



**Functional Acknowledgment Transaction Set (997)  
(4010 format)**

INTRODUCTION

The purpose of this standard is 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.

MAGNA uses this transaction set to inform the supplier that an incoming ASN (856) transaction set either adheres or does not adhere to the ANSI X12 standards in its control structures, segment and element order, and data formats. It does not provide any checks of the correctness of the data. This function is performed by the Application Advice Transaction Set (824).

Likewise, the supplier uses this transaction set to inform MAGNA whether the received 830, 862 is syntactically correct.

Normally, a 997 will be returned for every 856 sent to MAGNA. A supplier will not receive a 997, only when the data cannot be parsed due to an improper transaction set or corrupted data.

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Monterrey, Muncie, Muncie East, Ramos, and Lansing.

ANSI X12 VERSION/  
RELEASE 004010

**TABLE 1: DATA SEGMENT SEQUENCE FOR THE FUNCTIONAL ACKNOWLEDGMENT**

Seg. ID	Name	Req. Des.	Max. Use	Loop Repeat	MAGNA Use	Notes
ST	Transaction Set Header	M	1		YES	
AK1	Functional Group Response Header	M	1		YES	
AK2	Transaction Set Response Header	O	1	AK2/999999	YES	
AK3	Data Segment Note	O	1	AK3/999999	YES	
AK4	Data Element Note	O	99		YES	
AK5	Transaction Set Response Trailer	O	1		YES	
AK9	Functional Group Response	M	1		YES	
SE	Transaction Set Trailer	M	1		YES	

<b>SEGMENT:</b>	ST - Transaction Set Header
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/None
<b>PURPOSE:</b>	To indicate the start of a transaction set and to assign a control number.
<b>GENERAL INFORMATION:</b>	The transaction set control number (ST02) in this header must match the transaction set control number (SE02) in the transaction set trailer (SE). This segment is mandatory.
<b>EXAMPLE:</b>	ST*997*1001

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
ST01	143	Transaction Set ID	M ID 03/03	YES	Use '997'
ST02	329	Transaction Set Control Number	M AN 04/09	YES	A unique number assigned to each transaction set within a functional group, starting with 00001 and incrementing by 1 for each subsequent transaction set. This number must match SE02.

<b>SEGMENT:</b>	AK1 - Functional Group Response Header
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/None
<b>PURPOSE:</b>	To start acknowledgment of a functional group.
<b>GENERAL INFORMATION:</b>	Provides the identification of the transaction set, which the Functional Acknowledgment is responding to. Also contains a unique control number for reference to the particular Functional Acknowledgment transaction set.
<b>EXAMPLE:</b>	AK1*SH*31

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
AK101	479	Functional Identifier Code	M ID 02/02	YES	The specific value of GS01 of the functional group being acknowledged.
AK102	28	Data Interchange Control Number	M NO 01/09	YES	The specific value of GS06 of the functional group being acknowledged.

<b>SEGMENT:</b>	AK2 - Transaction Set Response Header
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/AK2/999999
<b>PURPOSE:</b>	To start acknowledgment of a single transaction set.
<b>GENERAL INFORMATION:</b>	Provides identification of the specific transaction set being responded to and echoes the control number of that transaction set.
<b>EXAMPLE:</b>	AK2*856*0025

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
AK201	143	Transaction Set Identifier Code	M ID 03/03	YES	The specific value of ST01 of the transaction set being acknowledged.
AK202	329	Transaction Set Control Number	M AN 04/09	YRD	The specific value of ST02 of transaction being acknowledged.

<b>SEGMENT :</b>	AK3 - Data Segment Note
<b>LEVEL :</b>	N/A
<b>MAX USAGE/LOOPS :</b>	1/AK3/999999/AK2
<b>PURPOSE :</b>	To report errors in a data segment and to identify the location of the data segment.
<b>GENERAL INFORMATION :</b>	Provides the location and error code of a data segment in the transaction set being responded to which did not pass syntactical checks during the translation process.
<b>EXAMPLE :</b>	AK3*GS*1

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
AK301	721	Segment ID Code	M ID 02/03	YES	ID of data segment in error.
AK302	719	Segment Position in Transaction Set	M NO 01/06	YES	Count position of data segment from start of transaction set.
AK303	447	Loop Identifier Code	O ID 01/04	YES	Loop within transaction set.
AK304	720	Segment Note Code	O ID 01/03	YES	Code indicating error found while processing transaction set.
AK305 : : AK308					
NOTE: AK305 through AK308 provide 4 additional occurrences of the Segment Note Code.					

<b>SEGMENT :</b>	AK4 - Data Element Note
<b>LEVEL :</b>	N/A
<b>MAX USAGE/LOOPS :</b>	99/AK3
<b>PURPOSE :</b>	To report errors in a data element and to identify the location of the data element in error.
<b>GENERAL INFORMATION :</b>	Provides location and identification of the data element within the data segment referred to by AK3.
<b>EXAMPLE :</b>	AK4*5*30*6*093X

<b>ELEM ID</b>	<b>#</b>	<b>ELEM NAME</b>	<b>AIAG/ MAGNA FEATURES</b>	<b>MAGNA USE</b>	<b>COMMENTS</b>
AK401	722	Element Position in Segment	M NO 01/02	YES	Relative position of data element in error within the data segment.
AK402	725	Data Element Reference Number	O NO 01/04	YES	Reference number used to locate the erroneous data element in the ANSI X12 Data Element Dictionary.
AK403	723	Data Element Syntax Error Code	M ID 01/03	YES	Code indicating the type of error found after syntax edits of a data element.
AK404	724	Copy of Bad Data Element	O AN 01/99	YES	Copy of the data element in error.

<b>SEGMENT:</b>	AK5 - Transaction Set Response Trailer
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/AK2
<b>PURPOSE:</b>	To acknowledge acceptance or rejection and to report errors in a transaction set.
<b>GENERAL INFORMATION:</b>	Provides information that MAGNA either accepted or rejected the incoming transaction set. Error codes are returned with the reasons for rejection.
<b>EXAMPLE:</b>	AK5*R*5

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
AK501	717	Set Acknowledge Code Segment	M ID 01/01	YES	Indicates accepted or rejected. "A" = Accepted "R" = Rejected "E" = Accepted, but errors are noted
AK502	718	Transaction Set Note Code	O ID 01/03	YES	Code indicating error found in processing.
AK503 : : AK506					
NOTE: AK503 through AK506 provide 4 additional occurrences of the Transaction Set Note Code.					

<b>SEGMENT:</b>	AK9 - Functional Group Response Trailer
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/None
<b>PURPOSE:</b>	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.
<b>GENERAL INFORMATION:</b>	Provides information that MAGNA either accepted or rejected the incoming functional group. Error codes are returned with the reasons for rejection.
<b>EXAMPLE:</b>	AK9*A*5*5*5

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
AK901	715	Group Acknowledge Code	M ID 01/01	YES	Indicates full or partial functional group is accepted or rejected. "A" = Accepted "R" = Rejected "E" = Accepted, but errors are noted
AK902	97	Number of Transaction Sets Included	M NO 01/06	YES	Total number of Transaction Sets (value of GE01) received in the functional group.
AK903	123	Number of Received Transaction Sets	M NO 01/06	YES	MAGNA's count of transaction sets received within a functional group.
AK904	2	Number of Accepted Transaction Set	M NO 01/06	YES	Number of transaction sets accepted within a functional group.
AK905	716	Functional Group Note Code	O ID 01/03 O ID 01/01	YES	MAGNA use: "2" = Functional Group Version Not Supported.
AK906 : : AK909					
NOTE: AK906 through AK909 provide 4 additional occurrences of the Functional Group Note Code.					

<b>SEGMENT:</b>	SE - Transaction Set Trailer
<b>LEVEL:</b>	N/A
<b>MAX USAGE/LOOPS:</b>	1/None
<b>PURPOSE:</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.
<b>GENERAL INFORMATION:</b>	The transaction set control number in this trailer must match the same element value in the transaction set header (SE02).
<b>EXAMPLE:</b>	SE*51*000010001

ELEM ID	#	ELEM NAME	AIAG/ MAGNA FEATURES	MAGNA USE	COMMENTS
SE01	96	Number of Included Segments	M NO 01/10	YES	The count of all segments in this transaction set.
SE02	329	Transaction Set Control Number	M AN 04/09	YES	Same as "ST02".