

New York State Early Intervention EI-Hub 999 Companion Guide

Support for the Operational Management of
NYS's EIP: C034488

NY Department of Health

[v2.0.0]



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Revision History

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v1.0.0	March 24, 2021	Draft for client review
v2.0.0	May 14, 2021	Draft with client comments incorporated for approval

1 PREFACE

The 999 Companion Guide to the ASC X12N Implementation Guides, mandated under the Health Insurance Portability and Accountability Act (HIPAA), clarifies and specifies the data content needed to exchange with the New York Early Intervention EI-Hub electronically. Transmissions based on this companion guide, used in tandem with the ASC X12 Version 5010 Implementation Guides, are compliant with both X12 syntax and the principles mentioned. The 999 Companion Guide conveys information within the framework of the ASC X12 Version 5010 Implementation Guides adopted for use under HIPAA. The 999 Companion Guide is not intended to convey information that in any way exceeds the requirements or usages of data expressed in the Implementation Guides.¹

¹ The 999 Companion Guide's content will be revised and republished when New York Early Intervention makes improvements and/or changes to any referenced product, process, or program. This documentation is the confidential and proprietary property of the Public Consulting Group (PCG) Any unauthorized use, reproduction or transfer of the documentation is strictly prohibited.

2 INTRODUCTION

The Administrative Simplification provision of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) requires the Department of Health and Human Services (HHS) to establish national standards for electronic health care transactions for health plans and providers. The X12 Implementation Guides were implemented as the standard documents used to comply with claims transaction compliance for electronic data interchange in health care.

PCG has prepared this document to guide the data elements and segment requirements for the New York Early Intervention EI-Hub electronic claims submissions. This document's intended audience should be the technical team responsible for creating the specifications needed to submit a HIPAA-compliant electronic claims file. This information should be coordinated with the Early Intervention provider's billing practice to ensure accuracy and completion of all necessary data requirements.

2.1 PURPOSE OF COMPANION GUIDE

The New York Early Intervention EI-Hub 837P Healthcare Claim Professional Transaction Companion Guide explains the procedures necessary for New York Early Intervention Approved Providers to transmit Electronic Data Interchange (EDI) transactions with EI-Hub. This 999 - Implementation Acknowledgement Companion Guide to the Accredited Standards Committee X12 (ASC X12) Version 5010 HIPAA Implementation Guides clarifies and specifies EI-Hub specific data content being returned when data is transmitted electronically via the 837P Healthcare Claim Professional files. Transmissions based on this companion document, used in conjunction with the ASC X12 Version 5010 HIPAA Implementation Guides, are compliant with both ASC X12N syntax and the principles mentioned.

As documented in the published *X12 Intellectual Property (IP) Use* guidelines (<https://x12.org/products/ip-use>), the 999 Companion Guide is:

- Not intended to replace, duplicate, countermand or contradict any requirement of the associated 005010 HIPAA Implementation Guides.
- Intended to be used solely to clarify the associated ASC X12 Version 5010 HIPAA Implementation Guide instructions to provide EI-Hub specific requirements only. It describes the specific requirements for submitting electronic claim files to the EI-Hub. You will need to refer to the specific ASC X12 Version 5010 HIPAA Implementation Guides for the guidelines and interpretation of all required/situational fields, loops, and segments.

Use the 999 Companion Guide in conjunction with the following ASC X12 Version 5010 HIPAA Implementation Guides (with the associated addenda, if any, indicated):

- ASC X12N/005010X222A1 – Health Care Claim: Professional (837)

2.2 SCOPE

The 999 Companion Guide aims to communicate EI-Hub-specific requirements and facilitate a smooth transition into the EDI environment; uniform implementation is critical. The 999 Companion Guide is the technical report document for the ANSI ASC X12 999 Functional Acknowledgement for Health Care Insurance transactions for New York Early Intervention EI-Hub electronic claims.

2.3 REFERENCES

HIPAA requires that all health insurance payers in the U.S. comply with the EDI standards for health care as established by the Secretary of Health and Human Services. The ASC X12N versions are the standard for claim

transactions. These implementation guides are available via the Washington Publishing Co. website, www.wpc-edi.com.

2.4 ADDITIONAL INFORMATION

Readers of this document should be familiar with HIPAA and its associated Regulations and with EDI standards developed by the ASCX12 and published in the implementation guides (Type 3 Technical Reports) for the included transactions. This document's authors address its contents to both technical and non-technical readers tasked with designing, implementing, and/or supporting EDI with Public Consulting Group (PCG)

Authors in this document made substantial efforts to minimize errors; however, PCG employees, directors, and shareholders shall not be liable or responsible for any errors, omissions, or expenses resulting from using the information in this document.

Note: New York Early Intervention EI-Hub may be referred to as "EI-Hub" in this document. The two terms are used interchangeably.

3 ACKNOWLEDGEMENT TO 837P FILE SUBMISSION

The operation will return a 999 - Implementation Acknowledgement file for each 837P file received by EI-Hub. Submitters (Billing Providers) are responsible for retrieving 999 files from the New York Early Intervention EI-Hub to determine their submitted files' status.

- The 999 will indicate if the submitted 837P file has been accepted or rejected by EI-Hub.
- Rejected files should be corrected by the Submitter (Billing Provider) and resubmitted to EI-Hub.

4 TRANSMISSION CONTROL SCHEMATIC

ISA - Interchange Control Header

GS - Functional Group Header

ST - Transaction Set Header

SE - Transaction Set Trailer

GE - Functional Group Trailer

IEA - Interchange Control Trailer

X12 String	Description
ISA*00* *00* *ZZ*123456789*ZZ*987654321*041117*1024*^*00501*000000286*0*P*~	The Interchange Control and Functional Group segments (ISA, GS, GE, and IEA) are required in the ASC X12 message.
GS*FA*RCVR*SNDR*20041117*1024*287*X*005010X231~	
ST*999*2870001*005010X231~	The ST segment indicates the beginning of the 999 transaction set, control number 2870001.
AK1*HC*17456*005010X222~	The AK1 segment describes the functional group to which this 999 is responding.
AK2*837*0001~ IK5*A~	The first Transaction Response Loop indicates that the received transaction set, control number 0001, was accepted with no errors.
AK2*837*0002~ IK3*CLM*22**8~ CTX*CLM01:123456789~ IK4*2*782*1~ IK5*R*5~	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 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 third Transaction Response Loop indicates that the received transaction set, control number 0003, 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.
AK9*P*3*3*1~ SE*16*2870001~ GE*1*287~ IEA*1*000000286~	The Trailer section provides a summary of the disposition of the received functional group, and ends the transaction set.

4.1 NOMENCLATURE

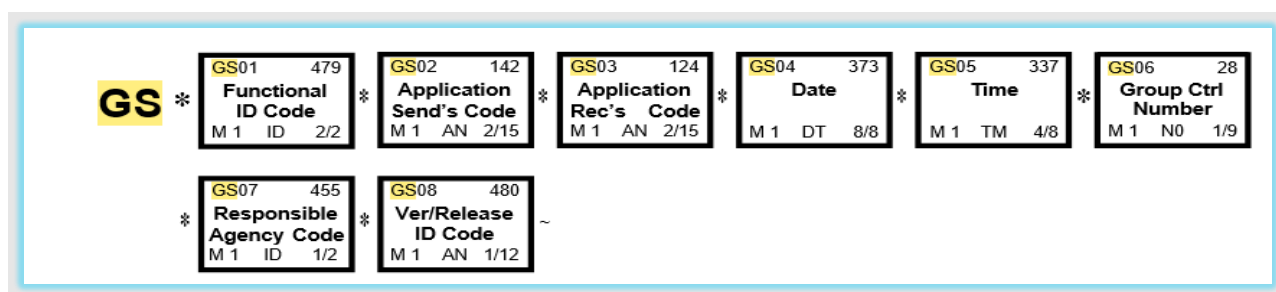
SEGMENT ISA*00* *00* *30*592015694 *ZZ*ABC111111 *191201*1121*^*00501*000000001*0*P*~

ELEMENT GS*FA*RBG005010X220A1*ABC11*20191201*1121*1*X*005010X231A1~

ELEMENT SEPARATOR ST*999*0001*005010X231A1~

SEGMENT TERMINATOR AK1*BE*190804445*005010X220A1~

4.2 GS – FUNCTIONAL HEADER GROUP



Example: GS*FA*SENDER CODE*RECEIVERCODE*20051231*0802*1*X*005010X231~

Data Element	Segment Name	Additional Information
GS01	Functional Identifier Code	FA- Functional or Implementation Acknowledgement Transaction Sets (997,999)
GS02	Application Sender's Code	Code used to identify the unit/entity sending the information.
GS03	Application Receiver's Code	Code used to identify the unit/entity receiving the information.
GS04	Date (YYYYMMDD)	Functional group creation date.
GS05	Time (HHMMSS)	H= hours (00-23), M=minutes (00-59), S=integer seconds (00-59)
GS06	Group Control Number	The number is originated and maintained by the sender.
GS07	Responsible Agency Code	X= Accredited Standards Committee X12
GS08	Version/Release/Industry Identifier Code	005010X231A1- Standards Approved for Publication by ASC X12

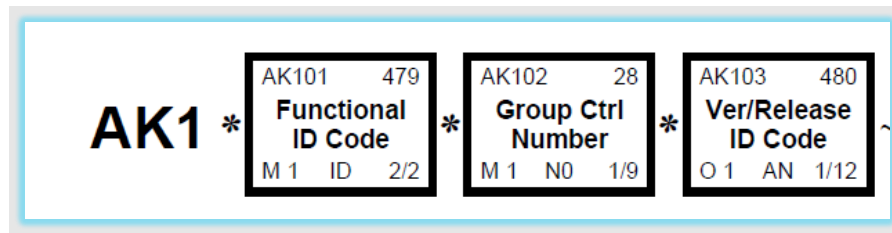
4.3 ELEMENT REFERENCE

POS. #	SEG. ID	NAME	REQ. DES.	MAX USE	LOOP REPEAT
0100	ST	Transaction Set Header	M	1	
0200	AK1	Functional Group Response Header	M	1	
		LOOP ID - AK2			>1
0300	AK2	Transaction Set Response Header	O	1	
		LOOP ID - AK2/IK3			>1
0400	IK3	Implementation Data Segment Note	O	1	
0500	CTX	Context	O	10	
		LOOP ID - AK2/IK3/IK4			>1
0600	IK4	Implementation Data Element Note	O	1	
0700	CTX	Context	O	10	
0800	IK5	Implementation Transaction Set Response Trailer	M	1	
0900	AK9	Functional Group Response Trailer	M	1	
1000	SE	Transaction Set Trailer	M	1	

5 999 – IMPLEMENTATION DETAILS AND DESCRIPTION

- Each line on the 999 is known as a segment.
- The segments that indicate if your file was accepted or rejected are:
 - IK5
 - AK9
 (*Please review every IK5 and AK9 segment in the 999 file.)
- An accepted batch will show an "A" in the IK5 and AK9 segments.
 - IK5*A
 - AK9*A*1*1*1
- A rejected batch will show an "R" in the IK5 and AK9 segments
 - IK5*R*5
 - AK9*R*1*1*0
- If there is an IK3 and IK4 segment in the 999, the file has an error.
 - The IK3 segment can be used to determine the loop and segment that the error has occurred in.

5.1 AK1 SEGMENT: FUNCTIONAL GROUP RESPONSE HEADER



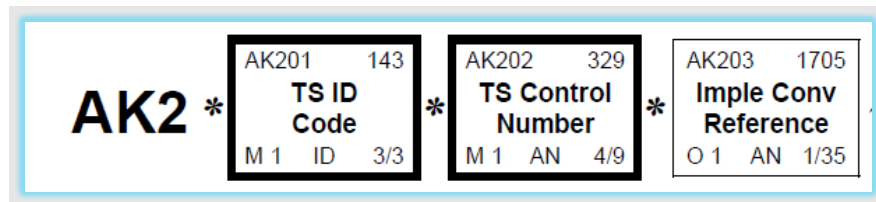
Example: AK1*HC*0001*005010X222A1~

AK101 – Functional Identifier Code

AK102 – Group Control Number. Value from the functional group to which this 999 Transaction set is responding.

AK103 – Version/Release/Industry Identifier Code

5.2 AK2 SEGMENT: TRANSACTION SET RESPONSE HEADER



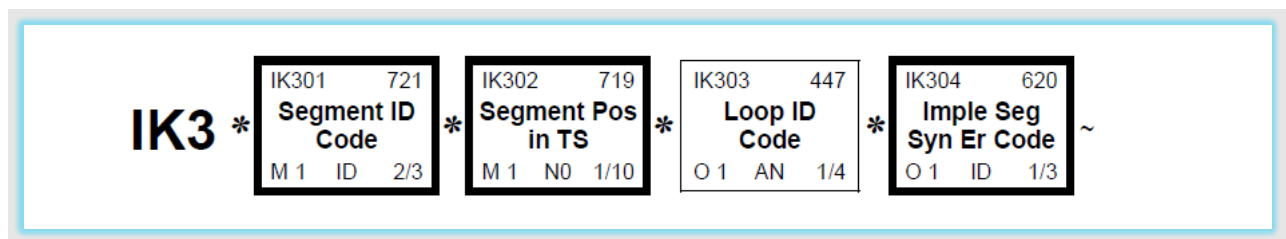
Example: AK2*837*0001~

AK201 – Transaction Set Identifier Code

AK202 – Transaction Set Control Number in ST segment

AK203 – Implementation Convention Reference

5.3 IK3 SEGMENT: ERROR IDENTIFICATION



Example: IK3*DMG*31*2000*8~

IK301 – Code defining the segment ID of the data segment in error.

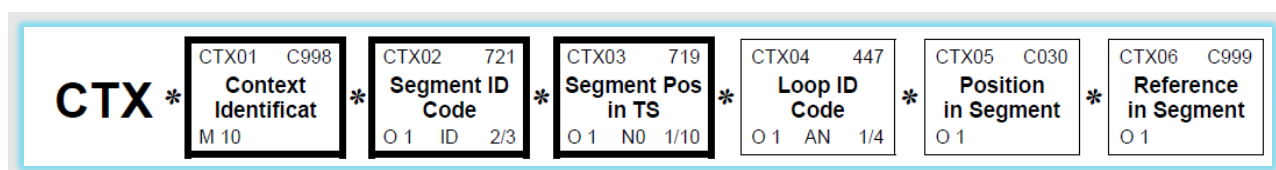
IK302 – The numerical count position of this error data from the start of the Transaction set.

IK303 – Loop Identifier Code. The error loop ID number.

IK304 – Code indicating implementation error found based on the syntax editing of a segment.

1 Unrecognized segment ID	8 Segment Has Data Element Errors
2 Unexpected segment	14 Implementation "Not Used" Segment Present
3 Required Segment Missing	16 Implementation Dependent Segment Missing
4 Loop Occurs Over Maximum Times	17 Implementation Loop Occurs Under Minimum Times
5 Segment Exceeds Maximum Use	18 Implementation Segment Below Minimum Use
6 Segment Not in Defined Transaction Set	19 Implementation Dependent "Not Used" Segment Present
7 Segment Not in Proper Sequence	

5.4 CTX SEGMENT: SEGMENT CONTEXT



Example: CTX*SITUATIONAL TRIGGER*CLM*43**5:3*C023:1325~

CTX01 - Segment Context. Holds information to identify a context generated due to situational trigger and followed by the context Reference.

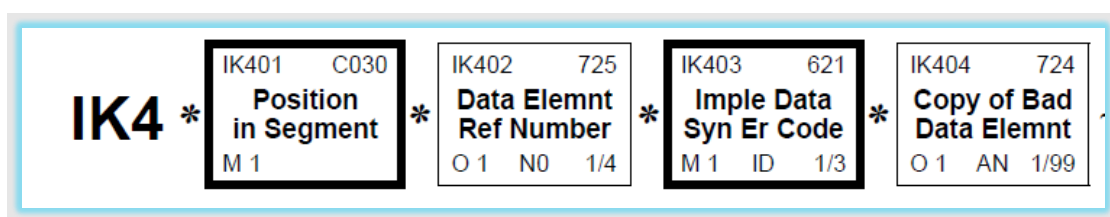
CTX02 - Segment that established the situational Requirement violated.

CTX03 - Segment Numerical count Position in Transaction Set.

CTX04 - Loop Identifier Code. (Required when data segment containing situational Requirement is within LS – LE Loop)

CTX05 - Element position in the segment.

5.5 IK4 SEGMENT: IMPLEMENTATION DATE ELEMENT NOTE



Example: IK4*3*1068*7*B~

IK401 - Position of error element within a segment.

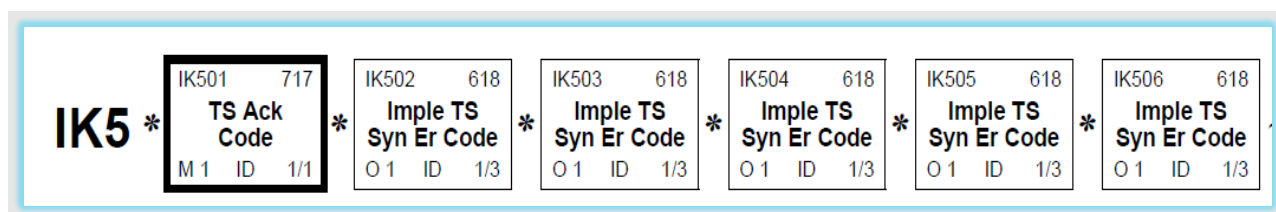
IK402 - Data Element Reference Number.

IK403 - Code indicating the implementation error found after syntax edits of a data element.

1 - Required Data Element Missing	10 - Exclusion Condition Violated
2 - Conditional Required Data Element Missing	12 - Too Many Repetitions
3 - Too Many Data Elements	13 - Too Many Components
4 - Data Element Too Short	110 - Implementation "Not Used" Data Element Present
5 - Data Element Too Long	111 - Implementation Too Few Repetitions
6 - Invalid Character in Data Element	112 - Implementation Pattern Match Failure

7 - Invalid Code Value	I13 - Implementation Dependent "Not Used" Data Element Present
8 - Invalid Date	I6 - Code Value Not Used in Implementation
9 - Invalid Time	I9 - Implementation Dependent Data Element Missing

5.6 IK5 SEGMENT - TRANSACTION SET RESPONSE TRAILER



Example: IK5*R*5~ (Rejected file)
IK5*A~ (Accepted file)

IK501 – Transaction Set Acknowledgement Code. Code indicating accept or reject condition based on the syntax editing of the transaction set.

A – Accepted

R – Rejected the Transaction set indicated in the AK2 loop contained errors. Therefore, it will need to be corrected and resubmitted.

M – Rejected, Message Authentication Code (MAC) Failed

W – Rejected, Assurance Failed Validity Test

X – Rejected, Content After Decryption Could Not Be Analyzed

IK502 – Code indicating implementation error found based on the syntax editing of a transaction set (shown below).

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 Encrypted) 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

18 - Transaction Set not in Functional Group
19 - Invalid Transaction Set Implementation Convention Reference 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
I5 - Implementation One or More Segments in Error
I6 - Implementation Convention Not Supported

IK503 – Implementation Transaction Set Syntax Error Code. Code indicating implementation error found based on the syntax editing of a transaction set. (Required when IK501 = E or R, and IK502 is used, and there are additional error codes to report)

IK04 – Implementation Transaction Set Syntax Error Code. Code indicating implementation error found based on the syntax editing of a transaction set.

IK05 – Implementation Transaction Set Syntax Error Code. Code indicating implementation error found based on the syntax editing of a transaction set.

IK06 – Implementation Transaction Set Syntax Error Code. Code indicating implementation error found based on the syntax editing of a transaction set.

6 SAMPLE 999 FILES

Accepted file:

IK5 and **AK9** segments have an "A," which indicated the file was accepted.

```
ISA*00*  *00  *ZZ*PPPPP  *ZZ*SSSSSSS
  *100831*1425**00501*243013828*0*P:
GS*FA*PPPPP*SSSSSSS*20100831*1425*243013832*X*005010X231
ST*999*0001*005010X231
AK1*HC*1111*005010X223A1
AK2*837*11111111*005010X223A1
IK5*A
AK9*A*1*1*1
SE*6*0001
GE*1*243013832
IEA*1*243013828
```

Rejected file:

IK5 and **AK9** segments have an "R," which indicates the file was rejected.

IK301 = CLM, which indicates that the error is in the CLM segment

IK302 = 20 indicates the data segment's numerical count position from the start of the transaction set.
(The transaction set header is count position 1)

IK303 = 2300, which indicates that the error occurs in the 2300 loop

IK304 = 8, which indicates the segment has data element errors

```
ISA*00*  *00*  *ZZ*PPPPP  *ZZ*SSSSSSS
  *100429*1415**00501*119003967*0*P:
GS*FA*PPPPP*SSSSSSS*20100429*1415*119003970*X*005010X231
ST*999*0001*005010X231
AK1*HC*7597*005010X223A1
AK2*837-000000001*005010X223A1
IK3*CLM*20*2300*8
IK4*1*1028*1
IK5*R*5
AK9*R*1*1*0
SE*8*0001
GE*1*119003970
IEA*1*119003967
```

7 ADDITIONAL INFORMATION

- Sender/Submitter (Billing Provider) is responsible for retrieving and reading 999 files returned by EI-Hub.
- All errors in the 999 files must be corrected and resubmitted by the sender/submitter (billing provider) except for duplicate file rejections.
- If the 999 indicates that your file is rejected, a 277CA will not be generated.
- After your file is accepted on the 999, which is the initial level of editing, a secondary level of editing occurs to create your 277Claims Acknowledgement (277CA).
- The 999 only indicates whether EI-Hub has received your file. To determine if your claims are accepted or rejected, please retrieve and read the 277CA after your file is accepted on the 999.
- Depending on the volume of files transmitted to EI-Hub, it could take up to 1 hour to receive a 999 file.
- The 999 files will be available for you to retrieve for 90 calendar days