

997

Functional Acknowledgment

Functional Group=FA

DSCR Subset - X-12 Version 3050-997

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VERSION: Based on Federal IC DRAFT

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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) and DSCR EDI procurement 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. DSCR will specifically use this Transaction Set to verify receipt of message delivery, translation, and reconcile to corresponding Transaction Set.

Notes:

- 1/010 These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. 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.

Segments:

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>	<u>Usage</u>
	ISA	Interchange Control Header	M	1			Used
	GS	Functional Group Header	M	1			Used

Heading:

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>	<u>Usage</u>
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**

030	AK2	Transaction Set Response Header	R	1		N1/030	Used
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LOOP ID - AK3**999999**

040	AK3	Data Segment Note	R	1			Used
050	AK4	Data Element Note	R	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

Segments:

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>	<u>Usage</u>
	GE	Functional Group Trailer	M	1			Used
	IEA	Interchange Control Trailer	M	1			Used

ISA Interchange Control Header

Pos:	Max: 1
- 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:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
ISA01	I01	Authorization Information Qualifier Description: Code to identify the type of information in the Authorization Information. <u>Code Name</u> 00 No Authorization Information Present (No Meaningful Information in I02)	M	ID	2/2	
ISA02	I02	Authorization Information 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)	M	AN	10/10	
ISA03	I03	Security Information Qualifier Description: Code to identify the type of information in the Security Information. <u>Code Name</u> 00 No Security Information Present (No Meaningful Information in I04)	M	ID	2/2	
ISA04	I04	Security Information 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)	M	AN	10/10	
ISA05	I05	Interchange ID Qualifier Description: Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. <u>Code Name</u> 01 Duns (Dun & Bradstreet) 09 X.121 (CCITT) 12 Phone (Telephone Companies) 14 Duns Plus Suffix ZZ Mutually Defined	M	ID	2/2	
ISA06	I06	Interchange Sender ID 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. User Note 1: <i>Duns (Dun & Bradstreet)</i>	M	AN	15/15	
ISA07	I05	Interchange ID Qualifier Description: Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. <u>Code Name</u> 01 Duns (Dun & Bradstreet) 09 X.121 (CCITT) 12 Phone (Telephone Companies) 14 Duns Plus Suffix ZZ Mutually Defined	M	ID	2/2	

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
ISA08	I07	Interchange Receiver ID 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.	M	AN	15/15	
ISA09	I08	Interchange Date Description: Date of the interchange.	M	DT	6/6	
ISA10	I09	Interchange Time Description: Time of the interchange.	M	TM	4/4	
ISA11	I10	Interchange Control Standards Identifier Description: Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer.	M	ID	1/1	
		<u>Code</u> <u>Name</u>				
		U U.S. EDI Community of ASC X12, TDCC, and UCS				
ISA12	I11	Interchange Control Version Number Description: This version number covers the interchange control segments.	M	ID	5/5	
		<u>Code</u> <u>Name</u>				
		00305 Draft Standards for Trial Use Approved for Publication by ASC X12 Procedures Review Board through December 1994				
ISA13	I12	Interchange Control Number Description: A control number assigned by the interchange sender	M	N0	9/9	
ISA14	I13	Acknowledgment Requested Description: Code sent by the sender to request an interchange acknowledgment (TA1) All valid standard codes are used.	M	ID	1/1	
ISA15	I14	Test Indicator Description: Code to indicate whether data enclosed by this interchange envelope is test or production. (Note: when testing with DSCR using the Mercator translator use "P" indicator).	M	ID	1/1	
		<u>Code</u> <u>Name</u>				
		P Production Data (See note above)				
ISA16	I15	Component Element Separator Description: 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	M	AN	1/1	

GS Functional Group Header

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

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

Semantics:

- 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.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
GS01	479	Functional Identifier Code Description: Code identifying a group of application related Transaction Sets. <u>Code Name</u> FA Functional Acknowledgement (997)	M	ID	2/2	Must use
GS02	142	Application Sender's Code Description: Code identifying party sending transmission. Codes agreed to by trading partners.	M	AN	2/15	Must use
GS03	124	Application Receiver's Code Description: Code identifying party receiving transmission. Codes agreed to by trading partners.	M	AN	2/15	Must use
GS04	373	Date Description: Date (YYMMDD).	M	DT	6/6	Must use
GS05	337	Time 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)	M	TM	4/8	Must use
GS06	28	Group Control Number Description: Assigned number originated and maintained by the sender.	M	N0	1/9	Must use
GS07	455	Responsible Agency Code Description: Code used in conjunction with Data Element 480 to identify the issuer of the standard. <u>Code Name</u> X Accredited Standards Committee X12	M	ID	1/2	Must use
GS08	480	Version / Release / Industry Identifier Code Description: Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments. <u>Code Name</u> 003050 Draft Standards Approved for Publication by ASC X12 Procedures Review Board through October 1994.	M	AN	1/12	Must use

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

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).

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
ST01	143	Transaction Set Identifier Code Description: Code uniquely identifying a Transaction Set. <u>Code Name</u> 997 X12.20 Functional Acknowledgement	M	ID	3/3	Must use
ST02	329	Transaction Set Control Number Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set <i>User Note 1:</i> A unique number assigned by the originator of the transaction set, or the originator's application program.	M	AN	4/9	Must use

AK1 Functional Group Response Header

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

To start acknowledgment of a functional group.

Semantics:

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.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK101	479	Functional Identifier Code Description: Code identifying a group of application related Transaction Sets. All valid standard codes are used.	M	ID	2/2	Must use
AK102	28	Group Control Number Description: Assigned number originated and maintained by the sender.	M	N0	1/9	Must use

AK2 Transaction Set Response Header

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

To start acknowledgment of a single 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.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK201	143	Transaction Set Identifier Code Description: Code uniquely identifying a Transaction Set. All valid standard codes are used.	M	ID	3/3	Must use
AK202	329	Transaction Set Control Number Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M	AN	4/9	Must use

AK3 Data Segment Note

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

To report errors in a data segment and to identify the location of the data segment.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK301	721	Segment ID Code Description: Code defining the segment ID of the data segment in error. See Appendix A - Number 77.	M	ID	2/3	Must use
AK302	719	Segment Position in Transaction Set Description: The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1.	M	N0	1/6	Must use
AK303	447	Loop Identifier Code Description: The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE	R	AN	1/4	Used
AK304	720	Segment Syntax Error Code Description: Code indicating error found based on the syntax editing of a segment All valid standard codes are used.	R	ID	1/3	Used

AK4 Data Element Note

Pos: 050	Max: 99
Heading - Optional	
Loop: AK3	Elements: 4

To report errors in a data element and to identify the location of the data element.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK401	C030	Position in Segment 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	M	Comp		Must use
	722	Element Position in Segment 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	M	N0	1/2	Must use
	1528	Component Data Element Position in Composite Description: To identify the component data element position within the composite that is in error	R	N0	1/2	Used
AK402	725	Data Element Reference Number Description: Reference number used to locate the data element in the Data Element Dictionary.	R	N0	1/4	Used
AK403	723	Data Element Syntax Error Code Description: Code indicating the error found after syntax edits of a data element. All valid standard codes are used.	M	ID	1/3	Must use
AK404	724	Copy of Bad Data Element Description: This is a copy of the data element in error.	R	AN	1/99	Used

AK5 Transaction Set Response Trailer

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

To acknowledge acceptance or rejection and to report errors in a transaction set.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK501	717	Transaction Set Acknowledgment Code Description: Code indicating accept or reject condition based on the syntax editing of the transaction set. All valid standard codes are used.	M	ID	1/1	Must use
AK502	718	Transaction Set Syntax Error Code Description: Code indicating error found based on the syntax editing of a transaction set. All valid standard codes are used.	R	ID	1/3	Used
AK503	718	Transaction Set Syntax Error Code Description: Code indicating error found based on the syntax editing of a transaction set. All valid standard codes are used.	R	ID	1/3	Used
AK504	718	Transaction Set Syntax Error Code Description: Code indicating error found based on the syntax editing of a transaction set. All valid standard codes are used.	R	ID	1/3	Used
AK505	718	Transaction Set Syntax Error Code Description: Code indicating error found based on the syntax editing of a transaction set. All valid standard codes are used.	R	ID	1/3	Used
AK506	718	Transaction Set Syntax Error Code Description: Code indicating error found based on the syntax editing of a transaction set. All valid standard codes are used.	R	ID	1/3	Used

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.

Comments:

1. If AK901 is 'A' or 'E', then the transmitted functional group is accepted. If AK901 is 'R', then the transmitted group is rejected.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
AK901	715	Functional Group Acknowledge Code Description: Code indicating accept or reject condition based on the syntax editing of the functional group. All valid standard codes are used.	M	ID	1/1	Must use
AK902	97	Number of Transaction Sets Included Description: Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element.	M	N0	1/6	Must use
AK903	123	Number of Received Transaction Sets Description: Number of Transaction Sets received.	M	N0	1/6	Must use
AK904	2	Number of Accepted Transaction Sets Description: Number of accepted Transaction Sets in a Functional Group.	M	N0	1/6	Must use
AK905	716	Functional Group Syntax Error Code Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid standard codes are used.	R	ID	1/3	Used
AK906	716	Functional Group Syntax Error Code Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid standard codes are used.	R	ID	1/3	Used
AK907	716	Functional Group Syntax Error Code Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid standard codes are used.	R	ID	1/3	Used
AK908	716	Functional Group Syntax Error Code Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid standard codes are used.	R	ID	1/3	Used
AK909	716	Functional Group Syntax Error Code Description: Code indicating error found based on the syntax editing of the functional group header and/or trailer. All valid standard codes are used.	R	ID	1/3	Used

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).

Comments:

- SE is the last segment of each transaction set.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
SE01	96	Number of Included Segments Description: Total number of segments included in a transaction set including ST and SE segments.	M	N0	1/10	Must use
SE02	329	Transaction Set Control Number Description: Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	M	AN	4/9	Must use

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

Semantics:

- The data interchange control number GE02 in this trailer must be identical to the same data element in the associated Functional 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.

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>	<u>Usage</u>
GE01	97	Number of Transaction Sets Included Description: Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element.	M	N0	1/6	Must use
GE02	28	Group Control Number Description: Assigned number originated and maintained by the sender.	M	N0	1/9	Must use

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:

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