut	PA	Pennsylvania	DE	Delaware	PR	Puerto Rico	DC	District of Columbia	RI	Rhode Island	FL	Florida	SC	South Carolina	GA	Georgia	SD	South Dakota	HI	Hawaii	TN	Tennessee	ID	Idaho	TX	Texas	IL	Illinois	UT	Utah	IN	Indiana	VT	Vermont	IA	Iowa	VI	Virgin Islands	KS	Kansas	VA	Virginia	KY	Kentucky	WA	Washington	LA	Louisiana	WV	West Virginia	ME	Maine	WP	Western Pacific	MD	Maryland	WI	Wisconsin	MA	Massachusetts	WY	Wyoming	MI	Michigan			MN	Minnesota			MS	Mississippi			MO	Missouri			MT	Montana			NE	Nebraska			NV	Nevada			NH	New Hampshire			NJ	New Jersey			NM	New Mexico			M AN 1/55
AL	Alabama	NY	New York																																																																																																																																	
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IA	Iowa	VI	Virgin Islands																																																																																																																																	
KS	Kansas	VA	Virginia																																																																																																																																	
KY	Kentucky	WA	Washington																																																																																																																																	
LA	Louisiana	WV	West Virginia																																																																																																																																	
ME	Maine	WP	Western Pacific																																																																																																																																	
MD	Maryland	WI	Wisconsin																																																																																																																																	
MA	Massachusetts	WY	Wyoming																																																																																																																																	
MI	Michigan																																																																																																																																			
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NJ	New Jersey																																																																																																																																			
NM	New Mexico																																																																																																																																			
Not Used	NX203	1096	County Designator	O ID 5/5																																																																																																																																

Segment: **SE Transaction Set Trailer**
Position: 190
Loop:
Level: Detail
Usage: 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).

Syntax Notes:
Semantic Notes:
Comments: 00 SE is the last segment of each transaction set.
Notes: The SE segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments.	M NO 1/10
Must Use	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. NOTE: The sender's translation software assigns and generates the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment (ST02) for each transaction.	M AN 4/9

ADJUNCT LOAN STATUS TRANSACTION SET

Transaction Set 997, Functional Acknowledgment, is used for electronic loan status reports processing in conjunction with TS 203.

This transaction set defines 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.

Each time a TS 203 or functional group arrives at RHS, RHS informs the servicing lender of receipt by issuing a TS 997. The TS 997 indicates which of the TS 203's were accepted and which were rejected. If all TS 203's were accepted, the servicing lender has fulfilled the reporting requirements. However, if one or more of the TS 203's are rejected, the servicing lender must correct the rejected TS 203's and resubmit the entire set of TS 203's again.

TS 997 is also used in conjunction with other transaction sets. If a TS 203 is in a file with a different transaction set, such as TS 264, a separate TS 997 is issued for each transaction set. All TS 997's are grouped into one file. When more than one transaction set is sent and a generated TS 997 indicates an error with the records for a specific transaction, only the transaction set with the errors should be corrected and retransmitted.



For example: A lender sends TS 203's and TS 264's to RHS in one file. RHS will send back a file with two TS 997's. One TS 997 is for the TS 203's and one TS 997 is for the TS 264's. The TS 997 for the TS 203's indicates there are no errors, but the TS 997 for the TS 264's indicates there is an error with one record. You must correct the error and resubmit all the TS 264's records.

Appendix D, Adjunct Transaction Set, contains the data mapping guide for TS 997.

TRANSACTION SET 264 - MORTGAGE LOAN DEFAULT STATUS

Transaction set (TS) 264, Mortgage Loan Default Status, is used for the submission and processing of mortgage loan default data in place of Form RD 1980-81. The TS 264 is an approved X12 Draft Standard for Trial Use (DSTU). Servicing lenders are required to submit the Mortgage Loan Default Status when a borrower is 30 days delinquent. Lenders are required to resubmit the data every 30 days until the mortgage is current or liquidated. Do not report loans that have been brought current during the reporting period.



A loan is delinquent if it is 30 or more days past due. For example: A loan is considered 30 days delinquent if the June 1st installment has not been paid as of June 30th. A loan is 60 days delinquent if the May 1st installment has not been paid as of June 30th. **For February:** A loan is considered delinquent if the February 1st installment has not been paid as of February 28th, except in a leap year, the installment would be due on the 29th.

The first electronic mortgage loan default status report is required by July 1, 2001. RHS can accept electronic submissions of default reports by January 31, 2001 if you prefer to implement before the mandatory date. The submission must occur on or before 6:00pm Central Standard Time of the sixth business day of each month.

Servicing lenders begin by extracting the raw data from their data storage and converting the data into the standard X12 format as described in the following TS 264 data mapping instructions. Once the data is converted, the servicing lender electronically transmits loan default data from their computers to RHS through the GRH LINC on the Internet. Upon receipt and acceptance of the electronic input, RHS's EDI translator verifies the loan default information for completeness.

If the electronic loan default data is translated successfully, the sender should be able to pickup an RHS acknowledgment receipt within an hour. The receipt will be in the form of an X12 TS 997, Functional Acknowledgment, and is accessible on the GRH LINC. If the electronic loan default data cannot be translated successfully, an X12 TS 997 requesting corrections is placed on the GRH LINC within an hour for the sender to pickup.



If you do not receive an X12 TS 997 within one hour of your submission, please contact the Guaranteed Loan Branch at 877-636-3789 or email them at guaranteed.loan@stl.rural.usda.gov.

The sender will make the corrections and resubmit the entire loan default data file before 6:00 p.m. Central Standard Time of the sixth business day of each month. The loan default data file should contain the originally accepted TS 264's and the corrected TS 264's.

Part 6 provides the following tools for each transaction set to help you interface your guaranteed loan related applications with an EDI environment capable of transferring X12 transaction sets to RHS.

- Business Scenario
- Transmission Notes
- Transaction Set Outline
- Data Mapping Guide
- Adjunct Transaction Set

Business Scenario - Illustrates the structure of an EDI transmission.

Transmission Notes - Inform you of any special concerns you should address regarding a particular transaction set before sending data and ensure you provide the correct data for the transaction set.

Transaction Set Outline - Helps you understand the format of the transaction set. The outline specifies the format that you must follow to exchange information with RHS.

Data Mapping Guide - Presents each of the segments and the constituent data elements that comprise the transaction set as defined by the X12 standard. In addition, the shaded note parts provide essential information necessary to understand and implement each transaction set in the context of the relevant RHS application system. Refer to Part 5 for an overview on how to read a Data Mapping Guide.

Adjunct Transaction Set - The business transaction sets included have an adjunct transaction set associated with them. The adjunct transaction set supports the primary business transaction sets in EDI.

Business Scenario Transaction Set 264

Sample of Raw Data

The following table provides information you will report to Rural Housing Service regarding the delinquency status for guaranteed Single Family Housing loans.

Date of Report	09/30/2000
Lender Name	American Lending Choice
Lender Tax ID Number	124754
Lender Branch Number	001
First Loan	
Lender Loan Number	1991202
Borrower SSN	5691011
Borrower Name	Johnson, Robert J.
Due Date of Last Installment Received	05/04/2000
Loan Status Code	42
Status Reason Code	005
Property Location	MI
Second Loan	
Lender Loan Number	43875621
Borrower SSN	492383293
Borrower Name	Jones, Greg E.
Due Date of Last Installment Received	07/28/2000
Loan Status Code	43
Status Reason Code	006
Property Location	ND

Sample of Actual T.S. 264 X12 file

The following illustrates how transaction set 203 looks with this sample data.

```

ISA*00*      *00*      *ZZ*000124754001  *ZZ*RHSSFH      *000827*1413*U*00401*
000000001*0*P*>~
GS*MG*000124754001*RHSSFH*20000827*1413*1*X*004010SFH~
ST*264*0012~
BGN*00*DEFAULT*20000827~
N1*LV*American Lending Choice*62*000124754~
N4*****ZZ*001~
LX*1~
DTP*730*D8*20000930~
REF*LD*1991202~
N1*BW* Johnson, Robert J.*34*005691011~
LS*0212~
REC*02~
N4*****SP*MI~
DFI*005~
SOM*42*D8*20000930~
DTP*530*D8*20000504~
LE*0212~
SE*16*0012~
ST*264*0013~
BGN*00*DEFAULT*20000827~
N1*LV*American Lending Choice*62*000124754~
N4*****ZZ*001~

```

LX*1~

PART 6 – RHS EDI BUSINESS DOCUMENTS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

DTP*730*D8*20000930~
 REF*LD*43875621*Jones, Greg E.~
 N1*BW*Jones, Greg E.*34*492383293~
 LS*0212~
 REC*09~
 N4*****SP*ND~
 DFI*006~
 SOM*43*D8*20000930~
 DTP*530*D8*20000728~
 LE*0212~
 SE*16*0013~
 GE*2*1~
 IEA*1*000000001~

Explanation of Actual T.S. 264 X12 file

The table presented on the following pages displays each line of the EDI transmission for the first loan of the business scenario presented above. An explanation of each segment and data element is also provided with the exception of the envelope segments (i.e., ISA/IEA, GS/GE).

EDI Transmission	Data	Explanation	Ref. Des.
ST*264*0012 ~	ST	ST is the Transaction Set Header segment ID.	
	264	264 indicates transaction set 264.	ST01
	0012	0012 is the control number assigned by the Lender translation software.	ST02
BGN*00*DEFAULT*20000827~	BGN	BGN is the Beginning segment ID.	
	00	00 indicates that this is an original transaction being reported.	BGN01
	DEFAULT	DEFAULT is the reference name for the transaction set.	BGN02
	20000827	20000827 is the transmission date (08/27/2000).	BGN03
N1*LV*American Lending Choice*62*000124754~	N1	N1 is the Name segment ID.	
	LV	LV indicates the Loan Servicer.	N101
	American Lending Choice	American Lending Choice is the Lender Name.	N102
	62	62 indicates Servicing Mortgagee Number.	N103
	000124754	000124754 is the Lender's Internal Revenue Service Tax Identification Number.	N104
N4*****ZZ*001~	N4	N4 is the Geographic Location segment ID.	
	ZZ	ZZ indicates Mutually Defined.	N405
	001	001 is the Rural Housing Service assigned Lender Branch Number.	N406
LX*1~	LX	LX is the Assigned Number segment ID.	
	1	1 is the LX iteration count assigned by the Lender translation software.	LX01
DTP*730*D8*20000930~	DTP	DTP is the Date, Time, or Period segment ID.	

PART 6 – RHS EDI BUSINESS DOCUMENTS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

EDI Transmission	Data	Explanation	Ref.Des.
	730	730 indicates the cycle date.	DTP01
	D8	D8 indicates the format is YYYYMMDD.	DTP02
	20000930	20000930 indicates the September 2000 reporting cycle (09/30/2000).	DTP03
REF*LD*1991202~	REF	REF is the Reference Number segment ID.	
	LD	LD indicates the Loan Number.	REF01
	1991202	1991202 is the Loan Number assigned by the Lender.	REF02
N1* BW* Johnson, Robert J.*34*005691011~	N1	N1 is the Reference Number segment ID.	
	BW	BW indicates the Borrower.	REF01
	Johnson, Robert J.	Johnson, Robert J. is the Borrower's Name.	REF02
	34	34 indicates Social Security Number	REF03
	005691011	005691011 is the Borrower's Social Security Number	REF04
LS*0212~	LS	LS is the Loop Header segment ID.	
	0212	0212 is the Loop Identifier Code.	LS01
REC*02~	REC	REC is the Real Estate Condition segment ID.	
	02	02 is the Occupancy Code.	REC01
N4*****SP*MI~	N4	N4 is the Geographic Location segment ID.	
	SP	SP indicates Mutually defined.	N405
	MI	MI is the Property State Name.	N406
DFI*005~	DFI	DFI is the Default Information segment ID.	
	005	005 is the Status Reason Code.	DFI01
SOM*42*D8*20000930~	SOM	SOM is the Status of Mortgage segment ID.	
	42	42 is the Loan Status Code	SOM01
	D8	D8 indicates the format is YYYYMMDD.	SOM02
	20000930	20000930 is the Date of Status. (09/30/2000)	SOM03
DTP*530*D8*20000504~	DTP	DTP is the Date or Time or Period segment ID.	
	530	530 indicates Date of Last Installment Received.	DTP01
	D8	D8 indicates the date format is YYYYMMDD.	DTP02
	20000504	20000504 is the Due Date of Last Installment Received (05/04/2000).	DTP03
LE*0212~	LE	LE is the Loop Trailer segment ID.	
	0212	0212 is the Loop Identifier Code.	LE01
SE*16*0012~	SE	SE is the Transaction Set Trailer segment ID.	
	16	16 is the number of segments in the transmission.	SE01
	0012	0012 is the control number.	SE02

TRANSACTION SET 264 TRANSMISSION NOTES

Review the following items to guarantee a successful transmission of TS 264.

- Ensure that the interchange control segments information for you and RHS is specified as discussed in Appendix C, RHS Communication Envelope Specifications.
- Ensure that all data is in the format required by RHS's application system.
- Ensure that the file is in the format required by RHS's application system.

The paragraphs below describe each bulleted item.

Interchange Control Segments. As stated in Part 5, Introducing X12 Transaction Sets, the interchange control segments contain control information about you and your trading partner(s) and indicate the number of functional groups included in the transmission. An interchange control header (ISA) identifies the beginning of an interchange of one or more functional groups and interchange-related control segments. An interchange control trailer (IEA) defines the end of an interchange of one or more functional groups and interchange-related control segments. Ensure that all specifications outlined in Appendix C, RHS Communication Envelope Specifications, are met.

Data Format. RHS's application system requires specific formats for data elements within TS 264. These format requirements include the acceptable length for RHS's application system when it is less than the length allowed in the X12 standards. Individual data elements format requirements are specified in the shaded note parts of the TS 264 Data Mapping Guide, presented later in this part.

File Format. RHS's application system requires that the file does not have any carriage returns or line feeds. There are no naming conventions for the submitted filename. However, the name is changed to RHS naming conventions once it is received and stored in RHS's application system.

264 MORTGAGE LOAN DEFAULT STATUS OUTLINE

Functional Group = MG

Introduction

This Draft Standard for Trial Use contains the format and establishes the data contents of the Mortgage Loan Default Status Transaction Set (264) for use within an EDI environment. This transaction set will allow all notifications of mortgage loan default/foreclosure status to be filed similarly, whether they are to an insurer, guarantor, investor, or servicer. This transaction set can be used to submit notification of delinquent mortgage loans that could potentially result in foreclosure activity leading to the collection of a third-party guarantee/insurance benefit. You can also use this transaction set to file default status reports, as well as foreclosure and bankruptcy information with servicers, attorneys, trustees, government agencies, private mortgage insurers and investors.

				Header				
	<u>NOTE</u>	<u>POS.</u>	<u>TAG</u>	<u>NAME</u>	<u>STATUS</u>	<u>REPEAT</u>	<u>LOOP</u>	<u>REPEAT</u>
Must Use		010	ST	Transaction Set Header	M	1		
Must Use	N	020	BGN	Beginning Segment	M	1		
	N	030	MIS	Mortgage Information Status	O	1		
GROUP 0100					M			2
Must Use	N	040	N1	Name	M	1		
Not Used		050	N2	Additional Name Information	O	1		
Not Used		060	N3	Address Information	O	1		
	N	070	N4	Geographic Location	O	2		
Not Used		080	PER	Administrative Communications Contact	O	2		
				Detail				
	<u>NOTE</u>	<u>POS.</u>	<u>TAG</u>	<u>NAME</u>	<u>STATUS</u>	<u>REPEAT</u>	<u>LOOP</u>	<u>REPEAT</u>
GROUP 0200					M			>1
Must Use	N	010	LX	Assigned Number	M	1		
Not Used	N	015	DTM	Date/Time Reference	O	2		
Not Used		020	N1	Name	O	1		
Not Used		030	N2	Additional Name Information	O	1		
Not Used		040	N3	Address Information	O	1		
Not Used		050	N4	Geographic Location	O	1		
Not Used		060	REF	Reference Identification	O	2		
Not Used		070	PER	Administrative Communications Contact	O	2		
Not Used		080	QTY	Quantity	O	2		
Not Used		090	AMT	Monetary Amount	O	2		
GROUP 0210					M			>1
Must Use	N	100	DTP	Date or Time or Period	M	1		
Must Use	N	110	REF	Reference Identification	M	10		
GROUP 0211					O			>1
Must Use	N	120	N1	Name	M	1		
Not Used		130	N2	Additional Name Information	O	1		
Not Used	N	140	N3	Address Information	O	1		
Not Used		150	N4	Geographic Location	O	1		
Not Used		160	PER	Administrative Communications Contact	O	2		
Not Used		165	REF	Reference Identification	O	4		
Must Use		170	LS	Loop Header	O	1		
GROUP 0212					O			1
Must Use	N	180	REC	Real Estate Condition	M	1		
Not Used	N	190	N3	Address Information	O	1		
Must Use		200	N4	Geographic Location	O	1		
Must Use	N	210	DFI	Default Information	O	1		
Not Used		220	QTY	Quantity	O	1		
Not Used		230	AMT	Monetary Amount	O	10		
Not Used		240	INT	Interest	O	1		
Must Use		250	SOM	Status of Mortgage	O	10		
Must Use		260	DTP	Date or Time or Period	O	14		
Not Used		270	MRC	Mortgagor Response Characteristics	O	2		
Not Used	N	280	MSG	Message Text	O	11		
Must Use		290	LE	Loop Trailer	O	1		

Summary							
	<u>NOTE</u>	<u>POS.</u>	<u>TAG</u>	<u>NAME</u>	<u>STATUS</u>	<u>REPEAT</u>	<u>LOOP REPEAT</u>
Not Used	N	010	QTY	Quantity	O	2	
Not Used		020	AMT	Monetary Amount	O	2	
Must Use		030	SE	Transaction Set Trailer	M	1	

Transaction Set Notes

- 1/020 The BGN segment indicates whether the set is a corrected and verified or an advance notification transmission.
- 1/030 The MIS segment provides information on the name and address change of the sending party.
- 1/040 Loop 0100 identifies the sending and or the receiving parties.
- 1/070 N4 may also contain the geographical location of the sender's principal servicing office, if any.
- 2/010 Each iteration of loop 0200 is used to provide mortgagee information associated with a specific group of mortgages.
- 2/015 The DTM segment contains the reporting date of the loan defaults.
- 2/100 Loop 0210 is used to provide detail loan default information on a specific mortgage loan.
- 2/100 The DTP segment contains the reporting date or a key loan associated date for the loan default.
- 2/110 The REF segment provides the associated reference numbers for a specific mortgage loan.
- 2/220 Loop 0211 provides information on the mortgagor, or the property owner, or the investor.
- 2/140 The N3 and N4 segments contain the address information for the property.
- 2/180 Loop 0212 contains detail loan default and foreclosure information on a specific mortgage loan.
- 2/180 The REC segment provides information on the real estate condition of the property. REC04 and REC05 provide information on damage and number of living units on the property and are not used in transaction set 264.
- 2/190 The N3 and N4 segments provide the address information for the property.
- 2/210 The DFI, QTY, AMT, INT, SOM, DTP and MRC segments provide detail default information on the mortgage loan.
- 2/280 The MSG segment provides loan detail remarks or comments.
- 3/010 QTY and AMT provide loan administration summaries for all mortgages reported in Table 2.

TRANSACTION SET 264 DATA MAPPING GUIDE

The following data mapping guide for TS 264 is based on version 004010, as defined by X12 standards. The data mapping guide presents essential information for each of the segments and the constituent data elements.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 01 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).
Comments:
Notes: The ST segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 264 X12.285 Mortgage Loan Default Status	M/Z ID 3/3
Must Use	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. Your translation software assigns this control number. This element is not reported in the Quarterly Status Report Submission, but is required for the EDI Quarterly Status Report Submission.	M AN 4/9

Segment: **BGN Beginning Segment**
Position: 020
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a transaction set.
Syntax Notes: 1 If BGN05 is present, then BGN04 is required.
Semantic Notes: 1 BGN02 is the transaction set reference number.
 2 BGN03 is the transaction set date.
 3 BGN04 is the transaction set time.
 4 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.
Comments: 1 BGN05 is the transaction set time qualifier.
Notes: The BGN segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
Must Use	BGN01	353	Transaction Set Purpose Code Code identifying purpose of transaction set. Lenders will send code "00" to identify the first transmission of any default report in each reporting cycle. Lenders will send code "41" to identify "resubmit" reports after receiving a TS 997 functional acknowledgement from RHS. 00 Original 41 Corrected and Verified	M ID 2/2
Must Use	BGN02	127	Reference Identification Reference number or identification number as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier. Insert "DEFAULT."	M/Z AN 1/30
Must Use	BGN03	373	Date Date expressed as CCYYMMDD. Insert the current date.	M/Z DT 8/8
Not Used	BGN04	337	Time	X/Z TM 4/8
Not Used	BGN05	623	Time Code	O/Z ID 2/2
Not Used	BGN06	127	Reference Identification	O/Z AN 1/30
Not Used	BGN07	640	Transaction Type Code	O ID 2/2
Not Used	BGN08	306	Action Code	O ID 1/2
Not Used	BGN09	786	Security Level Code	O ID 2/2
Not Used	BGN10	624	Century	O/Z NO 2/2

Segment: N1 Name
Position: 040
Loop: 0100 Mandatory
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To identify a party by type of organization, name, and code.
Syntax Notes: 02 R0203 - At least one of N102 or N103 is required.
 03 P0304 - If either N103 or N104 is present, then the other is required.

Semantic Notes:
Comments: 04 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.
 05 N105 and N106 further define the type of entity in N101.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	N101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property, or an individual. LV Loan Servicer	M ID 2/3
Must Use	N102	93	Name Free-form name. Insert Lender Name left justified.	X AN 1/60
Must Use	N103	66	Identification Code Qualifier Code designating the system/method of code structure used for Identification Code (67). 62 Servicing Mortgagee Number	X ID 1/2
Must Use	N104	67	Identification Code Code identifying a party or other code. Insert the Lender's Internal Revenue Service Tax Identification Number using the following format: Always 9 numeric digits. If the Lender IRS Tax ID Number is less than 9 digits, left pad with zeros to make it 9 digits. For example, enter 125678 as 000125678.	X AN 2/20
Not Used	N105	706	Entity Relationship Code	O ID 2/2
Not Used	N106	98	Entity Identifier Code	O ID 2/3

Segment: N4 Geographic Location
Position: 070
Loop: 0100 Mandatory
Level: Heading
Usage: Optional
Max Use: 2
Purpose: To specify the geographic place of the named party.
Syntax Notes: 06 CO605 – If N406 is present, then N405 is required.
Semantic Notes:
Comments: 01 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location.
 02 N402 is required only if city name (N401) is in the U.S. or Canada.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Not Used	N401	19	City Name	O AN 2/30
Not Used	N402	156	State or Province Code	O ID 2/2
Not Used	N403	116	Postal Code	O ID 3/15
Not Used	N404	26	Country Code	O ID 2/3
Must Use	N405	309	Location Qualifier	X ID 1/2
			Code identifying type of location. ZZ Mutually Defined	
Must Use	N406	310	Location Identifier	O AN 1/30
			Code which identifies a specific location. Insert the Rural Housing Service assigned Lender Branch Number using the following format: Always 3 numeric digits. If the Lender Branch Number is less than 3 digits, left pad with zeros to make it 3 digits. For example, enter 1 as 001.	

Segment: **LX Assigned Number**
Position: 010
Loop: 0200 Mandatory
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To reference a line number in a transaction set.
Syntax Notes:
Semantic Notes:
Comments:
Notes: The LX is a required segment. One LX segment should be reported for each loan.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	LX01	554	Assigned Number	M NO 1/6
			Number assigned for differentiation within a transaction set.	
			The sender assigns LX01 to indicate the number of the iteration of the LX loop sent. For RHS, only ONE iteration of the LX loop can be used per transaction set, so LX01 will always show the number 1.	

Segment: **DTP Date or Time or Period**
Position: 100
Loop: 0210 Mandatory
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To specify any or all of a date, a time, or a time period.
Syntax Notes:
Semantic Notes: 1 DTP02 is the date or time or period format that will appear in DTP03.
Comments:
Notes: The DTP segment provides the month ending date for the default status report. It begins Loop 0210, which contains mortgage loan case specific information.

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	DTP01	374	Date/Time Qualifier Code specifying type of date or time, or both date and time. 730 Reporting Cycle Date	M ID 3/3
Must Use	DTP02	1250	Date Time Period Format Qualifier Code indicating the date format, time format, or date and time format. D8 Date Expressed in Format CCYYMMDD	M/Z ID 2/3
Must Use	DTP03	1251	Date Time Period Expression of a date, a time, or range of dates, times or dates and times. Insert the Date of Report formatted as CCYYMMDD. MMDD can only equal 0131, 0228, 0229, 0331, 0430, 0531, 0630, 0731, 0831, 0930, 1031, 1130, or 1231.	M AN 1/35

Segment: REF Reference Identification
Position: 110
Loop: 0210 Mandatory
Level: Detail
Usage: Mandatory
Max Use: 10
Purpose: To specify identifying numbers.
Syntax Notes: 02 R0208 – At least one of REF02 or REF03 is required.
Semantic Notes: 04 REF04 contains data relating to the value cited in REF02.
Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	REF01	128	Reference Identification Qualifier Code qualifying the Reference Identification. LD Loan Number	M ID 2/3
Must Use	REF02	127	Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier. Insert Lender's Assigned Loan Number using the following format: Maximum 16 AN characters, left justified.	X AN 1/30
Not Used	REF03	352	Description	X AN 1/80
Not Used	REF04	C040	Reference Identifier	O/Z

Segment:	N1 Name
Position:	120
Loop:	0211 Mandatory
Level:	Detail
Usage:	Mandatory
Max Use:	1
Purpose:	To identify a party by type of organization, name, and code.
Syntax Notes:	02 R0203 - At least one of N102 or N103 is required. 03 P0304 - If either N103 or N104 is present, then the other is required.
Semantic Notes:	
Comments:	1 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. 2 N105 and N106 further define the type of entity in N101.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	N101	98	Entity Identifier Code Code identifying an organizational entity, a physical location, property, or an individual. BW Borrower	M ID 2/3
Must Use	N102	93	Name Free-form name. Insert Borrower's Name using the following format: maximum 40 AN characters. Enter the last name followed by a comma and a space, enter the first name followed by a space, and then enter the middle initial. Left justify.	X AN 1/60
Must Use	N103	66	Identification Code Qualifier Code designating the system/method of code structure used for Identification Code (67). 34 Social Security Number	X ID 1/2
Must Use	N104	67	Identification Code Code identifying a party or other code. Insert Borrower's SSN using the following format: Always 9 numeric digits. If the Borrower SSN is less than 9 digits, left pad with zeros to make it 9 digits. For example, enter 125678 as 000125678.	X AN 2/20
Not Used	N105	706	Entity Relationship Code	O ID 2/2
Not Used	N106	98	Entity Identifier Code	O ID 2/3

Segment:	LS Loop Header
Position:	170
Loop:	0210 Mandatory
Level:	Detail
Usage:	Optional
Max Use:	1
Purpose:	To indicate that the next segment begins a loop.
Syntax Notes:	
Semantic Notes:	00 One loop may be nested contained within another loop, provided the inner nested loop terminates before the outer loop. When specified by the standard setting body as mandatory, this segment in combination with "LE," must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.
Comments:	00 See Figures Appendix for an explanation of the use of the LS and LE segments.
Notes:	The LS segment, when used, requires the segment immediately following it and the LE segment in position 290 to be sent.

Data Element Summary

Must Use	Ref. Des.	Data Element	Name	Attributes
	LS01	447	Loop Identifier Code	M AN 1/6
			The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE.	
			NOTE: LS01, the Loop Identifier Code, shall always have a value of 0212 to indicate the next segment begins Loop 0212. The corresponding LE01 in the LE segment, shall have an identical value of 0212 to indicate the segment immediately preceding it completes Loop 0212.	

Segment:	REC Real Estate Condition
Position:	180
Loop:	0212 Mandatory
Level:	Detail
Usage:	Mandatory
Max Use:	1
Purpose:	To indicate the condition of real estate property and if applicable, the actions needed to correct the damage.
Syntax Notes:	<p>01 C0602 - If REC06 is present, then REC02 is required.</p> <p>02 P0809 - If either REC08 or REC09 is present, then the other is required.</p> <p>03 L08060709101213 - If REC08 is present, then at least one of REC06, REC07, REC09, REC10, REC12, or REC13 is required.</p> <p>04 C0906 - If REC09 is present, then REC06 is required.</p> <p>05 C1009 - If REC10 is present, then REC09 is required.</p> <p>06 C1213 - If REC12 is present, then REC13 is required.</p>
Semantic Notes:	<p>01 REC01 specifies the occupancy status of the real estate property.</p> <p>02 REC03 indicates specified damage types such as fire, flood, earthquake, etc.</p> <p>03 REC04 indicates whether there was other (nonsurchargeable) damage, i.e., damage which may not be added to the lender's claim for mortgage insurance benefits. A "Y" indicates there was other damage; an "N" indicates there was not.</p> <p>04 REC05 indicates the number of living units.</p>

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	REC01	689	Occupancy Code	M ID 2/2
			Code indicating status of property.	
			01 Vacant	
			02 Occupied	
			03 Borrower Occupied	
			04 Tenant Occupied	
			05 Adverse Occupied	
			06 Unknown	
			07 Original Veteran Occupied	
			08 Transferee Occupied	
			09 Unoccupied	
			10 Abandoned	
			11 Condemned	
			12 Under Construction	
			13 Temporary Residence	
			14 Partially Occupied	
			15 Owner Occupied, Primary Residence	
			16 Owner Occupied, Secondary Residence	
			17 Owner Occupied	
Not Used	REC02	726	Real Est Prop Con Co	C ID 2/2
Not Used	REC03	448	Property Damage Code	O ID 1/2
Not Used	REC04	1073	Yes/No Cond Resp Code	O ID 1/1
Not Used	REC05	380	Quantity	O R 1/15
Not Used	REC06	815	Property Insp Qual	C ID 2/2
Not Used	REC07	306	Action Code	C ID 1/2
Not Used	REC08	673	Quantity Qual	C ID 2/2
Not Used	REC09	380	Quantity	C R 1/15
Not Used	REC10	C001	Composite Unit of Measure	Composite
Not Used	REC11	816	Occupancy Verif Code	O ID 2/2
Not Used	REC12	363	Note Ref Code	C ID 3/3
Not Used	REC13	3	Free Form Message	C AN 1/60

Segment:	N4 Geographic Location
Position:	200
Loop:	0212 Optional
Level:	Detail
Usage:	Optional
Max Use:	2
Purpose:	To specify the geographic place of the named party.
Syntax Notes:	06 C00605 – If N406 is present, then N405 is required.
Semantic Notes:	
Comments:	01 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location. 02 N402 is required only if city name (N401) is in the U.S. or Canada.

Data Element Summary

Ref.	<u>Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Not Used	N401	19	City Name	O AN 2/30
Not Used	N402	156	State or Province Code	O ID 2/2
Not Used	N403	116	Postal Code	O ID 3/15
Not Used	N404	26	Country Code	O ID 2/3
Must Use	N405	309	Location Qualifier	X ID 1/2
			Code identifying type of location. Refer to 004010 Data Element Dictionary for acceptable code values.	
			SP State/Province Code	
Must Use	N406	310	Location Identifier	O AN 1/30
			Code which identifies a specific location. Insert Property State Name using the following format: Always 2 AN characters. Acceptable state code values are:	
			AL Alabama	NV Nevada
			AK Alaska	NH New Hampshire
			AZ Arizona	NJ New Jersey
			AR Arkansas	NM New Mexico
			CA California	NY New York
			CO Colorado	NC North Carolina
			CT Connecticut	ND North Dakota
			DE Delaware	OH Ohio
			DC District of Columbia	OK Oklahoma
			FL Florida	OR Oregon
			GA Georgia	PA Pennsylvania
			HI Hawaii	PR Puerto Rico
			ID Idaho	RI Rhode Island
			IL Illinois	SC South Carolina
			IN Indiana	SD South Dakota
			IA Iowa	TN Tennessee
			KS Kansas	TX Texas
			KY Kentucky	UT Utah
			LA Louisiana	VT Vermont
			ME Maine	VI Virgin Islands
			MD Maryland	VA Virginia
			MA Massachusetts	WA Washington
			MI Michigan	WV West Virginia
			MN Minnesota	WP Western Pacific
			MS Mississippi	WI Wisconsin
			MO Missouri	WY Wyoming
			MT Montana	
			NE Nebraska	

Segment: **DFI Default Information**
Position: 210
Loop: 0212 Optional
Level: Detail
Usage: Optional
Max Use: 1
Purpose: To specify mortgage loan default information.
Syntax Notes:
Semantic Notes: 01 DFI01 indicates code specifying the reason for default status.
 02 DFI02 indicates code specifying type of claim.
 03 DFI03 indicates if default resulted in a direct conveyance. A "Y" indicates that it resulted in a direct conveyance; an "N" indicates that it did not.
 04 DFI04 indicates if this is the first payment in default. A "Y" indicates this is the first payment in default; an "N" indicates it is not.

Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	DFI01	641	Status Reason Code	O/Z ID 3/3
			Code indicating the status reason. Acceptable code values are:	
			001 Death of Principal Mortgagor	
			002 Illness of Principal Mortgagor	
			003 Illness of Mortgagor's Family Member	
			004 Death of Mortgagor's Family Member	
			005 Marital Difficulties	
			006 Curtailment of Income	
			The reduction of income of a borrower	
			007 Excessive Obligations - Same Income, Including Habitual Nonpayment of Debts	
			008 Abandonment of Property	
			009 Distant Employment Transfer	
			010 Neighborhood Problem	
			011 Property Problem	
			012 Inability to Sell Property	
			013 Inability to Rent Property	
			014 Military Service	
			015 Other	
Not Used	DFI02	1032	Claim Filing Indicator Code	O/Z ID 1/2
Not Used	DFI03	1073	Yes/No Condition or Response Code	O/Z ID 1/1
Not Used	DFI04	1073	Yes/No Condition or Response Code	O/Z ID 1/1

Segment:	SOM Status of Mortgage
Position:	250
Loop:	0212 Optional
Level:	Detail
Usage:	Optional
Max Use:	1
Purpose:	To provide information on the status of a mortgage and the date actions were taken regarding the loan and the property.
Syntax Notes:	05 P0506 - If either SOM05 or SOM06 is present, then the other is required. 09 P0910 - If either SOM09 or SOM10 is present, then the other is required. 12 P1213 - If either SOM12 or SOM13 is present, then the other is required.
Semantic Notes:	01 SOM01 indicates the status of a mortgage. For example, "01" indicates the mortgage is delinquent. 02 SOM02 and SOM03 indicate the date of the action taken towards the mortgage. 04 SOM04 indicates if bankruptcy has been filed by the mortgagor or the co-mortgagor. A "Y" indicates that bankruptcy has been filed; an "N." indicates that it has not been filed. 05 SOM05 indicates the type of bankruptcy that was filed. For example, "2" indicates Chapter 11 bankruptcy has been filed by the principal mortgagor or the co-mortgagor. 06 SOM06 provides the bankruptcy filing date. 07 SOM07 indicates if a forbearance plan has been accepted. A "Y" Indicates that a forbearance plan has been accepted; an "N" indicates that it has not been accepted. 07 If SOM07 is "Y," then SOM11 is required. 08 SOM08 and SOM11 indicate the additional actions taken towards the mortgage. 09 SOM09 through SOM10 and SOM12 through SOM13 provide the dates of the additional actions in SOM08 and SOM11.
Comments:	
Notes:	The SOM segment provides the status of the mortgage loan and the actions taken towards the loan.

Data Element Summary

Must Use	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
	SOM01	1307	Loan Status Code	M/Z ID 1/2
			Code indicating the loan status.	
			Left justify.	
			Acceptable code values are:	
			9 Forbearance	
			Status assigned during the temporary suspension of loan payments, granted at the discretion of the lender, according to federal regulations.	
			11 Claim	
			Status assigned when Loss Claim filed.	
			12 Repayment	
			28 Modification	
			30 Third Party Sale	
			42 Delinquent	
			43 Foreclosure Started	
			44 Deed-in-Lieu Started	
			45 Foreclosure Completed	
			47 Deed-in-Lieu Completed	
			59 Chapter 12 Bankruptcy	
			65 Chapter 7 Bankruptcy	
			66 Chapter 11 Bankruptcy	
			67 Chapter 13 Bankruptcy	

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Must Use	SOM02 1250	Date Time Period Format Qualifier Code indicating the date format, time format, or date and time format. D8 Date Expressed in Format CCYYMMDD	M/Z ID 2/3
Must Use	SOM03 1251	Date Time Period Expression of a date, a time, or range of dates, times or dates and times. Insert the Date of Status formatted as CCYYMMDD. MMDD can only equal 0131, 0228, 0229, 0331, 0430, 0531, 0630, 0731, 0831, 0930, 1031, 1130, or 1231.	M AN 1/35
Not Used	SOM04 1073	Yes/No Condition or Response Code	O/Z ID 1/1
Not Used	SOM05 104	Type of Bankruptcy Code	X/Z ID 1/1
Not Used	SOM06 373	Date	X/Z DT 6/6
Not Used	SOM07 1073	Yes/No Condition or Response Code	O/Z ID 1/1
Not Used	SOM08 1307	Loan Status Code	O/Z ID 1/2
Not Used	SOM09 1250	Date Time Period Format Qualifier	X/Z ID 2/3
Not Used	SOM10 1251	Date Time Period	X AN 1/35
Not Used	SOM11 1307	Loan Status Code	O ID 1/2
Not Used	SOM12 1250	Date Time Period Format Qualifier	X ID 2/3
Not Used	SOM13 1251	Date Time Period	X AN 1/35

Segment: **DTP Date or Time or Period**
Position: 260
Loop: 0212 Optional
Level: Detail
Usage: Optional
Max Use: 14
Purpose: To specify any or all of a date, a time, or a time period.
Syntax Notes:
Semantic Notes: 02 DTP02 is the date or time or period format that will appear in DTP03.
Comments:
Notes:

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	DTP01	374	Date/Time Qualifier Code specifying type of date or time, or both date and time. 530 Date of Last Installment Received	M ID 3/3
Must Use	DTP02	1250	Date Time Period Format Qualifier Code indicating the date format, time format, or date and time format. D8 Date Expressed in Format CCYYMMDD	M/Z ID 2/3
Must Use	DTP03	1251	Date Time Period Expression of a date, a time, or range of dates, times or dates and times. Insert Due Date of Last Installment Received formatted as CCYYMMDD. If mortgagor has not made a payment on the loan, insert the date of the loan.	M AN 1/35

Segment:	LE Loop Trailer
Position:	290
Loop:	0210 Mandatory
Level:	Detail
Usage:	Optional
Max Use:	1
Purpose:	To indicate that the loop immediately preceding this segment is complete.
Syntax Notes:	
Semantic Notes:	00 One loop may be nested contained within another loop, provided the inner nested loop terminates before the other loop. When specified by the standards setting body as mandatory, this segment in combination with "LS," must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop beginning segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.
Comments:	00 See Figures Appendix for an explanation of the use of the LE and LS segments.
Notes:	The LE segment is required when the optional LS segment in position 170 is used.

Data Element Summary

Must Use	Ref. Des.	Data Element	Name	Attributes
	LE01	447	Loop Identifier Code	M AN 1/6
			The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE.	
			NOTE: LE01, the Loop Identifier Code, shall always have a value of 0212 to indicate the segment immediately preceding it completes Loop 0212. The corresponding LS01 in the LS segment, shall have an identical value of 0212 to indicate the segment immediately following it begins Loop 0212.	

Segment: **SE Transaction Set Trailer**
Position: 030
Loop:
Level: Summary
Usage: 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).

Syntax Notes:
Semantic Notes:
Comments: 00 SE is the last segment of each transaction set.
Notes: The SE segment is required each time a Transaction Set is sent.

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments.	M NO 1/10
Must Use	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. NOTE: The control number is assigned and generated by the sender's translation software. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment (ST02) for each transaction.	M AN 4/9

Adjunct Loan Default Transaction Set

Transaction Set 997, Functional Acknowledgment, is used for electronic loan default reports processing in conjunction with TS 264.

This transaction set defines 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.

Each time a TS 264 or functional group arrives at RHS, RHS informs the servicing lender of receipt by issuing a TS 997. The TS 997 indicates which of the TS 264's were accepted and which were rejected. If all TS 264's were accepted, the servicing lender has fulfilled the reporting requirements. However, if one or more of the TS 264's are rejected, the servicing lender must correct the rejected TS 264's and resubmit the entire set of TS 264's again.

TS 997 is also used in conjunction with other transaction sets. If a TS 264 is in a file with a different transaction set, such as TS 203, a separate TS 997 is issued for each transaction set. All TS 997's are grouped into one file. When more than one transaction set is sent and a generated TS 997 indicates an error with the records for a specific transaction, only the transaction set with the errors should be corrected and retransmitted.



For example: A lender sends TS 203's and TS 264's to RHS in one file. RHS will send back a file with two TS 997's. One TS 997 for the TS 203's and one TS 997 for the TS 264's. The TS 997 for the TS 203's indicates that there are no errors, but the TS 997 for the TS 264's indicates that there is an error with one record. You must correct the error and resubmit all the TS 264's records.

Appendix D, Adjunct Transaction Set, contains the data mapping guide for TS 997.

ONGOING SUPPORT

The RHS EDI Lender Outreach Team provides both implementation and operational technical support to trading partners. If you have any questions about the RH status reports or if any of the following occur, please contact the RHS EDI Lender Outreach Team at (877) 636-3789.

- You have technical questions regarding this implementation guide.
- You are unable to transmit files as described.
- You are experiencing errors in sending or receiving these status reports.

If you would prefer to email your information, the email address is guaranteed.loan@stl.rural.usda.gov.

You should carefully control any changes you make to your EDI environment after you are operational. We advise that whenever changes are made in the EDI software, a backup copy of the previous version is kept for emergency production. If you are unable to transmit due to technical difficulties, whether hardware or software related, you must communicate this to the RHS EDI Lender Outreach Team. Any filing requirements established by law, regulations, or other RHS issuances remain in force, regardless of the method of transmission.

BUSINESS SUPPORT

With the implementation of Single Family Housing electronic reporting, RHS will be modifying the reporting policy to require an RH quarterly portfolio report for all loans and an RH monthly report for all delinquent loans. Review the Lender Handbook for guidance and review the part of the EDI Implementation Guide related to the operational components of the implementation (e.g., Part 4 contains the operational instructions for submission of RHS business documents).

TECHNICAL SUPPORT

The associated vendors should provide technical support for the EDI hardware, software, and network. Maintain a list of appropriate vendor support numbers to assist in the implementation of the EDI system.

APPENDIX A

RHS has implemented an EDI solution using the common Internet. RHS has configured a web site to serve multiple roles in the EDI solution. This web site is the USDA LINC. It will become the hub for exchanging borrower data and policy information with private lending institutions. As the collection point for borrower data, lenders may either input data into electronic forms on web pages or submit an X12 file with their borrower data. Only lenders with fewer than 100 loans can use the electronic forms. In order to use either option, lenders must have an access code and password. This approach to collecting data via the internet with authorized users serves as another level of security protecting the host system from outside users and relieves the host system of collecting data.

You can also access the EDI Implementation Guide through the USDA LINC. The entire EDI Implementation Guide is available in PDF format. You can read and print PDF files with Adobe Acrobat Reader, available free from Adobe Corporation. Trading Partners are encouraged to access the USDA LINC as the EDI Implementation Guide will be updated as often as required.

You can access the USDA LINC on the World Wide Web @ <https://usdalinc.sc.egov.usda.gov>.

*If you are accessing the USDA LINC for the first time, click on the **New Users** hyperlink and complete the Lender Login page. Click LOGIN and the User ID Request page is displayed. Complete the required fields and click SUBMIT. Your User ID is displayed on the User ID Request Confirmation page.*

*If you are an authorized user, click on **Log On** at the top of the USDA LINC page and log in. Click **RHS LINC Home** on the navigation bar at the top of the page. Click on the **Single Family Guaranteed Rural Housing** hyperlink on the RHS LINC page. The GRH LINC page is displayed. The GRH LINC hyperlinks and the actions available through these hyperlinks are described below.*

GRH LINC HYPERLINKS

Electronic Status Reporting

Web Reporting (Only for
lenders with less than
100 loans)
Forms
Other Links

ACTIONS AVAILABLE

Send X12 Files
Retrieve 997 Files
Report Quarterly Status
Report Default Status

Not Available
View and/or print the EDI Implementation Guide
View and/or print USDA LINC HELP

As RHS advances in its use of EDI and the Internet, more business documents will be incorporated and the website will become more sophisticated.

APPENDIX B - FORMS FOR IMPLEMENTING EDI

The necessary forms to implement EDI with RHS are located in this Appendix. They are the Basic Trading Partner Agreement, all associated Addenda, and the EDI Trading Partner Survey.

The Trading Partner Agreement is an essential document in the implementation of EDI. It sets forth the rights and obligations of the EDI trading parties. This agreement outlines all conditions that will allow the parties to communicate electronically with each other. The agreement prescribes the general procedures and policies you must follow to transmit and receive EDI electronic business information with RHS. The agreement states that the parties intend to operate in the same manner as though they were exchanging hard copy paper documents. The associated Addenda provide additional information for those transactions that you will trade with RHS.

The EDI Trading Partner Survey is a means of conveying your organization's technical data to RHS.

**U.S. DEPARTMENT OF AGRICULTURE
RURAL HOUSING SERVICE
Basic Trading Partner Agreement**

1.0 INTRODUCTION

This agreement between the U.S. Department of Agriculture (USDA), Rural Housing Service, and _____, hereafter known as Trading Partner, prescribes the general procedures and policies to be followed when Electronic Data Interchange (EDI) is used for transmitting and receiving electronic documents in lieu of one or more paper documents normally associated with conducting business with Rural Housing Service.

1.1 DEFINITIONS

Rural Housing Service Business Day--a Rural Housing Service business day is a day in which Rural Housing Service is officially open for normal business at its St. Louis, Missouri, office.

Rural Housing Service EDI Implementation Guide--a Rural Housing Service-provided manual that describes the electronic submission of business documents to Rural Housing Service, as an aid to the Trading Partner in achieving the information interchange specified in this agreement.

Rural Housing Service Processor--the Rural Housing Service-owned computer that receives electronic business documents from the Rural Housing Service EDI Web Server for subsequent processing by the appropriate Rural Housing Service computer application program.

Service Bureau--an agent of the Trading Partner authorized by the Trading Partner to submit business documents electronically to Rural Housing Service. The Trading Partner must specify this relationship in a properly executed addendum to this agreement.

Trading Partner--the Rural Housing Service approved lender (identifiable by the 9-digit lender tax ID number and Rural Housing Service-issued 3-digit branch number) who consents to the electronic exchange of pertinent business documents in accordance with all specifications of the agreement.

Transaction Set--a transaction set (TS) is the data that is exchanged electronically in order to convey meaning between parties engaged in EDI, consisting of a specific group of segments that represent a business document. The business information included in a TS is equivalent to the information in a conventionally printed document.

USDA LINC--the U.S. Department of Agriculture Lender Interactive Network Connection web site.

RHS LINC--the Rural Housing section of the USDA LINC web site.

GRH LINC-- the Guaranteed Rural Housing section of the RHS LINC web site. This section provides electronic reporting access and information for lenders.

2.0 PURPOSE

This agreement ensures that EDI transmissions between USDA Rural Housing Service and the Trading Partner will be treated equivalent to paper-based transmission of data. It ensures that the use of any electronic equivalent of the standard Rural Housing Service business document referenced in the addenda to this agreement will be deemed an acceptable business practice and that the Trading Partner will not challenge the admissibility of the electronic information into evidence in any administrative or judicial review, except in circumstances in which an analogous paper document could be challenged.

3.0 TERMS AND CONDITIONS

3.1 Electronic communications between Rural Housing Service and its electronic Trading Partner will occur via direct submission to the GRH LINC.

3.2 The standards for business documents shall be in accordance with the American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12 specifications and represent the most current version of those standards in use at Rural Housing Service, as specified in this Trading Partner Agreement and its addenda. Any changes to the ASC X12 standard Rural Housing Service intends to employ with its Trading Partner will be subject to the provisions stated in paragraphs 6.0 and 9.0.

3.3 Trading Partner must deliver transactions destined for Rural Housing Service to the GRH LINC address designated in the addenda.

3.4 All electronic documents transmitted to Rural Housing Service will be considered “postmarked” at the time of delivery to the Electronic Reporting Web Server. Electronic documents will be considered delivered at the time of receipt by Rural Housing Service’s processor.

3.5 All X12 transactions received by either party in an electronic exchange will be acknowledged by returning the sender an X12 Functional Acknowledgment, TS 997. A copy of TS 997 and related documentation are presented in Rural Housing Service’s EDI Implementation Guide. In response to an incoming business document, Rural Housing Service will send a functional acknowledgment no later than the close of business of the next Rural Housing Service business day following its delivery to the Rural Housing Service Electronic Web Server (“postmark”).

3.6 Rural Housing Service will bear the cost of making business documents and acknowledgments available for retrieval by the Trading Partner at GRH LINC and receiving the documents and acknowledgments transmitted to GRH LINC. The Trading Partner is responsible for all costs associated with retrieving documents and acknowledgments from and transmitting transactions to GRH LINC.

3.7 Trading Partner will be able to submit or exchange electronic business documents any time during the normal operating hours of Rural Housing Service’s Electronic Web Server.

3.8 If any errors occur in a transmission received by a Trading Partner, Rural Housing Service will be responsible only for those errors occurring on the Rural Housing Service system. If a Trading Partner receives a garbled transmission, Rural Housing Service must be contacted immediately to arrange a retransmission. Procedures for technical assistance and error reporting can be found in the Rural Housing Service EDI Implementation Guide.

3.9 Rural Housing Service will not be responsible for any damages incurred by the Trading Partner as a result of missing or delayed transmissions, when the problem is not with or caused by Rural Housing Service.

3.10 Each EDI business process to be implemented with the Trading Partner will undergo a period of testing, of up to approximately 1 month, and a period of evaluation of up to approximately 2 months. This test and evaluation process will ensure the exchange of correct information with the Trading Partner.

3.11 Upon successful completion of this test and evaluation period, Rural Housing Service will approve and forward the addendum for the business process to the Trading Partner. The addendum will establish dates for beginning official EDI transmissions and for removing the general requirement to mail hard copy documents to Rural Housing Service.

3.12 Any document from Rural Housing Service’s system placed on GRH LINC for retrieval by the Trading Partner is to be considered a valid and authentic document backed by the same guarantees and legitimacy as are found in an equivalent paper transaction. Likewise, any document from a Trading Partner transmitted to GRH LINC will be considered a valid and authentic document backed by the same guarantees of legitimacy as are found in an equivalent paper transaction.

3.13 The Trading Partner’s signer of this agreement and its addenda should have the equivalent or higher authority as the signer of the paper form specified in the applicable addenda and be fully cognizant that signing this agreement replaces the requirement to sign individual forms specified in the applicable addenda.

4.0 FORCE MAJEURE

None of the parties in this agreement will be liable for failure to properly conduct EDI in the event of war, accident, riot, fire, flood, epidemic, power outage, labor dispute, act of God, act of public enemy, malfunction or inappropriate design of hardware or software, or any other cause beyond such party's control. If, in Rural Housing Service's judgment, standard business cannot be conducted by EDI, Rural Housing Service will, at its discretion, return to paper- or tape-based systems, as appropriate, for processing the business documents described in this agreement and its addenda.

5.0 EFFECTIVE DATE

The effective date of this agreement will be the latest date shown on the signature page of this document.

6.0 AGREEMENT REVIEW AND UPDATE

6.1 This agreement will be reviewed at least annually by Rural Housing Service to make mutually agreeable changes, additions, or deletions, as necessary.

6.2 Trading Partner will notify Rural Housing Service's EDI contact, identified below, in writing within 15 calendar days after any change of company name.

6.3 The Trading Partner will notify Rural Housing Service's EDI contact in writing at least 30 calendar days in advance of any change in service bureau.

6.4 Rural Housing Service will note changes, such as those described in paragraphs 6.2 and 6.3, and will incorporate them into the Trading Partner Agreement at the annual review.

6.5 Trading Partner will alert Rural Housing Service's EDI contact within 10 calendar days if there is a change in the corporate charter that will necessitate a change in lender ID number. Upon receipt of this notification, Rural Housing Service will prepare a new Trading Partner Agreement and addenda and forward them for the Trading Partner's signature.

6.6 Rural Housing Service will notify Trading Partner in writing at least 60 days in advance of any change in the technical provisions of the addenda; that is, the Guaranteed Rural Housing LINC, ID qualifier, EDI address, interchange envelope, control ID, document format, or document version. Such notification will supersede the technical provisions of the addenda in force until such time as the addenda are updated, as specified in paragraph 6.1

6.7 All notifications required under this agreement will be submitted in writing to the EDI contact indicated below in the approval section of this agreement.

7.0 TERMINATION

This agreement may be terminated by either Rural Housing Service or the Trading Partner, effective 30 days after receipt of written notice by either party. Termination notice will have no effect on transactions occurring prior to the effective date of termination.

8.0 USE OF A SERVICE BUREAU

If the Trading Partner uses a service bureau for delivery and receipt of business documents electronically, the Trading Partner's obligations under this agreement and applicable Rural Housing Service reference procedures remain fully in force. The identification of any service bureau relationship must be clearly documented in each addendum.

9.0 WHOLE AGREEMENT

9.1 This agreement and all addenda constitute the entire agreement between the parties. No changes in the terms and conditions of this agreement shall be effective unless approved and signed by both parties. In the event a court of competent jurisdiction negates any of the provisions of this agreement, the remainder of the agreement will remain in full force and effect.

9.2 Rural Housing Service will prepare a new addendum for each new EDI-based business process it develops. Upon completion of testing in accordance with paragraph 3.10, the new addendum will be signed and dated by both parties and appended to this agreement.

APPENDIX B – EDI FORMS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

9.3 In any case, where there is a conflict between this agreement and applicable Rural Housing Service laws or regulations, the laws or regulations will control.

APPROVAL

Rural Housing Service Issued Mortgagee or
Lender ID Number and Branch Number:

Representing: Trading Partner

Representing: Rural Housing Service

Typed Name and Title

Donna Chism
Chief, Guaranteed Loan Branch

Date: _____

Date: _____

Trading Partner EDI Contact:

Rural Housing Service EDI Contact:

Guaranteed Loan Branch
Rural Development
ATTN: FC-350
P.O. Box 200011
St. Louis, Missouri 63120-0011

Telephone: 877-636-3789
E-mail address: guaranteed.loan@stl.rural.usda.gov

(Revised 06/27/00)

Addendum A to the Basic Trading Partner Agreement

**QUARTERLY LOAN STATUS REPORT
ASC X12 TRANSACTION SET 203**

1.0 PURPOSE

This addendum to the Trading Partner Agreement provides additional detail on the use of electronic data interchange (EDI) by Rural Housing Service (RHS) to approved mortgage lenders and servicers in lieu of providing paper Form RD 1980-80, Guaranteed Rural Housing Loan Status Report.

2.0 IMPLEMENTATION

Trading Partner will electronically transmit a quarterly status report to RHS using the American National Standards Institute (ANSI) X12 Transaction Set (TS) 203, in accordance with specifications provided in RHS's Implementation Guide, in lieu of a paper Form 1980-80, beginning on _____, between the hours of 6 a.m. and 6 p.m. CST or CDT as applicable.

3.0 TERMS AND CONDITIONS

Trading Partner will comply with all RHS filing requirements specified in the current version of the FmHA Form 1980-16, Agreement for Participation in Single Family Housing Guaranteed or Insured Loan Programs of the United States Government, and the RHS regulations.

4.0 TECHNICAL PROVISIONS

RHS will use the Guaranteed Rural Housing Lender Interactive Network Connection (GRH LINC) for receiving TS 203 and for transmitting the TS 997 and related business documents.

RHS will not use any third-party service provider for receiving or transmitting electronic files.

Trading Partner will transmit its TS 203 submission to GRH LINC by the sixth business day following the end of the quarter. RHS will transmit a TS 997 within one business day following delivery of a TS 203.

Trading Partner will be responsible for verifying that RHS has received all the status reports transmitted by comparing the TS 997 confirmations received from RHS with the status reports transmitted through TS 203.

Representing: (Trading Partner)

Representing: Rural Housing Service

Typed Name and Title

Donna Chism
Chief, Guaranteed Loan Branch

Date: _____

Date: _____

Addendum B to the Basic Trading Partner Agreement

**QUARTERLY LOAN STATUS REPORT
WEB SUBMISSION**

1.0 PURPOSE

This addendum to the Trading Partner Agreement provides additional detail on the use of electronic data interchange (EDI) by Rural Housing Service (RHS) to approved mortgage lenders and servicers in lieu of providing paper Form RD 1980-80, Guaranteed Rural Housing Loan Status Report.

2.0 IMPLEMENTATION

Trading Partner will electronically transmit a quarterly status report to RHS using the Guaranteed Rural Housing Lender Interactive Network Connection (GRH LINC) input screen in accordance with specifications provided in RHS's Lender User Guide, in lieu of a paper Form 1980-80, beginning on _____, between the hours of 6 a.m. and 6 p.m. CST or CDT as applicable.

3.0 TERMS AND CONDITIONS

Trading Partner will comply with all RHS filing requirements specified in the current version of the FmHA Form 1980-16, Agreement for Participation in Single Family Housing Guaranteed or Insured Loan Programs of the United States Government, and the RHS regulations.

4.0 TECHNICAL PROVISIONS

RHS will use the GRH LINC for receiving the quarterly status report and related business documents.

RHS will not use any third-party service provider for receiving or transmitting electronic files.

Trading Partner will transmit its quarterly status submission to GRH LINC by the sixth business day following the end of the quarter. Trading Partner will have the option to print the submission listing or the confirmation screen as its receipt.

Trading Partner will be responsible for verifying that RHS has received all the status reports transmitted by printing a copy of each confirmation screen after submission, comparing it to the transmission, and placing it in their records.

Representing: (Trading Partner)

Representing: Rural Housing Service

Typed Name and Title

Donna Chism
Chief, Guaranteed Loan Branch

Date: _____

Date: _____

Addendum C to the Basic Trading Partner Agreement

**MORTGAGE LOAN DEFAULT STATUS
ASC X12 TRANSACTION SET 264**

1.0 PURPOSE

This addendum to the Trading Partner Agreement provides additional detail on the use of electronic data interchange (EDI) by Rural Housing Service (RHS) to approved mortgage lenders and servicers in lieu of providing paper Form RD 1980-81, Guaranteed Rural Housing Borrower Default Status.

2.0 IMPLEMENTATION

Trading Partner will electronically transmit a monthly default status report to RHS using the American National Standards Institute (ANSI) X12 Transaction Set (TS) 264, in accordance with specifications provided in RHS's Implementation Guide, in lieu of a paper Form 1980-81, beginning on _____, between the hours of 6 a.m. and 6 p.m. CST or CDT as applicable.

3.0 TERMS AND CONDITIONS

Trading Partner will comply with all RHS filing requirements specified in the current version of the FmHA Form 1980-16, Agreement for Participation in Single Family Housing Guaranteed or Insured Loan Programs of the United States Government, and the RHS regulations.

4.0 TECHNICAL PROVISIONS

RHS will use the Guaranteed Rural Housing Lender Interactive Network Connection (GRH LINC) for receiving TS 264 and for transmitting the TS 997 and related business documents.

RHS will not use any third-party service provider for receiving or transmitting electronic files.

Trading Partner will transmit its TS 264 submission to the GRH LINC by the sixth business day following the end of the month. RHS will transmit a TS 997 within one business day following delivery of a TS 264.

Trading Partner will be responsible for verifying that RHS has received all the default records transmitted by comparing the TS 997 confirmation received from RHS with the default records transmitted through TS 264.

Representing: (Trading Partner)

Representing: Rural Housing Service

Typed Name and Title

Donna Chism
Chief, Guaranteed Loan Branch

Date: _____

Date: _____

Addendum D to the Basic Trading Partner Agreement

**MORTGAGE LOAN DEFAULT STATUS
WEB SUBMISSION**

1.0 PURPOSE

This addendum to the Trading Partner Agreement provides additional detail on the use of electronic data interchange (EDI) by Rural Housing Service (RHS) to approved mortgage lenders and servicers in lieu of providing paper Form RD 1980-81, Guaranteed Rural Housing Borrower Default Status.

2.0 IMPLEMENTATION

Trading Partner will electronically transmit a monthly default status report to RHS using the Guaranteed Rural Housing Lender Interactive Network Connection (GRH LINC) input screen in accordance with specifications provided in RHS's Lender User Guide, in lieu of a paper Form 1980-81, beginning on April 1, 2001, between the hours of 6 a.m. and 6 p.m. CST or CDT as applicable.

3.0 TERMS AND CONDITIONS

Trading Partner will comply with all RHS filing requirements specified in the current version of the FmHA Form 1980-16, Agreement for Participation in Single Family Housing Guaranteed or Insured Loan Programs of the United States Government, and the RHS regulations.

4.0 TECHNICAL PROVISIONS

RHS will use the GRH LINC for receiving default status report and related business documents.

RHS will not use any third-party service provider for receiving or transmitting electronic files.

Trading Partner will transmit its default status submission to the GRH LINC by the sixth business day following the end of the month. Trading Partner will have the option to print the submission listing or confirmation screen as its receipt.

Trading Partner will be responsible for verifying that RHS has received all the status reports transmitted by printing a copy of each confirmation screen after submission, comparing it to the transmission, and placing it in their records.

Representing: (Trading Partner)

Representing: Rural Housing Service

Typed Name and Title

Donna Chism
Chief, Guaranteed Loan Branch

Date: _____

Date: _____

Rural Housing Service

Electronic Data Interchange (EDI) Trading Partner Survey

Instructions

1. Answer the questions by circling the appropriate items on the survey sheet. Some questions can have more than one answer; these are noted on the survey.
2. If your organization does not currently have an EDI program, answer only questions 1-16, then skip to the last page of the survey.
3. All respondents, please complete the short answer questions on the last page of the survey.
4. Mail the completed survey by March 3, 2000, to the following address:

**Guaranteed Loan Branch
Rural Development
ATTN: FC-350
P.O. Box 200011
St. Louis, MO 63120-0011**

5. If you have questions, contact either Olive Carron (314) 539-3266 or Tonia Lohman (314) 539-3432.

Rural Housing Service

Electronic Data Interchange (EDI) Trading Partner Survey

Lender Tax Identification Number (TIN): (The TIN should be for the entity who executed Rural Development Form 1980-16, Agreement to Participate in the Guaranteed Rural Housing Loan Program.) _____

Name of Person Completing Survey: _____

Phone Number of Person Completing Survey: _____

Number of Rural Development Guaranteed Housing Loans Serviced: _____

PART I. Systems/Application Information

1. On what computer hardware platform does the software application which formats Rural Development-required loan level data submissions reside?
Select only one.
 - a. IBM PC-Compatible
 - b. Apple/Macintosh
 - c. Mini/Midrange
 - d. Mainframe
 - e. Use Service Bureau
 - f. Other

2. What operating system is used by the computer hardware housing the software application which formats Rural Development-required loan level data submissions?
Select only one.
 - a. Windows 95/98
 - b. Windows NT 3.x/4.0
 - c. DOS or Windows 3.1
 - d. OS/2
 - e. Apple/Macintosh
 - f. UNIX
 - g. MVS
 - h. Use Service Bureau
 - i. Other

3. What hardware configuration is used for formatting Rural Development-required loan level data submissions?
Select only one.
 - a. Stand-alone
 - b. Network
 - c. Client/Server
 - d. Mini/Mainframe
 - e. Use Service Bureau

4. What type of software application do you use to format Rural Development-required loan level data submissions?
Select only one.
 - a. Custom-Developed
 - b. Commercial-Off-the-Shelf
 - c. Use Service Bureau
 - d. Not Automated

5. How do you currently submit loan level data to Rural Development?
Select only one.
 - a. Electronic Transmission
 - b. Hardcopy form

APPENDIX B – EDI FORMS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

6. When you exchange electronic transactions or email with entities outside your company, how do you communicate?
Select all that apply.
- | | | | |
|----|--|----|------------------------|
| a. | Does Not Apply | e. | Internet |
| b. | Direct Connection | f. | Bulletin Board Service |
| c. | Value Added Network | g. | Other |
| d. | Online Service (e.g. America Online, Inc.) | | |
7. If you communicate electronically using a method other than fax, what communication protocol do you use?
Select all that apply.
- | | | | |
|----|----------------------|----|------------|
| a. | Only Use Fax | e. | SNA 3770 |
| b. | X.25 | f. | ASYNCR MNP |
| c. | X.400 | g. | TCP/IP |
| d. | BISYNCR 2780 or 3780 | h. | Other |

PART II. EDI Information

8. Is your organization currently using EDI technology?
Select only one.
- | | | | |
|----|------------------------------------|----|-----------------------------------|
| a. | Yes | c. | No, but interested in EDI |
| b. | No, but currently planning for EDI | d. | No, don't know anything about EDI |
9. In your opinion, to what extent would implementation of an EDI Program affect your existing loan reporting (e.g., in terms of cost, resources, systems, or organizational structure)?
Select only one.
- | | | | |
|----|----------------------|----|--------------------------|
| a. | Not at all | d. | To a fairly large extent |
| b. | To a little extent | e. | To a very great extent |
| c. | To a moderate extent | | |
10. If preparing your processing systems to support EDI technology will require you to make changes to system or business processes, how would you prefer to make those changes?
Select only one.
- | | |
|----|--|
| a. | A few changes at a time, announced as the need for changes arise |
| b. | A few changes at a time over a scheduled period, announced in advance |
| c. | Know about all potential changes in advance and work them into normal maintenance schedule |
| d. | Know about all potential changes in advance, and perform them all at once |
| e. | No preferences |
11. Do you currently have microcomputers with access to the Public Internet?
- | | | | |
|----|-----|----|----|
| a. | Yes | b. | No |
|----|-----|----|----|
12. If yes, please describe:
- | | |
|----|---------------------------------------|
| a. | IBM PC-Compatible – Pentium II or III |
| b. | IBM PC-Compatible – Pentium |
| c. | IBM PC-Compatible – 386 or 486 |
| d. | Apple/Macintosh |
| e. | Other |
13. How much memory is in these computers?
- | | | | |
|----|-----------------|----|-----------------|
| a. | 0-16 Megabytes | c. | 33-64 Megabytes |
| b. | 17-32 Megabytes | d. | 65+ Megabytes |

APPENDIX B – EDI FORMS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

14. Which operating systems are used?
- | | |
|-----------------------|--------------------|
| a. Windows 95/9 | e. Apple/Macintosh |
| b. Windows NT 3.x/4.0 | f. UNIX |
| c. DOS or Windows 3.1 | g. Other |
| d. OS/2 | |
15. For access to the Public Internet, which browsers do you use?
- | | |
|------------------------------------|---------------------------|
| a. Microsoft Internet Explorer 3.x | d. Netscape Navigator 3.x |
| b. Microsoft Internet Explorer 4.x | e. Netscape Navigator 4.x |
| c. Microsoft Internet Explorer 5.x | f. Other |
16. Through what kind of line do you access the Public Internet?
- | | |
|------------------------|--------------|
| a. 28.8 Modem or Less | e. ISDN Line |
| b. 33.6 Modem | f. T1 Line |
| c. 56K Modem | g. Other |
| d. 56KB Dedicated Line | |

Skip to Section III on the last page if you do not have an EDI program.

17. What computer hardware platform houses your EDI translation software?
Select only one.
- | | |
|----------------------|-----------------------|
| a. IBM PC Compatible | d. Mainframe |
| b. Apple/Macintosh | e. Use Service Bureau |
| c. Mini/Midrange | f. Other |
18. What operating system is used by the computer hardware which houses your EDI translation software?
Select only one.
- | | |
|-----------------------|-----------------------|
| a. Windows 95/98 | f. UNIX |
| b. Windows NT 3.x/4.0 | g. MVS |
| c. DOS or Windows 3.1 | h. Use Service Bureau |
| d. OS/2 | i. Other |
| e. Apple/Macintosh | |
19. What hardware configuration is used to support your EDI translation software:
Select only one.
- | | |
|------------------|-----------------------|
| a. Stand-alone | d. Mini/Mainframe |
| b. Network | e. Use Service Bureau |
| c. Client/Server | |
20. How do you perform translation?
Select only one.
- | |
|--|
| a. Perform In-house with Internally Developed Translation Software |
| b. Perform In-house with Commercial-Off-the Shelf Software |
| c. Use Value-Added-Network (VAN) |
| d. Use Service Bureau |

APPENDIX B – EDI FORMS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

21. If you perform translation using a commercial-off-the-shelf (COTS) package, which one?
Select only one
- | | | | |
|----|----------------------------|----|-------------------|
| a. | Do not use COTS Package | f. | Sterling |
| b. | Perwill | g. | TSI International |
| c. | St. Paul | h. | Harbinger |
| d. | Data Management Strategies | i. | Other |
| e. | Premenos | | |
22. What communications method do you use for your EDI program?
Select all that apply.
- | | | | |
|----|---------------------|----|--------------------|
| a. | Value Added Network | d. | Public Internet |
| b. | Direct Connection | e. | Use Service Bureau |
| c. | Private Network | | |
23. If you are linked to a VAN, which one?
Select all that apply.
- | | | | |
|----|---------------------|----|----------|
| a. | Not Linked to a VAN | e. | Advantis |
| b. | Sterling | f. | Sprint |
| c. | Harbinger | g. | GEIS |
| d. | MCI | h. | Other |
24. If you are linked to a VAN, how often do you transmit to your mailbox?
Select only one.
- | | | | |
|----|----------------------|----|-----------------------|
| a. | Not Linked to a VAN | d. | Twice a Day |
| b. | Less Than Once a Day | e. | More Than Twice a Day |
| c. | Once a Day | | |
25. If you are linked to a VAN, how often do you pick up from your mailbox?
Select only one.
- | | | | |
|----|----------------------|----|-----------------------|
| a. | Not Linked to a VAN | d. | Twice a Day |
| b. | Less Than Once a Day | e. | More Than Twice a Day |
| c. | Once a Day | | |
26. Who are your EDI Trading Partners?
Select all that apply.
- | | | | |
|----|-------------|----|-----------------|
| a. | Fannie Mae | e. | Service Bureaus |
| b. | Freddie Mac | f. | Suppliers |
| c. | Ginnie Mae | g. | Other |
| d. | Banks | h. | None – planning |
27. Who are your proposed EDI Trading Partners?
Select all that apply.
- | | | | |
|----|-------------|----|-----------------|
| a. | Fannie Mae | e. | Service Bureaus |
| b. | Freddie Mac | f. | Suppliers |
| c. | Ginnie Mae | g. | Other |
| d. | Banks | h. | None – planning |
28. What type of electronic standard do you use?
Select all that apply.
- | | | | |
|----|--------------|----|-------------|
| a. | ANSI ASC X12 | d. | Proprietary |
| b. | EDIFACT | e. | Other |
| c. | NACHA | | |

APPENDIX B – EDI FORMS
RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

29. If you use ASC X12 Standards, what version are you using?
Select all that apply.
- | | | | |
|----|-----------------------------|----|--------|
| a. | Not Using ASC X12 Standards | d. | 004010 |
| b. | 003070 or Earlier | e. | 004020 |
| c. | 003071 | | |
30. Are you using Mortgage Secondary Marketing Transaction Set 203-Secondary Mortgage Market Investor Report (in test or production mode)?
Select only one.
- a. Yes
b. No
31. Which Mortgage Servicing Transaction Sets do you use (in test or production mode)?
- | | | | |
|----|----------------------------------|----|---|
| a. | None | c. | 266-Mortgage Record Change |
| b. | 264-Mortgage Loan Default Status | d. | 260-Application for Mortgage Insurance Benefits |

PART III. Additional Questions

32. What is the name of your service bureau? _____
33. What is the name and phone number of your service bureau contact for loan level processing?
Name: _____ Phone: _____
34. What is the name, phone number, and e-mail address of the person in your organization to whom Rural Development should send information about its EDI program?
Name: _____ Phone: _____
Title: _____ Email: _____
35. What is the name and phone number of your EDI Coordinator (if applicable)?
Name: _____ Phone: _____

APPENDIX C - RHS COMMUNICATIONS ENVELOPE SPECIFICATIONS

The data mapping guides for the interchange control segments and the functional group segments are presented on the following pages. They are used in every communications session. As stated in Part 5, Introducing X12 Transaction Sets, the interchange control segment provides information on you and your trading partners. The functional group segments provide information about each functional group.

ICS Interchange Control Structures

Introduction

The purpose of this standard is to define the control structures for the electronic interchange of one or more encoded business transactions including the EDI encoded transactions of Accredited Standards Committee X12. This standard provides the interchange envelope of a header and trailer for the electronic interchange through a data transmission, and it provides a structure to acknowledge the receipt and processing of this envelope.

	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
Must Use	010	ISA	Interchange Control Header	M	1		
Must Use	020	GS	Functional Group Header	M	1		
Must Use	030	GE	Functional Group Trailer	M	1		
Must Use	040	IEA	Interchange Control Trailer	M	1		

Segment: **ISA Interchange Control Header**
Position: 010
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To start and identify an interchange of zero or more functional groups and interchange-related control segments.

Syntax Notes:
Semantic Notes:
Comments:
Notes:

The Rural Housing Service Single Family Housing ID is RHSSFH. Use this number as the Sender ID for inbound documents and as the Receiver ID for outbound documents. The following delimiters should be used for all Rural Housing Service transaction sets:
Segment ~
Element *
Sub-element >

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ISA01	I01	Authorization Information Qualifier Code to identify the type of information in the Authorization Information. Must be 00. 00 No Authorization Information Present (No Meaningful Information in I02).	M ID 2/2
Must Use	ISA02	I02	Authorization Information Information used for additional identification or authorization of the interchange sender or the data in the interchange; the Authorization Information Qualifier sets the type of information. Must be 10 spaces.	M AN 10/10
Must Use	ISA03	I03	Security Information Qualifier Must be 00. 00 No Security Information Present (No Meaningful Information in I04).	M ID 2/2
Must Use	ISA04	I04	Security Information This is used for identifying the security information about the interchange sender or the data in the interchange; the Security Information Qualifier sets the type of information. Must be 10 spaces.	M AN 10/10
Must Use	ISA05	I05	Interchange ID Qualifier Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. Must be ZZ for mortgagee. ZZ Mutually Defined	M ID 2/2
Must Use	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. For Outbound TS to RHS: This is the sender's Trading Partner ID with Rural Housing Service. For self-reporters, the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc.	M AN 15/15

APPENDIX C – RHS COMMUNICATIONS ENVELOPE SPECIFICATIONS
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Must Use	ISA07	I05	<p>For Inbound TS from RHS: Should be "RHSSFH" for Rural Housing Service Single Family Housing.</p> <p>Interchange ID Qualifier M ID 2/2</p> <p>Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified.</p> <p>For Outbound TS to RHS: Should be ZZ for mortgagee or Service Bureau.</p> <p>For Inbound TS from RHS: Should be ZZ for Rural Housing Service Single Family Housing.</p> <p>ZZ Mutually Defined</p>
Must Use	ISA08	I07	<p>Interchange Receiver ID M AN 15/15</p> <p>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.</p> <p>This is the receiver's ID.</p> <p>For Outbound TS to RHS: Use "RHSSFH" to indicate Rural Housing Service Single Family Housing.</p> <p>For Inbound TS from RHS: This is the Trading Partner ID with Rural Housing Service. For self-reporters, it is the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, it is the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc.</p>
Must Use	ISA09	I08	<p>Interchange Date M DT 6/6</p> <p>Date of the interchange.</p> <p>Must be in YYMMDD format.</p>
Must Use	ISA10	I09	<p>Interchange Time M TM 4/4</p> <p>Time of the interchange</p> <p>Use format HHMM.</p>
Must Use	ISA11	I10	<p>Interchange Control Standards Identifier M ID 1/1</p> <p>Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer.</p> <p>Must be U.</p> <p>U U.S. EDI Community of ASC X12, TDCC, and UCS</p>
Must Use	ISA12	I11	<p>Interchange Control Version Number M ID 5/5</p> <p>This version number covers the interchange control segments.</p> <p>00401 Draft Standards for Trial Use Approved for Publication by ASC X12 Procedures Review Board through December 1996.</p>
Must Use	ISA13	I12	<p>Interchange Control Number M N0 9/9.</p> <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>This data interchange control number must be identical to the same element in the associated Interchange Control Trailer IEA02.</p>
Must Use	ISA14	I13	<p>Acknowledgment Requested M ID 1/1</p> <p>Code sent by the sender to request an interchange acknowledgment (TA1). (Only used when using VAN.)</p> <p>Must be 0.</p> <p>0 No Acknowledgment Requested</p>

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RURAL HOUSING SERVICE EDI IMPLEMENTATION GUIDE

Must Use	ISA15	I14	<p>Test Indicator</p> <p>Code to indicate whether data enclosed by this interchange envelope is test or production.</p> <p>Enter P when status has changed to production.</p> <p>Enter T for test period only.</p> <p>P Production Data</p> <p>T Test Data</p>	M ID 1/1
Must Use	ISA16	I15	<p>Subelement Separator</p> <p>This is a field reserved for future expansion in separating data element subgroups. (In the interest of a migration to international standards, this must be different from the data element separator).</p> <p>Must use >.</p>	M AN 1/1

Segment: **GS Functional Group Header**
Position: 020
Loop:
Level:
Usage: Optional
Max Use: 1
Purpose: To indicate the beginning of a functional group and to provide control information.
Syntax Notes:
Semantic Notes:

- 1 GS04 is the group date.
- 2 GS05 is the group time.
- 3 The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02.

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.

Notes:

NOTE: This functional group header is used differently by servicing mortgagees and service bureaus.

For Servicing Mortgagee: Each transaction set type (203 and 264) is a separate functional group; the sender's code (GS02) is always the mortgagee's ID# for outbound documents.

For Service Bureau: Each transaction set (203 and 264) for a specific mortgagee is a separate functional group; the sender's code (GS02) is always the mortgagee's ID number for outbound documents. For example, all 203's transmitted by a service bureau for Sunnyside Mortgage Co. would be one functional group and all 264's for Sunnyside Mortgage would be another. In each outbound document, data element GS02 would be Sunnyside's mortgagee ID.

The Rural Housing Service Single Family Housing ID is "RHSSFH." Use this number as the Sender ID for inbound documents and as the Receiver ID for outbound documents.

Data Element Summary

Must Use	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
	GS01	479	Functional Identifier Code Code identifying a group of application related transaction sets. FA Functional Acknowledgment (997) MG Mortgage Loan Default Status (264) MH Secondary Mortgage Market Investor Report (203)	M ID 2/2
	GS02	142	Application Sender's Code Code identifying party sending transmission; codes agreed to by trading partners. For Outbound TS to RHS: This is the sender's Trading Partner ID with Rural Housing Service. For self-reporters, the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc. For Inbound TS from RHS: Should be "RHSSFH" for Rural Housing Service Single Family Housing.	M AN 2/15

APPENDIX C – RHS COMMUNICATIONS ENVELOPE SPECIFICATIONS
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Must Use	GS03	124	Application Receiver's Code Code identifying party receiving transmission. Codes agreed to by trading partners. This is the receiver's ID. For Outbound TS to RHS: Use "RHSSFH" to indicate Rural Housing Service Single Family Housing. For Inbound TS from RHS: This is the Trading Partner ID with Rural Housing Service. For self-reporters, the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc.	M AN 2/15
Must Use	GS04	373	Date Date (CCYYMMDD).	M DT 8/8
Must Use	GS05	337	Time Time expressed in 24-hour clock time as follows: HHMM, where H = hours (00-23), M = minutes (00-59). Use the format HHMM.	M TM 4/8
Must Use	GS06	28	Group Control Number Assigned number originated and maintained by the sender. This data Group Control Number must be identical to the same element in the associated Functional Group Trailer GE02.	M NO 1/9
Must Use	GS07	455	Responsible Agency Code Code used in conjunction with Data Element 480 to identify the issuer of the standard. Must be X.	M ID 1/2
Must Use	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. 004010SFH Draft Standards Approved for Publication by ASCX12 Procedures Review Board through December 1996.	M AN 1/12

Segment:	GE Functional Group Trailer
Position:	030
Loop:	
Level:	
Usage:	Optional
Max Use:	1
Purpose:	To indicate the end of a functional group and to provide control information.
Syntax Notes:	
Semantic Notes:	02 The data interchange control number GE02 in this trailer must be identical to the same data element in the associated Functional Header GS06.
Comments:	00 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

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	GE01	97	Number of Transaction Sets Included	M 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.	
Must Use	GE02	28	Group Control Number	M N0 1/9
			Assigned number originated and maintained by the sender. This Data Group Control Number must be identical to the same element in the associated Functional Group Header (GS06).	

Segment: **IEA Interchange Control Trailer**
Position: 040
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To define the end of an interchange of zero or more functional groups and interchange-related control segments.

Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	IEA01	I16	Number of Included Functional Groups	M N0 1/5 A count of the number of functional groups included in a transmission.
Must Use	IEA02	I12	Interchange Control Number	M N0 9/9 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.
This Data Interchange Control Number must be identical to the same element in the associated Interchange Control Header ISA13.				

TRANSACTION SET 997 FUNCTIONAL ACKNOWLEDGMENT

Each transaction set in Part 6, RHS EDI Business Documents, of this guide has an associated adjunct transaction set attached to it for easier handling. Transaction Set (TS) 997, Functional Acknowledgement, is used in conjunction with multiple transactions.

The receiver of an EDI transmission sends a TS 997 to the sender to acknowledge that the contents of the transmission has been received. The TS 997 reports syntax correctness or errors that are based on the ANSI ASC X12 syntax rules as documented in the TS 997 standard.

The TS 997 is required for each functional group transmitted. The TS 997 can provide increasing levels of detail (e.g., functional group, transaction set, data segment, or data element). The trading partners mutually determine the level of detail.

The TS 997 provides an indication that all transactions transmitted were received. If transaction set construction errors exist, the TS 997 identifies the segment and reject elements.

Errors include:

- Incorrect data type;
- Missing required information;
- Unrecognized ID code;
- Unrecognized segment identifier;
- Incorrect segment codes;
- Incorrect control codes; and
- Incorrect numbers.

The TS 997 is a Draft Standard for Trial Use. It should be a standard inclusion in any translation software package.

The examples on the following pages illustrate how to read a TS 997. For a more detailed or specific explanation, you should contact the RHS EDI Lender Outreach Team at (877) 636-3789. You may also email your questions to guaranteed.loan@stl.rural.usda.gov.

TRANSACTION SET 997 OUTLINE

Functional Group ID=FA

Introduction

This Draft Standard for Trial Use contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an 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.

	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments	1
Must Use	010	ST	Transaction Set Header	M	1		n1	
Must Use	020	AK1	Functional Group Response Header	M	1		n2	
			LOOP ID – AK2			999999		
Must Use	030	AK2	Transaction Set Response Header	O	1		n3	
			LOOP ID – AK3			999999		
	040	AK3	Data Segment Note	O	1		c1	
	050	AK4	Data Element Note	O	99			
Must Use	060	AK5	Transaction Set Response Trailer	M	1			
Must Use	070	AK9	Functional Group Response Trailer	M	1			
Must Use	080	SE	Transaction Set Trailer	M	1			

Transaction Set Notes

- 1/010 These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments.
- 1/010 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.
- 1/010 There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- 1/020 AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- 1/030 AK2 is used to start the acknowledgement 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.

Transaction Set Comment

- 1/040 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 for 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).

TRANSACTION SET 997 DATA MAPPING GUIDE

The following data mapping guide for TS 997 is based on version 004010, as defined by X12 standards. The data mapping guide presents essential information for each of the segments and the constituent data elements.

Segment: **ST Transaction Set Header**
Position: 010
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number.
Syntax Notes:
Semantic Notes: 01 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).
Comments:

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	ST01	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 997 X12.20 Functional Acknowledgment	M/Z ID 3/3
Must Use	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. This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element SE02.329.	M AN 4/9

Segment: **AK1 Functional Group Response Header**
Position: 020
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To start acknowledgment of a functional group.
Syntax Notes:
Semantic Notes: 01 AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged.
 02 AK102 is the functional group control number found in the GS segment in the functional group being acknowledged.

Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	AK101	479	Functional Identifier Code	M/Z ID 2/2
			Code identifying a group of application related transaction sets.	
			MG Mortgage Loan Default Status (264)	
			MH Secondary Mortgage Market Investor Report (203)	
Must Use	AD102	28	Group Control Number	M/Z NO 1/9
			Assigned number originated and maintained by the sender.	
			Our translation software assigns this control number. This number is taken from the GS segment of the 264 being acknowledged.	

Segment: **AK2 Transaction Set Response Header**
Position: 030
Loop: AK2
Level:
Usage: Optional
Max Use: 1
Purpose: To start acknowledgment of a single transaction set.
Syntax Notes:
Semantic Notes: 01 AK201 is the transaction set ID found in the ST segment (ST01) in the Transaction set being acknowledged.
 02 AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.

Comments:

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	AK201	143	Transaction Set Identifier Code Code uniquely identifying a Transaction Set. 203 X12.340 Secondary Mortgage Market Investor Report 264 X12.285 Mortgage Loan Default Status	M/Z ID 3/3
Must Use	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. Our translation software assigns this control number. This number is taken from the ST segment of the 203 or 264 being acknowledged.	M/Z AN 4/9

Segment: **AK3 Data Segment Note**
Position: 040
Loop: AK3
Level:
Usage: Optional
Max Use: 1
Purpose: To report errors in a data segment and identify the location of the data segment.
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
Must Use	AK301	721	Segment ID Code Code defining the segment ID of the data segment in error (See Appendix A –Number 77). This is the segment ID (e.g., BGN) of the segment that is in error.	M ID 2/3
Must Use	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 N0 1/6
	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 AN 1/6
	AK304	720	Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment. Refer to 004010 Data Element Dictionary for acceptable code values.	O ID 1/3

Segment: **AK4 Data Element Note**
Position: 050
Loop: AK3
Level:
Usage: Optional
Max Use: 99
Purpose: To report errors in a data element and identify the location of the data element.
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	AK401	C030	Position in Segment Code indicating the relative position of a simple data element, or the relative position of a composite data structure combined with the relative position of the component data element within the composite data structure, in error; the count starts with 1 for the simple data element or composite data structure immediately following the segment ID. This is the segment ID (e.g., BGN) of the segment that is in error.	M
Not Used	C03001	722	Element Position in Segment 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.	O NO 1/2
Not Used	C03002	1528	Component Data Element Position in Composite To identify the component data element position within the composite that is in error.	O NO 1/2
Must Use	AK402	725	Data Element Reference Number Reference number used to locate the data element in the Data Element Dictionary.	O NO 1/4
Must Use	AK403	723	Data Element Syntax Error Code Code indicating the error found after syntax edits of a data element. Acceptable code values are: 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.	M ID 1/3
Must Use	AK404	724	Copy of Bad Data Element This is a copy of the data element in error.	O AN 1/99

Segment: **AK5 Transaction Set Response Trailer**
Position: 060
Loop: AK2
Level:
Usage: Mandatory
Max Use: 1
Purpose: To acknowledge acceptance or rejection and report errors in a transaction set.
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

Must Use	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
	AK501	717	Transaction Set Acknowledgment Code Code indicating accept or reject condition based on the syntax editing of the transaction set. A Accepted E Accepted But Errors Were Noted R Rejected	M ID 1/1
	AK502	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. 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 23 Transaction Set Control Number Not Unique within the Functional Group	O ID 1/3
	AK503	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. 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 23 Transaction Set Control Number Not Unique within the Functional Group	O ID 1/3

AK504	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transaction set.		
		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		
		23 Transaction Set Control Number Not Unique within the Functional Group		
AK505	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transaction set.		
		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		
		23 Transaction Set Control Number Not Unique within the Functional Group		
AK506	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transaction set.		
		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		
		23 Transaction Set Control Number Not Unique within the Functional Group		

Segment: **AK9 Functional Group Response Trailer**
Position: 070
Loop:
Level:
Usage: 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.

Syntax Notes:

Semantic Notes:

Comments: 01 If AK901 contains the value "A" or "E," then the transmitted functional group is accepted. If AK901 contains the value "R," then the transmitted group is rejected.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	AK901	715	Functional Group Acknowledge Code Code indicating accept or reject condition based on the syntax editing of the functional group. A Accepted E Accepted But Errors Were Noted P Partially Accepted, At Least One Transaction Set Was Rejected R Rejected	M ID 1/1
Must Use	AK902	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 NO 1/6
Must Use	AK903	123	Number of Received Transaction Sets Number of Transaction Sets received.	M NO 1/6
Must Use	AK904	2	Number of Accepted Transaction Sets Number of accepted Transaction Sets in a Functional Group.	M NO 1/6
	AK905	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer. 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	O ID 1/3

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AK906	716	Functional Group Syntax Error Code	O	ID 1/3
Code indicating error found based on the syntax editing of the functional group header and/or trailer.				
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				
AK907	716	Functional Group Syntax Error Code	O	ID 1/3
Code indicating error found based on the syntax editing of the functional group header and/or trailer.				
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				
AK908	716	Functional Group Syntax Error Code	O	ID 1/3
Code indicating error found based on the syntax editing of the functional group header and/or trailer.				
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				
AK909	716	Functional Group Syntax Error Code	O	ID 1/3
Code indicating error found based on the syntax editing of the functional group header and/or trailer.				
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				

Segment: **SE Transaction Set Trailer**
Position: 080
Loop:
Level:
Usage: 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).
Syntax Notes:
Semantic Notes:
Comments: 00 SE is the last segment of each transaction set.

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Must Use	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments.	M NO 1/10
Must Use	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. NOTE: Our translation software assigns a unique control number to the 997 transaction. This element must match data element ST02.329.	M AN 4/9

GLOSSARY

There are many terms that are unique to EDI and many terms, familiar in other fields, that have a new meaning within the EDI context. EDI jargon borrows heavily from other computer and communications-based disciplines. For your convenience, we have listed some of these terms below.

alpha character set — A character set that contains letters and may contain control and special characters *but* no numeric characters.

alphanumeric character set — A character set composed of letters and numeric characters and may contain control characters and special characters.

ANSI — American National Standards Institute: the organization set up to define, maintain, and coordinate standards in the United States. Data processing standards are supervised by committees which are named X followed by a number as an identifier; e.g., ASC X9 is the banking data encryption committee.

application program — A computer program written to process a particular function within a business; e.g., mortgage processing.

ASC X12 — Accredited Standards Committee X12, part of the ANSI organization.

ASCII — American Standard Code for Information Interchange. A standard binary notation for numbers, letters, and control characters. ASCII is the basic communication method of computing.

asynchronous — Transmission which is not related to a particular frequency; i.e., bits-per-second. A method of data transmission where each character sent is framed by a start-stop signal. Characteristically used in slow-speed devices like teleprinters and microcomputers (PCs).

baud — A rate of transmission over a channel or circuit. The number of pulses that can be transmitted in a second is the baud rate. Thus, baud translates as *pulses per second* or *bits per second*. However, not every pulse measured represents data.

bisynchronous — A communication protocol that moves information in blocks of characters. It is used for high-speed continuous transmission. Clock pulses that regulate the rate and timing of data flow control sending and receiving devices. Bisync is a character-oriented means of transmission.

CCITT — Consultative Committee on International Telegraph and Telephone. A committee within the International Telecommunications Union (ITU) that concerns itself with the conventions which enable incompatible networks and computer systems to exchange data. CCITT operates within the broader standard issues established by the International Standards Organization (ISO).

character — A standard representation of a symbol, letter, number, or special character. Represented in a computer as a *byte*.

character set — A finite set of characters that is considered complete for a given purpose.

codifying — The process of detailing a new standard.

communication session — Some amount of time established and agreed upon by communicating computers, during which data is exchanged or interconnection takes place. The more complex the network, the more sophisticated this task becomes.

communications protocol — Establishes the parameters of communications between two computers. Includes baud rate, type of transmission, and parity setting.

compliance checking — In processing messages or transaction sets within an EDI system, an essential part of the software logic is to ensure that all transmissions contain the minimum mandatory information demanded by the EDI standard being used. Compliance checking does not necessarily mean that the document is complete or fully accurate but it does ensure rejection and identification of missing data elements or syntax errors. Hence, compliance checking is the comparison of information sent by an EDI user against EDI standards, and the reporting back of anomalies.

conditional — In EDI standards, it indicates that the presence of a data segment/element is at the discretion of the sending party; i.e., used as required or based on mutual agreement, or is dependent on the value and/or presence of another data element in the transmission.

configuration — The specific arrangement of processor, storage devices, communication devices, and features within a computer system. It also includes the operating system type.

confirmation — A formal notice from a mailbox system or EDI server that a transmission sent to a servicing lender's mailbox has successfully reached its intended mailbox or has been retrieved by the addressee.

connectivity — The ability of a particular computer or network architecture to be connected to and integrated with incompatible systems. For example, OSI and X.400 standards address connectivity.

data — A representation of facts, concepts, or instructions in a formalized manner suitable for communication, interpretation, or processing by human beings or by automatic means.

data dictionary — A table of terms within a specific application which needs to have a precise meaning for all users of the system.

data element — The smallest unit in an EDI transmission that can convey data. A unit of data for which the identification, description, and value representation have been specified. A data element is analogous to a **field** in non-EDI terms.

data element attribute — A defined characteristic of a data element.

data element separator (delimiter) — A character used to indicate that a new element of data has started. The most common separator is the *.

data element directory — A document that describes the attributes of all data elements within an EDI standard. The directory also includes a listing of identified, named, and described data element attributes, with specifications as to how the corresponding data element values shall be represented. It defines the data type, minimum and maximum length of the data, and, if appropriate, a list of acceptable values.

data element number — A unique reference number used to identify an element and make a cross-reference between elements.

data entry — The task of keying in data to a computer system from a source document.

data integrity — Condition of data in a whole, original, and uncorrupted form.

data mapping — A method by which information in one format is restructured to a different format.

data segment — A predefined and identified set of functionally related data elements that are identified by their sequential positions within the set. A segment starts with a segment tag and ends with a segment terminator. In non-EDI terms, a data segment is analogous to a **record**.

data segment directory — A document that provides the definitions and formats of the data segments used to create a transaction set.

data segment identifier — A unique code consisting of one or more alphanumeric characters appearing as the first data element of each data segment. The code indicates the purpose of each segment.

data segment requirement designator — A character that indicates the mandatory/conditional status of a data segment.

data segment terminator — A special character inserted in a data segment immediately following the last data element of the segment. The N/L is the data segment terminator.

direct link — Communication between two servicing lenders where the message is transmitted, usually through a modem, directly from one computer to the other computer.

DISA — Data Interchange Standards Association. The secretariat for the ANSI ASC X12 committee.

download — Transfer of information from a mainframe computer to a microcomputer.

EaDIplus — Easy access Data Interchange plus (EaDIplus). The Unisys EDI product that collects outgoing transactions from an application, performs data mapping, and delivers the files to another application. It is a mapping software application.

EBCDIC — Extended binary-coded-decimal interchange code. Used for computer storage and processing. An 8-bit code.

EDI — Electronic Data Interchange; the computer to computer exchange of standard business documentation in machine processable form.

EDIFACT — Electronic Document Interchange for Administration, Commerce, and Transportation; the ISO standards that will determine a unified international EDI standard.

EFT — Electronic funds transfer; the generic term for sending payment instructions over a computer network.

electronic envelope — A pair of data segments that designate a transaction set, a functional group, or an interchange.

electronic mailbox — A designated holding location for electronic messages. Either the mailbox can be on the user's computer or, as is more common, on a third party network (VAN).

flat file — A data file in prescribed fixed-field format; e.g., ASCII or EBCDIC.

front end processor — The use of a microcomputer or minicomputer as a way to communicate with a mainframe computer. In EDI, a front-end processor would normally perform mapping, translation, and communication functions.

functional acknowledgment — An automatic response by the EDI server that a message, or batch of messages, has been received along with an indication of syntax errors.

functional group — A group of like transaction sets. Represents the transmission of a group of similar documents.

gateway — A point of interconnection: the open door between one electronic network and another. A gateway is the connection between two third party networks that allows messages from one to be communicated to the other.

header — Data at the front of an EDI message, inserted for initial recognition. The header contains a control number that must match the control number in the corresponding trailer.

hub — The pivotal center of a trading network.

IEA — Interchange control trailer; defines the end of an interchange of one or more functional groups and interchange-related control segments.

implementation — The activities involved in converting an idea into a working computer system. This includes everything from consultancy to hardware installation, integration, and operation.

incompatible — Applied to systems that cannot communicate with each other because of dissimilar documents, files with different formats, or differing communication protocols.

integration — The process of adapting systems and standards in order to overcome incompatibilities.

interchange — An electronic exchange between two business partners. The interchange is indicated by an interchange control header and an interchange control trailer. It is comparable to an outer envelope in paper transmissions.

interchange envelope — An envelope that contains the interchange header and trailer segments, control number, and number of functional groups in the interchange. One interchange envelope is required for each transmission.

interface — A shared boundary; a recognized and definable crossover point between two systems.

interpret — The reverse of translate; to use translation software to exactly match a system to the input requirements of a receiving computer system within an EDI community.

ISA — Interchange control header; identifies the beginning of an interchange of one or more functional groups and interchange-related control segments.

ISO — International Standards Organization; an organization with the UN to which all national and other standards-setting bodies defer. Encompasses the Open System Interconnect (OSI) seven-layer model that enables all networks and computers to communicate freely.

loop — A group of segments that are collectively repeated in a serial fashion up to a specified maximum number of times.

machine processable format — Data in designated fields so that the data can be automatically processed by a computer without interpretation or re-keying.

mailbox — a repository for messages in an electronic mail system or EDI server. Only authorized transmissions are allowed on a mailbox. The EDI server authenticates each transmission before depositing it in the appropriate "pigeonhole" of a mailbox.

mandatory — A statement that a data segment, data element, or component element must be used. Used in all translation processes.

mapping — Is the process of taking data from a company-specific format and fitting it to the EDI standard format (transaction set).

mapping software — Software that is designed to perform the mapping process. (See mapping definition.)

modem — A device that encodes information into an electronically transmittable form (Modulator) and restores it to the original analog form (DEModulator).

nested segment — A segment that directly relates to another segment in an identified and structured group of segments covering the requirements for a specific transmission.

NIST — U.S. National Institute of Standards and Technology.

node — An access point in a network.

optional data element/segment — Contains information that is not required by the standard but that could be included in the transaction at the discretion of the sender and receiver.

OSI — Open Systems Interconnection. (see ISO)

pass-through — Access of data to a network by traveling across another network via gateways.

protocol — The set of rules that define the way in which information can flow within a computer or communication system. A protocol comprises: syntax — commands and responses; semantics — the structured set of requests and actions permissible by each user; and timing — types of events and sequences.

reference designator — A unique alphanumeric indicator that specifies the position of a data element within a data segment.

security — A generic term used to describe the methods adopted to protect data from loss, corruption, and unauthorized access and retrieval. Methods used include passwords, ID numbers, authorization, verification of message/document type/mailbox address, and verification of line ID.

segment directory — A listing of identified, named, described, and specified segments in a transaction set.

SNA — Systems Network Architecture; an IBM proprietary communication protocol.

standards — The rules that are established to enable incompatible computers and communication systems to exchange information and to enable document types to be exchanged.

synchronous — A clock-controlled method of data transmission for use in high-speed circuits or networks.

table-driven program — A program in which the factors, variables, and data to be used are looked up from a table or matrix, or held on a file or in memory.

TDCC — Transportation Data Coordinating Committee; an early 1960s standards-setting committee.

telecommunication — The use of a network for the transmission of voice, data, or image.

third party network — A service provider that serves as a clearinghouse for EDI messages. Will normally provide both mailbox and value added services such as translation of data from one format to another. Also known as a VAN.

trading partner — Any company or organization with whom another company (or organization) is doing business. EDI links trading partners electronically.

trailer — A segment that ends every envelope and provides a count of segments, transaction sets, or functional groups. The trailer contains a control number that must match the number contained in the header.

transaction set — In EDI standards, the name given to a complete trading document sent electronically. A transaction set is an EDI document.

translation software — Software used to take data from a vendor-specific flat file and into an EDI standard format.

upload — Transfer of data from a microcomputer to a mainframe.

validation — The process of checking whether a document is the correct type for a particular EDI system and whether it comes from and is going to an authorized user.

value added network (VAN) — A third party network performing services beyond the transmission of data. For example, VANs provide translation, training, and encryption services.

X.400 — An international standard for electronic messages in free format.

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