1534 - LH – DA – Outcome of Detailed Review of Current and Target File and Record Rejection Validations

Dear colleague,

As you are aware as part of COR1154.15 – UK Link Programme Including Nexus Requirements – we are replacing the bespoke solution that manages file and record level validation in the current UK Link System with a recognised file management and validation package.

In August 2015 we identified some inconsistencies with the stated treatment in the UK Link Manual Standards Guide and wrote to Users in 1436.4 – LH – DA UK Link Programme – Including Nexus Requirements – Potential Amendment to File Level Rejection Treatment – Additional information. At the UK Link Committee in August consensus approval was not obtained, therefore the changes proposed were withdrawn. We are not intending to revisit this decision, and the current UK Link System treatment will be retained for the elements included within that communication, i.e. rejection of a file upon encountering at least one error Record Level rejection will continue, as will the inconsistent File and Record Level naming conventions.

Following the representations received from Users for the above communication we have sought to replicate the existing UK Link System file and Record Level Validation treatment. As a result of a detailed review of the existing rejections we have identified some areas for the UK Link Committee's attention. These are highlighted to the Committee where either the current Standards Guides are inconsistent with the current system validation so it is for the UK Link Committee to note that no change is required, or in some instances we are recommending a change to the existing treatment of the rejection in order to provide a more logical treatment of the file. Each point is highlighted as either a clarification to note or as a change that requires approval by UK Link Committee.

1. **Clarification.** Errors in the header and trailer record will result in FRJ level rejection. This approach is consistent with the documentation in the UK Link Standards Guide as it states that:

   "The FRJ file deals with the file level validations, such as the file name, header and trailer records."

   UK Link Manual Standards Guide - p17 v11A

   We have simulated a number of test scenarios in the current UK Link System with erroneous Header (A00) and Trailer (Z99) records and identified that in some instances rejections are incorrectly provided at a record level in contravention of the UK Link Manual Standards Guides. We are proposing that we consistently apply the standard and any errors in the A00 or Z99 records which will result in FRJ responses.

2. **Change.** Some validations within the file are proposed to be promoted to file level validation as the error could indicate corruption of the file. The following types of validations will cause an FRJ level rejection in the new UK Link System:

   a. Errors where the record types received are not consistent with the file type
   b. Errors where the record relationship is not correctly observed – e.g. the order of the records within the file are the incorrect sequence, or the number of records subordinate to another record exceeds the allowable value.

3. **Clarification/Change.** Current UK Link Systems have current protocols for error generation at the File and Record Level.

   a. File and Record Level Validation. The UK Link System will only currently generate the error for the first error associated with a field/attribute. It will currently identify multiple rejections in a given file where errors exist in more than one field/attribute. In the future it is proposed that UK Link will generate all errors associated with a given field. For example, currently UKL might generate FIL00023 'Generation number in filename is not numeric' whereas the following rejections could be generated in the revised file

management solution: FIL00011 'Record contains incorrectly formatted data', FIL00016 'Generation Number on the Header is not the same as that in File Name' and FIL00023. The UK Link Manual does not specify how many FRJ rejections would be generated for each field but provision of all relevant rejections will mean that Users are able to correct all errors prior to resubmission of the file. It is proposed to update the Standards Guide to reflect this treatment.

   b. Record Level Validations. The UK Link System will currently generate the first ten errors at a Record Level. The UK Link Manual Standards Guide reflects this approach. It is proposed to change this so that all ERR rejections are provided so that Users are able to correct all errors prior to resubmission of the file. It is proposed to update the Standards Guide to reflect this treatment.

4. **Clarification.** The current UK Link system will provide more specific responses to Users than the new UK Link System. For example, at a Record Level, rejections are currently provided explicitly for the domain type – e.g. CSV00021 - Invalid Date/Time field, CSV00016 Invalid Decimal Value, CSV00012 – Invalid Numeric Field. The new file management tool is unable to differentiate between date fields and numeric fields, therefore the rejection will be provided as CSV00012 – Invalid Numeric Field – where a formatting error exists within a Date Field.

5. **Clarification.** The UK Link Standards Guide states that the ERR File will be structured to provide the field number in which the error occurred. As a result of detailed testing we have identified an instance where the CSV00011 – Invalid Value - where the text provides the character position rather than the field position. It is proposed that the UK Link Manual Standards Guide is updated to reflect this clarification.

It is acknowledged that some Users may not have encountered these discrepancies but the treatment described above is consistent with the way that files have been managed in Market Trials to date.

This communication is intended to highlight current treatment of File and Record Level Validation in the UK Link Systems, and highlight where a change to documentation is required, either for clarity or because of a change in the validation treatment. We have, where possible, minimised changes to the current functionality and worked with the vendor of the file management product that is being used. These changes are proposed primarily because the scale of change to the product is material and the timescales to revert to an alternative solution are estimated at approximately 20 weeks. Some of these changes have been deprioritised from amendment as they are considered to be beneficial to Users despite the late identification of these.

The UK Link Manual Supplementary Document – Standards Guide will be updated to reflect the changes described in this communication.

User views and comments are invited upon the above changes. Should you have any questions related to this communication please contact me.

We are proposing a meeting to discuss these topics. It is planned that this meeting will take place in Solihull at 10:00am on 18th March 2016. If you are unable to travel we will ensure that teleconference facilities are available. Should you wish to participate in this meeting please register your interest by responding to uklink@xoserve.com. Please confirm whether you will be dialling in or attending in person.

Regards,

David

• David Addison– **Development Manager**
8 David.Addison@xoserve.com |' 0121 623 2752 |' Note: Mobile Number Change: 07428 559800

Desk No: 1S 041
Address: Xoserve Limited, 31 Homer Road, Solihull, B91 3LT
Company Website: http://www.xoserve.com