

How to Read a 997 Functional Acknowledgment

WPS will acknowledge files received with an electronic 997 transaction. The 997 acknowledges receipt of a file and confirms whether or not, the file has successfully passed our initial processor edits. Submitters commonly think the file they receive is “gibberish.” We have created this tool to assist you in interpreting the information in the 997. In addition to the 997, our processor returns “processor comments” which give you an “English version” of the 997. If you do not have access to the process comments, you may choose to dial in manually or request your vendor make modifications to your script.

“How do I know if what I got is gibberish?” Electronic transactions in ANSI format have an electronic envelope. The first segment in the file is an ISA; the last segment is the IEA. You may receive the following types of ANSI files from WPS:

997	functional acknowledgement
835	electronic remittance
277	electronic claim status response

“How do I know what type of file I received?” The ST segment is the transaction set header. The ST purpose is to indicate the start of a transaction set. The ST01 is the Transaction Set Identifier Code. The ST01 uniquely identifies a transaction set. The ST01 will identify if a file is a 997, 835 or 277.

Example: ST*997*1234~ ←ST01 = 997, the file is a functional acknowledgement
 ST*835*ABC~ ←ST01 = 835, the file is an electronic remittance
 ST*277*1A~ ←ST01 = 277, the file is an electronic claim status response

“How do I know if my file was accepted?” The AK501 and AK901 would have values of A or E and there are no AK3 and AK4 segments.

Example of a passed file:

```
ISA*00*       *00*       *ZZ*00951       *ZZ*92008       *040225*1123*U*00401*000000033*0*P*>~
GS*FA*00951*92008*20040225*112331*33*X*004010X098A1~
ST*997*33001~
AK1*HC*7491~
AK2*837*000000001~
AK5*A~                   ← AK501 = A, transaction set accepted
AK9*A*1*1*1~           ← AK901 = A, file accepted
SE*6*33001~
GE*1*33~
IEA*1*000000033~
```

“How do I know if my file has errors?” There are AK3 and AK4 segments present and the AK501 and AK901 have a value of M, R, W or X.

Example of a failed file:

```
ISA*00*       *00*       *ZZ*00951       *ZZ*92008       *040225*1057*U*00401*000009211*0*P*>~
GS*FA*00951*92008*20040225*105740*9311*X*004010X098A1~
ST*997*9311001~
AK1*HC*5~
AK2*837*000000286~
AK3*PER*12**8~         ← AK3 present, error in the PER data segment
AK4*3**2~             ← AK4 present, error in the 3rd data element, error code 2.
AK5*R~                 ← AK501 = R, transaction failed
AK9*R*1*1~           ← AK901 = R, file failed
SE*8*9311001~
GE*1*9311~
IEA*1*000009211~
```

“The file has all the information in one long string of letters and numbers. How do I read the information?” Since the 997 comes to you in a wrapped format, you may use a text editor (Notepad, Word, Word Perfect, etc) and do a search for the value of AK5 and AK9.

Example of wrapped data in 997:

```
ISA*00*      *00*      *ZZ*00951      *ZZ*92008
*040225*1123*U*00401*000000033*0*P*>~GS*FA*00951*92008*20040225*112331*33*X*004010X098A1~ST*
997*33001~AK1*HC*7491~AK2*837*000000001~AK5*A~AK9*A*1*1*1~SE*6*33001~GE*1*33~IEA*1*00
0000033~
```

Please note: the AK5 and AK9 segments appear in the string of data as: **AK5*A~AK9*A*1*1*1~**. The values following the * are the AK501 and AK901, respectively. In this example the AK501 = A, and AK901 = A. The file in this example was accepted.

“What do I do if my file is rejected (AK501 not = A or E and AK901 not = A or E)?” Contact your software vendor for support or the WPS EDI Hotline for IL, MI & WI: 877-567-7261, or for MN: 952-885-2811, 952-885-2881 or 952-885-2882.

Example of a failed file in a wrapped 997:

```
ISA*00*      *00*      *29*00951      *ZZ*92008
*040226*0806*U*00401*000009241*0*P*>~GS*FA*00951*92008*20040226*080626*9341*X*004010
X098A1~ST*997*9341001~AK1*HC*528~AK2*837*0528~AK3*PAT*10813**8~AK4*1**7*18~AK5
*R~AK9*R*1*1*1~SE*8*9341001~GE*1*9341~IEA*1*000009241~
```

Please note the AK5 and AK9 segments appear in the data as **AK5*R~AK9*R*1*1~**. The value following the * is the AK501 and AK901. In this example AK501 = R and AK901 = R. The file rejected.

“It looks like there is more information in the 997. How do I get a listing of the values in the 997?”

Appendix B in each X12N Implementation Guide contains all of the code values in a 997. Those Implementation Guides are available at no cost from Washington Publishing Company. Look here for additional information: <http://www.wpc-edi.com/hipaa>.

“Is that all I need to do to have my claims processed in the new format, just look at the 997?” The 997 functional acknowledgement is the first step to having your claims accepted. In addition to a file passing our initial edits (AK501 = A or E and AK901 = A or E), the claim processing system reviews every claim for a number of pre-pass edits to ensure that claim data is valid. **It is critical that you pick up your pre-pass edit reports after sending claims.** If you do not receive your pre-pass edit report, that could also be another indication of a problem. If a claim contains missing or incorrect information, one of two things will happen because of a pre-pass edit.

1. If an informational edit is in effect, the claim, batch, or file will process normally. The informational edit identifies the error and alerts the submitter in order to correct future claims.
2. If a delete edit is in effect, the claim, batch, or file will not process normally; it deletes from the claims processing system and alerts the submitter to the error.

A complete list of current Medicare 4010A1 pre-pass edits is available in the WPS Bulletin Board in the EDI file library in the HIPAA directory (file name: 4010_401.doc) or on the WPS web site: http://www.wpsic.com/medicare/provider/pdfs/mcs_prepass.pdf.