



CP EDI 997 Guidelines (Version 7010)





997 Functional Acknowledgment

Functional Group ID=**FA**

Introduction:

This X12 Transaction Set contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

	Pos. <u>No.</u>	Seg. <u>ID</u>	<u>Name</u>	Req. <u>Des.</u>	<u>Max.Use</u>	<u>Loop Repeat</u>	<u>Notes and Comments</u>
M	0100	<u>ST</u>	Transaction Set Header	M	1		n1
M	0200	<u>AK1</u>	Functional Group Response Header	M	1		n2
LOOP ID - AK2						>1	
O	0300	<u>AK2</u>	Transaction Set Response Header	O	1		n3
LOOP ID - AK3						>1	
O	0400	<u>AK3</u>	Data Segment Note	O	1		c1
O	0500	<u>AK4</u>	Data Element Note	O	99		
M	0600	<u>AK5</u>	Transaction Set Response Trailer	M	1		
M	0700	<u>AK9</u>	Functional Group Response Trailer	M	1		
M	0800	<u>SE</u>	Transaction Set Trailer	M	1		



Transaction Set Notes:

1. These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
There is only one Functional Acknowledgment Transaction Set per acknowledged functional group. Only one acknowledgement can be sent for each functional group. The acknowledgment can be either a single Transaction Set 997 or a single Transaction Set 999 as mutually agreed upon by the trading partners. Different Functional Groups may have different acknowledgements, e.g. some Functional Groups, within the same interchange, may be acknowledged with the 997 and others with the 999.
2. AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged. The Functional Acknowledgement is generated at the point of translation, intended for the originator (not any intermediate parties).
The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.
3. AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Transaction Set Comments:

1. The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).



Segment: **ST** Transaction Set Header
 Position: 0100
 Loop:
 Level:
 Usage: Mandatory
 Max Use: 1
 Purpose: To indicate the start of a transaction set and to assign a control number
 Syntax Notes:
 Semantic Notes:

- 1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
- 2 The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition. When used, this implementation convention reference takes precedence over the implementation reference specified in the GS08.

 Comments:
 Business Rules: Variable Name: STST

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	ST01	143	Transaction Set Identifier Code Code identifying a Transaction Set	M	1 ID 3/3
			997 Functional Acknowledgment		
M	ST02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M	1 AN 4/9
O	ST03	1705	Implementation Convention Reference Reference assigned to identify Implementation Convention	O	1 AN 1/35



Segment: **AK1** Functional Group Response Header
 Position: 0200
 Loop:
 Level:
 Usage: Mandatory
 Max Use: 1
 Purpose: To start acknowledgment of a functional group
 Syntax Notes:
 Semantic Notes:

- 1 AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged.
- 2 AK102 is the functional group control number found in the GS segment in the functional group being acknowledged.
- 3 AK103 is the version release industry identifier code in the GS segment (GS08) in the functional group being acknowledged.

 Comments:

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	AK101	479	Functional Identifier Code Code identifying a group of application related transaction sets Refer to 007010 Data Element Dictionary for acceptable code values.	M	1 ID 2/2
M	AK102	28	Group Control Number Assigned number originated and maintained by the sender	M	1 N0 1/9
O	AK103	480	Version / Release / Industry Identifier Code Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 AN 1/12



Segment: **AK2** Transaction Set Response Header
 Position: 0300
 Loop: AK2 Optional
 Level:
 Usage: Optional
 Max Use: 1
 Purpose: To start acknowledgment of a single transaction set
 Syntax Notes:
 Semantic Notes:

- 1 AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged.
- 2 AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.
- 3 AK203 is the implementation convention reference, if any, found in the ST segment (ST03) in the transaction set being acknowledged.

 Comments:

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	AK201	143	Transaction Set Identifier Code Code identifying a Transaction Set Refer to 007010 Data Element Dictionary for acceptable code values.	M	1 ID 3/3
M	AK202	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M	1 AN 4/9
O	AK203	1705	Implementation Convention Reference Reference assigned to identify Implementation Convention	O	1 AN 1/35



Segment: **AK3** Data Segment Note
 Position: 0400
 Loop: AK3 Optional
 Level:
 Usage: Optional
 Max Use: 1
 Purpose: To report errors in a data segment and identify the location of the data segment
 Syntax Notes:
 Semantic Notes:
 Comments:

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	AK301	721	Segment ID Code Code specifying the segment ID of the data segment in error (See Appendix A - Number 77)	M	1 ID 2/3
M	AK302	719	Segment Position in Transaction Set The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1	M	1 N0 1/10
O	AK303	447	Loop Identifier Code The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE	O	1 AN 1/6
O	AK304	720	Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3



Segment: **AK4** Data Element Note
 Position: 0500
 Loop: AK3 Optional
 Level:
 Usage: Optional
 Max Use: 99
 Purpose: To report errors in a data element or composite data structure and identify the location of the data element

Syntax Notes:

Semantic Notes: 1 In no case shall a value be used for AK404 that would generate a syntax error, e.g., an invalid character.

Comments:

Data Element Summary

	Ref.	Data Element	Name	Attributes
M	AK401	C030	Position in Segment	M 1
			Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator	
M	C03001	722	Element Position in Segment	M N0 1/2
			This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID	
O	C03002	1528	Component Data Element Position in Composite	O N0 1/2
			To identify the component data element position within the composite that is in error	
O	C03003	1686	Repeating Data Element Position	O N0 1/4
			To identify the specific repetition of a data element that is in error	
O	AK402	725	Data Element Reference Code	O 1 AN 1/4
			Code identifying the location of the data element in the Data Element Dictionary	
M	AK403	723	Data Element Syntax Error Code	M 1 ID 1/3
			Code indicating the error found after syntax edits of a data element Refer to 007010 Data Element Dictionary for acceptable code values.	
O	AK404	724	Copy of Bad Data Element	O 1 AN 1/99
			This is a copy of the data element in error	



Segment: **AK5** Transaction Set Response Trailer
 Position: 0600
 Loop: AK2 Optional
 Level:
 Usage: Mandatory
 Max Use: 1
 Purpose: To acknowledge acceptance or rejection and report errors in a transaction set
 Syntax Notes:
 Semantic Notes:
 Comments:

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	AK501	717	Transaction Set Acknowledgment Code Code indicating accept or reject condition based on the syntax editing of the transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	M	1 ID 1/1
O	AK502	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3
O	AK503	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3
O	AK504	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3
O	AK505	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3
O	AK506	718	Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set Refer to 007010 Data Element Dictionary for acceptable code values.	O	1 ID 1/3



Segment: **AK9** Functional Group Response Trailer
 Position: 0700
 Loop:
 Level:
 Usage: Mandatory
 Max Use: 1
 Purpose: To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group

Syntax Notes:

Semantic Notes:

Comments: 1 If AK901 contains the value "A" or "E", then the transmitted functional group is accepted.

Data Element Summary

	Ref.	Data	Name	Attributes
	<u>Des.</u>	<u>Element</u>		
M	AK901	715	Functional Group Acknowledge Code Code indicating accept or reject condition based on the syntax editing of the functional group Refer to 007010 Data Element Dictionary for acceptable code values.	M 1 ID 1/1
M	AK902	97	Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element	M 1 N0 1/6
M	AK903	123	Number of Received Transaction Sets Number of Transaction Sets received	M 1 N0 1/6
M	AK904	2	Number of Accepted Transaction Sets Number of accepted Transaction Sets in a Functional Group	M 1 N0 1/6
O	AK905	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 007010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
O	AK906	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 007010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
O	AK907	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 007010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
O	AK908	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 007010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
O	AK909	716	Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 007010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3



Segment: **SE** Transaction Set Trailer
 Position: 0800
 Loop:
 Level:
 Usage: Mandatory
 Max Use: 1
 Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

Syntax Notes:
 Semantic Notes:
 Comments: 1 SE is the last segment of each transaction set.

Data Element Summary

	Ref.	Data			
	<u>Des.</u>	<u>Element</u>	<u>Name</u>		<u>Attributes</u>
M	SE01	96	Number of Included Segments Total number of segments included in a transaction set including ST and SE segments	M	1 NO 1/10
M	SE02	329	Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M	1 AN 4/9

Sample EDI 997

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ISA*00*                *00*                *ZZ*CPRSP                *01*RECEIVER
*181026*0816*U*00701*000034567*0*P*:
GS*FA*CPRSP*RECEIVER*20181026*0816*345670001*X*007010
ST*997*0001
AK1*SR*34567
AK2*404*345670001
AK5*A
AK9*A*1*1*1
SE*6*0001
GE*1*345670001
IEA*1*000034567
  
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