

Guide to ESR-NHS Pensions Interface Reports (Fatal Errors/Warnings)

This guide is intended to assist employers in understanding the reasons for NHS Pensions rejection of data received via the ESR-NHS Pensions Interface. It is hoped that the NHS Hub Reports containing details of these errors/ warnings will assist understanding of how these issues are created and why items are rejected or queried and therefore help keep both systems reconciled.

What are fatal errors/warnings?

When an ESR-NHS interface is processed by NHS Pensions it looks to determine that the information on the interface file is in the required format, meeting given criteria to enable successful processing through the NHS Pensions system, both at file and member level.

Some cases produce a “fatal error” which means the data cannot be accepted by NHS Pensions and is therefore rejected. Other items produce a “warning” which means although it has passed through the NHS Pensions validation system it may have created an error in Pensions Online Error Handling. The warning is to identify that the issue has been created by the data submitted and the ESR record may need amendment.

The intention of this guide is to give an understanding of the reasons for the issue in order that you may try and avoid future occurrences and also alert you to the fact that something has not worked as expected and corrective action may be required.

ESR produces interfaces as follows:

- Joiner (NWJ) Interface: Files produced weekly
- Leaver (PAY) Interface: Files produced weekly
- Change (CHG) Interface: Files produced daily
- Annual Update (PYE) Interface: Files produced annually

How will I receive the Fatal Errors Report?

Providing you have access to the NHS Hub Pensions Interface Reports (accessed via <https://esrnshub.mhapp.nhs.uk/cgi-bin/PenFileManager/ManagerBasic.pl>, and described in document ESR-NHS0117 PENSIONS FILE MANAGER), you will receive an automated email from ESR advising whether you have any fatal errors that have been created from the processing of an ESR interface. A report in the form of an excel spreadsheet will be available for collection from the NHS Hub.

Example of Fatal Errors Report

FH	PA_REP_20130128_000006.DAT	28012013				Interface type	Fatal Error/Warning Reason
						↓	↓
RR	111	4999	10300002-3	PA_CHG_20121126_00010001.DAT	20130128	CH	Excluded Flag Set
RR	111	4999	10300004-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:DOB:99999999
RR	111	4999	10300004-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:ChangeDate:
RR	111	4999	10300005-3	PA_CHG_20121126_00010001.DAT	20130128	CH	Excluded Flag Set
RR	111	4999	10310001-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:NINO:AD000000A
RR	111	4999	10310002-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:NINO:AD301002E
RR	111	4999	10310004-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:DOB:
RR	111	4999	10310005-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:DOB:99999999
RR	111	4999	10310006-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:Surname:
RR	111	4999	10310011-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:SD:56000000
RR	111	4999	10310011-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:AgeV:X
RR	111	4999	10310011-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:Sex:A
RR	111	4999	10310011-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:FormerName:SMITH/JONES
RR	111	4999	10310011-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:NIClass:1
RR	111	4999	10310013-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:JobCode:9
RR	111	4999	10310013-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:Emptype:8
RR	111	4999	10310013-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:AsWhen:Q
RR	111	4999	10310013-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:Locum:Q
RR	111	4999	10310013-3	PA_CHG_20121126_00010001.DAT	20130128	CH	DATA OUT OF RANGE:MHO:4
RR	111	4999	10110013-5	PA_NWJ_20121126_00010001.DAT	20130128	NJ	DATA OUT OF RANGE:Emptype:8
RR	111	4999	10110013-5	PA_NWJ_20121126_00010001.DAT	20130128	NJ	DATA OUT OF RANGE:AsWhen:Q
RR	111	4999	10110013-5	PA_NWJ_20121126_00010001.DAT	20130128	NJ	DATA OUT OF RANGE:Locum:Q
RR	111	4999	10110013-5	PA_NWJ_20121126_00010001.DAT	20130128	NJ	DATA OUT OF RANGE:MHO:4
RR	111	4999	10110013-5	PA_NWJ_20121126_00010001.DAT	20130128	NJ	Field not expected to be set to a negative value:AnnualBasic:-100

List of Error Types & Action Needed

ERROR TEXT	F= Fatal Error W=Warning E= Either	ACTION TO TAKE
ASSIGNMENT NUMBER SUSPENDED	F	Records may be suspended at an assignment level. This may be either via a request from you or by NHS Pensions as a result of corrupt data being sent over the ESR Interface for the assignment. You will need to manually bring the record up to date via the relevant Pensions Online form.
CONTRIBUTION RATE - CHANGE IN EARLIER SCHEME YEAR	W	Only changes that occur within the current year, before the end of year interface is processed, will process successfully through NHS Pensions Batch Validation system. Changes for previous years will not be accepted. You should contact NHS Pensions to make the change on your behalf.
DATA OUT OF RANGE	E	<p>This covers any data field on an interface. Until the members ESR record is amended and these data fields corrected this error/warning will continue to be produced and the update may be suppressed. You should use the relevant E-Form in Pensions Online to submit the joiner/update/change if it is still relevant. Examples of some cases are as follows:</p> <p>FormerName: Latham (Maiden) – (Maiden) needs to be removed from the former name field in ESR.</p> <p>NINO:WE000000A – all zeros in an NINO is not valid and is not used by HMRC. Amend ESR to show the correct NINO and submit your joiner via Pensions Online. If the correct NINO is not know leave the field blank on the Pensions Online joiner form. If you do not know the NI Number simply leave the field blank</p> <p>NINO:SE288559 – NINO is incomplete as no suffix is present. Amend in ESR and submit this joiner via Pensions Online with the full NINO. If the employee has a DWP document with a number that has a missing suffix it is a temporary number for DWP use only and should not be used. The employee should be encouraged to apply for an NI number.</p> <p>FormerName:Coak/Manser – “/” is an invalid character in a name field. The former name field should be completed with the members surname immediately prior to their current surname. Only 1 name should be entered.</p>
DATE AND REASON FOR LEAVING REQUIRED	W	Leaver details have been received without a date of termination or a leaving reason, or the leaving reason is not recognised text. If the reason for leaving code was missing or not recognised NHS Pensions will convert this to update reason 01 and process the leaver. If this is incorrect please advise NHS Pensions. If the leaver has not processed you will need to submit an SD55T via Pensions Online.
DATE OF LEAVING BEFORE 01.01.2010 (previously prior to ESR migration)	F	Check the Date of Termination entered into ESR was correct and amend ESR where necessary. As the leaver will not have processed the leaver details will need submitting via Pensions Online.

		Often this error is caused by entries in the override start date or override end date on the NHS Pensions element. Also, late entry of final processing date can cause this issue.
DATE OF LEAVING NOT IN APPROPRIATE PAY PERIOD	F	<p>The ESR Interface for leavers only supports leaving dates that are no earlier than the previous scheme year. For example: if the run date is March 2013 then any leaver date before 01.04.2012 is not supported and you will need to submit an SD55T or Protected Leaver via Pensions Online.</p> <p>For Leaver Adjustments only adjustments in the current scheme year are supported and you would need to submit an SD55E via Pensions Online to make the relevant changes.</p> <p>ESR will send changes to assignments that have left the pension scheme as long as they remain on ESR. Please ensure you have final processing dates entered on a regular basis, the Mass End Assignment process should be run on a periodic basis.</p>
EMPLOYMENT START DATE LATER THAN END DATE	F	The ESR pensionable service start date is later than the date of leaving. Check the dates entered into ESR were correct and amend ESR where necessary. As the leaver will not have processed the leaver details will need submitting via Pensions Online.
ESR WARNING MESSAGE PRESENT	Y	Check the reason for the warning message being present is still valid and if not take steps for its removal where relevant, to prevent this happening on the next update. Where necessary update the member record via Pensions Online.
EXCLUDED FLAG SET	Y	You should check whether the excluded flag (set by yourselves) should still be set and unset if relevant. You will also need to bring the member record up to date via Pensions Online, if appropriate.
FIELD CONTAINS UNEXPECTED **NULL**	E	This report is created where a Change Interface is received advising a field value previously reported on the ESR interface has been removed/set to blank. This error is reported for fields where we would not expect the field value to be empty.
FIELD NOT EXPECTED TO BE SET TO A NEGATIVE VALUE	W	Negative values should not be present in any field. Check the members' contributions and pay details to determine why ESR is notifying a negative value. You may have to also check the pay and contributions for the previous year to see if these are also correct. If there have been any pay adjustments for the previous year this could be the reason why negative values are incorrectly being reported this year. It is likely these cases will have created an error in Pensions Online Error Handling. To be able to process the update NHS Pensions have amended the field from a negative value to zero which will have created an error in Employer Error Handling. The ESR-NHS Interface report will display the original data submitted. Please check Employer Error Handling for a corresponding error.

HISTORIC START DATE	F	If the Pensionable Service start date received on a new joiner is before 01/01/2010 it will not be processed and this error will be generated. As NJ interfaces should be created on a regular basis a start date more than 2 years old should be investigated to determine whether there is an issue in the creation of the interface. The joiner will not have processed therefore a joiner will require submitting via Pensions Online.				
INCORRECT JOB CODE FOR AS & WHEN OR LOCUM EMPLOYMENT	W	Only medical grades can be recorded as "As & When" or "Locum" therefore either the job code should be "03" or the employment should not be recorded as "As and When" or "Locum". An error will have been created in Employer Error Handling in Pensions Online. The details held within ESR may also require amendment.				
INVALID BANK STAFF DATA	F	This ESR error is created where the Bank flag is set but the employment is not part time. Amend ESR to reflect the correct details and this will prevent this error being created in the future. The member record will require updating via Pensions Online.				
INVALID DATA TYPE	F	<p>This error will be reported where the data is not in the format expected for that field, for example:</p> <table border="0"> <tr> <td>ErrField</td> <td>ErrData</td> </tr> <tr> <td>AddPen1</td> <td>Ref SR0831054</td> </tr> </table> <p>The record will not process and an error may, in some cases, be created in Employer Error Handling. Either resolve and re-process the error in Error Handling, or where not present submit your update via Pensions Online.</p> <p>This error may also be created where the data is too long for the field. Prior to processing NHS Pensions will restrict the data to the length of the field. In this case you should check the data and if incorrect amend via the normal route. In both scenarios you may need to amend the information held within ESR.</p> <p>Although the Reference number reported on the letter authorising the Additional Pension is listed as one numeric, the reporting requirements are two numeric therefore enter a leading zero. The number should normally be 01, 02, 03 or 04, it is very rare it will be higher than this. Examples of bad practice are names, SD number or paying over x years.</p>	ErrField	ErrData	AddPen1	Ref SR0831054
ErrField	ErrData					
AddPen1	Ref SR0831054					
INVALID EMPLOYMENT CONTRACT DATA	W	This is a warning to notify you that some employment contract data is invalid and an error will have been created in Employer Error Handling in Pensions Online. An example is where the employment is part time, is not "As and When" and contracted weekly hours have been submitted as "0". The invalid field and the value it held will be displayed on the report. The ESR record should be amended to hold the correct data and the error corrected and resubmitted via Employer Error Handling.				
JOINER ASSIGNMENT NUMBER MATCHES EXISTING	F	The assignment number submitted matches an existing record at NHS Pensions where the employment is still open. Update the members record using POL as appropriate. You may need to close the existing open employment prior				

RECORD		to submitting a joiner for this Assignment.
OPT OUT ZERO VALUES	F	A leaver for a member who has opted out of the Pensions Scheme has been received with zero contributions and the leaving date is more than 70 days after the pensionable start date. Please refer to the guidelines issued by NHS Pensions for dealing with members opting out of the Scheme.
PREVIOUS CONTRIBUTION RATE FOR THIS ASSIGNMENT NOT FOUND	W	This error has been created as a change to contribution rate has been received by NHS Pensions but there is no record of a previous contribution rate being held which suggests the member may have opted out of the scheme or joiner details have not been submitted or have been submitted and have not yet processed as they are in Error Handling. You should check Error Handling and resolve the error or investigate why the member has not been included in an NJ interface. If the latter applies you may also need to submit a joiner via Pensions Online.
PT FRACTION < 1 BUT EMPLOYMENT NOT SHOWN AS PT	W	This is a warning to alert you to the fact that the p/t details received indicate the employment is p/t but the wt/pt indicator is showing whole time. The details held within POL and ESR may require amendment.
PT FRACTION = 1 BUT EMPLOYMENT NOT SHOWN AS WT	W	This is a warning to alert you to the fact that the p/t details received indicate the employment is w/t but the wt/pt indicator is showing part time. The details held within POL and ESR may require amendment.
PT FRACTION SHOWN FOR WT EMPLOYMENT	W	This is a warning to alert you to the fact that a p/t fraction was received for an employment that is shown as w/t. The details held within POL and ESR may require amendment.
RECORD TYPE INVALID	F	The record type on the interface is invalid for the file type. The member record will not have been updated in these circumstances and will require updating via Pensions Online. You may also wish to bring this to the attention of ESR.
VPD / EA Code COMBINATION NOT RECOGNISED	F	All records for this Trust have been rejected as NHS Pensions have not been notified of this VPD/EA Code and cannot process the interface. Please take relevant action to formally notify NHS Pensions of the VPD/EA Code and check with NHS Pensions what action needs to be taken for records already rejected for this reason.

WEEKLY SESSIONS CONVERTED TO HOURS WHERE JOB CODE NOT 03, 08 OR 10	W	If NHS Pensions receive Sessions on a leaver or cyclic for a post where the Capacity is other than 3, 8 or 10 (medical or dental) then they are converted to hours using a factor of 1 Session = 3.5 hours. Reporting of this warning can be avoided if the sessional contract is converted to hourly within ESR.
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