

## P38A Response Messages

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| <p><b>P38A XML Response Message<br/>Structure -<br/>Data &amp; Business Rules Validation<br/>for End of Year 2009/2010</b></p> |
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## P38A Response Messages

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## P38A Response Messages

### 1. Introduction

#### 1.1 Overview

Whenever an attempt is made to electronically file a tax form, a message should be returned to confirm the result of that attempt. This may take the form of either a success message, which confirms successful filing of that form, or a number of error messages. Error messages have two functions: to identify errors within the form itself and establish corrective action to be taken, and secondly to recognise errors within the connection, system or elsewhere which have prevented the form from reaching the validation stage.

#### 1.2 Purpose and Scope

The response message proposed in this document is intended to allow messages to be easily processed by Third Party software, while maintaining a degree of flexibility for changes to message handling in the future.

This document references each Business Validation Rule (BVR) from the 'P38A Quality Standard and Business Validation Specification From April 2009'.

This document is applicable to both the test and the live service.

There are examples of the response messages in the Appendix at the back of this document.

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## P38A Response Messages

### 2. P38A 08/09 Success Messages

| Code | Condition    | Message Text   |
|------|--------------|--|
| 9001 | Test In Live | This submission would have been successfully processed if sent under non test conditions |
| 9004 | Live         | The P38A Return has been processed and passed full validation                            |

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### 3. P38A 08/09 Error Messages

#### 3.1 Generic Business Failure Messages

| Code | Validation                               | Error Locator       | Message Text  |
|------|--|---------------------|---|
| 5040 | Duplicate submissions filed (LIVE Only)  | Unique Identifier   | Submission already received for this employer       |
| 5042 | Employer Reference not found (LIVE Only) | IR Office Reference | Employer Reference is not valid for this submission |

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### 3.2 Generic Schema Validation Messages

| Code        | Condition   | Message Text  |
|-------------|---|---|
| <b>5012</b> | The data used is not within the standards set by the schema.  | This field contains an invalid character. Please try again and if the problem recurs contact your software supplier.<br><i>For certain fields, a more specific error message is generated.</i>                    |
| <b>5016</b> | An element exists, but it has no entry within it.   | Entry required<br><i>For certain fields, a more specific error message is generated.</i>  |
| <b>6010</b> | Elements that are defined as mandatory in the schema are not present in the submission.<br>And:<br>Elements included in the submission are not defined in the schema.<br>And:<br>Badly-Formed XML | Your submission is not in the correct format – please contact your software supplier and quote Error Code 6010.<br><br><i>When a 6010 error is thrown, the error locator will be as per a 5012 error locator.</i> |

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### 3.3 P38A Return

| BVR No. | Element      | Error Locator       | Rule No. | Validation   | Code | Message Text  |
|---------|--------------|---------------------|----------|--|------|---|
| 5       | Number       | IR Office Number    | 1        | Numeric characters in the range 001 – 999            | 7700 | Value must be within 001 – 999.   |
| 6       | Reference    | IR Office Reference | 1        | Use character set B                                  | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |              |                     | 2        | 1 <sup>st</sup> character must not be a space.       | 7720 | First character must not be a space.  |
|         |              |                     |          | Must not exceed 10 characters in length.             | 7710 | Must not exceed 10 characters in length.  |
| 7       | PeriodEnd    | Period End          | 1        | Valid calendar date denoting the tax year ended.     | 5012 | This entry is not in a valid format. Please try again and if the problem recurs contact your software supplier.   |
|         |              |                     | 2        | Must contain 5 April 2010 in the appropriate format. | 7515 | Invalid Tax Year.   |
| 8       | EmployerName | Employer Name       | 1        | Use Character Set A.                                 | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |              |                     | 2        | 1 <sup>st</sup> character must not be space          |      |   |

#### 3.3.1 Declarations

| BVR No. | Element | Error Locator        | Rule No. | Validation   | Code | Message Text   |
|---------|---------|----------------------|----------|--|------|--|
| 200     | P46Held | P46 Held Declaration | 1        | Must be answered 'yes' or 'no' in the appropriate format | 5012 | Must be answered 'yes' or 'no' in the appropriate format |

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| BVR No. | Element        | Error Locator  | Rule No. | Validation   | Code | Message Text   |
|---------|----------------|----------------|----------|--|------|--|
|         |                |                | 2        | If the “P46 Held Declaration” is ‘yes’, the “P38A record count” must equal 0 (zero).               | 7740 | The record count must be equal to zero.  |
|         |                | Declaration    | 3        | If the answer to the “P46 held declaration” is ‘yes’ the “P38A completed declaration” must be ‘no’ | 7810 | If P46 Held declaration is 'yes' then P38A completed declaration must be 'no'. |
| 201     | P38A completed | P38A Completed | 1        | Must be answered ‘yes’ or ‘no’ in the appropriate format   | 5012 | Must be answered ‘yes’ or ‘no’ in the appropriate format                       |
|         |                | Declaration    | 2        | If the “P38A completed declaration” is ‘yes’ the “P46 held declaration” must be ‘no’.              | 7820 | If P38A completed declaration is 'yes' the P46 Held declaration must be 'no'.  |

### 3.3.2 Employee Details

| BVR No. | Element | Error Locator                           | Rule No. | Validation  | Code | Message Text  |
|---------|---------|---|----------|---|------|---|
| 202     | Fore    | P38A Forename : <Sur> : <NINO>          | 1        | First character must be alpha.                        | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |         |   | 2        | Remaining characters must conform to Character Set C. |      |   |
| 203     | Fore    | P38A Forename : <Sur> : <NINO>          | 1        | First character must be alpha.                        | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |         |   | 2        | Remaining characters must conform to Character Set C. |      |   |
| 204     | Sur     | P38A Employees surname : <Sur> : <NINO> | 1        | First character must be alpha.                        | 7795 | First character must be alpha.  |
|         |         |   | 2        | Remaining characters must conform to Character Set D. | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |

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| BVR No. | Element   | Error Locator                        | Rule No. | Validation   | Code | Message Text  |
|---------|-----------|--------------------------------------|----------|--|------|---|
| 205     | Line      | P38A Line :<br><Sur> :<br><NINO>     | 1        | Character set A – full Character Set                                     | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
| 206     | Line      | P38A Line :<br><Sur> :<br><NINO>     | 1        | Designated Character Set A.  | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
| 207     | PostCode  | P38A PostCode :<br><Sur> :<br><NINO> | 1        | Designated Character Set A.  | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |           |                                      | 2        | If present first line of address must be present.                        | 6010 | Your submission is not in the correct format – please contact your software supplier and quote Error Code 6010.   |
| 208     | Country   | P38A Country :<br><Sur> :<br><NINO>  | 1        | Designated Character Set A.  | 5012 | This field contains an invalid character. Please try again, if the problem recurs contact your software supplier. |
|         |           |                                      | 2        | If present first line of address must be present.                        | 6010 | Your submission is not in the correct format – please contact your software supplier and quote Error Code 6010.   |
| 209     | NINO      | P38A NINO :<br><Sur> :<br><NINO>     | 1        | Characters 1 & 2 must be alpha   | 5012 | Entry must be alpha numeric. Takes the format of 2 letters followed by 6 numbers and A-D or a space.              |
|         |           |                                      | 2        | Characters 3 – 8 must be numeric.  |      |   |
|         |           |                                      | 3        | Character 9 must be alpha in the range A – D or a space.                 |      |   |
| 210     | WorkType  | P38A Work Type : <Sur> :<br><NINO>   | 1        | Designated Character Set A.  | 5012 | Entry must be alpha numeric.  |
| 211     | StartDate | P38A Start Date : <Sur> :<br>NINO>   | 1        | If present, must contain a valid calendar date in the appropriate format | 5012 | This entry is not in a valid format. Please try again and if the problem recurs contact your software supplier.   |

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| BVR No. | Element | Error Locator                                    | Rule No. | Validation   | Code | Message Text  |
|---------|---------|--|----------|--|------|---|
| 212     | EndDate | P38A End Date : <Sur> : <NINO>                   | 1        | If present, must contain a valid calendar date in the appropriate format.                              | 5012 | This entry is not in a valid format. Please try again and if the problem recurs contact your software supplier. |
| 213     | Pay     | P38A Pay : <Sur> : <NINO>                        | 1        | Numeric characters in the appropriate format.  | 5012 | Entry must be numeric and greater than zero.  |
|         |         |  | 2        | Must be greater than zero.   |      |   |
| 214     | Section | P38A Employee Section Indicator : <Sur> : <NINO> | 1        | Must be answered to indicate if section A or section B of the P38A has been completed for the employee | 5012 | Must be answered to indicate if the employee details relate to either section 'A' or 'B' of the P38A.           |
|         |         |  | 2        | Must be completed with either "A" or "B"   |      |   |

### 3.3.3 P38A Summary details

| BVR No. | Element   | Error Locator | Rule No. | Validation   | Code | Message Text  |
|---------|-----------|---------------|----------|--|------|---|
| 215     | P38Acount | P38A Count    | 1        | The P38A record count value must equal the number of employee details submitted for either section A and/or B. | 7790 | Figure sent does not equal the number of employee entries sent for either section A and/or B. |

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**NOT PROTECTIVELY MARKED**

**P38A Response Messages**

**APPENDICES**

## P38A Response Messages

### Appendix A: Example XML Response Messages – Internet Channel

#### 1. Successful Response

```
<GovTalkMessage xmlns="http://www.govtalk.gov.uk/CM/envelope"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.govtalk.gov.uk/CM/envelope
http://www.govtalk.gov.uk/schemas/CM/envelope-v2.xsd">

<EnvelopeVersion>2.0</EnvelopeVersion>
<Header>
  <MessageDetails>
    <Class>IR-PAYE-P38A</Class>
    <Qualifier>response</Qualifier>
    <Function>submit</Function>
    <CorrelationID>P38A-BF-003</CorrelationID>
    <GatewayTimestamp>2003-08-26T12:05:10:125</GatewayTimestamp>
  </MessageDetails>
  <SenderDetails>
    <IDAuthentication>
      <SenderID>ISV147</SenderID>
    </IDAuthentication>
    <EmailAddress/>
  </SenderDetails>
</Header>
<GovTalkDetails>
  <Keys/>
</GovTalkDetails>
<Body>
  <SuccessResponse xmlns="http://www.inlandrevenue.gov.uk/SuccessResponse">
    <Message code="9004">The P38A Return has been processed and passed full
validation</Message>
  </SuccessResponse>
</Body>
</GovTalkMessage>
```

#### 2. Unsuccessful Response

```
<GovTalkMessage xmlns="http://www.govtalk.gov.uk/CM/envelope"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.govtalk.gov.uk/CM/envelope
http://www.govtalk.gov.uk/schemas/CM/envelope-v2.xsd">

<EnvelopeVersion>2.0</EnvelopeVersion>
<Header>
  <MessageDetails>
    <Class>IR-PAYE-P38A</Class>
    <Qualifier>error</Qualifier>
    <Function>submit</Function>
    <CorrelationID>P38A-BF-003</CorrelationID>
```

## P38A Response Messages

```
<GatewayTimestamp>2003-08-26T12:05:10:125</GatewayTimestamp>
</MessageDetails>
<SenderDetails/>
</Header>
<GovTalkDetails>
  <Keys/>
  <GovTalkErrors>
    <Error>
      <RaisedBy>IR-GGIS</RaisedBy>
      <Number>3001</Number>
      <Type>business</Type>
      <Text>Your submission failed due to business validation errors. Please see below for
details.</Text>
    </Error>
  </GovTalkErrors>
</GovTalkDetails>
<Body>
  <ErrorResponse xmlns="http://www.govtalk.gov.uk/CM/errorresponse"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.govtalk.gov.uk/CM/errorresponse
http://www.govtalk.gov.uk/schemas/CM/errorresponse-v1.xsd">

    <Application>
      <MessageCount>1</MessageCount>
    </Application>
    <Error>
      <RaisedBy>IR-GGIS</RaisedBy>
      <Number>5012</Number>
      <Type>schema-validation</Type>
      <Text>Entry must be alpha numeric. Takes the format of 2 letters followed by 6
numbers and A-D or a space.</Text>
      <Location>P38A NINO:Jeffries:NB123456</Location>
    </Error>
  </ErrorResponse>
</Body>
</GovTalkMessage>
```

### 3. Successful Test-in-Live submission

```
<?xml version="1.0" encoding="UTF-8" ?>
- <GovTalkMessage xmlns="http://www.govtalk.gov.uk/CM/envelope"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:schemaLocation="http://www.govtalk.gov.uk/CM/envelope
  http://www.govtalk.gov.uk/CM/envelope-v2.xsd">
  <EnvelopeVersion>2.0</EnvelopeVersion>
  - <Header>
    - <MessageDetails>
      <Class>IR-PAYE-P38</Class>
      <Qualifier>response</Qualifier>
      <Function>submit</Function>
```

## P38A Response Messages

```
<CorrelationID>FBI-P38A07-P38A-1-2343-
  T15.25.53.53h</CorrelationID>
<ResponseEndPoint />
<Transformation>XML</Transformation>
<GatewayTest>0</GatewayTest>
<GatewayTimestamp />
</MessageDetails>
<SenderDetails />
</Header>
- <GovTalkDetails>
  <Keys />
</GovTalkDetails>
- <Body>
  - <SuccessResponse
    xmlns="http://www.inlandrevenue.gov.uk/SuccessResponse"
    TestInLive="1">
    <Message code="9001">This submission would have been
      successfully processed if sent under non test
      conditions.</Message>
    <Message code="9004">The P38A Return has been processed
      and passed full validation</Message>
  </SuccessResponse>
</Body>
</GovTalkMessage>
```

## **P38A Response Messages**

### **Appendix B: Changes to 2009-2010 Response Message Document**

1. Tax Year amended to reflect correct Tax Year throughout the document
2. BVR 7 - Date updated from 2009 to 2010 in rule. No change to message.