

Understanding the 997 and the Negative TA1

The TA1 and 997 are HIPAA transactions that are sent to the submitter as an acknowledgement (positive or negative) for their submission.

TA1 Acknowledgement

The purpose of the TA1 Acknowledgement is to report the status of the interchange envelope for the transaction submitted by the partner. These acknowledgements can either be positive or negative depending on the envelopes being accepted or rejected. A negative acknowledgement occurs when the envelopes are set up incorrectly or the information in the envelope does not match the information that is contained within the Alaska Medicaid Gateway system. At this time, Alaska Medicaid will be returning only negative TA1s.

Example of a Negative TA1

What follows is an example of an 837 envelope for professional test claim file.

```
ISA*00*  *00*  *ZZ*0001553*ZZ*AKMEDICAID
FHSC*011022*1248*U*00401*000000905*0*P*>~
GS*HC*0001553*AKMEDICAID  FHSC*20011022*1254*12345*X*004010X098A1~  ST*837*~
.....
.....
.....
.....
SE*47*0002~
GE*1*12345~
IEA*1*000000905~
```

Example of a TA1 Response

The example above receives a negative TA1 as illustrated below.

```
ISA1*00*  *00*  *ZZ2*AKMEDICAID  FHSC3*ZZ4*00011115*
*041019*1411*U*00401*0000099376*0*T*>~
TA17*0000009058*0110229*125410*R11*02012~
IEA*0*000009937~
```

Number	Element	Name	Instructions
1	ISA	Interchange Control Header	The ISA is a fixed length record with fixed length elements.
2	ISA05	Interchange ID (Sender) Qualifier	This element contains a value of "ZZ," mutually defined.

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Number	Element	Name	Instructions
3	ISA06	Interchange Sender ID	This element contains an identifier representing the program sending the file. The value will be "AKMEDICAID FHSC," Alaska Medicaid.
4	ISA07	Interchange ID (Receiver) Qualifier	This element contains a value of "ZZ," mutually defined.
5	ISA08	Interchange Receiver ID	This element contains the submitter ID number assigned by Alaska Medicaid.
6	ISA13	Interchange Control Number	This element contains a distinct tracking number for this file.
7	TA1	Interchange Acknowledgment	A TA1 will only be sent to identify interchange level errors.
8	TA101	Interchange Control Number	This element contains the value from ISA13 for the interchange on which it is reporting.
9	TA102	Interchange Date	This element contains the date from ISA09 for the interchange on which it is reporting.
10	TA103	Interchange Time	This element contains the time from the ISA10 for the interchange on which it is reporting.
11	TA104	Interchange Acknowledgment Code	This element contains the status of the interchange. The only value that Alaska Medicaid will return is "R," ISA or IEA Interchange had critical errors and the exchange was not accepted. Correct errors and resend.
12	TA105	Interchange Note Code	This is an explanatory code that describes the reason for the rejection, in this example 020 - Invalid Test Indicator Value The codes and descriptions are: <ul style="list-style-type: none"> 0. No error 1. The Interchange Control Number in the Header and Trailer Do Not Match. 2. This Standard as Noted in the Control Standards Identifier is Not Supported. 3. This Version of the Controls is Not Supported 4. The Segment Terminator is Invalid 5. Invalid Interchange ID Qualifier for Sender 6. Invalid Interchange Sender ID 7. Invalid Interchange ID Qualifier for Receiver

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Number	Element	Name	Instructions
			<ul style="list-style-type: none"> 8. Invalid Interchange Receiver ID 9. Unknown Interchange Receiver ID 10. Invalid Authorization Information Qualifier Value 11. Invalid Authorization Information Value 12. Invalid Security Information Qualifier Value 13. Invalid Security Information Value 14. Invalid Interchange Date Value 15. Invalid Interchange Time Value 16. Invalid Interchange Standards Identifier Value 17. Invalid Interchange Version ID Value 18. Invalid Interchange Control Number Value 19. Invalid Acknowledgment Requested Value 20. Invalid Test Indicator Value 21. Invalid Number of Included Groups Value 22. Invalid Control Structure 23. Improper (Premature) End-of-File (Transmission) 24. Invalid Interchange Content (e.g., Invalid GS Segment) 25. Duplicate Interchange Control Number 26. Invalid Data Element Separator 27. Invalid Component Element Separator 28. Invalid Delivery Date in Deferred Delivery Request 29. Invalid Delivery Time in Deferred Delivery Request 30. Invalid Delivery Time Code in Deferred Delivery Request 31. Invalid Grade of Service Code

In the example, since this transaction was a test file, the submitter should have sent in the ISA15 a “T” instead of a “P”, which indicates it is a production file. Since this field did contain a match for the value anticipated, a negative TA1 was generated.

997 Response

The next level of response (acknowledgement) is the 997. The purpose of the 997 transaction is to acknowledge the receipt of and status pertaining to each segment in an EDI transaction. One 997 is generated for every functional group received in the transmission. If the submitter's file has three functional groups, then three 997's are sent back to the submitter. The acknowledgement can be either positive or negative.

If the functional group in a submission is HIPAA compliant, then the submitter will receive a positive 997 indicating acceptance for processing. It will not reflect if the claims will be paid or denied. It is simply a notification of successful receipt. However, if the transaction has HIPAA errors, then the entire batch is rejected and an error(s) is conveyed via AK3 and AK4 segments of the 997 transaction. (Alaska defines a batch as all data in an ST-SE envelope.)

Whenever a transmission is rejected, there will be associated AK3 and AK4 segments that will further explain the reason why the batch was rejected.

For Alaska Medicaid processing, a 997 (TA1 also) is sent back to the submitter's directory on the FTP server. To access the acknowledgement, a submitter would have to log back into the FTP server and check the outbound folder.

It is the responsibility of the submitter to read their 997 and confirm that the transaction was accepted or rejected. If a transaction is rejected due to HIPAA errors, corrections can be made and the transaction can be resubmitted. If the negative 997s are not reviewed and if the claims are not corrected and resubmitted, then the claims associated with this transaction will not be processed by Alaska Medicaid and thereby will not be considered for payment.

Example of a 997

To interpret this example, the superscript numbers provided cross reference the legend that is listed below.

```

ISA*001*           2*00*3           4*ZZ5*AKMEDICAID FHSC6*ZZ7*30008
(Submitter ID) *0402069*194810*U11*0040112*00000004813*014*P15*>~
GS*FA16*AKMEDICAID FHSC17*300018*2004020619*194820*4021*X22*004010X098A123~
ST*99724*001525~
AK126*HC27*40715000128~
AK229*83730*51666010931~
AK541*A42~ ACCEPTED
AK2*837*516600110~
AK5*A~ ACCEPTED
AK2*837*516600111~
AK5*A~ ACCEPTED
AK2*837*516600112~
AK5*A~ ACCEPTED
AK2*837*516600113~
AK332*SBR33*206934*230035*836~
AK3*SBR*2069*2300*8~
AK3*SV1*3516*2400*8~
AK437*338*35539*340*DA~
AK3*NM1*3711*2310B*8~
AK4*9*67*6*909090909~
AK541*R42*543~ REJECTED with reasons
    
```

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AK2*837*516600114~
 AK5*A~ **ACCEPTED**
 AK9⁴⁴*P⁴⁵*5⁴⁶*5⁴⁷*4⁴⁸~ **Count of Claims**
 SE*52⁴⁹*0015⁵⁰~
 GE*1⁵¹*14⁵²~
 IEA*1⁵³*000000015⁵⁴~

997 Legend

Number	Element	Name	Instructions
Interchange Control Header (ISA)			
1	ISA01	Authorization Information Qualifier	This code will always be '00' to indicate no authorization information is present.
2	ISA02	Authorization Information	Since there is no authorization information present as indicated by the '00' this element is left blank.
3	ISA03	Security Information Qualifier	This code will always be '00' to indicate no authorization information is present.
4	ISA04	Security Information	Since there is no authorization information present as indicated by the '00' this element is left blank.
5	ISA05	Interchange ID (Sender) Qualifier	This element will usually be "ZZ," which represents mutually defined.
6	ISA06	Interchange Sender ID	The following value will be sent for this element: "AKMEDICAID FHSC", which represents Alaska Medicaid.
7	ISA07	Interchange ID (Receiver) Qualifier	This element will usually be "ZZ," which represents mutually defined.
8	ISA08	Interchange Receiver ID	This element will contain the submitter ID assigned by Alaska Medicaid.
9	ISA09	Interchange Date	This is the date that the interchange was created in YYDDMM format.
10	ISA10	Interchange Time	This is the time that the interchange was created in the HHMM format.
11	ISA11	Interchange Control Standards Identifier	This value will always be a "U".
12	ISA12	Interchange Control Version Number	This value will be "00401" until any further update by ASC X12 Procedure Review Board.
13	ISA13	Interchange Control Number	This element contains a distinct tracking number for this file.

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Number	Element	Name	Instructions
14	ISA14	Acknowledgment Requested	This is used to request the receipt of an interchange acknowledgment (TA1). Alaska Medicaid will have a "0" in this element, which means no acknowledgment is requested.
15	ISA15	Usage Indicator	This identifies if the transaction is for Production Data (P) or Test Data (T).
Functional Group Header (GS)			
16	GS01	Functional Identifier	For the 997, the functional group ID is FA (for Functional Acknowledgement).
17	GS02	Application Sender's Code	This element contains the same value as ISA06 (#6).
18	GS03	Application Receiver's Code	The value is the same value as ISA08 (#8).
19	GS04	Functional Group Creation Date	In YYDDMM format
20	GS05	Function Group Creation Date	In HHMM format
21	GS06	Group Control Number	This number is assigned by the sender and must match the associated Functional Group Trailer in GE02 (#52).
22	GS07	Responsible Agency Code	This value will always be "X".
23	GS08	Version/Release/Industry Identifier Code	This is the code indicating the version, release, sub-release, and industry identifier of the EDI standard being used. For example, if the 997 was reporting on the 837 professional group the value would be "004010X098A1".
Transaction Set (ST)			
24	ST01	Transaction Set Identifier Code	This code will always be 997 for Functional Acknowledgments.
25	ST02	Transaction Set Control Number	This number must match the associated Transaction Set Trailer in SE02 (#40).
26	AK1	<i>The AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group.</i>	
27		Functional Identifier Code	The number is the functional ID found in the GS01 segment in the functional group on the file submitted to Alaska Medicaid. For a health care claim this ID will be HC.

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Number	Element	Name	Instructions
28	AK102	Group Control Number	This is the functional group control number found in the GS segment in the functional group being acknowledged on the file submitted to Alaska Medicaid.
29	AK2	<i>The AK2 is used to start the acknowledgement of a transaction set within the received functional group.</i>	
30		Transaction Set Identifier Code	This is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged on the file submitted to Alaska Medicaid. For a health care claim, this code will be 837.
31	AK202	Transaction Set Control Number	This is the transaction set control number found in the ST segment in the transaction set being acknowledged on the file submitted to Alaska Medicaid.
32	AK3	<i>Data Segment Note: This is used to report errors in a data segment and identify the location of the data segment.</i>	
33	AK301	Segment ID Code	This contains the identification of the data segment in error (e.g., “NM1” or “SV1”) that was received by Alaska Medicaid.
34	AK302	Segment Position in Transaction Set	This is the numerical count of this data segment from the start of the transaction set. (e.g. the ST loop).
35	AK303	Loop Identifier Code	This identifies the loop within which the error occurred on the file submitted to Alaska Medicaid.
36	AK304	Segment Syntax Error Code	This element contains the error noted for the segment. The codes and descriptions are: <ol style="list-style-type: none"> 1. Unrecognized segment ID 2. Unexpected segment – example error 3. Mandatory segment missing 4. Loop occurs over maximum times 5. Segment exceeds maximum use 6. Segment not in defined transaction set 7. Segment not in proper sequence 8. Segment has data element errors – example error
37	AK4	<i>Data Element Note: This is used to report errors in a data element or composite data structure and identify the location of the data element.</i>	

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Number	Element	Name	Instructions
38	AK401-1	Element Position in Segment	This is used to indicate the relative position of the data element or composite data structure in error. If CLM03 was in error, the value would be "3."
39	AK401-2	Component Data Element Position in Composite	This identifies the component data element position within the composite data structure (if applicable).
40	AK403	Data Element Syntax Error Code	This element contains the code indicating the type of error found. The values and descriptions are: <ol style="list-style-type: none"> 1. Mandatory data element missing – <i>Example Error</i> 2. Conditionally required data element missing 3. Too many data elements - <i>Example Error</i> 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
	AK404	Copy of Bad Data Element	This element contains a copy of the data in error. It is not sent if bad data will affect usage/validity of this 997 (i.e., make the 997 noncompliant).
41	AK5	<i>Transaction Set Response Trailer. This segment is used to acknowledge acceptance or rejection and report errors in a transaction set.</i>	
42	AK501	Transaction Set Acknowledgment Code	This is a code indicating acceptance or rejection condition based on the syntax editing of the transaction set. The values and descriptions used are: <ul style="list-style-type: none"> ▪ "A" Accepted ▪ "R" Rejected with explanation

Number	Element	Name	Instructions
43	AK502	Transaction Set Syntax Error Code	<p>This codes indicating error found based on the syntax editing of a transaction set. The values and description used are:</p> <ol style="list-style-type: none"> 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 – Example 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 23. Transaction set control number not unique within the functional group 24. S3E security end segment missing for S3S security segment 25. S3S security segment missing for S3E security end segment 26. S4E security end segment missing for S4S security segment 27. S4S Security start segment missing for S4E security end segment
44	AK9	<i>Functional Group Response Trailer. This is to acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer.</i>	

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Number	Element	Name	Instructions
45	AK901	Acknowledgement Code	This is a code indicating acceptance or rejection condition based on the syntax editing of the function group. The values and descriptions used are: <ul style="list-style-type: none"> ▪ “A” Accepted ▪ “R” Rejected with explanation ▪ “P” Partially accepted (at least one rejected)
46	AK902	Number of Transaction Sets Included	This is the total number of transaction sets included in the functional group.
47	AK903	Number of Received Transaction Sets	This is the total number of transaction sets received in the original file sent to Alaska Medicaid.
48	AK904	Number of Accepted Transaction Sets	This is the number of accepted transaction sets in a functional group.
Transaction Set Trailer (SE)			
49	SE01	Number of Included Segments	This is the total number of segments in a transaction set including ST and SE segments.
50	SE02	Transaction Set Control Number	This number must match what the sender put in ST02 (#25).
Functional Group Trailer (GE)			
51	GE01	Number of Transaction Sets Included	This is a count of the number of Transaction Sets (ST/SE loops) within the functional groups or interchange.
52	GE02	Group Control Number	This number must match what the sender put in GS06 (#21).
Interchange Control Trailer (IEA)			
53	IEA01	Number of Included Functional Groups	This is a count of the number of Functional Groups (GS/GE loops) within the interchange.
54	IEA02	Interchange Control Number	This number must match what the sender put in ISA13 (#13).

Multiple Batches – Partial Acceptance

If the functional group has multiple batches, then only those batches having HIPAA errors are rejected. Remaining batches are accepted for processing. In this case, reading the 997, the submitter will realize that the transmission has been partially accepted due the AK9-01 (Functional group acknowledge code) = "P" suggesting "Partial acceptance".

Partial acceptance informs the submitter that at least one batch was rejected. One AK2 (Transaction set response header) and AK5 (Transaction set response trailer) segment is generated for each incoming batch. With the help of information provided in the 997, the submitter can make the required corrections to the batches that were rejected and resubmit them for processing.

Multiple Batch – Partial Acceptance Example

An example of this situation is as follows: If an incoming transmission has 10 batches, then the 997 will have 10 AK2 segments and 10 AK5 segments. AK2-02 (Transaction set control number) represents the unique number that identifies the particular batch. AK5-01 (Transaction set acknowledgment code) conveys the acceptance or rejection of the batch. So, if a particular batch is rejected, then AK5-01 = "R" and AK2-02 will inform the submitter which batch has been rejected.

The example below lists the portion of the 997 describing the status for multiple batches.

```
AK2*837*000170 (batch number) ~
AK5*A (status A=Acceptance)~
AK2*837*000171~
AK5*A~
AK2*837*000172~
AK5*R~
AK9*P*3*3*2~
SE*348*0162~
GE*1*162~
IEA*1*000000164~
```

To summarize the above example batch numbers 000170 and 000171 were accepted but batch number 000172 was rejected. As a result, AK9-01 = "P" informs the submitter that transmission was accepted partially.