

824 - Application Advice

Caterpillar Inc.

PREFACE.....	3
TRANSACTION SEQUENCE WITH LEVELS .....	4
ASC X12 REQUIRED CONTROL DATA.....	5
SEGMENT/ELEMENT DEFINITION EXPLANATION.....	6
ISA-INTERCHANGE CONTROL HEADER SEGMENT .....	8
GS -FUNCTIONAL GROUP HEADER SEGMENT .....	10
ST -TRANSACTION SET HEADER SEGMENT .....	11
BGN-BEGINNING SEGMENT (HEADER DATA).....	12
N1 -ORGANIZATION NAME SEGMENT .....	13
OTI-ORIGINAL TRANSACTION IDENTIFICATION.....	14
REF-REFERENCE NUMBERS.....	16
TED-TECHNICAL ERROR DESCRIPTION .....	17
SE -TRANSACTION SET TRAILER.....	18
GE -FUNCTIONAL GROUP TRAILER SEGMENT .....	19
IEA-INTERCHANGE CONTROL TRAILER SEGMENT .....	20
TRANSACTION SAMPLE DATA .....	21
APPENDIX B - ERROR CODES/ERROR MESSAGES.....	24
APPENDIX C - ACCOUNTS PAYABLE ERROR CODE .....	29

**PREFACE**

This writing is intended to give details on how to process an electronic Application Advice Transaction Set 824 sent by Caterpillar in response to an Advance Ship Notice transaction set 856, an invoice transaction set 810 or an Order Status transaction set 870 from suppliers.

This transaction should be used to correct future Advance Ship Notice transaction sets sent to Caterpillar. For example, if the Application Advice error said "Part Number Error," the supplier should verify the part number and send the correct one on the next 856 transmission.

##### IMPORTANT #####  
For the invoice transaction set 810, this transaction is used to reject the invoice received from the supplier. The supplier is expected to correct the invoice and resend it on the next 810 transmission. Failure to do so will result in non-payment.  
#####

For the Order Status transaction set 870, this transaction is used to reject the Order Status from the supplier. The supplier is expected to correct the Order Status and resend it right away.

Caterpillar is committed to supporting and using the AIAG Implementation Guidelines and ASC X12 national standards.

Any questions or concerns regarding the Caterpillar EDI Application Advice and/or Caterpillar's EDI communication network may be directed to:

Caterpillar Inc.  
EDI Support Services - AD3321  
600 W. Washington Street  
East Peoria, IL 61630  
  
(800) 435-7334 Ext. 3  
(309) 675-0834

Any questions regarding ANTARES Direct Ship data may be directed to:

Caterpillar Inc.  
ANTARES Direct Ship System  
(800) 447-7434

**TRANSACTION SEQUENCE WITH LEVELS**

Shown below are the segments used by the Application Advice transaction set (824).

LEVEL	SEGMENT TYPE	DATA CONTAINED IN SEGMENT
HEADER	ISA	INTERCHANGE CONTROL HEADER SEGMENT
	GS	FUNCTIONAL GROUP HEADER SEGMENT
	ST	TRANSACTION SET HEADER SEGMENT
	BGN	BEGINNING SEGMENT - DATE 824 CREATED
	N1	CATERPILLR RECEIVING FACILITY CODE
	N1	SUPPLIER CODE
-----		
DETAIL	OTI	ORIGINAL TRANSACTION IDENTIFICATION (SHIPMENT IDENTIFICATION NUMBER - S.I.D.)
	REF	PACKING LIST NUMBER
	REF	PURCHASE ORDER NUMBER
	REF	PART NUMBER
	REF	PURCHASE ORDER LINE ITEM
	_____	ERROR MESSAGE LOOP
	TED	ERROR CODE AND MESSAGE
-----		
SUMMARY	SE	TRANSACTION SET TRAILER SEGMENT
	GE	FUNCTIONAL GROUP TRAILER SEGMENT
	IEA	INTERCHANGE CONTROL TRAILER SEGMENT

## ASC X12 REQUIRED CONTROL DATA

### SEGMENT SEQUENCE

1. 'ISA' WILL BE THE FIRST SEGMENT OR PRECEDED BY 'IEA'.
2. 'IEA' WILL BE THE LAST SEGMENT.
3. 'GS' WILL BE PRECEDED BY 'ISA' OR 'GE'.
4. 'ST' WILL BE PRECEDED BY 'GS' OR 'SE'.
5. 'GE' WILL BE PRECEDED BY 'SE'.
6. 'IEA' WILL BE PRECEDED BY 'GE'.
7. THE INTERCHANGE CONTROL NUMBER IN 'IEA' (ELEMENT IEA02) WILL BE THE SAME AS THE PREVIOUS 'ISA' (ELEMENT ISA13).
8. THE DATA INTERCHANGE CONTROL NUMBER IN 'GE' (ELEMENT GE02) WILL BE THE SAME AS THE PREVIOUS 'GS' (ELEMENT GS06).
9. THE TRANSACTION SET CONTROL NUMBER IN 'SE' (ELEMENT SE02) WILL BE THE SAME AS THE PREVIOUS 'ST' (ELEMENT ST02).

### COUNT BALANCING

1. THE 'NUMBER OF INCLUDED FUNCTIONAL GROUPS' IN 'IEA' (ELEMENT IEA01) WILL EQUAL THE NUMBER OF 'GS' SEGMENTS SINCE THE PREVIOUS 'ISA'.
2. THE 'NUMBER OF INCLUDED TRANSACTION SETS' IN 'GE' (ELEMENT GE01) WILL EQUAL THE NUMBER OF 'ST' SEGMENTS SINCE THE PREVIOUS 'GS'.
3. THE 'NUMBER OF INCLUDED SEGMENTS' IN 'SE' (ELEMENT SE01) WILL EQUAL THE NUMBER OF SEGMENTS READ SINCE THE PREVIOUS 'ST'. THE 'ST' AND 'SE' SEGMENTS ARE SEGMENTS INCLUDED IN THIS COUNT.

**SEGMENT/ELEMENT DEFINITION EXPLANATION**

Shown below is a segment sample from the Application Advice transaction set. The fields are numbered with an explanation following the screen display. This should assist you in reading or programming the incoming 824 transaction.

(1)  
BEGINNING SEGMENT (HEADER DATA)

(2)  
BGN\*00\*1\*900911@  
A B C D

(3)	CONTAINS DESCRIPTIVE DATA IDENTIFYING THE APPLICATION ADVICE. (THERE WILL BE ONE "BGN" SEGMENT PER APPLICATION ADVICE.)			
	ASC X12 REFERENCE	ELEMENT CHARACTERISTICS	DESCRIPTION	
	A. BGN	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.
	(4) (5)	(6)	(7)	(8)
	B. BGN01 353	(ID-2)	REQUIRED	TRANSACTION SET PURPOSE.
		(9)	00 = ORIGINAL.	
(10)	INDICATES THE BEGINNING OF AN APPLICATION ADVICE TRANSACTION SET.			

- (1) ASC X12 segment name.
- (2) Layout of the segment elements.
- (3) Description of purpose and use of the segment.
- (4) ASC X12 data element reference number.
- (5) ASC X12 data dictionary reference number.
- (6) Type and size of element (size may be a range).
  - ID = identification data.
  - AN = alphanumeric data.
  - NUM = numeric data.
  - DATE = date in YYYYMMDD format.
  - TIME = time in HHMM format.
- (7) Indication if segment element is required or optional.
- (8) ASC X12 data element title.
- (9) Explanation of what the element contains.
- (10) Notes pertaining to use of the segment.

We have indicated the element lengths (6) as used by Caterpillar. You may also wish to refer to the ASC X12 and AIAG standards for further clarification.

The ASC X12 data dictionary reference number can be used to access the

definitions and/or allowable values from the ASC X12 data dictionary if additional definitions are required.

The '@' at the end of each segment represents the segment terminator. This segment terminator is defined in the 'ISA' segment. It need not be, and probably will not be, a '@'. The '@' is only used so the end of a segment can be visualized.

The '\*' between each element represents the element separator. The element separator is defined in the 'ISA' segment. As with the segment terminator, any character may be used as a separator unless it is also contained in the data being sent.

**ISA-INTERCHANGE CONTROL HEADER SEGMENT**

```

ISA*00*          *00*          *09*005070479ff    *ZZ*X0000X0    *
A BC D          E F          G H          I J
920301*1020*U*00200*000000001*0*P*\@
K          L      M N      O          P Q RS
    
```

```

| THIS IS THE START OF THE INTERCHANGE ENVELOPE. IT IDENTIFIES |
| THE SOURCE (CATERPILLAR) AND RECEIVER (SUPPLIER) OF THE DATA. |
| IT IDENTIFIES SEPARATORS AND TERMINATORS TO BE USED IN THE |
| TRANSMISSION. THIS IS DATA REQUIRED BY ASC X12 TO CONTROL THE |
| THE INTERCHANGE OF DATA BETWEEN THE SENDER AND RECEIVER. ALL |
| DATA IS IN A FIXED POSITION. (THERE WILL BE ONE 'ISA' SEGMENT |
| FOR EACH CATERPILLAR LOCATION SENDING THE APPLICATION ADVICE.) |
    
```

ASC X12 REFERENCE	ELEMENT CHARACTERISTICS	DESCRIPTION
A. ISA	(AN-3) REQUIRED	DATA SEGMENT IDENTIFIER. ISA = INTERCHANGE CONTROL HEADER.
B. ISA	(AN-1) REQUIRED	DATA ELEMENT SEPARATOR. * = FOR THESE CATERPILLAR SEGMENTS.
C. ISA01 I01	(ID-2) REQUIRED	AUTH. INFO QUALIFIER. ALWAYS "00".
D. ISA02 I02	(AN-10) REQUIRED	AUTH. INFORMATION. ALWAYS SPACES.
E. ISA03 I03	(ID-2) REQUIRED	SECURITY INFO QUALIFIER. ALWAYS "00".
F. ISA04 I04	(AN-10) REQUIRED	SECURITY INFORMATION. ALWAYS SPACES.
G. ISA05 I05	(ID-2) REQUIRED	SENDER ID QUALIFIER. "09" = DUNS NUMBER plus SUFFIX.
H. ISA06 I06	(ID-15) REQUIRED	SENDER ID. "005070479" = CATERPILLAR DUNS CODE PLUS. ff = CATERPILLAR FACILITY CODE (SEE APPENDIX).
I. ISA07 I07	(ID-2) REQUIRED	RECEIVER ID QUALIFIER. "ZZ" = MUTUALLY DEFINED.
J. ISA08 I07	(ID-15) REQUIRED	RECEIVER ID. CATERPILLAR ASSIGNED SUPPLIER CODE.
K. ISA09 I08	(DATE-6) REQUIRED	SUBMIT DATE. YYMMDD FORMAT.
L. ISA10 I09	(TIME-4) REQUIRED	SUBMIT TIME. HHMM FORMAT.
M. ISA11 I10	(ID-1) REQUIRED	INTERCHANGE STANDARD. "U" FOR ASC X12.
N. ISA12 I11	(ID-5) REQUIRED	INTERCHANGE VERSION. ALWAYS "00200".
O. ISA13 I12	(NUM-9) REQUIRED	INTERCHANGE CONTROL NUMBER. UNIQUE NUMBER ASSIGNED TO CONTROL TRANSMISSION, ALSO USED IN IEA02 SEGMENT.
P. ISA14 I13	(ID-1) REQUIRED	ACKNOWLEDGEMENT REQUESTED. ALWAYS "0" = NO ACKNOWLEDGE-



				MENT REQUESTED.
Q.	ISA15 I14	(ID-1)	REQUIRED	INDICATOR.
				ALWAYS "P" = PRODUCTION.
R.	ISA16 I15	(AN-1)	REQUIRED	SUBELEMENT SEPARATOR.
				ALWAYS "\".
S.	ISA17	(AN-1)	REQUIRED	SEGMENT TERMINATOR.
				ALWAYS HEX'0D'.

**GS -FUNCTIONAL GROUP HEADER SEGMENT**

GS\*AG\*40\*X0000X0\*920301\*1418\*000000004\*X\*003010@  
 A B C D E F G H I

IDENTIFIES THE FUNCTIONAL GROUP OF THE TRANSACTION SET BEING TRANSMITTED AS WELL AS ADDITIONAL INTERCHANGE CONTROL DATA USED IN THE TRANSMISSION. (ONE "GS" SEGMENT PER "ISA")				
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS			DESCRIPTION
A. GS	(AN-2) REQUIRED			DATA SEGMENT IDENTIFIER.
B. GS01 479	(ID-2) REQUIRED			FUNCTIONAL ID. AG = APPLICATION ADVICE.
C. GS02 142	(AN-12) REQUIRED			APPLICATION SENDER'S CODE. CATERPILLAR SENDING FACILITY CODE.
D. GS03 124	(AN-12) REQUIRED			APPLICATION RECEIVER'S CODE. CATERPILLAR ASSIGNED SUPPLIER CODE.
E. GS04 373	(DATE-6) REQUIRED			DATA INTERCHANGE DATE. TRANSMISSION DATE IN YYMMDD FORMAT.
F. GS05 337	(TIME-4) REQUIRED			DATA INTERCHANGE TIME. TRANSMISSION TIME IN HHMM FORMAT.
G. GS06 28	(NUM-9) REQUIRED			DATA INTERCHANGE CONTROL NUMBER ASSIGNED TO CONTROL TRANSMISSION, ALSO USED IN "GE" SEGMENT (GE02).
H. GS07 455	(ID-2) REQUIRED			RESPONSIBLE AGENCY CODE. "X" = ASC X12 STANDARDS.
I. GS08 480	(AN-6) REQUIRED			VERSION "003010"

**ST -TRANSACTION SET HEADER SEGMENT**

ST\*824\*0001@

A B C

IDENTIFIES START OF A TRANSACTION SET FOR AN APPLICATION ADVICE. (THERE WILL BE ONE "ST" SEGMENT PER APPLICATION.)				
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION	
A. ST	(AN-2)	REQUIRED	DATA SEGMENT IDENTIFIER.	
B. ST01 143	(ID-3)	REQUIRED	TRANSACTION SET IDENTIFIER. 824 = APPLICATION ADVICE.	
C. ST02 329	(AN-9)	REQUIRED	TRANSACTION SET CONTROL NUMBER. INCREMENTED BY 1 WITH EACH APPLICATION ADVICE WITHIN THE SUPPLIER TRANSMISSION. SAME AS IN THE FOLLOWING SE02.	

**BGN-BEGINNING SEGMENT (HEADER DATA)**

BGN\*00\*1\*920301@ - 856, 870  
 A B C D  
 BGN\*00\*932531\*931201\*1512@ - 810  
 A B C D E

CONTAINS DESCRIPTIVE DATA IDENTIFYING THE APPLICATION ADVICE. (THERE WILL BE ONE "BGN" SEGMENT PER APPLICATION ADVICE.)			
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION
A. BGN	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.
B. BGN01 353	(ID-2)	REQUIRED	TRANSACTION SET PURPOSE. 00 = ORIGINAL.
C. BGN02 127	(AN-30)	REQUIRED	REFERENCE NUMBER.
		856, 870:	CONSTANT '1'.
		810:	CONSTANT '1' OR IF AVAILABLE GS CONTROL NUMBER.
D. BGN03 373	(DATE-6)	REQUIRED	DATE. YYMMDD.
E. BGN04 337	(TIME-4)	OPTIONAL	TIME.
		810:	HHMM.

**N1 -ORGANIZATION NAME SEGMENT**

N1\*SF\*\*92\*X0000X0@ - 856, 870  
 A B D E  
 N1\*ST\*\*92\*40@ - 856, 870  
 A B D E  
 N1\*SF\*NAME\*92\*X0000X0@ - 810  
 A B C D E

IDENTIFIES PARTY BY TYPE OF ORGANIZATION, CODE QUALIFIER, AND CODE.				
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION	
A. N1	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.	
B. N101 98	(ID-2)	REQUIRED	ENTITY IDENTIFIER CODE. SF = SHIP FROM. 856, 870: ST = SHIP TO.	
C. N102 93	(AN-35)	OPTIONAL	SENDER'S NAME. 810:	
D. N103 66	(ID-2)	REQUIRED	IDENTIFICATION CODE QUALIFIER. 92 = CATERPILLAR DEFINED.	
E. N104 67	(ID-7)	REQUIRED	IDENTIFICATION CODE. IF N101 = SF, CATERPILLAR DEFINED SUPPLIER CODE. IF N101 = ST, CATERPILLAR FACILITY CODE - SEE APPENDIX.	

**OTI-ORIGINAL TRANSACTION IDENTIFICATION**

```

OTI*IE*SI*987655*****856@
A   B   C   D           E
OTI*TR*SI*987655*****856@
A   B   C   D           E
OTI*IA*IV*123455*****810@
A   B   C   D           E
OTI*IR*IV*123455*****810@
A   B   C   D           E
OTI*TR*IV*123455*****810@
A   B   C   D           E
OTI*GR*IV*123455*****810@
A   B   C   D           E
OTI*TR*TN*200-0002*****870@
A   B   C   D           E
    
```

IDENTIFIES ERROR CODE, ERROR MESSAGE AND, IF FEASIBLE, THE ERRONEOUS DATA ELEMENT.				
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS			DESCRIPTION
A. OTI	(AN-3)	REQUIRED		DATA SEGMENT IDENTIFIER.
B. OTI01 110	(ID-2)	REQUIRED		APPLICATION ACKNOWLEDGMENT CODE.
			856:	IE = ITEM ACCEPT WITH ERROR.
			856:	TR = TRANSACTION SET REJECT.
			810:	GR = GROUP REJECT. (EDI ERROR ENCOUNTERED, ALL INVOICES REJECTED)
			810:	IR = ITEM REJECT. (INVOICE ERROR ENCOUNTERED, ONE OR MORE INVOICES REJECTED)
			810:	TR = TRANSACTION SET REJECT. (INVOICE ERROR ENCOUNTERED, ALL INVOICES REJECTED)
C. OTI02 128	(ID-2)	REQUIRED	870:	TR = TRANSACTION SET REJECT.
			856:	REFERENCE NUMBER QUALIFIER. SI = SHIPPER'S IDENTIFYING NUMBER FOR SHIPMENT (S.I.D.) (BSN02 FROM 856.)
			810:	IV = INVOICE NUMBER. (BIG02 FROM 810.)
			870:	TN = ORDER STATUS NUMBER (BSR03 FROM 8760.)
D. OTI03 127	(AN-30)	REQUIRED		REFERENCE NUMBER.
			856:	IF OTI02 = 'SI', OTI03 IS THE SHIPMENT IDENTIFICATION NUMBER.
			810:	IF OTI02 = 'IV', OTI03 IS THE INVOICE NUMBER.
			870:	IF OTI02 = 'TN', OTI03 IS THE ORDER STATUS NUMBER.
E. OTI10 143	(ID-3)	REQUIRED		TRANSACTION SET IDENTIFIER CODE
				856 = ADVANCE SHIP NOTICE.
				810 = INVOICE.
				870 = ORDER STATUS.



**REF-REFERENCE NUMBERS**

REF\*PK\*78999@  
 A B C  
 REF\*PM\*2B0002@  
 A B C  
 REF\*PO\*AAB 23456@  
 A B C  
 REF\*LI\*2@  
 A B C  
 REF\*P7\*AA@  
 A B C

SPECIFIES IDENTIFYING NUMBERS RELATED TO ADVANCE SHIP NOTICE.			
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION
A. REF	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.
B. REF01 128	(ID-2)	REQUIRED	REFERENCE NUMBER QUALIFIER. PK = PACKING LIST. PM = PART NUMBER. PO = PURCHASE ORDER NUMBER. LI = PO LINE ITEM NUMBER. P7 = PRODUCTION LINE NUMBER.
C. REF02 127	(AN-30)	REQUIRED	REFERENCE NUMBER.



**TED-TECHNICAL ERROR DESCRIPTION**

TED\*ZZZ\*351 load detail error\*\*\*\*\*25@  
 A B C D

IDENTIFIES ERROR CODE, ERROR MESSAGE AND, IF FEASIBLE, THE ERRONEOUS DATA ELEMENT.				
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION	
A. TED	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.	
B. TED01 647	(ID-3)	REQUIRED	APPLICATION ERROR CONDITION CODE. ZZZ = MUTUALLY DEFINED.	
C. TED02 3	(AN-60)	REQUIRED	FREE FORM MESSAGE. FIRST  THREE CHARACTERS WILL BE THE CATERPILLAR ERROR CODE.	
D. TED07 724	(AN-40)	OPTIONAL	VALUE OF BAD DATA ELEMENT. DATA SENT TO CATERPILLAR ON 856 ADVANCE SHIP NOTICE (ASN), or 810 INVOICE, OR 870 ORDER STATUS.	

**SE -TRANSACTION SET TRAILER**

SE\*11\*0001@

A B C

IDENTIFIES THE END OF A TRANSACTION SET. THIS SEGMENT CONTAINS THE SEGMENT COUNTS AND INTERCHANGE CONTROL NUMBER USED TO INSURE ALL SEGMENTS HAVE BEEN CORRECTLY PROCESSED. (ONE "SE" SEGMENT PER "ST" SEGMENT PROCESSED)			
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION
A. SE	(AN-2) REQUIRED		DATA SEGMENT IDENTIFIER.
B. SE01 96	(NUM-6) REQUIRED		NUMBER OF INCLUDED SEGMENTS. ACCUMULATED TOTAL NUMBER OF SEGMENTS FROM LAST "ST" SEGMENT, INCLUDING THE "ST" AND "SE" SEGMENTS.
C. SE02 329	(AN-9) REQUIRED		TRANSACTION SET CONTROL NUMBER. SAME CONTROL NUMBER AS THE ONE USED IN THE PREVIOUS "ST" SEGMENT (ST02).

**GE -FUNCTIONAL GROUP TRAILER SEGMENT**

GE\*1\*000000004@

A B C

IDENTIFIES THE END OF A FUNCTIONAL GROUP. THIS SEGMENT CONTAINS THE COUNT OF INCLUDED TRANSACTION SETS AND THE DATA INTERCHANGE CONTROL NUMBER USED TO ENSURE ALL FUNCTIONAL GROUPS HAVE BEEN CORRECTLY PROCESSED. (ONE "GE" SEGMENT PER "GS" SEGMENT PROCESSED.)				
	ASC X12		ELEMENT	
	REFERENCE		CHARACTERISTICS	DESCRIPTION
A.	GE		(AN-2) REQUIRED	DATA SEGMENT IDENTIFIER.
B.	GE01	97	(NUM-6) REQUIRED	NUMBER OF INCLUDED TRANSACTIONS. ACCUMULATED TOTAL NUMBER OF "ST" SEGMENTS INCLUDED IN THIS FUNCTIONAL GROUP.
C.	GE02	28	(NUM-9) REQUIRED	INTERCHANGE CONTROL NUMBER. SAME CONTROL NUMBER USED IN THE PREVIOUS "GS" SEGMENT (GS06).

**IEA-INTERCHANGE CONTROL TRAILER SEGMENT**

IEA\*1\*000000001@

A B C

IDENTIFIES THE END OF THE INTERCHANGE FOR A GIVEN SENDING FACILITY. THIS SEGMENT CONTAINS THE COUNT OF INCLUDED FUNCTIONAL GROUPS AND THE INTERCHANGE CONTROL NUMBER USED TO ENSURE THE TOTAL INTERCHANGE HAS BEEN CORRECTLY PROCESSED (ONE "IEA" SEGMENT PER "ISA" SEGMENT PROCESSED.)			
ASC X12 REFERENCE	ELEMENT CHARACTERISTICS		DESCRIPTION
A. IEA	(AN-3)	REQUIRED	DATA SEGMENT IDENTIFIER.
B. IEA01 I16	(NUM-6)	REQUIRED	NUMBER OF INCLUDED GROUPS. ACCUMULATED TOTAL NUMBER OF "GS" SEGMENTS INCLUDED IN THIS INTERCHANGE (SINCE THE LAST "ISA" SEGMENT).
C. IEA02 I12	(NUM-9)	REQUIRED	INTERCHANGE CONTROL NUMBER. SAME CONTROL NUMBER AS USED IN THE PREVIOUS ISA13.

**TRANSACTION SAMPLE DATA**

SAMPLE FOR 856:

SEGMENT	DESCRIPTION
ISA*00*                  *00*                  *09*005070479ff          *ZZ*X0000X0          *	
920301*1020*U*00200*000000001*0*P*\@	
GS*AG*40*X0000X0*920301*1102*000000004*X*003010@	
ST*824*0001@	
BGN*00*1*920301@	
N1*Sf**92*X0000X0@	SUPPLIER "XYZ," CODE "X0000X0"
N1*ST**92*40@	CATERPILLAR FACILITY CODE "40"
OTI*IE*SI*987655*****856@	S.I.D. NUMBER "987655"
REF*PK*78999@	YOUR PACKING LIST "78999"
REF*PM*2B0022@	CATERPILLAR PART NUMBER "2B0022"
REF*PO*AAB 23456@	CAT PURCHASE ORDER NO "AAB 23456"
REF*LI*2@	CAT PURCHASE ORDER LINE ITEM "2"
TED*ZZZ*351 LOAD DETAIL ERROR*****25@	MUTUALLY DEFINED ERROR CODE "ZZZ"
	ERROR MESSAGE "351 LOAD DETAIL ERROR"
	(first 3 positions = Caterpillar error code)
	BAD ELEMENT VALUE "25"
SE*11*0001@	
GE*1*000000004@	
IEA*1*000000001@	

SAMPLE FOR 810:

SEGMENT	DESCRIPTION
ISA*00*	*00*
920301*1020*U*00200*000000001*0*P*\@	*09*00507047919 *ZZ*X0000X0 *
GS*AG*19*X0000X0*920301*1102*000000004*X*003010@	
ST*824*000001@	
BGN*00*5631*920301@	5631 = sender's group control #.
N1*SF*XYZ*92*X0000X0@	SUPPLIER "XYZ", CODE "X0000X0".
OTI*IR*IV*987655*****810@	INVOICE NUMBER "987655".
TED*ZZZ*207 INVALID UNIT OF MEASURE*****QQ@	MUTUALLY DEFINED ERROR CODE "ZZZ". ERROR MESSAGE "207 INVALID UM". (first 3 positions = Caterpillar error code.)
TED*ZZZ*009 INVALID SHIP DATE*****801201@	BAD ELEMENT VALUE "QQ". MUTUALLY DEFINED ERROR CODE "ZZZ". ERROR MESSAGE "009 INVALID DATE". (first 3 positions = Caterpillar error code.)
SE*7*000001@	BAD ELEMENT VALUE "801201".
GE*1*000000004@	
IEA*1*000000001@	

SAMPLE FOR 870:

SEGMENT	DESCRIPTION
ISA*00*                  *00*                  *09*005070479ANT      *ZZ*X0000X0                  *	
950301*1020*U*00200*000000001*0*P*\@	
GS*AG*ANT*X0000X0*950301*1102*000000004*X*003010@	
ST*824*000001@	
BGN*00*1*950301@	
N1*ST**92*47@	SHIP TO CATERPILLAR INC. MORTON "47".
N1*SF**92*X0000X0@	SUPPLIER CODE "X0000X0".
OTI*TR*TN*200-0002*****870@	ORDER STATUS NUMBER 200-0002.
TED*ZZZ*503 PART NUMBER DOES NOT EXIST*****1Z1111@	MUTUALLY DEFINED ERROR CODE "ZZZ". ERROR MESSAGE "503 PART NUMBER DOES NOT EXIST". (first 3 positions = Caterpillar error code.) BAD ELEMENT VALUE "1Z1111".
SE*7*000001@	
GE*1*000000004@	
IEA*1*000000001@	

**APPENDIX B - ERROR CODES/ERROR MESSAGES**

BELOW IS A LIST OF POSSIBLE ERROR CODES WHICH WILL BE RETURNED ON AN APPLICATION ADVICE TRANSACTION SET (824). THESE ERRORS OCCUR WHEN ADVANCE SHIP NOTICE TRANSACTION SETS (856) ARE RECEIVED AT CATERPILLAR. IN MOST CASES IT IS NOT NECESSARY TO RESEND THE ASN, BUT FUTURE ACTION SHOULD BE TAKEN TO NOT REPEAT THE ERROR.

THERE ARE SOME ERROR CODES ASSOCIATED WITH AN ORDER STATUS TRANSACTION SET (870). THESE MUST BE FIXED AND RE-SENT.

- 201      INVALID SUPPLIER CODE  
          Supplier Code not recognized at Receiving Facility.
  
- 202      PURCHASE ORDER NUMBER ERROR  
          Purchase Order not recognized at Receiving Facility.  
          Advance Ship Notice cannot be used to make a receipt.
  
- 207      UNIT OF MEASURE ERROR  
          Unit of measure received on Advance Ship Notice does not agree with unit of measure on purchase order.
  
- 222      DUPLICATE ASN ERROR - ASN NOT PROCESSED  
          This code will be returned to suppliers designated as official Receipt Discrepancy suppliers (those suppliers which consistently produce valid ASN data and electronically receive 861 Receiving Advice Transactions).

The Transaction ID (Shipment Identification Number) already exists at Caterpillar. The transaction set was sent as an 'original' (00) and the Shipment Identification Number already existed. This transaction was not accepted by Caterpillar and will have to be retransmitted as a different Shipment Identification Number.

If the transaction set has not been used to process the receipt of material, the same transaction ID can be resent to correct an existing ASN by changing the Transaction Set Purpose Code from '00' to '02' = addition to existing ASN, '04' = change to existing ASN, or '05' replacement ASN. If the transaction set has been used to process a receipt, error codes 356, 357, or 358 will be returned (see below).

NOTE: If an ASN needs to be resent to correct a price, the price will be updated, but an 824 Application Advice transactions will be created and sent back to the supplier.

- 223      DUPLICATE ASN  
          There is a duplicate Requisition Sequence Number. The original Requisition Sequence Number can only be used once. If additional shipments are required use a new Requisition Sequence Number in the new ASN.
  
- 226      DUPLICATE ASN ERROR - ASN PROCESSED  
          This code will be returned to suppliers not designated as Receipt Discrepancy suppliers (suppliers which receive 861



Receiving Advice Transactions).

The Transaction ID (Shipment Identification Number) already exists at Caterpillar. The transaction set was sent as an 'original' (00) and the Shipment Identification Number already existed.

If the previous transaction set has not been used at Caterpillar to process the receipt of material, the current transaction set will overlay the previous transaction set.

If the previous transaction set has been used to process the receipt of material, the current transaction set will be ignored and error codes 356, 357, or 358 will be returned.

If the transaction set has not been used to process the receipt of material, the same transaction ID can be resent to correct an existing ASN by changing the Transaction Set Purpose Code from '00' to '02' = addition to existing ASN, '04' = change to existing ASN, or '05' replacement ASN.

- 227 REQUISITION SEQUENCE NUMBER IS INVALID |  
The Requisition Sequence Number is either missing or not |  
11 numerical characters in length (right-justified, zero |  
filled). Please resend ASN after correcting this error. |
- 228 REQUISITION SEQUENCE NUMBER/PART NUMBER MISMATCH |  
The incorrect Requisition Sequence Number was sent on this |  
ASN for this Part Number for this purchase order. Please |  
resend ASN after correcting this error. |
- 248 NO SERIAL NUMBER  
The Advance Ship Notice transaction set did not contain  
a number in the REF segment of the CLD loop. This number  
is used by Caterpillar to uniquely identify and receive  
material.
- 350 CATERPILLAR IDENT ERROR  
The Part Number as sent in on the Advance Ship Notice  
transaction set did not agree with the purchase order.  
If the purchase order has been designated "pay-on-  
receipt", the Advance Ship Notice cannot be used to make a  
receipt. Supplier should resend ASN.
- 351 LOAD DETAIL ERROR  
The accumulated load quantities (quantity per load  
times number of loads) did not equal the quantity  
shipped.
- 352 ENGINEERING CHANGE ERROR  
The Engineering Change Number as sent in on the Advance  
Ship Notice transaction set did not agree with the  
purchase order.
- 353 PURCHASE ORDER ITEM ERROR  
The purchase order item sequence number as sent in on the  
Advance Ship Notice transaction set did not agree with

the purchase order. If the purchase order has been designated "pay-on-receipt", the Advance Ship Notice cannot be used to make a receipt. Supplier should resend ASN.

- 354 QUANTITY CONTROL GRIEF  
ASC X12 control counts for the Advance Ship Notice do not balance. The total sent in the CTT segment does not equal the total SN1 accumulated quantities.
- 355 PRICE DATA MISSING  
Purchase order requires price data to be included in the Advance Ship Notice. The purchase order has been Designated "pay-on-receipt" and the receipt will not pass to Accounts Payable. A grief item will appear on the Price Grief Screen.
- RESOLUTION: Verify why the grief occurred by using the history inquiry screens. There are four reasons why price grief occurs: (1) No price was sent on Advance Ship Notice for pay-on-receipt purchase order. (2) Zero price was sent on Advance Ship Notice for pay-on-receipt purchase orders. (3) Currency code on Advance Ship Notice did not agree with purchase order. (4) Unit of measure for price of material was invalid.
- ACTION: Supplier must correct grief and resend Advance Ship Notice.
- 356 FREIGHT BILL ALREADY RECEIVED - FREIGHT BILL NOT PROCESSED  
If the supplier resends an Advance Ship Notice Transaction with the same SID Number, but the Activity code is '02' (addition), '04' (change), or '05' (replacement) and the freight portion of the Advance Ship Notice has already been used by the 'Receiving' facility, the freight portion will not be used. However, if none of the packing lists had been used to receive material, they will be put on the ASN data base.
- 357 FREIGHT & AT LEAST 1 PKG LIST RECEIVED - ASN NOT PROCESSED  
If the supplier resends an Advance Ship Notice Transaction with the same SID Number, but the Activity Code is '02' (addition), '04' (change), or '05' (replacement) and freight and at least one packing list had been used to make a receipt, nothing will be put on the ASN data base for this SID number.
- 358 PACKING LIST ALREADY RECEIVED - ASN NOT PROCESSED  
If the supplier resends an Advance Ship Notice Transaction with the same SID Number, but the Activity Code is '02' (addition), '04' (change), or '05' (replacement) and at least one packing list had been used to make a receipt, nothing will be put on the ASN data base for this SID number.
- 359 QUANTITY SHIPPED GREATER THAN ORDER QUANTITY - NOT ALLOWED  
If the supplier ships a quantity greater than the order and for this part, it is not allowed, the supplier will receive this warning message. No immediate action will be taken.

- 361 ZERO PRICE GRIEF  
Price sent in by supplier on Advance Ship Notice was zero or was changed to zero because it was non-numeric. If the purchase order has been designated as "pay-on-receipt," the receipt will not pass to Accounts Payable. A grief item will appear on the Price Grief Screen (PRGR).
- RESOLUTION: Verify why the grief occurred by using the history inquiry screens. There are four reasons why price grief occurs: (1) No price was sent on Advance Ship Notice for pay-on-receipt purchase order. (2) Zero price was sent on Advance Ship Notice for pay-on-receipt purchase orders. (3) Currency code on Advance Ship Notice did not agree with purchase order. (4) Unit of measure for price of material was invalid.
- ACTION: Supplier must correct grief and resend Advance Ship Notice.
- 362 CURRENCY CODE PRICE GRIEF: nnn  
Currency code on Advance Ship Notice was not the same as on the pay-on-receipt purchase order. Unable to process the receipt or send to Accounts Payable. A grief item will appear on the Price Grief Screen (PRGR).
- RESOLUTION: Verify why the grief occurred by using the history inquiry screens. There are four reasons why price grief occurs: (1) No price was sent on Advance Ship Notice for pay-on-receipt purchase order. (2) Zero price was sent on Advance Ship Notice for pay-on-receipt purchase orders. (3) Currency code on Advance Ship Notice did not agree with purchase order. (4) Unit of measure for price of material was invalid.
- ACTION: Supplier must correct grief and resend Advance Ship Notice.
- 365 INVALID AIAG CHRG CD ON A/C - RESEND DATA.  
Additional charge code as sent in by the supplier on the Advance Ship Notice was not a valid AIAG code. Consult the EDI Codes for Caterpillar directory, correct code, and resend the Advance Ship Notice. The purchase order has been designated as "pay-on-receipt" and the receipt will not pass to Accounts Payable until corrected. Grief will appear on Price Grief Screen (PRGR).
- 366 INVALID AIAG UM CD ON A/C - RESEND DATA.  
Unit of measure code for an additional charge item on the Advance Ship Notice was not a valid AIAG unit of measure. Consult the EDI Codes for Caterpillar directory, correct, and resend the Advance Ship Notice. The purchase order has been designated as "pay-on-receipt" and the receipt will not pass to Accounts Payable until corrected. Grief will appear on Price Grief Screen (PRGR).
- 367 ZERO PRICE ON A/C - RESEND DATA.  
Price on additional charge item as sent in by the supplier on the Advance Ship Notice was zero. Supplier should

- correct and resend the Advance Ship Notice. The purchase order has been designated as "pay-on-receipt" and the receipt will not pass to Accounts Payable until corrected. Grief will appear on Price Grief Screen (PRGR).
- 368 ZERO BILL QTY ON A/C - RESEND DATA.  
Billing quantity for additional charge item on Advance Ship Notice was zero. Supplier should correct and resend Advance Ship Notice. The purchase order has been designated as "pay-on-receipt" and the receipt will not pass to Accounts Payable until corrected. Grief will appear on Price Grief Screen (PRGR).
- 369 INVALID AIAG U/M CD ON PRC - RESEND DATA.  
The pricing unit of measure for the purchase order item as sent by the supplier on the Advance Ship Notice was not a valid AIAG unit of measure. Consult the EDI Codes for Caterpillar directory, correct, and resend the Advance Ship Notice. The purchase order has been designated as "pay-on-receipt" and the receipt will not pass to Accounts Payable until corrected. Grief will appear on Price Grief Screen (PRGR).
- 501 INVALID CUSTOMER CODE.  
Customer Code received is not defined within the Caterpillar customer database.
- 502 SOURCED ORDER DOES NOT EXIST.  
Sourced Order data received does not exist within Caterpillar's Parts Ordering database.
- 503 PART NUMBER DOES NOT EXIST.  
Part Number received is not defined as a Caterpillar Part Number.
- 504 DUPLICATE CASE NUMBER.  
Case Number was received twice on the same Advanced Ship Notice from the supplier.
- 506 INVALID UNIT OF MEASURE CODE.  
Unit of Measure received is not recognized as a Caterpillar Parts measurement.

**APPENDIX C - ACCOUNTS PAYABLE ERROR CODE**

BELOW IS A LIST OF POSSIBLE ERROR CODES WHICH WILL BE RETURNED ON AN APPLICATION ADVISE TRANSACTION SET (824). THESE ERRORS OCCUR WHEN INVOICE TRANSACTION SETS (810) ARE RECEIVED AT CATERPILLAR. IF YOU RECEIVE A 824 IN RESPONSE TO A 810, YOU WILL HAVE TO CORRECT YOUR INVOICE AND HAVE TO RESEND IT AGAIN. IF YOU HAVE ANY QUESTIONS ABOUT YOUR 824 TRANSACTION, CONTACT YOUR ACCOUNTS PAYABLE SUPPORT PERSONNEL.

- 003      DUPLICATE BILLING  
Invoice is ignored, as payment for this purchase order has been scheduled by other methods.
- 004      INVALID CODE
- a - Currency CODE  
The currency code found is not authorized for usage by Accounts Payable (CUR02).
  - b - Special Services Code (Caterpillar Additional Charge)  
The special services code found is not authorized for usage by Accounts Payable (ITA14).
  - c - Invalid Carrier Code.  
Carrier code used is not known at Caterpillar.
  - d - Invalid allowance or charge code (Caterpillar Additional Charge) the code is not allowed under the ANSI standard (ITA01).
  - e - Transportation Code.  
The transportation code found is not authorized for usage by Accounts Payable (CAD01).
  - f - Invalid seller country code.
- 007      MISSING DATA
- a - Unit Price  
No item price was found in IT104.
  - b - Part Number/Item No  
No part number or Item number was found in IT1.
  - c - Purchase Order Number  
No purchase order number was found in BIG04 or IT1.
  - d - Additional Charge Data  
No required additional charge data was found in ITA01  
Values are: A - Allowance  
            C - Charge
  - e - Packing List  
A REF segment was encountered with REF01 = PK, but the data field was equal to spaces.
  - f - Bill of Lading  
A REF segment was encountered with REF01 = BM, but the data field was equal to spaces.
  - g - Sellers Invoice Number  
A REF segment was encountered with REF01 = IV, but the data field was equal to spaces.
  - h - Supplier Code  
A N1 segment was encountered with N101 = SE or VN, but the data field was equal to spaces.
  - i - Purchase Order Item Number  
A purchase order item number is required, for this

- invoice (IT101).
- j - Supplier Invoice Number  
No supplier invoice number was found (BIG02).
- k - Special Services Code  
No additional services code was found (ITA03).
- l - Ship Date  
A DTM segment was found with the DTM01 = 011, but the date in DTM02 was spaces.
- m - Invoice Date  
No invoice date found (BIG01).
- n - Cross Reference  
No REF segment was found
- o - Invoice Type Code  
No invoice type code found in BIG07.
- p - Transportation Type  
No transportation type found in CAD01
- q - Ship to Address  
Need street, city, state (U.S. only)  
country code, postal code.
- r - Seller Address  
Need street, city, state (U.S. only),  
country code, postal code
- s - Currency Code  
No currency code found in CUR02.
- t - Ship to value added tax number missing.
- u - Ship to company name missing.

- 009 INVALID DATE
  - a - Ship Date  
A DTM segment was found with the DTM01 = 011, but the date in DTM02 was not in YYMMDD format.
  - b - Invoice Date  
In the BIG01 the date found was not in YYMMDD format
- 010 INVALID VALUE ADDED TAX (VAT) AMOUNT
- 011 INVALID SHIP TO VALUE ADDED TAX NUMBER.
- 012 INVALID SHIP TO COMPANY NAME.
- 200 EDI ERRORS
  - a - Transaction Not Supported  
A transaction other than "IN 810" was found.
  - b - SE-Transaction Trailer Missing  
No corresponding "SE" trailer was found, for the previous "ST" segment.
  - c - ST-Header-Trailer Mismatch/Garbled  
No corresponding "SE" trailer was found for the previous "ST" segment.  
Likely cause: Data received garbled through network.
  - d - Records Expected Not Equal Received  
The number of records received between the "ST" and "SE" segments does not match the number of included segments in the "SE" segment.
  - e - One Or More Segments In Error  
Errors were found in the "IN 810" transaction set.
    - 1 - ### - Segment not recognized

- 2 - ### - Mandatory segment missing
  - f - "GS" Functional Group Not Supported  
The "GS01" element was not an "IN".
  - g - "GS" Functional Group Trailer Missing  
No corresponding "GE" trailer was found for the previous "GS" segment.
  - h - GS-Header-Trailer Mismatch/Garbled  
No corresponding "GE" trailer was found, for the previous "GS" segment.  
Likely cause: Data received garbled through network.
  - i - Invoices Expected Not Equal Received  
The number of invoices received between the "GS" and "GE" segments does not match the number of included documents in the "GE" segment.
  - j - Duplicate segments were found in the transaction set (ST - SE).
  - k - Valid segments were found in the transaction set (ST - SE), but they were not in the correct sequence.
- 201      INVALID SUPPLIER CODE  
A N1 segment was encountered with N101 = SE or VN, but the supplier code was not authorized by Accounts Payable to send invoices.
- 202      INVALID PURCHASE ORDER NUMBER  
The purchase order number found did not conform to the Caterpillar format. Formats allowed include: AAANNNNN, AAA NNNNN, AAA-NNNNN or AAAANNNNN, AAAA NNNNN, AAAA-NNNNN, where A indicates any alphabetic character and N indicates any numeric character (IT1).
- 203      PURCHASE ORDER CLOSED
- 204      PURCHASE ORDER / CURRENCY CODE MISMATCH
- 205      PURCHASE ORDER / FACILITY CODE MISMATCH
- 206      PURCHASE ORDER / SUPPLIER CODE MISMATCH
- 207      INVALID UNIT OF MEASURE  
The unit of measure found is not authorized for usage by Accounts Payable (IT1).
- 240      NON NUMERIC DATA
- a - Terms Segment  
Invalid numeric data found (ITD03).
  - b - Allowance or Charge Segment  
Invalid numeric data found (ITA06, ITA07, ITA09, ITA10).
  - c - Invoice Item Data  
invalid numeric data found (IT101, IT102, IT104).
  - d - Transaction Totals  
Invalid numeric data found (CTT01).
  - e - Group Trailer  
Invalid numeric data found (GE01).
  - f - Transaction Set Trailer  
Invalid numeric data found (SE01).
  - g - Total Amount Error  
Invalid numeric data found (TDS01).

350 PURCHASE ORDER / PART NUMBER MISMATCH  
The part number found in the IT1 segment did not agree with the part number on the purchase order number.

350 PURCHASE ORDER / ITEM NUMBER MISMATCH  
No part number found in the IT1 segment and the purchase order item number does not agree with the purchase order number.

801 EXCESSIVE QUANTITY  
Quantity received on the Supplier Invoice is excessive to that received on the Advanced Ship Notice and any identical items previously invoiced.

802 INVALID UNIT PRICE  
Unit Price received for a particular price does not match that in the Caterpillar Parts Direct Ship database.

803 CHARGES NOT ACCEPTED  
Charges received are not to be sent as agreed upon between the supplier and Caterpillar.

804 EXCESSIVE CHARGE  
Charges received exceeds the reasonability check done within the Caterpillar Parts Direct Ship system.

805 DUPLICATE CHARGE/DISCOUNT RCD  
An additional charge/discount was received more than once on a unique supplier invoice. Review the invoice and resend.

812 UNACCEPTED CHARGE CODE  
Charge Code received is not defined as a valid charge within the Caterpillar Parts Direct Ship system.

819 TDS TOTAL AMOUNT ERROR  
The total amount as calculated in the TDS01 does not agree with the manner Accounts Payable calculates the invoice amount total.

820 CONTROL TOTAL COUNT ERROR  
The control count as calculated in the CTT01 does not agree with the manner Accounts Payable calculates the count total.

832 INVALID INVOICE REQUEST  
a - Remarks code  
The information received on the invoice did not agree with the remarks code indicator stored on the purchase order.  
b - Payment code  
A purchase order received on the invoice showed that a part of the invoice is payable to "Caterpillar World Trade", please send these types of invoices separately.