

UNDERSTANDING ELECTRONIC DATA INTERCHANGE SUPPORT SERVICES' (EDISS) 997 FUNCTIONAL ACKNOWLEDGEMENT REPORT

Purpose: This document provides directions on how to analyze EDISS' 997 Functional Acknowledgement (997) report.

Background: Trading Partners use the 997 report to confirm if the submitted claim file passed standard level syntax and structure editing in the EDISS front-end system. The 997 report also shows if the submitted claim file was accepted or rejected, and information helpful in locating the invalid data. Use the 997 report with the other generated reports to have a complete understanding of how the transaction processed. A Trading Partner may dial-in to retrieve this report from their mailbox typically within an hour from the time of file transmission.

Refer to the American National Standards Institute (ANSI) ASC X12N Health Insurance Portability and Accountability Act (HIPAA) Implementation Guides for detailed terminology at: <http://www.wpc-edi.com/>.

EXAMPLE 1: SUCCESSFUL 997 REPORT

The diagram shows an EDI 997 Functional Acknowledgement report with 11 numbered annotations:

- 1. ISA*00* *00* *ZZ*33477 *ZZ*XXXXXXXX
- 2. *070320*2352*U*00401*000001509*0*P*:
TA1*301000256*070320*1603*A*000
- 3. GS*FA*0038*XXXXXXXX*20070320*2352*1*X*004010
- 4. ST*997*0001
- 5. AK1*HC*301000256
- 6. AK2*837*301000237
- 7. AK5*A
- 8. AK9*A*1*1*1
- 9. SE*6*0001
- 10. GE*1*1
- 11. IEA*1*000001509~

Annotations include:

- Trading Partner ID (pointing to the *ZZ*XXXXXXXX field in line 1)
- Trading Partner ID (pointing to the *A* field in line 4)
- If the AK5_AK9 segments contain and "A," the batch file has been accepted at this level. (pointing to the *A* fields in lines 7 and 8)

1. The ISA (Interchange Control Header) segment starts and identifies an interchange of zero or more functional groups and interchange-related control segments.
2. The TA1 segment acknowledges the receipt and or syntactical correctness of an X12 interchange header and trailer (ISA/IEA) pair.
 - A. Interchange Control Number of submitted file.
 - B. Interchange Date (formatted as YYYYMMDD)
 - C. Interchange Time (Military time formatted as HHMM)
 - D. Interchange Acknowledgement Code, the following table lists the possible codes:

Code	Description
A	Interchange accepted with no errors.
R	Interchange rejected because of errors. Sender must resubmit file.
E	Interchange accepted, but errors are noted. Sender must not resubmit file.

E. Interchange Note Code; see Table 2 for the complete list of codes.

3. The GS segment (Functional Group Header) indicates the beginning of a functional group and provides control information.
4. The ST segment (Transaction Set Header) indicates the start of a transaction set and assigns a control number.
5. The AK1 segment (Functional Group Response Header) responds to the functional group header and to start the acknowledgment for a functional group. There will be one AK1 segment for each functional group acknowledged.
6. The AK2 segment (Transaction Set Response Header) acknowledges a single transaction set.
7. The AK5 segment (Transaction Set Response Trailer) acknowledges acceptance or rejection and report errors in a transaction set. The following table lists the possible codes:

Code	Description
A	Accepted
E	Accepted but errors were noted
M	Rejected, Message Authentication Code (MAC) failed
R	Rejected
W	Rejected, assurance failed validity tests

X	Rejected, content after decryption could not be analyzed
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8. The AK9 segment (Functional Group Response Trailer):

- Acknowledges acceptance or rejection of a functional group
- Reports the number of included transaction sets from the original trailer
- Reports the number of the accepted sets
- Reports the number of received sets
- Reports the syntax error code (if an error is present) Table 4 provides a list of the AK9 error codes.

The transmitted functional group is considered accepted if an "A" or "E" is present. The following table lists the possible codes:

Code	Description
A	Accepted
E	Accepted but errors were noted
M	Rejected, Message Authentication Code (MAC) failed
R	Rejected
W	Rejected, assurance failed validity tests
X	Rejected, content after decryption could not be analyzed

9. The SE segment (Transaction Set Trailer) indicates the end of the transaction set and provides the count of the transmitted segments, including the beginning (ST) and ending (SE) segments.
10. The GE segment (Functional Group Trailer) indicates the end of the functional group and provides control information.
11. The IEA (Interchange Control Trailer) segment defines the end of an interchange of zero or more functional groups and interchange-related control segments.

EXAMPLE 1: UNSUCCESSFUL 997 REPORT

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ISA*00*      *00*      *ZZ*33477
*070326*1920*U*00401*000003165
TA1*000000007*070326*1647*A*000
GS*FA*0048*XXXXXXXX*20070326*1920*1*X*004010
ST*997*0001
AK1*HC*7
1 AK2*837*0007
2 AK3*DMG*2285*2320*8
  AK4*02*1251*4
  AK3*15*2268*2530*8
    A B C
  AK4*01*0166*1
  AK3*NM1*2536*2330*8
  AK4*08*0066*2
  AK3*NM1*2916*2010*8
3 AK4*08*0066*2
4 AK5*R*5
  AK9*R*1*1*0*4
SE*14*0001
GE*1*1
IEA*1*000003165
```

The TA1 segment was accepted without errors.

Even though, the TA1 segment had no errors, an error was identified in the AK5 and AK9 segment.

1. The AK3 segment (Data Segment Note) is an optional segment. It is generated dependent on if there are errors to report.
2. The AK4 segment (Data Element Note) is an optional segment. It is also generated dependent on if there are errors to report. It is used to report errors in a data element or composite data structure and to identify the location of the data element.
 - A. Identifies the relative position within the segment of the element in error.
 - B. This number is used to locate the data element in the Data Element Dictionary.
 - C. Reports the syntax error code. The following table lists the possible codes:

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

3. The AK5 segment (Transaction Set Response Trailer) acknowledges acceptance or rejection and report errors in a transaction set. The following table lists the possible codes:

Code	Description
A	Accepted
E	Accepted but errors were noted
M	Rejected, Message Authentication Code (MAC) failed
R	Rejected
W	Rejected, assurance failed validity tests
X	Rejected, content after decryption could not be analyzed

4. The AK9 segment (Functional Group Response Trailer):
- Acknowledges acceptance or rejection of a functional group
 - Reports the number of included transaction sets from the original trailer
 - Reports the number of the accepted sets
 - Reports the number of received sets
 - Reports the syntax error code (if an error is present) Table 4 provides a list of the AK9 error codes.

The transmitted functional group is considered accepted if an "A" or "E" is present. The following table lists the possible codes:

Code	Description
A	Accepted

E	Accepted but errors were noted
M	Rejected, Message Authentication Code (MAC) failed
R	Rejected
W	Rejected, assurance failed validity tests
X	Rejected, content after decryption could not be analyzed

TABLE 1: 997 REPORT GENERATION MATRIX

Received ANSI X12 claim transaction	ISA14 = "0"	ISA14 = "1"
Error(s) in Interchange Control Header/Trailer (ISA/IEA)	Not generated	Not generated
Error(s) in Functional Group Header/Trailer (GS/GE)	Not generated	Not generated
No errors in envelope segments but errors elsewhere in transaction file	ISA, GS, ST, AK1, AK2, AK3, AK4, AK5, AK9, SE, GE, IEA	ISA, GS, ST, AK1, AK2, AK3, AK4, AK5, AK9, SE, GE, IEA
No errors in transaction file	ISA, GS, ST, AK1, AK2, AK5, AK9, SE, GE, IEA	ISA, GS, ST, AK1, AK2, AK5, AK9, SE, GE, IEA

The above matrix shows when EDISS front-end system generates a 997 report and the segment that includes the acknowledgment(s). The matrix uses a cross-reference between the received claim file's ISA14 element and the errors or lack of errors identified in that transaction file to show the resulting generated acknowledgment(s).

TABLE 2: TA1 ERRORS

000	No error
001	The Interchange Control Number in the header and trailer do not match.

	Use the value from the header in the acknowledgment.
002	This Standard as noted in the Control Standards Identifier is not supported.
003	This Version of the controls is not supported
004	The Segment Terminator is invalid
005	Invalid Interchange ID Qualifier for sender
006	Invalid Interchange Sender ID
007	Invalid Interchange ID Qualifier for receiver
008	Invalid Interchange Receiver ID
009	Unknown Interchange Receiver ID
010	Invalid Authorization Information Qualifier value
011	Invalid Authorization Information value
012	Invalid Security Information Qualifier value
013	Invalid Security Information value
014	Invalid Interchange Date value
015	Invalid Interchange Time value
016	Invalid Interchange Standards Identifier value
017	Invalid Interchange Version ID value
018	Invalid Interchange Control Number
019	Invalid Acknowledgment Requested value
020	Invalid Test Indicator value
021	Invalid Number of Included Group value
022	Invalid control structure
023	Improper (Premature) end-of-file (Transmission)
024	Invalid Interchange Content (e.g., invalid GS Segment)
025	Duplicate Interchange Control Number
026	Invalid Data Element Separator
027	Invalid Component Element Separator
028	Invalid delivery date in Deferred Delivery Request
029	Invalid delivery time in Deferred Delivery Request
030	Invalid delivery time Code in Deferred Delivery Request
031	Invalid grade of Service Code

TABLE 3: AK5 ERRORS

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 amounts
5	One or more segments in error
6	Missing or invalid transaction set identifier
7	Missing or invalid transaction set control number
8	Authentication key name unknown
9	Encryption key name unknown
10	Requested service (authentication or encrypted not available
11	Unknown security recipient
12	Incorrect message length (encryption only)
13	Message authentication code failed
15	Unknown security originator
16	Syntax error in decrypted text
17	Security not supported
19	S1E security end segment missing for S1S security start segment
20	S1S security start segment missing for S1E security end segment
21	S2E security end segment missing for S2S security start segment
22	S2S security start segment missing for S2E security end segment
23	Transaction set control number not unique within the functional group
24	S3E security end segment missing for S3S security start segment
25	S3S security start segment missing for S3E security end segment
26	S4E security end segment missing for S4S security start segment
27	S4S security start segment missing for S4E security end segment

TABLE 4: AK9 ERRORS

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
10	Authentication Key Name unknown
11	Encryption Key Name unknown
12	Requested Service (Authentication or Encryption) not available
13	Unknown Security Recipient
14	Unknown Security Originator
15	Syntax Error in Decrypted Text
16	Security not supported
17	Incorrect Message Length (Encryption Only)
18	Message Authentication Code failed
23	S3E Security End Segment Missing for S3E Security Start Segment
24	S3S Security Start Segment Missing for S3E End Segment
25	S4E Security End Segment Missing for S4S Security Start Segment
26	S4S Security Start Segment Missing for S4E Security End Segment