



To: Electronic Data Interchange (EDI) Partners:

Following are our Utility Industry Group compliant EDI 997 version 4010 guidelines for your use in implementing EDI. Page 16 contains a sample 997 for your reference.

Should you have questions regarding EDI, contact Stephanie Poole at (404) 506-6556, or Cheri Moreno at (404) 506-6552. We look forward to helping you improve your business and meeting your energy needs.



EDI
Implementation Guideline
997
Functional Acknowledgement
Version 004010

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:

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

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
LOOP ID - AK2					999999	N1/030L
030	AK2	Transaction Set Response Header	O	1		N1/030

LOOP ID - AK3			999999		
040	AK3	Data Segment Note			
050	AK4	Data Element Note		99	
060	AK5			1	
070	AK9				
080	SE	Transaction Set Trailer	M	1	
			O	1	
			O		
		Transaction Set Response Trailer	M		N1/060
		Functional Group Response Trailer	M	1	N1/070

Not Defined:

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

Notes:

- 1/010 These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment. 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.
- 1/030L 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.
- 1/060 Codes for elements AK503, AK504, AK505 and AK506 are the same as for AK502.
- 1/070 Codes for elements AK906, AK907, AK908 and AK909 are the same as for AK905.

ISA Interchange Control Header

Pos:

Not Defined - 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>
ISA01	I01	Authorization Information Qualifier	M	ID	2/2
		<u>Code</u> <u>Name</u>			
		00 No Authorization Information Present (No Meaningful Information in I02)			
ISA02	I02	Authorization Information	M	AN	10/10
ISA03	I03	Security Information Qualifier	M	ID	2/2
		<u>Code</u> <u>Name</u>			
		00 No Security Information Present (No Meaningful Information in I04)			
ISA04	I04	Security Information	M	AN	10/10
ISA05	I05	Interchange ID Qualifier	M	ID	2/2
		<u>Code</u> <u>Name</u>			
		01 Duns (Dun & Bradstreet)			
		02 SCAC (Standard Carrier Alpha Code)			
		09 X.121 (CCITT)			
		12 Phone (Telephone Companies)			
		14 Duns Plus Suffix			
		16 Duns Number With 4-Character Suffix			
		17 American Bankers Association (ABA) Transit Routing Number (Including Check Digit, 9 Digit)			
		ZZ Mutually Defined			
ISA06	I06	Interchange Sender ID	M	AN	15/15
ISA07	I05	Interchange ID Qualifier	M	ID	2/2
		<u>Code</u> <u>Name</u>			
		01 Duns (Dun & Bradstreet)			
		02 SCAC (Standard Carrier Alpha Code)			
		09 X.121 (CCITT)			
		12 Phone (Telephone Companies)			
		14 Duns Plus Suffix			
		16 Duns Number With 4-Character Suffix			
		17 American Bankers Association (ABA) Transit Routing Number (Including Check Digit, 9 Digit)			

Max: 1

		ZZ	Mutually Defined			
ISA08	I07	Interchange Receiver ID		M	AN	15/15
ISA09	I08	Interchange Date		M	DT	6/6
ISA10	I09	Interchange Time		M	TM	4/4
ISA11	I65	Repetition Separator		M		1/1
ISA12	I11	Interchange Control Version Number		M	ID	5/5
		<u>Code</u>	<u>Name</u>			
		00401	Standards Approved for Publication by ASC X12 Procedures Review Board through October 1997			
ISA13	I12	Interchange Control Number		M	N0	9/9
ISA14	I13	Acknowledgment Requested		M	ID	1/1
		<u>Code</u>	<u>Name</u>			
		0	No Interchange Acknowledgment Requested			
		1	Interchange Acknowledgment Requested (TA1)			
ISA15	I14	Interchange Usage Indicator		M	ID	1/1
		<u>Code</u>	<u>Name</u>			
		P	Production Data			
		T	Test Data			
ISA16	I15	Component Element Separator		M		1/1

GS Functional Group Header

Pos:	Not Defined - Mandatory
Loop: N/A	Elements: 8

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

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
GS01	479	Functional Identifier Code	M	ID	2/2
		<u>Code</u>			
		FA			Functional Acknowledgment (997)
GS02	142	Application Sender's Code	M	AN	2/15
GS03	124	Application Receiver's Code	M	AN	2/15
GS04	373	Date	M	DT	8/8
GS05	337	Time	M	TM	4/8
GS06	28	Group Control Number	M	N0	1/9
GS07	455	Responsible Agency Code	M	ID	1/2
		<u>Code</u>			<u>Name</u>
		X			Accredited Standards Committee X12
GS08	480	Version / Release / Industry Identifier Code	M	AN	1/12
		<u>Code</u>			<u>Name</u>
		004010			Standards Approved for Publication by ASC X12 Procedures Review Board through October 1997

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

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	Transaction Set Identifier Code	M	ID	3/3
		<u>Code</u> <u>Name</u>			
		997 Functional Acknowledgment			
ST02	329	Transaction Set Control Number	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	Functional Identifier Code The Functional Identifier Code found in the GS segment (GS01) of the functional group being acknowledged	M	ID	2/2
AK102	28	Group Control Number The Group Control Number found in the GS segment (GS06) of the functional group being acknowledged	M	N0	1/9

AK2

Heading - Optional

Transaction Set Response Header

Pos: 030

Max: 1

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	Transaction Set Identifier Code The Transaction Set Identifier Code found in the STsegment (ST01) of the transaction being acknowledged	M	ID	3/3
AK202	329	Transaction Set Control Number The Transaction Set Control Number found in the ST segment (ST02) of the transaction being acknowledged	M	AN	4/9

AK3 Data Segment Note

Pos: 040

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	Segment ID Code Code defining the segment ID of the data segment in error	M	ID	2/3
AK302	719	Segment Position in Transaction Set 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	Loop Identifier Code 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	Segment Syntax Error Code	O	ID	1/3
		<u>Code</u> <u>Name</u>			
		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
- 8 Segment Has Data Element Errors

AK4 Data Element Note

Max: 1
Heading - Optional

Pos: 050

Max: 99

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	Position in Segment	M	Comp	
	722	Element Position in Segment	M	N0	1/2
	1528	Component Data Element Position in Composite	O	N0	1/2
AK402	725	Data Element Reference Number	O	N0	1/4
AK403	723	Data Element Syntax Error Code	M	ID	1/3
		<u>Code</u> <u>Name</u>			
		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

AK404 724 **Copy of Bad Data Element** O AN 1/99

Transaction Set Response Trailer

Pos: 060

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	Transaction Set Acknowledgment Code	M	ID	1/1
		<u>Code</u> <u>Name</u>			
		A Accepted			
		E Accepted But Errors Were Noted			
		R Rejected			
AK502	718	Transaction Set Syntax Error Code	O	ID	1/3
		<u>Code</u> <u>Name</u>			
		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			

			Max: 1		
			Heading - Mandatory		
AK503	718	Transaction Set Syntax Error Code	O	ID	1/3
AK504	718	Transaction Set Syntax Error Code	O	ID	1/3
AK505	718	Transaction Set Syntax Error Code	O	ID	1/3
AK506	718	Transaction Set Syntax Error Code	O	ID	1/3

AK9 Functional Group Response Trailer Pos: 070

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	Functional Group Acknowledge Code	M	ID	1/1
		<u>Code</u> <u>Name</u>			
		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
AK903	123	Number of Received Transaction Sets	M	N0	1/6
AK904	2	Number of Accepted Transaction Sets	M	N0	1/6
AK905	716	Functional Group Syntax Error Code	O	ID	1/3
		<u>Code</u> <u>Name</u>			
		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
AK907	716	Functional Group Syntax Error Code	O	ID	1/3
AK908	716	Functional Group Syntax Error Code	O	ID	1/3
AK909	716	Functional Group Syntax Error Code	O	ID	1/3

Comments:

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

SE Transaction Set Trailer

Pos: 080

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)

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
SE01	96	Number of Included Segments	M	N0	1/10
SE02	329	Transaction Set Control Number	M	AN	4/9

Comments:

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

GE Functional Group Trailer

Pos:

Not Defined - Mandatory

Loop: N/A

Elements: 2

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

Element Summary:

<u>Ref</u>	<u>Id</u>	<u>Element Name</u>	<u>Req</u>	<u>Type</u>	<u>Min/Max</u>
GE01	97	Number of Transaction Sets Included	M	N0	1/6
GE02	28	Group Control Number	M	N0	1/9

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: Not Defined - 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>
IEA01	16	Number of Included Functional Groups	M	N0	1/5
IEA02	12	Interchange Control Number	M	N0	9/9

SAMPLE 997 VERSION 4010 TRANSACTION

ISA*00* *00* *01*xxxxxxxx *01*xxxxxxxx *030814*0046*U*00401*000000557*0*P*~
GS*FA*xxxxxxxx*xxxxxxxx*20030814*0046*557*X*004010~
ST*997*0001~
AK1*IN*241~
AK2*810*0584~

AK5*A~
AK9*A*1*1*1~
SE*6*0001~
GE*1*557~
IEA*1*000000557~