

997 Functional Acknowledgment

A 997 functional acknowledgment reports compliance acceptance or rejection of functional group, transaction set, or segment transactions. The IHCP generates an outbound 997 acknowledging all inbound transactions received in batch mode. The 997 acknowledgment is available for download two hours after data submission.

The IHCP uses Sybase ECMAP software with a HIPAA Toolkit extension. Sybase creates a 997 by processing the data through a compliance map. The IHCP was directed to take the standard HIPAA compliance map created by Sybase without modifications. If transactions contain errors, the entire ST-SE segment is rejected. Any additional functional groups within the ISA-IEA segment are accepted if the data meets compliance rules.

Table 1 list the information contained in the 997 acknowledgment.

Table 1 – Header

POS. #	SEG. ID Name	REQ. DES.	MAX USE	LOOP REPEAT
010 ST	Transaction Set Header	M	1	
020 AK1	Functional Group Response Header	M	1	
	LOOP ID - AK2			999999
030 AK2	Transaction Set Response Header	O	1	
	LOOP ID - AK2/AK3			999999
040 AK3	Data Segment Note	O	1	
050 AK4	Data Element Note	O	99	
060 AK5	Transaction Set Response Trailer	M	1	
070 AK9	Functional Group Response Trailer	M	1	
080 SE	Transaction Set Trailer	M	1	

ST Transaction Set Header

There is only one transaction set per acknowledged functional group.

AK1 Functional Group Response Header

Required segment. There will be one AK1 segment per functional group acknowledged.

AK101 Contains the ID in GS01 of the functional group acknowledged.

AK102 Contains the control number in GS02 of the functional group acknowledged.

AK2 Transaction Set Response Header

Situational segment. Required when communicating information about an st/se within the functional group identified above in AK1.

AK201 Contains the ID in ST01 of the transaction acknowledged.

AK202 Contains the control number in ST01 of the transaction acknowledged.

AK3 Data Segment Note

Situational segment. Required when there are errors to report at the segment level.

AK301 Contains the segment ID in error.

AK302 Contains the count position of the segment in error.

AK303 Contains the loop ID.

AK304 Contains one of the following error codes:

- 1 Unrecognized segment ID
- 2 Unexpected segment
- 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

AK4 Data Element Note

Situational segment. Required when there are errors to report about a data element.

- AK401 Contains the data element position within the segment. Position 1 starts immediately following the segment ID.
- AK402 Contains the data element reference number.
- AK403 Contains one of the following error 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
- AK404 Contains copy of the data element in error.

AK5 Transaction Set Response Trailer

Required segment. Acknowledges acceptance or rejection and reports errors in the transaction set.

- AK501 Contains one of the following codes to indicate acceptance or rejection:
 - A Accepted/ADVISED
 - E Accepted, but errors were noted
 - M Rejected, message authentication code (MAC) failed
 - R Rejected/ADVISED
 - W Rejected, assurance failed validity tests
 - X Rejected, content after decryption could not be analyzed
- AK502 Indicates error found based on the syntax edit of a transaction set with one of the following error codes:
 - 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
 - 8 Authentication key name unknown
 - 9 Encryption key name unknown
 - 10 Requested service (authentication or encryption) 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 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

AK503 – 6 Indicates error found based on the syntax edit of a trans set with one of the code sets used above in AK502.

AK9

Functional Group Response Trailer

Required segment 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.

AK901 Indicates accept or reject condition based on the syntax edit of the functional group with one of the following codes:

- A Accepted/ADVISED
- E Accepted, but errors were noted
- M Rejected, message authentication code (MAC) failed

AK902 Contains the number of transaction sets included in the functional group. Same as GE01 in acknowledged.

AK903 Contains the number of transaction sets received

AK904 Contains the number of transaction sets accepted in the function group

AK905 Indicates error found based on the syntax edit of the functional group header and/or trailer with one of the following codes:

- 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

AK906 – 9 Indicates error found based on the syntax edit of the functional group header and/or trailer with one of the code sets used above in AK905.

SE

Transaction Set Trailer

Indicates the end of transaction set and gives a count of transmitted segments.