

997 Functional Acknowledgement Overview

I. Identifying the file the 997 is reporting on.

1. Use TA1 segment when present.
 - Match the following TA1 elements to ISA elements received or sent in the ISA segment.
 - a. TA101 will contain the interchange control number from the ISA13 element.
 - b. TA102 will contain the interchange date from the ISA09 element.
 - c. TA103 will contain the interchange time from the ISA10 element.
2. Use AK1 segment.
 1. AK102 will contain the functional group control number in GS06.
 2. Since there is one AK1 segment for each GS segment, matching on the first one in the file should be sufficient.

II. Determining the status of the file being acknowledged.

1. Check the interchange acknowledgement when TA1 segment is present. This will report on the ISA and IEA segments only.
 - TA104 reports the interchange acknowledgement code.
 - a. TA104 = "A", there are no errors.
 - b. TA104 = "E", accepted but errors noted. Check TA105 to get the error code.
 - c. TA104 = "R", interchange has rejected. Check TA105 to get the error code.
 - Note: There can be multiple TA1 segments reported when there are multiple errors for an interchange.
2. Check AK9 segment(s).
 - AK901 will contain the functional group acknowledge code.
 - a. AK901 = "A", there are no errors
 - b. AK901 = "E", accepted but errors noted.
 - c. AK901 = "P", partially accepted, at least one transaction set has rejected.
 - d. AK901 = "R", Rejected. See AK905 thru AK909 for error 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
 - Since there is one AK9 segment for each functional group (GS-GE) being acknowledged, you must check all AK9 segment(s) in the file.
 - When AK901 = "P" then the AK5 segment must be used to identify which transaction set(s) within the functional group have been rejected.

III. Identifying the transaction set(s) with the error(s).

1. Use AK5 segment.
 - AK501 will contain the transaction set acknowledgement code.
 - a. AK501 = "A", there are no errors
 - b. AK501 = "E", accepted but errors noted.
 - c. AK501 = "R", Rejected. See AK502 thru AK506 for error codes.
 - 1 - Transaction set not supported
 - 2 - Transaction set trailer missing
 - 3 - Transaction set control # 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
2. If the error cannot be determined by using the TA1 and AK9 segment, then find the transaction sets that have errors. The number of transaction sets with errors can be calculated by subtracting AK904 (accepted) from AK903 (received).
3. To find a transaction set that has been rejected search for 'AK5*R'. The element separator will vary from file to file.
4. To identify the transaction set control number for the rejected transaction set, find the previous AK2 segment (ex. **F AK2 PREV**)

IV. Finding error(s) within a transaction.

1. When AK503 = '5' then one or more segments are in error and the AK3 segment(s) will need to be looked at.
2. Find the AK2 segment that goes with the AK5 segment that is flagged as rejected.
3. Now find the first AK3 segment.

V. Determining segment errors.

1. Use AK3 segment.
 - a. AK301 will define the segment ID that has the error.
 - b. AK302 contains the segment position in the transaction set.
 - c. AK303 contains the loop id the error occurred in.
 - d. AK304 has the segment syntax error code.
 - 1 - Unrecognized segment ID
 - 2 - Unexpected segment
 - 3 - Mandatory segment missing
 - 4 - Loop occurs over maximum times
 - 5 - Segment exceeds maximum use
 - 6 - Segment is not defined in transaction set
 - 7 - Segment not in proper sequence
 - 8 - Segment has data element errors.
2. When AK304 = '8' then one or more data elements are in error. There will be an AK4 segment for each error reported for that segment.

VI. Determining data element errors.

1. Use AK4 segment.
 - a. AK401 composite will give the position of the element/component in error
 - b. AK401-1 gives the element position in the segment.
 - c. AK401-2 gives the component data element position in the composite.
 - d. AK403 is the data element syntax error code.
 - 1 - Mandatory data element missing
 - 2 - Conditionally required data element is missing
 - 3 - Too many data elements
 - 4 - Data element is too short
 - 5 - Data element is too long
 - 6 - Invalid character in data element
 - 7 - Invalid code value
 - 8 - Invalid date
 - 9 - Invalid time
 - 10 - Exclusion Condition Violated
 - e. AK404 contains a copy of the bad data.

VII. Finding the segments with bad data in the claim file.

- By using the TA1, AK1 and AK9 segments (see section I) you should have found the claim file the 997 is reporting on and found the first functional group that has a reject (see section II). The GS segment should be at the top of the screen.
- Using the AK5 segment find the first rejected transaction set in the functional group (see section III). Find the AK2 segment that belongs with that AK5 segment.
- AK202 will identify what transaction set control number to look for within that functional group. On the command line do **F ST~835~0001** (note: element separators will vary). At this point the ST segment that has the error should be at the 2nd line from the top of the screen.
- Put the value in AK302 element (segment position in the transaction set) on the command line and hit F8 (down) to locate the segment that the error occurred on. The segment ID should match what is in AK301.
- Now that you have found the segment that is in error, use sections V and VI to determine which element (maybe component) that is causing the error.