



*IMPLEMENTATION GUIDELINES FOR ANSI ASC X12 EDI CONVENTIONS
FUNCTIONAL ACKNOWLEDGMENT (997) TRANSACTION SET*

*FCA US
INFORMATION & COMMUNICATION TECHNOLOGY MANAGEMENT*

*ANSI ASC X12
VERSION/RELEASE 002040*

FCA US - Functional Acknowledgment

997 Functional Acknowledgment

Functional Group ID=FA

Introduction:

This standard provides the format and establishes the data contents of a functional acknowledgment transaction set. 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.

Notes:

FCA US uses this transaction set to inform the trading partner that various inbound transaction sets (i.e. ASN 856, STARS 214, CAP 810 Invoice) either adheres or does not adhere to the X12 standards in its control structures, segment and element order, and data formats. It does not provide results of FCA US system edits.

The results of FCA US system edits for certain transactions are provided in response transactions such as the Application Advice (824) or Purchase Order Acknowledgment (855).

For the STARS 214, the AK3 loop will not be used.

Notes about the new format of this implementation guide:

1. The requirements contained herein have not changed, with the exception of anything that may appear in the History of Changes section below.
2. The term 'Base Status' refers to the requirements as defined by the ASC X12 Standards Organization.
3. The terms 'User Status' and 'User Attributes' refer to FCA US requirements.
4. The data segment sequence tables for each table will now be presented at the beginning.
5. Segment Syntax and Semantic notes as defined by ASC X12 will now be included where in the 'old' format they were not.
6. Element Description as defined by ASC X12 will now be included where in the 'old' format they were not.
7. Many comments that relate to a particular element or code value will now appear underneath the element or code value description, where previously the comments would appear to the right.

History of Change:

See Appendix A - History of Change

Heading:

<u>Page No.</u>	<u>Pos. No.</u>	<u>Seg. ID</u>	<u>Name</u>	<u>Base Guide</u>	<u>User Status</u>	<u>Max.Use</u>	<u>Loop Repeat</u>	<u>Notes and Comments</u>
3	010	ST	Transaction Set Header	M	M	1		
4	020	AK1	Functional Group Response Header	M	M	1		
			LOOP ID - AK2				999999	
5	030	AK2	Transaction Set Response Header	O		1		

FCA US - Functional Acknowledgment

LOOP ID - AK3			999999			
6	040	AK3	Data Segment Note	O	1	
8	050	AK4	Data Element Note	O	99	
9	060	AK5	Transaction Set Response Trailer	M	M	1
11	070	AK9	Functional Group Response Trailer	M	M	1
13	080	SE	Transaction Set Trailer	M	M	1

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Segment: **ST** Transaction Set Header
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number
Syntax Notes:
Semantic Notes:
Comments: 1 The transaction set identifier (ST01) is intended for use by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the invoice transaction set).
Business Rules: Variable Name: STST
Notes: *Example:*
ST~997~1001

Data Element Summary

<u>Ref.</u>	<u>Data</u>		<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
ST01	143	Transaction Set Identifier Code	M ID 3/3	M
		Code uniquely identifying a Transaction Set		
		<i>997 X12.20 Functional Acknowledgment</i>		
ST02	329	Transaction Set Control Number	M AN 4/9	M
		Identifying control number assigned by the originator for a transaction set.		

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Segment: **AK1** Functional Group Response Header
Position: 020
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To start acknowledgment of a functional group
Syntax Notes:
Semantic Notes:
Comments: 1 AK102 is the data interchange control number found in the GS segment in the functional group being acknowledged.
Notes: *Provides the identification of the transaction set which the Functional Acknowledgement is responding to. Also contains a unique control number for reference to the particular Functional Acknowledgement transaction set.*

Example:
AK1~SH~31

Data Element Summary

<u>Ref.</u>	<u>Data</u>		<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
AK101	479	Functional Identifier Code	M ID 2/2	M
		Code identifying a group of application related transaction sets <i>The specific value of GS01 of the functional group being acknowledged.</i>		
AK102	28	Group Control Number	M N0 1/9	M
		Assigned number originated and maintained by the sender <i>The specific value of GS06 of the functional group being acknowledged.</i>		

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Segment: **AK2** Transaction Set Response Header
Position: 030
Loop: AK2 Optional
Level: Heading
Usage: Optional
Max Use: 1
Purpose: To start acknowledgment of a single transaction set
Syntax Notes:
Semantic Notes:
Comments: 1 AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.
Notes: *Provides indentification of the specific transaction set being responded to and echoes the control number of that transaction set.*

Examples:

AK2~856~0025

AK2~810~0055

Data Element Summary

<u>Ref.</u>	<u>Data</u>		<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
AK201	143	Transaction Set Identifier Code	M ID 3/3	M
		Code uniquely identifying a Transaction Set		
		<i>The specific value of ST01 of the transaction set being acknowledged.</i>		
		210 <i>Freight Details and Invoice (Motor)</i>		
		214 <i>Shipment Status Message (Motor)</i>		
		810 <i>X12.2 Invoice</i>		
		856 <i>X12.10 Ship Notice/Manifest</i>		
		858 <i>X12.18 Shipment Information</i>		
AK202	329	Transaction Set Control Number	M AN 4/9	M
		Identifying control number assigned by the originator for a transaction set.		
		<i>The specific value of ST02 of transaction being acknowledged.</i>		

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

For the STARS 214 application, AK3 and AK4 will not be sent.

*Example:
AK3~GS~1*

Data Element Summary

Ref.	Data		Base	User
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
AK301	721	Segment ID Code	M ID 2/3	M
		Code defining the segment ID of the data segment in error. See Segment Directory. <i>ID of data segment in error.</i>		
AK302	719	Segment Position in Transaction Set	M N0 1/6	M
		The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1 <i>Count position of data segment from start of transaction set.</i>		
AK303	447	Loop Identifier Code	O ID 1/4	
		Code identifying a loop within the transaction set which is bounded by the related LS and LE segments (corresponding LS and LE segments must have the same value for loop identifier). (Note: The loop ID number given on the transaction set diagram is recommended as the value for this data element in segments LS and LE.) <i>Loop within transaction set</i>		
AK304	720	Segment Syntax Error Code	O ID 1/3	
		Code indicating error found based on the syntax editing of a segment <i>Code indicating error found while processing transaction set.</i>		
		1	<i>Unrecognized segment ID</i>	
		2	<i>Unexpected segment</i>	
		3	<i>Mandatory segment missing</i>	
		4	<i>Loop Occurs Over Maximum Times</i>	
		5	<i>Segment Exceeds Maximum Use</i>	
		6	<i>Segment Not in Defined Transaction Set</i>	

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		<i>7</i>	<i>Segment Not in Proper Sequence</i>		
AK305	720	Segment Syntax Error Code	O ID 1/3	Not Used	
AK306	720	Segment Syntax Error Code	O ID 1/3	Not Used	
AK307	720	Segment Syntax Error Code	O ID 1/3	Not Used	
AK308	720	Segment Syntax Error Code	O ID 1/3	Not Used	

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Segment: **AK4** Data Element Note
Position: 050
Loop: AK3 Optional
Level: Heading
Usage: Optional
Max Use: 99
Purpose: To report errors in a data element and identify the location of the data element
Syntax Notes:
Semantic Notes:
Comments:
Notes: *Provides location and identification of the data element within the data segment referred to by AK3.*

Example:
 AK4~5~30~6~093X

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>		<u>Attributes</u>	<u>Attributes</u>
AK401	722	Element Position in Segment	M N0 1/2	M
		This is used to indicate the relative position of the data element in error in this data segment. The count starts with 1 for the data element immediately following the segment ID. This value is 0 for an error in the segment ID. <i>Relative position of data element in error within the data segment.</i>		
AK402	725	Data Element Reference Number	O N0 1/4	
		Reference number used to locate the Data Element Dictionary. <i>Reference number used to locate the erroneous data element in the ANSI X12 Data Element Dictionary.</i>		
AK403	723	Data Element Syntax Error Code	M ID 1/3	M
		Code indicating the error found after syntax edits of a data element <i>Code indicating the type of error found after syntax edits of a data element.</i>		
		1	<i>Mandatory data element missing</i>	
		2	<i>Conditional required data element missing.</i>	
		3	<i>Too many data elements.</i>	
		4	<i>Data element too short.</i>	
		5	<i>Data element too long.</i>	
		6	<i>Invalid character in data element.</i>	
		7	<i>Invalid code value.</i>	
		8	<i>Invalid Date</i>	
		9	<i>Invalid Time</i>	
AK404	724	Copy of Bad Data Element	O AN 1/99	
		This is a copy of the data element in error <i>Copy of the data element in error.</i>		

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Segment: **AK5** Transaction Set Response Trailer
Position: 060
Loop: AK2 Optional
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To acknowledge acceptance or rejection and report errors in a transaction set
Syntax Notes:
Semantic Notes:
Comments:
Notes: *Provides information that FCA US either accepted or rejected the incoming transaction set. Error codes are returned with the reasons for rejection.*

Example:
 AK5~R~5

Data Element Summary

<u>Ref.</u>	<u>Data</u>	<u>Name</u>	<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>		<u>Attributes</u>	<u>Attributes</u>
AK501	717	Transaction Set Acknowledgment Code	M ID 1/1	M
		Code indicating accept or reject condition based on the syntax editing of the transaction set		
		<i>A Accepted</i>		
		<i>E Accepted But Errors Were Noted</i>		
		<i>R Rejected</i>		
AK502	718	Transaction Set Syntax Error Code	O ID 1/3	
		Code indicating error found based on the syntax editing of a transaction set		
		<i>Code indicating error found in processing.</i>		
		<i>1 Transaction Set Not Supported</i>		
		<i>2 Transaction Set Trailer Missing</i>		
		<i>3 Transaction Set Control Number in Header and Trailer Do Not Match</i>		
		<i>4 Number of Included Segments Does Not Match Actual Count</i>		
		<i>5 One or More Segments in Error</i>		
		<i>6 Missing or Invalid Transaction Set Identifier</i>		
		<i>7 Missing or Invalid Transaction Set Control Number</i>		
AK503	718	Transaction Set Syntax Error Code	O ID 1/3	Not Used
AK504	718	Transaction Set Syntax Error Code	O ID 1/3	Not Used
AK505	718	Transaction Set Syntax Error Code	O ID 1/3	Not Used
AK506	718	Transaction Set Syntax Error Code	O ID 1/3	Not

FCA US - Functional Acknowledgment

Used

FCA US - Functional Acknowledgment

Segment: **AK9** Functional Group Response Trailer
Position: 070
Loop:
Level: Heading
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

Syntax Notes:

Semantic Notes:

Comments: 1 If AK901 is 'A' or 'E', then the transmitted functional group is accepted. If AK901 is 'R', then the transmitted group is rejected.

Notes: *Provides information that FCA US either accepted or rejected the incoming functional group. Error codes are returned with the reasons for rejection.*

Example:

AK9~A~5~5~5

Data Element Summary

Ref.	Data		Base	User
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
AK901	715	Functional Group Acknowledge Code	M ID 1/1	M
		Code indicating accept or reject condition based on the syntax editing of the functional group		
		<i>A Accepted</i>		
		<i>E Accepted, But Errors Were Noted.</i>		
		<i>P Partially Accepted, At Least One Transaction Set Was Rejected</i>		
		<i>R Rejected</i>		
AK902	97	Number of Transaction Sets Included	M N0 1/6	M
		Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element		
		<i>Total number of Transaction Sets (value of GE01) received in the functional group.</i>		
AK903	123	Number of Received Transaction Sets	M N0 1/6	M
		Number of Transaction Sets received		
		<i>FCA US' count of transaction sets received within a functional group.</i>		
AK904	2	Number of Accepted Transaction Sets	M N0 1/6	M
		Number of accepted Transaction Sets in a Functional Group		
		<i>Number of transaction sets accepted within a functional group.</i>		
AK905	716	Functional Group Syntax Error Code	O ID 1/3	ID 1/1
		Code indicating error found based on the syntax editing of the functional group header and/or trailer		
		<i>1 Functional Group Not Supported</i>		
		<i>2 Functional Group Version Not Supported</i>		

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- 3** ***Functional Group Trailer Missing***
- 4** ***Data Interchange Control Number in the Functional Group Header and Trailer Do Not Agree***
- 5** ***Number of Included Transaction Sets Does Not Match Actual Count***

AK906	716	Functional Group Syntax Error Code	O ID 1/3	Not Used
AK907	716	Functional Group Syntax Error Code	O ID 1/3	Not Used
AK908	716	Functional Group Syntax Error Code	O ID 1/3	Not Used
AK909	716	Functional Group Syntax Error Code	O ID 1/3	Not Used

FCA US - Functional Acknowledgment

Segment: **SE** Transaction Set Trailer
Position: 080
Loop:
Level: Heading
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).

Syntax Notes:

Semantic Notes:

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

Notes: *Example:*
SE~51~00001

Data Element Summary

<u>Ref.</u>	<u>Data</u>		<u>Base</u>	<u>User</u>
<u>Des.</u>	<u>Element</u>	<u>Name</u>	<u>Attributes</u>	<u>Attributes</u>
SE01	96	Number of Included Segments	M N0 1/6	M
		Total number of segments included in a transaction set including ST and SE segments <i>The count of all segments in this transaction set.</i>		
SE02	329	Transaction Set Control Number	M AN 4/9	M
		Identifying control number assigned by the originator for a transaction set.		

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Example 1: No Syntax Errors

<u>EDI Format</u>	<u>Interpretation</u>
ST~997~0001	Transaction Set Identifier Code = "997"(X12.20 Functional Acknowledgment) Transaction Set Control Number = 0001
AK1~SH~1018	Functional Identifier Code = "SH" (Ship Notice/Manifest <856>) Group Control Number = 1018
AK2~856~000500000	Transaction Set Identifier Code = "856" (X12.10 Ship Notice/Manifest) Transaction Set Control Number = 000500000
AK5~A	Transaction Set Acknowledgment Code = "A" (Accepted)
AK9~A~1~1~1	Functional Group Acknowledge Code = "A" (Accepted) Number of Transaction Sets Included = 1 Number of Received Transaction Sets = 1 Number of Accepted Transaction Sets = 1
SE~6~0001	Number of Included Segments = 6 Transaction Set Control Number = 0001

FCA US – Functional Acknowledgment

Example 2: Syntax Errors Detected - Transaction Set Rejected

<u>EDI Format</u>	<u>Interpretation</u>
ST~997~0002	Transaction Set Identifier Code = "997"(X12.20 Functional Acknowledgment) Transaction Set Control Number = 0002
AK1~SH~1020	Functional Identifier Code = "SH" (Ship Notice/Manifest <856>) Group Control Number = 1020
AK2~856~000500000	Transaction Set Identifier Code = "856" (X12.10 Ship Notice/Manifest) Transaction Set Control Number = 000500000
AK3~N1~12~120	Segment ID Code = N1 Segment Position in Transaction Set = 12 Loop Identifier Code = 120
AK4~3~66~2~04025	Element Position in Segment = 3 Data Element Reference Number = 66 Data Element Syntax Error Code = "2" (Conditional required data element missing.) Copy of Bad Data Element = 04025
AK4~4~66~5	Element Position in Segment = 4 Data Element Reference Number = 66 Data Element Syntax Error Code = "5" (Data element too long.)
AK3~PRF~1~100	Segment ID Code = PRF Segment Position in Transaction Set = 1 Loop Identifier Code = 100
AK4~1~324~1	Element Position in Segment = 1 Data Element Reference Number = 324 Data Element Syntax Error Code = "1" (Mandatory data element missing)
AK5~R~5	Transaction Set Acknowledgment Code = "R" (Rejected) Transaction Set Syntax Error Code = "5" (One or More Segments in Error)
AK9~R~1~1~0	Functional Group Acknowledge Code = "R" (Rejected) Number of Transaction Sets Included = 1 Number of Received Transaction Sets = 1 Number of Accepted Transaction Sets = 0
SE~11~0002	Number of Included Segments = 11 Transaction Set Control Number = 0002

FCA US – Functional Acknowledgment

Example 3: STARS 997 - Transaction Set Rejected

<u>EDI Format</u>	<u>Interpretation</u>
ST~997~0003	Transaction Set Identifier Code = "997"(X12.20 Functional Acknowledgment) Transaction Set Control Number = 0003
AK1~QM~254572	Functional Identifier Code = "QM" (Shipment Status Message <214>) Group Control Number = 254572
AK2~214~93146	Transaction Set Identifier Code = "214" (Shipment Status Message <Motor>) Transaction Set Control Number = 93146
AK5~R~5	Transaction Set Acknowledgment Code = "R" (Rejected) Transaction Set Syntax Error Code = "5" (One or More Segments in Error)
AK9~R~1~1~0	Functional Group Acknowledge Code = "R" (Rejected) Number of Transaction Sets Included = 1 Number of Received Transaction Sets = 1 Number of Accepted Transaction Sets = 0
SE~6~0003	Number of Included Segments = 6 Transaction Set Control Number = 0003

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Appendix A – History of Change:

03/16/2023:

Updated Logo to Stellantis

Moved History of Change to Appendix A

Added Appendix B – Returned Envelope Version

04/24/2015:

Name Change To FCA US

10/08/2010:

Name change from Chrysler LLC to Chrysler

Updated Address

11/28/2007:

Transition to Chrysler LLC with removal of references to Daimler

12/11/2006:

New format

FCA US – Functional Acknowledgment Returned

Appendix B – Returned Envelope Version

All 997's will be returned in the version that FCA US received in the original documents GS segment (The only exception is for the CHASE 856).

For example: 210

into FCA US:

GS*IM*80355*01210*20191129*190200*287130001*X*004010~ 997

out to the supplier:

GS*FA*01210*80355*20191204*1650*248379*X*004010~

FCA US is providing this 997 guide as a generic starting point.