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Draft



Department  
of  
Defense

DoD  
Electronic Data  
Interchange (EDI)  
Convention

ASC X12 Transaction Set 838  
Trading Partner Profile  
(Registration)  
(Version 003020)

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## 1.0 INTRODUCTION

This chapter explains the purpose of the convention, the scope of the guidance, and provides an explanation of how to use the convention.

### 1.1 PURPOSE OF THE CONVENTION

The convention provides general guidance on the implementation of American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12 electronic data interchange (EDI) standards within automated information systems (AIS) and information interchange procedures that require the collection, reporting, and/or exchange of data needed to perform defense missions.

### 1.2 SCOPE

The guidance is provided for two components. First, it may be used by organizational elements of the DoD community. It may also be useful to organizations external to DoD that exchange data with the DoD community in the course of their business relationships.

The DoD community encompasses the Military Services, Organizations of the Joint Chiefs of Staff, Unified and Specified Commands, Office of the Secretary of Defense, and the Defense agencies. (That community is collectively referred to as the DoD Components.)

Organizational entities external to DoD include (a) non-Government organizations, both commercial and nonprofit; (b) Federal agencies of the United States Government other than DoD; (c) local and state governments; (d) foreign national governments; and (e) international government organizations.

The draft convention published in this document is for trial use and comment. DoD Components must submit to the DoD EDI Executive Agent (EA) their data requirements that are not covered in the conventions as soon as possible, as indicated in Chapter 2.0, Section 2.1.

### 1.3 RESPONSIBLE ENTITY

The Defense Logistics Agency (DLA) is DoD's Executive Agent for implementing and maintaining Defense-wide programs for (a) EDI in accordance with DepSecDef memorandum of May 24, 1988, Subject: *Electronic Data Interchange of Business-Related Transactions*; and (b) Protection of Logistics Unclassified/Sensitive Systems (PLUS) in accordance with Assistant Secretary of Defense (Production and Logistics) [ASD(P&L)] memorandum of November 21, 1989, Subject: *Production and Logistics Task Group for Data Protection*. Publication of these conventions is based upon this authority. See Chapter 2.0 *Maintenance*, Section 2.1 for office point of contact.

## 1.4 HOW TO USE THE IMPLEMENTATION CONVENTION

The main topics and structures of this document conform to the *EDI Implementation Reference Manual Guidelines* document that was developed by a task group of the subcommittee on education and implementation of the ASC X12. The purpose of having agreed-upon topics and structure is to facilitate reference by the many industry and DoD personnel who are involved in implementing the uniform standards for electronic interchange of business transactions.

### 1.4.1 Conventions, Standards, and Guidelines

The terms conventions, standards, and guidelines are used throughout the document and are defined as follows:

- *Conventions* are the common practices and/or interpretations of the use of ASC X12 standards. Conventions define what is included in a specific implementation of an ASC X12 standard.
- *Standards* are the technical documentation approved by ASC X12; specifically, transaction sets, segments, data elements, code sets, and interchange control structure. Standards provide the structure for each ASC X12 document.
- *Guidelines* are instructions on the use of EDI. They provide additional information to assist in conducting EDI. Guidelines are intended to provide assistance and should not be your sole source of information.

#### 1.4.1.1 Who Develops the Conventions?

Conventions result from a joint effort between business, technical, and EDI ASC X12 standards experts. The business data requirement is defined, a transaction set is selected, and the data requirement is then identified with data elements in the transaction set. A convention is usually developed before any computer EDI systems development work and serves as a design document when the development process begins.

#### 1.4.1.2 Why Use a Convention?

To create an ASC X12 transaction, a user must know the data requirements, understand the ASC X12 standard, and be able to use that information to develop an interface program between the computer application and the ASC X12 translator. The necessary information to perform this task is contained in the convention document. Users who follow the convention will create a transaction set that all DoD users understand.

#### 1.4.1.3 Who Needs a Convention?

System analysts and application programmers who plan to create or read ASC X12 transactions use a convention to aid in interface software design. The convention will help the programmer and analyst identify where their application data requirement should be carried in an ASC X12 transaction set.

#### 1.4.4.4 Can I Develop a Convention?

Conventions already exist for some of the most common business practices. Copies of existing conventions can be acquired through your organization's EDI coordinator at the start of an EDI project. If you find no conventions for the business practice you are about to implement, your EDI coordinator should contact the DoD Executive Agent for EDI. See Chapter 2.0, *Maintenance*, Section 2.1 for the point of contact.

#### 1.4.2 Documentation of Conventions

Conventions are adopted from, and are intended to be in conformance with, ANSI ASC X12 standards or ASC X12 Draft Standards for Trial Use (DSTU).

##### 1.4.2.1 Transaction Set

Figure 1.4-1 provides an example of a transaction set table. The transaction set defines information of business or strategic significance and consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment. The actual ASC X12 standard as it appears in the official ASC X12 standards manual is presented on the right side of the page. This standard also includes both syntax notes and comments. The specific DoD usage designator is presented on the left side of the page.

The designation "N/U" appears in the left column if DoD does not use the specific segment. A page number will appear if the segment is used.

##### 1.4.2.2 Transaction Set Segment

Figure 1.4-2 is an example of a transaction set segment.

DoD usage is specified on the left side of the page. For identifier (ID) — type data elements, acceptable code values are listed on the right side of the page under the definitions of the element.

DoD notes, reflecting how the convention is to be used appear on the right side of the page at the segment level or the data element level.

The following definitions are for use in interpreting the data element requirement designators in the DoD-specific segment directory section of the convention. For ASC X12 usage, see the definitions in *X12.6 Application Control Structure*.

- *Mandatory*  
Mandatory data elements are defined by ASC X12.
- *Optional*  
Optional data elements are used at the discretion of the sending party or are based upon mutual agreement between trading partners.

## 824 Application Advice

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

**Table 1**

PAGE #	POS #	SEQ. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
2	010	ST	Transaction Set Header	M	1	
3	020	BGN	Beginning Segment	M	1	
<b>LOOP ID - NT</b>						<b>2</b>
4	030	N1	Name	O	1	
5	040	N2	Additional Name Information	O	2	
6	050	N3	Address Information	O	2	
7	060	N4	Geographic Location	O	1	
8	070	REF	Reference Numbers	O	12	
9	080	PER	Administrative Communications Contact	O	3	

**Table 2**

PAGE #	POS #	SEQ. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
<b>LOOP ID - OTI</b>						<b>10000</b>
10	010	OTI	Original Transaction Identification	M	1	
12	020	REF	Reference Numbers	O	12	
13	030	DTM	Date/Time Reference	O	2	
N/U	040	PER	Administrative Communications Contact	O	3	
N/U	050	AMT	Monetary Amount	O	10	
N/U	060	QTY	Quantity	O	10	
<b>LOOP ID - TED</b>						<b>10000</b>
14	070	TED	Technical Error Description	O	1	
15	080	NTE	Note/Special Instruction	O	100	
16	090	SE	Transaction Set Trailer	M	1	

Figure 1.4-1 Example of a Transaction Set Table

824 - APPLICATION ADVICE  
BGN - BEGINNING SEGMENT

ANSI ASC X12 VERSION/RELEASE 003010D0D

	<b>Segment: BGN Beginning Segment</b>			
	Level: Header			
	Loop: _____			
Mandatory	Usage: Mandatory			
	Max Use: 1			
	Purpose: To indicate the beginning of a transaction set.			
	Syntax: If BGN05 is used, BGN04 is required.			
	Comments: 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.			
<b>Data Element Summary</b>				
	<b>REF. DES.</b>	<b>DATA ELEMENT</b>	<b>NAME</b>	<b>ATTRIBUTE</b>
Mandatory	BGN01	353	Transaction Set Purpose Code Code identifying purpose of transaction set.	M ID 2/2
			00 Original	
			01 Cancellation	
			04 Change	
			12 Not Processed	
Mandatory	BGN02	127	Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier.	M AN 1/30
Mandatory	BGN03	373	Date Date (YYMMDD).	M DT 6/6
Conditional	BGN04	337	Time Time expressed in 24-hour clock time (HHMM, time range: 0000 though 2359).	C TM 4/4
	<b>Implementation Note:</b> Use HHMM.			
Not Used	BGN05	623	Time Code	O ID 2/2

Figure 1.4-2 Example of a Transaction Set Segment

- *Required*  
Required data elements are considered optional under ASC X12 rules, but are required by DoD decision.

*Recommended*  
Recommended data elements are considered optional under ASC X12 rules and by the DoD, but the industry recommends their use to facilitate EDI. Most companies in the industry are expected to use this data element.

- *Not Used*  
"Not Used" data elements are those that the DoD does not use.

- *Conditional*  
Conditional data elements depend on the presence of other data elements in the transaction set.

## 2.0 MAINTENANCE

This chapter describes the procedures for maintaining the DoD conventions. It also presents a section on version/release timing.

### 2.1 MAINTAINING CONVENTIONS

The DLA, as DoD's Executive Agent for EDI and PLUS, has established a joint program office to oversee implementation of EDI. Some of the functions of this program office are to maintain configuration control of related standards and common support packages (e.g., versions of ASC X12 standards and PLUS algorithms employed), participate in the standards-setting process, and ensure compliance with approved EDI standards.

To accomplish these functions, the joint program office has established a conventions and standards development and maintenance process whose objectives are: (1) to obtain ASC X12 data requirements from the DoD Components and present the requirements to the ASC X12 for consideration as ANSI standards, and (2) to develop and maintain conventions for use by DoD Components and their potential trading partners.

To take advantage of, and not duplicate, existing data standardization processes, the EA has established focal points within the ASD Offices, the Military Services, and the Defense Agencies from which EDI information is obtained and disseminated.

The EA's primary source of information about DoD's data requirements is the EDI User.

Changes to this publication and recommended changes to ANSI ASC X12 should be forwarded through your organizational point of contact for data standardization to:

EDI Standards Coordinator  
ATTN: DLA-ZC  
Cameron Station  
Alexandria, VA 22304-6100

See Chapter 4 for reproducible ASC X12 Work Request forms.

### 2.2 VERSION/RELEASE TIMING

Identification of the official "version" of a standard is critical to the successful interchange of information. Each participant must be able to send and receive the same version to ensure the accuracy of the information exchanged.

The version is transmitted as a 12-character code in the Functional Group Header segment (GS) in Data Element #480, Version/Release/Industry ID. This 12-character code is used by ASC X12 as follows:

<u>Position</u>	<u>Content</u>
1-3	Version number
4-5	Release level of version
6	Subrelease
7-12	DoD/Industry or Trade Association ID

ASC X12 assigns the codes in positions 1 through 6.

A major version (1-3) will change only after an official public review cycle, leading to republication of a new American National Standard.

Release level of each new major version (4-6) will begin at "000" and incremented by 1 for each new ASC X12 approved publication cycle, usually once a year. The fifth character designates the release and the sixth character designates the subrelease.

DoD/Industry/Trade Association ID (7-12) is used to identify conventions. For this suffix, DoD will use "DoD\_" with the 10th character identifying successive publications. The 11th and 12th characters may be used by the Military Departments or Defense Agencies.

DoD conventions for using ASC X12 standards are published annually. Conventions developed for each release will be maintained for 4 years. Military Services and DoD Agencies will determine which release to use on the basis of business need but will not use any release more than 4 years old without approval of the DoD EA.

## 3.0 DoD CONVENTIONS FOR USING ASC X12 TRANSACTION SETS

This chapter defines the DoD transaction set conventions. It includes the instructions for implementing the control structure and definitions of the usage indicators and applicable codes.

### 3.1 INTRODUCTION

The power of the ASC X12 standard is in its building block concept, which standardizes the essential elements of business transactions. It is analogous to a "standard bill of materials and the construction specifications," which gives the architect flexibility in what can be designed with standardized materials and procedures. The EDI system designer, like the architect, uses the ASC X12 standards to build business transactions that are often different because of their function and yet utilize the ASC X12 standards. The "bill of materials and the construction specification" of ASC X12 are the standards found in the published technical documentation.

ASC X12.3 – The *Data Element Dictionary* specifies the data elements used in the construction of the segments that comprise the transaction sets developed by ASC X12.

ASC X12.5 – The *Interchange Control Structure* provides the interchange control segment (also called an envelope) of a header and trailer for the electronic interchange through a data transmission; it also provide a structure to acknowledge the receipt and processing of the envelope.

ASC X12.6 – The *Application Control Structure* defines the basic control structures, syntax rules, and semantics of EDI.

ASC X12.22 – The *Data Segment Directory* provides the definitions and specifications of the segments used in the construction of transaction sets developed by ASC X12.

The DoD convention in Section 3.4 conform to the above standards and each transaction set is a complete document to the extent possible. For further clarification of acronyms, abbreviations, and codes, refer to ASC X12 published technical documentation. Contact the DoD EDI Executive Agent for copies or the Data Interchange Standards Association, Inc., Suite 355, 1800 Diagonal Road, Alexandria, VA 22314.

### 3.2 CONTROL SEGMENTS

In addition to the communication control structure, the EDI structure provides the standards user with multiple levels of control to ensure data integrity. It does so by using header and trailer control segments

designed to identify uniquely the start and end of the interchange functional groups and transaction sets. The relationship of these control segments is shown in Figure 3.2-1. Control Segment specifications are defined in Section 3.2.2.

### 3.2.1 Description of Use

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

- Define the data element separators and data segment terminators
- Identify the sender and receiver
- Provide control information
- Allow for authorization and security information.

The Interchange Acknowledgment Segment is used to acknowledge one interchange header and trailer envelope where the envelope surrounds one or more functional groups. (No acknowledgment is made for the interchange acknowledgment.)

The interchange control number value in the acknowledgment (TA1 segment) is the same as that for the ISA segment that is being acknowledged. The control number serves as a link between the interchange header and trailer and the acknowledgment of that header and trailer.

The interchange acknowledgment does not report any status on the functional groups contained in the interchange and is separate from the communication system's error procedures.

The preparer of the interchange header and trailer indicates the level of acknowledgment in Data Element 113, Acknowledgment Requested. If an acknowledgment is requested, then the recipient must return an acknowledgment. If not requested, none should be given.

The interchange acknowledgment control segments are placed after the interchange header and before the first functional group or before the interchange trailer if there are no functional groups.

Control segments are standard for all implementation conventions produced for the Department of Defense. Some codes associated with individual data elements within the control segments are unique to the individual transaction set. Others, identify the ANSI version and release in which the convention is written.

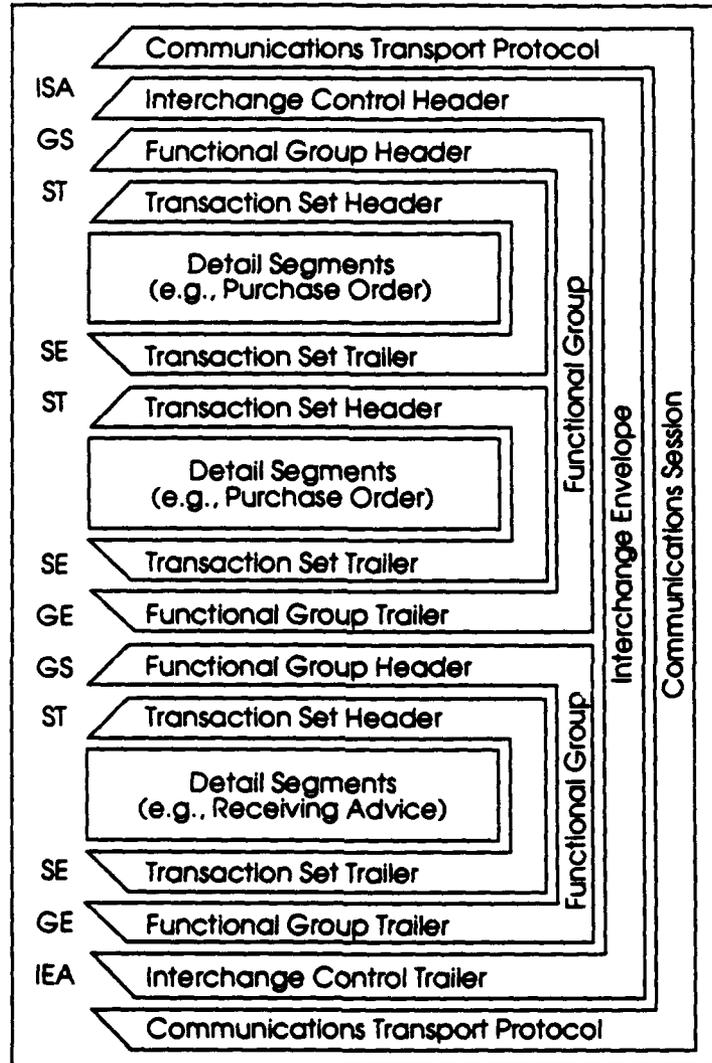


Figure 3.2-1. Hierarchical Structure



### 3.2.2 Control Segment Specifications



**Segment: ISA Interchange Control Header**

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

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	ISA01	I01	<b>Authorization Information Qualifier</b> Code to identify the type of information in the Authorization Information.  00 No Authorization Information Present (No Meaningful Information in I02)	M ID 2/2
Mandatory	ISA02	I02	<b>Authorization Information</b> Information used for additional identification or authorization of the sender or the data in the interchange. The type of information is set by the Authorization Information Qualifier.	M AN 10/10
<b>Implementation Note:</b> If no authorization information is agreed to by trading partners, fill field with blanks.				
Mandatory	ISA03	I03	<b>Security Information Qualifier</b> Code to identify the type of information in the Security Information.  01 Password	M ID 2/2
Mandatory	ISA04	I04	<b>Security Information</b> This is used for identifying the security information about the sender or the data in the interchange. The type of information is set by the Security Information Qualifier.	M AN 10/10
<b>Implementation Note:</b> An agreed upon password. If no security information is agreed to by trading partners, fill field with blanks.				
Mandatory	ISA05	I05	<b>Interchange ID Qualifier</b> Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified.  ZZ Mutually Defined	M ID 2/2
<b>Code Value Implementation Note:</b> An agreed upon designation of DoD Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN).				
Mandatory	ISA06	I06	<b>Interchange Sender ID</b> 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 number in the sender ID element.	M ID 15/15
<b>Implementation Note:</b> DoD activities use Department of Defense Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN). Non-DoD activities use identification code qualified by ISA05 and coordinated with the VAN.				
Mandatory	ISA07	I05	<b>Interchange ID Qualifier</b> Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified.  ZZ Mutually Defined	M ID 2/2

DEPARTMENT OF DEFENSE  
DRAFT IMPLEMENTATION CONVENTION

838 REGISTRATION  
ANSI ASC X12 VERSION/RELEASE 003020DOD\_

001 - CONTROL SEGMENTS  
ISA - INTERCHANGE CONTROL HEADER

		<b>Code Value Implementation Note:</b> <i>An agreed upon designation of DoD Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN).</i>		
Mandatory	ISA08 I07	<b>Interchange Receiver ID</b>	M ID	15/15
		Identification code published by the receiver of the data. When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them.		
		<b>Implementation Note:</b> <i>DoD activities use Department of Defense Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN). Non-DoD activities use identification code qualified by ISA05 and coordinated with the VAN.</i>		
Mandatory	ISA09 I08	<b>Interchange Date</b>	M DT	6/6
		Date of the interchange.		
		<b>Implementation Note:</b> <i>Assigned by translation software. YYMMDD</i>		
Mandatory	ISA10 I09	<b>Interchange Time</b>	M TM	4/4
		Time of the interchange.		
		<b>Implementation Note:</b> <i>Assigned by translation software. HHMM</i>		
Mandatory	ISA11 I10	<b>Interchange Control Standards Identifier</b>	M ID	1/1
		Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer.		
		U U.S. EDI Community of ASC X12, TDCC, and UCS		
Mandatory	ISA12 I11	<b>Interchange Control Version Number</b>	M ID	5/5
		This version number covers the interchange control segments and the functional group control segments.		
		00302 Draft Standard for Trial Use Approved for Publication by ASC X12 Procedures Review Board Through October 1991		
		<b>Code Value Implementation Note:</b> <i>Version ID as defined or agreed upon by the trading partners.</i>		
Mandatory	ISA13 I12	<b>Interchange Control Number</b>	M NO	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.		
Mandatory	ISA14 I13	<b>Acknowledgment Requested</b>	M ID	1/1
		Code sent by the sender to request an interchange acknowledgment.		
		0 No Acknowledgment Requested		
		1 Interchange Acknowledgment Requested		
Mandatory	ISA15 I14	<b>Test Indicator</b>	M ID	1/1
		Code to indicate whether data enclosed by this interchange envelope is test or production.		
		P Production Data		
		T Test Data		

**Code Value Implementation Note:**  
*Assigned by transition software.*

**Mandatory**

**ISA16 I15 Subelement Separator M AN 1/1**  
This is a field reserved for future expansion in separating data element subgroups. (In the interest of a migration to international standards, this should be different from the data element separator).

**Implementation Note:**  
*Use character "<".*

**Segment: GS Functional Group Header**

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

**Syntax:** The data interchange control number (GS06) in this header must be identical to the same data element in the associated Functional Group Trailer (GE02).

**Comment:** 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.

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	GS01	479	<b>Functional Identifier Code</b> Code identifying a group of application related Transaction Sets.	M ID 2/2
	<b>Implementation Note:</b> Choose the code value appropriate to the information content of the functional group. See X12 Dictionary for source code list.			
			TD Trading Partner Profile (838)	
Mandatory	GS02	142	<b>Application Sender's Code</b> Code identifying party sending transmission. Codes agreed to by trading partners.	M AN 2/15
	<b>Implementation Note:</b> DoD activities use Department of Defense Activity Address Code (DoDAAC). Non-DoD activities use identification code assigned by DoD activity. Recommend for increased security that non-DoD code differ from that used in ISA06.			
Mandatory	GS03	124	<b>Application Receiver's Code</b> Code identifying party receiving transmission. Codes agreed to by trading partners.	M AN 2/15
	<b>Implementation Note:</b> DoD activities use Department of Defense Activity Address Code (DoDAAC). Non-DoD activities use identification code assigned by DoD activity. Recommend for increased security that non-DoD code differ from that used in ISA08.			
Mandatory	GS04	29	<b>Group Date</b> Date sender generated a functional group of transaction sets.	M DT 6/6
	<b>Implementation Note:</b> Assigned by translation software.			
Mandatory	GS05	30	<b>Group Time</b> Time (HHMM) when the sender generated a functional group of transaction sets (local time at sender's location).	M TM 4/4
	<b>Implementation Note:</b> Assigned by translation software.			
Mandatory	GS06	28	<b>Group Control Number</b> Assigned number originated and maintained by the sender.	M NO 1/9

**Implementation Note:**

*Assigned by translation software.*

Mandatory

**GS07 455 Responsible Agency Code M ID 1/2**  
Code used in conjunction with Data Element 480 to identify the issuer of the standard.

X Accredited Standards Committee X12

**Code Value Implementation Note:**

*Indicates that an ANSI X12 standard is being transmitted.*

Mandatory

**GS08 480 Version/Release/Industry ID Code M ID 1/12**  
Code indicating the version, release, subrelease and industry identifier of the EDI standard being used. Positions 1-3, version number; positions 4-6, release and subrelease level of version; positions 7-12, industry or trade association identifier (optionally assigned by user).

003020 Draft Standards Approved By ASC X12 Through June 1991.

**Code Value Implementation Note:**

*Code value agreed to by trading partners. See X12 Dictionary for source code list.*

**Segment: GE Functional Group Trailer**

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

**Syntax:** The data interchange control number (GE02) in this trailer must be identical to the same data element in the associated Functional Group Header (GS06).

**Comment:** 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**

REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	GE01 97	Number of Transaction Sets Included	M NO 1/6
		Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element.	

**Implementation Note:**  
*Assigned by translation software.*

Mandatory	GE02 28	Group Control Number	M NO 1/9
		Assigned number originated and maintained by the sender.	

**Implementation Note:**  
*Assigned by the translation software. This control number must match the control number of the preceding GS06 control number.*

**Segment: IEA Interchange Control Traller**

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

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES		
Mandatory	IEA01	I16	<b>Number of Included Functional Groups</b> A count of the number of functional groups included in a transmission.	M	NO	1/5
	<b>Implementation Note:</b> <i>Assigned by translation software.</i>					
Mandatory	IEA02	I12	<b>Interchange Control Number</b> 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.	M	NO	9/9
	<b>Implementation Note:</b> <i>Assigned by the translation software. This number must match the number that occurs in ISA13.</i>					



### 3.3 EXAMPLE OF CONVENTION USE



**EXAMPLE - TRADING PARTNER PROFILE-REGISTRATION (838 R)**

**ASC X12 EDI FORMAT**

**DEFINITION**

ST\*838\*R1000 N/L

THIS IS AN 838 REGISTRATION TRANSACTION SET TRANSACTION SET WITH A CONTROL NUMBER OF R1000

BTP\*00\*REG001\*930128\*0900\*TP\*35 N/L

AN ORIGINAL REGISTRATION WITH A REFERENCE NUMBER OF REG001 CREATED ON JANUARY 28, 1993 AT 9 A.M.. THIS IS AN INITIAL REGISTRATION.

PLA\*1\*SE\*930201 N/L

AN INITIAL REGISTRATION FROM A VENDOR WITH AN EFFECTIVE DATE OF 1 FEBRUARY 1993.

LCD\*1\*DL N/L

THE FIRST ITERATION OF THE LCD SEGMENT INDICATES THAT THE REGISTRATION IS FROM A DEALER.

LCD\*2\*27 N/L.

THE SECOND ITERATION OF THE LCD SEGMENT INDICATES THE DEALER IS A SMALL DISADVANTAGED BUSINESS.

LCD\*3\*30 N/L

THE THIRD ITERATION OF THE LCD SEGMENT INDICATES THE DEALER IS A SECTION (8a) PROGRAM PARTICIPANT.

LCD\*4\*26 N/L

THE FOURTH ITERATION OF THE LCD SEGMENT INDICATES THE DEALER IS LOCATED IN A LABOR SURPLUS AREA.

N1\*ZZ\*J.C. SMITH, INC.\*33\*1B712 N/L

THE COMPANY'S NAME IS J.C. SMITH, INC. AND IT HAS A CAGE CODE OF 1B712.

N3\*1352 N. HAMPTON STREET N/L

COMPANY'S STREET ADDRESS.

N4\*CHICAGO\*IL\*60623-1600 N/L

THE COMPANY IS LOCATED IN CHICAGO, IL WITH A ZIP CODE OF 60623-1600.

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N9\*TJ\*A1B2C3 N/L

THE REGISTERING PARTY'S TAX PAYER'S NUMBER  
IS A1B2C3 .

PER\*IC\*MARTIN JONES\*TE\*3127345796 N/L

COMPANY'S POINT OF CONTACT IS MARTIN JONES  
WHOSE TELEPHONE NUMBER IS 312-734-5796.

TPD\*S\*Z\*12345\*PRIMARY N/L

THE COMPANY HAS A SIC CODE OF 12345 WHICH IS  
A PRIMARY CODE.

PAM\*01\*125\*EA N/L

THE COMPANY HAS 125 EMPLOYEES.

SE\*15\*R1000 N/L

THE TRANSACTION HAS 15 SEGMENTS AND THE  
CONTROL NUMBER IS R1000.

NOTE: ALL NUMBERS ARE NOTIONAL AND USED FOR ILLUSTRATION PURPOSES ONLY.

**3.4 DoD CONVENTION**



## 838 Trading Partner Profile

This standard provides the format and establishes the data contents of the Trading Partner Profile Transaction Set within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used to request, change, verify or transmit business profile information to or from a trading partner. This information can be used by the receiver to facilitate the processing of the sender's business transactions.

The transaction set may be used to convey government survey information, business classification, general survey information, summary supplier ratings changes in the EDI environment information, tax information, entity relationships, and general business profile information to update automated information databases between trading partners.

**Table 1**

PAGE #	POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
4	010	ST	Transaction Set Header	M	1	
5	020	BTP	Beginning Segment For Trading Partner Profile	M	1	
<b>LOOP ID - PLA</b>						<b>&gt;1</b>
7	030	PLA	Place or Location	M	1	
8	040	LCD	Place/Location Description	O	>1	
N/U	050	LIN	Item Identification	O	>1	
<b>LOOP ID - N1</b>						<b>&gt;1</b>
10	060	N1	Name	M	1	
12	070	N2	Additional Name Information	O	2	
13	080	N3	Address Information	O	2	
14	090	N4	Geographic Location	O	1	
15	100	N9	Reference Number	O	>1	
16	110	PER	Administrative Communications Contact	O	>1	
N/U	120	CUR	Currency	O	>1	
N/U	130	TAX	Tax Reference	O	>1	
N/U	140	FOB	F.O.B. Related Instructions	O	>1	
N/U	150	ITD	Terms of Sale/Deferred Terms of Sale	O	>1	
N/U	160	TD5	Carrier Details (Routing Sequence/Transit Time)	O	>1	
N/U	170	FBB	Foreign and Industry Business	O	>1	
<b>LOOP ID - TPD</b>						<b>&gt;1</b>
18	180	TPD	Trading Partner Detail	O	1	
N/U	190	N9	Reference Number	O	>1	
N/U	200	PID	Product/Item Description	O	>1	

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N/U 210	DTM	Date/Time Reference	0	>1
<b>LOOP ID - TUD &gt;1</b>				
N/U 220	TUD	Trade Union Data	0	1
N/U 230	DTM	Date/Time Reference	0	>1
N/U 240	N1	Name	0	1
N/U 250	N2	Additional Name Information	0	2
N/U 260	N3	Address Information	0	2
N/U 270	N4	Geographic Location	0	1
N/U 280	PER	Administrative Communications Contact	0	>1
<b>LOOP ID - SPR &gt;1</b>				
N/U 290	SPR	Supplier Rating	0	1
N/U 300	N9	Reference Number	0	>1
N/U 310	DTM	Date/Time Reference	0	>1
<b>LOOP ID - PAM &gt;1</b>				
19 320	PAM	Period Amount	0	1
N/U 330	DTM	Date/Time Reference	0	>1
N/U 340	TAX	Tax Reference	0	>1
N/U 350	CUR	Currency	0	>1
<b>LOOP ID - TXN &gt;1</b>				
N/U 360	TXN	Transaction Capabilities	0	1
N/U 370	N9	Reference Number	0	>1
N/U 380	DTM	Date/Time Reference	0	>1
<b>LOOP ID - ENE &gt;1</b>				
N/U 390	ENE	Electronic Systems Environment	0	1
<b>LOOP ID - N1 &gt;1</b>				
N/U 400	N1	Name	0	1
N/U 410	N2	Additional Name Information	0	2
N/U 420	N3	Address Information	0	2
N/U 430	N4	Geographic Location	0	1
N/U 440	TPD	Trading Partner Detail	0	>1
N/U 450	PID	Product/Item Description	0	>1
N/U 460	N9	Reference Number	0	>1
N/U 470	PER	Administrative Communications Contact	0	>1
<b>LOOP ID - TXN &gt;1</b>				
N/U 480	TXN	Transaction Capabilities	0	1
N/U 490	N9	Reference Number	0	>1
N/U 500	DTM	Date/Time Reference	0	>1
N/U 510	ERI	Entity Relationship	0	>1
N/U 520	AMT	Monetary Amount	0	>1
21 530	SE	Transaction Set Trailer	M	1

NOTE:

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With each occurrence of the PLA loop, the sum of FBB03 for separately identified countries cannot exceed 100.

Mandatory

**Segment: ST Transaction Set Header**

**Level:** Header

**Loop:** \_\_\_\_\_

**Usage:** Mandatory

**Max Use:** 1

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

**Comment:** The transaction set identifier (ST01) is intended for use by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the invoice transaction set).

**Implementation Note:**

*Implementation convention for the REGISTRATION mapping.*

**Data Element Summary**

REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	ST01	143 Transaction Set Identifier Code Code uniquely identifying a Transaction Set.	M ID 3/3
		838 X12.17 Trading Partner Profile	
Mandatory	ST02	329 Transaction Set Control Number Identifying control number assigned by the originator for a transaction set.	M AN 4/9

**Segment:** **BTP** Beginning Segment For Trading Partner Profile  
**Level:** Header  
**Loop:** \_\_\_\_\_  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the type and purpose of the profile data  
**Syntax:** 1. C0807 — If BTP08 is present, then BTP07 is required.  
 2. C0908 — If BTP09 is present, then BTP08 is required.  
**Comments:** 1. BTP01 indicates the purpose of this EDI transmission.  
 2. BTP02 is the identifying number of this transaction.  
 3. BTP03 and BTP04 are the transaction set date and time.  
 4. BTP06 indicates the status of the data content within the transaction.  
 5. BTP07 indicates reference number or previous reference number associated with this transaction.  
 6. BTP08 and BTP09 are date and time associated with BTP07.

**Data Element Summary**

REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	BTP01 353	Transaction Set Purpose Code Code identifying purpose of transaction set.	M ID 2/2
		00 Original	
		01 Cancellation	
		02 Add	
		03 Delete	
		04 Change	
		07 Duplicate	
Mandatory	BTP02 127	Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier.	M AN 1/30
		<b>Implementation Note:</b> Assigned by the originator of the transaction set. In this context, assign a unique reference number that can be cross-referenced in any subsequent transaction.	
Mandatory	BTP03 373	Date Date (YYMMDD).	M DT 6/6
		<b>Implementation Note:</b> Date the transaction was created.	
Mandatory	BTP04 337	Time Time expressed in 24-hour clock time (HHMMSS) (Time range: 000000 through 235959)	M TM 4/6
		<b>Implementation Note:</b> Time the transaction was created. Use HHMM.	

DEPARTMENT OF DEFENSE  
DRAFT IMPLEMENTATION CONVENTION

838 - REGISTRATION

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BTP - BEGINNING SEGMENT FOR TRADING PARTNER PROFILE

Mandatory	BTP05	640	Transaction Type Code Code specifying the type of transaction.	M	ID	2/2
			TP Trading Partner Information			
Mandatory	BTP06	353	Transaction Set Purpose Code Code identifying purpose of transaction set.	M	ID	2/2
			<b>Implementation Note:</b> <i>Use code 04 when requesting a change to data previously submitted; use code 13 when requesting a change to a previously issued password; use code 27 to verify a password; use code 30 for annual renewal; use code 35 when making an initial registration.</i>			
			04 Change			
			13 Request			
			27 Verify			
			30 Renewal			
			35 Request Authority			
Not Used	BTP07	127	Reference Number	C	AN	1/30
Not Used	BTP08	373	Date	C	DT	6/6
Not Used	BTP09	337	Time	O	TM	4/6

838 - REGISTRATION  
PLA - PLACE OR LOCATION

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**Segment:** PLA Place or Location  
**Level:** Header  
**Loop:** PLA Repeat: >1  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate action to be taken for the location specified and to qualify the location specified  
**Comments:** 1. PLA03 is the effective date for the action identified in PLA01.  
 2. When used, PLA04 is the effective time for the action identified in PLA01.

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES		
Mandatory	PLA01	306	Action Code Code indicating type of action.	M	ID	1/1
	<b>Implementation Note:</b> Use code 1 when submitting initial request; use codes 2, 3, or 4 as appropriate in subsequent transmissions.					
			1 Add			
			2 Change (Update)			
			3 Delete			
			4 Verify			
Mandatory	PLA02	98	Entity Identifier Code Code identifying an organizational entity or a physical location. SE Selling Party	M	ID	2/2
Mandatory	PLA03	373	Date Date (YYMMDD).	M	DT	6/6
	<b>Implementation Note:</b> Effective date when action in PLA01 is required.					
Not Used	PLA04	337	Time	O	TM	4/6

**Optional**

**Segment:** LCD Place/Location Description  
**Level:** Header  
**Loop:** PLA  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To further define and describe a place or location  
**Syntax:** P0506 — If either LCD05 or LCD06 is present, then the other is required.

**Implementation Note:**  
 At least one iteration of the LCD segment is required when BTP06 is either code "30" or code "35".

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
<b>Mandatory</b>	LCD01	350	<b>Assigned Identification</b> Alphanumeric characters assigned for differentiation within a transaction set.	M AN 1/11
<b>Optional</b>	LCD02	98	<b>Entity Identifier Code</b> Code identifying an organizational entity or a physical location.	O ID 2/2

**Implementation Note:**  
 A unique number assigned by the originator of the transaction set.

**Implementation Notes:**

- At least one iteration is required for initial registration and annual updates. In the first iteration, there must be one of the following codes: MF, DL, DS, SJ, 13, SC, or ZZ. In succeeding optional iterations, any of the following applicable codes can be used: 24, RL, VN, M8, 26, SN, 30, or 27. If code 30 is used, do not use code 27 and vice versa; they are mutually exclusive.
- Use as many iterations of LCD as necessary to describe your business entity. Use code M8 to denote an institution that is an historically Black College or University; use code 13 for a service company; use code 24 to indicate a Woman-owned Business; use code 26 to indicate a Labor Surplus Area Firm; use code 27 to indicate an other Disadvantaged Business; use code RL to indicate a Veteran-owned Business; use code 30 for a Section 8(a) Program Participant firm; use code SN to indicate Sheltered Workshop; use code VN to indicate an Educational or nonprofit Institution; use code SC for Sales Office; use code SJ for Construction; use code ZZ for an other type of firm.
- When LCD02 is code ZZ, use the TPD segment to describe the firm.

- 13 Contracted Service Provider
- 24 Woman-Owned Business, Small
- 26 Socially Disadvantaged Business
- 27 Small Disadvantaged Business
- 30 Service Supplier
- DL Dealer
- DS Distributor
- M8 Educational Institution
- MF Manufacturer of Goods
- RL Reporting Location
- SC Store Class
- SJ Service Provider
- SN Store

DEPARTMENT OF DEFENSE  
DRAFT IMPLEMENTATION CONVENTION

838 - REGISTRATION  
LCD - PLACE/LOCATION DESCRIPTION

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		VN Vendor			
		ZZ Mutually Defined			
Not Used	LCD03	306	Action Code	O ID	1/1
Not Used	LCD04	373	Date	O DT	6/6
Not Used	LCD05	66	Identification Code Qualifier	C ID	1/2
Not Used	LCD06	67	Identification Code	C AN	2/17

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**Mandatory**

**Segment: N1 Name**  
**Level: Header**  
**Loop: N1 Repeat: >1**  
**Usage: Mandatory**  
**Max Use: 1**  
**Purpose:** To identify a party by type of organization, name and code  
**Syntax:** 1. R0203 — At least one of N102 or N103 is required.  
 2. P0304 — If either N103 or N104 is present, then the other is required.  
**Comment:** This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.

**Implementation Note:**  
 At least one iteration of the N1 loop is required to convey the address of the registering party.

**Data Element Summary**

REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
<b>Mandatory</b>	<b>N101</b>	<b>98 Entity Identifier Code</b> Code identifying an organizational entity or a physical location.	<b>M ID 2/2</b>

**Implementation Notes:**  
 1. Code ZZ is the registering party; therefore, there must be at least one iteration of the N1 loop using code ZZ in N101. Use code CQ in lieu of code ZZ when firm is a parent.  
 2. If registering party is a subsidiary, use code SI to provide the name of the parent company. If registering party has currently affiliated firms, use code CF to identify them. Use code SN to identify all previously affiliated firms. If registering party has operated under other names, use code PS to provide them.

- CF Subsidiary/Division
- CQ Corporate Office
- PS Previous Station
- S1 Parent
- SN Store
- ZZ Mutually Defined

<b>Required</b>	<b>N102</b>	<b>93 Name</b> Free-form name.	<b>C AN 1/35</b>
<b>Conditional</b>	<b>N103</b>	<b>66 Identification Code Qualifier</b> Code designating the system/method of code structure used for Identification Code (67).	<b>C ID 1/2</b>

**Implementation Note:**  
 In addition to providing long-line address information, N103 will be used if the company has a permanent CAGE code assigned. Use code 33 and carry the actual code in N104. Otherwise, leave blank.

33 Commercial and Government Entity (CAGE)

<b>Conditional</b>	<b>N104</b>	<b>67 Identification Code</b> Code identifying a party.	<b>C AN 2/17</b>
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838 - REGISTRATION  
N1 - NAME

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*Implementation Note:*  
*The CAGE code.*

Optional

**Segment:** N2 Additional Name Information

**Level:** Header

**Loop:** N1

**Usage:** Optional

**Max Use:** 2

**Purpose:** To specify additional names or those longer than 35 characters in length

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	N201	93	Name Free-form name.	M AN 1/35
Optional	N202	93	Name Free-form name.	O AN 1/35

838 - REGISTRATION  
N3 - ADDRESS INFORMATION

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Optional

**Segment: N3 Address Information**

**Level: Header**

**Loop: N1**

**Usage: Optional**

**Max Use: 2**

**Purpose: To specify the location of the named party**

**Implementation Note:**

*Required for the registering party when N101 is code CQ or ZZ and BTP06 is code 30, code 35, or code 04 (if the change affects the N1 segment). Also required for any other firm(s) named at N101/102 under the same condition.*

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES		
Mandatory	N301	166	Address Information Address information	M	AN	1/35
Optional	N302	166	Address Information Address information	O	AN	1/35

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**Segment: N4 Geographic Location**  
**Level:** Header  
**Loop:** N1  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To specify the geographic place of the named party  
**Syntax:** 1. R0105 — At least one of N401 or N405 is required.  
 2. P0506 — If either N405 or N406 is present, then the other is required.  
**Comments:** 1. A combination of either N401 through N404 (or N405 and N406) may be adequate to specify a location.  
 2. N402 is required only if city name (N401) is in the USA or Canada.

**Implementation Notes:**  
 1. Required for the registering party when N101 is code CQ or ZZ and BTP06 is code 30, code 35, or code 04 (if the change affects the N1 segment). Also required for any other firm(s) named at N101/102 under the same condition.  
 2. The DoD uses DoD Manual 5000.12-M to specify country code.

**Data Element Summary**

REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Conditional	N401	19 City Name Free-form text for city name.	C AN 2/19
Optional	N402	156 State or Province Code Code (Standard State/Province) as defined by appropriate government agency.	O ID 2/2
Optional	N403	116 Postal Code Code defining international postal zone code excluding punctuation and blanks (zip code for United States).	O ID 4/9
		<b>Implementation Notes:</b> 1. Zip is required; zip +4 is desired. 2. The DoD uses DoD Manual 5000.12-M to specify country code.	
Optional	N404	26 Country Code Code identifying the country.	O ID 2/2
		<b>Implementation Note:</b> A translation table will be required to convert those standard codes used by ANSI to those used by the DoD as contained in DoD Manual 5000.12-M.	
Not Used	N405	309 Location Qualifier	C ID 1/2
Not Used	N406	310 Location Identifier	C AN 1/25

838 - REGISTRATION  
N9 - REFERENCE NUMBER

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**Optional**

**Segment: N9 Reference Number**  
**Level: Header**  
**Loop: N1**  
**Usage: Optional**  
**Max Use: >1**  
**Purpose:** To transmit identifying numbers and descriptive information as specified by the reference number qualifier  
**Syntax: R0203** — At least one of N902 or N903 is required.

**Implementation Note:**  
*Only one iteration of the N9 segment will be used. Required only if the registering party has a tax payers number.*

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
<b>Mandatory</b>	N901	128	<b>Reference Number Qualifier</b> Code qualifying the Reference Number.	M ID 2/2
			<b>Implementation Note:</b> <i>The taxpayer's identification number is only required for the registering party, not for other entities such as the registering party's parent company or affiliated companies, etc.</i>	
			TJ Federal Taxpayer's Identification Number	
<b>Conditional</b>	N902	127	<b>Reference Number</b> Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier.	C AN 1/30
<b>Not Used</b>	N903	369	<b>Free-form Description</b>	C AN 1/45
<b>Not Used</b>	N904	373	<b>Date</b>	O DT 6/6
<b>Not Used</b>	N905	337	<b>Time</b>	O TM 4/6

**Optional**

**Segment:** PER Administrative Communications Contact  
**Level:** Header  
**Loop:** N1  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify a person or office to whom administrative communications should be directed  
**Syntax:** P0304 — If either PER03 or PER04 is present, then the other is required.

**Implementation Note:**  
 When BTP06 is code 30 or 35, at least one iteration of this segment is required to provide one telephone number (code TE) for a contact at the registering party.

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
<b>Mandatory</b>	PER01	366	<b>Contact Function Code</b> Code identifying the major duty or responsibility of the person or group named.	M ID 2/2
	<b>Implementation Notes:</b>			
	1. Use code IC to represent an information contact.			
	2. Use code CD to provide up to two contract contact ordering representatives' names.			
	3. When N101 is code ZZ, use code CD or IC.			
	4. Code ZZ is used to provide the name of a firm official. Must be used if there is no assigned CAGE code. Include a telephone number.			
			CD Contract Contact	
			IC Information Contact	
			ZZ Mutually Defined	
<b>Optional</b>	PER02	93	<b>Name</b> Free-form name.	O AN 1/35
<b>Conditional</b>	PER03	365	<b>Communication Number Qualifier</b> Code identifying the type of communication number.	C ID 2/2
	<b>Implementation Notes:</b>			
	1. Use any appropriate code, although code EM is preferred.			
	2. If PER03 is code EM, provide the full electronic mail address of the cited party in PER04.			
	3. When BTP06 is code 30 or 35, at least one iteration of this data element is required to provide one telephone number (code TE) for a contact at the registering party.			
			EM Electronic Mail	
			FX Facsimile	
			TE Telephone	
<b>Conditional</b>	PER04	364	<b>Communication Number</b> Complete communications number including country or area code when applicable.	C AN 7/25

**Implementation Note:**

*If the Electronic Mail Address is greater than 25 characters, repeat the PER segment to pick up the remaining characters.*

**Segment: TPD Trading Partner Detail**  
**Level: Header**  
**Loop: TPD Repeat: >1**  
**Usage: Optional**  
**Max Use: 1**  
**Purpose: To describe attribute of a trading partner**  
**Syntax: P0203** — If either TPD02 or TPD03 is present, then the other is required.  
**Implementation Note:**  
 When BTP06 is code 30 or 35, at least one iteration of this segment is required to pass SIC code information.

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	TPD01	349	Item Description Type Code indicating the format of a description.	M ID 1/1
			<b>Implementation Note:</b> Use code F when LCD02 is code ZZ and describe the firm in TPD04. Use code S when listing and describing SIC codes.	
			F Free-form S Structured (From Industry Code List)	
Conditional	TPD02	23	Commodity Code Qualifier Code identifying the commodity coding system used for Commodity Code.	C ID 1/1
			<b>Implementation Note:</b> Use to indicate Standard Industrial Classification (SIC) Code to follow.	
			Z Mutually defined.	
Conditional	TPD03	22	Commodity Code Code describing a commodity or group of commodities.	C AN 1/16
			<b>Implementation Note:</b> SIC code.	
Optional	TPD04	352	Description A free-form description to clarify the related data elements and their content.	O AN 1/80
			<b>Implementation Notes:</b> 1. If registrant deals in all SIC codes, insert an F in TPD01 and the phrase ALL in TPD04. 2. For each SIC Code listed in every iteration of data element TPD03, differentiate between primary (P) and other (O) for the code. 3. If LCD02 is code ZZ and TPD01 is code F, describe the type of firm. 4. When BTP06 is code 30 or 35, at least one iteration of this data element is required to pass SIC code information.	

Optional

**Segment: PAM Period Amount**

**Level:** Header

**Loop:** PAM **Repeat:** >1

**Usage:** Optional

**Max Use:** 1

**Purpose:** To indicate a quantity and/or amount for an identified period

- Syntax:**
1. R0205 — At least one of PAM02 or PAM05 is required.
  2. C020103 — If PAM02 is present, then PAM01 and PAM03 are required.
  3. P0405 — If either PAM04 or PAM05 is present, then the other is required.
  4. P0607 — If either PAM06 or PAM07 is present, then the other is required.
  5. L070809 — If PAM07 is present, then at least one of PAM08 or PAM09 are required.
  6. C0807 — If PAM08 is present, then PAM07 is required.
  7. C0907 — If PAM09 is present, then PAM07 is required.
  8. L101112 — If PAM10 is present, then at least one of PAM11 or PAM12 are required.
  9. C1110 — If PAM11 is present, then PAM10 is required.
  10. P1314 — If either PAM13 or PAM14 is present, then the other is required.

**Semantic:** PAM10, PAM11, or PAM12 are used when two dates are required.

**Implementation Note:**

*When BTP06 is code 30 or 35, there must be at least one iteration of the PAM segment to provide the total number of employees.*

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES		
Conditional	PAM01	673	Quantity Qualifier Code specifying the type of quantity. 01 Discrete Quantity <i>Code Value Implementation Note: Use code 01 to represent employee total.</i>	C	ID	2/2
Conditional	PAM02	380	Quantity Numeric value of quantity.	C	R	1/15
Conditional	PAM03	355	Unit of Measurement Code Code identifying the basic unit of measurement. EA Each	C	ID	2/2
Not Used	PAM04	522	Amount Qualifier Code	C	ID	1/2

DEPARTMENT OF DEFENSE  
DRAFT IMPLEMENTATION CONVENTION

ANSI ASC X12 VERSION/RELEASE 003020DOD

838 - REGISTRATION  
PAM - PERIOD AMOUNT

Not Used	PAM05	782	Monetary Amount	C	R	1/15
Not Used	PAM06	344	Unit of Time Period Code	C	ID	2/2
Not Used	PAM07	374	Date/Time Qualifier	C	ID	3/3
Not Used	PAM08	373	Date	C	DT	6/6
Not Used	PAM09	337	Time	C	TM	4/6
Not Used	PAM10	374	Date/Time Qualifier	C	ID	3/3
Not Used	PAM11	373	Date	C	DT	6/6
Not Used	PAM12	337	Time	C	TM	4/6
Not Used	PAM13	1004	Percent Qualifier	C	ID	1/2
Not Used	PAM14	954	Percent	C	R	1/10

838 - REGISTRATION  
SE - TRANSACTION SET TRAILER

ANSI ASC X12 VERSION/RELEASE 003020DOD

Mandatory

Segment: **SE** Transaction Set Trailer

Level: Header

Loop: \_\_\_\_\_

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).

Comment: SE is the last segment of each transaction set.

**Data Element Summary**

	REF. DES.	DATA ELEMENT	NAME	ATTRIBUTES
Mandatory	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments.	M NO 1/6
Mandatory	SE02	329	Transaction Set Control Number Identifying control number assigned by the originator for a transaction set.	M AN 4/9

**Implementation Note:**

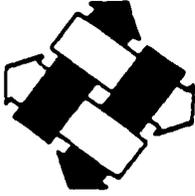
*This is the same number as the one in ST02.*

---

## 4.0 ASC X 12 FORMS

In this chapter, applicable ASC X12 forms are presented.





## **VIII - FORMS, FORMS, FORMS**

**ASC X12 Work Request Form**

**ASC X12 New Project Proposal Form**

**ASC X12 New Transaction Set Development Form**

**Form for New or Revised Appendix A Code Source Reference**

**Document Preparation for Interpretations, Guidelines and Control Standards**

**Sample Transmittal Form**

**ASC X12 Ballot Comment Response Letter Format**

**ASC X12 Standards Order Form**

Rev. 5/10/80  
DATE SUBMITTED \_\_\_\_\_

DM NUMBER \_\_\_\_\_  
(Secretariat Only)

ASC X12

**WORK REQUEST FORM**

**ALL REQUESTS MUST BE TYPED or printed legibly in black ink. Complete both sides.**

1. TO USE THIS FORM FOR SUPPORTING DATA MAINTENANCE FOR A NEW DRAFT STANDARD OR X12 INTERPRETATION, list all requirements on ONE form. Use attachments as necessary. List first all new segments, then all new data elements/codes/code sources. Then list revisions to existing segments and data elements/codes/code sources. Then list any others (e.g., X12.5, X12.6).

2. TO USE THIS FORM TO REQUEST A CHANGE TO AN EXISTING STANDARD, use a separate Work Request Form to list all changes for one transaction set, one segment, one control structure, or one data element. All sections must be completed. Attachments may be used for continuation and should be numbered.

3. TO USE THIS FORM TO REQUEST A PROPOSED NEW X12 PROJECT, complete Section A. Provide a purpose/scope and describe any new features involved in Section B. Provide a description of the business need and justification for the new project in Section C/Part II. The Work Request will be forwarded to an appropriate X12 subcommittee for analysis and preparation of a project proposal.

- Circle One: (1) New Standard Supporting Data Maintenance (use attachments)  
(2) Existing Standard Maintenance Request (see Section D)  
(3) Request for New X12 Project

Acronyms/abbreviations cannot be added to the standards. Industry-specific terms must be clearly explained. Provide Appendix A code source references for all externally published code lists cited. Incomplete forms or those with inadequate support for the change requested will be returned to the submitter.

**A. SUBMITTER INFORMATION**

Submitter: Name \_\_\_\_\_  
Company \_\_\_\_\_  
Address \_\_\_\_\_  
Address/ZIP \_\_\_\_\_  
Phone \_\_\_\_\_

Indicate the X12 subcommittee or task group whose position is represented here.  
I declare that this represents the official position of X12 WORK GROUP: \_\_\_\_\_  
established at the meeting dated \_\_\_\_\_.

**B. PROPOSED WORK:** List the specific changes to the standards being requested. Give the names and associated identifiers of the standards, segments, data elements and codes affected.

Page Two

**C. REASON FOR CHANGE:**

Part I: List the version/release of the standard you are using or using as a reference. Name the transaction set that is being/will be used that dictates the requested change. List affected segments and data elements, or other standards. Provide only reference numbers/IDs.

Reference Source      Version 2/Release \_\_\_\_  
 Transaction Set Used \_\_\_\_\_  
 Segment Affected      \_\_\_\_\_  
 Data Element Affected \_\_\_\_\_  
 Other Standard      \_\_\_\_\_

Part II: Explain why you need the proposed change. Provide a complete scenario that tells what the business function, operation, or problem is that will be satisfied by a change to the standard. The X12J Technical Assessment Subcommittee requires enough information in this Part II to be able to propose an alternate solution if necessary.

**D. RAMIFICATIONS:** If you circled (2) on Page 1, complete this section. To ensure that all ramifications of your proposed change are recorded and that your request is complete, circle below all sections of the standards affected by the proposed change.

<b>TRANSACTION SET</b>	Name	Purpose/Scope	Table Note/Comment
	Segment Position	Require. Desc.	Max. Use
	Loop Repeat	Loop Structure	Add Segment
	Delete Segment		

<b>SEGMENT</b>	Identifier	Name	Definition
	Add DE	Delete DE	Position in Segment
	Require. Desc.	Syntax Note	Semantic Note
	Comment		

<b>DATA ELEMENT</b>	Name	Description	Type
	Min/Max		

<b>CODE</b>	Add code	Delete Code	Revise Code
-------------	----------	-------------	-------------

**OTHER (e.g., X12.5, X12.6):**

**ERRORS NOTED IN THE STANDARD (Give page no. and other identification):**

PP No. \_\_\_\_\_  
(Secretariat Only)

**ASC X12  
NEW PROJECT PROPOSAL FORM**

**PROCEDURE:** Only X12 subcommittees may use this form to register new development activities as X12 project proposals (PPs). Complete all pages. PPs approved by the X12 Procedures Review Board will be registered and assigned a PP number by DISA, and a Transmittal Form will be issued.

Date and complete the form below. Type or print legibly in black ink and number all attachment pages consecutively. Submit to DISA prior to an ASC X12 meeting, or to X12J Technical Assessment Subcommittee during the subcommittee's agenda period at an ASC X12 meeting.

**Date Submitted:**

**Date Approved by Subcommittee:**

**Subcommittee Name:**

**Task Group Name/No.:**

**Joint Development Subcommittee (if any):**

**Circle one: (a) Transaction Set (b) Guideline (c) Other**

**Project Working Title:**

**Official Delegate(s) for This Project To Be Named on Transmittal Form:**

**Name** \_\_\_\_\_ **Name** \_\_\_\_\_

**Company** \_\_\_\_\_ **Company** \_\_\_\_\_

**Address** \_\_\_\_\_ **Address** \_\_\_\_\_

**Address/ZIP** \_\_\_\_\_ **Address/ZIP** \_\_\_\_\_

**Telephone** \_\_\_\_\_ **Telephone** \_\_\_\_\_

**A. PURPOSE AND SCOPE FOR THE PROPOSED WORK:** Provide a well-defined purpose/scope for the proposed work. See X12 Design Rules and Guidelines for requirements.

**B. BACKGROUND:** Provide details that will be helpful in reviewing the proposal. Who are the expected users? How will the standard be used? What business function(s) does it serve?. If the proposed standard overlaps the functionality of an existing standard or one in development, provide justification. If the proposal is not for a new standard or guideline, describe the project in detail. (Use attachments if necessary.)

**C. OTHER STANDARDS INVOLVED:** If applicable, identify any other business information standards that are similar/related to the proposal, and name standards developers (e.g., ANSI Accredited Standards Committees) whose activities may be involved or affected.

**D. EXPECTED CONTENT/GENERAL DESCRIPTION: (OPTIONAL)** Submitter may attach a preliminary draft of the proposed standard or other supporting documentation. Discuss new segments, data elements, control structures, and changes to X12.5 or X12.6 that are required or anticipated. (Use attachments.)

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## FORM FOR NEW OR REVISED APPENDIX A CODE SOURCE REFERENCE

**INSTRUCTIONS:** Complete this form whenever a new data element or data element code is requested to be added which references a code list published by an external (non-X12) organization. Use one form for each new reference. This form may be used to revise current references; fill out the appropriate areas below.

**CIRCLE ONE, COMPLETE AS APPROPRIATE:**

- (1) NEW REFERENCE  
(2) REVISED REFERENCE. Current reference number/name \_\_\_\_\_

**REFERENCE TITLE:** If there is only one source for codes for the data element, the title should be the same as the data element name. If there are multiple codes referencing external code sources for the same data element, title should approximate the code definition.

REFERENCE TITLE: \_\_\_\_\_

**DATA ELEMENTS USED IN:** Give the data element reference number and name which directs the user to this Appendix A code source reference. Give the code ID (if assigned) if this is for a specific code of the data element.

USED IN: DE No. \_\_\_\_\_, Code ID \_\_\_\_\_

**SOURCE:** Provide the name of the publication which contains the codes referenced.

PUBLISHED IN: \_\_\_\_\_

**AVAILABLE FROM:** Give the publisher, or other contact, from whom the user can obtain the document.

Name/Attn of \_\_\_\_\_  
Company \_\_\_\_\_  
Address \_\_\_\_\_  
Address \_\_\_\_\_  
Address/ZIP \_\_\_\_\_

**ABSTRACT:** Briefly describe the publication, its purpose, and indicate what codes it contains.

ABSTRACT: \_\_\_\_\_

Rev. 4/1/80

## DOCUMENT PREPARATION FOR INTERPRETATIONS, GUIDELINES AND CONTROL STANDARDS

These instructions are provided to assist developers of interpretations, guidelines and control structure which are not transaction sets (for transaction sets use the New Transaction Set Development Form).

**GENERAL:** DISA provides title page and front matter for publications and copyedits the document according to DISA house style.

**REVISIONS:** If the document is a revision of a previously published interpretation, guideline or standard, provide a summary of the changes to the original that are contained in the document.

### I INTERPRETATIONS

A formal interpretation of an X12<sup>TM</sup> Standard is considered part of the body of standards when it is approved for publication. The interpretation draft should state the issue presented by the requestor, state the proposed interpretation, and show as attachments any Work Requests that may be necessary to effect the interpretation within the subject standard. The draft interpretation is processed like any other subcommittee document.

### II GUIDELINES

For publication purposes, guidelines are treated like a journal article. Basic requirements are given below.

**ABSTRACT:** This is a precise summary of the Purpose/Scope (see below), and may be identical to it if that is brief (two paragraphs); otherwise summarize the purpose/scope. It should contain enough information about the document to enable a reader determine what the guideline is intended to accomplish within an EDI environment.

**PURPOSE AND SCOPE:** This statement must indicate purpose of the guideline, e.g., the business function or operation addressed. Scope and any specific limitations of scope should be defined.

**BODY OF TEXT:** This may be a number of subsections logically organized. Provide sections for foreword, introduction, definition of terms and concepts, references and related standards, methodology, specifications, requirements, discussion, and conclusions, as appropriate to the subject.

**ART AND GRAPHICS:** Graphics or artwork necessary to illustrate the document are encouraged. Provide camera-ready copy if these are not already prepared and delivered on a WP diskette to DISA.

**FOREWORD, FOOTNOTES, APPENDICES:** These may be used for purposes of clarity, illustration, or general information, not as "part of the guideline." A statement indicating the material is for information purposes only and not part of the guideline shall appear at the beginning of a foreword or appendix.

### III CONTROL STRUCTURES AND OTHER STANDARDS

For publication purposes, these documents are treated like guidelines (see Section II above). The requirements are the same, with the addition of the following:

**NEW SEGMENTS AND DATA ELEMENTS:** These may be defined within the text; however, since they represent changes to X12.22 and X12.3, they should be specified on a Work Request Form attached to the draft.

**RELATED X12<sup>TM</sup> STANDARDS AND OTHER REFERENCES:** These shall be identified in a section within the text.

Page Two

FORMAT: This Draft Standard for Trial Use contains the format and establishes the data contents of the \_\_\_\_\_ Transaction Set (\_\_\_\_) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set (can be used to...)"

**C. PURPOSE AND SCOPE** This statement must indicate the full range of capabilities of the transaction set, and who the senders/receivers are. Explain the business function or operation that is addressed. Follow ASC X12 Design Rules and Guidelines and use this format:

FORMAT: This standard provides the format and establishes the data contents of the \_\_\_\_\_ Transaction Set within the context of an Electronic Data Interchange (EDI) environment. This transaction set (can be used to...)"

**D. TRANSACTION SET TABLE(S)** For each table provide the following information. FORMAT:

TABLE X

POSITION NO.	SEGMENT ID	TITLE	REQ. DES.	MAX. USE.	LOOP COUNT	REPEAT	NOTE REF.
010	ST	Transaction Set Header	M	1			Note 1
020	BB	Beginning Segment For	M	1			Comment 1
etc.							

Note 1: This is a note. NOTES are part of the standard (numbered).

Comment A: This is a comment. COMMENTS are not part of the standard (lettered).

**E. APPENDIX EXAMPLES** Examples are used to test the merit of the proposed transaction and to explain it to users. At least one example is mandatory. No recognizable proper names may be used in any example.

**FIGURE 1:** (Optional) Use a sample paper document using mock data. If used, data must be accurately mapped to Figure 2. Original graphics must be attached (8-1/2x11") so they can be copied.

**FIGURE 2 (or EXAMPLE):** Title the figure and provide a Business Scenario to explain to the reader what is going on in the example. Add the note: "In this example the asterisk (\*) represents the data element separator and the N/L characters represent the segment terminator." Present EDI transmission data and its meaning in two columns, side-by-side. ZZ or ZZZ codes are discouraged, since their usefulness in an explanatory example is nil. FORMAT:

**BUSINESS SCENARIO:** In this transaction set the sender is XYZ Retail Center and the receiver is their supplier, Fantastic Products Manufacturing, Inc....etc.

EDI TRANSMISSION DATA

(TRANSACTION SET PURPOSE) DATA

ST\*SXX\*0005 N/L  
No. 0005  
BB\*01\*79800\* N/L  
79800  
etc.

Begin Transaction Set SXX; Control  
Original Transmission; Ref. No.

Rev. 5/10/80

DM Number \_\_\_\_\_  
(Secretariat Only)

Document No. \_\_\_\_\_  
(Developer Obtains from DISA)

## ASC X12 NEW TRANSACTION SET DEVELOPMENT FORM

**INSTRUCTIONS:** Use this form to submit a draft transaction set for review by X12J Technical Assessment until it is text processed by DISA. Use a new Transaction Set Development Form whenever revisions are proposed and a text file has not yet been prepared by DISA.

**ATTACHMENTS:** Attach all pages; use this form as the first. Follow these instructions for preparing materials.

The submitter must obtain a document number assignment from DISA. Post it to this form (above).

Attach a List of Revisions if the draft was previously reviewed by X12J or if this is a revised/redesigned transaction set standard requiring X12 ballot.

Use ONE Work Request Form to list all supporting data maintenance for the transaction set and attach it to this form. Propose new or revised codes for DE 143 and DE 479 at a minimum, if required.

A Transmittal Form must accompany this document when it is submitted to DISA for distribution.

Use the most recent X12™ Standards Development Workbook to check your document for accuracy.

### A. SUBMITTER INFORMATION

Submitter: Name \_\_\_\_\_  
Company \_\_\_\_\_  
Address \_\_\_\_\_  
Address/ZIP \_\_\_\_\_  
Phone \_\_\_\_\_

Indicate the X12 subcommittee or task group whose position is represented here.

I declare that this represents the official position of X12 WORK GROUP: \_\_\_\_\_  
established at the meeting dated \_\_\_\_\_.

**B. ABSTRACT** The Abstract is registered with the American National Standards Institute. It is a precise summary of the Purpose/Scope (see Section C below). It may be identical to the Purpose/Scope if that is brief (two paragraphs), otherwise summarize the purpose/scope. It should contain enough information about the standard to enable a potential user determine what equivalent paper transaction it represents or what the standard is intended to do. Follow the format on page two.

## SAMPLE TRANSMITTAL FORM

initialized

KEY DATE: February 15, 1990

DELEGATE'S NAME  
RESPONSIBLE SUBCOMMITTEE/TG#

John Doe  
ASC X12Q XX Subcommittee/TG4

TRANSACTION SET/GUIDELINE TITLE

X12.XX ABC/XYZ TRANSACTION SET (8XX)

BALLOT Document No.  
Current Document No.  
Previous Document No.  
Project Proposal No.  
Associated WR/DM No.

ASC X12Q/90-051  
ASC X12Q/90-004  
PP-999  
DM 012-190

### PROJECT PROPOSAL

PP Review by X12J  
PRB Approves PP

(DATE) 2/7/90  
(DATE) 2/9/90

DEVELOPMENT PHASE: Project proposal approval through approval for X12 vote.

Document Submitted for DISA Text Processing  
Subcommittee Approves Draft for Review by X12J, Tech Assessment  
X12J Tech Assessment Review  
PRB Approves Document for X12 Vote

(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_

### ORIGINAL BALLOT DATA (DISA):

Ballot Closed Date  
Tally/Comments Sent to Chair/Delegates  
Tally Stats (Number and Percent)  
\_\_\_\_\_ Ballots Mailed (100%)  
\_\_\_\_\_ Ballots Returned (\_\_\_%)  
\_\_\_\_\_ Approved (\_\_\_%)  
\_\_\_\_\_ App w/Comment (\_\_\_%)  
\_\_\_\_\_ Disapproved (\_\_\_%)  
\_\_\_\_\_ Abstained (\_\_\_%)

(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_

Page Two

**COMMENT RESOLUTION PHASE:** See Sections A, B and C. If the subcommittee at any time decides to rebalot the document, PRB approval is required and response letters are not necessary.

**A. COMMENT RESPONSE LETTERS:** An Open Forum must be scheduled at the next X12 meeting following the ballot closing date. All those who commented receive a comment response letter from the developing subcommittee. DISA records this process and handles the mailing.

Open Forum Date (DATE) \_\_\_\_\_  
Response Letters Mailed Out by DISA (DATE) \_\_\_\_\_  
Rebuttal Period (30 days) Closes (DATE) \_\_\_\_\_

**ADJUSTED BALLOT DATA (DISA):**

30-Day Response Review Closed Date (DATE) \_\_\_\_\_  
Tally/Comments Sent to Chair/Delegates (DATE) \_\_\_\_\_  
Tally Stats (Number and Percent)  
\_\_\_\_\_ Ballots Mailed (100%)  
\_\_\_\_\_ Ballots Returned (\_\_\_%)  
\_\_\_\_\_ Approved (\_\_\_%)  
\_\_\_\_\_ App w/Comment (\_\_\_%)  
\_\_\_\_\_ Disapproved (\_\_\_%)  
\_\_\_\_\_ Abstained (\_\_\_%)

**B. SUBSTANTIVE REVISION:** If ballot comments result in substantive revisions to the document, these are reviewed by X12J and processed by DISA. The revised document is submitted to X12 voters for a 30-day review period. DISA records this process/handles mailing. Subcommittees should conduct 30-day reviews for response letters/revised documents concurrently.

Subcommittee Approval of Revisions (DATE) \_\_\_\_\_  
X12J Review of Revisions (DATE) \_\_\_\_\_  
DISA Mails Revised Document (DATE) \_\_\_\_\_  
Substantive Revision 30-Day Review Closes (DATE) \_\_\_\_\_

**ADJUSTED BALLOT DATA (DISA):**

30-Day Substantive Change Review Closed Date (DATE) \_\_\_\_\_  
Tally/Comments Sent to Chair/Delegates (DATE) \_\_\_\_\_  
Tally Stats (Number and Percent)  
\_\_\_\_\_ Ballots Mailed (100%)  
\_\_\_\_\_ Ballots Returned (\_\_\_%)  
\_\_\_\_\_ Approved (\_\_\_%)  
\_\_\_\_\_ App w/Comment (\_\_\_%)  
\_\_\_\_\_ Disapproved (\_\_\_%)  
\_\_\_\_\_ Abstained (\_\_\_%)

Page Three

**C. CONTINUING OBJECTIONS.** If there are continuing disapprovals after the 30-day review period, the document/disapprovals/responses/continuing objections are mailed to X12 members who originally cast a ballot, for another 30-day review, to give them an opportunity to change their vote.

Continuing Objections Mailed to Chair/Delegate by DISA  
DISA Mails Documents  
30-Day Review Closes

(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_

---

**FINAL ADJUSTED TALLY (DISA):** Whenever any disapprovals are withdrawn, a letter to this effect must be received in writing by DISA.

Final Tally Results Sent to Chair/Delegate  
30-Day Review Stats (Adjusted Tally)

(DATE) \_\_\_\_\_

\_\_\_\_\_ Ballots Mailed (100%)  
\_\_\_\_\_ Ballots Returned ( \_\_\_ %)  
\_\_\_\_\_ Approved ( \_\_\_ %)  
\_\_\_\_\_ App w/Comment ( \_\_\_ %)  
\_\_\_\_\_ Disapproved ( \_\_\_ %)  
\_\_\_\_\_ Abstained ( \_\_\_ %)

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**PRB APPROVAL PHASE:** After the comment resolution period, the subcommittee votes to submit the document to the PRB for approval to publish.

Subcommittee Votes to Release to PRB  
PRB Approves Publication

(DATE) \_\_\_\_\_  
(DATE) \_\_\_\_\_

**FOR DRAFT STANDARDS FOR TRIAL USE:**  
**VERSION/RELEASE/SUBRELEASE ID CODE ASSIGNED:** \_\_\_\_\_

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Page Four

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**TRANSMITTAL FORM INSTRUCTIONS:**

**GENERAL:** This Transmittal Form is a TURNAROUND DOCUMENT which records the history/current status of a project document. It is used to exchange information between the Secretariat and the committee of X12. Information is cumulative (add on). This form is attached to the document whenever it is issued for distribution (it is mandatory for submitting documents to DISA, X12J Technical Assessment, and the PRB). Document control numbers are still required on each document, and new numbers are required whenever it is revised.

**KEY DATE:** This is used to identify the latest version of the document (date associated with the current transmittal form update).

**DELEGATE:** Each subcommittee designates an individual (delegate) from the group responsible for the project. The Secretariat must be informed if the delegate changes.

**INITIATION:** Primary data is recorded by DISA on the initialized form after the project proposal is approved by the PRB. The subcommittee chair and delegate(s) receive the initialized Transmittal Form from DISA; thereafter, they are responsible for recording the appropriate subcommittee approval dates. The chair/delegate will receive a copy of the updated transmittal form whenever it is revised by DISA.

**UPDATING:** At each appropriate step, DISA will POST fresh data to the form, ADD the next appropriate blanks to the form, and SEND it to the subcommittee chair/delegate at each status change. The delegate must POST the form with fresh data at each status change for which the subcommittee is responsible and SEND it with the appropriate document to the Secretariat.

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## ASC X12 BALLOT COMMENT RESPONSE LETTER FORMAT

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### GENERAL INFORMATION

AFTER AN X12 BALLOT, THE RESPONSIBLE SUBCOMMITTEE (OR ITS DESIGNATED TASK GROUP) MUST respond in writing to all disapproval votes. The Organization & Procedures manual (OPM) states that you are not required to respond to those members who approved with comment, but typically all commentors are responded to. The OPM states that all comment responses must be coordinated with the Subcommittee Chair.

There are two response letter formats from which to choose: a generic letter which will be sent to all commentors, and a individualized response to each commentor. See instructions below and the attachments.

#### OPTION 1: GENERIC LETTER (MASTER LETTER) TO ALL COMMENTORS

You may prepare one letter to be sent to all commentors. Every comment received must be reproduced in your letter. For each comment listed, name the commentor (X12 member company name) and the vote recorded for them. Link your response to the comment. If you choose this option, you may group the comments which are similar and respond to them as a group. Every member that disapproved must be responded to.

#### OPTION 2: INDIVIDUAL LETTER TO EACH COMMENTOR

You may prepare one letter for each commentor. If you choose this option, you need not repeat the original comment provided on the ballot. Follow the usual business letter style and the general instructions below. Every member that disapproved must be responded to.

---

### INSTRUCTIONS

**STEP 1:** Plan to print the first page of your letter(s) on ASC X12 letterhead. If you don't have letterhead, you can obtain some from the Secretariat or reproduce the sample attached. You may not use personal, corporate, or blank letterhead for your comment response letter(s).

**STEP 2:** Call the Secretariat for a document control number. This number must appear in the upper right corner of the first page of the letter. If you send an individualized letter to each commentor, the document control number assigned for the first letter will be followed by an "A" (e.g., ASC X12F/TG&SO-120A), the second by a "B" (e.g., ASC X12F/TG&SO-120B), etc.

**STEP 3:** Choose your letter format option (see General Information above).

**STEP 4:** Prepare the letter following the outline, below using a typical business letter format.

- a. Provide a contact name (sender's) in the upper right corner box of the letterhead; include phone number.
- b. Print the document control number under the letterhead box.
- c. Print the date under the document control number.
- d. Address the letter to the individual, or for a generic letter include an addressee line and subject line.
- e. Include an introductory paragraph as the issue is properly identified to the addressee.
- f. You may wish to recap the ballot tally (from your Transmittal Form) for the information of the reader.

**STEP 4:** Forward the letters to the Secretariat, Attention Secretariat Services, with a cover letter requesting distribution of the response letter(s) you have prepared. When the letters have been distributed, the project delegate and subcommittee chair will receive an updated Transmittal Form which has the mailing date and 30-day review period closing date posted.

Attachments:     X12 Letterhead Sample  
                      Sample Master Response Letter  
                      Sample Individual Letter

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ASC X12-ELECTRONIC DATA INTERCHANGE (EDI)

Accredited Standards Committee  
operating under the procedures of the  
American National Standards Institute

Tim Jonesey  
(999) 999-9999

Dan Smithey  
(999) 999-9999

Document No

ASC X12C/TG20/90-999  
June 25, 1990

TO: X12 Members Who Commented on Modifications to  
X12.xx Control Structures

RE: Response to Comments on December Ballot  
DMs 205289, 215289, 317289

Thank you for your comments. This ballot involved modifications to X12.xx. Of the 327 ballots mailed, 153 ballots were returned. Of these, 81 approved, 15 approved with comment, 20 disapproved with comment and 37 abstained.

In general, the vote responses were in favor of the modifications. The majority of the comments focused on the impact of these modifications on the presentation of information in the X12.22 Segment Directory. The proposed modifications and the resulting presentation in the segment directory have been reworked in response to these comments. A revised modification to X12.xx was reviewed by Technical Assessment at the June ASC X12 meeting. Modifications to the document have been made which reflect responses to the comments from this ballot, and a revised copy of X12.xx is being distributed to all who voted on this issue, for 30-day review of revisions.

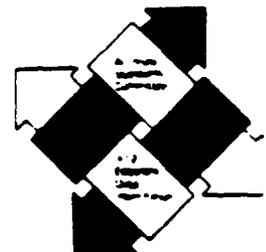
Specific responses to comments follow.

**COMMENT:** Automobile Corporation

"Add the following note to Paragraph 3.3: NOTE: Communication protocol characters should be excluded from the character set."

**RESPONSE:**

The cover letter sent out with the voting package explained that the intent was to obtain consensus on the proposed modifications to X12.xx. X12.xx is a difficult standard to amend. We request that ballot responses be considered on the merits of the recommended modifications and not on the standard as a whole. Your comment was outside the scope of the requested modifications.



Page Two

COMMENT: Aircraft Engine Corporation

"Some consideration for Abstract Syntax Notation One (ASN.1) should be allowed.

1. ASN.1 is capable of defining all of the necessary inter-relations needed by X12 transactions.
2. ASN.1 requires less characters to define the same information.
3. ASN.1 is the encoding scheme used by most OSI work."

RESPONSE:

The recommendation to consider usage of ASN.1 encoding reaches far beyond the scope of the modifications requested in this ballot. Activities such as this are best submitted as separate work requests.

COMMENT: Some Software Inc.

"Conditionality of data elements should be left to the discretion of implementation guidelines and agreements. There is much discussion at times as far as whether certain data elements should be mandatory or not; many application systems are incapable of providing certain 'mandatory' information and, as such, filler-type data must be inserted."

RESPONSE:

The issue of data element conditionality as a whole is a much broader subject than was intended to be addressed within the scope of this ballot. This ballot was intended to provide a means for consistent documentation and application of already existing conditional structures. If the commentator believes that the conditional structure should be removed from the standard, the task group recommends that this be submitted as a separate work request.

Etc.

ASC X12-ELECTRONIC DATA INTERCHANGE (EDI)

Accredited Standards Committee  
operating under the procedures of the  
American National Standards Institute

Joe Somebody  
Chair TG19, X12C  
(999) 999-9999

Document No

ASC X12C/TG8/90-998A  
August 10, 1990

Ms. Jane Doe  
American Bank  
One Central Plaza  
Middle America, MO 99999

RE: Response to Ballot Comments on  
ASC X12 Model Guideline

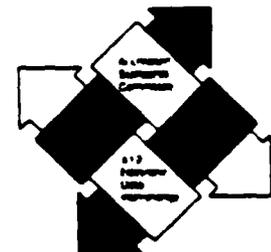
Dear Ms. Doe:

Subcommittee X12C has empowered its Task Group 19 to provide responses to the comments on this ballot. The members of TG19 wish to thank all X12 members who took the time and effort to vote on this guideline. We especially thank each individual who provided comments, whether in approval or disapproval of the guideline. We recognize and appreciate your careful review of this document.

Our response is keyed to the numbered items in the comments attached to your ballot.

**RESPONSE**

1. We agree with your comment. In Section 4.2.2, we have replaced "we utilize rules ..." with "rules ... are utilized".
2. The confusion between Section 4.2.3 and Section 6.2 only exists because of the example we chose in the first section. This is a hypothetical example, of a simplified model. Headers and trailers can be placed on the content at ALL levels, and do not necessarily correspond to ASC X12 headers and trailers.
3. We agree with your comment. Section 6.2 has been changed so that "the establishment of ..." was added to items 1 and 4.





## 5.0 GLOSSARY

This chapter contains ASC X12 and DoD specific glossaries.

### 5.1 X12 GLOSSARY

#### **ANSI**

American National Standards Institute

#### **ANSI Standard**

A document published by ANSI that has been approved through the consensus process of public announcement and review. Each of these standards must have been developed by an ANSI committee and must be revisited by that committee within 5 years for update. See Draft Standard for Trial Use (DSTU).

#### **Area Transaction Set**

Identifies a predefined area within a transaction set (header, detail, summary) containing segments and their various attributes.

#### **ASC X12**

Accredited Standards Committee, X12 comprises industry members who create EDI standards for submission to ANSI for subsequent approval and dissemination; or for submission to the UN/ECE for approval and submission of UN/EDIFACT standards.

#### **Authentication**

A mechanism which allows the receiver of an electronic transmission to verify the sender and the integrity of the content of the transmission through the use of an electronic "key" or algorithm which is shared by the trading partners. This is sometimes referred to as an electronic signature.

#### **Compliance Checking**

A checking process that is used to ensure that a transmission complies with ANSI X12 syntax rules.

#### **Conditional (C)**

A data element requirement designator which indicates that the presence of a specified data element is dependent on the value or presence of other data elements in the segment. The condition must be stated and must be computer processable.

#### **Control Segment**

A Control Segment has the same structure as a Data Segment but is used for transferring control information for grouping data segments. Control Segments are Loop Control Segments (LS/LE), Transaction Set Control Segments (ST/SE), and Functional Group Control Segments (GS/GE), defined in X12.6, and Interchange Control Segments (ISA/IEA/TA1) defined in X12.5.

**Data Element**

The basic units of information in the EDI standards containing a set of values that represent a singular fact. They may be single-character codes, literal descriptions, or numeric values.

**Data Element Length**

This is the range, minimum to maximum, of the number of character positions available to represent the value of a data element. A data element may be of variable length with range from minimum to maximum, or it may be of fixed length in which the minimum is equal to the maximum.

**Data Element Reference Number**

Reference number assigned to each data element as a unique identifier.

**Data Element Requirement Designator**

A code defining the need for a data element value to appear in the segment if the segment is transmitted. The X12 codes are mandatory (M), optional (O), or conditional (C). DoD may "require" a segment which is optional by X12 standards.

**Data Element Separator**

A unique character preceding each data element that is used to delimit data elements within a segment. DoD uses "\*" as the delimiter.

**Data Element Type**

A data element may be one of six types: numeric, decimal, identifier, string, date, or time.

**Delimiters**

The delimiters consist of two levels of separators and a terminator. The delimiters are an integral part of the transferred data stream. Delimiters are specified in the interchange header and may not be used in a data element value elsewhere in the interchange. From highest to lowest level, the separators and terminator are segment terminator and data element separator.

**DISA**

Data Interchange Standards Association. A nonprofit organization funded by ASC X12 members which serves as the Secretariat for X12.

**DSTU**

Draft Standard for Trial Use. Represents a document approved for publication by the full X12 committee following membership consensus and subsequent resolution of negative votes. (Final Report of X12 Publications Task Group). The Draft EDI Standard for Trial Use document represents an ASC X12 approved standard for use prior to approval by ANSI. See ANSI Standard.

**EDI**

Electronic Data Interchange. The computer application to computer application exchange of business information in a standard format.

**Electronic Envelope**

Electronic information which binds together a set of transmitted documents being sent from one sender to one receiver.

**Element Delimiter**

A single-character which follows the segment identifier and separates each data element in a segment except the last.

**Functional Group**

A group of one or more transaction sets bounded by a functional group header segment and a functional group trailer segment.

**Functional Group Segments**

GS/GE segments identify a specific functional group of documents such as purchase orders.

**Industry Conventions**

Defines how the ASC X12 standards are used by the specific industry

**Industry Guidelines**

Defines the EDI environment for using conventions within an industry. It provides assistance on how to implement X12 standards.

**Interchange Control Segments**

ISA/IEA segments identify a unique interchange being sent from one sender to one receiver (see electronic envelope).

**Interchange Control Structure**

The interchange header and trailer segments envelop one or more functional groups or interchange-related control segments and perform the following functions: (1) defines the data element separators and the data segment terminators, (2) identifies the sender and receiver, (3) provides control information for the interchange, and (4) allows for authorization and security information. (X12.5)

**Loop**

A group of semantically related segments; these segments may be either bounded or unbounded (X12.6). The N1 loop is an example of a loop, which includes segments N1 to PER for name and address information.

**Mandatory (M)**

A data element/segment requirement designator which indicates the presence of a specified data element is required.

**Mapping**

The process of identifying the standard data element's relationship to application data elements.

**Max Use**

Specifies the maximum number of times a segment can be used at the location in a transaction set

**Message**

Entire data stream including the outer envelope

**Optional (O)**

A data element/segment requirement designator which indicates the presence of a specified data element/segment is at the option of the sending party which can be based on the mutual agreement of the interchange parties.

**Qualifier**

A data element which identifies or defines a related element, set of elements, or a segment. The qualifier contains a code taken from a list of approved codes.

**Repeating Segment**

A segment that may be used more than once at a given location in a transaction set. See Max Use.

**Security**

System screening which denies access to unauthorized users and protects data from unauthorized uses

**Segment**

Segments consist of logically related data elements in a defined sequence. A data segment consists of a segment identifier, one or more data elements each preceded by an element separator, and ends with a segment terminator.

**Segment Directory**

Provides the purpose and format of the segments used in the construction of transaction sets. The directory lists each segment by name, purpose, identifier, the contained data elements in the specified order, and the requirement designator for each data element.

**Segment Identifier**

A unique identifier for a segment composed of a combination of two or three upper-case letters and digits. The segment identifier occupies the first-character positions of the segment. The segment identifier is not a data element. The segment identifier in EDIFACT is a component data element — part of a composite data element consisting of a segment identifier and an explicit looping designator.

**Segment Terminator**

A unique character appearing at the end of a segment to indicate the termination of the segment, e.g., N/L.

**Syntax**

The grammar or rules which define the structure of the EDI standards (i.e., the use of loops, qualifiers, etc.). Syntax rules are published in ANSI X12.6.

**Transaction Set**

The transaction set unambiguously defines, in the standard syntax, information of business or strategic significance and consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment.

**Transaction Set ID**

An identifier that uniquely identifies the transaction set. This identifier is the first data element of the transaction set header segment.

**Translation**

The act of accepting documents in other than standard format and translating them to the standard.

**Version/Release**

Identifies the publication of the standard being used for the generation or the interpretation of data in the X12 standard format. May be found in the Functional Group Header Segment (GS) and in the Interchange Control Header Segment (ISA). See Control Segment.

**VICS Committee**

Voluntary Interindustry Communications Standards for Electronic Data Interchange

**X12**

The ANSI committee responsible for the development and maintenance of standards for electronic data interchange (EDI).

**X12.5**

Interchange Control Structure. 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.

**X12.6**

Application Control Structure. This standard describes the control segments used to envelop loops of data segments, to envelop transaction sets, and to envelop groups of related transaction sets.

## 5.2 DoD GLOSSARY

**AIS**

Automated Information Systems

**ASD(P&L)**

Assistant Secretary of Defense (Production and Logistics)

**DES**

Data Encryption Standard

**DISA**

Defense Information Systems Agency

**DLA**

Defense Logistics Agency

**ISA**

Interchange Control Header Identifier

**NIST**

National Institute of Standards and Technology

**NTE**

Note Identifier

**PLUS**

Protection of Logistics Unclassified/Sensitive Systems

**UN/EDIFACT**

EDIFACT; Electronic Data Interchange for Administration, Commerce, and Transport