

# 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.

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

## Transaction Set Notes

- 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, either a single Transaction Set 997 or a single Transaction Set 999, should be generated for a functional group unless mutually agreed upon.
- 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 Acknowledgment 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.
- 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.

**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:**

**Data Element Summary**

	<u>Ref.</u> <u>Des.</u>	<u>Data</u> <u>Element</u>	<u>Name</u>	<u>Attributes</u>
M	ST01	143	<b>Transaction Set Identifier Code</b> Code uniquely identifying a Transaction Set 997 Functional Acknowledgment	M 1 ID 3/3
M	ST02	329	<b>Transaction Set Control Number</b> 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

**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**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
M	AK101	479	<b>Functional Identifier Code</b> Code identifying a group of application related transaction sets IN Invoice Information (810) PO Purchase Order (850) PR Purchase Order Acknowledgment (855) SH Ship Notice/Manifest (856)	M 1 ID 2/2
M	AK102	28	<b>Group Control Number</b> Assigned number originated and maintained by the sender	M 1 N0 1/9
	AK103	480	<b>Version / Release / Industry Identifier Code</b> 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 005010 Standards Approved for Publication by ASC X12 Procedures Review Board through October 2003	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**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
M	AK201	143	<b>Transaction Set Identifier Code</b> Code uniquely identifying a Transaction Set 810 Invoice 850 Purchase Order 855 Purchase Order Acknowledgment 856 Ship Notice/Manifest	M 1 ID 3/3
M	AK202	329	<b>Transaction Set Control Number</b> 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

**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**

	<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>		
M	AK501	717	<b>Transaction Set Acknowledgment Code</b> Code indicating accept or reject condition based on the syntax editing of the transaction set A Accepted R Rejected	<b>M 1 ID 1/1</b>
	AK502	718	<b>Transaction Set Syntax Error Code</b> Code indicating error found based on the syntax editing of a transaction set Refer to 005010 Data Element Dictionary for acceptable code values.	<b>O 1 ID 1/3</b>
	AK503	718	<b>Transaction Set Syntax Error Code</b> Code indicating error found based on the syntax editing of a transaction set Refer to 005010 Data Element Dictionary for acceptable code values.	<b>O 1 ID 1/3</b>
	AK504	718	<b>Transaction Set Syntax Error Code</b> Code indicating error found based on the syntax editing of a transaction set Refer to 005010 Data Element Dictionary for acceptable code values.	<b>O 1 ID 1/3</b>
	AK505	718	<b>Transaction Set Syntax Error Code</b> Code indicating error found based on the syntax editing of a transaction set Refer to 005010 Data Element Dictionary for acceptable code values.	<b>O 1 ID 1/3</b>
	AK506	718	<b>Transaction Set Syntax Error Code</b> Code indicating error found based on the syntax editing of a transaction set Refer to 005010 Data Element Dictionary for acceptable code values.	<b>O 1 ID 1/3</b>

**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**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
M	AK901	715	<b>Functional Group Acknowledge Code</b> Code indicating accept or reject condition based on the syntax editing of the functional group A Accepted R Rejected	M 1 ID 1/1
M	AK902	97	<b>Number of Transaction Sets Included</b> 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	<b>Number of Received Transaction Sets</b> Number of Transaction Sets received	M 1 N0 1/6
M	AK904	2	<b>Number of Accepted Transaction Sets</b> Number of accepted Transaction Sets in a Functional Group	M 1 N0 1/6
	AK905	716	<b>Functional Group Syntax Error Code</b> Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 005010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
	AK906	716	<b>Functional Group Syntax Error Code</b> Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 005010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
	AK907	716	<b>Functional Group Syntax Error Code</b> Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 005010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
	AK908	716	<b>Functional Group Syntax Error Code</b> Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 005010 Data Element Dictionary for acceptable code values.	O 1 ID 1/3
	AK909	716	<b>Functional Group Syntax Error Code</b> Code indicating error found based on the syntax editing of the functional group header and/or trailer Refer to 005010 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

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
M	SE01	96	<b>Number of Included Segments</b> Total number of segments included in a transaction set including ST and SE segments	M 1 N0 1/10
M	SE02	329	<b>Transaction Set Control Number</b> 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