

# Understanding the 999 Functional Acknowledgement

## Quick Reference Guide

The purpose of this guide is to educate providers and Electronic Data Interchange (EDI) staff, on the enhanced 999 response implemented as part of the update to the Incedo Provider Portal (IPP) system. The IPP system will generate an outbound 999 to acknowledge all inbound transactions received in batch mode. The 999 response will also now generate when 837 files are rejected, as well as when accepted.

### Purpose of 999 Functional Acknowledgement

To confirm if the submitted claim file passed standard-level syntax and structure editing within Optum Maryland's front-end EDI system – Incedo. The report will usually be available the same day the claim file is received.

For received EDI claim files for Optum Maryland, the 999 Acknowledgement may produce two results:

- Accepted
- Rejected

### 999 Functional Acknowledgement Outbound – Accepted

When an EDI claim file is received into the IPP EDI system and has passed the standard-level syntax and structure-editing validation, an accepted 999 Acknowledgement will be generated. Below is an example of an accepted 837 claim file:

```

ISA*00*          *00*          *ZZ*SENDERID      *ZZ*RECEIVERID      *201113*1415*^*00501*000024611*1*P*::~
GS*HC*SENDERID*RECEIVERID*20201113*1415*24611*X*005010X222A1~
ST*837*20609000*005010X222A1~
BHT*0019*00*20609*20201113*1415*CH~
NM1*41*2*SUBMITTER NAME*****46*10807~
PER*IC*CONTACT NAME*TE*4107805203~
NM1*40*2*Optum Maryland*****46*OMDBH~
HL*1**20*1~
PRV*BI*PXC*251500000X~
NM1*85*2*BILLING PROVIDER*****XX*1235516469~
N3*9627 PHILADELPHIA ROAD*SUITE 160~
N4*ROSEDALE*MD*212374157~
REF*EI*371770555~
HL*2*1*22*0~
SBR*P*18*****MC~
NM1*IL*1*DOE*JOHN*****MI*101~
N3*1234 MAIN ST~
N4*KAILUA KONA*HI*96740~
DMG*D8*19560101*M~
NM1*PR*2*OPTUM MARYLAND*****PI*OMDBH~
N3*P O BOX 30531~
N4*Salt Lake City*UT*84130~
CLM*406692*118.56***11:B:1*Y*A*Y*Y~
HI*ABK:F314~
NM1*82*1*Dane*Jane*J***XX*1184861189~
PRV*PE*PXC*1041C0700X~
LX*1~
SV1*HC:H0040:GT*118.56*UN*1***1~
DTP*472*D8*20201112~
SE*28*20609000~
GE*1*24611~
IEA*1*000024611~

```

Once the 999 has been generated, it will be placed in the IPC download folder and indicated or electronically sent back to the 837 submitting entity.

Below you will see the generated 999 Functional Acknowledgement generated for the received 837 claim file:

```

ISA*00*          *00*          *ZZ*SENDERID      *ZZ*RECEIVERID      *201130*1836*^*00501*000024611*1*P*::~
GS*FA*SENDERID*RECEIVERID*20201130*1836*24611*X*005010X231A1~
ST*999*0001*005010X231A1~
AK1*FA*24611*005010X222A1~
AK2*837*20609000*005010X222A1~
IK5*A~
AK9*A*1*1*1~
SE*6*0001~
GE*1*24611~
IEA*1*000024611~

```

*Each 999 Functional Acknowledgement will be given the following naming convention of:*

**999Out\_ProvID#ProviderName\_DateFileSubmitted\_TimeCompleted.txt**

**IE:** 999Out\_ProvID10807Billing Provider\_20201130\_183620.txt

## Reading the 999 Functional Acknowledgement - Accepted

Once the 999 Functional Acknowledgement has been received and downloaded, providers should review the following segments for important information:

- AK1 - indicates type document. **Note:** AK101 will always show “FA” for Functional Acknowledgement. AK102 – indicates the 837 Control number for which the 999 was generated.
- IK5 – indicates the condition of the transaction set. **Note:** For files accepted the IK501 will show “A”.
- AK9 - indicates the acceptance of the file, also reports the number of included transaction sets, number of received transaction sets, and number of accepted transaction sets. **Note:** For files accepted the IK501 will show “A”.

All segments mentioned above are highlighted below:

```
ISA*00*          *00*          *ZZ*SENDERID      *ZZ*RECEIVERID    *201130*1836*^*00501*000024611*1*P*:~
GS*FA*SENDERID*RECEIVERID*20201130*1836*24611*X*005010X231A1~
ST*999*0001*005010X231A1~
AK1*FA*24611*005010X222A1~
AK2*837*20609000*005010X222A1~
IK5*A~
AK9*A*1*1*1~
SE*6*0001~
GE*1*24611~
IEA:1*000024611~
```

When an EDI claim file is received into the IPP EDI system and does not pass the standard-level syntax and structure editing validation, a rejected 999 acknowledgement will be generated.

Below is an example of an inbound 837 claim file rejected for Missing Subscriber Gender:

```

ISA*00*          *00*          *ZZ*SENDERID      *ZZ*RECEIVERID      *201113*1415*^*00501*000024612*1*P*::~
GS*HC*SENDERID*RECEIVERID*20201113*1415*24612*X*005010X222A1~
ST*837*20609001*005010X222A1~
BHT*0019*00*20609*20201113*1415*CH~
NM1*41*2*SUBMITTER NAME*****46*10807~
PER*IC*CONTACT NAME*TE*4107805203~
NM1*40*2*Optum Maryland*****46*OMDBH~
HL*1**20*1~
PRV*BT*PXC*251500000X~
NM1*85*2*Billing Provider*****XX*1235516469~
N3*9627 PHILADELPHIA ROAD*SUIE 160~
N4*ROSEDALE*MD*212374157~
REF*EI*371770555~
HL*2*1*22*0~
SBR*P*18*****MC~
NM1*IL*1*DOE*JOHN*****MI*101~
N3*1234 MAIN ST~
N4*KAILUA KONA*HI*96740~
DMG*D8*19560101*~
NM1*PR*2*OPTUM MARYLAND*****PI*OMDBH~
N3*P O BOX 30531~
N4*Salt Lake City*UT*84130~
CLM*406694*1911.05***11:B:1*Y*A*Y*Y~
HI*ABK:F314~
NM1*82*1*Goddard*Stephanie*J***XX*1184861189~
PRV*PE*PXC*1041C0700X~
LX*1~
SV1*HC:H0040:GT*1911.05*UN*1***1~
DTP*472*D8*20201112~
SE*28*20609001~
GE*1*24612~
IEA*1*000024612~

```

Below you will see the generated 999 Functional Acknowledgement generated for the received 837 claim file showing as rejected:

```

ISA*00*          *00*          *ZZ*RECEIVERID      *ZZ*SENDERID      *201201*2011*^*00501*000024612*1*P*::~
GS*FA*RECEIVERID*SENDERID*20201201*2011*24612*X*005010X231A1~
ST*999*0001*005010X231A1~
AK1*FA*24612*005010X222A1~
AK2*837*20609001*005010X222A1~
IK3*DMG*17*2010*8~
IK4*3*1~
IK5*R*5~
AK9*R*1*1*0~
SE*8*0001~
GE*1*24612~
IEA*1*000024612~

```

The rejected 999 Functional Acknowledgement will be given the same following naming convention of: **999Out\_ProvID#ProviderName\_DateFileSubmitted\_TimeCompleted.txt**  
**IE:** 999Out\_ProvID10807Billing Provider\_20201201\_183620.txt

## Reading the 999 Functional Acknowledgement - Rejected

Once the rejected 999 Functional Acknowledgement has been received and downloaded, providers should view the following segments for important information:

- AK1 - indicates type document. **Note:** AK101 will always show “FA” for Functional Acknowledgement). AK102 – indicates the 837 Control number for which the 999 was generated.
- IK3 – indicates implementation errors pertaining to the file error. **IE:** data segment, position of segment in error, loop containing segment in error and error code.
- IK4 – indicates implementation errors in a data element or composite data structure and identify the location of the data element.
- IK5 – indicates the condition of the transaction set. **Note:** For file rejections the IK501 will show “R”.
- AK9 - indicates the acceptance of the file, also reports the number of included transaction sets, number of received transaction sets, and number of accepted transaction sets. **Note:** For file rejections the AK901 will show “R”.

All segments mentioned above are highlighted below:

```
ISA*00*          *00*          *ZZ*RECEIVERID    *ZZ*SENDERID      *201201*2011*^*00501*000024612*1*P*:~
GS*FA*RECEIVERID*SENDERID*20201201*2011*24612*X*005010X231A1~
ST*999*0001*005010X231A1~
AK1*FA*24612*005010X222A1~
AK2*837*20609001*005010X222A1~
IK3*DMG*17*2010*8~
IK4*3**1~
IK5*R*5~
AK9*R*1*1*0~
SE*8*0001~
GE*1*24612~
IEA*1*000024612~
```

The following is a breakdown of new expected segments of a 999 Functional Acknowledgment – Rejection, and what these fields indicate:

IK3 Segment:

- IK301 – indicates the segment id of the data segment in error. **IE:** DMG
- IK302 – indicates the numerical count position of the data segment. Count is taken from the start of the transaction set “ST”. **IE:** 17
- IK303 – indicates the Loop ID number of the segment where the error was found. **IE:** 2010
- IK304 – contains syntax error code. **IE:** 8

List of valid “IK304” syntax error codes:

- 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

#### IK4 Segment:

- IK401 – indicates the relative position of error within segment
- IK402 – indicates the reference number
- IK403 – contains syntax error code of element

#### List of valid "IK304" syntax error codes:

- 1 - Required 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
- 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