

HCS, CMS, and 9902 Submission Errors Codes

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This error code document should be shared with team members who work in HUD's Housing Counseling System (HCS), manage report uploads in Client Management Systems (CMS), and others who work in 9902 reporting in HCS/CMSs.

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XML Validation Errors

XML validation errors are issues with the format of the submission file or format of values for specific fields in the submission file that do not meet the XML schema requirements. These submission types will be identified in HCS as XML as the error occurs in the submission process prior to identification of the submission type of Agency Profile, Counselor Profile, Form 9902, or Client Profile.

There was a problem parsing your XML submission. Please review and correct these errors and resubmit. LINE: <LineNumber> : <message>

The XML in the submission cannot be processed because the submission file does not meet the required format of the XML schema. There can be many different types of this kind of error. The error will depend on the specific field or element in the data file that does not meet the requirements. There may be multiple different instances described in one error message. Examples are below.

Example 1: Field contains a value that does not meet the required format of the field

Error Message: There was a problem parsing your XML submission. Please review and correct these errors, then resubmit.

LINE: 1 : Value 'www.organization.org' is not facet-valid with respect to pattern '((N/A)|(n/a)|((http)|(https))[:][/][/][\S].*)' for type 'url'.

LINE: 1 : The value 'www.organziation.org' of element 'tns:Agency_Website' is not valid.

Example Explanation: If a field value does not meet the required format of the XML schema this type of error will return. In this example, in line number 1 of the submission file, the response for the Agency_Website field does not meet the required format of the XML schema. All field values must meet the required format for that field. In this example, the required format is N/A or n/a if the agency does not have a web site, or http://www.organziation.org or https://www.organziation.org. The Agency Website field should be updated to use the correct format and the data resubmitted.

The error identifies:

- The field that contains the invalid value - Agency_Website in this example
- The invalid value - www.organziation.org in this example
- The required format of the field - '((N/A)|(n/a)|((http)|(https))[:][/][/][\S].*)'

Example 2: Field contains an empty value

Example Error Message: There was a problem parsing your XML submission. Please review and correct these errors, then resubmit.

LINE: 128 : Value '' is not facet-valid with respect to pattern '[0-9a-zA-Z]{6}' for type 'certifiedCounselorHudId'.

LINE: 128 : The value '' of element 'Client_Counselor_HUD_Id' is not valid.

Explanation: If a field has an empty value this type of error will return. In this example, in line number 128 of the submission file, the response for the Client_Counselor_HUD_Id field is an empty value. All fields included in a submission must have valid data that meets the format requirement of that field. There cannot be fields that have no value. If a field is required, it must be included in the submission. If a field is optional and the data for that field is not being included in the submission, then the field should not be present in the submission. The record with the missing Client_Counselor_HUD_Id should be updated to include the required data and the data resubmitted.

The error identifies:

- The field that contains the invalid value - Client_Counselor_HUD_Id in this example

- The invalid value - www.organziation.org in this example
- The required format of the field - '((N/A)|(n/a)|((http)|(https))[:]/[/][\S].*)'

Example 3: Submission is missing a required field

Example Error Message: There was a problem parsing your XML submission. Please review and correct these errors, then resubmit.

LINE: 1 : The content of element 'tns:Client_Profile' is not complete. One of '{Client_Counseling_Type, Client_Grant_Amount_Used, Client_HECM_Certificate, Client_HECM_Certificate_Issue_Date, Client_HECM_Certificate_Expiration_Date, Client_HECM_Certificate_ID, Client_Mortgage_Type, Client_Mortgage_Type_After, Client_Finance_Type_Before, Client_Finance_Type_After, Client_Mortgage_Closing_Cost, Client_Mortgage_Interest_Rate, Client_Sales_Contract_Signed, Client_Credit_Score, Client_No_Credit_Score_Reason, Client_Credit_Score_Source, Client_Loan_Being_Reported, Client_Intake_Loan_Type, Client_Intake_Loan_Type_Is_Hybrid_ARM, Client_Intake_Loan_Type_Is_Option_ARM, Client_Intake_Loan_Type_Is_Interest_Only, Client_Intake_Loan_Type_Is_FHA_Or_VA_Insured, Client_Intake_Loan_Type_Is_Privately_Held, Client_Intake_Loan_Type_Has_Interest_Rate_Reset, Client_Outcomes}' is expected.

Explanation: If a required field is not provided an error message will return indicating a record is not complete. In this example, a client profile record is missing a required field. The error provides the list of possible missing fields that were not included in a record. Not all the fields in the error message will be required. A list of required fields is in the ARM Interface Control Device (ICD) - Appendix A: XML TAG DESCRIPTIONS. The ICD is available on the HUD Exchange at: <https://www.hudexchange.info/programs/housing-counseling/cms/#agency-reporting-module-arm-requirements>. The error will display for each instance that there is a missing required field in a record in the submission file. In this example, the missing required field is Client_Counseling_Type. The record with the missing required field should be updated to include the required data and the data resubmitted.

The error identifies:

- The line number that the record occurs in the submission file.
- The list of fields missing from the record.

Client Profile Submission Errors

Client activity [<N>] (Ref.Id: <NN>) not funded for agency ID <NNN> or its parent agency in FY <NNNN> (Ref.Id: <NNNNN>). Please correct and resubmit.

The client one-on-one counseling data contains reporting on a grant (also known as activity type) that the agency or its parent agency was not awarded funds for the fiscal year being reported.

Example: Client activity [NOFA 2021-1 COMP] (Ref.Id [16]) not funded for Agency Id [84492] or its parent agency in FY [2022] (Ref.Id [28]). Please correct and resubmit.

Explanation: The submission file contains client profile records that are assigned to a specific HUD grant in the Client_Activity_Type field. There are two possible causes for the error:

- The agency or its parent agency were never awarded that grant. In this case the agency should remove the references to that grant in the client profile records that are being submitted and resubmit.
- The HUD grant has a performance period that ended prior to the fiscal year of the submission. In this case, the agency should update the client profile records being submitted to remove the references to that grant, if necessary update to the correct HUD grant, and resubmit.

The error identifies:

- The HUD grant that was assigned - NOFA 2021-1 COMP in this example
- The reference value for that HUD grant - Ref.Id [16] in this example
- The agency ID for which there is no record of that grant for the reporting period – 84492 in this example.
- The fiscal year of the reporting period for which the grant is not assigned to the agency - FY [2022] in this example.
- The reference value for the fiscal year for which the grant is not assigned to the agency - Ref.Id [28] in this example.

Attempt to insert an invalid value [<N>] for Client_Activity_Type. Please use getReference to obtain acceptable values.

The client one-on-one counseling data contains reporting on a grant (also known as activity type) that does not exist.

Example: Attempt to insert an invalid value [17] for Client_Activity_Type. Please use getReference to obtain acceptable values.

Explanation: The submission file contains client profile records that are assigned to a specific HUD grant in the Client_Activity_Type field that does not exist. This is typically caused by reporting on a grant that has not yet been awarded by HUD. Agencies cannot report housing counseling activities to a grant for which they do not have an award. Some CMS have pre-populated HUD grants that are anticipated but have not actually been awarded by HUD. When HUD awards a new grant, a new reference value for that grant is made available to CMS. CMS can access the list of acceptable reference values by using the getReference request in the ARM web service. Only acceptable reference values can be used. In this case, since the reference

value of 17 does not exist at the time of reporting there is no way to identify the grant being reported on. The agency should contact their CMS support for instructions on how to adjust the reporting to avoid the error.

The error identifies:

- The invalid reference value used in the submission - 17 in this example

Form 9902/Group Session Attendee Submission Errors

Form 9902 activity [<N>] (Ref.Id: <NN>) not funded for agency ID <NNN> or its parent agency in FY <NNNN> (Ref.Id: <NNNN>). Please correct and resubmit.

The Form 9902 data contains reporting on a grant (also known as activity type) that the agency or its parent agency was not awarded funds for the fiscal year being reported.

Example: Form 9902 activity [NOFA 2021-1 COMP] (Ref.Id [16]) not funded for agency Id [90635] or its parent agency in FY [2022] (Ref.Id [28]). Please correct and resubmit.

Explanation: The submission file contains 9902 reporting on a specific HUD grant. There are two possible causes for the error:

- The agency or its parent agency were never awarded that grant. In this case the agency should remove the references to that grant in the agency's counseling data for the reporting period and resubmit.
- The HUD grant has a performance period that ended prior to the fiscal year of the submission. In this case, the agency should update the counseling data for the reporting period to remove the references to that grant, if necessary update to the correct HUD grant, and resubmit.

The error identifies:

- The HUD grant that was assigned - NOFA 2021-1 COMP in this example
- The reference value for that HUD grant - Ref.Id [16] in this example
- The agency ID for which there is no record of that grant for the reporting period – 84492 in this example.
- The fiscal year of the reporting period for which the grant is not assigned to the agency - FY [2022] in this example.
- The reference value for the fiscal year for which the grant is not assigned to the agency - Ref.Id [28] in this example.

Group Session activity [<N>] (Ref.Id: <NN>) not funded for this agency or its parent. Please correct and resubmit.

The Group Session data contains reporting on a grant (also known as activity type) that the agency or its parent agency was not awarded funds for the fiscal year being reported.

Example: Group Session activity [NOFA 2019-1 COMP] (Ref.Id [14]) not funded for this agency or its parent. Please correct and resubmit.

Explanation: The submission file contains group session records that are assigned to a specific HUD grant in the Group_Session_Activity_Type field. There are two possible causes for the error:

- The agency or its parent agency were never awarded that grant. In this case the agency should remove the references to that grant in the agency's group session data for the reporting period and resubmit.
- The HUD grant has a performance period that ended prior to the fiscal year of the submission. In this case, the agency should update the group session data for the reporting period to remove the references to that grant, if necessary update to the correct HUD grant, and resubmit.

The error identifies:

- The HUD grant that was assigned - NOFA 2019-1 COMP in this example
- The reference value for that HUD grant - Ref.Id [14] in this example

Form_9902 Totals do not match: <message>. "Please correct and resubmit.

<message> section contains one or more of the following:

```
("Section Totals 3=4=5=6=7=(8+9);", "Section_3_Total;", "Section_4_Total;", "Section_5_Total;", "Section_6_Total;", "Section_7;", "Section_8_Total;", "Section_9_Total;", "Section_10_Total;")
```

The HUD 9902 reporting rule is that the total number of counseling activities reported in Section 8 – Households Receiving Education, by Purpose and Section 9 – Households Receiving One-on-One Counseling, by Purpose must be the same as the total reported in each of the demographic sections – Section 3 Ethnicity, Section 4 Race, Section 5 Income, Section 6 Rural Area Status, and Section 7 Limited English Proficiency status (Section 3 = Section 4 = Section 5 = Section 6 + Section 7 = (Section 8 + Section 9). Section 10 – Outcomes is not included in this check. In addition, for each section of the 9902, the value being submitted for the section total must be the sum of the values of the reporting categories in that section. If a Form 9902 receives this type of error, either one of the section totals is not the same value as the sum of the reporting categories in that section, or the section totals are not the same.

Example 1: [activity_type_id=4]. Form_9902 Totals do not match: Section Totals 3=4=5=6=7=(8+9). Please correct and resubmit.

Explanation: The section totals being reported for the All Activities column are not the same value where Section Totals $3=4=5=6=7=(8+9)$. The agency should review the 9902 reporting values, make the necessary corrections, and resubmit.

Example 2: [activity_type_id=16]. Form_9902 Totals do not match: Section Totals $3=4=5=6=7=(8+9)$. Please correct and resubmit.

Explanation: The section totals being reported for the NOFA 2021-1 COMP column are not the same value where the Section Totals $3=4=5=6=7=(8+9)$. The agency should report these issues to the CMS support to identify the cause, make the necessary corrections, and resubmit.

The error identifies:

- The 9902 reporting column, also referred to as activity type. This will be a value for All Activities or a value for a specific HUD grant. The activity type id of 4 is always the All Activities column. An activity type id other than 4 will represent a column for HUD grant reporting. The example above where the error message indicates activity_type_id=16, the error message is referring to the reporting for the HUD grant NOFA 2021-1 COMP.
- The required formula for section totals for each activity type - Section Totals $3=4=5=6=7=(8+9)$

Example 3: [activity_type_id=16]. Form_9902 Totals do not match: Section_10_Total. Please correct and resubmit.

Explanation: The value being reported for the section 10 total for the NOFA 2021-1 COMP column is not the sum of the values of each of the reporting categories in section 10. The agency should report this issue to the CMS to identify the cause of the incorrect section total value, make the necessary corrections, and resubmit.

The error identifies:

- The 9902 reporting column, also referred to as activity type. This will be a value for All Activities or a value for a specific HUD grant. The activity type id of 4 is always the All Activities column. An activity type id other than 4 will represent a column for HUD grant reporting. The example above where the error message indicates activity_type_id=16, the error message is referring to the reporting for the HUD grant NOFA 2021-1 COMP.
- The section total that is not the correct sum - section 10 in this example.

Example 4: [activity_type_id=4]. Form_9902 Totals do not match: Section_9_Total; Section_10_Total; Section Totals $3=4=5=6=7=(8+9)$. Please correct and resubmit.

Explanation: This error indicates that there are multiple issues with the section totals being reported.

- The value being reported for the section 9 total for the All Activities column is not the sum of the values of each of the reporting categories in section 9.
- The value being reported for the section 10 total for the All Activities column is not the sum of the values of each of the reporting categories in section 10.
- The section totals being reported for the All Activities column are not the same value where the Section Totals 3=4=5=6=7=(8+9).

The agency should report these issues to the CMS support to identify the cause of the incorrect section total value, make the necessary corrections, and resubmit.

The error identifies:

- The 9902 reporting column, also referred to as activity type. This will be a value for All Activities or a value for a specific HUD grant. The activity type id of 4 is always the All Activities column. An activity type id other than 4 will represent a column for HUD grant reporting. The example above where the error message indicates activity_type_id=16, the error message is referring to the reporting for the HUD grant NOFA 2021-1 COMP.
- The section total that is not the correct sum - section 10 in this example.

Duplicate found for attendee id [<N>]. Please ensure that these ids are unique in the Attendee section

The submission contains a duplicate Attendee ID in the Attendee section. Each attendee should have a unique ID value. If an attendee attended multiple group sessions, the attendee id record should only be included once on the Attendee section.

Example: Attendee: Duplicate found for Attendee Id [100186]. Please ensure that these Ids are unique in the Attendee section.

Explanation: There are multiple attendee profile records with the attendee id value of 100186 in the submission's Attendee section. There should only be one attendee record with the ID of 100186. If the attendee attended multiple group sessions, the attendee id can be referenced in multiple group session attendee sections but should have only one record in the attendee section. The agency should report this issue to the CMS support to identify the cause, make the necessary corrections, and resubmit.

The error identifies:

- The attendee id that is duplicated - 100186 in this example
- The section of the XML that has the duplication – Attendee in this example