997 Functional Acknowledgment   Functional group=FA

This Draft Standard for Trial Use 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	Id	Segment	Name	Req	Max	Use	Repeat Notes	Usage
	ISA	Interchange Control Header		M	1			Must use
	GS	Functional Group Header		M	1			Must use

Heading

Pos	Id	Segment	Name	Req	Max	Use	Repeat Notes	Usage
010	ST	Transaction Set Header		M	1		N1/010	Must use
020	AK1	Functional Group Response Header		M	1		N1/020	Must use

LOOP ID - AK2 999999

Pos	Id	Segment	Name	Req	Max	Use	Repeat Notes	Usage
030	AK2	Transaction Set Response Header		O	1		N1/030	Used

LOOP ID - AK3 999999

Pos	Id	Segment	Name	Req	Max	Use	Repeat Notes	Usage
040	AK3	Data Segment Note		O	1			Used
050	AK4	Data Element Note		O	99			Used
060	AK5	Transaction Set Response Trailer		M	1			Must use
070	AK9	Functional Group Response Trailer		M	1			Must use
080	SE	Transaction Set Trailer		M	1			Must use
	GE	Functional Group Trailer		M	1			Must use
	IEA	Interchange Control Trailer		M	1			Must use

Notes

1/010

- 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.
- 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.
- There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.

1/020

- AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group.
- There shall be one AK1 segment for the functional group that is being acknowledged.

1/030
- AK2 is used to start the acknowledgement 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.

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ISA Interchange Control Header

Pos: Max: 1
Heading -- Mandatory
Loop: N/A Elements: 16

To start and identify an interchange of zero or more functional groups and interchange-related control segments.
Element summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ISA01	I01	Authorization Information Qualifier	M	ID	2/2	Must use

Description: Code to identify the type of information in the Authorization Information

Code	Name
00	No Authorization Information Present (No Meaningful Information in I02)
03	Additional Data Identification

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ISA02	I02	Authorization Information	M	AN	10/10	Must use

Description: Information used for additional identification or authorization of the interchange sender or the data in the interchange; the type of information is set by the Authorization Information Qualifier (I01)

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ISA03	I03	Security Information Qualifier	M	ID	2/2	Must use

Description: Code to identify the type of information in the Security Information All valid X12 codes are used

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ISA04	I04	Security Information	M	AN	10/10	Must use

Description: This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03)

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ISA05	I05	Interchange ID Qualifier	M	ID	2/2	Must use

Description: Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified

Code	Name
01	Duns (Dun & Bradstreet)
08	UCC EDI Communications ID (Comm ID)
12	Phone (Telephone Companies)
14	Duns Plus Suffix
16	Duns Number With 4-Character Suffix
ZZ	Mutually Defined

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ISA06   I06   Interchange Sender ID   M   AN   15/15   Must use
Description: Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element

ISA07   I05   Interchange ID Qualifier   M   ID   2/2   Must use
Description: Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified

Code	Name
01	Duns (Dun & Bradstreet)
08	UCC EDI Communications ID (Comm ID)
12	Phone (Telephone Companies)
14	Duns Plus Suffix
16	Duns Number With 4-Character Suffix
ZZ	Mutually Defined

ISA08   I07   Interchange Receiver ID   M   AN   15/15   Must use
Description: Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them

ISA09   I08   Interchange Date   M   DT   6/6   Must use
Description: Date of the interchange

ISA10   I09   Interchange Time   M   TM   4/4   Must use
Description: Time of the interchange

ISA11   I10   Interchange Control Standards Identifier M   ID   1/1   Must use
Description: Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer All valid X12 codes are used.

ISA12   I11   Interchange Control Version Number M   ID   5/5   Must use
Description: This version number covers the interchange control segments

Code	Name
00401	Draft Standards for Trial Use Approved for Publication by ASC X12 Procedures Review Board through October 1997

ISA13   I12   Interchange Control Number   M   N0   9/9   Must use
Description: A control number assigned by the interchange sender

ISA14   I13   Acknowledgment Requested   M   ID   1/1   Must use
Description: Code sent by the sender to request an interchange acknowledgment (TA1) All valid X12 codes are used.

ISA15   I14   Usage Indicator   M   ID   1/1   Must use
Description: Code to indicate whether data enclosed by this interchange envelope is test, production or information All valid X12 codes are used.

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ISA16   I15   Component Element Separator   M   1/1   Must use
              Description: Type is not applicable; the component element separator is a delimiter and not a data
              element; this field provides the delimiter used to separate component data elements within a composite
              data structure; this value must be different than the data element separator and the segment terminator

GS Functional Group Header

Pos: Max: 1
Heading -- Mandatory
Loop: N/A Elements: 8

To indicate the beginning of a functional group and to provide control information
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
GS01	479	Functional Identifier Code	M	ID	2/2	Must use

Description: Code identifying a group of application related transaction sets

Code	Name
FA	Functional Acknowledgment (997)

Ref	Id	Element Name	Req	Type	Min/Max	Usage
GS02	142	Application Sender's Code	M	AN	2/15	Must use

Description: Code identifying party sending transmission; codes agreed to by trading partners

GS03	124	Application Receiver's Code	M	AN	2/15	Must use

Description: Code identifying party receiving transmission. Codes agreed to by trading partners

GS04	373	Date	M	DT	8/8	Must use

Description: Date expressed as CCYYMMDD

GS05	337	Time	M	TM	4/8	Must use

Description: Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99)

GS06	28	Group Control Number	M	N0	1/9	Must use

Description: Assigned number originated and maintained by the sender

GS07	455	Responsible Agency Code	M	ID	1/2	Must use

Description: Code used in conjunction with Data Element 480 to identify the issuer of the standard

Code	Name
X	Accredited Standards Committee X12

GS08	480	Version/Release/Industry Identifier Code	M	AN	1/12	Must use

Description: 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 DE480 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); ifcode in DE455 in GS segment is T, then other formats are allowed

Code	Name
004010	Draft Standards Approved for Publication by ASC
X12	Procedures Review Board through October 1997

Semantics

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- GS04 is the group date.
- GS05 is the group time.
- The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02.

Comments
- A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer.

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ST Transaction Set Header

Pos: 010 Max: 1
Heading -- Mandatory
Loop: N/A Elements: 2

To indicate the start of a transaction set and to assign a control number
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ST01	143	Transaction Set Identifier Code	M	ID	3/3	Must use

Description: Code uniquely identifying a Transaction Set

	Code	Name
	997	Functional Acknowledgment

Ref	Id	Element Name	Req	Type	Min/Max	Usage
ST02	329	Transaction Set Control Number	M	AN	4/9	Must use

Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

Semantics

- The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).

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AK1Functional Group Response Header

Pos: 020 Max: 1
Heading -- Mandatory
Loop: N/A Elements: 2

To start acknowledgment of a functional group
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK101	479	Functional Identifier Code	M	ID	2/2	Must use

Description: Code identifying a group of application related transaction sets

Code	Name
CI	Consolidated Service Invoice/Statement (811)

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK102	28	Group Control Number	M	N0	1/9	Must use

Description: Assigned number originated and maintained by the sender

Semantics

- AK101 is the functional ID found in the GS segment (GS01) in the functional group being acknowledged.
- AK102 is the functional group control number found in the GS segment in the functional group being acknowledged.

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AK2 Transaction Set Response Header

Pos: 030 Max: 1
Heading -- Optional
Loop: AK2 Elements: 2

To start acknowledgment of a single transaction set
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK201	143	Transaction Set Identifier Code	M	ID	3/3	Must use

Description: Code uniquely identifying a Transaction Set

Code	Name
811	Consolidated Service Invoice/Statement

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK202	329	Transaction Set Control Number	M	AN	4/9	Must use

Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

Semantics

- AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged.
- AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.

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AK3 Data Segment Note
Pos: 040 Max: 1
Heading - Optional
Loop: AK3 Elements: 4

To report errors in a data segment and identify the location of the data segment
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK301	721	Segment ID Code	M	ID	2/3	Must use
		Description: Code defining the segment ID of the data segment in error (See Appendix A - Number 77)				
AK302	719	Segment Position in Transaction Set	M	N0	1/6	Must use
		Description: The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1				
AK303	447	Loop Identifier Code	O	AN	1/6	Used
		Description: The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE				
AK304	720	Segment Syntax Error Code	O	ID	1/3	Used
		Description: Code indicating error found based on the syntax editing of a segment All valid X12 codes are used.				

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AK4 Data Element Note
Pos: 050 Max: 99
Heading - Optional
Loop: AK3 Elements: 4

To report errors in a data element or composite data structure and identify the location of the data element
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK401	C030	Position in Segment	M	Comp		Must use

Description: Code indicating the relative position of a simple data element, or the relative position of a composite data structure combined with the relative position of the component data element within the composite data structure, in error; the count starts with 1 for the simple data element or composite data structure immediately following the segment ID

	722	Element Position in Segment	M	N0	1/2	Must use

Description: 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

AK402	725	Data Element Reference Number	O	N0	1/4	Used

Description: Reference number used to locate the data element in the Data Element Dictionary

AK403	723	Data Element Syntax Error Code	M	ID	1/3	Must use

Description: Code indicating the error found after syntax edits of a data element All valid X12 codes are used.

AK404	724	Copy of Bad Data Element	O	AN	1/99	Used

Description: This is a copy of the data element in error

Semantics
- In no case shall a value be used for AK404 that would generate a syntax error, e.g., an invalid character.

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AK5 Transaction Set Response Trailer

Pos: 060 Max: 1
Heading - Mandatory
Loop: AK2 Elements: 6

To acknowledge acceptance or rejection and report errors in a transaction set
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK501	717	Transaction Set Acknowledgment Code	M	ID	1/1	Must use

Description: Code indicating accept or reject condition based on the syntax editing of the transaction set All valid X12 codes are used.

| AK502 | 718 | Transaction Set Syntax Error Code | O | ID | 1/3 | Used |

Description: Code indicating error found based on the syntax editing of a transaction set All valid X12 codes are used.

| AK503 | 718 | Transaction Set Syntax Error Code | O | ID | 1/3 | Used |

Description: Code indicating error found based on the syntax editing of a transaction set All valid X12 codes are used.

| AK504 | 718 | Transaction Set Syntax Error Code | O | ID | 1/3 | Used |

Description: Code indicating error found based on the syntax editing of a transaction set All valid X12 codes are used.

| AK505 | 718 | Transaction Set Syntax Error Code | O | ID | 1/3 | Used |

Description: Code indicating error found based on the syntax editing of a transaction set All valid X12 codes are used.

| AK506 | 718 | Transaction Set Syntax Error Code | O | ID | 1/3 | Used |

Description: Code indicating error found based on the syntax editing of a transaction set All valid X12 codes are used.

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AK9 Functional Group Response Trailer

Pos: 070 Max: 1
Heading - Mandatory
Loop: N/A Elements: 9

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
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK901	715	Functional Group Acknowledge Code	M	ID	1/1	Must use

Description: Code indicating accept or reject condition based on the syntax editing of the functional group All valid X12 codes are used.

AK902	97	Number of Transaction Sets Included	M	N0	1/6	Must use

Description: Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element

AK903	123	Number of Received Transaction Sets	M	N0	1/6	Must use

Description: Number of Transaction Sets received

AK904	2	Number of Accepted Transaction Sets	M	N0	1/6	Must use

Description: Number of accepted Transaction Sets in a Functional Group

AK905	716	Functional Group Syntax Error Code	O	ID	1/3	Used

Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer All valid X12 codes are used.

AK906	716	Functional Group Syntax Error Code	O	ID	1/3	Used

Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid X12 codes are used.

AK907	716	Functional Group Syntax Error Code	O	ID	1/3	Used

Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid X12 codes are used.

AK908	716	Functional Group Syntax Error Code	O	ID	1/3	Used

Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid X12 codes are used.

AK909	716	Functional Group Syntax Error Code	O	ID	1/3	Used

Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid X12 codes are used.

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

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SE Transaction Set Trailer

Pos: 080 Max: 1
Heading - Mandatory
Loop: N/A Elements: 2

To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
SE01	96	Number of Included Segments	M	N0	1/10	Must use

Description: Total number of segments included in a transaction set including ST and SE segments

Ref	Id	Element Name	Req	Type	Min/Max	Usage
SE02	329	Transaction Set Control Number	M	AN	4/9	Must use

Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

Comments
- SE is the last segment of each transaction set.

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GE Functional Group Trailer

Pos: Max: 1
Mandatory
Loop: N/A Elements: 2

To indicate the end of a functional group and to provide control information
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
GE01	97	Number of Transaction Sets Included	M	N0	1/6	Must use

Description: Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element

Ref	Id	Element Name	Req	Type	Min/Max	Usage
GE02	28	Group Control Number	M	N0	1/9	Must use

Description: Assigned number originated and maintained by the sender

Semantics
- The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06.

Comments
- The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header.

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IEA Interchange Control Trailer

Pos: Max: 1
Mandatory
Loop: N/A Elements: 2

To define the end of an interchange of zero or more functional groups and interchange-related control segments
Element Summary:

Ref	Id	Element Name	Req	Type	Min/Max	Usage
IEA01	I16	Number of Included Functional Groups	M	N0	1/5	Must use
		Description: A count of the number of functional groups included in an interchange				
IEA02	I12	Interchange Control Number	M	N0	9/9	Must use
		Description: A control number assigned by the interchange sender				

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