



HIPAA Transaction  
Communications Companion Guide

**Refers to the Implementation Guides  
Based on X12 version 004010 Addendum  
Companion Guide Version Number: 2.0  
August 12, 2005**

## Disclaimer Statement

The Health Insurance Portability and Accountability Act (HIPAA), sections 160 and 162, requires that health care providers, health plans, and health care clearing houses comply with the EDI standards for health care. The HIPAA implementation specifications for ASC X12N standards may be obtained through the Washington Publishing Company on the Internet at <http://www.wpc-edi.com>. The complete Implementation Guide is a combination of both the version 4010 and the 4010 addenda as adopted for use under the HIPAA regulation. The combined version is referred in this document as the X12N 4010A1.

**The purpose of this companion guide is solely to supplement the HIPAA ASC X12N standards, to provide clarification to the ASC X12N standards, and should not be interpreted as a contract, amendment to a contract or an addendum to a contract. In any instance where this companion guide differs from the HIPAA ASC X12N Implementation Guides, the HIPAA ASC X12N standards shall govern.**

**Substantial effort has been taken to minimize errors; however, APEX Benefits Services, its agents, employees, directors and shareholders shall not be liable or responsible for any errors, omissions or expenses resulting from the use of the information in this document.**

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# 1 Introduction

## 1.1 Overview

This Companion Guide identifies unique information processing or adjudication needs specific to APEX Benefits Services in its implementation of the ANSI transactions defined under the Health Insurance Portability and Accountability Act (HIPAA). Throughout this document, “APEX” represents APEX Benefits Services. This companion guide contains three categories of information:

- General information applicable to the processing of the HIPAA Transactions by APEX.
- The transaction table outlining specific requirements for data format, content within the transaction and describing APEX handling of specific data types.
- Additional information and frequently asked questions (FAQ).

While APEX accepts all ASCX12 HIPAA compliant transactions, the HIPAA Implementation Guides allow for some discretion in applying the regulations to existing business practices. Understanding APEX business practices may expedite claims processing for trading partners as they exchange EDI transactions with APEX.

## 1.2 EDI Registration

All Trading Partners must complete the EDI registration process before sending any transactions to APEX. This process is detailed in this Communication Companion Guide and on the APEX Website.

**Prior to submitting claims electronically, all providers must complete an EDI Registration Form. A Trading Partner Agreement is required for all direct submitters.**

**Furthermore, all providers are required to file a change in registration with APEX when the following occurs:**

- Changes in Clearinghouse, Billing Service, Software Vendor or any Vendor handling the provider's electronic data information
- Change in address
- Change or addition of your Tax Identification Number (TIN)
- Change in name

## 1.3 Testing Prior to Production

All Trading Partners must complete transaction testing prior to submission of transactions in production. This process is detailed separately in section five and on the APEX Website.

**Prior to submitting production claims electronically, all providers or their designated vendor must complete successful transaction testing. Providers must maintain a successful level of transaction submission to remain in production.**

# 2 Communications Companion Guide

The Health Insurance Portability and Accountability Act (HIPAA) of 1996 contains provisions for administrative simplification. This requires the Secretary of the Department of Health and Human Services (HHS) to adopt standards to support the electronic exchange of administrative and financial health care transactions primarily between health care providers and plans. HIPAA directs the Secretary to adopt standards for translations to

enable health information to be exchanged electronically and to adopt specifications for implementing each standard.

HIPAA serves to:

- Create better access to health insurance
- Limit fraud and abuse
- Reduce administrative costs

## 2.1 Purpose of the Companion Guide

The HIPAA EDI Transaction Standard Implementation Guides explain the necessary transaction format for Trading Partners to transmit Electronic Data Interchange (EDI) transactions to APEX. These standards are published by the Washington Publishing Company and the National Council for Prescription Drug Programs and are available at <http://www.wpc-edi.com> and <http://www.ncdpd.org/> respectively. The transactions standards include:

**Table 2-1. HIPAA Implementation Guides**

837P - Health Care Claim Professional	ASC X12N 837 004010X098A1
837I - Health Care Claim Institutional	ASC X12N 837 004010X096A1
837D - Health Care Claim Dental	ASC X12N 837 004010X097A1
835 – Health Care Claim Payment/Advice	ASC X12N 835 004010X091A1
834 – Benefit Enrollment and Maintenance	ASC X12N 834 004010X095A1
820 – Payroll Deducted and Other Group Premium Payment for Insurance Products	ASC X12N 820 004010X061A1
270/271 – Healthcare Eligibility Benefit Inquiry and Response	ASC X12N 276/277 004010X092A1
276/277 – Health Care Claim Status request and Response	ASC X12N 276/277 004010X093A1
278 – Health Care Services Review – Request for Review and Response	ASC X12N 278 004010X094A1
Pharmacy Claim	NCPDP version 5.1

This document does NOT replace the HIPAA Implementation Guides for EDI transactions as published by these organizations, nor does it attempt to amend any of the rules therein or impose any mandates on any trading partners of APEX. This document provides information on APEX specific code handling and situation handling that is within the parameters of the HIPAA Administrative Simplification rules. Readers of all Companion Guides should be acquainted with the HIPAA Implementation Guides, their structure and content. Information contained within the HIPAA Implementation Guides has not been repeated here in their entirety although they have been referenced when necessary.

The Companion Guide is also designed to replace prior practices of electronic data interchange. If you have been using a different procedure for exchanging information, please follow the instructions in this document to setup your trading partner status with APEX before submitting any new data under the old process.

This Companion Guide provides APEX trading partners with guidelines for submitting electronic batch transactions. The Companion Guide documents any assumptions, conventions, or data issues that may be specific to APEX business processes when implementing the HIPAA ASC X12N Implementation Guides. As such, this Companion Guide is unique to APEX.

This Companion Guide provides supplemental information to the Trading Partner Agreement (TPA) that exists between APEX and its trading partners. Refer to the TPA for guidelines pertaining to APEX legal conditions surrounding the implementation of the EDI transactions and code sets. Refer to the Companion Guide for

information on APEX business rules or technical requirements regarding the implementation of HIPAA compliant EDI transactions and code sets.

Nothing contained in this Guide is intended to amend, revoke, contradict, or otherwise alter the terms and conditions of the Trading Partner Agreement. **If there is an inconsistency with the terms of this guide and the terms of the Trading Partner Agreement, the terms of the Trading Partner Agreement shall govern.**

## 2.2 HIPAA References

**Table 2-2. HIPAA References**

Resource	Website
Washington Publishing Company	<a href="http://www.wpc-edi.com">http://www.wpc-edi.com</a>
CMS HIPAA Administrative Simplification	<a href="http://www.cms.hhs.gov/hipaa/hipaa2/">http://www.cms.hhs.gov/hipaa/hipaa2/</a>
Medicare Learning Network	<a href="http://www.cms.hhs.gov/medlearn/">http://www.cms.hhs.gov/medlearn/</a>
Workgroup for Electronic Data Interchange – WEDI	<a href="http://www.wedi.org/">http://www.wedi.org/</a>
O.H.I.O. for EDI – Free Testing Site	<a href="http://www.ohiohipaa.org/">http://www.ohiohipaa.org/</a>
HIPAAAdvisory – HIPAA Resource	<a href="http://www.hipaadvisory.com/">http://www.hipaadvisory.com/</a>
APEX Website	<a href="http://www.apex-benefits.com/">http://www.apex-benefits.com/</a>
National Council for Prescription Drug Programs	<a href="http://www.ncdpd.org/">http://www.ncdpd.org/</a>

## 3 Scope

Each of the Transactions listed in table 2.1 will have a Companion Guide explaining the use of the transaction at APEX. Any trading partner who wishes to use the transactions should reference these documents as their first source of information. APEX will continue to improve and update these documents as needed due to changes in HIPAA regulations or business practices. The Companion Guide will always be accessible via the APEX Website, <http://www.apex-benefits.com/> or by request via phone or mail.

### 3.1 Overview

The Companion Guide contains many sections that define how to implement EDI and the electronic transaction sets with APEX. These include: Trading Partner Registration and Agreement; Certification Testing; Testing with APEX; Communication and Transmission Procedures; Technical Assistance and Customer Service; Possible Electronic Responses; Specific APEX Business Uses of the Transaction; Reports. Also available are: Implementation Checklist; Business Scenarios; Transmission Examples; Frequently Asked Questions; Non-Compliance Statement; Corrective Action Plan.

The suggested flow is as follows:

- Request a APEX Trading Partner Registration Package or obtain an EDI registration on the Web site.
- Submit your Registration to APEX.
- APEX will notify you of approval or disapproval.
- After registration approval, you may begin the testing approval process
- If a third party certification group has not already certified your transactions, you must certify your transactions. See section five for approved services.
- After certification, you may send transactions to be tested for APEX approval.
- After APEX testing approval, you may begin sending production transactions.
- If questions arise related to the processing of specific information, review the guidance contained in the Specific APEX Business Uses of the Transaction section.

- General questions related to HIPAA, please refer to section 7 for contact information.

## **4 EDI with APEX Benefits Services**

To assure the successful and secure transfer of EDI data from all Trading Partners to APEX the following best practices are being used at APEX. APEX requires the following procedures and forms of all trading partners.

### **4.1 Trading Partner Registration**

All direct electronic submitters will be required to fill-out and sign a Trading Partner Agreement (TPA). This agreement supercedes and replaces any prior implied or signed Electronic Data Interchange agreements with APEX. This form is only for submitters who are currently ready to submit HIPAA EDI transactions in the standard 4010 Addenda format. A direct submitter is an entity who actually transmits the data to APEX. Direct submitters include Clearinghouses, Billing Services, Banks, Governmental Entities and Providers who submit their data directly. A provider or other entity who uses a Clearinghouse or Billing Service or other intermediary is not a direct submitter and is not required to fill-out the Trading Partner Agreement. The TPA is available when requested from APEX or can be downloaded from the APEX website.

### **4.2 EDI Registration Form**

All non-direct submitters are required to fill out an EDI Registration Form. A non-direct submitter is responsible to notify APEX of the Intermediary who will be handling their data. A new EDI registration form is needed whenever a new transaction is desired or a new direct submitter/intermediary is started for an existing transaction. The EDI Registration Form is available when requested from APEX or can be downloaded from the APEX website

### **4.3 835 Registration Form**

All providers in a group practice where payment might be paid to individuals within the practice are expected to be listed on an 835 Registration Form. The form will include the providers name, APEX Rendering Network Provider Identification number (RNPI) and the provider's Federal Tax Identification number (theTax ID used for the payment claims to the provider). The 835 Registration Form is available when requested from APEX or can be downloaded from the APEX website.

### **4.4 FTP Registration Form**

Any Trading Partner who is a direct submitter to APEX will be required to fill out the FTP Registration form. This information will be needed before a trading partner will be granted privileges to drop-off and/or pick-up EDI files from the APEX FTP (File Transfer Protocol) Server. The information will be used to establish security between the computers that will be exchanging data files. The security is necessary to protect the files from unauthorized access or theft. No direct submitter will be able to transfer or pick-up data until this information is on file at APEX. It is expected that this individual is proficient at computer server security and has administrator privileges on the computer system that is used for data submission. This person must also have knowledge of FTP and access to FTP software on the data submission computer.

## **5 Certification and Testing Overview**

### **5.1 Certification Testing**

Trading Partners who are direct submitters to APEX must successfully pass testing of the transaction(s) they wish to trade before beginning production. At startup, the trading partner must show proof of third party certification of their transaction(s) or use the O.H.I.O. for EDI free testing site to show successful transaction creation. A successful test means the following:

- A transaction file must be generated from the trading partners production system or the system that will be in production when trading is scheduled to begin with APEX.
- The test/production indicator, ISA15, should be set to T for Test.
- The initial file must have at least 25 transactions containing real production data.
- The test file must pass 100% HIPAA compliance for WEDI levels 1-6.
- Third Party Certification must also follow these rules for the testing to be considered successful.

## **5.2 APEX Testing**

Following Certification, the submitter must complete testing of the transaction process with APEX to assure passage of the transaction at a business level (WEDI level 7) through the APEX EDI system. A successful test means the following:

- The transaction file must have at least 100 transactions containing real production data.
- Based on the transaction set being submitted and the trading partners standard data requirements, certain business scenarios may be required in the test file.
- All Certification Testing edits must continue to pass at 100%.
- The business level testing must be 90% successful.
- The test/production indicator, ISA15, should be set to T for Test.
- The test files must successfully pass via the FTP site and any response files must be picked-up by the trading partner.

## **5.3 Approval for Production**

After successful APEX testing, APEX will send a notice of approval for production and the trading partner may begin submission. The test/production indicator, ISA15, should be set to P for Production.

## **5.4 Ongoing Testing**

All production files will be tested prior to processing by the APEX EDI system. To continue in production, the trading partner must maintain at least 80% error free transactions.

## **5.5 Notification of Change in EDI Registration**

If there is a change in the trading partners EDI Registration from either a change in software, vendor, intermediary or change in EDI system, Certification and APEX Testing must be performed before approval for production.

## **5.6 APEX Certification**

### **5.6.1 Internal Certification**

APEX will test all EDI transaction via their EDI system. All transactions must pass at 100% for them to be sent to trading partners.

### **5.6.2 External Certification**

APEX will continue to test select EDI transactions on an as needed basis with an external testing service to assure 100% HIPAA compliance.

## 5.7 Test Logs

Testing of Trading Partner and APEX transactions will be retained for historical tracking. Logs will be available by special request and will be provided in any situation where a trading partner fails to pass testing.

## 5.8 Contingency Plan Impact

Under the contingency plan some edits may be relaxed to continue to process as much information using EDI as is practical. Please call APEX for information on these relaxed edits.

## 5.9 Corrective Action Plan – Monitoring Progress

Any EDI transaction that is not passing 100% testing edits in production might be put on a corrective action plan (CAP). The CAP will be used to monitor progress toward HIPAA compliance. A CAP will contain the following:

- Name of the entity involved.
- The starting date of the CAP.
- Description of non-compliance.
- Proof of non-compliance.
- Action plan to reach compliance.
- Goal date for compliance.
- Signatures of the responsible parties.

### 5.9.1 Trading Partner Level

At the trading partner level, failure to create a 100% compliant transaction with WEDI types 1-6 edits will require a reduction of HIPAA standard edits for a transaction to pass. If this can be accomplished without causing inappropriate processing on the APEX production system, APEX will allow the transaction to pass and put the trading partner on a CAP. The Trading Partner will remain on a CAP until 100% compliance is reached.

- **Typical Entity** – Clearinghouses, Billing Service, Vendors of software/ASP, Intermediaries.
- **Example of failure** – Trading Partner transmits an inappropriate sender or receiver id.

### 5.10 Submitters

At a submitter level, failure to create 100% compliant business level transactions at level 7 will require a reduction of APEX business edits for a transaction to pass. If this can be accomplished without causing inappropriate processing on the APEX production system, APEX will allow the transaction to pass and put the Submitter on a CAP. The Submitter will remain on a CAP until 100% compliance is reached.

- **Type of Entity** – Provider, Group Practice, Hospital, Billing Service, Government Agency.
- **Example of failure** – Submitter continues to transmit data with inappropriate or missing Rendering Network Provider ID.

## 6 Connectivity/Communications

All EDI data files submitted to APEX must be sent to the APEX FTP Server. APEX will only receive batch data files and will not be receiving real time data streams from trading partners. All acknowledgements and/or reports of the EDI process will be available for pick-up from the same FTP Server after processing. Consult the table in section 6.1 for the anticipated process times for each transaction.

**Table 6-1 Transaction Schedule**

Transaction	File Moves	FTP Frequency	FTP Active Time	File Ready
837	D	Every 2 hours	M-F; 6am - 6pm	Claims processed at 10pm each night

834	D	Once an hour	M-F; 8am - 8pm	Send when ready
270/271	D/P	Every 5 minutes	M-F; 6am - 6pm	271 available in 10 min
820	D	Once a day	M-F; 8am - 8pm	Send when ready
278	D/P	Once an hour	M-F; 8am - 8pm	Response ready next day
276/277	D/P	Every 10 minutes	M-F; 6am - 6pm	277 available in 10 min
USM	P	Once a day	M-F; 7am – 10 am	Send when ready
835	P	Every 2 hours	T-F; 8am – 12pm	Pull EOP files up each morning
997 (270/271/278)	P	Every 5 minutes	M-F; 6am - 6pm	Ready after each file processed
997 (834/820/837)	P	Once a day	M-F; 6am – 6pm	Ready after each file processed

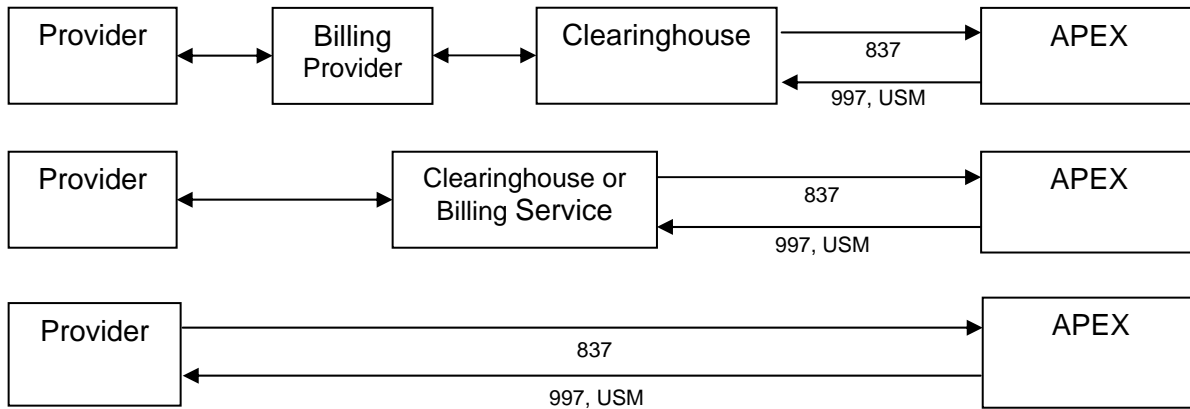
D = Drop-off, P = Pick-up

## 6.1 Process flows

Each transaction process flow is shown below. Please note that all arrows pointing away from APEX indicate the trading partner is accessing the APEX FTP Server and downloading the transaction and/or acknowledgement from APEX. Also note that if a vendor is used, all APEX responses will be responsibility of the vendor to supply to the transaction originator. Please be sure to ask the vendor their capability to handle APEX responses and transfer them on to the transaction originator. Double-headed arrows represent the originator – vendor relationships.

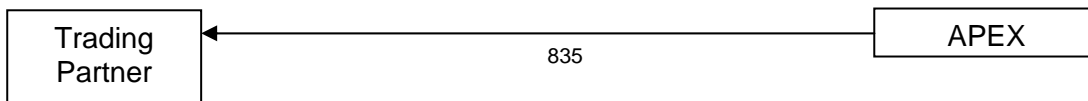
### 6.1.1 837 – Health Care Claim

APEX will accept a claim directly, or indirectly either through a clearinghouse or through a vendor and then a clearinghouse. The clearinghouses that APEX has contracts with are WebMD and Per-Se. APEX will always respond with a 997 once it successfully receives an 837 transaction. APEX can also respond with a WebMD Unsolicited Message format



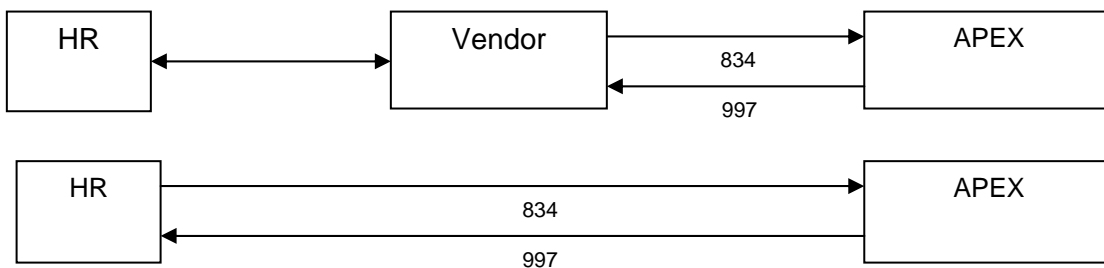
### 6.1.2 835 – Health Care Claim Payment/Advice

APEX will prepare the payment advice and place it on the APEX FTP server for the Trading Partner to retrieve. APEX will not distribute the 835 to a Clearinghouse. The 835 will be available for pick-up from our FTP server



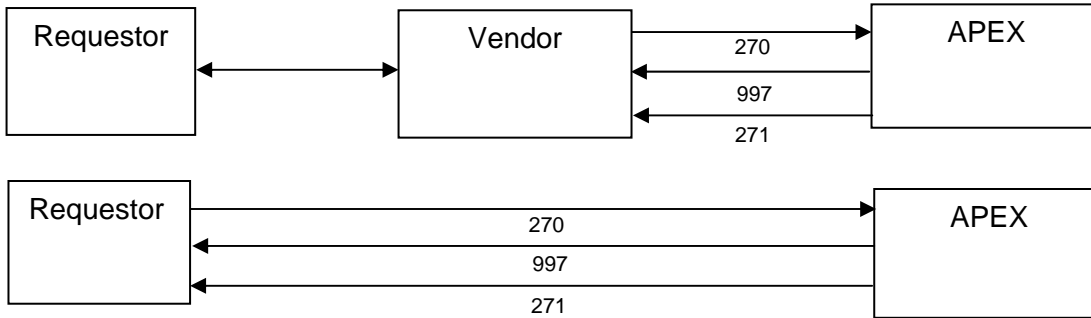
### 6.1.3 834 – Benefit Enrollment and Maintenance

APEX will accept benefit enrollment and maintenance directly from trading partners. APEX will always respond with a 997 once it successfully receives an 834 transaction.



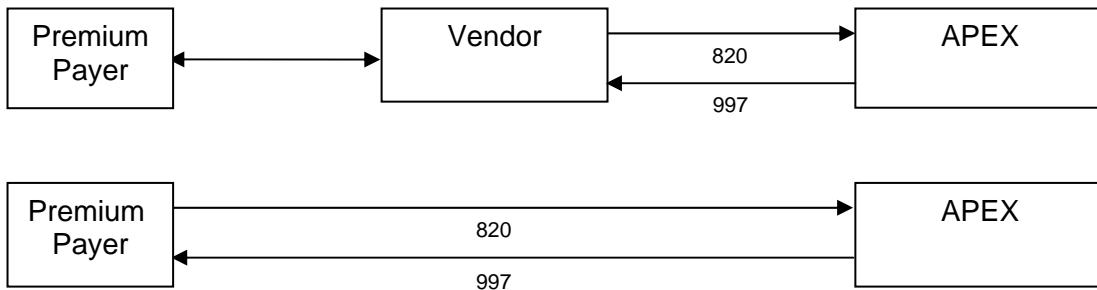
### 6.1.4 270/271 – Healthcare Eligibility Benefit Inquiry and Response

APEX will accept a Eligibility, Coverage or Benefit Inquiry directly from trading partners. APEX will always respond with a 997 once it successfully receives a 270 transaction. A 271 response will be generated for pick-up within one half day of receipt of the 270.



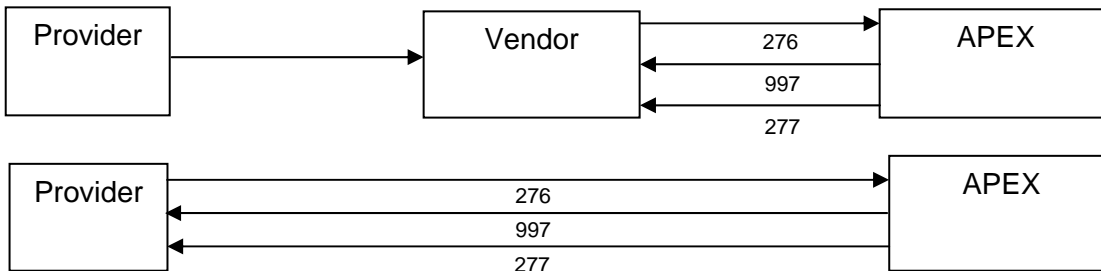
### 6.1.5 820 – Payroll Deducted and Other Group Premium Payment

APEX will accept premium payment order/remittance directly from trading partners. APEX will always respond with a 997 once it successfully receives an 820 transaction.



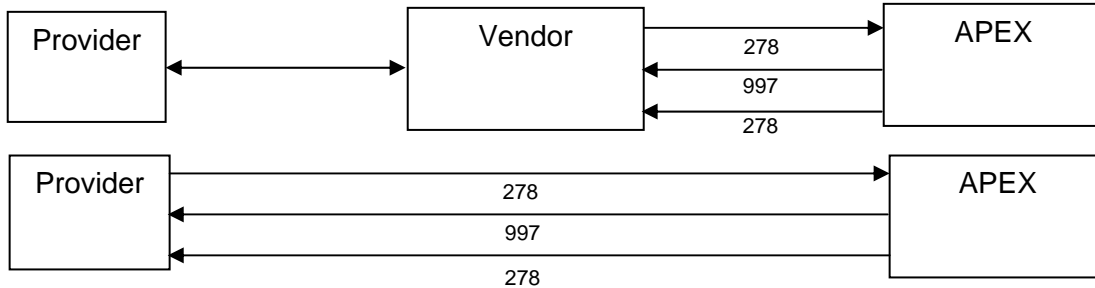
### 6.1.6 276/277 – Health Care Claim Status request and Response

APEX will accept a health care status request directly from trading partners. APEX will always respond with a 997 once it successfully receives a 276 transaction. A 277 response will be generated for pick-up within one day of receipt of the 276.



### 6.1.7 278 – Health Care Services Review – Request for Review and Response

APEX will accept Health Care Services Review Requests for Review directly from trading partners. APEX will always respond with a 997 once it successfully receives a 278 transaction. A 278 response will be generated for pick-up within one day of receipt of the 278 request.



## 6.2 Transmission Procedures

The preferred method of transmission is via FTP to the APEX FTP server. APEX will only receive batch data files and will not be receiving real time data streams from trading partners. FTP files must follow the APEX file naming conventions. All FTP transmissions require the user to have a User ID, Password, and a Trading Partner directory assigned by APEX. APEX uses PGP (Pretty Good Privacy) Security for all FTP transmissions and the security keys must be setup before transmission can occur. All acknowledgements and/or reports of the EDI process will be available for pick-up from the same FTP Server after processing.

### 6.2.1 File Naming Conventions

Table 6-2 File Naming Conventions

Transaction	File Moves	FTP Naming	Response
837	D	S837I.ccyymmdd.hhmm.asc S837P.ccyymmdd.hhmm.asc S837D.ccyymmdd.hhmm.asc	997.juliandate_counter.asc 997.juliandate_counter.asc 997.juliandate_counter.asc
834	D	S834.ccyymmdd.hhmm.asc	997.juliandate_counter.asc
820	D	S820.ccyymmdd.hhmm.asc	997.juliandate_counter.asc
270	D	S270.ccyymmdd.hhmm.asc	997.juliandate_counter.asc
271	P	S271.ccyymmdd.hhmm.asc	
278	D	S278IN.ccyymmdd.hhmm.asc	997.juliandate_counter.asc
278	P	S278OUT.ccyymmdd.hhmm.asc	
276	D	S276.ccyymmdd.hhmm.asc	997.juliandate_counter.asc
277	P	S277.ccyymmdd.hhmm.asc	
USM	P	SUSM.ccyymmdd.hhmm.asc	
835	P	S835.ccyymmdd.hhmm.asc	

D = Drop-off, P = Pick-up

## 6.2.2 User ID, Passwords & Trading Partner Directory

APEX will contact you after the Trading Partner Agreement is set up and the FTP Registration Form is completed. You will then receive your user ID and password. This procedure should be followed for each new user that needs to be able to FTP a file to APEX. You should also receive your assigned trading partner directory.

## 6.2.3 PGP Key

To obtain information on PGP and PGP key setup go to [www.pgp.com](http://www.pgp.com) and review the white papers available on setup and HIPAA security. PGP use at APEX will be defined during the FTP/Security process following completion of the Trading Partner Agreement.

## 6.2.4 Steps to FTP

- APEX will contact you after the Trading Partner Agreement is set up and the FTP Registration Form is completed to obtain your User ID, password and trading partner directory.
- APEX will give you the name of your trading partner directory on the FTP server.
- Obtain information on APEX PGP encryption and perform PGP key exchange.
- Follow the file naming conventions for files that will be transmitted.
- Log-in to the APEX FTP site at [FTP.SummaCare.COM](http://FTP.SummaCare.COM).
- Locate the correct trading partner directory for transmission. The test folder will be for the testing phase and the production folder will be used for live transactions.
- Transfer the transaction(s) and pick-up any response transactions.

## 6.3 Re-transmission procedures

If a transmission fails for any reason, please contact APEX. If you resend the transmission without contacting us, the entire transmission will be denied as a duplicate. If the transmission has failed and APEX determines the status of the transmission, you will be given approval and procedures for resending.

## 6.4 Mailing Data File

If you are unable to transmit the EDI data file due to technical failure and need to transfer the data, the file can be mailed via US Postal Service or courier to:

EDI Department  
APEX Benefits Services  
10 N. Main St.  
Akron, OH 44308

Please Contact APEX for a list of the acceptable transfer media.

## 7 APEX Contact information

### 7.1 Technical Support

The Technical Support team is responsible for implementing all HIPAA transactions. This includes answering questions on map specifications, establishing the communication path for connectivity to APEX and coordination of receiving test data. If you have any technical questions you may contact:

Veronica Polk  
EDI Development  
Phone: (330) 996-8410  
Fax: (330) 996-8877

The Technical Support team can also be reached via e-mail at, [edisupport@summacare.com](mailto:edisupport@summacare.com).

### 7.2 Production Non Technical Support

If you have any questions regarding productional data submitted to APEX please contact a Customer Service Representative as listed below by department and transaction:

Provider Services (837, 835, 276, 278 transactions)  
Phone: (330) 996-8400

Eligibility and Billing (270,834, 820 transactions)  
Phone: (330) 996-8685

## 8 Acknowledgements and/or Reports

APEX will respond to all transactions with the creation of the standard ANSI 997 response as defined in the HIPAA Implementation Guides in section

### 8.1 997

The 997 report is an ANSI 4010A1 Functional Acknowledgement Transaction.

### 8.2 Proprietary Unsolicited

This report is created daily after we process the 837 4010A1 transaction files. This is a detailed status report for claims submitted on the previous business day.

## 9 Communication Envelope - ISA and GS

The Communication Envelope segments ISA – ISE and the GS – GE are critical to the EDI data transmission so that the information can be routed correctly for processing. A complete reference for their use is published in the HIPAA Implementation Guides in the appendices section B. Important uses for APEX are described below.

### 9.1 ISA – ISE Control Segments

Note that the elements within the ISA and the ISE trailer are set to a defined number of characters. The width of each element cannot vary and the length of the ISA segment is fixed at 105 bytes. This differs from the other segments of the ANSI transaction set which are variable lengths. Please reference HIPAA Implementation Guides and/or the tables in section 10 for the required length of each element. Also note that the delimiters displayed in the ISA segment are defined for the entire transaction(s) in the transmission. The Sender and Receiver numbers in the ISA segment must be mutually agreed upon during the Trading Partner Agreement step before a trading partner can send EDI data. The date and time displayed in the ISA segment should be the date and time of creation of the EDI data and should be as close as possible to the transmission date and time.

#### 9.1.1 Delimiters

While APEX can accept any of the transaction delimiters defined under the 4010A1 format, the requested delimiters are as follows:

**Table 9-1 Requested Delimiters**

Delimiter	Name	Character	Position
Segment Terminator	Tilde	~	Byte number 105 in the ISA segment.
Element Separator	Asterisk	*	Byte number 4 in the ISA segment.
Sub-Element Separator	Colon	:	Byte number 104 in the ISA segment.

#### 9.1.2 Sender and Receiver ID

The Sender and Receiver numbers in the ISA segment must be mutually agreed upon during the Trading Partner Agreement step before a trading partner can send EDI data. The APEX Receiver (ISA08) or Sender ID (ISA06) is the APEX Mutually Defined Payer ID number 95202. The preferred Trading Partner ID is their Tax ID, if this is not acceptable than a mutually agreed upon number will be defined. The Sender ID in ISA06 must be identical to the Sender ID in the GS segment GS02. The Receiver ID in ISA08 must be identical to the Receiver ID in the GS segment GS03.

#### 9.1.3 Test/Production Indicator

The Test/Production indicator, ISA15, should be set appropriately for either “T” for test or to “P” for production. It should be assumed to be T until approved for production.

## **9.2 GS – GE Functional Group**

The GS functional group header gives information about the type of transaction contained in the EDI data file. Elements GS02 and GS08 define the transaction. Even though it is possible to have different functional groups and different types of transactions within a transmission, APEX request that the EDI data transmission contains only one type of transaction. Multiple transactions within one file will result in a rejection of the file. The APEX Receiver or Sender ID is the APEX Mutually Defined Payer ID number 95202.

# 10 Communication Envelope Table - ISA and GS

## 10.1 Communication Envelope - ISA

Each EDI data file must have the data within it enveloped with an ISA segment. There can be multiple ISA envelopes in a data file, but the data within the envelope must conform to ANSI guidelines for HIPAA and must be internally consistent with the ISA envelope that defines it. Sender and receiver between ISA and GS must be consistent and the record counts defined in the

Envelope/Section Label	Element	Description	Value	Description/Comments	IG page
Control Segments					
Interchange Control Header	ISA01	Authorization Information Qualifier	00	00 - No Authorization Information Present	B.3
Interchange Control Header	ISA02	Authorization Information	(10 spaces)	Enter 10 spaces.	B.3
Interchange Control Header	ISA03	Security Information Qualifier	00	00 - No Security Information Present	B.4
Interchange Control Header	ISA04	Security Information	(10 spaces)	Enter 10 spaces.	B.4
Interchange Control Header	ISA05	Interchange ID Qualifier	01 14 20 27 28 29 30 33 ZZ	This is found in your trading partner registration. 01 – Duns (Dun & Bradstreet) 14 – Duns Plus Suffix 20 – Health Industry Number (HIN) 27 – Carrier Identification Number from HCFA 28 – Fiscal Intermediary Identification Number from HCFA 29 – Medicare Provider and Supplier Identification Number from HCFA <b>30 – US Federal Tax ID</b> 33 – National Association of Insurance Commissioners Company Code (NAIC) <b>ZZ - Mutually Defined</b>	B.4
Interchange Control Header	ISA06	Interchange Sender ID	(EDI SENDER ID) MUST BE IN UPPER CASE	Enter your sender ID assigned in your EDI registration. This Sender ID should be identical to the value entered in the GS02 Segment. It is alphanumeric and must be 15 characters long with the number left justified followed by any necessary trailing spaces to reach 15 characters. This number once agreed upon, must not change unless notice of change is given prior to transmission.	B.4
Interchange Control Header	ISA07	Interchange ID Qualifier	ZZ	ZZ – Mutually Defined	B.4
Interchange Control Header	ISA08	Interchange Receiver ID	95202	· Place APEX's Receiver ID in this element · Same as the GS03 element · This ID is left justified followed by nine trailing spaces	B.5

Envelope/Section Label	Element	Description	Value	Description/Comments	IG page
Control Segments					
Interchange Control Header	ISA09	Interchange Date	(YYMMDD)	Value must be a valid date and in YYMMDD format.	B.5
Interchange Control Header	ISA10	Interchange Time	(HHMM)	Value must be a valid time and in HHMM format.	B.5
Interchange Control Header	ISA11	Interchange Control Standards Identifier	U	U - U.S. EDI Community of ASC X12, TDCC, and UCS	B.5
Interchange Control Header	ISA12	Interchange Control Version Number	00401	00401 - Draft Standards for Trial Use Approved for Publication by ASC X12 Procedures Review Board through October 1997	B.5
Interchange Control Header	ISA13	Interchange Control Number	(#) (Assigned by Sender)	Format - 9 position numeric value assigned by the sender. · Value must be unique and must not have been used in a previous transmission of any other HIPAA transaction within 365 calendar days. · Value must be greater than zero. · Value is right justified, filled with leading zeros. · Value must be identical to the associated Interchange Control Trailer IEA02.	B.5
Interchange Control Header	ISA14	Acknowledgment Requested	0 or 1	Regardless of the value, APEX will always respond with 997 Functional Acknowledgment when a valid enveloped X12 transaction is processed.	B.6
Interchange Control Header	ISA15	Usage Indicator	P or T	P - Production Data    T – Test Data · Sender ID must be approved to submit production data. · APEX will determine “Test” or “Production” based on the value in the ISA15 data element only.	B.6
Interchange Control Header	ISA16	Component Element Separator	: colon	· APEX recommends a : (colon) be used as the Component Element Separator · Value must NOT equal A-Z, a-z, 0-9, “space”, and special characters which may appear in test data. (i.e., hyphen, comma, period, apostrophe, etc)	B.6
Interchange Control Trailer	IEA01	Number of Included Functional Groups	(#)	Format - 1 to 5 position numeric value. · Value is left justified with no leading or trailing zeroes · Value must equal the number of functional groups (GS/GE pairs) included in the interchange.	B.7
Interchange Control Trailer	IEA02	Interchange Control Number	(#) (Identical to ISA13)	Format – 9 position numeric value assigned by the sender. · Value must be identical to the associated Interchange Control Header ISA13.	B.7

## 10.2 Communication Envelope – GS

Each EDI data file may have multiple GS envelopes within the ISA envelope. However, APEX anticipates that each data file will only contain one variety of transactions within it. So it is anticipated the GS01 will define only one variety of transaction. For example, If multiple GS envelopes occur in a claim file, only HC should be in GS01. Also note that all incoming data must have a value in GS08 that indicates that the file follows the 4010 addenda format. For example, a professional claim file must have the value of 004010X098A1 in GS08).

Envelope/Section Label	Element	Description	Value	Description/Comments	IG page
Control Segments					
Functional Group Header	GS01	Functional Identifier Code	HC HP BE RA HI HN HR HS	Code identifying a group of application related transaction sets HC – Health Care Claim (837) HP – Health Care Claim Payment/Advice (835) BE – Benefit Enrollment and Maintenance (834) RA – Payment Order/Remittance Advice (820) HI – Health Care Services Review Information (278) HN – Health Care Claim Status Notification (277) HR – Health Care Claim Status Request (276) HS – Eligibility, Coverage or Benefit Inquiry (270)	B.8
Functional Group Header	GS02	Application Sender's Code	(EDI SENDER ID) MUST BE IN UPPER CASE	Enter your sender ID assigned in your EDI registration. This Sender ID should be identical to the value entered in the ISA06 Segment. It is alphanumeric and may be 15 characters long. The Sender ID is left justified with no leading or trailing spaces. This number once agreed upon, must not change unless notice of change is given prior to transmission.	B.8
Functional Group Header	GS03	Application Receiver's Code	(EDI RECEIVER ID) MUST BE IN UPPER CASE	Enter your Receiver ID assigned in your EDI registration. This Receiver ID should be identical to the value entered in the ISA06 Segment. It is alphanumeric and may be 15 characters long. The Receiver ID is left justified with no leading or trailing spaces. This number once agreed upon, must not change unless notice of change is given prior to transmission.	B.8
Functional Group Header	GS04	Date	(CCYYMMDD)	Value must be a valid date	B.8
Functional Group Header	GS05	Time	(HHMM)	Value must be a valid time	B.8

Envelope/Section Label	Element	Description	Value	Description/Comments	IG page
Control Segments					
Functional Group Header	GS06	Group Control Number	(#) (Assigned by Sender)	Format - 1 to 9 positions numeric value assigned by the sender. · Value must be unique and must not have been used in a previous transmission of any other HIPAA transaction within 365 calendar days. · Value must be greater than zero. · Value is left justified, with no leading or trailing zeroes. · Value must be identical to the associated Functional Group Trailer GE02.	B.9
Functional Group Header	GS07	Responsible Agency Code	X	X - Accredited Standards Committee X12	B.9
Functional Group Header	GS08	Version/Release/Industry Identifier Code	004010X098A1 004010X097A1 004010X096A1 004010X095A1 004010X094A1 004010X093A1 004010X092A1 004010X091A1 004010X061A1	Operationally used to differentiate between transactions. 004010X098A1 – Health Care Professional(837) 004010X097A1 – Health Care Dental(837) 004010X096A1 – Health Care Institutional(837) 004010X095A1 – Benefit Enrollment(834) 004010X094A1 – Health Care Services Review(278) 004010X093A1 – Health Care Claim Status(276/277) 004010X092A1 – Eligibility, Coverage or Benefit Inquiry(270) 004010X091A1 – Health Care Claim Payment/Advice(835) 004010X061A1 - Payment Order/Remittance Advice(820)	B.9
Functional Group Trailer	GE01	Number of Transaction Sets Included	(#)	· Format - 1 to 6 position numeric value.· Value is left justified with no leading zeroes.	B.10
Functional Group Trailer	GE02	Group Control Number	(#) (Identical to GS06)	Format - 1 to 9 position numeric value assigned by the sender.· Value is left justified, with no leading or trailing zeroes.· Value must be identical to the associated Functional Group Header GS06.	B.10

### 10.3 Transmission Communication Envelope Example

ISA\*00\*        \*00\*        \*EI\*313052274    \*ZZ\*95202        \*031016\*0900\*U\*00401\*000000001\*0\*T\*::~~  
GS\*HS\*133052274\*95202\*20030917\*0939\*1\*X\*004010X092A1~  
.....  
.....  
.....  
.....  
SE\*19\*1234567~  
GE\*1\*1~  
IEA\*1\*000000001~