Encounter Data Submission and Processing Report Resource Guides

999 – Functional Group Acknowledgement Report

Report Description

The 999 Acknowledgement Report provides MAOs and other entities feedback on functional group and transaction set compliance with TR3-level edits and CMS standard syntax rules for submitted files as depicted in the CMS 5010 Edit Spreadsheet.

The 999 Acknowledgement Report is generated for every file submission that passes the Pre-Screen and TA1 checks and is used to inform MAOs and other entities of the processing status of the TR3 conformance editing for syntactical accuracy of functional groups (GS/GE) and detail segments and data fields within transaction sets (ST/SE).

One of three different 999 reports will be generated depending upon the errors detected:

- If IK5 and AK9 segments are followed by an 'A' the file was accepted, and a **999A** report is generated.
- If IK5 and AK9 segments are followed by a 'P' the file was partially accepted, and a **999P** report is generated since at least one functional group and/or transaction set is rejected.
- If the IK5 and AK9 segments are followed by an 'R' the file was rejected due to syntax errors, and a **999R** report is generated. All functional groups and transactions sets are rejected. The submitter needs to correct and resubmit.

For both an 'R' and 'P' response, an IK3 and/or an IK4 segment will be displayed to indicate what loops and segments contain the error that requires correction before resubmittal.

- The first element in the IK3 and IK4 indicates the segment and element that contain the error.
- The third element in the IK3 segment identifies the loop that contains the error.
- When applicable, the third element in the IK4 segment indicates the reason code for the error.

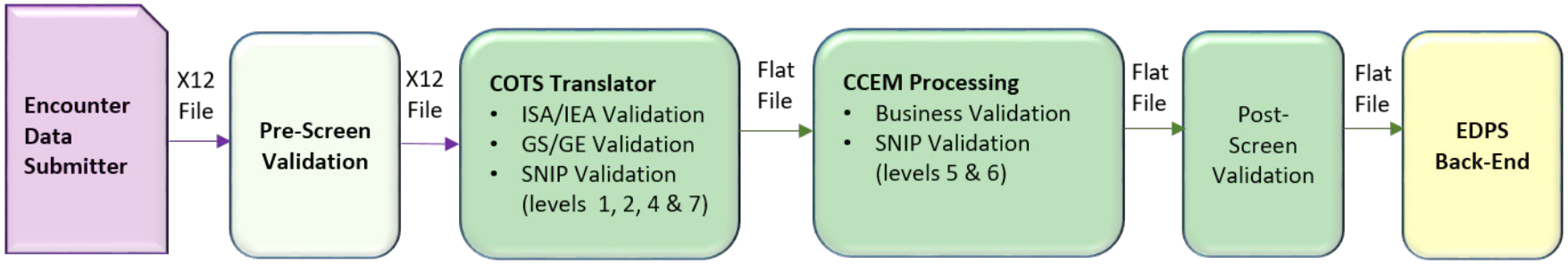
Only accepted data proceeds to Combined Common Edits and Enhancements Module (CCEM) processing.

Report Description (continued)

Files may be populated with more than one functional group containing multiple records. If a file has multiple GS/GE segments and errors occurred at any point within one of the segments, that GS/GE segment will reject, and processing will continue to the next GS/GE segment. For instance, if a file is submitted with three functional groups and there are errors in the second functional group, the first functional group will accept, the second functional group will reject, and processing will continue to the third functional group.

This report is best viewed with a text editor.

Report Generation



Reports Generated:

- Invalid Report (if errors)
- TA1 Report (if errors)
- **999A/P/R Report**
- 277CA Report
- Invalid Report (if errors)
- MAO – 001
- MAO – 002

999 – Functional Group Acknowledgement Report

Report Screenshots

Example 1: 999A

```
ISA*00*       *00*       *27*PPPPPP      *27*XXXXXX *100914*1025*^*00501*000000218*0*T*:~
GS*FA*PPPPPP*XXXXXX*20100914*10251463*3*X*005010X231~ ST*999*3001*005010X231~
AK1*HC*2145001*005010X222~
AK2*837*000000001*005010X222~
IK5*A~
AK9*A*1*1*1~
SE*5*3001~
GE*1*3~
IEA*1*000000218~
```

- If the first position of an IK5 and an AK9 segment contains an ‘A’, the entire 837 file will be accepted and will continue processing.

999 – Functional Group Acknowledgement Report

Report Screenshots

Example 2: 999P

```
ISA*00*       *00*       *ZZ*PPPPP       *ZZ*XXXXXXX*160606*1111*^*00501*022971922*0*P*:~
GS*FA*80882*ENH4506*20160606*11110731*22972392*X*005010X231A1~
ST*999*972392001*005010X231A1~
AK1*HC*161580820*005010X222A1~
AK2*837*00000001*005010X222A1~
IK5*R*I5~
AK2*837*00000002*005010X222A1~
IK5*A~
AK9*P*2*2*1~
SE*8*972392001~
GE*1*22972392~
IEA*1*022971922
```

- If the first position of an AK9 contains a ‘P’ the IK5 segments will contain an ‘A’ and an ‘R’
- If the first position of the IK5 segment contains:
  - ‘R’ the transaction set will ***not*** continue processing.
  - ‘A’ the transaction set will continue processing.
- A “***transaction set***” represents a group of encounters submitted between a “ST” segment and an “SE” segment” on the 837 file.

999 – Functional Group Acknowledgement Report

Report Screenshots

Example 3: 999R

ISA*00* *00* *ZZ*PPPPP *ZZ*XXXXXXX *160606*1111*^*00501*022971922*0*P*:~
GS*FA*80882*ENH4506*20160606*11110731*22972392*X*005010X231A1~
ST*999*972392001*005010X231A1~
AK1*HC*161580820*005010X222A1~
AK2*837*00000001*005010X222A1~
IK3*CLM*22*2300*8~ (Identifies the location of the 837 data segment in error)
CTX*CLM01:2010070933400010~
IK4*26~ (Identifies the location of the 837 data element in error)**
IK5*R*I5~
AK9*R*1*1*0~
SE*6*972392001~
GE*1*22972392~
IEA*1*022971922

- If the first position of the IK5 and the AK9 segment contains an 'R', the entire 837 file has rejected.
- The IK3 and the IK4 segments indicate what loop and segment contain errors.
- The entire 837 file will ***not*** continue processing.

999 – Functional Group Acknowledgement Report

Report Key Segments

Segment	Description	Segment Values
AK1 – Functional Group Response Header	This segment responds to the functional group information received on the 837X file	AK101 – Functional Identifier Code HC – Health Care Claim (837) AK102 – Group Control Number (837X GS06 value) AK103 – Version/Release/Industry Identifier Code
AK2 – Transaction Set Response Header	This segment starts the acknowledgement of a transaction set	AK201 – Transaction Set Identifier Code 837 – Health Care Claim AK202 – Transaction Set Control Number (837X ST02 value) AK203 – Implementation Convention Reference
IK3 – Error Identification (Represents the Segment in Error)	This segment reports segment errors related to this AK2 Loop	IK301 – This data element is the two- or three-byte segment ID that contains the error, (e.g., “ST” or “SBR”) IK302 – This data element contains the sequential position of the segment ID identified in IK301. The transaction set header is count one (e.g., in the received 837X, the CAS segment was the 37th segment from the ST segment) IK303 – Loop identifier

Report Key Segments (continued)

Segment	Description	Segment Values
IK3 – Error Identification (continued)	This segment reports segment errors related to this AK2 Loop	IK304 – Segment Syntax Error Code (This data element describes the type of error encountered) 1 = Unrecognized segment ID 2 = Unexpected segment 3 = Required 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 I4 = Implementation "Not Used" segment present I6 = Implementation dependent segment missing I7 = Implementation loop occurs under minimum times I8 = Implementation segment below minimum use I9 = Implementation dependent "Not Used" segment present
CTX – Segment Context (related to IK3)	This is the segment context, used to identify the 837X segment data that triggered the error (related to this AK2)	CTX01 – Context Identification CTX01-1 – Context Reference – value "SITUATIONAL TRIGGER" will be displayed to identify the situational segment and loop that caused the situation to be required CTX02 – Segment ID Code, code defining the segment ID of the data segment in error

Report Key Segments (continued)

Segment	Description	Segment Values
CTX – Segment Context (related to IK3) (continued)	This is the segment context, used to identify the 837X segment data that triggered the error (related to this AK2)	CTX03 – Segment Position in Transaction Set, the numerical count position of this data segment from the start of the transaction set CTX04 – Loop Identifier Code, the loop ID number for this data element CTX05 – Position in Segment, code indicating the relative position of the data element or composite data structure in error CTX05-1 – Element Position in Segment CTX05-2 – Component Data Element Position in Composite CTX05-3 – Repeating Data Element Position CTX06 – Reference in Segment CTX06-1 – Data Element Reference Number CTX06-2 – Data Element Reference Number
CTX – Business Unit Identifier (related to IK3)	This is the business unit identifier segment, used to identify the 837X segment data that triggered the error (related to this AK2)	CTX01 – Context Identification CTX01-1 – Context Reference – value “CLM01” will be displayed to identify the business unit in CTX01-1 (Claim/Encounter Identifier Number)

999 – Functional Group Acknowledgement Report

Report Key Segments (continued)

Segment	Description	Segment Values
IK4 – TR3 Data Element Note (represents the Data Element in Error, related to the segment – noted in the IK3 loop)	This segment reports data element and composite errors in the 837X (related to this AK2) This segment is required when the error described in IK3 applies to a data element, and the location of the data element containing the error can be identified by CMS	IK401 – Position in Segment – this is a composite data element, indicating there is a sub data element under this data element IK401-1 – Data element position in the segment – for example, REF02 structure says "REF" is the segment and "REF02" is the second data element within the segment IK401-2 – Component Data Element Position, in Composite – this data element identifies where the error occurs within the composite structure (Situational field) IK401-3 – Repeating Data Element Position – this data element identifies the specific repetition of a data element that is in error (Situational field) IK402 – TR3 Data Element Reference Number – reference number used to locate the data element in the Data Element Dictionary (Situational field, Palmetto currently not populating) IK403 – Implementation Data Element Syntax error code: 1 = Required data element missing 2 = Conditional required data element missing 3 = Too many data elements 4 = Data element too short

999 – Functional Group Acknowledgement Report

Report Key Segments (continued)

Segment	Description	Segment Values
IK4 – TR3 Data Element Note (represents the Data Element in Error, related to the segment – noted in the IK3 loop) (continued)	This segment reports data element and composite errors in the 837X (related to this AK2) This segment is required when the error described in IK3 applies to a data element, and the location of the data element containing the error can be identified by CMS	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 12 = Too many repetitions 13 = Too many components I6 = Code value not used in Implementation I9 = Implementation dependent data element missing I10 = Implementation “Not Used” data element present I11 = Implementation too few repetitions I12 = Implementation pattern match failure I13 = Implementation dependent “Not Used” data element present IK404 – Copy of Bad Data Element – this is a copy of the data element in error

Report Key Segments (continued)

Segment	Description	Segment Values
CTX – Element Context (related to IK4)	This is the element context used to identify the 837X segment data that triggered the Error (related to this AK2)	This is the element context used to identify the 837X segment data that triggered the Error (related to this AK2) CTX01 – Context Identification CTX01-1 – Context Reference – value "SITUATIONAL TRIGGER" will be displayed to identify the situational segment and loop that caused the situation to be required CTX02 – Segment ID Code, code defining the segment ID of the data segment in error CTX03 – Segment Position in Transaction Set – the numerical count position of this data segment from the start of the transaction set CTX04 – Loop Identifier Code, the loop ID number for this data element CTX05 – Position in Segment – code indicating the relative position of the data element or composite data structure in error CTX05-1 – Element Position in Segment CTX05-2 – Component Data Element Position in Composite CTX05-3 – Repeating Data Element Position CTX06 – Reference in Segment CTX06-1 – Data Element Reference Number CTX06-2 – Data Element Reference Number

999 – Functional Group Acknowledgement Report

Report Key Segments (continued)

Segment	Description	Segment Values
IK5 – Transaction Set Response Trailer	This segment acknowledges the acceptance or rejection of a transaction and reports errors	IK501 – Transaction Set Acknowledgement Code A – Accepted P – Partially Accepted – at least one transaction set was rejected R – Rejected IK502 – Transaction Set Syntax Error Code 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 18 = Transaction set not in functional group 19 = Invalid transaction set implementation convention reference I5 = Implementation One or More Segments in Error I6 = Implementation convention not supported

999 – Functional Group Acknowledgement Report

Report Key Segments (continued)

Segment	Description	Segment Values
AK9 – Functional Group Response Trailer	This segment acknowledges the acceptance or rejection of a functional group and reports the number of transaction sets originally included, received, and accepted	AK901 – Functional Group Acknowledgement Code A – Accepted P – Partially Accepted, at least one transaction set was rejected R – Rejected AK902 – Number of Transaction Sets Included AK903 – Number of Received Transaction Sets AK904 – Number of Accepted Transaction Sets

999 – Functional Group Acknowledgement Report

Edit Codes Relevant to this Report

The edit codes appearing in the 999 Functional Group Acknowledgement Report are available in the CMS CEM 5010 & CCEM Edit Spreadsheets.

Accessing the Report

Data Transfer Protocol	Mailbox Processing File Names of Reports
Connecting directly with CMS (Supported by the MAPD Help Desk: (mapdhelp@cms.hhs.gov))*	P.xxxxx.EDS_REJT_FUNCT_TRANS.pn P.xxxxx.EDS_ACCPT_FUNCT_TRANS.pn
Secure File Transfer Protocol (SFTP) (Supported by Customer Service Support Center (CSSC): (csscoperations@palmettogba.com))	<Submitter ID>.CCYYMMDD.THHMMSS.nnnnnn.s.999
Connect:Direct (Supported by Customer Service Support Center (CSSC): (csscoperations@palmettogba.com))	Submitter defined

* MAOs and other entities with fewer than 100,000 enrollees can use this option to connect directly to CMS

Report Resources

February 2019 User Group Webinar – Top edits
August 2018 User Group Webinar – Top edits
April 2017 User Group Webinar – Report description
EDFES Training Slides – November 28, 2018
Washington Publishing Company