

# SRS Automation Portfolio – Secondary Type 5 Queries II

## Automation Solution

### 1 Solution Summary

The Secondary Type 5 Queries II Automation Solution (ST5QAS) is part of the SRS Automation Portfolio being developed to automate the clerical processing of queries received from pension schemes as part of the Scheme Reconciliation Service (SRS) offered by HMRC.

ST5QAS targets “Secondary Type 5” queries. As part of the Scheme Reconciliation process, SRS has identified individuals as members of a scheme, but has been unable to ascertain the correct period GMP value or revaluation rate and has identified these accounts as “Type 5”. ST5QAS will provide membership details, GMP data (where applicable) and revaluation rate for accounts that it identifies and re-categorises as Type 1 (Early Leavers), Type 2 (Pensioner Leavers), Type 3 (Widow), or Type 4 (Widower/SCP).

ST5QAS does not correct or update the accounts on NPS, therefore a re-run of the same SRS data will result in the members shown as “Type 5”. Pension Scheme Administrators are therefore requested to retain the information provided on the response file for future reference.

### 2 Solution inputs

This solution will require input files containing the Secondary Type 5 queries from the schemes in question.

#### 2.1 Rejected queries

The format of data fields on the input files will be checked to ensure that the automated exercise does not fall over during the automation process – one incorrectly formatted field could cause the whole exercise to fail or incorrect results to be generated, resulting in the need for re-work and/or recovery exercises. Schemes are advised to follow the instructions on input file content/formatting as detailed in HMRC Countdown bulletins.

Requirements on a few key input file fields are listed below:

Field	Keying Requirements	Comments
SCON	(S)0000000(L)	NULL SCON will be rejected
NI Number	LLNNNNNN (nino) or NNLNNNNN (TRN)	NULL NI Number will be rejected
Surname (HMRC)		NULL surname will be rejected

A list of the queries from the input file query template with incorrectly formatted and/or incomplete input information will be rejected and output in a file to be returned to the scheme. These queries will require amendment before they are run through the automated solution. If no query has been rejected, a blank reject file will be returned to the scheme for consistency.

### 3 Solution outputs

This solution will output 1 file of rejected queries, 1 file of query responses, and 1 file of remainder cases for each query input file received.

Every query from the input files will be accounted for in the solution output, i.e. every query will occur on either the reject file, the response file, or the remainder file. (Note: there are situations where one query appears more than once on the query response file where multiple memberships have been identified for one query.)

#### 3.1.1 Comments corresponding to basic checks:

The first stage of this solution runs basic checks against the input data provided from PSA's. If the query fails one of these basic checks, the solution will output one of the following comments on the query response file:

HMRC Comments	When will this comment be provided?
NINO does not exist on HMRC records – please check	The solution will verify whether the NINO from input query file exist on HMRC records. If the NINO doesn't exist on HMRC records, this comment will be provided in the "HMRC Comments" field on the query response file.
NINO / Surname incorrect – please check	The solution will verify whether the NINO-Surname combination from input query file match with records on HMRC records: Either: <ul style="list-style-type: none"> <li>the matched surname relates to the current record (i.e. cases where the NINO "fully" refers)</li> <li>the surname matches a name entry on NPS but not the current (open) name.</li> </ul> <p>If NINO-Surname combination doesn't match record on HMRC records, this comment will be provided in the "HMRC Comments" field on the query response file.</p>
National Insurance account not live – no liability	The solution will verify whether the account in question is redundant or non-live (i.e. not used) on HMRC records. If the account is redundant or non-live, this comment will be provided in the "HMRC Comments" field on the query response file.
No liability output as no qualifying spouse for this deceased member	If the individual in question is deceased, the solution will verify whether the individual has a qualifying (surviving, non-redundant) spouse. If no qualifying spouse exists for the deceased individual on HMRC records, this comment will be provided in the "HMRC Comments" field on the query response file.

#### 3.1.2 Additional information provided on the query response file

During the second stage of this solution while checking all the membership details for the queries that passed the basic checks, ST5QAS will re-categorise and overwrite the **member type** on the query response file as 1, 2, 3 or 4. It will also provide relevant membership details in the **Start Date (HMRC)**, **End Date (HMRC)** and **ECON** columns and GMP data in

the **Total GMP (HMRC)** and **Post 88 GMP (HMRC)** columns (where applicable) and **revaluation rate** for these accounts.

In two cases the values provided on the query file will be overwritten. These memberships are output onto the query response file, along with the original values explaining the reasons why below:

#### Type 1: Early Leavers

Where the individual has not reached State Pension Age before or on 5<sup>th</sup> April 2016, they will be re-categorised as Type 1.

#### Type 2: Pensioner Leaver

Where the individual has reached State Pension Age before or on 5<sup>th</sup> April 2016, they will be re-categorised as Type 2.

#### Type 3: Widow & Type 4: Widower/SCP

Where the individual has died and has a surviving spouse/same sex partner.

The GMP provided for Type 3 and 4 members will depend on whether the individual died before or after they reached State Pension age:

- If the individual died *before* they reached State Pension Age, the GMP provided will be the value at the Final Relevant Year of *Death*.
- If the individual died *after* they reached State Pension Age, the GMP provided will be the value at the Final Relevant Year of the *State Pension Age*.

### **3.2 Remainder file**

For queries where a fully automated response hasn't been provided by ST5QAS, they will be put into the remainder file to be sent to clerical staff to resolve the query via BAU processing. Corresponding query responses will then be provided to schemes.