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| --- |
| Document filename:  |
| Directorate / Programme | Tech Office | Project | Interoperability |
| Document Reference |  |
| Project Manager | Shaun Fletcher | Status | Published |
| Owner | Mike Curtis | Version | 2.0 |
| Author | Brendan McEnroe Aled Greenhalgh | Version issue date | 12/02/2014 |

CDA Interoperability – Point to Point Error Codes

Document Management

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date | Summary of Changes |
| 1.0 | 03/12/2013 | 1st Draft Brendan McEnroe |
| 2.0 | 12/02/2014 | 2nd Draft Brendan McEnroe |

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Glossary of Terms

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| --- | --- |
| Term / Abbreviation | What it stands for |
|  |  |

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This document is valid from:**12th February 2014**

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# Introduction

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## Purpose

This document defines the error codes to be used at a business level between sending and receiving systems, i.e. the error codes included with Application Acknowledgement messages as a result of a business level failure and/or requiring a business level response.

## Scope

This document ONLY covers the sending and receiving of CDA documents within a Point to Point scenario. It DOES NOT cover error codes to be used when sending documents to PSIS – these are covered in documents that are part of the SCR requirements baseline.

## Document Topology

The diagram below illustrates the scope of the baseline documentation defining requirements across the generic CDA interoperability environment with the area covered by this document circled. Suppliers must read associated documentation from this CDA interoperability baseline in order to comply with the overall requirements for CDA interoperability.



Figure 1: CDA Interoperability Documentation Model

# Point to Point Error Codes

The following table illustrates scenarios generating error responses by a Receiver system back to a Sending system. The ‘Remediation’ column indicates actions to be taken by the Sending system. A Sending system MUST be able to handle all error codes in the table. All received errors MUST be logged and proactively notified to local administrators so that further investigation can take place – any further remediation in addition to this default position is described in the table.

A Receiver system MUST be able to generate all the Errors documented below.

The code system associated with the codes listed below, including both the 3-digit codes and the 5-digit codes is the OID value “2.16.840.1.113883.2.1.3.2.4.17.227” which indicates that it originates from the P2P domain.

The 3-digit error code is broadly aligned with HTTP error codes as follows:

2xx series: Success – and also success situations with warnings (e.g. awaiting user acceptance)

4xx series: Client Error - the receiving system has been unable to process the message due to a syntax or content related failure. These are permanent errors and resending the message will usually result in the same error again.

5xx series: Server Error – these are unexpected errors and are usually temporary or intermittent. Resending the message again may succeed.

Table Notation.

“{x}” indicates values or text to be inserted to provide context and/or references to help investigation into the cause of the problem.

**Important Note:**

Values or text (see Table notation above) **MUST NOT** contain any patient identifiable information.

| **Error Code** | **Source Code** | **Severity** | **Error Text** | **Description / Receiving Condition (Recipient)** | **Remediation (Sending system)** |
| --- | --- | --- | --- | --- | --- |
| 200 |   | AA | Success | Success | Success |
| 202 | 20201 | WG | Unrecognised Recipient Person | The Recipient Person is not recognised but the Recipient Organisation is supported and the message has been passed on for local (recipient) investigation/processing. | Report to user/admin. Check person identity in local (sending) system is correctly configured. |
| 202 | 20202 | WG | Unrecognised Sender | The Receiving system does not recognise the Sender but the message has been passed on for local (recipient) investigation/processing. | If this is a regular information flow the receiver should be informed and their system configuration changed. |
| 202 | 20203 | WG | Non Approved file type received as an attachment | The Receiving system has received an attached file whose file type is on the Authorities ‘Black List’. The remainder of the message will be processed. |  |
| 400 | 40010 | ER | SOAP validation failure. Detail: "{0}" | Content validation of the SOAP content has failed |  |
| 400 | 40011 | ER | ebXML validation failure. Detail: "{0}" | Content validation of the ebXML content has failed |  |
| 400 | 40012 | ER | Control Act validation failure. Detail: "{0}" | Content validation of the Control Act content has failed |  |
| 400 | 40013 | ER | Distribution Envelope validation failure. Detail: "{0}" | Content validation of the ITK Distribution Envelope content has failed |  |
| 400 | 40014 | ER | Payload validation failure. Detail: "{0}" | Content validation of the SOAP content has failed |  |
| 400 | 40015 | ER | CDA 'on the wire' Schema validation failure. Detail: "{0}" | Validation using the generic CDA 'on the wire' schema has failed. |  |
| 400 | 40016 | ER | CDA Message Definition Schema validation failure. Detail: "{0}" | Validation using the CDA Document message definition specific schema has failed. Details should include which part(s) has failed e.g. missing mandatory data. |  |
| 400 | 40017 | ER | CDA Document content validation failure. Detail: "{0}" | Content validation has failed, e.g. missing/invalid OID, invalid/missing clinical code for terminology, etc. |  |
| 400 | 40018 | ER | Attachment file type invalid. Detail: "{0}" | One or more attachments has an invalid file type  | Sender (user) could resend with attachment in alternate format (if possible) |
| 400 | 40019 | ER | Attachment file type unsupported. Detail: "{0}" | One or more attachment file types are unsupported by the recipient system. | Sender (user) could resend with attachment in alternate format (if possible) |
| 410 | 41020 | ER | Unrecognised Recipient Organisation | The Recipient Organisation is not supported by this End Point (Receiving System).  | Configuration issue - the ‘transport’ address is incorrect for the intended organisation or the recipient organisation details in the message are incorrect |
| 410 | 41021 | ER | Unrecognised Sender | The Receiving system is configured to reject messages from unrecognised senders. | If regular communication with this recipient is expected, contact recipient and suggest configuring system to expect messages from this sender. |
| 410 | 41002 | ER | Patient not known here. (aka ‘patient record not present in system’) | NHS Number (and/or other identifiers or demographic data to help identify the patient) supplied does not match a locally held patient record in the recipient system.  | Report to user – need to check patient identity and registered GP Practice against PDS or other authoritative source and if necessary escalate to National Demographics Back Office. |
| 410 | 41022 | ER | Patient no longer registered here | NHS Number (and/or other identifiers or demographic data to help identify the patient) supplied matches a patient record but the patient has left and registered with a new GP Practice. | Report to user – need to check patient identity and registered GP Practice against PDS or other authoritative source and if necessary escalate to National Demographics Back Office. |
| 410 | 30307 | ER | The NHS Number has been merged. | Local (and PDS) records indicate that NHS# included in document has been merged with another record.  | Report to user. This extremely rare occurrence may only happen if a patient has been merged between validating the patient's NHS# and sending the clinical document. |
| 410 | 41023 | ER | The NHS Number is not present or not valid on PDS. | The NHS Number is not present on PDS or not currently valid on PDS and no superseding NHS Number exists. | Local investigation required. |
| 410 | 41024 | ER | This system does not support 'Replacement' CDA Documents | The receiving system is not able to process replacement CDA Documents. | If sending system allows, configure to not send replacements to this recipient. Updates to the previously sent CDA document will need to be handled by other means between the two parties. |
| 410 | 41025 | ER | The system does not support the 'Withdrawal/Nullification' of previously received CDA Documents. |   | If sending system allows, configure to not send withdrawals to this recipient. Withdrawals of a previously sent CDA document will need to be handled by other means between the two parties. |
| 410 | 41026 | ER | Duplicate Message received - message/transmission ID "{0}" has already been processed. | A message with this message/transmission ID has already been received and processed by this recipient. |  |
| 420 | 41027 | ER | Duplicate Document received - Document with UUID ''{0}'' has already been processed. | A CDA Document with this document ID has already been received and processed by this recipient. |  |
| 420 | 41028 | ER | The Document with SetID "{0}" being withdrawn is not recognised. | The Recipient system has not previously received a CDA Document with the corresponding SetID.  | Local investigation required. |
| 420 | 41029 | ER | The Document with SetID "{0}" being withdrawn has already been withdrawn. | The CDA Document being withdrawn has already been withdrawn. |  |
| 420 | 41030 | ER | The version numbers of replaced/replacing Documents with SetID "{0}" are incompatible. | The version number "{1}" of the replacing CDA Document is the same or earlier than the CDA Document being replaced. |  |
| 420 | 41031 | ER | The Document with SetID "{0}" and version "{1}" to be replaced has already been replaced. | The Document sent is attempting to replace a document which has been replaced already.  |  |
| 430 | 43001 | ER | Unexpected Application Acknowledgement or Business Acknowledgement received. | An Application Acknowledgement has been received for a message that is not recorded as originating from this system. | Application Acknowledgement sent to wrong recipient |
| 430 | 43002 | ER | Message Type not supported here | Message type provided in interaction is not supported by this endpoint. | If received over TMS then invoke NASP support to check SDS Accredited system interaction set is correct, otherwise check local configuration and update as required. |
| 430 | 43003 | ER | Document Type not supported here | Document type (Snomed -CT® coded within document) not supported by recipient system. This should only happen when using the generic ‘Not coded CDA Document’ message or the document type does not match the message type it is within. | Stop process flow. This document will not be received by this version of the destination application. |
| 440 | 44001 | ER | Anti-virus check failed | Antivirus check has failed. |  |
| 500 | 30101 | ER | Service failure. | Unexpected recoverable error caught in Recipient System. Could not process this message at this time. | Retry message later. |
| 503 | 50300 | ER | Destination application temporarily unavailable. | Local (recipient) application temporarily unavailable | Retry message later.  |