DSW - 997
Designer Shoe Warehouse

X12/V4010/997: 997 Functional Acknowledgment

Version: 2.1 Final

Author:	**Brand Technology Services LLC, A DSW Company**
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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.

Not Defined:

Pos	Id	Segment Name	Req	Max Use	Repeat	Notes	Usage
	ISA	Interchange Control Header	M	1			Required
	GS	Functional Group Header	M	1			Required
010	ST	Transaction Set Header	M	1		N0/010	Required

Heading:

Pos	Id	Segment Name	Req	Max Use	Repeat	Notes	Usage
020	AK1	Functional Group Response Header	M	1		N1/020	Required
LOOP ID - AK2					**999999**	**N1/030L**	
030	AK2	Transaction Set Response Header	O	1		N1/030	Used
060	AK5	Transaction Set Response Trailer	M	1			Required
070	AK9	Functional Group Response Trailer	M	1			Required

Not Defined:

Pos	Id	Segment Name	Req	Max Use	Repeat	Notes	Usage
080	SE	Transaction Set Trailer	M	1			Required
	GE	Functional Group Trailer	M	1			Required
	IEA	Interchange Control Trailer	M	1			Required

Notes:

0/010   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.

1/030L   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.

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.

ISA   Interchange Control Header

Pos:	Max: 1
Not Defined - Mandatory	
Loop: N/A	Elements: 16

User Option (Usage): Required

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	Required

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

Code	Name
00	No Authorization Information Present (No Meaningful Information in I02)

ISA02	I02	**Authorization Information**	M	AN	10/10	Required

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)

ISA03	I03	**Security Information Qualifier**	M	ID	2/2	Required

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

Code	Name
00	No Security Information Present (No Meaningful Information in I04)

ISA04	I04	**Security Information**	M	AN	10/10	Required

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)

ISA05	I05	**Interchange ID Qualifier**	M	ID	2/2	Required

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)
ZZ	Mutually Defined

ISA06	I06	**Interchange Sender ID**	M	AN	15/15	Required

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	Required

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)
ZZ	Mutually Defined

ISA08	I07	**Interchange Receiver ID**	M	AN	15/15	Required

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	Required

Ref	Id	Element Name	Req	Type	Min/Max	Usage

Description: Date of the interchange

| ISA10 | I09 | **Interchange Time** | M | TM | 4/4 | Required |

Description: Time of the interchange

| ISA11 | I10 | **Interchange Control Standards Identifier** | M | ID | 1/1 | Required |

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 standard codes are used.

| ISA12 | I11 | **Interchange Control Version Number** | M | ID | 5/5 | Required |

Description: Code specifying the version number of 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 | Required |

Description: A control number assigned by the interchange sender

| ISA14 | I13 | **Acknowledgment Requested** | M | ID | 1/1 | Required |

Description: Code sent by the sender to request an interchange acknowledgment (TA1)

Code	**Name**
0	No Acknowledgment Requested

| ISA15 | I14 | **Usage Indicator** | M | ID | 1/1 | Required |

Description: Code to indicate whether data enclosed by this interchange envelope is test, production or information

Code	**Name**
P	Production Data
T	Test Data

| ISA16 | I15 | **Component Element Separator** | M | | 1/1 | Required |

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

<table>
<tr><td>Pos:</td><td>Max: 1</td></tr>
<tr><td colspan="2" align="center">Not Defined - Mandatory</td></tr>
<tr><td>Loop: N/A</td><td>Elements: 8</td></tr>
</table>

User Option (Usage): Required

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	Required

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	Required

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

| GS03 | 124 | **Application Receiver's Code** | M | AN | 2/15 | Required |

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

| GS04 | 373 | **Date** | M | DT | 8/8 | Required |

Description: Date expressed as CCYYMMDD

| GS05 | 337 | **Time** | M | TM | 4/8 | Required |

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 | Required |

Description: Assigned number originated and maintained by the sender

| GS07 | 455 | **Responsible Agency Code** | M | ID | 1/2 | Required |

Description: Code identifying the issuer of the standard; this code is used in conjunction with Data Element 480

Code	Name
X	Accredited Standards Committee X12

| GS08 | 480 | **Version / Release / Industry Identifier Code** | M | AN | 1/12 | Required |

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 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

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

Semantics:

1. GS04 is the group date.
2. GS05 is the group time.
3. 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:

1. 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.

ST   Transaction Set Header

Pos: 010	Max: 1
Not Defined - Mandatory	
Loop: N/A	Elements: 2

User Option (Usage): Required

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	Required

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	Required

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

The number is sequentially assigned by the sender.

Semantics:

1. 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).

AK1 Functional Group Response Header

User Option (Usage): Required

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	Required

Description: Code identifying a group of application related transaction sets

This is the functional group ID of the group that is being acknowledged, e.g., if a purchase order group is being acknowledged, the value would be PO; it is the value sent in GS01 for the original transmission.

Code	Name
PC	Purchase Order Change Request - Buyer Initiated (860)
PD	Product Activity Data (852)
PO	Purchase Order (850)

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

Description: Assigned number originated and maintained by the sender

This is the control number assigned to the group being acknowledged, e.g., this is the control number assigned by the sender of the original transmission. It is the value sent in GS06 for the original transmission.

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.

Example:

AK1*PO*393
AK1*PC*116
AK1*PD*216

Loop AK2

User Option (Usage): Used

To start acknowledgment of a single transaction set

Loop Summary:

Pos	Id	Segment Name	Req	Max Use	Repeat	Usage
030	AK2	Transaction Set Response Header	O	1		Used
060	AK5	Transaction Set Response Trailer	M	1		Required

Semantics:

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.

AK2 Transaction Set Response Header

<table>
<tr><td>Pos: 030</td><td>Max: 1</td></tr>
<tr><td colspan="2">Heading - Optional</td></tr>
<tr><td>Loop: AK2</td><td>Elements: 2</td></tr>
</table>

User Option (Usage): Used

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	Required

Description: Code uniquely identifying a Transaction Set

This is the transaction set ID of the transaction being acknowledged, e.g., if a purchase order is being acknowledged, the value would be 850; it is the value sent in ST01 for the original transmission.

Code	Name
850	Purchase Order
852	Product Activity Data
860	Purchase Order Change Request - Buyer Initiated

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

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

This is the control number assigned to the transaction set being acknowledged, e.g., this is the control number assigned by the sender of the original transmission. It is the value sent in ST02 for the original transmission.

Semantics:

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.

Example:

*AK2*850*150001*
*AK2*860*1160001*
*AK2*852*2998*

AK5   Transaction Set Response Trailer

<table>
<tr><td>Pos: 060</td><td>Max: 1</td></tr>
<tr><td colspan="2" align="center">Heading - Mandatory</td></tr>
<tr><td>Loop: AK2</td><td>Elements: 1</td></tr>
</table>

User Option (Usage): Required

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	Required

Description: Code indicating accept or reject condition based on the syntax editing of the transaction set

Code	Name
A	Accepted
E	Accepted But Errors Were Noted
R	Rejected

Example:

AK5*A
AK5*E
AK5*R

AK9 Functional Group Response Trailer

<table>
<tr><td>Pos: 070</td><td>Max: 1</td></tr>
<tr><td colspan="2">Heading - Mandatory</td></tr>
<tr><td>Loop: N/A</td><td>Elements: 4</td></tr>
</table>

User Option (Usage): Required

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	Required

Description: Code indicating accept or reject condition based on the syntax editing of the functional group

Code	Name
A	Accepted
E	Accepted, But Errors Were Noted.
P	Partially Accepted, At Least One Transaction Set Was Rejected
R	Rejected

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK902	97	**Number of Transaction Sets Included**	M	N0	1/6	Required

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
AK903	123	**Number of Received Transaction Sets**	M	N0	1/6	Required

Description: Number of Transaction Sets received

Ref	Id	Element Name	Req	Type	Min/Max	Usage
AK904	2	**Number of Accepted Transaction Sets**	M	N0	1/6	Required

Description: Number of accepted Transaction Sets in a Functional Group

Comments:

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

Example:

*AK9*A*25*25*25*
*AK9*E*25*25*25*

SE Transaction Set Trailer

User Option (Usage): Required

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	Required

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	Required

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

This must be the same number as is in the ST segment (ST02) for the transaction set.

Comments:

1. SE is the last segment of each transaction set.

GE Functional Group Trailer

Pos: **Max: 1**
Not Defined - Mandatory
Loop: N/A   **Elements: 2**

User Option (Usage): Required

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	Required

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	Required

Description: Assigned number originated and maintained by the sender

Semantics:

1. 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:

1. 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.

IEA   Interchange Control Trailer

Pos:	Max: 1
Not Defined - Mandatory	
Loop: N/A	**Elements: 2**

User Option (Usage): Required

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	Required
		Description: A count of the number of functional groups included in an interchange				
IEA02	I12	**Interchange Control Number**	M	N0	9/9	Required
		Description: A control number assigned by the interchange sender				