

HIPAA EDI Acknowledgements & Error Reporting

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Presented by Rachel Foerster & Associates, Ltd.
Beach Park, IL 60099
847.872.8070 Fax: 847.872.6860
Email: rachel@rfa-edi.com
www.rfa-edi.com
Course HC-207

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Discussion Topics

- EDI Envelopes and how they relate to EDI acknowledgements
- The 4 Kinds of EDI acknowledgements
- Each acknowledgement's purpose
- When to use each acknowledgment
- Issues for error reporting and acknowledging for HIPAA EDI transactions

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Transmission Life Cycle of an EDI Document

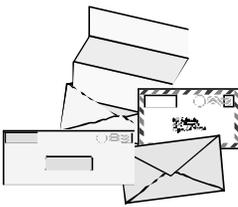
- The processes an EDI document passes through on its journey from the sender to the receiver's application system



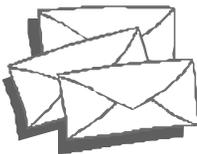
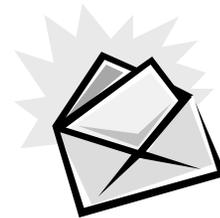
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EDI Envelopes



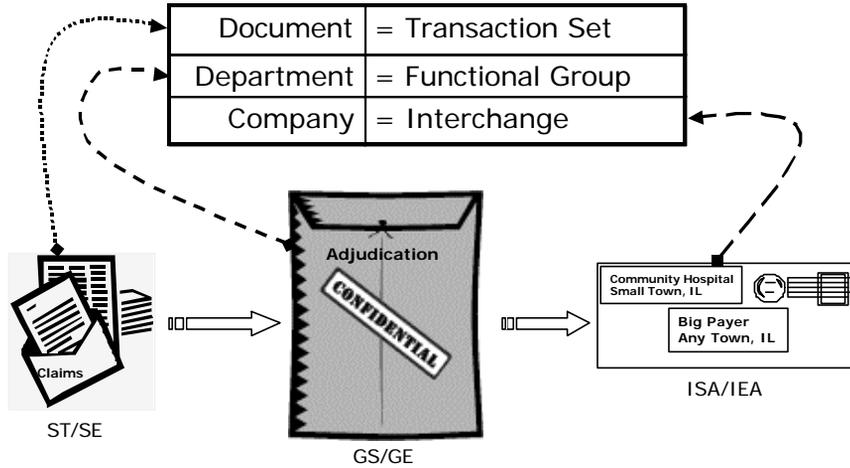
- Needed
 - to specify
 - Recipient
 - Sender
 - Keep contents intact
- Support auditing & tracking
- Provide other critical details



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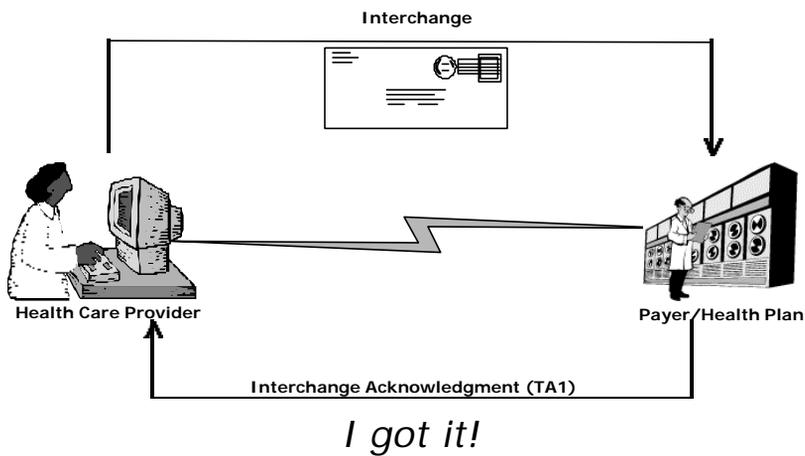
Three Different EDI Envelopes



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Interchange Receipt Notification



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TA1 Interchange Acknowledgment

➤ Purpose

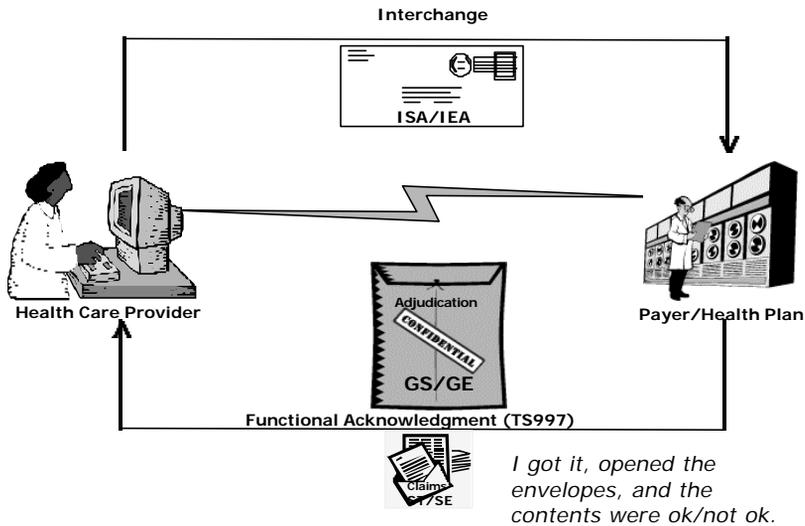
- Reports the status of the interchange envelope only by the receiver
 - The successful receipt of the interchange
 - The results of processing the interchange envelope

Very Similar to a Certified Mail Return Receipt

Using the TA1

- Use is by trading partner agreement
 - HIPAA neither mandates or prohibits
- TA1 is a single segment
 - Transmitted without the GS/GE envelope
- Can be included in an interchange with other functional groups and transactions
- Is not acknowledged by the receiver
- Reports status of the interchange envelope only
 - Not used to report the status of the functional groups and transaction sets in the interchange

Functional Group Acknowledgement



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997 Functional Acknowledgment Transaction Set

- Purpose
 - To indicate the results of the syntactical analysis of
 - Transaction sets
 - Functional groups
 - Verify and report compliance with the standard
 - Acknowledges receipt of an interchange
 - Reports acceptance/rejection of one or more
 - Functional groups
 - Transactions
- Does not cover
 - Semantic meaning of the information in the transaction sets
 - Compliance with the HIPAA implementation guide

DOES NOT CONFIRM APPLICATION PROCESSING

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Using the 997 Functional Acknowledgment

- Do not acknowledge a 997 FA
- 997 FA should not be sent to report errors in a previous Functional Acknowledgment
- Functional Group Header Segment (GS) used to start the envelope for the 997 FA
- Application sender's code and application receiver's code from the functional group being acknowledged are exchanged
 - one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code
- Only one Functional Acknowledgment Transaction Set per acknowledged functional group

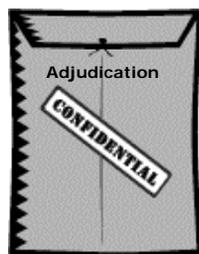
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The 4 Levels of Acknowledgements & Notifications in Health Care



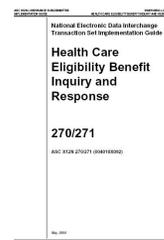
ISA/IEA



GS/GE



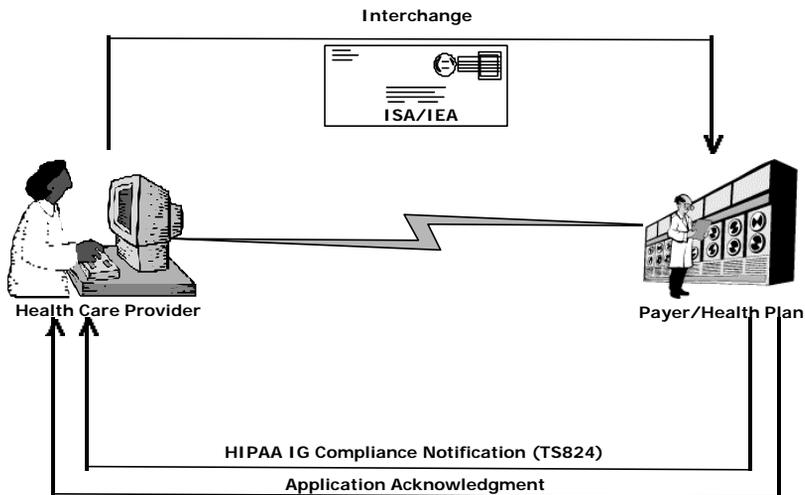
ST/SE



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HIPAA IG Compliance Notification



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824 Application Advice Transaction Set

➤ Purpose

- Report the results of an application system's data content edits of transaction sets
- Results can be reported at the functional group and transaction set level
- Designed to accommodate reporting the acceptance, rejection or acceptance with change of any transaction set
- Should not be used in place of a transaction set designed as a specific response to another transaction set
 - e.g., 270/271 – 276/277 – 278/278

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Using the 824 Application Advice Transaction Set

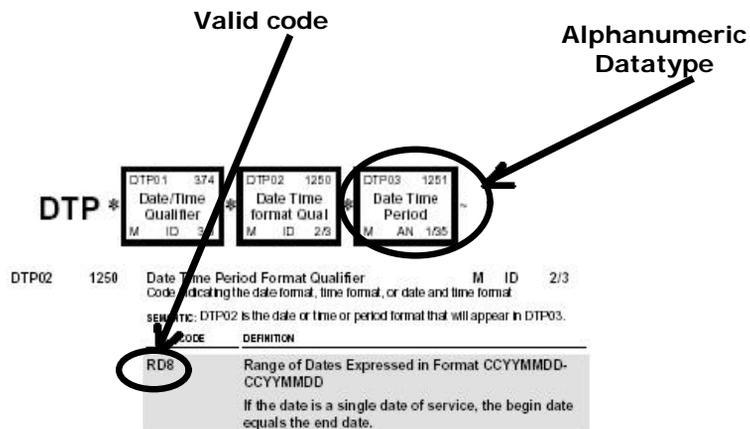
- An implementation guide under development by X12N/TG8 SPWG1 for reporting
 - Semantic compliance of a transaction against
 - HIPAA implementation guide
 - Other insurance transactions
 - Syntax compliance against an implementation guide
- NOT A HIPAA MANDATED TRANSACTION*

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Syntax vs Semantic

- Syntax: HIPAA IG compliance reported via 997

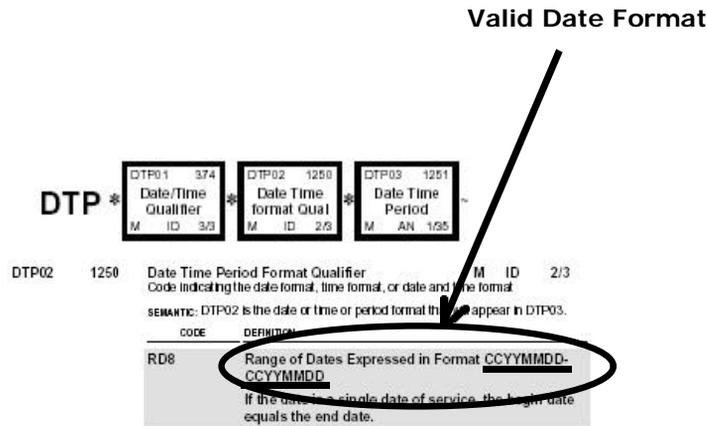


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Syntax vs Semantic

- Semantic: HIPAA IG compliance reported via 824

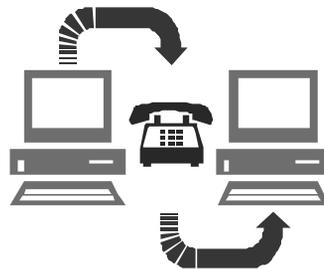


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Processing the TA1 & 997 Acknowledgements

- EDI Software should create & process TA1 & 997
- Trading partners must agree on use
 - Recommend policy of always sending a 997 FA
 - Report to lowest level, i.e., data element
 - Establish elapsed time for expected receipt
 - Determine procedures for non-receipt



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Processing the 824 IG Compliance Acknowledgement

- EDI software available today doesn't automatically create the 824
- Trading partners must still agree on use
 - Establish elapsed time for expected receipt
 - Determine procedures for non-receipt
- No recommended implementation guide available for HIPAA transactions



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Sufficient Control & Auditing

- Transaction cycle not complete if no application response received
- Sufficient control & auditing provides all the information needed to detect and resolve problems
 - TA1 advises receipt of interchange
 - 997 advises acceptance/rejection of functional groups & transactions
 - 824 Application Advice advises compliance/non-compliance of transaction with HIPAA IG
 - Application response transaction reports results of application system edits and acceptance/rejection of business data

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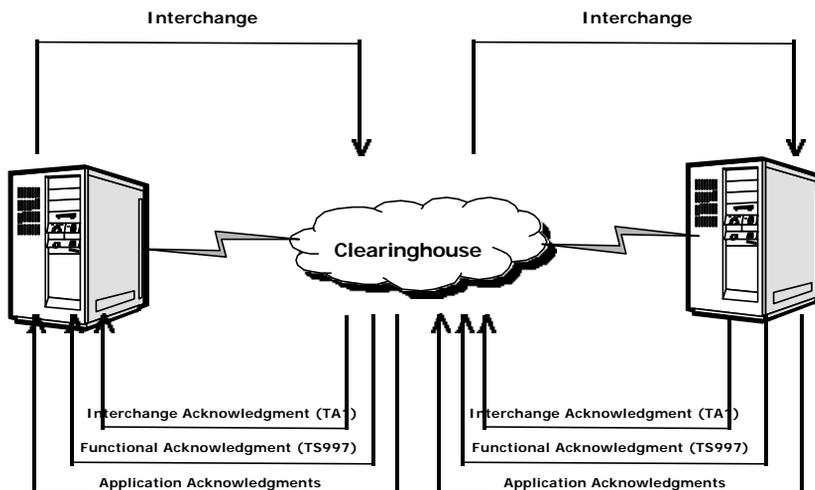
Other Challenges

- Tracking interchanges through multiple intermediaries
 - TA3 can track an interchange through clearinghouses
 - Not in the HIPAA implementation guides
- No common industry accepted business practice for tracking & auditing electronic messages
- Some clearinghouses do not support the X12/EDI controls
 - Use of Interchange sender/receiver Ids
 - Use of TA1/997

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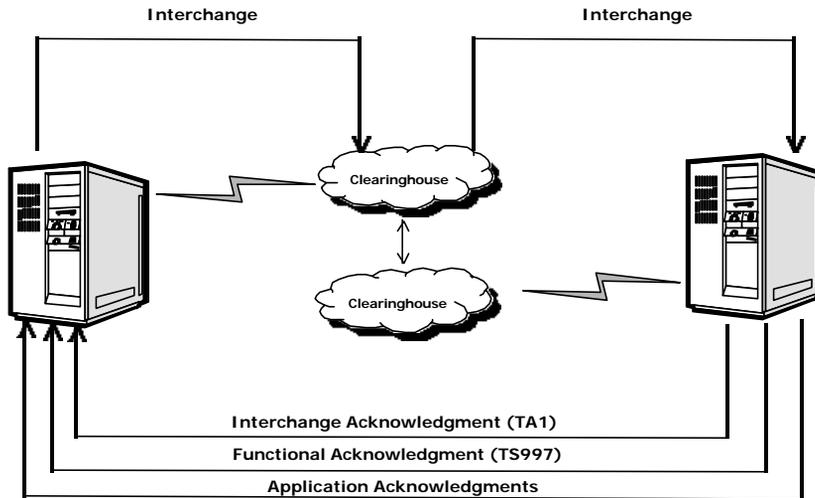
A Complicated Model: Single Clearinghouse



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A Complex Model: Dual Clearinghouse



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TA3 Interchange Delivery Notice

- Purpose
 - Exchanged between service request handlers to inform the sending service request handler of actions taken on the interchange by the receiving service request handler
 - Reports the delivery and the retrieval of the interchange
 - Reports the unsuccessful delivery or retrieval of the interchange and identifies the error condition
- Not described in HIPAA Guides
- No industry-accepted business use

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Use of the TA3 Interchange Delivery Notice

- Not described in HIPAA Guides
- No industry-accepted business use

What's Needed

- A well-defined model for the
 - Electronic message exchange business process
 - Required business signals for
 - Acknowledgments
 - Exceptions
 - Routing, auditing & tracking of HIPAA transactions
- Agreement to use sufficient controls & acknowledgments

Contact Information

RACHEL FOERSTER & ASSOCIATES, LTD.

Professionals in EDI & Electronic Commerce

RACHEL FOERSTER, PRINCIPAL

39432 North Avenue, Beach Park, IL 60099-3602

Voice: 847.872.8070 Fax: 847.872.6860

E-mail: rachel@rfa-edi.com

<http://www.rfa-edi.com>