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**Electronic Status Reporting Electronic Data Interchange Implementation Guide**

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NOVEMBER, 2024

Table of Contents

[Part 1 - INTRODUCING ESR 3](#_Toc180067170)

[1.1 Overview 3](#_Toc180067171)

[1.2 INTRODUCTION TO ESR 4](#_Toc180067172)

[1.3 ESR DEFINITIONS 4](#_Toc180067173)

[1.4 EDI STANDARDS 5](#_Toc180067174)

[Part 2 - USING THIS GUIDE 7](#_Toc180067175)

[2.1 ABOUT THIS GUIDE 7](#_Toc180067177)

[2.2 CONTENTS OF THIS GUIDE 7](#_Toc180067178)

[Part 3 - BEFORE YOU BEGIN 9](#_Toc180067179)

[3.1 TECHNICAL ENVIRONMENT 9](#_Toc180067181)

[3.2 HARDWARE REQUIREMENTS 9](#_Toc180067182)

[3.3 SOFTWARE REQUIREMENTS 9](#_Toc180067183)

[3.4 Mapping Software 9](#_Toc180067184)

[3.5 Translation Software 10](#_Toc180067185)

[3.6 Web Browser Software 11](#_Toc180067186)

[3.7 INTERNET ACCESS 11](#_Toc180067187)

[Part 4 - GETTING STARTED 12](#_Toc180067188)

[4.1 GUIDELINES FOR ESR IMPLEMENTATION 12](#_Toc180067190)

[4.2 INITIATING ESR 12](#_Toc180067191)

[4.3 TRADING PARTNER AGREEMENT 12](#_Toc180067192)

[4.4 RHS’s ESR Transaction Sets 12](#_Toc180067193)

[4.5 SECURITY 13](#_Toc180067194)

[4.6 QUALITY CONTROL 13](#_Toc180067195)

[4.7 TESTING PROCEDURES 14](#_Toc180067196)

[4.8 Stand Alone Testing 14](#_Toc180067197)

[4.9 USDA, Rural Housing Service’s RHS LINC Electronic Status Reporting (ESR) Connectivity 14](#_Toc180067198)

[Part 5 - INTRODUCING ASC X12 TRANSACTION SETS 15](#_Toc180067199)

[5.1 What Are Transaction Sets 15](#_Toc180067201)

[5.2 TRANSACTION SET COMPOSTION 15](#_Toc180067202)

[5.3 DATA SEGMENTS 15](#_Toc180067203)

[5.4 DATA ELEMENTS 16](#_Toc180067204)

[5.5 COMMUNICATIONS ENVELOPE – GRAMMAR EDITS 17](#_Toc180067205)

[5.6 DATA MAPPING 18](#_Toc180067206)

[Part 6 - RHS ESR BUSINESS DOCUMENTS 33](#_Toc180067207)

[6.1 TRANSACTION SET 203 - SECONDARY MORTGAGE MARKET INVESTOR REPORT 33](#_Toc180067209)

[6.2 Transaction Set 203 - Business Scenario 34](#_Toc180067210)

[6.2.1 Sample of Raw Data 34](#_Toc180067211)

[6.2.2 Sample of Actual T.S. 203 X12 file 34](#_Toc180067212)

[6.2.3 Explanation of Actual T.S. 203 X12 file 35](#_Toc180067213)

[6.3 TRANSACTION SET 203 TRANSMISSION NOTES 37](#_Toc180067214)

[6.4 203 SECONDARY MORTGAGE MARKET INVESTOR REPORT OUTLINE 38](#_Toc180067215)

[6.4.1 Introduction 38](#_Toc180067216)

[6.4.2 Header 38](#_Toc180067217)

[6.4.3 Transaction Set Notes 40](#_Toc180067218)

[6.5 TRANSACTION SET 203 DATA MAPPING GUIDE 41](#_Toc180067219)

[6.5.1 ADJUNCT LOAN STATUS TRANSACTION SET 55](#_Toc180067220)

[6.6 TRANSACTION SET 264 - MORTGAGE LOAN DEFAULT STATUS 56](#_Toc180067221)

[6.7 Default Status Codes – Description of Code and When to Send the Code 57](#_Toc180067222)

[6.8 Transaction Set 264 - Business Scenario 62](#_Toc180067223)

[6.8.1 Sample 1 of Raw Data 62](#_Toc180067224)

[6.8.2 Sample 1 of Actual T.S. 264 X12 file 62](#_Toc180067225)

[6.8.3 Explanation 1 of Actual T.S. 264 X12 file 63](#_Toc180067226)

[6.8.4 Sample 2 of Raw Data - Reporting Multiple Default Status Codes 66](#_Toc180067227)

[6.8.5 Sample 2 of Actual T.S. 264 X12 file - Reporting Multiple Default Status Codes 67](#_Toc180067228)

[6.8.6 Explanation 2 of Actual T.S. 264 X12 file - Reporting Multiple Default Status Codes 68](#_Toc180067229)

[*6.9* TRANSACTION SET 264 TRANSMISSION NOTES 77](#_Toc180067230)

[6.10 264 MORTGAGE LOAN DEFAULT STATUS OUTLINE 78](#_Toc180067231)

[6.10.1 Introduction 78](#_Toc180067232)

[6.10.2 Header 78](#_Toc180067233)

[6.10.3 Transaction Set Notes 80](#_Toc180067234)

[6.11 TRANSACTION SET 264 DATA MAPPING GUIDE 81](#_Toc180067235)

[6.11.1 Adjunct Loan Default Transaction Set 102](#_Toc180067236)

[Part 7 - PART 7 – TECHNICAL ASSISTANCE 103](#_Toc180067237)

[7.1 ONGOING SUPPORT 103](#_Toc180067239)

[7.1.1 BUSINESS SUPPORT 103](#_Toc180067240)

[7.1.2 TECHNICAL SUPPORT 103](#_Toc180067241)

[APPENDIX A – USDA, RHS USDA LINC 104](#_Toc180067242)

[APPENDIX B - FORMS FOR IMPLEMENTING ESR 105](#_Toc180067243)

[APPENDIX C - RHS COMMUNICATIONS ENVELOPE SPECIFICATIONS 106](#_Toc180067244)

[ICS Interchange Control Structures 107](#_Toc180067245)

[APPENDIX D – ADJUNCT TRANSACTION SET 116](#_Toc180067246)

[**TRANSACTION SET 997 FUNCTIONAL ACKNOWLEDGMENT** 116](#_Toc180067247)

[**TRANSACTION SET 997 OUTLINE** 117](#_Toc180067248)

[Introduction 117](#_Toc180067249)

[Transaction Set Notes 117](#_Toc180067250)

[Transaction Set Comment 117](#_Toc180067251)

[**TRANSACTION SET 997 DATA MAPPING GUIDE** 118](#_Toc180067252)

[GLOSSARY 128](#_Toc180067253)

[REFERENCES 134](#_Toc180067254)

# INTRODUCING ESR

## Overview

Rural Housing Service (RHS) is committed to implementing an enhanced electronic status reporting (ESR) system between private industry and RHS. RHS has been accepting only electronic status and default status reports since 2001 using standardized Electronic Data Interchange (EDI) transaction sets.

The growing guaranteed loan program makes it essential that RHS has access to current and accurate loan status information on every loan as well as delinquency information on all delinquent accounts to better monitor lender performance and overall program health. Since 2001, lenders have been required to provide a monthly default status report for all loans that are 30 or more days past due and provide a status report of all loans on a quarterly basis.

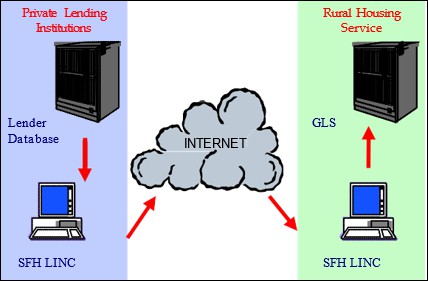
In order to better monitor lender performance and overall program health, lenders are now required to report the status of all loans on a monthly basis and continue to report default statuses monthly. Additionally, the amount of data required to be reported has now increased so that RHS can better monitor the loan portfolio and the performance of RHS lenders.

The new reporting requirements will continue to utilize the American National Standards Institute (ANSI) Accreted Standards Committee (ASC) X12, 264 default status data set and the ASC X12, 203 status data set. However, the number fields required to be reported have increased. To help minimize the impact to lenders/servicers, RHS has modeled the required data after FHA reporting requirements.

RHS will continue with 2 options for lenders to use when reporting. Lenders with less than 100 loans have the option of using the USDA Lender Interactive Network Connection (LINC) web pages, which are designed for manually entering status reports. Lenders with 100 or more loans should use the ANSI X12 dataset reporting option. Lenders with less than 100 loans may also utilize the ANSI X12 option.

Status and default reports must be transmitted by 6:00 PM CST/CDT of the Federal Government's sixth working day following the end of the month.

All Lenders will use the USDA LINC (<https://usdalinc.sc.egov.usda.gov/RHShome.do>), Electronic Status Reporting (ESR) link as the starting point for reporting status and default status reports.

A typical electronic submission is depicted below.

## INTRODUCTION TO ESR

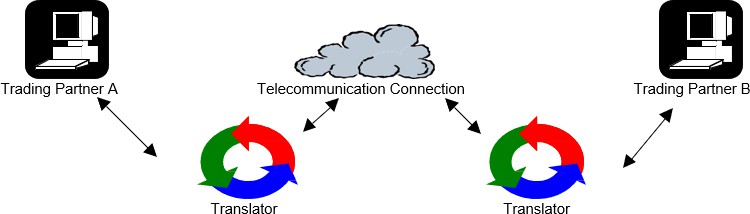
Electronic Commerce is the electronic exchange of documents and information between business partners with minimal or no human intervention. As a component of electronic commerce, EDI is the Application to Application exchange of structured business documents in either the ANSI, ASC X12- approved format or a mutually agreed upon format. EDI is widely recognized as a strategic information systems technology in both the private sector and within the Federal Government.

The ESR process begins when a business entity (Trading Partner A) chooses to electronically exchange data with another business entity (Trading Partner B). The first step in the process is to establish a communication link between the two trading partners. RHS currently supports the following interaction methods:

* X12 File Transfer via Batch Integration Techniques
* X12 File Transfer Via Web Pages
* Web Reporting for Entering Transactions Manually

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

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



## ESR DEFINITIONS

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

|  |  |
| --- | --- |
| *Electronic Data Interchange -* | Electronic Data Interchange (EDI) is an electronic communication method that provides standards for exchanging data via any electronic means. By adhering to the same standard, two different companies or organizations, even in two different countries, can electronically exchange documents (such as purchase orders, invoices, shipping notices, and many others). |
| *Electronic Status Reporting -* | | Electronic Status Reporting (ESR) is business process of exchanging standardized information by computer application-to- computer application between private industry and Rural Housing Service (RHS). This exchange is accomplished by accessing the USDA LINC Electronic Status Reporting web pages and includes the utilization of standardized EDI transaction sets. | |
| *Trading Partner* - | | A Trading Partner (TP) is any company, government department, or commercial or noncommercial entity with which an organization regularly exchanges documents of formatted data (not just letters or memos). | |
| *Trading Partner Agreement* - | | The Trading Partner Agreement is an essential document in the implementation of ESR. It is an agreement that sets forth the rights and obligations of the ESR trading parties. This agreement outlines all conditions that will allow the parties to communicate electronically with each other. The agreement prescribes the general procedures and policies, duties, responsibilities, liabilities, system access, including [delivery](http://www.businessdictionary.com/definition/delivery.html) and [receipt](http://www.businessdictionary.com/definition/receipt.html) of [electronic](http://www.businessdictionary.com/definition/goods-and-services.html) data to be followed when ESR is used for transmitting and receiving electronic business information with RHS. The agreement states that the parties intend to operate in the same manner as though they were exchanging hard copy paper documents. | |
| *Mapping* - | | The process of taking data from a company-specific format and fitting it to the EDI standard format (transaction set). | |
| *Transaction Set* - | | A standard format EDI business document. | |
| *Translation Software* - | | Software used to convert data from a flat file into a standard EDI format or from a standard EDI format into a flat file. | |

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

## EDI STANDARDS

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

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

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

In general, EDI formatting standards address the following issues:

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

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

The Data Interchange Standards Association (DISA) was formed in 1986 to encourage the use of X12 standards. This organization is the administrative secretariat for the X12 organization. It provides services such as printing, distribution, and storage of standards. Additionally, DISA participates in the international development of standards working with EDI for Administration, Commerce, and Trade (EDIFACT).

EDIFACT is a family of standards sponsored by the United Nations. These standards are emerging as the mediums for global electronic trade.

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

# USING THIS GUIDE



## ABOUT THIS GUIDE

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

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

Any lender (Trading Partner) may utilize the ASC X12 format or the RHS LINC Electronic Status Reporting (ESR) *web reporting input* pages. On-line Help for the RHS LINC ESR input page’s is located on the [RHS](https://usdalinc.sc.egov.usda.gov/RHShome.do) [LINC](https://usdalinc.sc.egov.usda.gov/RHShome.do) Electronic Status Reporting Home Page.

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

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

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

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

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

## CONTENTS OF THIS GUIDE

[Part 1,](#_bookmark0) Introducing ESR, introduces the specifics of ESR use at RHS, RHS's ESR goals, ESR’s impact on RHS business processes, and the benefits of ESR. It introduces ESR definitions, concepts, standards, and functional requirements.

[Part 2,](#_bookmark5) Using This Guide, describes the contents of this guide and explains how to use it.

[Part 3,](#_bookmark8) Before You Begin, specifies the technical requirements for implementing ESR, including hardware,

Internet access and software.

[Part 4,](#_bookmark16) Getting Started, provides the operational, procedural, and management details for implementing ESR in your organization. It includes the Trading Partner Agreement, security and quality control issues, and testing procedures.

[Part 5,](#_bookmark26) Introducing ASC X12 Transaction Sets, introduces the electronic form of RHS business documents (transaction sets) and the components of a transaction set.

[Part 6,](#_bookmark33) RHS ESR Business Documents, provides instructions for electronically filing RHS ESR business documents. This part focuses on the mapping guides and business scenarios for conversion of the RHS business documents to an electronic format.

[Part 7,](#_bookmark62) Technical Assistance, provides telephone numbers and an email address for technical assistance. [Appendix A](#_bookmark66) describes the USDA, RHS USDA LINC.

[Appendix B](#_bookmark67) identifies the forms required for implementing ESR with RHS. [Appendix C](#_bookmark68) contains the specifications for the RHS communications envelope.

[Appendix D](#_bookmark70) contains the adjunct transaction set that applies to all RHS transaction sets.

A [Glossary](#_bookmark77) and [Reference](#_bookmark78) section is also provided. References list standards and other documents used in conjunction with ESR while the glossary defines ESR-related terms.

There is a Release section which provides information regarding ESR reporting changes.

# BEFORE YOU BEGIN



## TECHNICAL ENVIRONMENT

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

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

* Data mapping interface or mapping software;
* EDI ASC X12 translation software that supports X12 Release 4010;
* Internet access.

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

## HARDWARE REQUIREMENTS

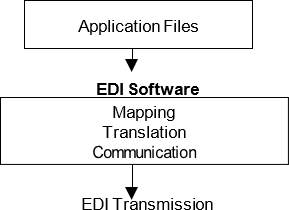
Microcomputers, minicomputers, or mainframes can be used to transact EDI. The hardware platform selected depends upon the information system requirements and constraints of each trading partner.

## SOFTWARE REQUIREMENTS

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

## Mapping Software

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



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

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

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

* Changing the position of the data. — An incoming data element is mapped to multiple places in the reformatted file.
* Changing alphanumeric data length. — Field lengths are truncated or expanded as required.
* Converting one type of numeric data to another type. — Numeric data can be rounded or the number of digits following a decimal can be truncated or expanded as required.
* Reformatting dates. — For example, a date can be changed from the format 10/12/2016 to 10122016.

## Translation Software

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

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

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

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

For incoming EDI transmissions, this process occurs in reverse.

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

EDI software should possess the following characteristics:

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

EDI software vendors provide a wealth of software from which to choose. Before deciding on a software

product, take a moment to determine what hardware platform to use and decide what role, beyond the RHS initiative, ESR will serve in other business communications to your trading partners.

## Web Browser Software

You must use a standard web browser to access the Internet, such as Microsoft Edge. The type of browser and its version of the browser must support 128-bit encryption using TLS 1.2.

## INTERNET ACCESS

The USDA LINC on the Internet is the starting point for reporting monthly portfolio reports and monthly default status reports. The [USDA LINC](https://usdalinc.sc.egov.usda.gov/) address (URL) is [https://usdalinc.sc.egov.usda.gov.](https://usdalinc.sc.egov.usda.gov/) Once you have obtained your e-Auth Level 2 access, you can access the RHS LINC through the USDA LINC. You can electronically submit ASC X12 files to RHS via the RHS LINC Electronic Status Reporting application. An ASC X12 File must not exceed 100 megabytes. Refer to [Appendix A, USDA, RHS's USDA LINC](#_bookmark66) for more information concerning the USDA LINC.

# GETTING STARTED



## GUIDELINES FOR ESR IMPLEMENTATION

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

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

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

## INITIATING ESR

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

* Contact the RHS ESR Lender Outreach Team to indicate interest in conducting ESR and to coordinate an implementation schedule.
* Sign a Trading Partner Agreement and submit the agreement to the RHS ESR Lender Outreach Team. All TPAs not executed on the new TPA dated 12/2016 will expire. All Trading Partners will be required to execute a new TPA after 12/1/2016.
* Develop technical environment as described in Part 3 of this guide.
* Modify internal operational environment to facilitate changes from paper-based processing.
* Review Trading Partner Agreement for conditions and procedures to follow when utilizing EDI to transmit data.
* Conduct testing.

## TRADING PARTNER AGREEMENT

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

## RHS’s ESR Transaction Sets

The business documents that we will be trading are known as transaction sets. The Accredited Standards Committee (ASC) of the American National Standards Institute (ANSI) defines each transaction set.

Within the ASC, an X12 subcommittee is dedicated to EDI standards. Each transaction set has a name defined by ASC X12, which is usually a three-digit number. RHS is initially going to trade the following three transaction sets:

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

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

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

## SECURITY

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

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

Secondly, all users of the Trading Partner that will access the Electronic Status Reporting Application via USDA LINC are required to have a Level 2 e-Authentication (e-Auth) ID and be authorized in the Application Authorization Security Management (AASM) system. Each trading partner will identify one or more Lender Security Administrators and provide their names and their level 2 e-Authentication ID to RHS as part of the Trading Partner Agreement submission. The Lender Security Administrators will be provided access to the AASM system. The Lender Security Administrators will be able to log into AASM, accessible on the USDA LINC website (<https://usdalinc.sc.egov.usda.gov/RHShome.do>) in order to authorize the access for users in their organization for ESR purposes. Further guidance on setting up an e-Auth ID and the use of AASM is provided in the ESR User Guide.

## QUALITY CONTROL

The issue of quality control is an important aspect of a well-designed ESR implementation process.

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

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

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

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

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

* Message/Status Log — Provides a log of all EDI messages for a range of dates or events.
* Event Log — Used for host notification of event results.
* Session Totals Report — Summarizes transmission totals for a range of events with

subtotals for EDI transactions.

* Data Generated through the Database — User defined report capability.

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

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

## TESTING PROCEDURES

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

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

Testing procedures are classified in two different groups.

* Stand-alone testing; and
* USDA, Rural Housing Service’s RHS LINC Electronic Status Reporting (ESR) connectivity.

## Stand Alone Testing

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

## USDA, Rural Housing Service’s RHS LINC Electronic Status Reporting (ESR) Connectivity

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

* Simulated testing, and
* Limited parallel testing.

The servicing lender’s staff should contact the [RHS ESR Lender Outreach Team](#_bookmark62) when they are ready to transfer the test data for each transaction set. A time frame will be established for transferring the data files for each of the required transaction sets.

# INTRODUCING ASC X12 TRANSACTION SETS



## What Are Transaction Sets

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

In basic terms, a transaction set consists of business information of strategic significance arranged in a standard syntax. A transaction set is the electronic equivalent of a specific business document and each transaction set has a three-digit numeric code that corresponds to a paper form control number.

## TRANSACTION SET COMPOSTION

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

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

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

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

## DATA SEGMENTS

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

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

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

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| DFI | DFI01 |  | DFI02 | DFI03 | DFI04 | N/L |
| Status |  | Claim Filling | Yes/No | Yes/No |
| **\*** Reason |  | **\*** Indicator | **\*** Condition or | **\*** Condition or |
| Code |  | Code | Response Code | Response Code |
| O/Z ID | 3/3 | O/Z ID 1/2 | O/Z ID 1/1 | O/Z AN 1/1 |

* Although at first glance the diagram looks confusing, it is actually very straightforward and provides all of the information needed to translate information from paper format to structured ESR format.
* **DFI** — Default Information. This is the data segment identifier.
* **\*** — This is the character separator. It functions to separate data elements.
* **N /L** — New line character signifying the end of the data segment.

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

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

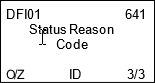
The Segment Directory provides a detailed description and format for each segment used in a transaction set.

## DATA ELEMENTS

Data elements are the smallest unit of information contained in a transaction set. Data elements translate to data fields and represent a qualifier, value, or text. As such, data elements contain information like quantity and cost. Data elements possess two attributes: length and type. Data elements are defined and

maintained in the Data Dictionary. Each element is identified by a number that is referenced in the Data Dictionary. Within segments, data elements are also assigned a requirement designation.

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



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

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

**641** — The data element reference number.

**Status Reason Code** — The name of the data element.

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

**ID** — Indicates the data element type. Data can be: N = Numeric R

= Decimal

ID = Identification code found in data dictionary AN= Alphanumeric string

DT = Date in YYYYMMDD format

TM = Time in HHMM form using a 24-hour clock

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

## COMMUNICATIONS ENVELOPE – GRAMMAR EDITS

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

Figure 5-1 is a graphic that demonstrates the construction of a multiple transaction set transmission and the corresponding electronic envelope.

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

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

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

###### Figure 5-1 Communications Envelope

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Interchange control header | | | |  |  |  |  |  |
|  | Functional group header | | |  |  |  |  |  |
|  |  | Transaction set header | |  |  |  |  |  |
|  |  |  | Detail data  segments  (e.g.,ST\*264\*00001~) | | |  |  |  |
|  |  | Transaction set trailer | |  |  |  |  |  |
|  |  | Transaction set header | |  |  |  |  |  |
|  |  |  | Detail data  segments  (e.g.,ST\*264\*00001~) | |  |  |  |  |
|  |  | Transaction set trailer | |  |  |  |  |  |
|  | Functional group trailer | | |  |  |  |  |  |
|  | Functional group header | | |  |  |  |  |  |
|  |  | Transaction set header | |  |  |  |  |  |
|  |  |  | Detail data  segments  (e.g.,ST\*264\*00001~) | |  |  |  |  |
|  |  | Transaction set trailer | |  |  |  |  |  |
|  | Functional group trailer | | |  |  |  |  |  |
| Interchange control trailer | | |  |  |  |  |  |  |

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

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

## DATA MAPPING

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

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

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

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

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

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

contained within a loop.

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

**Usage** - Indicates whether the segment is **M**andatory or **O**ptional.

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

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

**Syntax Notes** - Indicate the syntactical use of the data elements within a segment. Syntax notes indicate whether data elements are **R**equired, **P**aired, or **C**onditional. The **X** designator in the data element attributes column flags the existence of syntax notes. For example, **R**0203 indicates that you must use either data element 02 or 03; whereas, **P**0304 indicates that if either 03 or 04 is present, then the other is required. **C**0203 indicates that data element 03 is required when 02 is present.

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

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

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

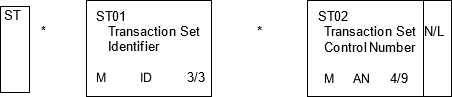
**Ref. Des*.*** - Indicates the data element identifier and a two-digit sequence number. For example, ST01 is the first data element of the ST segment.

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

**Name** - The name of the data element.

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

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



The ST line of transmission would appear as follows:

**ST\*264\*0001 N/L**

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

|  |
| --- |
| **Usage**  Indicates whether the segment is Mandatory (**M**) or Optional (**O**). |

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

|  |
| --- |
| **Max Use**  Indicates the maximum number of times the segment can be used in a transaction. |

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: PER Administrative Communications Contact**

**Position:** 080

**Loop:** 0100 Mandatory

**Level:** Heading

**Usage:** Optional

**Max Use:** 1

**Purpose:** To identify a person or office to whom administrative communications should be directed.

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

**2** If either PER05 or PER06 is present, then the other is required.

**Semantic Notes:**

**Comments:**

**Data Element Summary**

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

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

**Segment: CSI Claim Status Information**

**Position:** 010

**Loop:** 0200 Mandatory

**Level:** Summary:

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To indicate the status of a claim for mortgage insurance benefits.

**Syntax Notes:**

**Semantic Notes:** **1** CSI01 contains the code indicating the status of the claim for mortgage insurance benefits.

**2** CSI02, CSI03, and CSI04 indicate the submission date associated with the claim status indicated in CSI01.

**Comments:**

**Data Element Summary**

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

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ST01** | **143** | **Transaction Set Identifier Code**  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | **M ID 3/3** |
| **Must Use** | **ST02** | **329** | **Transaction Set Control Number**  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | **M AN 4/9** |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Ref. Des. | Data Element | Name | Attributes |
| Must Use | ST01 | 143 | Transaction Set Identifier Code  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | M ID 3/3 |
| Must Use | ST02 | 329 | Transaction Set Control Number  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

|  |
| --- |
| **Data Element Summary**  Provides information about each of the data elements that are contained within the segment.  **Ref. Des.** — The data element reference designator is the data segment identifier plus a two-digit sequence code.  **Data Element** — The index reference number to the Data Dictionary standard where the content of all data elements is found.  **Name** — Name of the data element and its definition. When specific codes are listed in this mapping example, they represent the set of codes to be used when the data element is used. Note that the codes with Code Number (e.g.,194) and code definition (e.g., Period Ending) listed represent existing ANSI ASC X12 approved data element codes.  **X12 Attributes** — Includes the data element requirement designator (**M**andatory, **O**ptional,  **X-**Conditional), data element type (ID, AN, NO, R), and data element size (minimum/maximum). The data element requirement designator **X** indicates the presence of syntax notes specifying the conditional use for the data element. |

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ST01** | **143** | **Transaction Set Identifier Code**  Code uniquely identifying a Transaction Set.  264 X12.285 Mortgage Loan Default Status | **M ID 3/3** |
| **Must Use** | **ST02** | **329** | **Transaction Set Control Number**  Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | **M AN 4/9** |

|  |
| --- |
| NOTE: The sender assigns the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment for each transaction. |

# RHS ESR BUSINESS DOCUMENTS



## TRANSACTION SET 203 - SECONDARY MORTGAGE MARKET INVESTOR REPORT

Transaction set (TS) 203, Secondary Mortgage Market Investor Report, is used for the submission and processing of mortgage loan status data. The TS 203 is an approved ASC X12 Draft Standard for Trial Use (DSTU). Trading Partners are required to submit the Secondary Mortgage Market Investor Report for every loan for each month of the year.

The monthly loan status report will be due from all lenders during the first 6 business days of the month following the month being reported and must be submitted electronically. The submission must occur on or before 6:00 PM Central Standard Time of the sixth business day of the month following the end of the month.

Trading Partner begin by extracting the raw data from their data storage and converting the data into the standard ASC X12 format as described in the following TS 203 data mapping instructions. Once the data is converted, the Trading Partner electronically transmits loan status data from their computers to RHS through the RHS LINC Electronic Status Reporting (ESR) on the Internet. Upon receipt and acceptance of the electronic input, RHS's EDI translator verifies the loan status information for completeness.

If the electronic loan status data is translated successfully, the sender should be able to pick up an RHS acknowledgment receipt within an hour. The RHS acknowledgement receipt will be in the form of an ASC X12 TS 997, Functional Acknowledgment, and is accessible on the RHS LINC Electronic Status Reporting (ESR) application. If the electronic loan status data cannot be translated successfully, an X12 TS 997, Functional Acknowledgement, requesting corrections is placed on the RHS LINC Electronic Status Reporting (ESR) application within an hour, for the sender to pick up.

**If you do not receive an ASC X12 TS 997 within one hour of your submission, please contact the Lender Reporting Branch at 877-636-3789 or email them at** [**RD.SO.HSB@stl.usda.gov.**](mailto:RD.SO.HSB@stl.usda.gov)

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

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

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

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

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

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

**Data Mapping Guide** — we will present a data mapping guide for each transaction set in this part. The guide presents each of the segments and the constituent data elements that comprise the transaction set as defined by the ASC X12 standard. In addition, the shaded note parts provide essential information necessary to understand and implement each transaction set in the context of the relevant RHS application system. Refer to [Part 5, Introducing ASC X12 Transaction Sets,](#_bookmark26) for an overview on how to read a Data Mapping Guide.

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

## Transaction Set 203 - Business Scenario

### Sample of Raw Data

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

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

### Sample of Actual T.S. 203 X12 file

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

ISA\*00\* \*00\* \*ZZ\*111111111002 \*ZZ\*RHSSFH \*000827\*1053\*U\*00401\* 000000007\*0\*T\*>~

GS\*MH\*111111111002\*RHSSFH\*20000827\*1053\*7\*X\*004010SFH~ ST\*203\*0037~ BGN\*00\*MONTHLY\*20000827~ DTP\*730\*D8\*20000930~

REF\*ZZ\*MONTHLY~

N1\*LV\*USA Loan and Trust\*62\*111111111~ N4\*\*\*\*\*ZZ\*002~

LX\*1~

REF\*3H\*998877665\*Smith, John P.~ RLT\*LD\*123456789ABCDEFG~ DTP\*730\*D8\*20000930~

AMT\*UB\*0~ AMT\*KP\*45000~

AMT\*RW\*0~ IRA\*09~ NX2\*09\*MS~ SE\*16\*0037~ ST\*203\*0038~

BGN\*00\*MONTHLY\*20000827~

DTP\*730\*D8\*20000930~ REF\*ZZ\*MONTHLY~

N1\*LV\*USA Loan and Trust\*62\*111111111~ N4\*\*\*\*\*ZZ\*002~

LX\*1~

REF\*3H\*492383293\*Jones, Greg E.~ RLT\*LD\*43875621~ DTP\*730\*D8\*20000930~ AMT\*UB\*9850000~ AMT\*KP\*78500~

AMT\*RW\*32100~ IRA\*01~ NX2\*09\*ND~ SE\*16\*0038~

GE\*2\*7~ IEA\*1\*000000007~

### Explanation of Actual T.S. 203 X12 file

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

|  |  |  |  |
| --- | --- | --- | --- |
| **ESR Transmission** | **Data** | **Explanation** | **Ref. Des.** |
| ST\*203\*0037 ~ | ST | **ST** is the Transaction Set Header segment ID. |  |
|  | 203 | **203** indicates transaction set 203. | ST01 |
|  | 0037 | **0037** is the control number assigned by the Lender translation software. | ST02 |
| BGN\*00\*MONTHLY\*20000827~ | BGN | **BGN** is the Beginning Segment ID. |  |
|  | 00 | **00** indicates that this is an original transaction being reported. | BGN01 |
|  | MONTHLY | **MONTHLY** is the reference name for the transaction set. | BGN02 |
|  | 20000827 | **20000827** is the transmission date (08/27/2000). | BGN03 |
| DTP\*730\*D8\*20000930~ | DTP | **DTP** is the Date, Time, or Period  segment ID. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | DTP02 |
|  | 20000930 | **20000930** indicates the September 2000 reporting cycle. (09/30/2000) | DTP03 |
| REF\*ZZ\*MONTHLY~ | REF | **REF** is the Reference Number segment  ID. |  |
|  | ZZ | **ZZ** indicates mutually defined. | REF01 |
|  | MONTHLY | **MONTHLY**is report type. | REF02 |
| N1\*LV\*USA Loan and Trust\*62\*111111111~ | N1 | **N1** is the Name segment ID. |  |
|  | LV | **LV** indicates the Loan Servicer. | REF01 |
|  | USA Loan and Trust | **USA Loan and Trust** is the Lender Name. | REF02 |

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

## TRANSACTION SET 203 TRANSMISSION NOTES

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

* Ensure that the interchange control segments information for you and RHS is specified as discussed in [Appendix C, RHS Communication Envelope Specifications.](#_bookmark68)
* Ensure that all data is in the format required by RHS's application system.
* Ensure that the file is in the format required by RHS's application system.

The paragraphs below describe each bulleted item.

**Interchange Control Segments.** As stated in [Part 5, Introducing ASC X12 Transaction Sets,](#_bookmark26) the interchange control segments contain control information about you and your trading partner(s) and indicate the number of functional groups included in the transmission. An interchange control header (ISA) identifies the beginning of an interchange of one or more functional groups and interchange-related control segments. An interchange control trailer (IEA) defines the end of an interchange of one or more functional groups and interchange-related control segments. Ensure that all specifications outlined in [Appendix C, RHS Communication Envelope Specifications,](#_bookmark68) are met.

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

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

## 203 SECONDARY MORTGAGE MARKET INVESTOR REPORT OUTLINE

**Functional Group = MH**

### Introduction

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

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

### Transaction Set Notes

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

## TRANSACTION SET 203 DATA MAPPING GUIDE

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

**Segment: ST Transaction Set Header**

**Position:** 010

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:** 01 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

**Comments:**

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ST01** | **143** | **Transaction Set Identifier Code** | M/Z ID 3/3 |
|  |  |  | Code uniquely identifying a Transaction Set.  203 X12.340 Secondary Mortgage Market Investor Report |  |
| **Must Use** | **ST02** | **329** | **Transaction Set Control Number** | M AN 4/9 |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set |  |

|  |  |
| --- | --- |
| **ESRSegment:** | **BGN Beginning Segment** |
| **Position:** | 20 |
| **Loop:** |  |
| **Level:** | Heading |
| **Usage:** | Mandatory |
| **Max Use:** | 1 |
| **Purpose:** | To indicate the beginning of a transaction set. |
| **Syntax Notes:** | If BGN05 is present, then BGN04 is required. |
| **Semantic Notes:** | 1 BGN02 is the transaction set reference number.  2 BGN03 is the transaction set date.  3 BGN04 is the transaction set time.  4 BGN05 is the transaction set time qualifier.  5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction. |
| **Comments:** | The BGN segment is required each time a Transaction Set is sent. |

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attrubutes** |
| **Must Use** | **BGN01** | **353** | **Transaction Set Purpose Code** | **M ID 2/2** |
|  |  |  | Code identifying purpose of transaction set.  Lenders will send code "00" to identify the first transmission of any secondary mortgage market investor report in each reporting cycle. Lenders will send code "41" to identify "resubmit" reports after receiving a TS 997 functional acknowledgement from RHS.  00 Original |  |

41 Corrected and Verified

**Must Use BGN02 127 Reference Identification M/Z AN 1/30**

Reference number or identification number as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier.

Insert "MONTHLY."

**Must Use BGN03 373 Date M/Z DT 8/8**

Date expressed as YYYYMMDD.

Insert the current date.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Not Used** | **BGN04** | **337** | **Time** | **X/Z** | **TM 4/8** |
| **Not Used** | **BGN05** | **623** | **Time Code** | **O/Z** | **ID 2/2** |
| **Not Used** | **BGN06** | **127** | **Reference Identification** | **O/Z** | **AN 1/30** |
| **Not Used** | **BGN07** | **640** | **Transaction Type Code** | **O** | **ID 2/2** |
| **Not Used** | **BGN08** | **306** | **Action Code** | **O** | **ID 1/2** |
| **Not Used** | **BGN09** | **786** | **Security Level Code** | **O** | **ID 2/2** |
| **Not Used** | **BGN10** | **624** | **Century** | **O/Z** | **NO 2/2** |

**Segment: DTP Date or Time or Period**

**Position:** 030

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To specify any or all of a date, a time, or a time period.

**Syntax Notes:**

**Semantic Notes:** 1 DTP02 is the date or time or period format that will appear in

DTP03.

**Comments:**

**Notes**: The DTP segment provides month ending data for the status report.

**Data Element Summary**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Ref.** | **Data** |  |  |  |
|  | **Des.** | **Element** | **Name** |  | **Attributes** |
| **Must Use** | **DTP01** | **374** | **Date/Time Qualifier** |  | **M ID 3/3** |
|  |  |  | Code specifying type of date or time, or both date and time.  730 Reporting Cycle Period | |  |
| **Must Use** | **DTP02** | **1250** | **Date Time Period Format Qualifier** | | **M/Z ID 2/3** |
|  |  |  | Code indicating the date format, time format, or date and time format.  D8 Date expressed in Format YYYYMMDD | |  |
| **Must Use** | **DPT03** | **1251** | **Date Time Period** | | **M AN 1/35** |
|  |  |  | Expression of a date, a time, or a range of dates, times or dates and times. | |  |
|  |  |  | Insert the Date of Report formatted as YYYYMMDD  MMDD must be month ending report date and can only equal 0131, 0228, 0229, 0331, 0430, 0531, 0630,  0731, 0831, 0930, 1031, 1130, or 1231. | |  |

**Segment: REF Reference Identification**

**Position:** 040

**Loop:**

**Level:** Heading

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To specify identifying information.

|  |  |  |
| --- | --- | --- |
| **Syntax Notes:** | 02 | R0208 **–** At least one of REF02 or REF03 is required. |
|  | 04 | REF04 contains data relating to the value cited in REF02. |
| **Semantic Notes:** |  |  |
| **Comments:** |  |  |
|  |  | **Data Element Summary** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **REF01** | **128** | **Reference Identification Qualifier** | **M ID 2/2** |
|  |  |  | Code qualifying the Reference Identification.  ZZ Mutually Defined |  |
| **Must Use** | **REF02** | **127** | **Reference Identification** | **X AN 9/13** |
|  |  |  | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |  |
|  |  |  | Insert “MONTHLY.” |  |
| **Must Use** | **REF03** | **352** | **Description** | **X AN 1/80** |
| **Must Use** | **REF04** | **C040** | **Reference Identification Qualifier** | **O/Z** |

**Segment: N1 Name**

**Position:** 050

**Loop:** N1

**Level:** Heading

**Usage:** Optional

**Max Use:** 1

**Purpose:** To identify a party by type of organization, name, and code.

|  |  |  |
| --- | --- | --- |
| **Syntax Notes:** | 02 | R0203 **-** At least one of N102 or N103 is required. |
|  | 03 | P0304 - If either N103 or N104 is present, then the other is required. |
| **Semantic Notes:** |  |  |
| **Comments:** | 04 | This segment, used alone, provides the most efficient method of |
|  |  | providing organizational identification. To obtain this efficiency the "ID |
|  |  | Code" (N104) must provide a key to the table maintained by the |
|  |  | transaction processing party. |
|  | 05 | N105 and N106 further define the type of entity in N101.  **Data Element Summary** |

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

**Segment: N4 Geographic Location**

**Position:** 080

**Loop:** N1

**Level:** Heading

**Usage:** Optional

**Max Use:** 1

**Purpose:** To specify the geographic place of the named party.

**Syntax Notes:** 06 CO605 **–** If N406 is present, then N405 is required. **Semantic Notes:**

**Comments:** 01 A combination of either N401 through N404, or N405 and N406 may be

adequate to specify a location.

02 N402 is required only if city name (N401) is in the U.S. or Canada.

**Data Element Summary**

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

**Segment: LX Assigned Number**

**Position:** 010

**Loop:** LX

**Level:** Detail

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To reference a line number in a transaction set.

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes**: The LX is a required segment. One LX segment should be reported for each loan

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **LX01** | **554** | **Assigned Number** | **M N0 1/6** |
|  |  |  | Number assigned for differentiation within a transaction set. |  |
|  |  |  | The sender assigns LX01 to indicate the number of the iteration of the LX loop sent. For RHS, only ONE iteration of the LX loop can be used per transaction set, so LX01 will always show the number 1. |  |

**Segment: REF Reference Identification**

**Position:** 020

**Loop:** LX

**Level:** Detail

**Usage:** Optional

**Max Use:** 4

**Purpose:** To specify identifying information.

**Syntax Notes:** 02 R0208 – At least one of REF02 or REF03 is required.

**Semantic Notes:** 04 REF04 contains data relating to the value cited in REF02. **Comments:**

**Notes:** One iteration of the REF segment is required for each loan.

**Data Element Summary**

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

|  |  |  |
| --- | --- | --- |
| **Segment:** | **RLT Real Estate Loan Type** | |
| **Position:** | 050 | |
| **Loop:** | RLT | |
| **Level:** | Detail | |
| **Usage:** | Mandatory | |
| **Max Use:** | 1 | |
| **Purpose:** | Used to identify the agency case number, loan number, real estate loan type, pool type and amortization terms. | |
| **Syntax Notes:** | 03 | P00304 - If either RLT03 or RLT04 is present, then the other is required. | |
|  | 07 | P070809 - If any of RLT07 RLT08 or RLT09 is present, then the others are required. | |
|  | 11 | C1110 - If RLT11 is present, then RLT10 is required. | |
| **Semantic Notes:** | 05 | RLT05 identifies the real estate loan type**.** | |
|  | 06 | RLT06 identifies the product type. | |
|  | 12 | RLT12 identifies the pool type. | |
| **Comments:** |  |  | |

**Data Element Summary**

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment:** |  | **DTP Date or Time or Period** | |
| **Position:** |  | 60 |  |
| **Loop:** |  | RLT |  |
| **Level:** |  | Detail |  |
| **Usage:** |  | Mandatory | |
| **Max Use:** |  | 3 |  |
| **Purpose:** |  | To specify any or all of a date, a time, or a time period. | |
| **Syntax Notes:** | |  |  |
| **Semantic Notes:** | | 1 DTP02 is the date or time or period format that will appear in DTP03. | |
| **Comments:** | |  |  |
| **Notes**: |  | The DTP segment provides the month ending date for the status report. | |

**Data Element Summary**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** |  | **Attributes** |
| **Must Use** | **DTP01** | **374** | **Date/Time Qualifier** |  | **M ID 3/3** |
|  |  |  | Code specifying type of date or time, or both date and time. |  |  |
|  |  |  | 730 Reporting Cycle Date |  |  |
| **Must Use** | **DTP02** | **1250** | **Date Time Period Format Qualifier** |  | **M/Z ID 2/3** |
|  |  |  | Code indicating the date format, time format, or date and time format. |  |  |
|  |  |  | D8 Date Expressed in Format YYYYMMDD |  |  |
| **Must Use** | **DTP03** | **1251** | **Date Time Period** |  | **M AN 1/35** |
|  |  |  | Expression of a date, a time, or range of dates, times or dates and times. |  |  |
|  |  |  | Insert the Date of Report formatted as YYYYMMDD MMDD must be month ending report date and can only equal 0131, 0228, 0229, 0331, 0430, 0531, 0630, 731, 0831, 0930, 1031, 1130, 1231. |  |  |

|  |  |
| --- | --- |
| **Segment:** | **AMT Monetary Amount** |
| **Position:** | 70 |
| **Loop:** | RLT |
| **Level:** | Detail |
| **Usage:** | Mandatory |
| **Max Use:** | 8 |
| **Purpose:** | To indicate the total monetary amount. |
| **Syntax Notes:** |  |
| **Semantic Notes:** |  |
| **Comments:** | Three iterations of the AMT segment are required for each loan; one providing Unpaid Principal Balance, one providing Principal and Interest Payment Amount, and one providing Total Amount Delinquent. |

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

|  |  |
| --- | --- |
| **Segment:** | **IRA Investor Reporting Action Code** |
| **Position:** | 80 |
| **Loop:** | RLT |
| **Level:** | Detail |
| **Usage:** | Optional |
| **Max Use:** | 1 |
| **Purpose:** | To identify actions on a status of the mortgage. |
| **Syntax Notes:** | 02 P0203 – If either IRA02 or IRA03 is present, then the other is required. |
| **Semantic Notes:** | 03 IRA03 is the effective date of the action or status. |
| **Comments:** |  |

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **IRA01** | **1376** | **Investor Reporting Action Code** | **M ID 2/2** |
|  |  |  | Code identifying the type of investor reporting action that was needed. |  |
|  |  |  | 01 Active 02 Loss Pending 09 Paid in full, sharge off, third party sale or redemption paid in full 10 Servicing Transfer |  |
| **Not Used** | **IRA02** | **1250** | **Date Time Period Format Qualifier** | **X ID 2/3** |
| **Not Used** | **IRA03** | **1251** | **Date Time Period** | **X/Z AN 1/35** |

**Segment: NX2 Location ID Component**

**Position:** 110

**Loop:** RLT

**Level:** Detail

**Usage:** Optional

**Max Use:** 10

**Purpose:** To define types and values of a geographic location.

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:** NX2 is a required segment. One NX2 segment is required for an existing loan.

**Data Element Summary**

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

**Segment: SE Transaction Set Trailer**

**Position:** 190

**Loop:**

**Level:** Detail

**Usage:** Mandatory

**Max Use:** 1

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

**Syntax Notes:**

**Semantic Notes:**

**Comments:** 00 SE is the last segment of each transaction set.

**Notes**: The SE segment is required each time a Transaction Set is sent.

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **SE01** | **96** | **Number of Included Segments** | **M N0 1/10** |
|  |  |  | Total number of segments included in a transaction set including ST and SE segments. |  |
| **Must Use** | **SE02** | **329** | **Transaction Set Control Number** | **M AN 4/9** |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |
|  |  |  | NOTE: The sender's translation software assigns and generates the control number. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment (ST02) for each transaction. |  |

### ADJUNCT LOAN STATUS TRANSACTION SET

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

This transaction set defines the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Each time a TS 203 or functional group arrives at RHS, RHS informs the servicing lender of receipt by issuing a TS 997. The TS 997 indicates which of the TS 203's were accepted and which were rejected. If all TS 203's were accepted, the Trading Partner has fulfilled the reporting requirements for the TS 203.

However, if one or more of the TS 203's are rejected, the Trading Partner must correct the rejected TS 203's and resubmit the entire set of TS 203's again.

TS 997 is also used in conjunction with other transaction sets, such as the TS 264. However, RHS will not accept files that contain different transaction sets such as a TS 203 and TS 264 in the same file. A file may contain multiple TS 203 or multiple TS 264 transaction sets but not both TS 203 and TS 264 transaction sets. Separate files for the TS 203 and TS 264 transactions sets are required.

For example: A Trading Partner sends multiple TS 203's to RHS in one file. RHS will send back a TS 997 file. If the TS 997 indicates there are errors, you must correct the error and resubmit all the TS 203 records.

[Appendix D, Adjunct Transaction Set,](#_bookmark70) contains the data mapping guide for TS 997.

## TRANSACTION SET 264 - MORTGAGE LOAN DEFAULT STATUS

Transaction set (TS) 264, Mortgage Loan Default Status, is used for the submission and processing of mortgage loan default data. The TS 264 is an approved ASC X12 Draft Standard for Trial Use (DSTU). Servicing lenders are required to submit the Mortgage Loan Default Status when a borrower is 30 days or more past due. Trading Partners are required to resubmit the data every 30 days until the mortgage default event is closed with the appropriate Default Status code.

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

Loan Default Status must be submitted on or before 6:00pm Central Standard Time of the sixth business day of each month.

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

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

If you do not receive an ASC X12 TS 997 within one hour of your submission, please contact the Housing Services Branch at 877-636-3789 or email them at [RD.SO.HSB@stl.usda.gov.](mailto:RD.SO.HSB@stl.usda.gov)

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

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

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

**Business Scenario** - Illustrates the structure of an EDI transmission.

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

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

**Data Mapping Guide** - Presents each of the segments and the constituent data elements that comprise the transaction set as defined by the ASC X12 standard. In addition, the shaded note parts provide essential information necessary to understand and implement each transaction set in the context of the relevant RHS application system. Refer to [Part 5, Introducing ASC X12 Transaction Sets](#_bookmark26) for an overview on how to read a Data Mapping Guide.

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

## Default Status Codes – Description of Code and When to Send the Code

|  |  |  |  |
| --- | --- | --- | --- |
| **USDA New Default Status Codes** | | | |
| **STATUS CODE** | **DEFINITION** | **GUIDANCE FOR USAGE** | **Loan Considered Delinquent Y or N** |
| **General Account Delinquency (AD) – further reporting is required** | | |  |
| 42 | Delinquent | The account is delinquent, and there is no other action reportable. This code must be reported as the initial delinquency code at day 30 of  delinquency | Y |
| 01 | Quality Right Party Contact | Servicer has made live, confirmed contact with a borrower | Y |
| 24 | Government Seizure | There has been a government seizure. | Y |
| 31 | Probate | The property is subject to probate (often a reason for foreclosure delay). | Y |
| 32 | Military Indulgence | The servicer has granted a delinquent service member forbearance or foreclosure proceedings have been stayed under the provisions of the Service members Civil Relief Act or any similar state law. | Y |
| 34 | Natural Disaster | The property is in a Presidentially-declared disaster area eligible for Individual Assistance (as defined by FEMA). | Y |
| AS | RD Moratorium | The foreclosure is on hold at RD's written direction. This includes loans  that are being referred to foreclosure as well as active foreclosures. | Y |
| H4 | Solicitation Letter | Solicitation letter to borrower for loss mitigation | Y |
| H5 | Streamline Solicitation Letter | Servicer is participating in the Streamline Modification Pilot The borrower is at least 90 days past due  The borrower has a deficiency balance of greater than $5,000 Subsequent reporting cycles must report the applicable status code | Y |
| 78 | Borrower Program Assistance Received | The borrower applied for and has been approved for receiving assistance from a state, local, or federal program (such as the Emergency Homeowners Loan Program (EHLP) and the Hardest Hit Fund). Assistance can include additional types in addition to the  examples provided above. | Y |
| **Delinquency Workouts (AL) – further reporting is required** | | |  |
| 06 | Formal Forbearance Plan | Borrower has been approved for a formal forbearance plan, which is a written agreement that is designed to bring the loan current. Code can also be used for plans designed to provide time for borrowers that have been affected by a natural disaster and should be reported until the  borrower’s financial condition improves. . | Y |
| 08 | Trial Payment Plan | Borrower has been approved for a trial payment plan and is making the required trial payments. | Y |
| 09 | Special Forbearance | Borrower has been approved for a Special Forbearance due to unemployment. | Y |

|  |  |  |  |
| --- | --- | --- | --- |
| **USDA New Default Status Codes** | | | |
| **STATUS CODE** | **DEFINITION** | **GUIDANCE FOR USAGE** | **Loan Considered Delinquent Y or N** |
| 10 | Payment Supplement Acct (PSA) | Servicer is participating in the Payment Supplement Account (PSA) Pilot  Borrower is not eligible for any other retention options  Servicer has received the signed agreement from the borrower | Y |
| 11 | Promise to Pay | Borrower advises that the loan will be brought current by making a onetime payment. This code can only be reported if the loan has already been reported as at least 30 days delinquent. | Y |
| 12 | Repayment/  Informal Forbearance Plan | Borrower has been approved for an informal forbearance plan, which is an oral agreement to bring the loan current within three months or less. | Y |
| 15 | Pre-foreclosure Acceptance Plan Available | The borrower has been approved to participate in the Pre-foreclosure sale program. | Y |
| 26 | Refinance Started | The borrower has been approved for a refinance. | Y |
| 28 | Modification Started | The borrower has been approved for a Loan Modification. Code to be reported upon receipt of signed modification documents by the borrower and now in possession of the loan servicer | Y |
| 36 | RD-SLS Stand Alone Mortgage Recovery Advance | All non-Special Loan Servicing (SLS) loss mitigation options have been  exhausted and the servicer has received signed MRA documents from the borrower | Y |
| 39 | RD-SLS Trial Payment Plan | The borrower has been approved for a Trial Payment Plan under RD-SLS. | Y |
| 41 | RD-SLS Modification w/ Mortgage Recovery Advance | Borrower has been approved for a SLS Loan Modification and or combined with a Mortgage Recovery Advance, after successful completion of the RD-SLS Trial Payment Plan. | Y |
| 44 | Deed-in-Lieu Started | The borrower has been approved for a deed in lieu and processing has begun. | Y |
| 50 | Disaster Payment Deferral Modification | The property or the borrower’s employment has been impacted by a PDD  The borrower can maintain the current contractual payment including any escrow shortage created by advances during the forbearance period Servicer has received a signed modification agreement from the borrower  Subsequent reporting cycles must report the applicable status code | Y |
| 51 | Disaster Cap and Extend Modification | The property or the borrower’s employment has been impacted by a PDD  The borrower can maintain the current contractual payment but cannot manage the additional escrow repayment amount  Servicer has received a signed modification agreement from the borrower  Subsequent reporting cycles must report the applicable status code | Y |
| 52 | Disaster Stand Alone Mortgage Recovery Advance | The property or the borrower’s employment has been impacted by a PDD  Servicer has received signed MRA documents from the borrower  Subsequent reporting cycles must report the applicable status code | Y |

|  |  |  |  |
| --- | --- | --- | --- |
| **USDA New Default Status Codes** | | | |
| **STATUS CODE** | **DEFINITION** | **GUIDANCE FOR USAGE** | **Loan Considered Delinquent Y or N** |
|  |  |  |  |
| 55 | COVID Special Relief Measure | The Borrower has been approved for COVID-19 Special Relief Measures Subsequent reporting cycles must report the applicable status code | Y |
| 56 | Pandemic Mortgage Recovery Advance | Servicer is participating in the PMRA Pilot  Servicer has received signed agreement from the borrower Subsequent reporting cycles must report the applicable status code | Y |
| AA | Complete Financials Received and In Review | Loan servicer has received complete financial information from the borrower and review for placement into an appropriate loss mitigation tool has begun. | Y |
| AH | Streamline Modification | Servicer is participating in the Streamline Modification Pilot Servicer has received a signed modification agreement from the borrower  Subsequent reporting cycles must report the applicable status code | Y |
| AQ | Workout Failure | Borrower has failed to perform under the terms of the Loss Mitigation tool utilized by loan servicer. | Y |
| **Ineligible for Loss Mitigation (AI) – further reporting is required** | | |  |
| AO | Ineligible for Loss Mitigation | Loan servicer either has completed loss mitigation evaluation and the borrower has been found to be ineligible, or the borrower is eligible but declines the loss mitigation tool offered. Code can be utilized at any  point in a default event. | Y |
| AP | Ineligible for Loss Mitigation Due to No Response | Borrower is ineligible for any loss mitigation relief because the borrower has not responded to any collection efforts and/or solicitations for loss mitigation. Code can be utilized at any point in a default event. | Y |
| **Account in Foreclosure (AF) – further reporting is required** | | |  |
| 95 | State Mandated Delay &/or Mediation | Foreclosure cannot be initiated or the foreclosure process is on hold due to a state mandated delay, a state law change, or referral of the loan to mediation. Please note, this may be reported before the status code 68 as applicable. | Y |
| 68 | First Legal Action to Commence Foreclosure | The first public legal action required to initiate foreclosure was completed. | Y |
| 33 | Contested Foreclosure | Foreclosure is placed on hold due to borrower contesting the foreclosure. | Y |
| 1A | Foreclosure Sale Held | The foreclosure sale was held. | Y |
| 1B | 3rd Party Foreclosure Sale  Held | The foreclosure sale was held to a 3rd party for less than the full  indebtedness. | Y |
|  |  |  |  |
|  |  |  |  |
| **Account in Bankruptcy (AB) – further reporting is required** | | |  |
| 65 | Chapter 7 Bankruptcy | Borrower filed petition of bankruptcy under Chapter 7. | Y |
| 66 | Chapter 11 Bankruptcy | Borrower filed petition of bankruptcy under Chapter 11. | Y |
| 67 | Chapter 13 Bankruptcy | Borrower filed petition of bankruptcy under Chapter 13. | Y |

|  |  |  |  |
| --- | --- | --- | --- |
| **USDA New Default Status Codes** | | | |
| **STATUS CODE** | **DEFINITION** | **GUIDANCE FOR USAGE** | **Loan Considered Delinquent Y or N** |
| 59 | Chapter 12 Bankruptcy | Borrower filed petition of bankruptcy under Chapter 12. | Y |
| 69 | Bankruptcy Plan Confirmed | Bankruptcy court confirmed the bankruptcy plan. | Y |
| 76 | Bankruptcy Court Clearance Obtained | Bankruptcy is no longer a bar to foreclosure. | Y |
| **Pending Claim – further reporting is required** | | | |
| **17** | Pre-Foreclosure Sale Completed | The pre-foreclosure sale has been held. | Y |
| **47** | Deed‐in‐Lieu Completed | Deed in lieu of foreclosure was completed | Y |
| **74** | Property Redeemed Not Paid in Full | According to state law requirements the borrower redeemed the property after the foreclosure sale  Redemption amount less than full indebtedness; loan is not paid in full | Y |
| **1E** | Eviction Started | The first public action to initiate eviction was completed | Y |
| **1R** | Foreclosure Sale Held – Redemption/Confirmation Required | The foreclosure sale was held and according to state law requirements; there is an applicable redemption/confirmation period | Y |
| **Account Reinstated (AR) – reporting on this case is concluded** | | |  |
| 20 | Reinstated by borrower Who Retains Homeownership w/o Loss Mitigation Intervention | Borrower reinstated delinquency without use of Loss Mitigation (a Special Forbearance, Loan Modification, or RD-SLS Modification), without the use of an informal or formal forbearance/repayment plan, without the use of borrower assistance, or without a promise to pay. | N |
| 21 | Reinstated by Assumptor | Mortgage reinstated by Assumptor. | N |
| 98 | Reinstated after Loss Mitigation Intervention | Borrower reinstated delinquency with benefit of Loss Mitigation (a Special Forbearance, Loan Modification, or RD-SLS Modification), with the use of an informal or formal forbearance/repayment plan, with the use of borrower assistance, or was brought current as agreed when a promise to pay was made. | N |
| **Claim Termination of Guarantee – reporting on this case is concluded** | | |  |
| 48 | Loss Claim | Loss claim was filed by the loan servicer. | N |
| **Non-Claim Termination of Guarantee (NC) – reporting on this case is concluded. IRA Investor Reporting Action**  **Code "09" must also be reported to terminate the loan.** | | |  |
| 13 | Paid in Full | The mortgage loan has been paid in full. | N |
| 29 | Charge-off | The loan servicer has charged off part of the funds that would have paid the account in full. No loss claim will be filed with RD. | N |
| 30 | Third Party Sale | The foreclosure was held, but a third party paid the indebtedness in full. No loss claim will be filed with RD. | N |
| 73 | Property Redeemed Paid in Full | According to state law requirements the borrower redeemed the property after the foreclosure sale. The loan is paid in full and no loss claim will be filed with RD. | N |

|  |  |  |  |
| --- | --- | --- | --- |
| **USDA New Default Status Codes** | | | |
| **STATUS CODE** | **DEFINITION** | **GUIDANCE FOR USAGE** | **Loan Considered Delinquent Y or N** |
|  | | |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Transaction Set 264 - Business Scenario

### Sample 1 of Raw Data

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

|  |  |
| --- | --- |
| Date of Report | 09/30/2000 |
| Lender Name | American Lending Choice |
| Lender Tax ID Number | 124754 |
| Lender Branch Number | 001 |
| **First Loan** | |
| Lender Loan Number | 1991202 |
| Borrower SSN | 5691011 |
| Borrower Name | Johnson, Robert J. |
| Due Date of Last Installment Received | 05/04/2000 |
| Loan Status Code | 42 |
| Status Effective Date | 08/20/2000 |
| Status Reason Code | 005 |
| Property Location | MI |
| **Second Loan** | |
| Lender Loan Number | 43875621 |
| Borrower SSN | 492383293 |
| Borrower Name | Jones, Greg E. |
| Due Date of Last Installment Received | 07/28/2000 |
| Loan Status Code | 43 |
| Status Effective Date | 09/26/2000 |
| Status Reason Code | 006 |
| Property Location | ND |

### Sample 1 of Actual T.S. 264 X12 file

The following illustrates how transaction set 264 looks with this sample data.

ISA\*00\* \*00\* \*ZZ\*000124754001 \*ZZ\*RHSSFH \*000827\*1413\*U\*00401\* 000000001\*0\*P\*>~

GS\*MG\*000124754001\*RHSSFH\*20000827\*1413\*1\*X\*004010SFH~ ST\*264\*0012~

BGN\*00\*DEFAULT-NEW\*20000827~

N1\*LV\*American Lending Choice\*62\*000124754~ N4\*\*\*\*\*ZZ\*001~

LX\*1~ DTP\*730\*D8\*20000930~ REF\*LD\*1991202~

N1\*BW\* Johnson, Robert J.\*34\*005691011~ LS\*0212~

REC\*02~

N4\*\*\*\*\*SP\*MI~ DFI\*005~ SOM\*42\*D8\*20000820~ DTP\*530\*D8\*20000504~ LE\*0212~

SE\*16\*0012~

ST\*264\*0013~ BGN\*00\*DEFAULT\*20000827~

N1\*LV\*American Lending Choice\*62\*000124754~ N4\*\*\*\*\*ZZ\*001~

LX1\*~ DTP\*730\*D8\*20000930~

REF\*LD\*43875621\*Jones, Greg E.~ N1\*BW\*Jones, Greg E.\*34\*492383293~ LS\*0212~

REC\*09~

N4\*\*\*\*\*SP\*ND~ DFI\*006~ SOM\*43\*D8\*200000926~ DTP\*530\*D8\*20000728~ LE\*0212~

SE\*16\*0013~

GE\*2\*1~ IEA\*1\*000000001~

### Explanation 1 of Actual T.S. 264 X12 file

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

|  |  |  |  |
| --- | --- | --- | --- |
| **ESR Transmission** | **Data** | **Explanation** | **Ref. Des.** |
| ST\*264\*0012 ~ | ST | **ST** is the Transaction Set Header segment ID. |  |
|  | 264 | **264** indicates transaction set 264. | ST01 |
|  | 0012 | **0012** is the control number assigned by the Lender translation | ST02 |
| BGN\*00\*DEFAULT-NEW\*20000827~ | BGN | **BGN** is the Beginning segment ID. |  |
|  | 00 | **00** indicates that this is an original transaction being | BGN01 |
|  | DEFAULT | **DEFAULT** is the reference name  for the transaction set. | BGN02 |
|  | 20000827 | **20000827** is the transmission date (08/27/2000). | BGN03 |
| N1\*LV\*American Lending  Choice\*62\*000124754~ | N1 | **N1** is the Name segment ID. |  |
|  | LV | **LV** indicates the Loan Servicer. | N101 |
|  | America n Lending | **American Lending Choice** is the Lender Name. | N102 |
|  | 62 | **62** indicates Servicing Mortgagee Number. | N103 |
|  | 000124754 | **000124754** is the Lender’s Internal Revenue Service Tax  Identification Number. | N104 |
| N4\*\*\*\*\*ZZ\*001~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | ZZ | **ZZ** indicates Mutually Defined. | N405 |

|  |  |  |  |
| --- | --- | --- | --- |
| **ESR Transmission** | **Data** | **Explanation** | **Ref. Des.** |
|  | 001 | **001** is the Rural Housing  Service assigned Lender Branch Number. | N406 |
| LX\*1~ | LX | **LX** is the Assigned Number  segment ID. |  |
|  | 1 | **1** is the LX iteration count assigned  by the Lender translation software. | LX01 |
| DTP\*730\*D8\*20000930~ | DTP | **DTP** is the Date, Time, or  Period segment ID. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format  is YYYYMMDD. | DTP02 |
|  | 20000930 | **20000930** indicates the  September 2000 reporting cycle | DTP03 |
| REF\*LD\*1991202~ | REF | **REF** is the Reference  Number segment ID. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 1991202 | **1991202** is the Loan  Number assigned by the | REF02 |
| N1\* BW\* Johnson, Robert  J.\*34\*005691011~ | N1 | **N1** is the Reference Number  segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Johnso  n, | **Johnson, Robert J.** is the  Borrower’s Name. | REF02 |
|  | 34 | **34** indicates Social Security Number | REF03 |
|  | 005691011 | **005691011** is the Borrower’s  Social Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate  Condition segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*MI~ | N4 | **N4** is the Geographic  Location segment ID. |  |
|  | SP | **SP** indicates State/Province Code. | N405 |
|  | MI | **MI** is the Property State Name. | N406 |
| DFI\*005~ | DFI | **DFI** is the Default  Information segment ID. |  |
|  | 005 | **005** is the Status Reason Code. | DFI01 |
| SOM\*42\*D8\*20000930~ | SOM | **SOM** is the Status of  Mortgage segment ID. |  |
|  | 42 | **42** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format  is YYYYMMDD. | SOM02 |
|  | 20000930 | **20000930** is the Date of  Status. (09/30/2000) | SOM03 |
| DTP\*530\*D8\*20000504~ | DTP | **DTP** is the Date or Time or  Period segment ID. |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **ESR Transmission** | **Data** | **Explanation** | **Ref. Des.** |
|  | 530 | **530** indicates Date of Last  Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format  is YYYYMMDD. | DTP02 |
|  | 20000504 | **20000504** is the Due Date of Last  Installment Received (05/04/2000). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| SE\*16\*0012~ | SE | **SE** is the Transaction Set  Trailer segment ID. |  |
|  | 16 | **16** is the number of segments in  the transmission. | SE01 |
|  | 0012 | **0012** is the control number. | SE02 |

### Sample 2 of Raw Data - Reporting Multiple Default Status Codes

The following table provides information you will report to Rural Housing Service regarding the delinquency status for guaranteed Single Family Housing loans, when reporting multiple Default Status Codes, for a loan, within the same reporting period.

|  |  |
| --- | --- |
| Date of Report | 11/30/2015 |
| Lender Name | X Y Z MORTGAGE COMPANY |
| Lender Tax ID Number | 9876543210 |
| Lender Branch Number | 001 |
| **FIRST LOAN** | |
| Lender Loan Number | 0003493780 |
| Borrower SSN | 999999999 |
| Borrower Name | Williams, M |
| First Default Status Information | |
| Due Date of Last Installment Received | 08/01/2015 |
| Loan Status Code | 42 |
| Status Effective Date | 11/02/2015 |
| Status Reason Code | 015 |
| Property Location | KY |
| Second Default Status Information | |
| Due Date of Last Installment Received | 09/01/2015 |
| Loan Status Code | 12 |
| Status Effective Date | 11/10/2015 |
| Status Reason Code | 015 |
| Property Location | KY |
| Third Default Status Information | |
| Due Date of Last Installment Received | 09/01/2015 |
| Loan Status Code | 06 |
| Status Effective Date | 11/20/2015 |
| Status Reason Code | 001 |
| Property Location | KY |
| Fourth Default Status Information | |
| Due Date of Last Installment Received | 09/01/2015 |
| Loan Status Code | 95 |
| Status Effective Date | 11/26/2015 |
| Status Reason Code | 001 |
| Property Location | KY |
| Fifth Default Status Information | |
| Due Date of Last Installment Received | 09/01/2015 |
| Loan Status Code | 68 |
| Status Effective Date | 11/30/2015 |
| Status Reason Code | 001 |
| Property Location | KY |
| **SECOND LOAN** | |
| Lender Loan Number | 0008569271 |
| Borrower SSN | 888888888 |
| Borrower Name | Jones, J |
| Due Date of Last Installment Received | 10/01/2015 |
| Loan Status Code | 09 |
| Status Effective Date | 11/19/2015 |
| Status Reason Code | 006 |
| Property Location | MO |

### Sample 2 of Actual T.S. 264 X12 file - Reporting Multiple Default Status Codes

The following illustrates how transaction set 264 looks with this sample data reporting multiple Default Status Code information for a loan within the same reporting period. Two loans are being reported.

ISA\*00\* \*00\* \*ZZ\*362708817001 \*ZZ\*RHSSFH \*060710\*0209\*U\*00401\*000000007\*0\*T\*>~ GS\*MH\*522321476001 \*RHSSFH \*20150630\*0945\*001\*X\*004010SFH~

ST\*264\*151200000~

BGN\*00\*DEFAULT-NEW\*20151202~

N1\*LV\*X Y Z MORTGAGE COMPANY\*62\*9876543210~

N4\*\*\*\*\*ZZ\*001~

LX\*1~ <--- Start of 1st Loan

DTP\*730\*D8\*20151130~ <--- Start 1st Loop

REF\*LD\*0003493780~

N1\*BW\*WILLIAMS,M\*34\*999999999~

LS\*0212~

REC\*01~

N4\*\*\*\*\*SP\*KY~

DFI\*015~ <---1st Status Reason Code

SOM\*42\*D8\*20151102~ <---1st Default Status Code and 1st Status Effective Date DTP\*530\*D8\*20150801~

LE\*0212~

DTP\*730\*D8\*20151130~ <--- Start 2nd Loop

REF\*LD\*0003493780~

N1\*BW\*WILLIAMS,M\*34\*999999999~

LS\*0212~

REC\*01~

N4\*\*\*\*\*SP\*KY~

DFI\*015~ <---2nd Status Reason Code

SOM\*12\*D8\*20151110~ <---2nd Status Default Code and 1st Status Effective Date DTP\*530\*D8\*20150901~

LE\*0212~

DTP\*730\*D8\*20151130~ <--- Start 3rd Loop

REF\*LD\*0003493780~

N1\*BW\*WILLIAMS,M\*34\*999999999~

LS\*0212~

REC\*01~

N4\*\*\*\*\*SP\*KY~

DFI\*001~ <---3rd Status Reason Code

SOM\*06\*D8\*20151120~ <---3rd Status Default Code and 1st Status Effective Date DTP\*530\*D8\*20150901~

LE\*0212~

DTP\*730\*D8\*20151130~ <--- Start 4th Loop

REF\*LD\*0003493780~

N1\*BW\*WILLIAMS,M\*34\*999999999~

LS\*0212~

REC\*01~

N4\*\*\*\*\*SP\*KY~

DFI\*001~ <---4th Status Reason Code

SOM\*95\*D8\*20151126~ <---4th Status Default Code and 1st Status Effective Date DTP\*530\*D8\*20150901~

LE\*0212~ <--- Start 5th Loop

DTP\*730\*D8\*20151130~

REF\*LD\*0003493780~

N1\*BW\*WILLIAMS,M\*34\*999999999~

LS\*0212~

REC\*01~

N4\*\*\*\*\*SP\*KY~

DFI\*001~ <---5th Status Reason Code

SOM\*68\*D8\*20151130~ <---5th Default Status Code and 1st Status Effective Date DTP\*530\*D8\*20150901~

LE\*0212~

SE\*56\*151200000~

ST\*264\*151200001~ <--- Start of Second Loan

BGN\*00\*DEFAULT-NEW\*20151202~

N1\*LV\*X Y Z MORTGAGE COMPANY\*62\*9876543210~

N4\*\*\*\*\*ZZ\*001~

LX\*2~

DTP\*730\*D8\*20151130~

REF\*LD\*0008569271~ <--- Second Loan

N1\*BW\*Jones,J\*34\*888888888~

LS\*0212~

REC\*02~

N4\*\*\*\*\*SP\*KY~

DFI\*06~

SOM\*42\*D8\*20151126~

DTP\*530\*D8\*20151001~

LE\*0212~

SE\*16\*151200001~

GE\*1\*000000007~

IEA\*1\*000000007~

### Explanation 2 of Actual T.S. 264 X12 file - Reporting Multiple Default Status Codes

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

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| ST\*264\*151200000~ | ST | **ST** is the Transaction Set Header segment ID. |  |
|  | 264 | **264** indicates transaction set 264. | ST01 |
|  | 0012 | **151200000** is the control number assigned by the Lender translation  software. | ST02 |
| BGN\*00\*DEFAULT-NEW\*20151202~ | BGN | **BGN** is the Beginning segment ID. |  |
|  | 00 | **00** indicates that this is an original transaction being reported. | BGN01 |
|  | DEFAULT-NEW | **DEFAULT-NEW** is the reference name for the  transaction set. | BGN02 |
|  | 20151202 | 20151202 is the transmission date (12/02/2015). | BGN03 |
| N1\*LV\*X Y Z MORTGAGE COMPANY\*62\*9876543210~ | N1 | **N1** is the Name segment ID. |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | LV | **LV** indicates the Loan Servicer. | N101 |
|  | X Y Z MORTGAGE COMPANY | **X Y Z MORTGAGE COMPANY** is  the Lender Name. | N102 |
|  | 62 | **62** indicates Servicing Mortgagee Number. | N103 |
|  | 9876543210 | **9876543210** is the Lender’s Internal Revenue Service Tax  Identification Number. | N104 |
| N4\*\*\*\*\*ZZ\*001~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | ZZ | **ZZ** indicates Mutually Defined. | N405 |
|  | 001 | **001** is the Rural Housing Service assigned Lender Branch Number. | N406 |
| LX\*1~ | LX | **LX** is the Assigned Number segment ID. |  |
|  | 1 | **1** is the LX iteration count assigned by the Lender  translation software. | LX01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period segment ID for the first reported  Default Status Code Information for this loan. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | DTP02 |
|  | 20151130 | **20151130** indicates the November  2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0003493780~ | REF | **REF** is the Reference Number segment ID.  First loop of information for first  reported Default Status information. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0003493780 | **0003493780** is the Loan Number assigned by the Lender. | REF02 |
| N1\*BW\*WILLIAMS,M\*34\*999999999~ | N1 | **N1** is the Reference Number segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Williams, M | **Williams, M** is the Borrower’s Name. | REF02 |
|  | 34 | **34** indicates Social Security  Number | REF03 |
|  | 99999999 | **99999999** is the Borrower’s Social Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*KY~ | N4 | **N4** is the Geographic Location segment ID. |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | SP | **SP** indicates State/Province  Code. | N405 |
|  | MI | **KY** is the Property State Name. | N406 |
| DFI\*015~ | DFI | **DFI** is the Default Information segment ID for the first reported Status Reason Code. |  |
|  | 015 | **015** is the Status Reason Code. | DFI01 |
| SOM\*42\*D8\*20151102~ | SOM | **SOM** is the Status of Mortgage segment ID for the first reported Default Status Code. |  |
|  | 42 | **42** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | SOM02 |
|  | 20151102 | **20151102** is the Date of Status. (11/02/2015) | SOM03 |
| DTP\*530\*D8\*20150801~ | DTP | **DTP** is the Date or Time or Period segment ID for the first reported  Default Status Code. |  |
|  | 530 | **530** indicates Date of Last Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is  YYYYMMDD. | DTP02 |
|  | 20150801 | **20150801** is the Due Date of  Last Installment Received (08/01/2015). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period segment ID for the second reported Default Status Code Information for this loan. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | DTP02 |
|  | 20151130 | **20151130** indicates the November  2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0003493780~ | REF | **REF** is the Reference Number segment ID.  Second loop of information for second reported Default Status information. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0003493780 | **0003493780** is the Loan Number assigned by the Lender. | REF02 |
| N1\*BW\*WILLIAMS,M\*34\*999999999~ | N1 | **N1** is the Reference Number  segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Williiams, M | **Williams, M** is the Borrower’s  Name. | REF02 |
|  | 34 | **34** indicates Social Security Number | REF03 |
|  | 99999999 | **99999999** is the Borrower’s Social | REF04 |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Security Number |  |
| LS\*0212~ | LS | **LS** is the Loop Header segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition  segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*KY~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | SP | **SP** indicates State/Province  Code. | N405 |
|  | MI | **KY** is the Property State Name. | N406 |
| DFI\*015~ | DFI | **DFI** is the Default Information segment ID for the second reported Status Reason Code. |  |
|  | 015 | **015** is the Status Reason Code. | DFI01 |
| SOM\*12\*D8\*20151110~ | SOM | **SOM** is the Status of Mortgage segment ID for the second reported Default Status Code. |  |
|  | 12 | **12** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | SOM02 |
|  | 20151110 | **20151110** is the Date of Status.  (11/10/2015) | SOM03 |
| DTP\*530\*D8\*20150901~ | DTP | **DTP** is the Date or Time or Period segment ID for the second  reported Default Status Code. |  |
|  | 530 | **530** indicates Date of Last Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is  YYYYMMDD. | DTP02 |
|  | 20150901 | **20150901** is the Due Date of Last Installment Received  (09/01/2015). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period segment ID for the third reported  Default Status Code Information for this loan. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | DTP02 |
|  | 20151130 | **20151130** indicates the November 2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0003493780~ | REF | **REF** is the Reference Number segment ID.  Third loop of information for first  reported Default Status information. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0003493780 | **0003493780** is the Loan Number  assigned by the Lender. | REF02 |

|  |  |  |  |
| --- | --- | --- | --- |
| N1\*BW\*WILLIAMS,M\*34\*999999999~ | N1 | **N1** is the Reference Number  segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Williiams, M | **Williams, M** is the Borrower’s  Name. | REF02 |
|  | 34 | **34** indicates Social Security Number | REF03 |
|  | 99999999 | **99999999** is the Borrower’s Social  Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment  ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*KY~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | SP | **SP** indicates State/Province Code. | N405 |
|  | MI | **KY** is the Property State Name. | N406 |
| DFI\*001~ | DFI | **DFI** is the Default Information segment ID for the third reported Status Reason Code. |  |
|  | 001 | **001** is the Status Reason Code. | DFI01 |
| SOM\*06\*D8\*20151120~ | SOM | **SOM** is the Status of Mortgage segment ID for the third reported Default Status Code. |  |
|  | 06 | **06** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | SOM02 |
|  | 20151120 | **20151120** is the Date of Status.  (11/20/2015) | SOM03 |
| DTP\*530\*D8\*20150901~ | DTP | **DTP** is the Date or Time or Period segment ID for the third reported Default Status Code. |  |
|  | 530 | **530** indicates Date of Last  Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is  YYYYMMDD. | DTP02 |
|  | 20150901 | **20150901** is the Due Date of Last Installment Received (09/01/2015). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period segment ID for the fourth reported Default Status Code Information for this loan. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | DTP02 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | 20151130 | **20151130** indicates the November  2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0003493780~ | REF | **REF** is the Reference Number segment ID.  Fourth loop of information for first reported Default Status information. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0003493780 | **0003493780** is the Loan Number  assigned by the Lender. | REF02 |
| N1\*BW\*WILLIAMS,M\*34\*999999999~ | N1 | **N1** is the Reference Number segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Williiams, M | **Williams, M** is the Borrower’s  Name. | REF02 |
|  | 34 | **34** indicates Social Security  Number | REF03 |
|  | 99999999 | **99999999** is the Borrower’s Social Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment  ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition  segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*KY~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | SP | **SP** indicates State/Province  Code. | N405 |
|  | MI | **KY** is the Property State Name. | N406 |
| DFI\*001~ | DFI | **DFI** is the Default Information segment ID for the fourth reported Status Reason Code. |  |
|  | 001 | **001** is the Status Reason Code. | DFI01 |
| SOM\*95\*D8\*20151126~ | SOM | **SOM** is the Status of Mortgage segment ID for the fourth reported Default Status Code for this for  this loan. |  |
|  | 95 | **95** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | SOM02 |
|  | 20151126 | **20151126** is the Date of Status.  (11/26/2015) | SOM03 |
| DTP\*530\*D8\*20150901~ | DTP | **DTP** is the Date or Time or Period segment ID for the fourth reported Default Status Code. |  |
|  | 530 | **530** indicates Date of Last  Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is  YYYYMMDD. | DTP02 |
|  | 20150901 | **20150901** is the Due Date of Last Installment Received (09/01/2015). | DTP03 |

|  |  |  |  |
| --- | --- | --- | --- |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period segment ID for the fifth reported Default Status Code Information for this loan. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |
|  | D8 | **D8** indicates the format is YYYYMMDD. | DTP02 |
|  | 20151130 | **20151130** indicates the November  2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0003493780~ | REF | **REF** is the Reference Number segment ID.  Fourth loop of information for first  reported Default Status information. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0003493780 | **0003493780** is the Loan Number  assigned by the Lender. | REF02 |
| N1\*BW\*WILLIAMS,M\*34\*999999999~ | N1 | **N1** is the Reference Number segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Williiams, M | **Williams, M** is the Borrower’s Name. | REF02 |
|  | 34 | **34** indicates Social Security  Number | REF03 |
|  | 99999999 | **99999999** is the Borrower’s Social Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment  ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition  segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*KY~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | SP | **SP** indicates State/Province  Code. | N405 |
|  | MI | **KY** is the Property State Name. | N406 |
| DFI\*001~ | DFI | **DFI** is the Default Information segment ID for the fifth reported Status Reason Code. |  |
|  | 001 | **001** is the Status Reason Code. | DFI01 |
| SOM\*68\*D8\*20151130~ | SOM | **SOM** is the Status of Mortgage segment ID for the fifth reported  Default Status Code. |  |
|  | 68 | **68** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | SOM02 |
|  | 20151130 | **20151130** is the Date of Status. (11/30/2015) | SOM03 |

|  |  |  |  |
| --- | --- | --- | --- |
| DTP\*530\*D8\*20150901~ | DTP | **DTP** is the Date or Time or Period segment ID for the fifth reported  Default Status Code. |  |
|  | 530 | **530** indicates Date of Last  Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is YYYYMMDD. | DTP02 |
|  | 20150901 | **20150901** is the Due Date of Last Installment Received  (09/01/2015). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| SE\*56\*151200000~ | SE | **SE** is the Transaction Set Trailer  segment ID. |  |
|  | 56 | **56** is the number of segments in  the transmission. |  |
|  | 151200000 | **151200000** is the control number.  Start of 2nd loan |  |
| ST\*264\*151200001~ | ST | **ST** is the Transaction Set Header  segment ID. |  |
|  | 264 | **264** indicates transaction set 264. | ST01 |
|  | 151200001 | **151200001** is the control number assigned by the Lender translation  software. | ST02 |
| BGN\*00\*DEFAULT-NEW\*20151202~ | BGN | **BGN** is the Beginning segment ID. |  |
|  | 00 | **00** indicates that this is an original transaction being reported. | BGN01 |
|  | DEFAULT-NEW | **DEFAULT-NEW** is the reference  name for the transaction set. | BGN02 |
|  | 20151202 | 20151202 is the transmission date  (12/02/2015). | BGN03 |
| N1\*LV\*X Y Z MORTGAGE COMPANY\*62\*9876543210~ | N1 | **N1** is the Name segment ID. |  |
|  | LV | **LV** indicates the Loan Servicer. | N101 |
|  | X Y Z MORTGAGE  COMPANY | **X Y Z MORTGAGE COMPANY** is  the Lender Name. | N102 |
|  | 62 | **62** indicates Servicing Mortgagee Number. | N103 |
|  | 9876543210 | **9876543210** is the Lender’s Internal Revenue Service Tax  Identification Number. | N104 |
| N4\*\*\*\*\*ZZ\*001~ | N4 | **N4** is the Geographic Location  segment ID. |  |
|  | ZZ | **ZZ** indicates Mutually Defined. | N405 |
|  | 001 | **001** is the Rural Housing Service  assigned Lender Branch Number. | N406 |
| LX\*1~ | LX | **LX** is the Assigned Number  segment ID. |  |
|  | 2 | **1** is the LX iteration count assigned by the Lender  translation software. | LX01 |
| DTP\*730\*D8\*20151130~ | DTP | **DTP** is the Date, Time, or Period  segment ID. |  |
|  | 730 | **730** indicates the cycle date. | DTP01 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | DTP02 |
|  | 20151130 | **20151130** indicates the November  2015 reporting cycle (11/30/2015). | DTP03 |
| REF\*LD\*0008569271~ | REF | **REF** is the Reference Number segment ID. |  |
|  | LD | **LD** indicates the Loan Number. | REF01 |
|  | 0008569271 | **0008569271** is the Loan Number  assigned by the Lender. | REF02 |
| N1\*BW\*Jones, J\*34\*888888888~ | N1 | **N1** is the Reference Number  segment ID. |  |
|  | BW | **BW** indicates the Borrower. | REF01 |
|  | Jones, J | **Jones, J** is the Borrower’s Name. | REF02 |
|  | 34 | **34** indicates Social Security  Number | REF03 |
|  | 888888888 | **888888888** is the Borrower’s Social Security Number | REF04 |
| LS\*0212~ | LS | **LS** is the Loop Header segment  ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LS01 |
| REC\*02~ | REC | **REC** is the Real Estate Condition  segment ID. |  |
|  | 02 | **02** is the Occupancy Code. | REC01 |
| N4\*\*\*\*\*SP\*MO~ | N4 | **N4** is the Geographic Location segment ID. |  |
|  | SP | **SP** indicates State/Province  Code. | N405 |
|  | MO | **MO** is the Property State Name. | N406 |
| DFI\*006~ | DFI | **DFI** is the Default Information segment ID. |  |
|  | 006 | **006** is the Status Reason Code. | DFI01 |
| SOM\*09\*D8\*20151119~ | SOM | **SOM** is the Status of Mortgage  segment ID. |  |
|  | 09 | **09** is the Loan Status Code | SOM01 |
|  | D8 | **D8** indicates the format is  YYYYMMDD. | SOM02 |
|  | 20151126 | **20151119** is the Date of Status.  (11/30/2015) | SOM03 |
| DTP\*530\*D8\*20151001~ | DTP | **DTP** is the Date or Time or Period segment. |  |
|  | 530 | **530** indicates Date of Last  Installment Received. | DTP01 |
|  | D8 | **D8** indicates the date format is  YYYYMMDD. | DTP02 |
|  | 20151001 | **20151001** is the Due Date of Last Installment Received (10/01/2015). | DTP03 |
| LE\*0212~ | LE | **LE** is the Loop Trailer segment ID. |  |
|  | 0212 | **0212** is the Loop Identifier Code. | LE01 |
| SE\*16\*151200001~ | SE | **SE** is the Transaction Set Trailer segment ID. |  |
|  | 16 | **16** is the number of segments | SE01 |
|  |  | in the transmission. |  |
|  | 151200001 | **151200001** is the control number. | SE02 |

## TRANSACTION SET 264 TRANSMISSION NOTES

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

* Ensure that the interchange control segments information for you and RHS is specified as discussed in [Appendix C, RHS Communication Envelope Specifications.](#_bookmark68)
* Ensure that all data is in the format required by RHS's application system.
* Ensure that the file is in the format required by RHS's application system. The paragraphs below describe each bulleted item.

**Interchange Control Segments.** As stated in [Part 5, Introducing X12 Transaction Sets,](#_bookmark26) the interchange control segments contain control information about you and your trading partner(s) and indicate the number of functional groups included in the transmission. An interchange control header (ISA) identifies the beginning of an interchange of one or more functional groups and interchange-related control segments. An interchange control trailer (IEA) defines the end of an interchange of one or more functional groups and interchange-related control segments.

Ensure that all specifications outlined in [Appendix C, RHS Communication Envelope Specifications,](#_bookmark68) are met.

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

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

## 264 MORTGAGE LOAN DEFAULT STATUS OUTLINE

**Functional Group = MG**

### Introduction

This ASC X12 Draft Standard for Trial Use contains the format and establishes the data contents of the

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

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Header | | | | | | | |
|  | NOTE | POS. | TAG | NAME | STATUS | REPEAT | LOOP REPEAT |
| **Must Use** |  | **10** | **ST** | **Transaction Set Header** | **M** | **1** |  |
| **Must Use** | **N** | **20** | **BGN** | **Beginning Segment** | **M** | **1** |  |
|  | **N** | **30** | **MIS** | **Mortgage Information Status** | **O** | **1** |  |
|  |  |  |  | **GROUP 0100** | **M** |  | **2** |
| **Must Use** | **N** | **40** | **N1** | **Name** | **M** | **1** |  |
| **Not Used** |  | **50** | **N2** | **Additional Name Information** | **O** | **1** |  |
| **Not Used** | **N** | **60** | **N3** | **Address Information** | **O** | **1** |  |
|  | **N** | **70** | **N4** | **Geographic Location** | **O** | **2** |  |
| **Not Used** |  | **80** | **PER** | **Administrative Communications Contact** | **O** | **2** |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  | **Detail** |  |  |  |  |
|  | **NOTE** | **POS** | **TAG** | **NAME** | **STATUS** | **REPEAT** | **LOOP REPEAT** |
|  |  |  |  | **GROUP 0200** | **M** |  | **>1** |
| Must Use | N | 10 | LX | Assigned Number | M | 1 |  |
| Not Used | N | 15 | DTM | Date/Time Reference | O | 2 |  |
| Not Used |  | 20 | N1 | Name | O | 1 |  |
| Not Used |  | 30 | N2 | Additional Name Information | O | 1 |  |
| Not Used |  | 40 | N3 | Address Information | O | 1 |  |
| Not Used |  | 50 | N4 | Geographic Location | O | 1 |  |
| Not Used |  | 60 | REF | Reference Identification | O | 2 |  |
| Not Used |  | 70 | PER | Administrative Communication Contact | O | 2 |  |
| Not Used |  | 80 | QTY | Quantity | O | 2 |  |
| Not Used |  | 90 | AMT | Monetary Amount | O | 2 |  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  | | |  |  |
|  |  |  |  | **GROUP 0210** | | **M** |  | | **>1** |
| Must Use | N | 100 | DTP | Date or Time or Period | | M | 1 | |  |
| Must Use | N | 110 | REF | Reference Identification | | M | 10 | |  |
|  |  |  |  | **GROUP 0211** | | **O** |  | | **>1** |
| Must Use | N | 120 | N1 | Name | | M | 1 | |  |
| Not Used |  | 130 | N2 | Additional Name Information | | O | 1 | |  |
| Not Used | N | 140 | N3 | Address Information | | O | 1 | |  |
| Not Used |  | 150 | N4 | Geographic Location | | O | 1 | |  |
| Must Use |  | 160 | PER | Administrative Communication Contact | | O | 2 | |  |
| Not Used |  | 165 | REF | Reference Identification | | O | 4 | |  |
| Must Use |  | 170 | LS | Loop Header | | O | 1 | |  |
|  |  |  |  | **GROUP 0212** | | **O** |  | | **1** |
| Must Use | N | 180 | REC | Real Estate Condition | | M | 1 | |  |
| Not Used | N | 190 | N3 | Address Information | | O | 1 | |  |
| Must Use |  | 200 | N4 | Geographic Location | | O | 1 | |  |
| Must Use | N | 210 | DFI | Default Information | | O | 1 | |  |
| Not Used |  | 220 | QTY | Quantity | | O | 1 | |  |
| Not Used |  | 230 | AMT | Monetary Amount | | O | 10 | |  |
| Not Used |  | 240 | INT | Interest | | O | 1 | |  |
| Must Use |  | 250 | SOM | Status of Mortgage | | O | 10 | |  |
| Must Use |  | 260 | DTP | Date or Time or Period | | O | 14 | |  |
| Not Used |  | 270 | MRC | Mortgagor Response Characteristics | | O | 2 | |  |
| Not Used | N | 280 | MSG | Message Text | | O | 11 | |  |
| Must Use |  | 290 | LE | Loop Trailer | | O | 1 | |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | **Summary** | | | |  |
|  | **NOTE** | **POS.** | **TAG** | **NAME** | **STATUS** | **REPEAT** | **LOOP REPEAT** |
| **Not Used** | **N** | **10** | **QTY** | **Quantity** | **O** | **2** |  |
| **Not Used** |  | **20** | **AMT** | **Monetary Amount** | **O** | **2** |  |
| **Must Use** |  | **30** | **SE** | **Transaction Set Trailer** | **M** | **1** |  |

### Transaction Set Notes

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

## TRANSACTION SET 264 DATA MAPPING GUIDE

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

|  |  |
| --- | --- |
| **Segment:** | **ST Transaction Set Header** |
| **Position:** | 10 |
| **Loop:** |  |
| **Level:** | Heading |
| **Usage:** | Mandatory |
| **Max Use:** | 1 |
| **Purpose:** | To indicate the start of a transaction set and to assign a control number. |
| **Syntax Notes:** |  |
| **Semantic Notes:** | 01 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set). |
| **Comments:** |  |
| **Notes:** | The ST segment is required each time a Transaction Set is sent. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  | **Data Element Summary** |  |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ST01** | **143** | **Transaction Set Identifier Code** | **M/Z ID 3/3** |
|  |  |  | Code uniquely identifying a Transaction Set. | |
|  |  |  | 264 X12.285 Mortgage Loan Default Status |  |
| **Must Use** | **ST02** | **329** | **Transaction Set Control Number** | **M AN 4/9** |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |

|  |  |  |
| --- | --- | --- |
| **Segment:** | **BGN Beginning Segment** | |
| **Position:** | 20 |  |
| **Loop:** |  |  |
| **Level:** | Heading |  |
| **Usage:** | Mandatory | |
| **Max Use:** | 1 |  |
| **Purpose:** | To indicate the beginning of a transaction set. | |
| **Syntax Notes:** | 1 | If BGN05 is present, then BGN04 is required. |
| **Semantic Notes:** | 1 | BGN02 is the transaction set reference number. |
|  | 2 | BGN03 is the transaction set date. |
|  | 3 | BGN04 is the transaction set time. |
|  | 4 | BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction. |
| **Comments:** | 1 | BGN05 is the transaction set time qualifier. |
| **Notes:** | The BGN segment is required each time a Transaction Set is sent. | |

**Data Element Summary**

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

|  |  |  |
| --- | --- | --- |
| **Segment:** | **N1 Name** | |
| **Position:** | 040 |  |
| **Loop:** | 0100 | Mandatory |
| **Level:** | Heading |  |
| **Usage:** | Mandatory |  |
| **Max Use:** | 1 |  |
| **Purpose:** | To identify a party by type of organization, name, and code. | |
| **Syntax Notes:** | 02 | R0203 **-** At least one of N102 or N103 is required. |
|  | 03 | P0304 - If either N103 or N104 is present, then the other is required. |
| **Semantic Notes:** |  |  |
| **Comments:** | 04 | This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party. |
|  | 05 | N105 and N106 further define the type of entity in N101. |

**Data Element Summary**

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

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

**Data Element Summary**

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

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

**Data Element Summary**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **LX01** | **554** | **Assigned Number** | **M N0 1/6** |
|  |  |  | Number assigned for differentiation within a transaction set. |  |
|  |  |  | The sender assigns LX01 to indicate the number of the iteration of the LX loop sent. For RHS, only ONE iteration of the LX loop can be used per transaction set, so LX01 will always show the number 1. |  |

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

**Data Element Summary**

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

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

**Data Element Summary**

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

|  |  |  |
| --- | --- | --- |
| **Segment:** | **N1 Name** | |
| **Position:** | 120 |  |
| **Loop:** | 0211 | Mandatory |
| **Level:** | Detail |  |
| **Usage:** | Mandatory | |
| **Max Use:** | 1 |  |
| **Purpose:** | To identify a party by type of organization, name, and code. | |
| **Syntax Notes:** | 02 | R0203 **-** At least one of N102 or N103 is required. |
|  | 03 | P0304 - If either N103 or N104 is present, then the other is required. |
| **Semantic Notes:** |  |  |
| **Comments:** | 1 | This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party. |
|  | 2 | N105 and N106 further define the type of entity in N101. |

**Data Element Summary**

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

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

**Data Element Summary**

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

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

**Data Element Summary**

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|  | **Ref. Des.** | | **Data Element** | | **Name** | **Attributes** | |
| **Must Use** | **REC01** | | **689** | | **Occupancy Code** | **M ID 2/2** | |
|  |  | |  | | Code indicating status of property. |  | |
|  |  | |  | | 1   Vacant |  | |
|  |  | |  | | 2   Occupied |  | |
|  |  | |  | | 3   Borrower Occupied |  | |
|  |  | |  | | 4   Tenant Occupied |  | |
|  |  | |  | | 5   Adverse Occupied |  | |
|  |  | |  | | 6   Unknown |  | |
|  |  | |  | | 7  Original Veteran Occupied |  | |
|  |  | |  | | 08 Transferee Occupied |  | |
|  |  | |  | | 9   Unoccupied |  | |
|  |  | |  | | 10  Abandoned |  | |
|  |  | |  | | 11  Condemned |  | |
|  |  | |  | | 12  Under Construction |  | |
|  |  | |  | | 13  Temporary Residence |  | |
|  |  | |  | | 14  Partially Occupied |  | |
|  |  | |  | | 15  Owner Occupied, Primary Residence |  | |
|  |  | |  | | 16 Owner Occupied, Secondary Residence |  | |
|  |  | |  | | 17 Owner Occupied |  | |
| **Not Used** | **REC02** | | **726** | | **Real Est Prop Con Co** | **C ID 2/2** | |
| **Not Used** | **REC03** | | **448** | | **Property Damage Code** | **O ID 1/2** | |
| **Not Used** | **REC04** | | **1073** | | **Yes/No Cond Resp Code** | **O ID 1/1** | |
| **Not Used** | **REC05** | | **380** | | **Quantity** | **O R 1/15** | |
| **Not Used** | **REC06** | | **815** | | **Property Insp Qual** | **C ID 2/2** | |
| **Not Used** | **REC07** | | **306** | | **Action Code** | **C ID 1/2** | |
| **Not Used** | **REC08** | | **673** | | **Quantity Qual** | **C ID 2/2** | |
| **Not Used** | **REC09** | | **380** | | **Quantity** | **C R 1/15** | |
| **Not Used** | **REC10** | | **C001** | | **Composite Unit of Measure** | **Composite** | |
| **Not Used** | **REC11** | | **816** | | **Occupancy Verif Code** | **O ID 2/2** | |
| **Not Used** | **REC12** | | **363** | | **Note Ref Code** | **C ID 3/3** | |
| **Not Used** | **REC13** | | **3** | | **Free Form Message** | **C AN 1/60** | |
| **Segment:** | | **N4 Geographic Location** | | | | |
| **Position:** | | 200 | |  | | |
| **Loop:** | | 0212 | | Optional | | |
| **Level:** | | Detail | | | | |
| **Usage:** | | Optional | | | | |
| **Max Use:** | | 2 | |  | | |
| **Purpose:** | | To specify the geographic place of the named party. | | | | |
| **Syntax Notes:** | | 6 | | C00605 **–** If N406 is present, then N405 is required. | | |
| **Semantic Notes:** | |  | |  | | |
| **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 U.S. or Canada. | | |

**Data Element Summary**

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

|  |  |  |
| --- | --- | --- |
| **Segment:** | **DFI Default Information** | |
| **Position:** | 210 |  |
| **Loop:** | 0212 | Optional |
| **Level:** | Detail |  |
| **Usage:** | Optional |  |
| **Max Use:** | 1 |  |
| **Purpose:** | To specify mortgage loan default information. | |
| **Syntax Notes:** |  |  |
| **Semantic Notes:** | 01 | DFI01 indicates code specifying the reason for default status. |
|  | 2 | DFI02 indicates code specifying type of claim. |
|  | 3 | DFI03 indicates if default resulted in a direct conveyance. A "Y" indicates that it resulted in a direct conveyance; an "N" indicates that it did not. |
|  | 4 | DFI04 indicates if this is the first payment in default. A "Y" indicates this is the first payment in default; an "N" indicates it is not. |
| **Comments:** |  |  |

**Data Element Summary**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | **Ref. Des.** | | **Data Element** | **Name** |  | **Attributes** | |
| **Must Use** | | **DFI01** | | **641** | **Status Reason Code** | | **O/Z ID 3/3** | |
|  | |  | |  | Code indicating the status reason. | |  | |
|  | |  | |  | Acceptable code values are: | |  | |
|  | |  | |  | INC | Incarceration |  | |
|  | |  | |  | 1 | Death of Principal Mortgagor |  | |
|  | |  | |  | 2 | Illness of Principal Mortgagor |  | |
|  | |  | |  | 3 | Illness of Mortgagor's Family Member |  | |
|  | |  | |  | 4 | Death of Mortgagor's Family Member |  | |
|  | |  | |  | 5 | Marital Difficulties |  | |
|  | |  | |  | 6 | Curtailment of Income |  | |
|  | |  | |  |  | The reduction of income of a borrower |  | |
|  | |  | |  | 7 | Excessive Obligations - Same Income, Including Habitual Nonpayment of Debts |  | |
|  | |  | |  | 8 | Abandonment of Property |  | |
|  | |  | |  | 9 | Distant Employment Transfer |  | |
|  | |  | |  | 10 | Neighborhood Problem |  | |
|  | |  | |  | 11 | Property Problem |  | |
|  | |  | |  | 12 | Inability to Sell Property |  | |
|  | |  | |  | 13 | Inability to Rent Property |  | |
|  | |  | |  | 14 | Military Service |  | |
|  | |  | |  | 15 | Other |  | |
|  | |  | |  | 16 | Unemployment |  | |
|  | |  | |  | 17 | Business Failure |  | |
|  | |  | |  | 19 | Casualty Loss |  | |
|  | |  | |  | 22 | Energy-Environment Cost |  | |
|  | |  | |  | 23 | Servicing Problems |  | |
|  | |  | |  | 26 | Payment Adjustment |  | |
|  | |  | |  | 27 | Payment Dispute |  | |
|  | |  | |  | 29 | Transfer of Ownership Pending |  | |
|  | |  | |  | 30 | Fraud |  | |
|  | |  | |  | 31 | Unable to Contact Borrower |  | |
|  | |  | |  | 32 | Eligible Disaster Area |  | |
|  | |  | |  | 33 | Bank Issues |  | |
|  | |  | |  | 55 | National Emergency |  | |
| **Not Used** | | **DFI02** | | **1032** | **Claim Filing Indicator Code** | | **O/Z ID 1/2** | |
|  | |  | |  |  | |  | |
| **Not Used** | | **DFI03** | | **1073** | **Yes/No Condition or Response Code** | | | **O/Z ID 1/1** |
| **Not Used** | | **DFI04** | | **1073** | **Yes/No Condition or Response Code** | | | **O/Z ID 1/1** |
|  |  | |  | |  | | |  |

|  |  |  |
| --- | --- | --- |
| **Segment:** | **SOM Status of Mortgage** | |
| **Position:** | 250 |  |
| **Loop:** | 212 | Optional |
| **Level:** | Detail |  |
| **Usage:** | Optional | |
| **Max Use:** | 1 |  |
| **Purpose:** | To provide information on the status of a mortgage and the date actions were taken regarding the loan and the property. | |
| **Syntax Notes:** | 05 | P0506 - If either SOM05 or SOM06 is present, then the other is required. | |
|  | 09 | P0910 - If either SOM09 or SOM10 is present, then the other is required. | |
|  | 12 | P1213 - If either SOM12 or SOM13 is present, then the other is required. | |
| **Semantic Notes:** | 01 | SOM01 indicates the status of a mortgage. For example, "42" indicates the mortgage is delinquent. | |
|  | 02 | SOM02 and SOM03 indicate the date of the action taken towards the mortgage. | |
|  | 04 | SOM04 indicates if bankruptcy has been filed by the mortgagor or the co-mortgagor. A "Y" indicates that bankruptcy has been filed; an "N." indicates that it has not been filed. | |
|  | 05 | SOM05 indicates the type of bankruptcy that was filed. For example, "2" indicates Chapter 11 bankruptcy has been filed by the principal mortgagor or the co-mortgagor. | |
|  | 06 | SOM06 provides the bankruptcy filing date. | |
|  | 07 | SOM07 indicates if a forbearance plan has been accepted. A "Y" Indicates that a forbearance plan has been accepted; an "N" indicates that is has not been accepted. | |
|  | 07 | If SOM07 is "Y," then SOM11 is required. | |
|  | 08 | SOM08 and SOM11 indicate the additional actions taken towards the mortgage. | |
|  | 09 | SOM09 through SOM10 and SOM12 through SOM13 provide the dates of the additional actions in SOM08 and SOM11. | |
| **Comments:** |  |  |
| **Notes:** |  | The SOM segment provides the status of the mortgage loan and the actions taken towards the loan. |

**Data Element Summary**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Ref. Des.** | **Data Element** | **Name** |  | **Attributes** |
| **Must Use** | **SOM01** | **1307** | **Loan Status Code** | | **M/Z ID 1/2** |
|  |  |  | Code indicating the loan status. | |  |
|  |  |  |  |  |  |
|  |  |  | **List of Codes to be Used Starting with July 1, 2018 Reporting Period** | | |
|  |  |  |  |  |  |
|  |  |  | **General Account Delinquency (AD)** | |  |
|  |  |  | 42 | Delinquent |  |
|  |  |  | 1 | Quality Right Party Contact |  |
|  |  |  | 22 | Government Seizure |  |
|  |  |  | 31 | Probate |  |
|  |  |  | 32 | Military Indulgence |  |
|  |  |  | 34 | Natural Disaster |  |
|  |  |  | AS | RD Moratorium |  |
|  |  |  | H4 | Solicitation Letter |  |
|  |  |  | H5 | Streamline Solicitation Letter |  |
|  |  |  | 78 | Borrower Program Assistance Received | |

|  |  |
| --- | --- |
|  | **Delinquency Workouts (AL)** |
| 06 | Formal Forbearance Plan |
| 08 | Trial Payment Plan |
| 09 | Special Forbearance |
| 10 | Payment Supplement Acct (PSA) |
| 11 | Promise to Pay |
| 12 | Repayment/Informal Forbearance Plan |
| 15 | Pre-foreclosure Acceptance Plan Available |
|  |  |
| 26 | Refinance Started |
| 28 | Modification Started |
| 36 | RD-SLS Stand Alone MRA |
| 39 | RD-SLS Trial Payment Plan |
| 41 | RD-SLS Modification w/ Mortgage Recovery Advance |
| 44 | Deed-in-Lieu Started |
| 50 | Disaster Payment Deferral Modification |
| 51 | Disaster Cap and Extend Modification |
| 52 | Disaster Stand Alone |
| 55 | Covid Special Relief Measure |
| 56 | Pandemic Mortgage Recovery Advance |
| AA | Complete Financials Received and In Review |
| AH | Streamline Modification |
| AQ | Workout Failure |
|  |  |
|  | **Ineligible for Loss Mitigation (AI)** |
| AO | Ineligible for Loss Mitigation |
| AP | Ineligible for Loss Mitigation Due to No Response |
|  |  |
|  | **Account in Foreclosure (AF)** |
| 95 | State Mandated Delay &/or Mediation |
| 68 | First Legal Action to Commence Foreclosure |
| 33 | Contested Foreclosure |
| 1A | Foreclosure Sale Held |
| 1B | 3rd Party Foreclosure Sale Held |
|  |  |
|  | **Account in Bankruptcy (AB)** |
| 65 | Chapter 7 Bankruptcy |
| 66 | Chapter 11 Bankruptcy |
| 67 | Chapter 13 Bankruptcy |
| 59 | Chapter 12 Bankruptcy |
| 69 | Bankruptcy Plan Confirmed |
| 76 | Bankruptcy Court Clearance Obtained |
|  |  |
|  | **Pending Claim (PC)** |
| 17 | Pre-Forcoosure Sale Completed |
| 47 | Deed-in-Lieu Completed |
| 74 | Property Redeemed Not Paid in Full |
| 1E | Eviction Started |
| 1R | Foreclosure Sale Held–Redemption/Confirmation Required |
|  |  |
|  |  |

|  |  |  |
| --- | --- | --- |
| **Account Reinstated (AR)** | | |
| 20 | Reinstated by Mortgagor Who Retains Homeownership w/o Loss Mitigation Intervention | |
| 21 | Reinstated by Assumptor | |
| 98 | Reinstated after Loss Mitigation Intervention | |
| **Claim Termination of Insurance (CT)** | | |
| 48 | Loss Claim |  |
|  |  |  |
| **Non-Claim Termination of Insurance (NC)** | | |
| 13 | Paid in Full |  |
| 29 | Charge-off |  |
| 30 | Third Party Sale |  |
| 73 | Property Redeemed Paid in Full | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Must Use** | **SOM02** | **1250** | **Date Time Period Format Qualifier** | **M/Z ID 2/3** |
|  |  |  | Code indicating the date format, time format, or date and time format. |  |
|  |  |  | D8 Date Expressed in Format YYYYMMDD |  |
| **Must Use** | **SOM03** | **1251** | **Date Time Period** | **M AN 1/35** |
|  |  |  | Expression of a date, a time, or range of dates, times or dates and times. |  |
|  |  |  | Insert the Date of Status formatted as YYYYMMDD. | |
| **Not Used** | **SOM04** | **1073** | **Yes/No Condition or Response Code** | **O/Z ID 1/1** |
| **Not Used** | **SOM05** | **104** | **Type of Bankruptcy Code** | **X/Z ID 1/1** |
| **Not Used** | **SOM06** | **373** | **Date** | **X/Z DT 6/6** |
| **Not Used** | **SOM07** | **1073** | **Yes/No Condition or Response Code** | **O/Z ID 1/1** |
| **Not Used** | **SOM08** | **1307** | **Loan Status Code** | **O/Z ID 1/2** |
| **Not Used** | **SOM09** | **1250** | **Date Time Period Format Qualifier** | **X/Z ID 2/3** |
| **Not Used** | **SOM10** | **1251** | **Date Time Period** | **X AN 1/35** |
| **Not Used** | **SOM11** | **1307** | **Loan Status Code** | **O ID 1/2** |
| **Not Used** | **SOM12** | **1250** | **Date Time Period Format Qualifier** | **X ID 2/3** |
| **Not Used** | **SOM13** | **1251** | **Date Time Period** | **X AN 1/35** |

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

**Data Element Summary**

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

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

**Data Element Summary**

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Segment:** | **SE Transaction Set Trailer** | | |  |
| **Position:** | 030 |  |  |  |
| **Loop:** |  |  |  |  |
| **Level:** | Summary |  |  |  |
| **Usage:** | Mandatory | |  |  |
| **Max Use:** | 1 |  |  |  |
| **Purpose:** | To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments). | | |  |
| **Syntax Notes:** |  |  |  |  |
| **Semantic Notes:** |  |  |  |  |
| **Comments:** | 00 | SE is the last segment of each transaction set. | |  |
| **Notes**: | The SE segment is required each time a Transaction Set is sent. | | |  |
|  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  |  |  |  |  |
|  | **Ref.**  **Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **SE01** | **96** | **Number of Included Segments** | **M N0 1/10** |
|  |  |  | Total number of segments included in a transaction set including ST and SE segments. |  |
| **Must Use** | **SE02** | **329** | **Transaction Set Control Number** | **M AN 4/9** |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |
|  |  |  | NOTE: The control number is assigned and generated by the sender's translation software. It should be sequential within the functional group to aid in error recovery and research. The control number in the SE segment (SE02) must be identical to the control number in the ST segment (ST02) for each transaction. |  |

### Adjunct Loan Default Transaction Set

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

This transaction set defines the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

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

TS 997 is also used in conjunction with other transaction sets, such as the TS 264. However, RHS will not accept files that contain different transaction sets such as a TS 203 and TS 264 in the same file. A file may contain multiple TS 203 or multiple TS 264 transaction sets but not both TS 203 and TS 264 transaction sets. Separate files for the TS 203 and TS 264 transactions sets are required.

For example: A Trading Partner sends multiple TS 264's to RHS in one file. RHS will send back a TS 997 file. If the TS 997 indicates there are errors, you must correct the error and resubmit all the TS 264 records.

[Appendix D, Adjunct Transaction Set,](#_bookmark70) contains the data mapping guide for TS 997.

# PART 7 – TECHNICAL ASSISTANCE



## ONGOING SUPPORT

### BUSINESS SUPPORT

RHS requires a RH monthly portfolio report for all loans and a RH monthly report for all delinquent loans. Review the Lender Handbook for guidance and review the part of the ESR Implementation Guide related to the operational components of the implementation (e.g., Part 4 contains the operational instructions for submission of RHS business documents).

If you have any questions about the Single Family Housing Electronic Status Reporting, please contact the RHS ESR Lender Outreach Team in the Lender Reporting Branch at (877) 636-3789 or by email at [RD.SO.HSB@STL.USDA.GOV.](mailto:RD.SO.HSB@STL.USDA.GOV)

### TECHNICAL SUPPORT

For technical support information regarding the Guaranteed Loan – Electronic Status Reporting, you should contact the USDA Rural Development Guaranteed Loan Technology Branch (GLTB). Please send an e-mail to: [RD.HD@USDA.GOVand](mailto:RD.HD@USDA.GOVand) someone from GLTB will respond to your questions.

Please provide a detailed message of the error you are experiencing along with screen-shots of the error. Please include your contact information.

You should contact GLTB for any of the following:

* You have technical questions regarding this implementation guide.
* You are unable to transmit files as described.
* You are experiencing errors in sending or receiving these status reports.
* You need assistance in sending a test file.

You should carefully control any changes you make to your EDI environment after you are operational. If you are unable to transmit due to technical difficulties, whether hardware or software related, you must communicate this to RHS [atRD.HD@USDA.GOV.](mailto:atRD.HD@USDA.GOV) Any filing requirements established by law, regulations, or other USDA RHS issuances remain in force, regardless of the method of transmission.

**APPENDIX A – USDA, RHS USDA LINC**

RHS has implemented an ESR solution using the common Internet. RHS has configured a web site to serve multiple roles in the ESR solution. This web site is the [USDA LINC.](https://usdalinc.sc.egov.usda.gov/RHShome.do) It is the hub for exchanging borrower data and policy information with private lending institutions and is the gateway for accessing the various software applications available to Lenders and Trading Partners. As the collection point for ESR borrower data, Trading Partners may either input data into electronic forms on web pages or submit an ASC X12 file with their borrower data. In order to use either option, lenders must have an e-Auth Level 2 ID and be set up in AASM. This approach to collecting data via the internet with authorized users serves as another level of security protecting the host system from outside users and relieves the host system of collecting data.

You can also access the ESR Implementation Guide through the [USDA LINC, Training and Resource](https://www.rd.usda.gov/programs-services/lenders/usda-linc-training-resource-library) [Library.](https://www.rd.usda.gov/programs-services/lenders/usda-linc-training-resource-library) The entire ESR Implementation Guide is available in PDF format. You can read and print PDF files with Adobe Acrobat Reader, available free from Adobe Corporation. Trading Partners are encouraged to access the USDA LINC as the ESR Implementation Guide will be updated as often as required.

You can access the USDA LINC using the following url: [https://usdalinc.sc.egov.usda.gov/.](https://usdalinc.sc.egov.usda.gov/)

If you are an authorized user, Select [RHS LINC Home](https://usdalinc.sc.egov.usda.gov/RHShome.do) on the navigation bar at the top of the page or the Rural Housing Service graphic to link to the RHS USDA LINC page. Under Single Family Guaranteed Rural Housing, select Electronic Status Reporting (ESR). The e-Authentication Login page is displayed. Enter your eAuth User ID and password. The Electronic Status Reporting Home page will display.

**APPENDIX B - FORMS FOR IMPLEMENTING ESR**

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

Each Lender using ESR is required to have an active Trading Partner Agreement (TPA). The Trading Partner Agreement in the [USDA LINC Training and Resource Library](https://usdalinc.sc.egov.usda.gov/RHShome.do) (<https://usdalinc.sc.egov.usda.gov/USDALincTrainingResourceLib.do>) under Electronic Status Reporting (ESR) heading.

**APPENDIX C - RHS COMMUNICATIONS ENVELOPE SPECIFICATIONS**

The data mapping guides for the interchange control segments and the functional group segments are presented on the following pages. They are used in every communications session. As stated in

[Part 5, Introducing X12 Transaction Sets,](#_bookmark26) the interchange control segment provides information on the trading partner. The functional group segments provide information about each functional group.

**ICS Interchange Control Structures**

**Introduction**

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

and processing of this envelope.

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

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Segment:** | **ISA Interchange Control Header** | | |  |  |  |  |
| **Position:** | 10 |  |  |  |  |  |  |
| **Loop:** |  |  |  |  |  |  |  |
| **Level:** |  |  |  |  |  |  |  |
| **Usage:** | Mandatory | |  |  |  |  |  |
| **Max Use:** | 1 |  |  |  |  |  |  |
| **Purpose:** | To start and identify an interchange of zero or more functional groups and interchange-related control segments. | | | | | | |
| **Syntax Notes:** |  |  |  |  |  |  |  |
| **Semantic Notes:** |  |  |  |  |  |  |  |
| **Comments:** |  |  |  |  |  |  |  |
| **Notes:** | The Rural Housing Service Single Family Housing ID is RHSSFH. Use this number as the Sender ID for inbound documents and as the Receiver ID for outbound documents. The following delimiters should be used for all Rural Housing Service transaction sets: Segment ~  Element \* Sub-element > | | | | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  | **Data Element Summary** |  |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ISA01** | **I01** | **Authorization Information Qualifier** | **M ID 2/2** |
|  |  |  | Code to identify the type of information in the Authorization Information. |  |
|  |  |  | Must be 00. |  |
|  |  |  | 00 No Authorization Information Present  (No Meaningful Information in I02). |  |
| **Must Use** | **ISA02** | **I02** | **Authorization Information** | **M AN 10/10** |
|  |  |  | Information used for additional identification or authorization of the interchange sender or the data in the interchange; the Authorization Information Qualifier sets the type of information. |  |
|  |  |  | Must be 10 spaces. |  |
| **Must Use** | **ISA03** | **I03** | **Security Information Qualifier** | **M ID 2/2** |
|  |  |  | Must be 00. |  |
|  |  |  | 00 No Security Information Present   (No Meaningful Information in I04). |  |
| **Must Use** | **ISA04** | **I04** | **Security Information** | **M AN 10/10** |
|  |  |  | This is used for identifying the security information about the interchange sender or the data in the interchange; the Security Information Qualifier sets the type of information. |  |
|  |  |  | Must be 10 spaces. |  |
| **Must Use** | **ISA05** | **I05** | Interchange ID Qualifier | **M ID 2/2** |
|  |  |  | Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. |  |
|  |  |  | Must be ZZ for mortgagee. |  |
|  |  |  | ZZ Mutually Defined |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Must Use** | **ISA06** | **I06** | **Interchange Sender ID** | **M AN 15/15** |
|  |  |  | Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element. |  |
|  |  |  | For Outbound TS to RHS: This is the sender's Trading Partner ID with Rural Housing Service. For self-reporters, the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc.  For Inbound TS from RHS: Should be "RHSSFH" for Rural Housing Service Single Family Housing |  |
| **Must Use** | **ISA07** | **I05** | **Interchange ID Qualifier** | **M ID 2/2** |
|  |  |  | Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. |  |
|  |  |  | For Outbound TS to RHS: Should be ZZ for mortgagee or Service Bureau. |  |
|  |  |  | For Inbound TS from RHS: Should be ZZ for Rural Housing Service Single Family Housing. |  |
|  |  |  | ZZ Mutually Defined |  |
| **Must Use** | **ISA08** | **I07** | **Interchange Receiver ID** | **M AN 15/15** |
|  |  |  | Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them. |  |
|  |  |  | This is the receiver's ID. |  |
|  |  |  | For Outbound TS to RHS: Use “RHSSFH” to indicate Rural Housing Service Single Family Housing. |  |
|  |  |  | For Inbound TS from RHS: This is the Trading Partner ID with Rural Housing Service. For self-reporters, it is the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, it is the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc. |  |
| **Must Use** | **ISA09** | **I08** | **Interchange Date** | **M DT 6/6** |
|  |  |  | Date of the interchange. |  |
|  |  |  | Must be in YYMMDD format. |  |
| **Must Use** | **ISA10** | **I09** | **Interchange Time** | **M TM 4/4** |
|  |  |  | Time of the interchange |  |
|  |  |  | Use format HHMM. |  |
| **Must Use** | **ISA11** | **I10** | **Interchange Control Standards Identifier** | **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. |  |
|  |  |  | Must be U. |  |
|  |  |  | U U.S. EDI Community of ASC X12, TDCC, and UCS |  |
| **Must Use** | **ISA12** | **I11** | **Interchange Control Version Number** | **M ID 5/5** |
|  |  |  | This version number covers the interchange control segments. |  |
|  |  |  | 00401 Draft Standards for Trial Use Approved for Publication   by ASC X12 Procedures Review Board through   December 1996. |  |
| **Must Use** | **ISA13** | **I12** | **Interchange Control Number** | **M N0 9/9.** |
|  |  |  | This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID, it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. |  |
|  |  |  | This data interchange control number must be identical to the same element in the associated Interchange Control Trailer IEA02. |  |
| **Must Use** | **ISA14** | **I13** | **Acknowledgment Requested** | **M ID 1/1** |
|  |  |  | Code sent by the sender to request an interchange acknowledgment (TA1). (Only used when using VAN.) |  |
|  |  |  | Must be O |  |
|  |  |  | 0 No Acknowledgement Requested |  |
|  |  |  |  |  |
|  |  |  |  |  |

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment:** | | **GS Functional Group Header** | |
| **Position:** | | 020 |  |
| **Loop:** | |  |  |
| **Level:** | |  |  |
| **Usage:** | | Optional |  |
| **Max Use:** | | 1 |  |
| **Purpose:** | | To indicate the beginning of a functional group and to provide control information. | |
| **Syntax Notes:** | |  |  |
| **Semantic Notes:** | | 1 | GS04 is the group date. |
|  | | 2 | GS05 is the group time. |
|  | | 3 | The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02. |
| **Comments:** | | 1 | A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer. |
| **Notes:** | NOTE: This functional group header is used differently by servicing mortgagees and service bureaus.  For Servicing Mortgagee: Each transaction set type (203 and 264) is a separate functional group; the sender's code (GS02) is always the mortgagee’s ID# for outbound documents.  For Service Bureau: Each transaction set (203 and 264) for a specific mortgagee is a separate functional group; the sender's code (GS02) is always the mortgagee's ID number for outbound documents.   For example, all 203’s transmitted by a service bureau for Sunnyside Mortgage Co. would be one functional group and all 264’s for Sunnyside Mortgage would be another. In each outbound document, data element GS02 would be Sunnyside's mortgagee ID.  The Rural Housing Service Single Family Housing ID is "RHSSFH." Use this number as the Sender ID for inbound documents and as the Receiver ID for outbound documents. | | | |

**Data Element Summary**

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Must Use** | **GS03** | **124** | **Application Receiver's Code** | **M AN 2/15** |
|  |  |  | Code identifying party receiving transmission. Codes agreed to by trading partners. | |
|  |  |  | This is the receiver's ID. For Outbound TS to RHS: Use "RHSSFH" to indicate Rural Housing Service Single Family Housing. For Inbound TS from RHS: This is Trading Partner ID with Rural Housing Service. For self-reporters, the nine-digit Lender ID number followed by the three-digit RHS Lender Branch Number. For a Service Bureau, the nine-digit tax ID number followed by 999. If the Trading Partner ID is not 12 digits, left pad with zeros to make it 12 digits. For example, enter 125678001 as 000125678001. Use only numeric digits. Do not include any dashes, commas, etc. | |
| **Must Use** | **GS04** | **373** | **Date** | **M DT 8/8** |
|  |  |  | Date (YYYYMMDD). |  |
| **Must Use** | **GS05** | **337** | **Time** | **M TM 4/8** |
|  |  |  | Time expressed in 24-hour clock time as follows: HHMM, where H = hours (00-23), M = minutes (00-59). | |
|  |  |  | Use the format HHMM |  |
| **Must Use** | **GS06** | **28** | **Group Control Number** | **M N0 1/9** |
|  |  |  | Assigned number originated and maintained by the sender. |  |
|  |  |  | This data Group Control Number must be identical to the same element in the associated Functional Group Trailer GE02. | |
| **Must Use** | **GS07** | **455** | **Responsible Agency Code** | **M ID 1/2** |
|  |  |  | Code used in conjunction with Data Element 480 to identify the issuer of the standard. | |
|  |  |  | Must be X. |  |
|  |  |  | X Accredited Standards Committee X12 |  |
| **Must Use** | **GS08** | **480** | **Version / Release / Industry Identifier Code** | **M AN 1/12** |
|  |  |  | Code indicating the version, release, subrelease, and industry identifier of the ESR standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed.  004010SFH Draft Standards Approved for Publication by  ASCX12 Procedures Review Board through December 1996. | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Segment:** | | **GE Functional Group Trailer** | | | | | |
| **Position:** | | 030 | |  | | | |
| **Loop:** | |  | |  | | | |
| **Level:** | |  | |  | | | |
| **Usage:** | | Optional | |  | | | |
| **Max Use:** | | 1 | |  | | | |
| **Purpose:** | | To indicate the end of a functional group and to provide control information. | | | | | |
| **Syntax Notes:** | |  | |  | | | |
| **Semantic Notes:** | | 02 | | The data interchange control number GE02 in this trailer must be identical to the same data element in the associated Functional Header GS06. | | | |
| **Comments:** | | 00 | | The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header. | | | |
|  | |  | | **Data Element Summary** | | | |
|  | **Ref. Des.** | | **Data Element** | | **Name** | **Attributes** |
| **Must Use** | **GE01** | | **97** | | **Number of Transaction Sets Included** | **M N0 1/6** |
|  |  | |  | | Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. |  |
| **Must Use** | **GE02** | | **28** | | **Group Control Number** | **M N0 1/9** |
|  |  | |  | | Assigned number originated and maintained by the sender. |  |
|  |  | |  | | This Data Group Control Number must be identical to the same element in the associated Functional Group Header (GS06). |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Segment:** | | | | **IEA Interchange Control Trailer** | |
| **Position:** | | | | 040 | |
| **Loop:** | | | |  | |
| **Level:** | | | |  | |
| **Usage:** | | | | Mandatory | |
| **Max Use:** | | | | 1 | |
| **Purpose:** | | | | To define the end of an interchange of zero or more functional groups and interchange-related control segments. | |
| **Syntax Notes:** | | | |  | |
| **Semantic Notes:** | | | |  | |
| **Comments:** | | | |  | |
|  |  |  | **Data Element Summary** | |  | |
|  | **Ref. Des.** | **Data Element** | **Name** | | **Attributes** | |
| **Must Use** | **IEA01** | **I16** | **Number of Included Functional Groups** | | **M N0 1/5** | |
|  |  |  | A count of the number of functional groups included in a transmission. | |  | |
| **Must Use** | **IEA02** | **I12** | **Interchange Control Number** | | **M N0 9/9** | |
|  |  |  | This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID, it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | |  | |
|  |  |  | This Data Interchange Control Number must be identical to the same element in the associated Interchange Control Header ISA13. | |  | |

**APPENDIX D – ADJUNCT TRANSACTION SET**

**TRANSACTION SET 997 FUNCTIONAL ACKNOWLEDGMENT**

Each transaction set in [Part 6, RHS ESR Business Documents,](#_bookmark33) of this guide has an associated adjunct transaction set attached to it for easier handling. Transaction Set (TS) 997, Functional Acknowledgement, is used in conjunction with multiple transactions.

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

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

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

Errors include:

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

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

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

For technical support, please contact the RD Help Desk: [rd.hd@usda.gov.](mailto:rd.hd@usda.gov) Please include as much information as possible: 1) Email Subject: ESR/GLS Technical Support Request 2) a screen shot of the issue/error message, and 3) your contact information.

**TRANSACTION SET 997 OUTLINE**

**Functional Group ID=FA**

### Introduction

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

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

### Transaction Set Notes

1/010 These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments.

1/010 The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.

1/010 There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.

1/020 AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.

1/030 AK2 is used to start the acknowledgement of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

### 

### Transaction Set Comment

1/040 The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards for transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

**TRANSACTION SET 997 DATA MAPPING GUIDE**

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Segment:** | | **ST Transaction Set Header** | |  |
| **Position:** |  | 10 |  |  |
| **Loop:** |  |  |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Mandatory | |  |
| **Max Use:** |  | 1 |  |  |
| **Purpose:** |  | To indicate the start of a transaction set and to assign a control number. | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | | 1 | The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set). |  |
| **Comments:** | |  |  |  |
|  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  |  |  |  |  |
|  | **Ref Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **ST01** | **143** | **Transaction Set Identifier Code** | **M/Z ID 3/3** |
|  |  |  | Code uniquely identifying a Transaction Set.  997 X12.20 Functional Acknowledgment |  |
| **Must Use** | **ST02** | **329** | **Transaction Set Control Number** | **M AN 4/9** |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |
|  |  |  | This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element SE02.329. |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Segment:** |  | **AK1 Functional Group Response Header** | |  |  | |
| **Position:** |  | 020 |  |  |  | |
| **Loop:** |  |  |  |  |  | |
| **Level:** |  |  |  |  |  | |
| **Usage:** |  | Mandatory | |  |  | |
| **Max Use:** |  | 1 |  |  |  | |
| **Purpose:** |  | To start acknowledgment of a functional group. | |  |  | |
| **Syntax Notes:** | |  |  |  |  | |
| **Semantic Notes:** | | 01 | AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged. | | |
|  |  | 02 | AK102 is the functional group control number found in the GS segment in the functional group being acknowledged. | | |
|  |  |  |  |  |  | |
| **Comments:** |  |  |  |  |  | |
|  |  |  |  |  |  | |
|  |  |  | **Data Element Summary** |  |  | |
|  |  |  |  |  |  | |
|  | **Ref.** | **Data** | **Name** | **Attributes** |  | |
| **Des.** | **Element** |  | |
| **Must Use** | **AK101** | **479** | **Functional Identifier Code** | **M/Z ID 2/2** |  | |
|  |  |  | Code identifying a group of application related transaction sets.  MG Mortgage Loan Default Status (264)  MH Secondary Mortgage Market Investor  Report (203) |  |  | |
| **Must Use** | **AD102** | **28** | **Group Control Number** | **MZ N0 1/9** |  | |
|  |  |  | Assigned number originated and maintained by the sender. |  |  | |
|  |  |  | Our translation software assigns this control number. This number is taken from the GS segment of the 264 being acknowledged. |  |  | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Segment:** |  | **AK2 Transaction Set Response Header** | |  |  |
| **Position:** |  | 030 |  |  |  |
| **Loop:** |  | AK2 |  |  |  |
| **Level:** |  |  |  |  |  |
| **Usage:** |  | Optional | |  |  |
| **Max Use:** |  | 1 |  |  |  |
| **Purpose:** |  | To start acknowledgment of single transaction set. | |  |  |
| **Syntax Notes:** | |  |  |  |  |
| **Semantic Notes:** | | 01 | AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged. | | |
|  |  | 02 | AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged. | | |
|  |  |  |  |  |  |
| **Comments:** |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |  |
|  |  |  |  |  |  |
|  | **Ref.** | **Data** | **Name** | **Attributes** |  |
| **Des.** | **Element** |  |
| **Must Use** | **AK201** | **143** | **Transactional Set Identifier Code** | **M/Z ID 3/3** |  |
|  |  |  | Code identifying a Transaction Set.  203 X12.340 Secondary Mortgage  Market Investor Report  264 x12.285 Mortgage Loan Default Status |  |  |
| **Must Use** | **AD202** | **329** | **Transaction Set Control Number** | **MZ AN 4/9** |  |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |  |
|  |  |  | Our translation software assigns this control number. This number is taken from the ST segment of the 203 or 264 being acknowledged. |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Segment:** |  | **AK3 Data Segment Note** | |  |
| **Position:** |  | 040 |  |  |
| **Loop:** |  | AK3 |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Optional | |  |
| **Max Use:** |  | 1 |  |  |
| **Purpose:** |  | To start acknowledgement of a single transaction set. | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | |  |  | | |
| **Comments:** |  |  |  |  |
|  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  |  |  |  |  |
|  | **Ref.** | **Data** | **Name** | **Attributes** |
| **Des.** | **Element** |
| **Must Use** | **AK301** | **721** | **Segment ID Code** | **M ID 2/3** |
|  |  |  | Code defining the segment ID of the data segment in error (See Appendix A –Number 77). |  |
|  |  |  | This is the segment ID (e.g., BGN) of the segment that is in error. |  |
| **Must Use** | **AK302** | **719** | **Segment Position in Transaction Set** | **M N0 1/6** |
|  |  |  | The numerical count position of this data segment from the start of the transaction set: The transaction set header is count position 1. |  |
|  | **AK303** | **447** | **Loop Identifier Code** | **0 AN 1/6** |
|  |  |  | The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE. |  |
|  | **AK304** | **720** | **Segment Syntax Error Code** | **0 ID 1/3** |
|  |  |  | Code Indicating error found based on the syntax editing of a segment.  Refer to 004010 Data Element Dictionary for acceptable code values. | 0 ID 1/3 |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Segment:** |  | **AK4 Data Element Note** | |  |
| **Position:** |  | 050 |  |  |
| **Loop:** |  | AK3 |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Optional | |  |
| **Max Use:** |  | 99 |  |  |
| **Purpose:** |  | To report errors in a data element and identify the location of the data element. | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | |  |  | | |
| **Comments:** |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  |  |  |  |  |
|  | **Ref.**  **Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **AK401** | **C030** | **Position in Segment** | **M** |
|  |  |  | Code indicating the relative position of a simple data element, or the relative position of a composite data structure combined with the relative position of the component data element within the composite data structure, in error; the count starts with 1 for the simple data element or composite data structure immediately following the segment ID. |  |
|  |  |  | This is the segment ID (e.g., BGN) of the segment that is in error. |  |
| **Not Used** | **C03001** | **C030** | **Element Position in Segment** | **O N0 1/2** |
|  |  |  | This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID. |  |
| **Not Used** | **C03002** | **1528** | **Component Data Element Position Composite** | **O N0 1/2** |
|  |  |  | To identify the component data element position within the composite that is in error. |  |
| **Must Use** | **AK402** | **725** | **Data Element Reference Number** | **O N0 1/4** |
|  |  |  | Reference number used to locate the data element in the Data Element Dictionary. |  |
| **Must Use** | **AK403** | **723** | **Data Element Syntax Error Code** | **M ID 1/3** |
|  |  |  | Code indicating the error found after syntax edits of a data element. Acceptable code values are: |  |
|  |  |  | 1 Mandatory data element missing.  2 Conditional required data element missing.  3 Too many data elements.  4 Data element too short.  5 Data element too long.  6 Invalid character in data element.  7 Invalid code value.  8 Invalid date.  9 Invalid time.  10 Exclusion condition violated. |  |
| **Must Use** | **AK404** | **724** | **Copy of Bad Data Element** | **O AN 1/99** |
|  |  |  | This is a copy of the data element in error. |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Segment:** |  | **AK5 Transaction Set response Trailer** | |  |
| **Position:** |  | 060 |  |  |
| **Loop:** |  | AK2 |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Mandatory | |  |
| **Max Use:** |  | 1 |  |  |
| **Purpose:** |  | To acknowledge acceptance or rejection and report errors in a transaction set. | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | |  |  | | |
| **Comments:** |  |  |  |  |
|  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  |  |  |  |  |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **AK501** | **717** | **Transaction Set Acknowledgment Code** | **M ID 1/1** |
|  |  |  | Code indicating accept or reject condition based on the syntax editing of the transaction set.  A Accepted  R Rejected |  |
|  | **AK502** | **718** | **Transaction Set Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of a transaction set. |  |
|  |  |  | 1 Transaction Set Not Supported  2 Transaction Set Trailer Missing  3 Transaction Set Control Number in Header and Trailer  Do Not Match  4 Number of Included Segments Does Not Match Actual  Count  5 One or More Segments in Error  6 Missing or Invalid Transaction Set Identifier  7 Missing or Invalid Transaction Set Control Number  23 Transaction Set Control Number Not Unique within the  Functional Group |  |
|  | **AK503** | **718** | **Transaction Set Syntax Error Code** | **O ID 3/3** |
|  |  |  | Code indicating error found based on the syntax editing of a transaction set. |  |
|  |  |  | 1 Transaction Set Not Supported  2 Transaction Set Trailer Missing  3 Transaction Set Control Number in Header and Trailer  Do Not Match  4 Number of Included Segments Does Not Match Actual  Count  5 One or More Segments in Error  6 Missing or Invalid Transaction Set Identifier  7 Missing or Invalid Transaction Set Control Number  23 Transaction Set Control Number Not Unique within the  Functional Group |  |
|  |  |  |  |  |
|  |  |  |  |  |
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|  | **AK504** | **718** | **Transaction Set Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of a transaction set. |  |
|  |  |  | 1 Transaction Set Not Supported  2 Transaction Set Trailer Missing  3 Transaction Set Control Number in Header and Trailer  Do Not Match  4 Number of Included Segments Does Not Match Actual  Count  5 One or More Segments in Error  6 Missing or Invalid Transaction Set Identifier  7 Missing or Invalid Transaction Set Control Number  23 Transaction Set Control Number Not Unique within the  Functional Group |  |
|  | **AK505** | **718** | **Transaction Set Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of a transaction set. |  |
|  |  |  | 1 Transaction Set Not Supported  2 Transaction Set Trailer Missing  3 Transaction Set Control Number in Header and Trailer  Do Not Match  4 Number of Included Segments Does Not Match Actual  Count  5 One or More Segments in Error  6 Missing or Invalid Transaction Set Identifier  7 Missing or Invalid Transaction Set Control Number  23 Transaction Set Control Number Not Unique within the  Functional Group |  |
|  | **AK506** | **718** | **Transaction Set Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of a transaction set. |  |
|  |  |  | 1 Transaction Set Not Supported  2 Transaction Set Trailer Missing  3 Transaction Set Control Number in Header and Trailer  Do Not Match  4 Number of Included Segments Does Not Match Actual  Count  5 One or More Segments in Error  6 Missing or Invalid Transaction Set Identifier  7 Missing or Invalid Transaction Set Control Number  23 Transaction Set Control Number Not Unique within the  Functional Group |  |
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| **Segment:** |  | **AK9 Functional Group Response Trailer** | |  |
| **Position:** |  | 070 |  |  |
| **Loop:** |  |  |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Mandatory | |  |
| **Max Use:** |  | 1 |  |  |
| **Purpose:** |  | To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group. | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | |  |  | | |
| **Comments:** |  | 01 | If AK901 contains the value "A" or "E," then the transmitted functional group is accepted. If AK901 contains the value "R," then the transmitted group is rejected. |  |
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|  |  |  | **Data Element Summary** |  |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **AK901** | **715** | **Functional Group Acknowledge Code** | **M ID 1/1** |
|  |  |  | Code indicating accept or reject condition based on the syntax editing of the functional group.  A Accepted  R Rejected |  |
| **Must Use** | **AK902** | **97** | **Number of Transaction Sets Included** | **M N0 1/6** |
|  |  |  | Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. |  |
| **Must Use** | **AK903** | **123** | **Number of Received Transaction Sets** | **M N0 1/6** |
|  |  |  | Number of Transaction Sets Received. |  |
| **Must Use** | **AK904** | **2** | **Number of Accepted Transaction Sets** | **M N0 1/6** |
|  |  |  | Number of accepted Transaction Sets in a Functional Group. |  |
|  | **AK905** | **716** | **Functional Group Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of the functional group header and/or trailer.  1 Functional Group Not Supported  2 Functional Group Version Not Supported  3 Functional Group Trailer Missing  4 Group Control Number in the Functional Group Header and Trailer Do Not Agree  5 Number of Included Transaction Sets Does Not Match Actual Count  6 Group Control Number Violates Syntax |  |
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|  | **AK906** | **716** | **Functional Group Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of the functional group header and/or trailer.  1 Functional Group Not Supported  2 Functional Group Version Not Supported  3 Functional Group Trailer Missing  4 Group Control Number in the Functional Group Header and Trailer Do Not Agree  5 Number of Included Transaction Sets Does Not Match Actual Count  6 Group Control Number Violates Syntax |  |
|  | **AK907** | **716** | **Functional Group Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of the functional group header and/or trailer.  1 Functional Group Not Supported  2 Functional Group Version Not Supported  3 Functional Group Trailer Missing  4 Group Control Number in the Functional Group Header and Trailer Do Not Agree  5 Number of Included Transaction Sets Does Not Match Actual Count  6 Group Control Number Violates Syntax |  |
|  | **AK908** | **716** | **Functional Group Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of the functional group header and/or trailer.  1 Functional Group Not Supported  2 Functional Group Version Not Supported  3 Functional Group Trailer Missing  4 Group Control Number in the Functional Group Header and Trailer Do Not Agree  5 Number of Included Transaction Sets Does Not Match Actual Count  6 Group Control Number Violates Syntax |  |
|  | **AK909** | **716** | **Functional Group Syntax Error Code** | **O ID 1/3** |
|  |  |  | Code indicating error found based on the syntax editing of the functional group header and/or trailer.  1 Functional Group Not Supported  2 Functional Group Version Not Supported  3 Functional Group Trailer Missing  4 Group Control Number in the Functional Group Header and Trailer Do Not Agree  5 Number of Included Transaction Sets Does Not Match Actual Count  6 Group Control Number Violates Syntax |  |
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| **Segment:** |  | **SE Transaction Set Trailer** | |  |
| **Position:** |  | 080 |  |  |
| **Loop:** |  |  |  |  |
| **Level:** |  |  |  |  |
| **Usage:** |  | Mandatory | |  |
| **Max Use:** |  | 1 |  |  |
| **Purpose:** |  | To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments). | |  |
| **Syntax Notes:** | |  |  |  |
| **Semantic Notes:** | |  |  | | |
| **Comments:** |  | 00 | SE is the last segment of each transaction set. |  |
|  |  |  |  |  |
|  |  |  | **Data Element Summary** |  |
|  | **Ref. Des.** | **Data Element** | **Name** | **Attributes** |
| **Must Use** | **SE01** | **96** | **Number of Included Segments** | **M N0 1/10** |
|  |  |  | Total number of segments included in a transaction set including ST SE segments. |  |
| **Must Use** | **SE02** | **329** | **Transaction Set Control Number** | **M AN 4/9** |
|  |  |  | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set. |  |
|  |  |  | NOTE: Our translation software assigns a unique control number to the 997 transaction. This element must match data element ST02.329. |  |
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# GLOSSARY

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

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

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

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

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

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

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

**asynchronous** — Transmission which is not related to a particular frequency; i.e., bits-per-second. A form of computer control timing protocol in which a specific operation begins upon receipt of an indication (signal) that the preceding operation has been completed.

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

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

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

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

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

**codifying** — The process of detailing a new standard.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**EFT** — Electronic Funds Transfer; the generic term for sending payment instructions over a computer network.

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

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

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

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

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

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

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

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

**hub** — The pivotal center of a trading network.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**node** — An access point in a network.

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

**OSI** — Open Systems Interconnection. (see ISO)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Users** — Employees or Agents of the Trading Partner that will log into and access the ESR application via USDA LINC.

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

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

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

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| **Technical Issues: GUS/GLS** | [RD.HD@usda.gov](mailto:RD.HD@usda.gov) or  800-457-3642 Option 2, Option 2 |
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