

**SEGMENTS/DATA ELEMENTS OF 997 WHEN REPORTING ERROR IN ST02**  
**RFI 2010-02, June 2010**

**REQUEST**

What Segments/Data Elements should be used in the 997 when reporting an error in ST02 (Transaction Set Control Number) when the error is related to syntax or min/max? If you attempt to create a 997 back to the submitter with the inbound data from ST02 in AK202 of the 997 you would be creating an invalid 997 transaction. It appears there may be a gap in the 997 standard for reporting errors at this level. If we have misinterpreted the use of the transaction and it can be reported, please let us know how.

**REFERENCED X12 STANDARDS**

The following X12 Standards were reviewed in developing this interpretation:

**X12.1 Transaction Sets**

997 - Functional Acknowledgment / 999- Implementation Acknowledgment

AK1 - Functional Group Response Header

*Semantic Note:*

*02 - AK103 is the functional group control number found in the GS segment in the functional group being acknowledged.*

AK2 Transaction Set Response Header

*Semantic Note:*

*02 - AK202 is the transaction set control number found in the ST segment in the transaction Set being acknowledged.*

**FORMAL INTERPRETATION**

Data elements AK102 and AK202 located within transaction set 997 and transaction set 999 are to be used to convey the values of control numbers in the functional group or transaction sets being acknowledged. If including a copy of the value of a data element in the 997 or 999 would cause a syntax violation in the 997 or 999, then if the violation is to be reported at the level at which it was found it must be reported at the next higher level.

**FURTHER DISCUSSION**

When reporting errors after the syntactic analysis of the transaction set, the data analyzed must be able to be reported within the acknowledgment. While data element AK404 supports reporting the value of a data element that fails syntactic analysis without violating the syntax of the 997, the same does not apply to AK202.

There are two generally accepted methods of acknowledging transaction sets: 1) acknowledge all transaction sets within the functional group or 2) acknowledge only those transaction sets containing errors. It is not recommended to accept a functional group with errors if the transaction set control number in error cannot be reported in AK202. For the example in your request, the appropriate action is to reject the entire functional group containing the ST02 value which when echoed in AK202 would create a syntactically invalid 997. In addition, the same logic applies to the functional group control number; the appropriate action is to reject the entire interchange containing the syntactically invalid data.

X12C will consider data maintenance to make the formal interpretation explicit in the standard with regards to the following:

997 – Functional Acknowledgement

999 – Implementation Acknowledgement

TA1 – Interchange Acknowledgement

ARM – The Acknowledgment Reference Model