



EDI IMPLEMENTATION GUIDE  
997 FUNCTIONAL ACKNOWLEDGEMENT  
ANSI X12 v4010



## Transaction Description

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<b>Transaction</b>	Functional Acknowledgement (Transaction Set 997), abbreviated "FA".
<b>Application</b>	The 997 set is based upon ANSI ASC X12 Version Release 004010. document.
<b>Mapping</b>	A list of the Functional Acknowledgement business data elements, and how they will be transmitted via EDI Standards is provided in the "Transaction Specifications.
<b>Exceptions</b>	There are no exceptions to ANSI Standards in this Transaction Description.
<b>Schedule</b>	The Functional Acknowledgement will be generated in response to incoming transaction sets generally within 12 hours of the receipt of the respective transactions.
<b>Back-Up Procedure</b>	In the event of a failure of Electronic Data Interchange it is the responsibility of the sending party to transmit the contents of any pending transmission to The receiving party using a method of non-EDI transmission, which is timely, reasonable, and appropriate under the circumstances.
<b>Business Purpose</b>	This transaction acknowledges receipt and syntactical correctness of the incoming transaction. SMI check every inbound document against the EDI standards used. All inbound documents must pass compliance before they can be processed.

# 997 Functional Acknowledgment

## Functional Group=FA

This transaction set will 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.

### Heading:

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>
010	ST	Transaction Set Header	M	1		N1/010
020	AK1	Functional Group Response Header	M	1		N1/020
<b>LOOP ID - AK2</b>					<b>999999</b>	
030	AK2	Transaction Set Response Header	O	1		N1/030
<b>LOOP ID - AK3</b>					<b>999999</b>	
040	AK3	Data Segment Note	O	1		
050	AK4	Data Element Note	O	99		
060	AK5	Transaction Set Response Trailer	M	1		
070	AK9	Functional Group Response Trailer	M	1		
080	SE	Transaction Set Trailer	M	1		

# 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:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>				
ST01	143	<b>Transaction Set Identifier Code</b> <b>Description:</b> Code uniquely identifying a Transaction Set	M	ID	3/3				
		<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>Code</u></th> <th style="text-align: left;"><u>Name</u></th> </tr> </thead> <tbody> <tr> <td>997</td> <td>Functional Acknowledgment</td> </tr> </tbody> </table>	<u>Code</u>	<u>Name</u>	997	Functional Acknowledgment			
<u>Code</u>	<u>Name</u>								
997	Functional Acknowledgment								
ST02	329	<b>Transaction Set Control Number</b> <b>Description:</b> 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				

# AK1 Functional Group Response Header

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

To start acknowledgment of a functional group

## Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>				
AK101	479	<b>Functional Identifier Code</b> <b>Description:</b> Code identifying a group of application related transaction sets	M	ID	2/2				
		<table border="1"> <thead> <tr> <th><u>Code</u></th> <th><u>Name</u></th> </tr> </thead> <tbody> <tr> <td>PS</td> <td>Planning Schedule with Release Capability (830)</td> </tr> </tbody> </table>	<u>Code</u>	<u>Name</u>	PS	Planning Schedule with Release Capability (830)			
<u>Code</u>	<u>Name</u>								
PS	Planning Schedule with Release Capability (830)								
AK102	28	<b>Group Control Number</b> <b>Description:</b> Assigned number from originated IC number from the sender	M	N0	1/9				

\*\*\* This is from the 830 sent to you \*\*\*

# 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:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>				
AK201	143	<b>Transaction Set Identifier Code</b> <b>Description:</b> Code uniquely identifying a Transaction Set	M	ID	3/3				
		<table border="0"> <thead> <tr> <th><u>Code</u></th> <th><u>Name</u></th> </tr> </thead> <tbody> <tr> <td>830</td> <td>Planning Schedule with Release Capability</td> </tr> </tbody> </table>	<u>Code</u>	<u>Name</u>	830	Planning Schedule with Release Capability			
<u>Code</u>	<u>Name</u>								
830	Planning Schedule with Release Capability								
AK202	329	<b>Transaction Set Control Number</b> <b>Description:</b> 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				

# 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:

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

# 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:

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

# 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:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
AK501	717	<b>Transaction Set Acknowledgment Code</b> <b>Description:</b> 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

# 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:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
AK901	715	<b>Functional Group Acknowledge Code</b> <b>Description:</b> 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
AK902	97	<b>Number of Transaction Sets Included</b> <b>Description:</b> 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
AK903	123	<b>Number of Received Transaction Sets</b> <b>Description:</b> Number of Transaction Sets received	M	N0	1/6
AK904	2	<b>Number of Accepted Transaction Sets</b> <b>Description:</b> Number of accepted Transaction Sets in a Functional Group	M	N0	1/6

**SE****Transaction Set Trailer**

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

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:**

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
SE01	96	<b>Number of Included Segments</b> <b>Description:</b> Total number of segments included in a transaction set including ST and SE segments	M	N0	1/10
SE02	329	<b>Transaction Set Control Number</b> <b>Description:</b> 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

Sample:

- 1 ST\*997\*0018~
- 2 AK1\*PS\*000000746~ ← from 830 Interchange reference number . . . . . : 000000746
- 3 AK2\*830\*7460001~ ← from 830 Document reference number . . . . . : 7460001
- 4 AK5\*A~ ← this can be (A,E,R)
- 5 AK9\*A\*1\*1\*1~
- 6 SE\*6\*0018~