

# Rite Aid Corporation

## 997 Functional Acknowledgment

### Version 005010

Functional Group ID=**FA**

#### Introduction:

This X12 Transaction Set 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>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> |
|---|-----------------|----------------|-----------------------------------|------------------|----------------|--------------------|---------------------------|
| M | 0100            | ST             | Transaction Set Header            | M                | 1              |                    | n1                        |
| M | 0200            | AK1            | Functional Group Response Header  | M                | 1              |                    | n2                        |
|   |                 |                | LOOP ID - AK2                     |                  |                | >1                 |                           |
| M | 0300            | AK2            | Transaction Set Response Header   | M                | 1              |                    | n3                        |
|   |                 |                | LOOP ID - AK3                     |                  |                | >1                 |                           |
| M | 0400            | AK3            | Data Segment Note                 | M                | 1              |                    | c1                        |
| M | 0500            | AK4            | Data Element Note                 | M                | 99             |                    |                           |
| M | 0600            | AK5            | Transaction Set Response Trailer  | M                | 1              |                    |                           |
| M | 0700            | AK9            | Functional Group Response Trailer | M                | 1              |                    |                           |
| M | 0800            | SE             | Transaction Set Trailer           | M                | 1              |                    |                           |

#### Transaction Set Notes

- 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.  
There is only one Functional Acknowledgment Transaction Set per acknowledged functional group. Only one acknowledgement, either a single Transaction Set 997 or a single Transaction Set 999, should be generated for a functional group unless mutually agreed upon.
- AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged. The Functional Acknowledgment is generated at the point of translation, intended for the originator (not any intermediate parties).  
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.
- AK2 is used to start the acknowledgment 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.

#### Transaction Set Comments

- The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards or proper subsets of transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

**Segment:** **ST** Transaction Set Header  
**Position:** 0100  
**Loop:**  
**Level:**  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the start of a transaction set and to assign a control number

**Syntax Notes:**

**Business Rules:** Variable Name: STST

**Data Element Summary**

| Ref. | Data Element | Name   | Attributes |
|------|--------------|--|------------|
| M    | ST01         | 143 Transaction Set Identifier Code<br>Code uniquely identifying a Transaction Set<br>997 Functional Acknowledgment  | M 1 ID 3/3 |
| M    | ST02         | 329 Transaction Set Control Number<br>Identifying control number that must be unique within the transaction set<br>functional group assigned by the originator for a transaction set | M 1 AN 4/9 |

**Segment:** **AK1** Functional Group Response Header

**Position:** 0200  
**Loop:**  
**Level:**  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To start acknowledgment of a functional group

**Syntax Notes:**

**Notes:**

AK1\*PO\*000000001~  
AK1\*SH\*25728.

**Data Element Summary**

| Ref. | Data Element | Name  | Attributes  |
|------|--------------|---|-------------|
| M    | AK101        | 479 Functional Identifier Code<br>Code identifying a group of application related transaction sets  | M 1 ID 2/2  |
| M    | AK102        | 28 Group Control Number<br>Assigned number originated and maintained by the sender  | M 1 N0 1/9  |
| M    | AK103        | 480 Version / Release / Industry Identifier Code<br>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<br>005010 Standards Approved for Publication by ASC X12<br>Procedures Review Board through October 2003 | M 1 AN 1/12 |

Segment: **AK2** Transaction Set Response Header

**Position:** 0300  
**Loop:** AK2 Mandatory  
**Level:**  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To start acknowledgment of a single transaction set  
**Syntax Notes:**  
**Notes:**

AK2\*850\*0009~  
 AK2\*856\*0001~

**Data Element Summary**

|   | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | AK201            | 143                 | <b>Transaction Set Identifier Code</b><br>Code uniquely identifying a Transaction Set  | M 1 ID 3/3        |
| M | AK202            | 329                 | <b>Transaction Set Control Number</b><br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M 1 AN 4/9        |

Segment: **AK3** Data Segment Note

**Position:** 0400  
**Loop:** AK3 Mandatory  
**Level:**  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To report errors in a data segment and identify the location of the data segment  
**Syntax Notes:**  
**Notes:**

AK3\*PER\*6\*\*2~  
 AK3\*FOB\*7\*\*2~  
 AK3\*ITD\*8\*\*2~

**Data Element Summary**

|   | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | AK301            | 721                 | <b>Segment ID Code</b><br>Code defining the segment ID of the data segment in error (See Appendix A - Number 77)  | M 1 ID 2/3        |
| M | AK302            | 719                 | <b>Segment Position in Transaction Set</b><br>The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1 | M 1 N0 1/10       |
|   | AK303            | 447                 | <b>Loop Identifier Code</b><br>The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE                                       | O 1 AN 1/4        |
| M | AK304            | 720                 | <b>Segment Syntax Error Code</b><br>Code indicating error found based on the syntax editing of a segment  | M 1 ID 1/3        |
|   |                  | 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   |                   |

Segment: **AK4** Data Element Note

**Position:** 0500  
**Loop:** AK3 Mandatory  
**Usage:** Mandatory  
**Max Use:** 99  
**Purpose:** To report errors in a data element or composite data structure and identify the location of the data element

**Syntax Notes:**

**Notes:** AK4\*6\*187\*2\*1.  
 AK4\*2\*66\*2\*BadData.

**Data Element Summary**

|   | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | AK401            | C030                | <b>Position in Segment</b><br>Code indicating the relative position of the simple data element or composite data structure in error within a segment, count beginning with 1 for the position immediately following the segment ID; additionally indicating the relative position of a repeating structure in error, count beginning with 1 for the position immediately following the preceding element separator; additionally indicating the relative position of a component of a composite data structure in error, count beginning with 1 for the position following the preceding element or repetition separator | M 1               |
| M | C03001           | 722                 | <b>Element Position in Segment</b><br>This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID  | M N0 1/2          |
|   | C03002           | 1528                | <b>Component Data Element Position in Composite</b><br>To identify the component data element position within the composite that is in error   | O N0 1/2          |
|   | C03003           | 1686                | <b>Repeating Data Element Position</b><br>To identify the specific repetition of a data element that is in error   | O N0 1/4          |
|   | AK402            | 725                 | <b>Data Element Reference Number</b><br>Reference number used to locate the data element in the Data Element Dictionary  | O 1 N0 1/4        |
| M | AK403            | 723                 | <b>Data Element Syntax Error Code</b><br>Code indicating the error found after syntax edits of a data element  | M 1 ID 1/3        |
|   |                  | 1                   | Mandatory data element missing   |                   |
|   |                  | 2                   | Conditional required data element missing.   |                   |
|   |                  | 3                   | Too many data elements.<br>More data elements existed than defined for the segment   |                   |
|   |                  | 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   |                   |
|   |                  | 12                  | Too Many Repetitions<br>More repetitions existed than defined for the segment  |                   |
|   |                  | 13                  | Too Many Components<br>More components existed than defined for the element  |                   |
| M | AK404            | 724                 | <b>Copy of Bad Data Element</b><br>This is a copy of the data element in error   | M 1 AN 1/99       |

**Segment:** **AK5** Transaction Set Response Trailer  
**Position:** 0600  
**Loop:** AK2 Mandatory  
**Level:**  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To acknowledge acceptance or rejection and report errors in a transaction set  
**Syntax Notes:**  
**Notes:**

AK5\*A~  
AK5\*E~  
AK5\*R~

**Data Element Summary**

| Ref. | Data Element | Name  | Attributes |
|------|--------------|---|------------|
| M    | AK501        | 717 Transaction Set Acknowledgment Code   | M 1 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  |            |
|      |              | M Rejected, Message Authentication Code (MAC) Failed  |            |
|      |              | R Rejected  |            |
|      |              | W Rejected, Assurance Failed Validity Tests   |            |
|      |              | X Rejected, Content After Decryption Could Not Be Analyzed                                    |            |

**Segment:** **AK9** Functional Group Response Trailer  
**Position:** 0700  
**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

**Syntax Notes:**  
**Notes:**

AK9\*E\*2\*2\*2~  
AK9\*R\*1\*1\*1~  
AK9\*A\*1\*1\*1~

**Data Element Summary**

| Ref. | Data Element | Name   | Attributes |
|------|--------------|--|------------|
| M    | AK901        | 715 Functional Group Acknowledge Code  | M 1 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.   |            |
|      |              | M Rejected, Message Authentication Code (MAC) Failed   |            |
|      |              | P Partially Accepted, At Least One Transaction Set Was Rejected                                |            |
|      |              | R Rejected   |            |
|      |              | W Rejected, Assurance Failed Validity Tests  |            |
|      |              | X Rejected, Content After Decryption Could Not Be Analyzed                                     |            |
| M    | AK902        | 97 Number of Transaction Sets Included   | M 1 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

|   |       |     |   |   |          |
|---|-------|-----|---|---|----------|
| M | AK903 | 123 | <b>Number of Received Transaction Sets</b><br>Number of Transaction Sets received                       | M | 1 N0 1/6 |
| M | AK904 | 2   | <b>Number of Accepted Transaction Sets</b><br>Number of accepted Transaction Sets in a Functional Group | M | 1 N0 1/6 |

**Segment:** **SE** Transaction Set Trailer

**Position:** 0800

**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)

**Syntax Notes:**

#### Data Element Summary

|   | <b>Ref.</b>        | <b>Data</b>           |  |   |                          |
|---|--------------------|-----------------------|--|---|--------------------------|
|   | <b><u>Des.</u></b> | <b><u>Element</u></b> | <b><u>Name</u></b>   |   | <b><u>Attributes</u></b> |
| M | SE01               | 96                    | <b>Number of Included Segments</b><br>Total number of segments included in a transaction set including ST and SE segments  | M | 1 N0 1/10                |
| M | SE02               | 329                   | <b>Transaction Set Control Number</b><br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M | 1 AN 4/9                 |