

## **Background to Scheme Reconciliation**

As part of the Scheme Reconciliation Service (SRS) provided by HMRC since 2014, pension scheme administrators (PSAs) are supplied with scheme membership details to enable them to reconcile their own data against the records held by HMRC. The scheme data provided includes:

- NINO
- Surname
- Forenames
- Membership periods
- GMP amounts

If PSAs choose to query any of the information provided by HMRC, they must submit a query template using the guidance in their SRS Shared Workspace e-room.

Since December 2016, the SRS process now also includes the reconciliation of active scheme members.

## **Background to SRS Automation**

To date, the following solutions have been developed to automate parts of the SRS query process and they can also be used for queries on the HMRC closure scan output of active scheme members:

- Was in scheme (WIS)
- Secondary Type 5 (ST5)
- Multiple Periods (MP)
- Spouse Details (SD)
- Employer Details (ED)

When submitting a query template for an automated response, PSAs must still complete a query template using the guidance in their SRS Shared Workspace e-room but the following additional guidance must be followed:

- The query template file name must include 'AUTOMATION' followed by the WIS, ST5, MP, SD or ED
- All queries must be the same type e.g. WIS
- All fields must be correctly completed in the correct format
- A minimum of 100 queries must be included on your query template
- There is no maximum number of queries per query template but
- The maximum query template file size is 10MB

## **Output from SRS Automation**

Each query template that HMRC runs through an automated solution will produce an automated response file containing standardized responses. It may also produce a reject file if any of the fields on the query template are not in the correct format. These will have to be corrected by the PSA and re-submitted. It may also produce a file to be clerically worked for any queries that do not meet the criteria for automation.

---

## Overview of automated solutions

### Was in Scheme

A WIS query is where the PSA believes that they have liability for an individual for a membership period that has not been output by HMRC.

For these queries, the automated solution requires a fully completed query template as per the shared workspace and additional automation guidance. The Scheme Contracting-out Number (SCON), NI No, Surname, Initial(s) and scheme start/end dates are mandatory.

This automated solution will record and advise liability is now in the scheme or will provide a reason why there is no liability.

The average automated clearance rate for this solution is currently 84%.

.....

### Secondary Type 5 Queries

A Secondary Type 5 query is where SRS was unable to provide the full membership details for an individual and the PSA has still not received this information.

For these queries, the automated solution only requires the SCON, Surname, Initial(s) and National Insurance Number (NI No).

This automated solution will attempt to extract and provide full membership details.

The average automated clearance rate for this solution is currently 75%.

**Please note: HMRC records cannot be updated so any re-runs of SRS data will continue to output Type 5 even if the automated solution has previously provided full membership details.**

.....

### Multiple Periods

A Multiple Period query is where a continuous period has been output by SRS and the PSA needs a breakdown of transferred in or linked periods of Contracting-out.

For these queries, the automated solution requires a fully completed query template as per the shared workspace and additional automation guidance. The SCON, NI No and scheme start/end date are mandatory.

This automated solution will retrieve all the individual periods of membership tranches that are contained within the continuous period and if available, output the details of each start date, end date, ECON, SCON and GMP.

The average automated clearance rate for this solution is currently 95%.

.....

### Spouse Details

A Spouse Details query is where widow or widower details have been output by SRS but the PSA is unable to trace their membership records because they are held under the surviving spouse NI No.

For these queries, the automated solution only requires the Surname, Initial(s) and NI No of the widow/widower output by SRS.

This automated solution will provide the Spouse NINO, Spouse Surname, First Forename, Second Forename and Spouse DOB details if available.

The average automated clearance rate for this solution is currently 100%.

---

### **Employer details**

An Employer Detail query is where SRS has output membership details but the PSA is unable to trace the member and requires additional information for tracing purposes.

For these queries, the automated solution requires a fully completed query template as per the shared workspace and additional automation guidance. The HMRC start and end date are mandatory.

This automated solution provides employer full names where available or employer check brick, previous surnames, full forenames, date of birth and gender.

The average automated clearance rate for this solution is currently 100%.