Instructions Related to 999 Acknowledgment for Health Care Insurance (999) Based on ASC X12 Implementation Guide

Companion Guide Version Number: 3.0 January 18, 2011

Preface

Companion guides may contain two types of data, instructions for electronic communications with the publishing entity (Communications/Connectivity Instructions), and supplemental information for creating transactions for the publishing entity while ensuring compliance with the associated ASC X12 Implementation Guide (Transaction Instructions). Either the Communications/Connectivity component or the Transaction Instruction component must be included in every companion guide. The components may be published as separate documents or as a single document.

The Communications/Connectivity component is included in the companion guides when the publishing entity wants to convey the information needed to commence and maintain communication exchange.

The Transaction Instruction component is included in the companion guides when the publishing entity wants to clarify the implementation guide instructions for submission of specific electronic transactions. The Transaction Instruction component content is limited by ASC X12's copyrights and Fair Use statement.

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1 Transaction Instructions Introduction

1.1 Background

1.1.1 Overview of HIPAA Legislation

The Health Insurance Portability and Accountability Act of 1996 (HIPAA) includes provisions for administrative simplification. This requires the Secretary of the federal Department of Health and Human Services (HHS) to adopt standards to support the electronic exchange of administrative and financial health care transactions primarily between health care providers and plans. HIPAA directs the Secretary to adopt standards for transactions to enable health information to be exchanged electronically and to adopt specifications for implementing each standard HIPAA serves to:

- Create better access to health insurance.

- Limit fraud and abuse.

- Reduce administrative costs.

1.1.2 Compliance According to HIPAA

The HIPAA regulations at 45 CFR 162.915 require that covered entities not enter into a trading partner agreement that would do any of the following:

- Change the definition, data condition, or use of a data element or segment in a standard.

- Add any data elements or segments to the maximum defined data set.

- Use any code or data elements that are marked "not used" in the standard's implementation specifications or are not in the standard's implementation specification(s).

- Change the meaning or intent of the standard's implementation specification(s).

1.1.3   Compliance According to ASC X12

The ASC X12 requirements include specific restrictions that prohibit trading partners from modifying any:

- Defining, explanatory, or clarifying content contained in the implementation guide.

- Requirement contained in the implementation guide.

1.2   Intended Use

The Transaction Instruction component of this companion guide must be used in conjunction with an associated ASC X12 Implementation Guide. The instructions in this companion guide are not intended to be stand-alone requirements documents. This companion guide conforms to all the requirements of any associated ASC X12 Implementation Guides and is in conformance with the ASC X12 Implementation Guide's Fair Use and Copyright statements.

1.3   Companion Guide Audience

Companion guides are intended for information technology and/or systems staff who will be coding billing systems or software for compliance with the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA).

1.4   Purpose of Companion Guides

The information contained in this companion guide applies to ForwardHealth, which includes the following programs: BadgerCare Plus, Wisconsin Medicaid, SeniorCare, Wisconsin Chronic Disease Program (WCDP), the Wisconsin Well Woman Program (WWWP), and Medicaid managed care programs. All of these programs use ForwardHealth interChange for processing.

The companion guides are to be used with HIPAA Implementation Guides and to supplement the requirements in the HIPAA ASC X12 Implementation Guides, without contradicting those requirements. Implementation guides define the national data standards, electronic format, and values for each data element within an electronic transaction. The purpose of the companion guides is to provide trading partners with a guide to communicate ForwardHealth-specific information required to successfully exchange transactions electronically with ForwardHealth.

ForwardHealth will accept and process any HIPAA-compliant transaction; however, a compliant transaction that does not contain ForwardHealth-specific information, though processed, may be denied for payment. For example, a compliant 837 Health Care Claim (837) created without a ForwardHealth member identification number will be processed by ForwardHealth but will be denied payment. For questions regarding appropriate billing procedures, as well as for policy and billing information, providers should refer to their policy-specific area of the ForwardHealth Online Handbook.

Companion guides highlight the data elements significant for ForwardHealth. For transactions created by ForwardHealth, companion guides explain how certain data elements are processed. Refer to the companion guide first if there is a question about how ForwardHealth processes a HIPAA transaction. For further information, contact the ForwardHealth Electronic Data Interchange (EDI) Department at (866) 416-4979.

1.5 National Provider Identifier

As a result of HIPAA, the federal HHS adopted a standard identifier for health care providers. The Final Rule published by the HHS adopted the National Provider Identifier (NPI) as the standard identifier.

The NPI replaces all payer-specific identification numbers (e.g., Medicaid provider numbers) on nationally recognized electronic transactions (also known as standard transactions); therefore, all health care providers are required to obtain an NPI to identify themselves on these transactions. The NPI is the only identification number that will be allowed on these transactions.

ForwardHealth has determined that all providers, except for personal care only providers, specialized medical vehicle providers, and blood banks, are health care providers (per the definitions within the NPI Final Rule) and, therefore, are required to obtain and use an NPI. ForwardHealth requires all health care providers to submit their NPI on electronic transactions.

1.6　Acceptable Characters

All alpha characters used in HIPAA transactions must be in an uppercase format. The HIPAA transactions must not contain any carriage returns nor line feeds; the data must be received in one, continuous stream.

1.7　Acknowledgements

An accepted 999 Implementation Acknowledgement, rejected 999 Implementation Acknowledgement, or rejected TA1 InterChange Acknowledgement will be generated in response to all submitted files. Trading partners are responsible for retrieving acknowledgments from the ForwardHealth Portal to determine the status of their files.

1.8　Examples

See Section 6 of this guide for examples.

2　Included ASC X12 Implementation Guide

This table lists the X12N Implementation Guide(s) for which specific transaction instructions apply and which are included in Section 3 of this document.

Unique ID	Name
005010X231A1	999 Functional Acknowledgement

3 Instruction Tables

These tables contain one or more rows for each segment for which a supplemental instruction is needed.

Legend
SHADED rows represent "segments" in the X12N implementation guide.
NON-SHADED rows represent "data elements" in the X12N implementation guide.

3.1 005010X231A1 — 999 Functional Acknowledgement

Loop ID	Reference	Name	Codes	Notes/Comments
	ISA	Interchange Control Header		The ISA is a fixed-length record with fixed-length elements.
	ISA05	Interchange ID (Sender) Qualifier	ZZ	Enter the value "ZZ" — Mutually Defined.
	ISA06	Interchange Sender ID	WISC_DHFS	
	ISA07	Interchange ID (Receiver) Qualifier	ZZ	Enter the value "ZZ" — Mutually Defined.
	ISA08	Interchange Receiver ID		This element is the nine-digit numeric Trading Partner identification number assigned by ForwardHealth interChange.
	ISA11	Repetition Separator	^	The repetition separator is a delimiter separating repeated occurrences of a data element or composite data; it is not a data element. This field will contain a caret.
	ISA13	Interchange Control Number		This element contains a distinct tracking number for this file.
	GS	Functional Group Header		
	GS02	Application Sender's Code		This element will identify the sender of the transaction.
	GS03	Application Receiver's Code		This element will identify the party receiving the the transmission.
	GS08	Version / Release / Industry Identifier Code	005010X231A1	Valid Code 005010X231A1.
	ST	Transaction Set Header		
	ST01	Transaction Set Identifier Code	999	The value "999" is the unique identifying code for this Transaction Set.
	ST02	Transaction Set Control Number		The Transaction Set Control Numbers in ST02 and SE02 will be identical. The number is

Loop ID	Reference	Name	Codes	Notes/Comments
				assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number "0001" and increment from there.
	ST03	Implementation Convention Reference	005010X231A1	This field contains the same value as data element GS08.
	AK1	Functional Group Response		The purpose of this header segment is to start the acknowledgment of a functional group.
	AK101	Functional Identifier Code		Uses the value in GS01 from the functional group to which this 999 transaction set is responding.
	AK102	Group Control Number		Uses the value in GS06 from the functional group to which this 999 transaction set is responding.
	AK103	Version Release/Industry Identifier Code		Uses the value in GS08 from the functional group to which this 999 transaction set is responding.
2000	AK2	Transaction Set Response Header		Information in this loop is required when an error is present in a transaction set contained in the functional group to which this 999 transaction set is responding. If not required by this implementation guide, the information may be provided at the sender's discretion but cannot be required by the receiver.
2000	AK202	Transaction Set Control Number		This element contains the value from the ST02 being acknowledged (i.e., the Group Control Number).
2000	AK203	Implementation Convention Reference		When used, this is the value in ST03 from the transaction set to which this 999 transaction set is responding.
2100	IK3	Error Identification		
2100	IK301	Segment ID Code		This element contains the identification of the data segment in error (e.g. "NM1" or "SV1").
2100	IK302	Segment Position in Transaction Set		This element contains the location of the segment in error from the "ST" segment. The third segment after the "ST" would have a value of "4" (one for the "ST" plus three more).

Loop ID	Reference	Name	Codes	Notes/Comments
2100	**IK303**	**Loop Identifier Code**		**This element contains the loop number of the segment in error (e.g., "2310").** **CURRENT ISSUE: In some instances, an invalid value of "ZZ" is being populated in this field; this was not addressed in the December 2011 Sybase upgrade.**
2100	IK304	Implementation Segment Syntax Error Code	1, 2, 3, 4, 5, 6, 7, 8, I4, I6, I7, I8, I9	This element contains the error noted for the segment. The codes and descriptions are the following: • "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.
2100	CTX	Segment Context		This segment is used to identify the data that triggered the situational requirement. Required when the error identified in this IK3 loop was triggered by a situational requirement of the implementation guide and the error occurs at the segment level. **During the December 2011 Sybase upgrade, a new bug was encountered; the CTX04 element is being populated with "1000" regardless of the actual loop number containing the error being described.**

Loop ID	Reference	Name	Codes	Notes/Comments
2100	CTX01-1	Context Name		Always contains the value "SITUATIONAL TRIGGER".
2100	CTX	Business Unit Identifier		Required when the error reported in this IK3 loop is within a business unit and the business unit identifier is known by the submitter of the 999.
2100	CTX01-1	Context Name		This composite element contains one of the following values, depending on the value in AK201: • TRN02 269 business unit identifier. • TRN02 270 business unit identifier. • TRN02 271 business unit identifier. • NM109 274 business unit identifier. • PATIENT NAME NM109 275 business unit identifier. • TRN02 276 business unit identifier. • TRN02 277 business unit identifier. • SUBSCRIBER NAME NM109 278 business unit identifier. • ENT01 820 business unit identifier. • SUBSCRIBER NUMBER REF02 834 business unit identifier. • TRN02 835 business unit identifier. • CLM01 837 business unit identifier.
2100	CTX01-2	Context Reference		This contains the value from the business unit identifier specified in CTX01-1.
2110	IK4	Implementation Data Element Note		This segment is required when the error in the segment described in the IK3 segment applies to a data element and the location of the data element containing the error can be identified by the submitter of the 999.
2110	IK401-1	Element Position In Segment		This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, of the error; in the data segment the count starts with "1" for the simple data element or composite data structure immediately following the segment ID.

Loop ID	Reference	Name	Codes	Notes/Comments
				Current Issue: This value is not being populated, the 2011 Sybase upgrade did not correct this issue.
2110	IK401-2	Component Data Element Position in Composite		This composite element is used to identify the component element position within the composite that is in error.
2110	IK401-3	Repeating Data Element Position		The purpose of this composite element is to identify the specific repetition of a data element that is in error.
2110	IK403	Implementation Data Element Syntax Error Code	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13, I10, I11, I12, I13, I6, I9	"1" — Mandatory data element missing. This error message may be caused by the following: - Element is required but missing. - Component is required but missing. "2" — Conditionally required data element missing. This error message may be caused because of the following: - Condition requires one or more data elements. - Paired data element missing (if A is present then B must also be present). "3" — Too many data elements. This error message may be caused because of the following: - Root level HL segment should not be subordinate to any HL segment. - Cannot find the HL segment's parent HL segment. - The number of data elements inside the segment exceeds the standard. - The element is not used by the standard. - The component is not used by the standard. "4" — Data element is too short. This error message may be caused because of the following: - The length is less than the minimum size. - The length is less than the required size. - A repeatable element's

Loop ID	Reference	Name	Codes	Notes/Comments
				occurrence is less than the minimum occurrences.
				o A repeatable component occurrence is less than the minimum occurrences.
				• "5" — Data element too long. This error message may be caused because of the following:
				o The data element is too long.
				o A repeatable element's occurrences exceed the maximum occurrences.
				o A repeatable component's occurrences exceed the maximum occurrences.
				• "6" — Invalid character in data element. This error message may be caused because of the following:
				o Element has the wrong format.
				o Element has the wrong value.
				o Trailing element separator(s) found.
				o Trailing component separator(s) found.
				o Found a character not in the HIPAA basic or extended character set.
				o Data has unnecessary trailing spaces.
				o Number field contains a plus (+) sign.
				o Number fields contain a decimal point (.) without any significant digits to the right of the decimal point.
				o Invalid non-numeric data is found in a number field.
				• "7" — Invalid code value. This error message may be caused because of the following:
				o The value cannot be found in the code source.
				o The value must begin with "1" and be incremented by one.
				o The value must be unique within the transaction set.
				o The data does not balance as required by the standard.
				o The HL01, Hierarchy ID Number, must be unique.
				o A loop's required subordinate loop is missing.

Loop ID	Reference	Name	Codes	Notes/Comments
				o The value must be unique among elements. • "8" — Invalid Date. This error message may be caused because of the following: o Date does not match specified format. o Data is not a valid date. • "9" — Invalid Time. This error message may be caused because of the following: o Time does not match specified format. o Data is not a valid time. • "10" — Exclusion condition violated. • "12" — Too Many Repetitions. • "13" — Too Many Components. • "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. • "I6" — Code Value Not Used in Implementation. • "I9" — Implementation Dependent Data Element Missing.
2110	IK404	Copy of Bad Data Element		This element will contain a copy of the data element in error; from 1 to 99 alpha numeric characters will be displayed.
2110	CTX	Element Context		Used to identify the data that triggered the situational requirement. Required when the error identified in this IK4 loop was triggered by a situational requirement of the implementation guide and the error occurs at the element level. **During the December 2011 Sybase upgrade, a new bug was encountered; the CTX04 element is being populated with "1000" regardless of the actual loop number containing the error being described.**
2000	IK5	Transaction Set Response Trailer		This segment will acknowledge acceptance or rejection and report implementation errors in a transaction set.

Loop ID	Reference	Name	Codes	Notes/Comments
2000	IK501		A, E, M, R, W, X	This element contains the status of the transaction set. Possible values and descriptions are: • "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.
2000	IK502	Implementation Transaction Set Syntax Error Code	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15, 16, 17, 18, 19, 23, 24, 25, 26, 27, I5, I6	Implementation error found based on the syntax editing of a transaction set. Required when IK501 = "E" or "R".
2000	IK503	Implementation Transaction Set Syntax Error Code		Required when IK501 = "E" or "R", and IK502 has been used, and there are additional error codes to report.
2000	IK504	Implementation Transaction Set Syntax Error Code		Required when IK501 = "E" or "R", and IK502 and IK503 have been used, and there are additional error codes to report.
2000	IK505	Implementation Transaction Set Syntax Error Code		Required when IK501 = E or R, and IK502, IK503, and IK504 have been used, and there are additional error codes to report.
2000	IK506	Implementation Transaction Set Syntax Error Code		Required when IK501 = E or R, and IK502, IK503, IK504, and IK505 have been used, and there are additional error codes to report.
	AK9	Functional Group Response Trailer		The purpose of this segment is 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	Functional Group Acknowledge Code	A, E, M, P, R, W, X	Possible values and descriptions are: • "A" — Accepted. • "E" — Accepted But Errors Were Noted. • "M" — Rejected, Message Authentication Code (MAC) Failed.

Loop ID	Reference	Name	Codes	Notes/Comments
				• "P" — Partially Accepted, At Least One Transaction Set Was Rejected. • "R" — Rejected. • "W" — Rejected, Assurance Failed Validity Tests. • "X" — Rejected, Content After Decryption Could Not Be Analyzed.
	AK902	Number of Transactions Sets Included		Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. This element contains the value in the GE01 from the original file being acknowledged.
	AK905	Functional Group Syntax Error Code	1, 2, 3, 4, 5, 6, 10, 11, 12,13, 14, 15, 16, 17, 18,19, 23, 24, 25, 26	Required when AK901 = "E" or "R", and the error is at the functional group level: • 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. • 19 - Functional Group Control Number not Unique within Interchange. • 23 - S3E Security End Segment Missing for S3S

Loop ID	Reference	Name	Codes	Notes/Comments
				Security Start Segment. • 24 — S3S Security Start Segment Missing for S3E End Segment. • 25 — S4E Security End Segment Missing for S4S Security. • 26 — S4S Security Start Segment Missing for S4E Security End Segment.

4 Transaction Instructions Additional Information

4.1 Business Scenarios

4.2 Payer-Specific Business Rules and Limitations

4.2.1 Scheduled Maintenance

ForwardHealth recycles the real-time servers every night between 00:00 a.m. to 01:00 a.m. Central Standard Time. Real-time processing is not available during this period.

ForwardHealth schedules regular maintenance every Sunday from 00:00 a.m. to 04:00 a.m. CST. Real-time processing is not available during this period.

4.3 Frequently Asked Questions

N/A

4.4 Other Resources

Washington Publishing Company (WPC) at *www.wpc-edi.com/*.
ASC X12 at *www.x12.org/*.

For further information about how ForwardHealth interChange processes a HIPAA transaction, contact the ForwardHealth EDI Department at (866) 416-4979.

5 Transaction Instructions Change Summary
N/A

6 Transaction Instructions Appendix A

6.1 EDI Transmission Example

The following example describes a 999 transaction set that is responding to a functional group that was received containing three 837 transaction sets. The first transaction set conformed fully with the X12 standard, while the second and third contained errors.

ISA*00* *00* *ZZ*123456789
*ZZ*987654321
*041117*1024*^*00501*000000286*0*P*:~
GS*FA*RCVR*SNDR*20041117*1024*287*X*005010X231~

The ST segment indicates the beginning of the 999 transaction set, control number 2870001.
ST*999*2870001*005010X231~

The AK1 segment describes the functional group to which this 999 is responding.
AK1*HC*17456*004010X098A1~

The first Transaction Response Loop indicates that the received transaction set, control number 0001, was accepted with no errors.
AK2*837*0001~
IK5*A~

The second Transaction Response Loop indicates that the received transaction set, control number 0002, was rejected due to a missing CLM02 data element. The CTX segment indentifies the Business Unit (i.e., the claim) that was in error.
AK2*837*0002~
IK3*CLM*22**8~
CTX*CLM01:123456789~
IK4*2*782*1~
IK5*R*5~

The third Transaction Response Loop indicates that the received transaction set, control number 003, was rejected due to a missing REF (Original Reference Number ICN/DCN) segment. This segment is required by the implementation guide when CLM05-3 = 6, 7, or 8. The IK3 segment indicates the missing REF segment, and the first CTX segment indicates the CLM05-3 as the reason for the missing REF segment. The second CTX identifies the Business Unit (i.e., the claim) that was in error.
AK2*837*0003~
IK3*REF*57**3~
CTX*SITUATIONAL TRIGGER*CLM*43**5:3*C023:1325~
CTX*CLM01:987654321~
IK5*R*5~

The Trailer section provides a summary of the disposition of the received functional group, and ends the transaction set.
AK9*P*3*3*1~
SE*16*2870001~
GE*1*287~
IEA*1*000000286~