

997 Functional Acknowledgment

Functional Group ID=**FA**

Introduction:

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.

<u>Page No.</u>	<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>
3	010	ST	Transaction Set Header	M	1		n1
4	020	AK1	Functional Group Response Header	M	1		n2
						999999	
5	030	AK2	Transaction Set Response Header	O	1		n3
						999999	
6	040	AK3	Data Segment Note	O	1		c1
8	050	AK4	Data Element Note	O	99		
10	060	AK5	Transaction Set Response Trailer	M	1		
13	070	AK9	Functional Group Response Trailer	M	1		
16	080	SE	Transaction Set Trailer	M	1		

Transaction Set Notes

1. 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.

2. 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.
3. 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.

Segment: **ST** Transaction Set Header
Position: 010
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
<u>Des.</u>	<u>Element</u>		
ST01	143	Transaction Set Identifier Code	M ID 3/3
		Code uniquely identifying a Transaction Set	
		997 X12.20 Functional Acknowledgment	
ST02	329	Transaction Set Control Number	M AN 4/9
		Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	
		This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element SE02 329.	

Segment: **AK1** Functional Group Response Header
Position: 020
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To start acknowledgment of a functional group

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>
AK101	479		Functional Identifier Code	M ID 2/2
			Code identifying a group of application related transaction sets	
			MH Secondary Mortgage Market Investor Report (203)	
AK102	28		Group Control Number	M N0 1/9
			Assigned number originated and maintained by the sender	
			This control number is assigned by our translation software. This number is taken from the GS segment of the 203 being acknowledged.	

Segment: **AK2** Transaction Set Response Header
Position: 030
Loop: AK2
Level:
Usage: Optional
Max Use: 1
Purpose: To start acknowledgment of a single transaction set

Data Element Summary

Ref.	Data	Name	Attributes
Des.	Element		
AK201	143	Transaction Set Identifier Code	M ID 3/3
		Code uniquely identifying a Transaction Set	
		203 X12.340 Secondary Mortgage Market Investor Report	
AK202	329	Transaction Set Control Number	M AN 4/9
		Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	
		This control number is assigned by our translation software. This number is taken from the ST segment of the 203 being acknowledged.	

Segment: **AK3** Data Segment Note
Position: 040
Loop: AK3
Level:
Usage: Optional
Max Use: 1
Purpose: To report errors in a data segment and identify the location of the data segment

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
<u>Des.</u>	<u>Element</u>		
AK301	721	Segment ID Code	M ID 2/3
		Code defining the segment ID of the data segment in error (See Appendix A - Number 77)	
		This is the segment ID (e.g., BGN) of the segment that is in error.	
AK302	719	Segment Position in Transaction Set	M N0 1/6
		The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1	
AK303	447	Loop Identifier Code	O AN 1/4
		The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE	
AK304	720	Segment Syntax Error Code	O ID 1/3
		Code indicating error found based on the syntax editing of a segment	
		1	Unrecognized segment ID
		2	Unexpected segment
		3	Mandatory segment missing
		4	Loop Occurs Over Maximum Times
		5	Segment Exceeds Maximum Use
		6	Segment Not in Defined Transaction Set
		7	Segment Not in Proper Sequence

Segment: **AK4** Data Element Note
Position: 050
Loop: AK3
Level:
Usage: Optional
Max Use: 99
Purpose: To report errors in a data element and identify the location of the data element

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
<u>Des.</u>	<u>Element</u>		
AK401	C030	Position in Segment	M
		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	
AK402	725	Data Element Reference Number	O N0 1/4
		Reference number used to locate the data element in the Data Element Dictionary	
AK403	723	Data Element Syntax Error Code	M ID 1/3
		Code indicating the error found after syntax edits of a data element	
		1	Mandatory data element missing
		2	Conditional required data element missing.
		3	Too many data elements.
		4	Data element too short.
		5	Data element too long.
		6	Invalid character in data element.
		7	Invalid code value.
		8	Invalid Date

9 Invalid Time
10 Exclusion Condition Violated

Segment: **AK5** Transaction Set Response Trailer
Position: 060
Loop: AK2
Level:
Usage: Mandatory
Max Use: 1
Purpose: To acknowledge acceptance or rejection and report errors in a transaction set

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Attributes</u>
AK501	717	Transaction Set Acknowledgment Code	M ID 1/1
		Code indicating accept or reject condition based on the syntax editing of the transaction set	
		A Accepted	
		E Accepted But Errors Were Noted	
		R Rejected	
AK502	718	Transaction Set Syntax Error Code	O ID 1/3
		Code indicating error found based on the syntax editing of a transaction set	
		1 Transaction Set Not Supported	
		2 Transaction Set Trailer Missing	
		3 Transaction Set Control Number in Header and Trailer Do Not Match	
		4 Number of Included Segments Does Not Match Actual Count	
		5 One or More Segments in Error	
		6 Missing or Invalid Transaction Set Identifier	
		7 Missing or Invalid Transaction Set Control Number	
		23 Transaction Set Control Number Not Unique within the Functional Group	

AK503	718	Transaction Set Syntax Error Code	O ID 1/3
		Code indicating error found based on the syntax editing of a transaction set	
		1	Transaction Set Not Supported
		2	Transaction Set Trailer Missing
		3	Transaction Set Control Number in Header and Trailer Do Not Match
		4	Number of Included Segments Does Not Match Actual Count
		5	One or More Segments in Error
		6	Missing or Invalid Transaction Set Identifier
		7	Missing or Invalid Transaction Set Control Number
		23	Transaction Set Control Number Not Unique within the Functional Group

AK504	718	Transaction Set Syntax Error Code	O ID 1/3
		Code indicating error found based on the syntax editing of a transaction set	
		1	Transaction Set Not Supported
		2	Transaction Set Trailer Missing
		3	Transaction Set Control Number in Header and Trailer Do Not Match
		4	Number of Included Segments Does Not Match Actual Count
		5	One or More Segments in Error
		6	Missing or Invalid Transaction Set Identifier
		7	Missing or Invalid Transaction Set Control Number
		23	Transaction Set Control Number Not Unique within the Functional Group

AK505	718	Transaction Set Syntax Error Code	O ID 1/3
		Code indicating error found based on the syntax editing of a transaction set	
		1	Transaction Set Not Supported
		2	Transaction Set Trailer Missing

- 3 Transaction Set Control Number in Header and Trailer Do Not Match
- 4 Number of Included Segments Does Not Match Actual Count
- 5 One or More Segments in Error
- 6 Missing or Invalid Transaction Set Identifier
- 7 Missing or Invalid Transaction Set Control Number
- 23 Transaction Set Control Number Not Unique within the Functional Group

AK506 718 Transaction Set Syntax Error Code O ID 1/3

Code indicating error found based on the syntax editing of a transaction set

- 1 Transaction Set Not Supported
- 2 Transaction Set Trailer Missing
- 3 Transaction Set Control Number in Header and Trailer Do Not Match
- 4 Number of Included Segments Does Not Match Actual Count
- 5 One or More Segments in Error
- 6 Missing or Invalid Transaction Set Identifier
- 7 Missing or Invalid Transaction Set Control Number
- 23 Transaction Set Control Number Not Unique within the Functional Group

Segment: **AK9** Functional Group Response Trailer
Position: 070
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
Notes: If AK901 contains the value "A" or "E", then the transmitted functional group is accepted. If AK901 contains the value "R", then the transmitted group is rejected.

Data Element Summary

Ref.	Data	Attributes
Des.	Element Name	
AK901	715 Functional Group Acknowledge Code	M ID 1/1
	Code indicating accept or reject condition based on the syntax editing of the functional group	
	A Accepted	
	E Accepted, But Errors Were Noted.	
	P Partially Accepted, At Least One Transaction Set Was Rejected	
	R Rejected	
AK902	97 Number of Transaction Sets Included	M N0 1/6
	Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element	
AK903	123 Number of Received Transaction Sets	M N0 1/6
	Number of Transaction Sets received	
AK904	2 Number of Accepted Transaction Sets	M N0 1/6
	Number of accepted Transaction Sets in a Functional Group	
AK905	716 Functional Group Syntax Error Code	O ID 1/3

Code indicating error found based on the syntax editing of the functional group header and/or trailer

- 1 Functional Group Not Supported
- 2 Functional Group Version Not Supported
- 3 Functional Group Trailer Missing
- 4 Group Control Number in the Functional Group Header and Trailer Do Not Agree
- 5 Number of Included Transaction Sets Does Not Match Actual Count
- 6 Group Control Number Violates Syntax

AK906 716 Functional Group Syntax Error Code O ID 1/3

Code indicating error found based on the syntax editing of the functional group header and/or trailer

- 1 Functional Group Not Supported
- 2 Functional Group Version Not Supported
- 3 Functional Group Trailer Missing
- 4 Group Control Number in the Functional Group Header and Trailer Do Not Agree
- 5 Number of Included Transaction Sets Does Not Match Actual Count
- 6 Group Control Number Violates Syntax

AK907 716 Functional Group Syntax Error Code O ID 1/3

Code indicating error found based on the syntax editing of the functional group header and/or trailer

- 1 Functional Group Not Supported
- 2 Functional Group Version Not Supported
- 3 Functional Group Trailer Missing
- 4 Group Control Number in the Functional Group Header and Trailer Do Not Agree
- 5 Number of Included Transaction Sets Does Not Match Actual Count

		6	Group Control Number Violates Syntax	
AK908	716		Functional Group Syntax Error Code	O ID 1/3
			Code indicating error found based on the syntax editing of the functional group header and/or trailer	
		1	Functional Group Not Supported	
		2	Functional Group Version Not Supported	
		3	Functional Group Trailer Missing	
		4	Group Control Number in the Functional Group Header and Trailer Do Not Agree	
		5	Number of Included Transaction Sets Does Not Match Actual Count	
		6	Group Control Number Violates Syntax	
AK909	716		Functional Group Syntax Error Code	O ID 1/3
			Code indicating error found based on the syntax editing of the functional group header and/or trailer	
		1	Functional Group Not Supported	
		2	Functional Group Version Not Supported	
		3	Functional Group Trailer Missing	
		4	Group Control Number in the Functional Group Header and Trailer Do Not Agree	
		5	Number of Included Transaction Sets Does Not Match Actual Count	
		6	Group Control Number Violates Syntax	

Segment: **SE** Transaction Set Trailer
Position: 080
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)

Data Element Summary

Ref.	Data	Attributes
<u>Des.</u>	<u>Element</u> <u>Name</u>	<u>Attributes</u>
SE01	96 Number of Included Segments	M N0 1/10
	Total number of segments included in a transaction set including ST and SE segments	
SE02	329 Transaction Set Control Number	M AN 4/9
	Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	
	This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element ST02 329.	