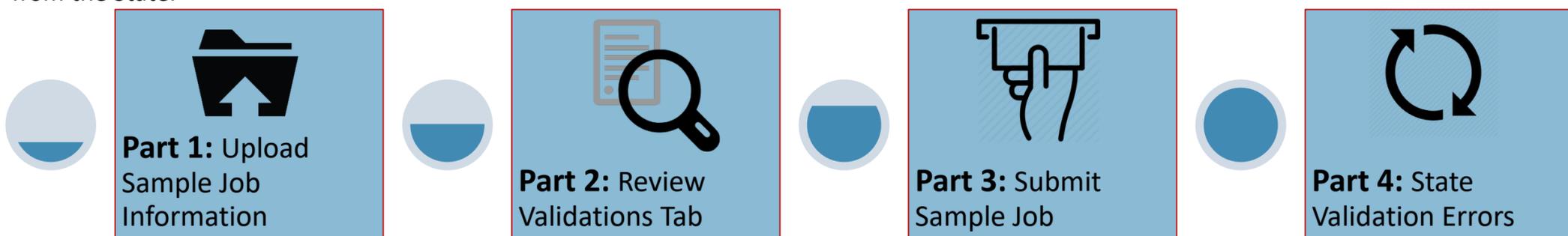


SAMPLE VALIDATION & SUBMISSION PROCESS (XML UPLOAD)

XML generated through the Excel Template or other laboratory reporting system

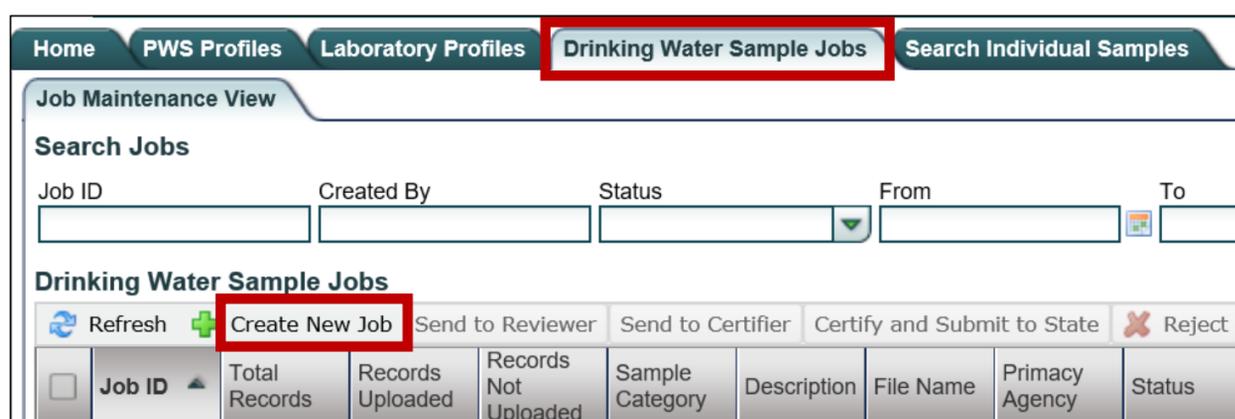
This document is divided into four separate parts (as shown below) and provides instruction on how to upload an XML file into CMDP, identifies items to consider when addressing validation errors within CMDP and highlights the most common reasons why samples are rejected from the State.



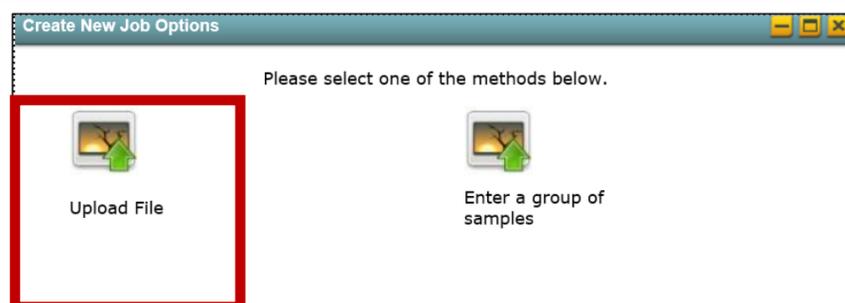
As a reminder, before you upload the sample job use the [DEC Lab Data Submission Guides](#) to ensure the data is complete. These documents outline the federal and state specific requirements for a successful upload.

Part 1: Upload Sample Job Information

Step 1: To create a new Sample Job, go to the **Drinking Water Sample Jobs** tab and select **Create New Job**.

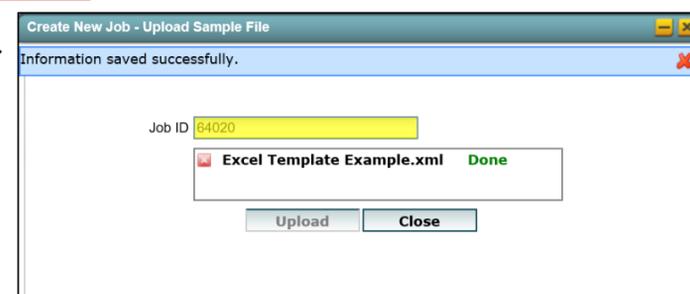


Step 2: From the pop-up window, select the **Upload File** option.



Then, click the **Choose a file to upload...** link to select the XML file. Then, navigate to the appropriate folder where your XML file is located, select it and click **Open**.

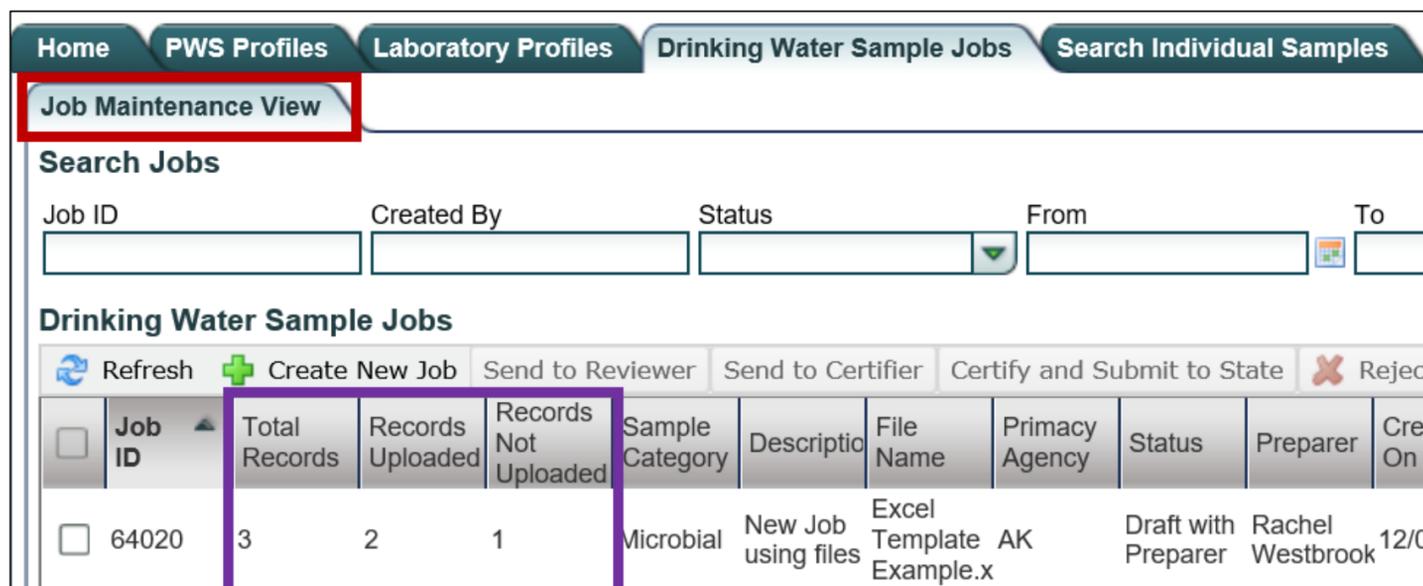
Wait until the **Done** icon is displayed (located next to the XML file name) before clicking the **Upload** button.



A message stating **Information saved successfully** will appear at the top of the dialog box and a **Job ID** will be listed within the grayed out field. (This number is automatically assigned by CMDP.)

Step 3: After clicking the **Close** button, check the **Job Maintenance View** tab to confirm that **all sample data was uploaded**.

From the **Job Maintenance View** tab, three columns will indicate whether or not all sample data was uploaded into CMDP (three columns include: **Total Records**, **Records Uploaded**, **Records Not Uploaded**).



*If a number other than zero is listed under the **Records Not Uploaded** column (screen shot to the right), this indicates a significant field for fields (e.g., Sample ID, WS ID, etc.) were incorrect or left blank in the XML upload.*

*If a zero is listed under the **Records Not Uploaded** column, this indicates that all sample data was uploaded into CMDP. However, this does not mean all samples submissions are error free.*

In either case, proceed to [Part 2](#) to determine whether any errors are present **BEFORE** samples are submitted to the State.

Part 2: Review Validations Tab

IMPORTANT: Be aware, three different types of validation errors can occur with any sample data (three validation types include: **XML Errors**, **Federal Reporting Errors** and **State Reporting Errors**). The **XML Submittal Validation Errors** and **Federal Reporting Validation Errors** are viewed through the **Validations** tab. Meanwhile, the **State Reporting Errors** can be issued after a Sample Job is submitted to the State.

Step 1: To review the validation errors, open the Sample Job and click on the **Validations** tab. This is a very important step because addressing errors listed here will reduce the number of submission rejections issued by the State.

If no validation errors were identified, the “No items to show” notification will be displayed in the **Federal Reporting Validation** section, **AND** the numbers listed under the **With Errors** column **all equal “0”** shown within the **XML Submittal Validation** section.

If the **Validations** tab looks like the **screen shot to the right**, proceed to **Part 3** of this document.

Federal Reporting Validation Results			
Category	Sample Identifier	Validation Category	Error Description
No items to show.			

XML Submittal Validation Summary			
Category	Total	Without Errors	With Errors
Microbial	3	3	0
Chem/Radionuclides	0	0	0
Cryptosporidium	0	0	0
Operational	0	0	0
Composite	0	0	0

If the **Validations** tab looks like the **screen shot below**, additional review is needed.

If validation errors are identified **one or both** of these error indicators may be present:

- Under the **Federal Reporting Validation** section *one or more messages will be displayed.*
- Under the **XML Submittal Validation** section the **With Errors** column *includes a number of 1 or greater.*

If the sample job has both XML and Federal Reporting errors, correct the **XML Submittal Validation errors first** as these are critical errors that prevent samples from being uploaded into CMDP. Once those are corrected, then address the **Federal Reporting Validation**.

To correct **XML Submittal Validation** errors to go [page 3](#).

To correct **Federal Reporting Validation** errors go to [page 4](#).

Federal Reporting Validation Results			
Category	Sample Identifier	Validation Category	Error Description
Microbial	jobId=64020, wsId=AK2110643, facilityName=DS INFILTRATION GALLERY, sampleCategory=Microbial, collectionDate=12/03/2019, labSampleCd=T3BAD	Federally Required or Conditionally Required	Missing Data for Fields [Collection Time]

XML Submittal Validation Summary			
Category	Total	Without Errors	With Errors
Microbial	3	2	1
Chem/Radionuclides	0	0	0
Cryptosporidium	0	0	0
Operational	0	0	0
Composite	0	0	0

XML Submittal Validation Error Details			
Category	Validation Category	Sample Identifier	Error Description
No items to show.			

XML Submittal Validation Summary/ XML Submittal Validation Error Details

- Check the **XML Submittal Validation Summary** table, specifically the **With Errors** column (e.g., number of records with errors identified). If there are errors, a number of 1 or greater will be listed in the **With Errors** column. Click on the individual row to display the error message in the **XML Submittal Validation Error Details** table. Errors displayed in this table include invalid data entries and missing software required fields for each sample.

XML Submittal Validation Summary			
Category	Total	Without Errors	With Errors
Microbial	3	2	1
Chem/Radionuclides	0	0	0
Cryptosporidium	0	0	0
Operational	0	0	0
Composite	0	0	0

XML Submittal Validation Error Details			
Category	Validation Category	Sample Identifier	Error Description
Microbial	Critical	{"wslid":"AK2110520","jobId":"64020","stateAssignedFacId":"DS0001","sampleCategory":"Microbial","sampleCd...":"T2BAD","collectionDate":"2019-12-03"}	{"facSamplingPointId":"Invalid Facility Sampling Point Id.,"facilityId":"Invalid Facility Id."}

The information below provides a brief description of each column within **XML Submittal Validation Error Details** table and how users can navigate through the information.

- Category:** This column lists the type of sample group as it relates to the specific sample with an error. The categories listed can include: Microbial, Chem/Radionuclides or Cryptosporidium.
- Validation Category:** This column identifies the severity level for the type of error identified (e.g., Critical).
- Sample Identifier:** This column provides details on the specific sample that contains the XML errors. The information merely identifies the sample, it does not describe the error. For instance, the screen shot above (highlighted text under column 3) identifies that an error occurred with the sample from **AK2110520** and the sample job is **64020** with a facility code of **DS0001**. It is a **Microbial** sample with an assigned lab sample identification number of **T2BAD** collected on **12/03/2019**. Specifically, the type of information displayed within this section includes the following:
 - wslid:** Public Water System identification number
 - jobId:** Job sample identification code assigned by CMDP
 - stateAssignedFacId:** Water system facility code entered in CMDP
 - sampleCategory:** Type of sample classification (i.e., Microbial, Chem/Radionuclides, Cryptosporidium)
 - sampleCd:** Lab sample identification number
 - collectionDate:** Date sample collected (YYYY/MM/DD)
 - analyteCd:** Sample analyte(s) code/name
- Error Description:** This column describes the specific error that has occurred with the sample submission. Refer to the Data Validation Error Table on [page 7](#), under the **XML Submittal Validation Errors** section, for a list of *CMDP error messages* along with an *explanation of the error* that could occur.

- Once all validation errors listed are reviewed within this section, make note of all errors then **delete the Sample Job** from CMDP. To delete the Sample Job, click the **Remove** button located under the **Drinking Water Sample Jobs** menu (screen shot below).

Drinking Water Sample Jobs												
Refresh Create New Job Send to Reviewer Send to Certifier Certify and Submit to State Reject Remove Download Samples												
<input type="checkbox"/>	Job ID	Total Records	Records Uploaded	Records Not Uploaded	Sample Category	Description	File Name	Primacy Agency	Status	Preparer	Created On	Reviewer
<input checked="" type="checkbox"/>	64020	3	2	1	Microbial	New Job using files	Excel Template Example.xml	AK	Draft with Preparer	Rachel Westbrook	12/05/2019	

- Make the appropriate edits to the Excel Template or other laboratory reporting system and re-upload the corrected submission (following the process outlined in [Part 1](#)). Be sure to confirm no additional errors appear on the **Validations** tabs within the **XML Submittal Validation** and the **Federal Reporting Validation** sections.

If there are no additional errors on the **Validations** tab, proceed to [Part 3](#).

Federal Reporting Validation Results Table

➤ This table contains results of validations checked against fields that are federally required/conditionally required. If fields are left blank or information is entered incorrectly, they will be listed as errors in this table. If the user double clicks on an individual row in this table, they will be brought to the specific sample submission.

1	2	3	4
Category	Sample Identifier	Validation Category	Error Description
Microbial	jobId=64020, wsId=AK2110643, facilityName=DS INFILTRATION GALLERY, sampleCategory=Microbial, collectionDate=12/03/2019, labSampleCd=T3BAD	Federally Required or Conditionally Required	Missing Data for Fields [Collection Time]

The information below provides a brief description of each column within **Federal Reporting Validation Results** table and how users can navigate through the information.

- 1 Category:** This column lists the type of sample group as it relates to the specific sample with an error. The categories listed can include: Microbial, Chem/Radionuclides or Cryptosporidium.
- 2 Sample Identifier:** This column provides details on the sample that contains the Federal reporting error(s). The information merely identifies the sample, it does not describe the error. For instance, the screen shot above (highlighted text under column 2) identifies that an error occurred with the sample job **64020** and this sample job is from **AK2110643** with a facility name of **DS INFILTRATION GALLERY**. It is a **Microbial** sample with a collocation date of **12/03/2019**, assigned a lab sample identification number of **T3BAD**. Specifically, the type of information displayed within this section includes the following:
 - jobId:** Job sample identification code assigned by CMDP
 - wsId:** Public Water System identification number
 - facilityName:** Water system facility name
 - sampleCategory:** Type of sample classification (i.e., Microbial, Chem/Radionuclides, Cryptosporidium)
 - collectionDate:** Date sample collected (MM/DD/YYYY)
 - labSampleCd:** Lab sample identification number
 - analyteName:** Sample analyte(s) code/name
- 3 Validation Category:** This column identifies the severity level for the type of error identified (e.g., federally required/conditionally required).
- 4 Error Description:** This column describes the specific error that has occurred with the sample submission. Refer to the Data Validation Error Table on [page 7](#), under the **Federal Reporting Validation Errors** section, for a list of *CMDP error messages* along with an *explanation of the error* that could occur.

➤ Once all validation errors listed are reviewed within this section, make note of all errors then **delete the Sample Job** from CMDP. To delete the Sample Job, click the **Remove** button located under the **Drinking Water Sample Jobs** menu ([screen shot below](#)).

Drinking Water Sample Jobs												
Refresh Create New Job Send to Reviewer Send to Certifier Certify and Submit to State Reject Remove Download Samples												
<input type="checkbox"/>	Job ID	Total Records	Records Uploaded	Records Not Uploaded	Sample Category	Description	File Name	Privacy Agency	Status	Preparer	Created On	Reviewer
<input checked="" type="checkbox"/>	64020	3	2	1	Microbial	New Job using files	Excel Template Example.xml	AK	Draft with Preparer	Rachel Westbrook	12/05/2019	

➤ Make the appropriate edits to the Excel Template or other laboratory reporting system and re-upload the corrected submission (following the process outlined in [Part 1](#)). Be sure to confirm no additional errors appear on the **Validations** tabs within the **XML Submittal Validation** and the **Federal Reporting Validation** sections.

If there are no additional errors on the [Validations](#) tab, proceed to [Part 3](#).

Part 3: Submit Sample Job

Step 1: Once the user has confirmed that **no errors exist from the Validations tab**, the Sample Job can be submitted to the State. To submit a sample, go to the **Job Maintenance View** tab, enter the **Job ID** into the search bar and click on the **check box** to select the appropriate job.

Step 2: Click the **Send to Reviewer** button on the Drinking Water Sample Jobs menu.

A pop-up will ask you to select the appropriate individual. After the user has selected the reviewer, click the **Submit** button. Then, a confirmation window will pop-up stating the job was successfully submitted for review. Click **OK**.

An email will be sent to the assigned reviewer's email indicating that a job is ready for review (example screen shot to the right). The email is simply an instant notification. The user does not have to do anything with the email or even exit out of CMDP. This convenience feature was integrated into CMDP in case there are multiple individuals in different roles within a single organization.

Step 3: Then, the Sample Job should be sent to the certifier by clicking the **Send to Certifier** button.

Again, a pop-up will ask the user to select the appropriate certifier. Then, a confirmation window will pop-up stating the job was successfully submitted to the certifier.

An email will be sent to the assigned certifier's email indicating that a job is ready for the final evaluation.

Step 4: When the certifier or Lab System Administrator is prepared to submit the Sample Job, click the **Certify and Submit to State** button.

Then, enter your **user name** and **password**.

The user will be asked a security question (highlighted by red box in screen shot to the right) and must click the **check box** (indicated by red arrow in screen shot to the right) to certify the information provided was true and accurate.

To move forward, click the **Submit** button.

A final confirmation window will pop-up. Then, click the **OK** button to complete the submission process.

The user will be able to see exactly when the data was submitted to the State and who the preparer, reviewer and certifier were and when the certification steps were completed as displayed in the job details row. This row will update automatically once the user clicks **OK** on the pop-up window.

Job Maintenance View

Search Jobs

Job ID: [] Created By: [] Status: [] From: [] To: [] File Name: []

Drinking Water Sample Jobs

Refresh Create New Job **Send to Reviewer** Send to Certifier Certify and Submit to State Reject Remove Download Samples

Job ID	Total Records	Records Uploaded	Records Not Uploaded	Sample Category	Description	File Name	Primacy Agency	Status	Preparer	Created On	Reviewer	Reviewed On
<input checked="" type="checkbox"/> 64031	3	3	0	Microbial	New Job using files	Excel Template Example Corrected.xl	AK	Draft with Preparer	Rachel Westbrook	12/05/2019		

Send Data to Reviewer

Select Individual: []

Are you sure you want to send this job to the reviewer?

Submit

- Rachel Westbrook
- Marci Irwin
- Jeanine Vance
- Kathleen Spaulding

Send Data to Reviewer

One or more jobs successfully submitted for review

OK

Reply Reply All Forward

Wed 7/18/2018 10:15 AM

cmdp@epa.gov

Notification Email

To: Westbrook, Rachel E (DEC)

Dear CMDP User

Job:64031 has been created and is now ready for review

Please log in to the CMDP to view more details.

You are receiving this message because you are listed as a reviewer in the CMDP.

THIS IS AN AUTOMATED MESSAGE. PLEASE DO NOT REPLY.

Job ID: [] Created By: [] Status: [] From: [] To: [] File Name: []

Drinking Water Sample Jobs

Refresh Create New Job Send to Reviewer **Send to Certifier** Certify and Submit to State Reject Remove Download Samples

Job ID	Total Records	Records Uploaded	Records Not Uploaded	Sample Category	Description	File Name	Primacy Agency	Status	Preparer	Created On	Reviewer	Reviewed On
<input checked="" type="checkbox"/> 64031	3	3	0	Microbial	New Job using files	Excel Template Example Corrected.xl	AK	Draft with Reviewer	Rachel Westbrook	12/05/2019		

Job ID: [] Created By: [] Status: [] From: [] To: [] File Name: []

Drinking Water Sample Jobs

Refresh Create New Job Send to Reviewer Send to Certifier **Certify and Submit to State** Reject Remove Download Samples

Job ID	Total Records	Records Uploaded	Records Not Uploaded	Sample Category	Description	File Name	Primacy Agency	Status	Preparer	Created On	Reviewer	Reviewed On
<input checked="" type="checkbox"/> 64031	3	3	0	Microbial	New Job using files	Excel Template Example Corrected.xl	AK	Draft with Certifier	Rachel Westbrook	12/05/2019	Rachel Westbrook	12/05/2019

Question

Job Id: 63414

Submission Context: [Download Sample XML](#)

Attachments

File Name	Description	Date Added	Added By
No items to show.			

1 selected Job(s) will be certified and submitted to state. Please complete the information below.

Question: What is the first and middle name of your oldest sibling?

[] I certify, under penalty of law that the information provided in this document is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment for knowing violations.

Please ensure that you have reviewed all selected jobs before submitting. You will not be able to update the selected jobs after submitting them to the state.

Submit

Submitted to State

One or more jobs successfully submitted to State

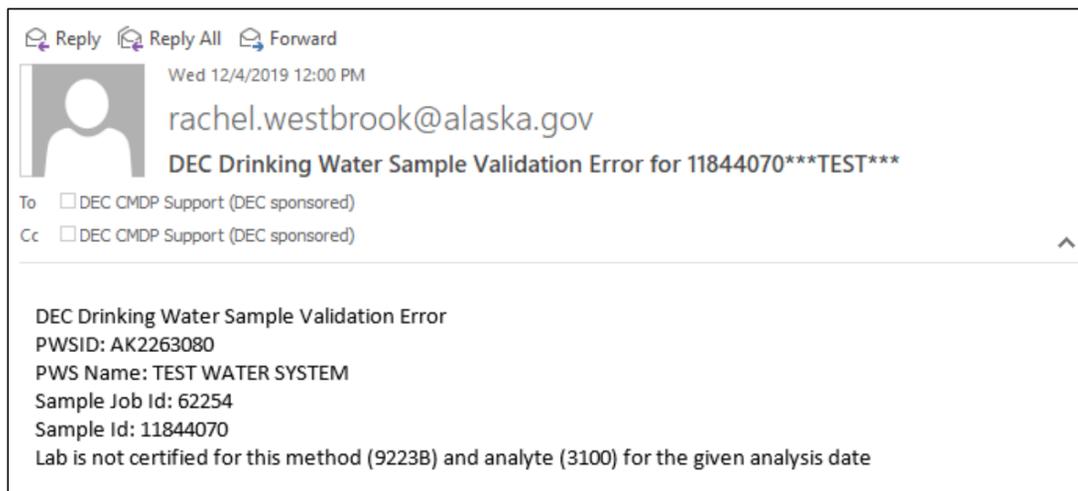
OK



Part 4: State Validation Errors

After the Sample Job is submitted to the State there is still a possibility the sample may be rejected during the state validation process (meaning the errors will not necessarily be listed on the **Validations** tab in CMDP). **The following steps outline how to address rejected sample submissions.**

Step 1: If a data error was identified in a sample submission *AFTER* it was accepted by the State, the State will notify laboratory staff via email explaining the sample has been rejected along with the reason for the rejection (example screen shot to the right).



In order to understand the type of error that occurred, refer to the Data Validation Error Table on [page 7](#), under the **State Validation Errors** section, for a list of *CMDP error messages* along with an *explanation of the error* that could occur.

Step 2: Once the user understands the issue, make the appropriate correction(s). However, be aware this process is different than errors corrected *PRIOR* to the sample submission to the State (i.e., errors list on the **Validations** tab).

To correct errors *AFTER* the sample has been submitted to the State (as identified in the Validation Error email) the user must make the appropriate edits to the Excel Template or other laboratory reporting system and re-upload the corrected submission.

- CMDP will **not allow the same Sample ID number to be used twice**. So, after the validation errors are corrected, be sure to **add an "X" to the beginning of the Sample ID #** (e.g., Field name changed from 11844070 to **X11844070** highlighted in screen shot below.).
- Also indicate the sample is a resubmission within the Comments field and include the Original CMDP Sample Job ID. (Example comment wording: *“Sample resubmission due to rejection for missing sample location. Original Job ID 1531”* highlighted in screen shot below.)
- If using the Excel Template, generate the corrected XML file. It is recommended to rename the **XML file** with a naming convention that indicates the sample/result is a resubmission.

Reporting Lab. ID *	AK00961	Generate XML															
Sample Information																	
(* - Field required for record to exist)																	
Sample ID *	Sample Received Date ^f	WS ID *	Facility ID *	Sampling Point ID *	Sampling Location	Collection Date ^{*f}	Collection Time (24H) ^f	Sample Type ^{*f}	Sample Volume (ML) ^f	Repeat Location	Original Sample ID ⁺	Original Reporting Lab.ID	Original Collection Date	Comment	Sample Collector Name		
X11840070	12/2/2019	AK2263080	DS001	SPDS001TCR	CREEK CENTER	12/2/2019	10:10	Routine	100					Sample resubmission due to rejection for missing sample location. Original Job ID 1531.	RW		

Step 3: Once the XML is generated, *re-upload the sample submission* into CMDP, *review the Validations tab* for any inconsistencies and *submit the sample/result* to the State (following the process outlined on [pages 1-5](#) of this document).

NOTE: In the event an error has been identified with a submitted result through your lab data verification procedures or by some other means (but has not been rejected by the DW Program), contact the CMDP Helpdesk or DW Environmental Technician staff for guidance on resolving this issue. In order to ensure the erroneous sample is removed from the state database and replaced with the corrected sample result, DW Program staff must be alerted to the situation in advance (i.e., Do NOT simply re-submit the a sample without contacting the DW Program).

Congratulations! This completes the process for addressing rejected sample submissions.

DATA VALIDATION ERROR TABLE

The table below highlights the various *CMDP error messages* along with an *explanation of the error*. This table also highlights the specific fields that could generate the error.

NOTE: The (xxxx) denoted in the **Rejection Message** column acts as a placeholder indicating unique information related to the sample submission will be displayed here (e.g., analyte code, method code).

Category	CMDP Error Message	Explanation of Error
XML Submittal Validation Errors	{"collectionDate": "Date is not a valid date in the required format."}	No data entered in Collection Date field or data entered incorrectly. Please add data and resubmit.
	{sampleRecievedDt: "Sample Received Date must be after Collected Date."}	Confirm the Sample Received Date is a date occurring on or AFTER the Collection Date .
	{"facSamplingPointId": "Invalid Facility Sampling Point Id."}	The Sampling Point ID entered is not associated to the water system or is not associated to the Facility ID entered. Review the Sample Point ID field and confirm this information is associated to the correct contaminant and water system. Confirm this information from the annual Monitoring Summary, DEC Excel Look-Up tool , contacting the PWS or DW Program directly.
	{"facilityId": "Invalid Facility Id."}	Facility ID entered is not associated to the water system or is entered incorrectly. Review the Facility ID field and confirm this information from the annual Monitoring Summary, DEC Excel Look-Up tool , contacting the PWS or DW Program directly.
	{"legalEntityId": "Invalid Lab Id."}	The lab ID code entered in the Reporting Lab ID or Analyzing Lab ID field is not correct. Confirm the Reporting Lab ID or Analyzing Lab ID listed in the template is entered correctly and confirm the lab is certified in Alaska.
	{"wsId": "wsId is required"}	Confirm information within WS ID field (or PWSID) is accurate. If no data present, then add PWSID information into WS ID field.
	{"methodId": "Invalid Method Code Ref Id."}	Method code entered in Method field is not compatible with entered analyte or Method Code submitted does not exist. Refer to the Method Chart in appropriate DEC Lab Data Submission Guides for correct Method Code.
	{originalSampleId: "Original Sample Id is required when Sample Type is Repeat, Triggered, or Confirmation."}	When the Sample Type is listed as <u>Repeat</u> , <u>Triggered</u> , or <u>Confirmation</u> it must be associated to original present sample.
	{"SampleExists": "Sample already exists"}	Sample submission has previously been uploaded into CMDP. If all the information is correct, re-upload the sample with a different Sample ID (i.e., from 1184407005 to 1184407005-01).
	{"count": "Count must be greater than zero"}	Total Coliform present sample where value is listed as 0 (zero) under the Count field.
	{"result": "Result must be greater than zero when Not Detected is unchecked"}	Contaminant is detected in sample, so value in Result field must be greater than zero.
	{"resultUomid": "Missing/Invalid Result UOM"}	Contaminant is detected in sample, so value in Result UOM field must contain information.
	{"ap": "A/P has no value"}	TC sample does not have a Presence/Absence indicator under the A/P field.
Federal Reporting Validation Errors	Missing Data for Fields [sampleRecievedDt]	No data entered in Sample Received Date field. Please add data and resubmit.
	Missing Data for Fields [sampleVolume]	No data entered in Sample Volume field. Please add data and resubmit. <i>NOTE: Only required for Microbial Samples.</i>
	Missing Data for Fields [Collection Time]	No data entered in Collection Time (24H) field. Please add data and resubmit.
	Missing Data for Fields [Missing Sample Result for E.coli Given Reported TC+ Sample Result]	<i>E.coli</i> sample result was not submitted with TC+ sample result. Please add data and resubmit.
	Missing Data for Fields [Volume Assayed]	No data entered in Volume Assayed field. Please add data and resubmit.
	Missing Data for Fields [Method]	No data entered in Method field.
	Missing Data for Fields [Analysis Start Date]	No data entered in Analysis Start Date field. Please add data and resubmit.
	Missing Data for Fields [analysis StartTime]	No data entered in Analysis Start Time field. Please add data and resubmit.
State Validation Errors	Lab is not certified for this method (xxxx) and analyte (xxxx) for the given analysis date	Method field contains method code that Analyzing Lab is not certified for. Review Method field and confirm Analyzing Lab is certified for method code. Refer to DEC Lab Data Submission Guides for additional information.
	Required field: Sampling location identifier is missing	Resubmit sample with Sampling Location information included.
	Sample age for Sample Result (xxxx) is beyond the allowed limit	Sample result exceeds hold time. Analysis Start Date value entered is more than 30 hrs. from Collection Date .
	No reporting limit given for Sample Result	The Reporting Limit field is either left blank or listed as zero (0) for Non-Detected Chem/Rad samples. Resubmit sample with Reporting Limit information included and confirm value is not zero (0).
	Distribution Chlorine submitted incorrectly. Do NOT report as CHLORINE, report as either FreeChlorineResidual or TotalChlorineResidual. If not noted on COC which type of distribution chlorine report as FreeChlorineResidual.	Resubmit as either FreeChlorineResidual or TotalChlorineResidual as noted on the TC/EC DEC Lab Data Submission Guide for the Excel Template.
	Sample submitted with no analysis result	Resubmit sample with Analyte Result information included.
Invalid data: Lab Sample ID is too long. Maximum allowed length: 20 characters	Resubmit sample with Sample ID that is within 20 character limit.	