

# Understanding the 999 Implementation Acknowledgement

For X12N 837 Submissions Only

# What is the 999?



- A Health Insurance Portability and Accountability Act (HIPAA)-required standard transaction to acknowledge initial receipt of your claim file and whether it was accepted or rejected by Novitas Solutions, Inc. (The 999 is also used by other health insurance plans.)

# Why should I use the 999?



- To see if your file was received by Novitas Solutions, Inc.
- To see if your file was initially accepted at the first level.
- If rejected, to determine what errors are in your file.
- To see if your file was accepted with errors. Files that are accepted with errors will continue on to receive a 277CA. Refer to the last page for more information on the 277CA.

# When is the 999 Available?



- Novitas Solutions, Inc. creates the 999 for you immediately after you send your claim file.
- It is normally available in less than five minutes from the time that you finish sending your claims, but could take up to 15 minutes to be created.
- The acknowledgement is available for you to retrieve for 60 calendar days only.

# How do I get the 999?



- Your vendor may have programmed your software to automatically retrieve the 999 for you. If you are unsure, you should contact your vendor.
- If you are enrolled to use our Novitasphere Portal, please review the Novitasphere User Manual that's located in the Novitasphere reference section for steps on downloading your reports.

# What Does the 999 Look Like?



- The appearance may vary, depending on several things:
  - How many batches of claims were sent.
  - Whether the file was accepted or rejected.
  - Whether your vendor programmed the 999 to appear in a readable format (i.e. File Accepted or File Rejected) or just provides the “raw data.”
- If you receive raw data, the following slides will show you how to read the report.

# Example of 999 for Accepted File



- This example is shown in a wrapped format for ease in viewing. The files are sent to you in a streaming format.

```
ISA*00*      *00*      *27*12502      *ZZ*SSSSSSS      *110418*0843*^*00501*111111111*0*T*:  
GS*FA*12502*SSSSSSS*20110418*0843*111111111*X*005010X231A1  
ST*999*0001*005010X231A1  
AK1*HC*35*005010X222A1  
AK2*837*HHHH*005010X222A1  
IK5*A  
AK9*A*1*1*1  
SE*6*0001  
GE*1*111111111  
IEA*1*111111111
```

# How Do I Read the 999?



- Each line on the 999 is known as a “segment.”
- However, you do not have to read every line of the report.
- The segments that indicate if your file was accepted or rejected are:
  - IK5
  - AK9



# The IK5 and AK9 Segments



- You need to look at **every** IK5 and AK9 segment in the 999.
- The IK5 and AK9 segments are normally consecutive in the file. There will be an IK5 segment for each batch contained in the file and possibly multiple AK9 segments.
- Examples are on the next slide.

# The IK5 and AK9 Segments, accepted or rejected



- If there is an A in a segment, the corresponding batch was accepted.
- BATCH ACCEPTED  
IK5\*A  
AK9\*A\*1\*1\*1
- If there is an R in a segment, the corresponding batch was rejected. If there is an E in a segment, there are errors in the file but the batch has not rejected. See information on the next page for accepted with errors.
- BATCH REJECTED  
IK5\*R\*5  
AK9\*R\*1\*1\*0

# The IK5 and AK9 Segments, accepted with errors



- BATCH ACCEPTED WITH ERRORS

IK5\*E

AK9\*E\*1\*1\*1

- If there is an E in a segment, the corresponding batch was accepted with errors. The batch will be forwarded for further processing.



## “Rule of Thumb”

- If you see **all** A's in all the IK5 and AK9 segments, your file was received and accepted at the first level by Novitas Solutions, Inc. Remember: A=Accepted.
- If you see an R in any or all of the IK5 or AK9 segments, your file was rejected by Novitas Solutions, Inc.. Remember: R= Rejected.
- TIPS:
  - Any time there are IK3 and IK4 segments in the 999, there is an error in the file.

# Quiz Time: Example 1



Was this file accepted or rejected?

```
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
```

# Review: Steps to Determining File Status for Example 1



1. Look for an A, E, or R in the IK5 segment(s).  
The IK5 in Example 1 contains an R.
2. Look for an A, E, or R in the AK9 segment(s).  
The AK9 in Example 1 contains an R.
3. Look for the IK3 segment to determine the loop and segment that the error has occurred in.  
In Example 1 the segment is CLM and the loop is 2300.

# Answer Time: Example 1



- Answer for Example 1– File Rejected.
- Why? There were Rs in the IK5 and AK9 segments, which means the file rejected at the batch level. Since there was only 1 batch in the file, everything was rejected.

# Quiz time: Example 2



Was this file accepted or rejected?

```
ISA*00*      *00*      *ZZ*PPPPP  *ZZ*SSSSSSS
  *100625*1637*^*00501*176009036*0*P*:
GS*FA*PPPPP*SSSSSSS*20100625*1637*176009039*X*005010X231
ST*999*0001*005010X231
AK1*HC*5134*005010X223A1
AK2*837*000000001*005010X223A1
IK3*NM1*30*2310*8
CTX*CLM01;837IPE_05134
IK4*7*1039*6*JUNIOR' '
IK5*E*5
AK9*E*1*1*1
SE*9*0001
GE*1*176009039
IEA*1*176009036
```



# Review: Steps to Determining File Status for Example 2



1. Look for an A, E, or R in the IK5 segment(s).  
There is an E in the IK5 segment.
2. Look for an A, E, or R in the AK9 segment(s).  
There is an E in the AK9 segment.
3. Look for the segments in error in the IK3.  
There is an NM1 segment listed in the IK3.
4. Look for the information in error in the IK4.  
There is “Junior” listed in the IK4. This would not be present if required data was missing.

# Answer Time: Example 2



- Answer for Example 2 – File Accepted with Errors.
- Why? There was an E in the IK5 and AK9.
- Note: Remember to look at the IK3 and IK4 for the segment in error and the information that is in error.

# Quiz Time: Example 3



Was this file accepted or rejected?

```
ISA*00* 00 *ZZ*PPPPP *ZZ*SSSSSS  
*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*111111111*005010X223A1  
IK5*A  
AK9*A*1*1*1  
SE*6*0001  
GE*1*243013832  
IEA*1*243013828
```

# Review: Steps to Determining File Status for Example 3



1. Look for an A, E, or R in the IK5 segment(s).  
The IK5 in Example 3 contains an A.
2. Look for an A, E, or R in the AK9 segment(s).  
The AK9 in Example 3 contains an A.

# Answer Time: Example 3



- Answer for Example 3 – File Accepted.
- Why? There was an A in both the IK5 and AK9, so this file was accepted at the first level.

# What to Do if the 999 Rejects



- If your file rejects at the 999, you will need to correct the errors on the file.
- Remember the loop and segment in error are in the IK3.
- More information on the correct data to report in the loops and segments is available on the 5010 Expectations and the Claim Crosswalks.
  - [Part A 5010 Expectations](#)
  - [Part B 5010 Expectations](#)
  - [JL Part B Crosswalk](#)
  - [JL Part A Crosswalk](#)
  - [JH Part B Crosswalk](#)
  - [JH Part A Crosswalk](#)
- You will need to resubmit your file to Novitas Solutions, Inc..

# The More You Know



- If you want to be able to determine what errors caused your file to reject, you will need to obtain the 999 Technical Report 3 (TR3) from the Washington Publishing Company (WPC). The guide explains each element and segment contained in the 999.
- You can download the TR3s from the Washington Publishing Company Web site at: <https://nex12.org>.
- It is important to get in the habit of downloading these reports. Claims that reject on this report will not go any further.

# What's Next?



- After your file is accepted on the 999, which is the initial level of editing, a secondary level of editing occurs in order to create your 277 Claims Acknowledgement (277CA).
- Important: The 999 only indicates whether Novitas Solutions, Inc. received your file. To determine if Novitas Solutions, Inc. will process your claims, you need to retrieve and read the 277CA after your file is accepted on the 999.
- Please review the 277CA training module to learn:
  - How to read the 277CA.
  - The importance of the 277CA and what will happen if you receive rejections at that level.
    - JL: <http://www.novitas-solutions.com/webcenter/portal/MedicareJL/pagebyid?contentId=00004758>
    - JH: <http://www.novitas-solutions.com/webcenter/portal/MedicareJH/pagebyid?contentId=00004758>