Department for Work & Pensions   Procedures ▸ Close Case (Direct Pay)

Close Case (Direct Pay)

The close case process for direct pay cases can be initiated at any point during a case's lifecycle following the provisional calculation. If a closure is required before the provisional calculation the enquiry must be closed by following the relevant applications procedure. This can be system or client generated and is dealt with by a caseworker in the segment that has case ownership.

There are changes of circumstances (CofC) that may lead to case closure:

- Child over 20 (if last/only qualifying child (QC) on case)

- Death of QC (if last/only QC active on case)

- NRP not the parent (if last/only QC active on case)

- Death of client - either PWC or NRP

- QC not in non advanced full time education (FTE) (if last/only active QC in case)

- PWC no longer primary carer of QC (if last/only QC active on case – includes role swap)

- Adoption of a QC (if last/only QC active on case – includes role swap)

- Client no longer habitually resident

- Clients reconciled

- QC not within jurisdiction

- Manual case closure by applicant e.g. as a result of a family based arrangement

In all cases except 'manual case closure by applicant', the system generates a service request (SR) automatically to notify the caseworker of the change. If a case is Arrears Only, the system will generate a **BANCS Case Closure SR** automatically once arrears are cleared, and should not be generated manually. Where the process is not automated the caseworker must generate an SR to initiate the case closure. This process guides the caseworker through the necessary steps to complete a manual case closure.

The caseworker will check the closure reason and contact the relevant parties before completing the full case closure.

When closing a direct pay case, do not ask the receiving parent about missed payments. If the receiving parent volunteers they have had missed payments, which they want CMG to investigate, advise them they must raise a change to service type request. This supports the policy steer that CMG will only intervene when a direct pay arrangement breaks down via a change to service type request. Arrears will then be collected via collect and pay service type.

When a case is moved to the Exceptional case handling team, consult the Exceptional Case - Close 2012 Scheme Case for further information.

Closed cases are viewable in a read-only format.

For more information refer to the Policy, Law and Decision Making Guidance ⚖
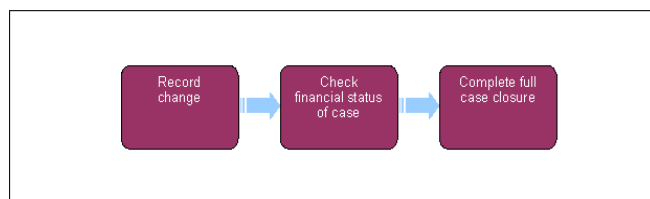
ℹ When speaking to clients always use the new terminology. For more information refer to Terminology Changes.

The receiving parent is the parent who receives or who is expected to receive child maintenance, known as the parent with care (PWC) or person with care (PeWC) on the system and in legislation. The paying parent is the parent who pays or who is expected to pay child maintenance, known as the non resident parent (NRP) on the system and in legislation.

Record Change

Record change

⚠ If a decision has been made to decline/reject a **Case Closure** SR as evidence was not received within 14 days, but evidence is then received within allowable time i.e. 30 days + two days for posting, from the date the decision to decline/reject the change was made, refer to Mandatory Reconsideration.

ℹ The system actions required to complete a case closure can be stopped at any stage of the process. If an applicant has requested closure but then changes their mind and contacts CMG, the closure can only be stopped if the **Perform Calculation** SR has not been generated to end the liability. However if the applicant contacts CMG after the liability has been ended, continue with the closure process and advise the client to re-apply once the case has been closed.

(i) When a case is being closed to progress onto the 2012 clerical case solution refer to Exceptional Case - Close 2012 Scheme Case for further information.

1. The stage of the case dictates the action needed to close it down:

   - If the case is pre provisional calculation, refer to the **Close Enquiry** section of the relevant application procedure.
   - If the case is post provisional but pre initial, go to **Pre Initial Calculation**.
   - If the case is post provisional and post initial, go to **Post Initial Calculation**.
   - If a case is arrears only and the arrears have been satisfied, the system generates a BANCS Case Closure SR. Go to **BaNCS Case Closure**.

2. If the case is closing due to having a family based arrangement (FBA) and there are linked cases, discuss the details of the FBA with the client to ensure it meets the criteria to be classed as a FBA before the relevant child/ren in the case can be registered as a CIFBA/s. For further information please refer to the Law, Policy and Decision Making Guidance. ⚖

3. If the paying parent has multiple cases set the **Manual Allocation** flag on the paying parent's case/s, to prevent any subsequent payments from paying out incorrectly during the closure process. For more information refer to Manual Allocation Flag – Set Up.

Pre Initial Calculation

Pre initial calculation

1. Manually generate a Change of Circumstances Case Closure service request (SR). This SR must be raised against the applicant:

   - **Process** = **Change of Circumstances**
   - **Area** = **Close Case**
   - **Sub Area** = **Case Closure**

2. Update the **Source** field. This should be the applicant (Receiving Parent, Paying Parent, or Child in Scotland), if the closure is system driven it will be **Internal/System**. Update the **Subject Details** field to the Receiving Parent, regardless of who the applicant is.

3. Enter the effective date of the closure in **SR Details**. The effective date of a pre-initial closure is the initial effective date, as a maintenance calculation has not yet been made. The effective date will populate as today's date, so this must always be checked and overtyped when appropriate. Update the **Status** of the SR to **In Progress** and the **Sub Status** to **Pending Final Calculation**. For more information on effective dates refer to the Law, Policy and Decision Making Guidance. ⚖

4. Set a **Wait** state of **1 day** at this point to ensure that BaNCS retrieves the correct financial information.

5. Update the status of the next activities as 'Not Required'.

6. Check for any outstanding activities currently not started or in progress at case level and either complete them or mark them as not required. Set the **Status** to **In Progress**, from the drop down lists on the **CofC More Info** - **Close/Review case** tab **Subject Details** applet and select the appropriate CofC **Reason for closure**.

   (i) Any letters containing the QC names that are issued via the system after the **Sub Status** is changed to **Complete Final Calculation**, will fail as the QCs are no longer active. Any correspondence must be sent before updating the **Sub Status** where possible. If this isn't appropriate, then letters will need to be issued clerically.

7. Update the **Sub Status** to **Complete Final Calculation**. Select the **Get PWC Balance** button.

   ⚠ This button should only ever be selected once at this stage and never before the **Sub Status** is set to **Complete Final Calculation**.

8. Mark the rest of the activities as 'Not Required' where applicable.

   (i) If there are outstanding costs or arrears and a financial check is appropriate, go to **Check Financial Status of Case** before continuing.

9. Update the **Sub Status** to **Closure Approved** and go to **Close Case Outbound Correspondence** to issue closure reason notification letters to all clients.

10. Once close case letters have been issued to all clients, go to **Determine Level of Closure**.

Post Initial Calculation

Post initial calculation

1. If the case is post provisional and post initial, determine if the case closure is:

   - an applicant request, go to **step 2**
   - the SR has been generated automatically for one of the reasons outlined in the summary, go to **step 4**

2. Manually generate a Change of Circumstances Case Closure service request (SR). This SR must be raised against the applicant:

   - **Process** = **Change of Circumstances**
   - **Area** = **Close Case**
   - **Sub Area** = **Case Closure**

3. Update the **Source** field. This should be the applicant (Receiving Parent, Paying Parent, or Child in Scotland), if the closure is system driven it will be **Internal/System**. Update the **Subject Details** field to the Receiving Parent, regardless of who the applicant is.

4. Enter the effective date of the closure in SR Details. The effective date of the closure is the date the change occurred or the date on which the applicant made the request for the case to be closed. The effective date will populate as today's date, so this must always be checked and overtyped when appropriate. For more information on effective dates refer to the Law, Policy and Decision Making Guidance.

   i If the clients have reconciled the effective date is the date the change has been reported.

   i If the closure is because the last qualifying child (QC) has left full time education (FTE) the effective date can depend on terminal dates in which the person will cease to be a child, certain conditions must be considered. For more information refer to the Policy, Law and Decision Making Guidance

5. Update the **Status** of the SR to **In Progress** and update the **Sub Status** to **Pending Final Calculation**.

6. From the drop down lists on the **CofC More Info - Close/Review case** tab **Subject Details** applet and select the appropriate CofC **Reason for closure**. Go to **Check Financial Status of Case**.

   i Any letters containing the QC names that are issued via the system after the **Sub Status** is changed to **Complete Final Calculation**, will fail as the QCs are no longer active. Any correspondence must be sent before updating the **Sub Status** where possible. If this isn't appropriate, then letters will need to be issued clerically.

   i If the closure is system generated the CofC **Reason For Closure** field is pre populated.

Check Financial Status of Case

Check financial status of case

1. Update the **Sub Status** to **Complete Final Calculation**. The system generates an activity plan, set a **Wait** of **1 day** to allow BaNCS to update. Once the wait period has expired proceed.

   ⚠ If case closure is to be cancelled after the **Status** of the **Case Closure** SR has been updated to **Pending Final Calculation**, abort the SR and do not close/cancel the SR or reverse closure, failure to do this will result in a system error. Refer to **Cancel Case Closure**.

2. Update the **Case Closure** SR **Sub Status** to **In Progress**. Select the **Get PWC Balance** button. The **Get PWC Balance** button must be selected, even when the case is pre initial calculation. Review the balance within the **PWC Balance Amount** field.

   i Select **Get PWC Balance** button once on this occasion and never before the **Sub Status** is set to **Complete Final Calculation**. However if the next steps for overpayments/underpayments are not completed on the same day the SR was raised then **Get PWC Balance** button will need to be selected again to retrieve the latest balance. The latest balance will display any unexpected charges or payments that may have accrued.

3. The system generates and completes a **Perform Calculation** SR for the final calculation to end liability. Check the case closure date is populated in the **Closure Effective Date** field, the effective date will populate as today's date. It is important to check the field and overtype the date where appropriate. Return to the **Case Closure** SR.

   ⚠ Do not put a Wait status on this SR and do not close the **Perform Calculation** SR, until directed within this procedure as it can be used to schedule arrears.

4. If the **Perform Calculation SR** has used Historic or Current Income go to the **Procedural Exceptions** tab in Calculation – Post Initial to complete the **Perform Calculation Checks**.
   If the **Perform Calculation SR** has used Benefit Income, Estimation of Earnings or a Default Maintenance Decision (DMD) go to the **Procedural Exceptions** tab in Calculation – Non-HMRC to complete the **Perform Calculation Checks**.

   ### Overpayments

5. To identify if an overpayment has been made by the paying parent check the **Overpayment Amount** field for a value. The **PWC Balance Amount** field will show an amount in brackets.

6. Refer the case to the SPOC team to carry out the required action. They will follow the process detailed in the procedural exceptions entitled **Direct Pay Overpayment (record underpayment)** to record an overpayment to bring the balance on the case to zero, where appropriate, before continuing with this procedure.

   i If the receiving parent reports new underpayments, advise that this will only be considered under a change of service type to collect and pay. This is because CMG will only investigate missed payments on direct pay cases via a change to service type request. Go to Change Service Type to Collect and Pay.

   SPOC Team Details:

Midlands and South West: **CMG South West 2012 Underpayments**
South East: **CMG South East 2012 Underpayments**
Eastern (including Northern Ireland): **CMG Eastern 2012 Underpayments**
North East, Scotland and North West: **CMG Northern 2012 Underpayments**

The subject of the mail should be one of the following based on the segment where the case is held:
NEW CASE Underpayment OFFICIAL
COC Underpayment OFFICIAL
ANNUAL REVIEW Underpayment OFFICIAL
ARREARS Underpayment OFFICIAL
BENEFITS NEW CASE Underpayment OFFICIAL
BENEFITS COC Underpayment OFFICIAL
COMPLAINTS RESOLUTION Underpayment OFFICIAL
COMPLAINTS REVIEW Underpayment OFFICIAL
ENFORCEMENT Underpayment OFFICIAL

The mail should contain the SCIN No, case number, the master case number and advise that there is an overpayment at closure for a direct pay case.

Underpayments

7. To identify if there is an underpayment check the **Overpayment Amount** field, there will either be a nil value or this field will be blank. The **PWC Balance Amount** field will show the existing arrears balance for the case. This amount is not in brackets.

8. If the receiving parent has confirmed they do not wish to collect the existing arrears, continue with the actions to bring the balance to zero. Go to **step 9**.

   If the receiving parent has confirmed they wish to collect the existing arrears, go to **step 11** to issue the new P2P schedule from the **Perform Calculation SR** .

   (i) If the receiving parent is reporting new underpayments at the case closure stage and they want CMG to investigate the arrears, advise that this will only be considered under a change of service type to collect and pay. This is because where a direct pay arrangement breaks down, CMG will only intervene via a change to service type request. Go to Change Service Type to Collect and Pay.

9. Refer to **Direct Pay Underpayment (record overpayment)** in **Procedural Exceptions** to record an overpayment to reduce the balance on the case to zero before continuing with this procedure.

   (i) If the case is unable to be closed due to outstanding 1993/2003 scheme arrears, refer to the procedural exception: **Close Case Holding Queues** to check if the case meets the essential criteria for movement to the segment holding queue.

Check PWC Balance

10. Once the Wait state is up and any actions cleared, select **Get PWC Balance** tab again to obtain the balance which should now be nil.
    (i) If any outstanding legacy arrears have been suspended these will still show when selecting the **Get PWC Balance** tab.

11. Select the **Perform Calculation child SR**. Select the **More Info** tab and navigate to the **Liability Calculation** view. Select **Promise to Pay** from the **Create Schedule** dropdown and select **Go**. The Promise to Pay applet will show as expired with nil arrears if the balance has been adjusted to nil. If scheduling outstanding arrears for the receiving parent to collect, this will schedule the outstanding arrears, if applicable, up to the annual review date shown in the **Promise to Pay** applet.

12. Within the **Perform Calculation** SR navigate to the **Payments Schedule** tab and check the P2P is generated or expired depending on the level of closure. Issue the relevant notifications to both parties to advise of the ended liability, for more information refer to Calculation - Post Initial. Set the **Status** to **Closed** and the **Sub Status** to **Complete**. Return to the **Case Closure** SR.

13. Call the paying parent to recover any non-CMG related debt, for example DNA test fees. This debt cannot be enforced and will need to be suspended if not collected. As many attempts as is necessary should be made to contact and talk to the paying parent.
    (i) If the case is unable to be closed due to overpayment or underpayment outstanding balance, refer to the procedural exception: **Close Case Holding Queues** to check if the case meets the essential criteria for movement to the segment holding queue.

14. Change the **Status** of the SR to **In Progress**. Update the **Sub Status** to **Closure Approved** and go to **Close Case Outbound Correspondence** to issue closure reason notification letters to all clients.

15. Once close case letters have been issued to all clients, proceed to **Determine Level of Closure**.

Close Case Outbound Correspondence

Close case outbound correspondence

1. To notify of a case closure issue the appropriate letters to the client, select by closure reason.

   (i) If the reason for case closure is the death of a receiving parent or paying parent, when sending letters for a client who has died, (**CMSL9569**, **CMSL9573**, **CMSL9564** or **CMSL9568**) check that the executor (client representative) has been set up to receive correspondence on the system. Where no client representative record exists, refer to Client Representative - Set Up for further information. If the executor is unknown, address the letter to the client who has died

   (i) When the executor is unknown consider a level of discretion not to cause any further emotional distress with the decision to address the letter to the client who has died.

(i) Prior to issuing the above closure letters remove any suppression that may have been applied to the case. For further information refer to Outbound Contact - Suppress

Process	Sent to receiving parent	Sent to paying parent	Paying parent (other active cases)
QC turns 20	CMSL5026	CMSL5014	CMSL5028
Death of receiving parent	CMSL9569 or CMSL9573 (to the executor)	CMSL9574	CMSL9575
Death of paying parent	CMSL9567 or CMSL9685	CMSL9564 or CMSL9568 (to the executor)	N/A
Last QC in FTE	CMSL4854	CMSL9686	CMSL9686
Paying parent and receiving parent reconciled	CMSL9580	CMSL9579	CMSL9579
Death of the last QC	CMSL9582	CMSL9687	CMSL9687
Receiving parent no longer primary carer to last QC or receiving parent is no longer primary carer to last QC as QC adopted	CMSL9588	CMSL9688	CMSL9688
Paying parent not the father of last QC	CMSL9592	CMSL9689	CMSL9689
Applicant request - Where receiving parent is the applicant or receiving parent remains primary carer to last QC as QC adopted	CMSL9594 CMSL9595	CMSL9607 or CMSL4769 or CMSL9690	CMSL9690
Applicant request - Where paying parent is the applicant	CMSL4769	CMSL4769	N/A
Paying parent moved jurisdiction	CMSL9554	CMSL9553	N/A
Receiving parent moved jurisdiction	CMSL9556	CMSL9555	N/A
Pre-initial assessment - Closure letter to other party or no arrears on post-initial	CMSL4769	CMSL4769	N/A
Pre-initial assessment closure - letter to applicant	CMSL0071	CMSL0071	N/A
Both parties have joint day-to-day care of the QC	CMSL9589 RP	CMSL9589 PP	N/A

Determine Level of Closure

Determine level of closure

1. Dependent on the arrears outstanding, the system determines the level of the closure to either:

   - Full case closure - post initial calculation

   - Full case closure - pre initial calculation

   - Arrears only

2. Navigate to **Case Closure** SR to update the **Resolution Code** to **CofC Accepted**. If the clients have no other cases with the Child Maintenance Group (CMG), the system automatically deactivates any interest with Customer Information System (CIS).

   (i) When the reason for the case closure is paying parent death, the system automatically generates an **Authorise Recovery NRP Death** SR to recover monies where appropriate. For more information refer to Arrears Recovery - Paying Parent Estate.

   (i) If the case is unable to be closed due to overpayment outstanding, refer to the procedural exception: **Close Case Holding Queues** to check if the case meets the essential criteria for movement to the segment holding queue.

   (i) If this is the last case in the case group, ensure the **Master Case Closure** child SR is completed before closing the **Case Closure** SR down, go to **Master Case Closure**. However, if there are arrears on the case, a **Master Case Closure** SR will not generate until all arrears are satisfied.

3. Update the **Status** of the **Case Closure** SR to **Closed** and the **Sub Status** to **Complete**.

   (i) If there are arrears outstanding on the case the **BaNCS Case Closure** SR will only generate once the arrears are satisfied. Go to **BaNCS Case Closure** SR to complete the case closure.

BaNCS Case Closure

BaNCS case closure

1. If arrears were agreed with both clients as outstanding and an arrears only schedule was completed once the remaining arrears are cleared, the system creates a **BaNCS Case Closure SR**.

   (i) The effective date for this SR is the date the SR generated and not the effective date of the case closure. Do not change this date as it will not affect the case closure effective date.

⚠️ If the **BaNCS Case Closure** SR is not completed within a week, a further SR of the same type will generate. This will then repeat every 7 days. Caseworkers must progress the first SR generated, or if the first SR is not available progress the oldest available SR generated. Close and Cancel all other multiple SRs generated.

2. Update the **Status** of the SR to **In Progress** and update the **Sub Status** to **In Progress**.

3. Select the **Get PWC Balance** button and then update the activities in the activity plan to either Done or Not Required.

4. Once the activity plan is completed, update the **Resolution Code** to **CoC Accepted**. The **Master Case Closure** SR will generate, go to **Master Case Closure**.

   ℹ️ If the case is not the last case in the case group at the point of closure, update the **BaNCS Case Closure** SR **Status** to **Closed** and the **Sub Status** to Complete.

Master Case Closure

Master case closure

ℹ️ When there are no arrears on the last case in the case group at the point of closure, the system automatically generates a Master Case Closure child SR. If the last remaining case is arrears only, the Master Case Closure child SR is generated after the arrears are satisfied.

ℹ️ An error will occur on the **Perform Calculation - Payment Plan Only** SR if the annual review date has passed after a **Master Case Closure** SR has generated but before it has been actioned. To prevent this, check the Annual Review Date in the **Master Case Details** section of the case, if necessary manually change the Annual Review Date and the Annual Effective Date to next year's date before returning to complete the **Master Case Closure** SR. For example, if Annual Review Date is 19/02/2016 and Annual Effective Date is 19/02/2015 then change these dates to 19/02/2017 and 19/02/2016 respectively.

1. Check for any outstanding activities currently not started or in progress at case level, either mark as complete or not required.

2. Open the **Master Case Closure SR** and set the **Status** to **In Progress**. Enter the effective date of the closure in the **SR Details**. The effective date of the closure is the date the change occurred on the case/last case or the date the applicant made the request for the case/last case to be closed. For more information please refer to Policy, Law and Decision Making Guidance ⚖️

3. Select the **Get NRP Balance** button. The system populates the **NRP Balance Amount** field and shows any costs, fees, charges or residual arrears owed to the Secretary of State (SoS) the paying parent has accrued.

   ℹ️ When costs are suspended these will still show in the NRP Balance Amount field.

4. Update the **Sub Status** of the SR to **MC Closure Approved**. If there are:

   - costs outstanding go to **step 5**
   - no costs outstanding go to **step 9**

   ⚠️ If there is no MOPF in place the caseworker will receive a validation message 'Please ensure that at least one MOPF is setup for **NRP before selecting the sub status as 'MC Closure Approved'**. The system is working as expected when this message appears, an incident is not required. If the case is a stand alone direct pay case, a MOPf is not required, continue with the process.

   ### Costs Outstanding

5. 📞 Call the paying parent to recover any:

   - non-CMG related debt, for example DNA test fees, this debt can not be enforced and will need to be suspended if not collected. If the paying parent agrees to pay outstanding costs and this debt is suspended, refer to Suspend/Unsuspend Liabilities to reinstate.
   - secretary of state (SoS) residual arrears, this debt can be enforced and only suspended where appropriate. For more information refer to policy, law and decision making guidance ⚖️

   ℹ️ If it is decided that recovery from the PP is unlikely e.g. the paying parent is in receipt of a prescribed benefit and the costs are £65.00 or less this can be written off, refer to Arrears - Write Off

6. 📧 When there are outstanding costs the system automatically generates a **Perform Calculation - Payment Plan Only SR** to allow the costs to be scheduled. Navigate to the **Payment Schedule** and select **Generate Promise to Pay**. If costs are suspended the Promise to Pay will show as expired, if costs are to be scheduled this will schedule the outstanding arrears up to the annual review date shown in the Promise to Pay applet. Issue the relevant notifications to the paying parent, for more information refer to Calculation - Post Initial. Go to **step 7**.

   ⚠️ If arrears are outstanding and the client requests negotiating arrears to change the schedule, select the **Perform Calculation - Payment Plan Only** SR, navigate to the **Payment Schedule** and select **Generate Promise to Pay**. Cancel the client letters and update the **Status** to **Closed** and **Sub Status** to **Complete**. Refer to Arrears Negotiation and Missed Payments to create a negotiated schedule before continuing to **step 7**.

(i) The **Perform Calculation - Payment Plan Only SR** will only generate when there are active liabilities to schedule.

(i) If the case is unable to be closed due to an outstanding balance or charges, refer to the procedural exception: **Close Case Holding Queues** to check if the case meets the essential criteria for movement to the segment holding queue.

7. Update the **Status** of the **Perform Calculation - Payment Plan Only** SR to **Closed** and the **Sub Status** to **Complete**. Return to the **Master Case Closure** SR and update the **Status** to **Closed** and the **Sub Status** to **Complete**.

(i) When the reason for the case closure is paying parent death, the system automatically generates an **Authorise Recovery NRP Death** SR to recover monies where appropriate. If only secretary of state (SoS) residual arrears remain this SR will need to be manually created as a child SR. For more information refer to Arrears Recovery - Paying Parent Estate.

8. The system monitors the costs, once the costs are paid/satisfied, the system re-generates the **Master Case Closure** SR, return to Master Case Closure **step 1**.

No Costs Outstanding

9. Return to the **Master Case Closure** SR, update the **Resolution Code** to **CofC Accept**, the **Status** to **Closed** and the **Sub Status** to **Complete**. The system deactivates the relevant contacts and removes CIS interest for the paying parent.

10. Complete all outstanding SRs, update the **Status** of all to **Closed** and the **Sub Status** to **Complete.**

11. Return to the **Case Closure** SR or **BaNCS Case Closure** SR, update the **Status** to **Closed** and the **Sub Status** to **Complete.**

Cancel Case Closure

Cancel case closure

1. The system actions required to complete a case closure can be stopped at any stage of the process; team leader approval is always required. Approvals must always be sent to a substantive Team Leader and must not be sent to a Deputy Team Leader. If an applicant has requested closure but then changes their mind and contacts CMG, the closure can only be stopped if the **Perform Calculation** SR has not been generated to end the liability. However if the applicant contacts CMG after the liability has been ended, you should continue with the closure process and advise the client to re-apply once the case has been closed.

(i) When the closure is stopped as a result of a change or revision, for example, QC has left FTE, team leader approval is required. Update the **Notes** tab and the **Sub Status** to **Abort Closure**, the system automatically generates a **Team Leader Approval** SR for the team leader to approve or decline the decision.

(i) If the client has an exceptional circumstance to abort the case closure, for example domestic violence issues, the closure reversal can be considered and team leader approval is required. If decision guidance is needed raise an advice request to Advice and Guidance (A&G), refer to Advice and Guidance - Create Request

(i) Abort Case Closure **Sub Status** must only be updated once.

Team leader action

2. Access the activity plan and check the **Notes** tab to determine whether there is a valid reason for the closure to be stopped. Update the outcome with either **Approved** or **Not Approved** and enter the reason on the **Notes** tab. This updates the **Status** of the SR.

Caseworker action

3. When the request is approved by the team leader update the Sub Status to **Closure Abortion Approved**. The system automatically reverts the case to the **Status** before the closure was initiated. Set the SR **Status** to **Closed** and the **Sub Status** to **Complete**.

4. If the closure stoppage is declined, i.e. the closure is to continue, update the activity plan outcome to **Closure Abortion Rejected**.

Close Case Holding Queues

There are certain types of cases where the **Case Closure SR** can not be completed and the case can not be closed, these case types need to be allocated to a central holding queue.

Caseworker action

1. Ensure there is an outstanding **Case Closure SR,** all outstanding actions have been completed and that the case meets one of the below criteria:

   - The paying parent or receiving parent account balance is under £1.00.

   - Where there are no outstanding arrears but there are outstanding charges of over £65 (excluding enforcement fees)

   - There are CSA arrears to be adjusted which would result in closure of the case, the case has been referred to the write off team who have confirmed action has been completed but system functionality is not currently available to write off the arrears.

   - There is a receiving parent overpayment amount recorded of over £65.00 and the receiving parent:

     - has been contacted again at the review stage but is still unable to repay and the case has been in a review for three months.

     - has been contacted again at the review stage and is still unable to repay.

- can't be contacted and the case was placed back into review.
- There is a receiving parent overpayment amount recorded of over £65.00 and the receiving parent:
  - could not be contacted and all call attempts have been made.
  - could not be contacted at the review stage and the case was placed back in review.
- There is an overpayment amount recorded for either a refund or a reimbursement to the paying parent but the client can not be contacted.
- There is an overpayment amount recorded and the receiving parent has agreed to repay over a period longer than three months.
- There are charges outstanding not associated to arrears which the paying parent is unable to repay and legally can not be written off.
- There is an overpayment amount recorded on a closure due to a paying parent death and the case has been referred to the Estates Recovery Team.

2. If case meets the specified criteria inform the team leader to complete checks to consider approval for movement to the holding queue.
Team leader action

3. Review the case to check that the case has an outstanding **Case Closure SR** and meets one of the appropriate criteria. If the case:

- meets the specified criteria, move the case into the segment hopper and email the segment SPOC with the case number, master case number and details of the criteria met, include overpayment or underpayment values if applicable. The SPOC will move the case into the separate holding queue.
- does not meet the specified criteria, advise the caseworker and discuss the appropriate next course of action to progress.

The subject of the email should be one of the following based on the segment where the case is held:

Close Case Holding Queue - Arrears OFFICIAL
Close Case Holding Queue - COC Benefit OFFICIAL
Close Case Holding Queue - COC Non Benefit OFFICIAL

Single points of contact (SPOCs) are held within each of the impacted segments to manage and control the flow of work into the central holding queues.

SPOC action

4. On receipt of a team leader email check the case details supplied meet the appropriate criteria for movement to the holding queue. Record the details of the case and the case type category on the clerical tracking tool held locally.

5. Set the lock assignment flag to lock the case into the holding queue. Select the box located within master case view in the set up and assignment details within case view.

6. Update the case notes with details of the relevant case type category for movement to the holding queue.

7. Check the queue daily to identify if any new work; activities or SRs have generated for any of the cases or case groups held. If new work is identified allocate to a caseworker within the segment to complete.

8. Once the relevant work has been completed move the case back to the holding queue, if appropriate.

Direct Pay Overpayment (record underpayment)

⚠️ This process should only be completed by the underpayment SPOC and should be completed within one day.

In this process the Caseworker is going to be performing an underpayment action in order to reduce the overpayment to 0 for the case to be closed by the Business As Usual Caseworker.

Pre case checks:

1. Within the master case check if this is a single or multi casegroup – make a note if the casegroup is multi and which case you are recording an underpayment on.

2. Check that the service type on the case has always been Direct Pay.

3. If the case has had any periods of collect and pay, the case will need to be checked in more detail to determine if the overpayment was definitely during the direct pay period.

4. Navigate to the **Case Closure SR**.

5. Check the balance in the **PWC Balance amount** is in brackets and the **PWC Overpayment** field is populated - this is the account position that was captured when the **Case Closure SR** was generated. (If the balance is not in brackets do not continue with this guidance)

6. Navigate to **PP Financial Account** tab.

7. Drill into **PP BaNCs number** (10 digit number beginning with 3).

8. Select the **Payment Schedule** tab.

9. Confirm the balance in the **Total accrued balance** field and that this is in brackets. Make a note of this amount; this is the paying parent's current account balance and the amount that needs to be reversed out to return the account balance to nil to allow the case closure to be completed. This balance may differ from the PWC overpayment amount in the **Case Closure SR**, this is due to the case charging/payments received since the **Case Closure SR** was generated. The figure to use is the **Total accrued balance** as this is the current position.

10. If this is a multi case select the **Get PWC Account** button on the case you are closing to check the amount in the excess payment amount field – this is the amount that the receiving parent has been overpaid in this case and is the amount that will need to be reversed out.

11. Navigate to the paying parent's online statement and check the most recent transactions in the Cr**edit Amount** field – we need to find a total of credit amounts to reverse out that are more than or equal to the amount of the overpayment.

12. Make a note of each credit amount and the corresponding transaction date that will need to be reversed out to cover the amount of the overpayment.

System actions

1. From the paying parent's contact, create a service request (SR). From the drop down list select:

   - **Process = CofC**
   - **Area = Review Case**
   - **Sub Area = DP adjustments**

2. Link the SR to the case, from the case drill down into the SR and update the **Reason** field with **Partial Payment** and the **Source** field with **NRP**.

3. In the **CoC More Info/DP Adjustments tab** select the **Last Name** MVG to populate with the other party in the case. Set the **Status** of the SR to **In Progress**.

4. Update the **Overpay/Underpay Amount** field with the total amount of the receipt/s that cover the period of underpayment.
   E.g. If the close case SR shows an overpayment of £75 and the last direct pay payment on the online statement was for £100 the amount in this field should be £100 as this is the receipt total. If more than one receipt needs to be reversed to back out the overpayment this should be the sum of the receipts.

5. Enter the period of missed payments within the **Missed Payment Start Date** and **Missed Payment End Date** fields. This is a day before and a day after the transaction date/s of the receipt/s being reversed out e.g. direct pay payments receipts are 01/11/14 and 01/12/14, the missed payment start date is 31/10/14 (the day before 01/11/14) and the missed payment end date is 02/12/14 (the day after 01/12/14).

6. Update the **Sub Status** to **Underpayment**.

7. In the **CoC More info** tab tick the **Evidence Confirmed** box and update the **Adjustment Type** field to **Underpayment**.

8. Record a decision note with the following statement – adding the values specific to your case, "Close case overpayment of £x.xx, case has always been Direct Pay. Receipts of £x.xx for date/s dd/mm/yy reversed out to allow case closure.

   (i) On a direct pay case decision to adjust the balance to zero a Welfare of the Child decision is not required.

9. Set the **Status** of the SR to **Pending Approval** and **Sub Status** to **Pending Approval - TL** to send to your team leader for approval.

Team leader action

10. Review the approval work item from the caseworker, check that the adjustment is appropriate, the correct amount, correct receipts and that the notes recorded are sufficient to enable caseworkers to understand the action taken.

    - In the inbox, set the action to **Approved** or **Rejected**
    - Complete the comments field with the reasons for approval/rejection
    - Return to the caseworker

Caseworker action

11. If rejected, correct the SR and go back to **step 9**, (the SR can be corrected and resubmitted as it is a CofC SR's). If accepted update the **Resolution Code** to **DP Adjustments Accepted**.

12. Select the Reverse Auto Satisfied Liabilities button, the Reversed Amount in BaNCS field will be populated with the exact amount of receipts being reversed (unrounded) and the BaNCS status field will update to Success/OK.

    (i) You can now go back to the paying parent's payment schedule to check the amount held in the Total accrued balance field. This amount will now be a positive number and will be the difference between the amounts reversed out and the amount of the overpayment. Make a note of this figure as this is the figure that will now need to be recorded as an overpayment to return the case balance to nil. If the amount of the overpayment was the same amount as the receipt that has been reversed close this SR and go directly to **step 26**.

13. Select the **Create DP Non** Scheme SR button.

14. The system creates a child SR with the following values:

    - **Process = Payments**
    - **Area = Manage Payments**
    - **Sub Area = DP Direct Non Scheme**

    Update the **Status** of the SR to **In Progress**.

15. Select **New**. The **BaNCS Account Numbers** should automatically populate, if they do not, select the NRP and the relevant PWC BaNCS Account Number.

16. Input the amount of the DP Direct Non Scheme Payment to be recorded in the **Amount Paid** field. This is the difference between the underpayment reported and the total of the receipt reversed out. This is the amount needed to set the balance back to £0.00 i.e. the new total accrued balance amount.

17. Update the **Reason** code with **Overpayment**.

18. In the **Payments/Payment Allocation** tab select **Get Payment Allocation Details** to view the active liabilities the paying parent has on BaNCS for the receiving parent account. Tick the **Select** box next to the liability periods you want to assign the underpayment to and select **Update Siebel**.

19. Assign the DP direct non scheme payment amount in the **Amt Allocated** field next to each selected liability until the total payment is cleared or covered all of the liabilities. Select Ctrl & S to save the record.

20. Record a decision note with the following statement – adding the values specific to your case, "Close case overpayment of £x.xx, case has always been Direct Pay. Receipts of £x.xx for date/s dd/mm/yy reversed out, overpayment of £x.xx now recorded to set balance to 0.00 and allow case closure".

    (i) On a direct pay case decision to adjust the balance to zero a Welfare of the Child decision is not required.

21. From the **Payments** tab set the **Resolution Code** to **DP non-standard payment accepted** and select Ctrl and S to save progress. The **Status** and **Sub Status** of the SR are automatically updated and an approval work item will be sent to the team leader (TL) for authorisation.

    Team leader action

22. Review the approval work item from the caseworker, check that the adjustment is appropriate, the correct amount, correct receipts and that the notes recorded are sufficient to enable caseworkers to understand the action taken.

    - In the inbox, set the action to Approved or Rejected
    - Complete the comments field with the reasons for approval/rejection
    - Return to the caseworker

    Caseworker action

23. If the SR is rejected by your team leader this SR should be closed and cancelled and a new SR created go to **step 14** (Payment SR's can not be amended once they have been sent for approval). If approved, in the **payments/payment allocation** tab of the SR, update the **Resolution Code** to **DP Non Scheme Payment Accepted**.

24. Select **Submit Payment Allocation Details**, BaNCS will be updated with the payment and a BaNCS success message will be received.

25. Complete all the activities and close both SRs.

26. Return to the **Close Case SR** and select the **Get PWC Balance** button again, the balance will now come through as zero.

27. Change the **Status** of the SR to **In Progress**. Update the **Sub Status** to **Closure Approved**.

28. The Activity Plan informs users to enter an end date for the MOPF, this is not required as the case closing is set to direct pay.

29. If the reason for case closure is the death of a receiving parent or paying parent, see step 30 for information on sending letters to the executor. Otherwise, manually select the appropriate letters to issue to the clients.

30. When sending letters for a client who has died, **CMSL9569**, **CMSL9573**, **CMSL9564** or **CMSL9568**, check that the executor (client representative) has been set up to receive correspondence on the system. Where no client representative record exists, refer to Client Representative - Set Up for further information. If the executor is unknown, address the letter to the client who has died as per usual business process.

    (i) Prior to issuing the above closure letters remove any suppression that may have been applied to the case. Refer to Outbound Contact - Suppress for further information.

31. Create the required **Outbound Letter** activity.

    To view any auto generated letters you must take the following action. From the **Case** screen select the **Manual Handling SR**, select the **Activities** tab then the hyperlink under **Correspondence** of the generated letter. Once the correspondence is visible select the **Open Generated Document** button to review the letter.

Process	Sent to receiving parent	Sent to paying parent	Paying parent (other active cases)
QC turns 20	CMSL5026	CMSL5014	CMSL5028
Death of receiving parent	CMSL9569 or CMSL9573 (to the executor)	CMSL9574	CMSL9575
Death of paying parent	CMSL9567 or CMSL9685	CMSL9564 or CMSL9568 (to the executor)	N/A
Last QC in FTE	CMSL4854	CMSL9686	CMSL9686
Paying parent and receiving parent reconciled	CMSL9580	CMSL9579	CMSL9579
Death of the last QC	CMSL9582	CMSL9687	CMSL9687
Receiving parent no longer primary carer to last QC	CMSL9588	CMSL9688	CMSL9688

Paying parent not the father of last QC	CMSL9592	CMSL9689	CMSL9689
Applicant request - Where receiving parent is the applicant	CMSL9594 CMSL9595	CMSL9607 CMSL4769	CMSL9690
Paying parent moved jurisdiction	CMSL9554	CMSL9553	N/A
Receiving parent moved jurisdiction	CMSL9556	CMSL9555	N/A
Pre-initial assessment - Closure letter to other party or no arrears on post-initial	CMSL4769	CMSL4769	N/A
Pre-initial assessment closure - letter to applicant or no arrears on post-initial	CMSL0071	CMSL0071	N/A

32. Update the **Resolution Code** to **CofC Accepted**.

33. The **Master Case Closure SR** will generate, this will now be visible from the **Child SRs** tab. Return to the main procedure to continue.

Direct Pay Underpayment (record overpayment)

1. Create a service request (SR) at contact level, with the paying parent as the contact:

   - **Process** = **Payments**

   - **Area** = **Manage Payments**

   - **Sub Area** = **DP Direct Non Scheme**

2. Update the **Status** of the SR to **In Progress**

3. Select **New**, the BaNCS Account Numbers should automatically populate, if they do not, select the NRP and the relevant PWC BaNCS Account Number.

4. Input the amount that was returned following selection of the **Get PWC Balance** button in the **Amount Paid** field and update the reason code with **Overpayment**. If time has elapsed since the **Case Closure SR** was raised, check if any direct payments have been auto-satisfied by the system since the SR was raised. If required, reduce the amount of the overpayment in the **Amount Field** to account for this.

5. Select **Get Payment Allocation Details** to view the active liabilities the paying parent has on BaNCS for the receiving parent account. Tick the **Select** box next to the liabilities you want to assign the overpayment to and select **Update Siebel**.

6. Assign the payment amount in the **Amount Allocated** field next to each selected liability until the total payment is cleared or covered all of the liabilities. Any excess is stored on the system for future liabilities.

7. Record a decision note before saving the record with the following statement – adding the values specific to your case, "Close case underpayment of £x.xx, case has always been Direct Pay. Overpayment of £x.xx now recorded to set balance to 0.00 and allow case closure".

   ⓘ On a direct pay case decision to adjust the balance to zero a Welfare of the Child decision is not required.

   ⓘ Ensure you have updated you decision notes before submitting for team leader approval. For more information on decision making refer to the Policy, Law and Decision Making Guidance ⚖

8. From the **Payments Allocation** tab set the **Resolution Code** to **DP Non Scheme Payment Accepted**. Once the record is saved the **Status** and **Sub Status** of the SR are automatically updated and an approval work item will be sent to the team leader (TL) for authorisation.

Team Leader Action

9. Review the approval work item from the caseworker, check that the adjustment is appropriate, the correct amount, correct receipts and that the notes recorded are sufficient to enable caseworkers to understand the action taken.

   - In the inbox, set the action to **Approved** or **Rejected**

   - Complete the comments field with the reasons for approval/rejection

   - Return to the caseworker

Caseworker Action

10. If the payment has been accepted change the **Resolution Code** to **DP Non Scheme Payment Accepted**. To continue go to **Submit Payment** section below.

    - Submit Payment

    - Select **Submit Payment Allocation Details** and **BaNCS** is updated with the payment

11. Set the **Status** as **Closed** and **Sub Status** as **Complete**.

12. Return to the **Close Case SR** and select the **Get PWC Balance** button again, the balance should now come through as zero and you can continue with the main close case procedure.

> ℹ️ If the PWC balance returns anything other than zero, e-mail CFAT to carry out financial reconciliation, using the address 2012SCHEMECFAT.BANKING-ACCOUNTING@DWP.GSI.GOV.UK. In the e-mail provide the following information:
>
> - the SCIN of the NRP
> - the date the SR was started/finished
> - the amount of collect and pay arrears outstanding
> - the amount of direct pay arrears outstanding
>
> The action taken by CFAT for the reconciliation does not affect case progression.

NICMS to replace Child Maintenance Group (CMG) in Northern Ireland

CMSL4769 Important information about a child maintenance application

Letter to other party to confirm applicant's request to withdraw application.

CMSL0071 - Your Child Maintenance Application

Letter to applicant to confirm their request to withdraw their application.

All fields in this letter are system generated, no manual intervention is required.

CMSL4854 We are closing your case

Inform receiving parent that 3rd party / their requested QC no longer in FT education change has been confirmed and the case will be closed.

All fields in this letter are system generated, no manual intervention is required.

CMSL5014 Your child maintenance case has closed

Letter to the paying parent stating that the case will be closed as the QC is now 20 years old - 1 QC no arrears.

All fields in this letter are system generated, no manual intervention is required.

CMSL5026 Important information about your child maintenance case

Letter to the receiving parent stating that paying parent's liability has ended as the QC is now 20 years old (only QC in case). However we can still take action to collect arrears if any.

All fields in this letter are system generated, no manual intervention is required.

CMSL5028 Important information about your child maintenance payments

Inform paying parent that liability has ended as the QC is 20 (only QC in case) arrears/no arrears options, simple closure letter

All fields in this letter are system generated, no manual intervention is required.

CMSL9553 Important information about your child maintenance

Paying parent no longer habitually resident. Letter to paying parent stating liability has stopped because the caseworker has established paying parent is no longer habitually resident.

All fields in this letter are system generated, no manual intervention is required.

CMSL9554 Important information about your child maintenance payments

Paying parent no longer habitually resident. Letter to receiving parent stating liability has stopped and to get in touch if paying parent moves back to the UK. General sentence about arrears: 'if you have arrears, we may still try to collect this this and we will get in touch...' Offer info on REMOs.

All fields in this letter are system generated, no manual intervention is required.

CMSL9555 Important information about your child maintenance payments

Receiving parent no longer habitually resident. Letter to paying parent stating liability has stopped. If there are arrears, we will still try to collect them.

All fields in this letter are system generated, no manual intervention is required.

CMSL9556 Important information about your child maintenance payments

Receiving parent no longer habitually resident. Letter to receiving parent stating liability has stopped. If there are arrears, we will still try to collect them.

All fields in this letter are system generated, no manual intervention is required.

CMSL9564 Important information about child maintenance

Letter to the paying parent's estate where the paying parent has died, stating that we will close the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9567 Your child maintenance application has been withdrawn

Letter to the receiving parent where the paying parent has died, stating that we will withdraw their application.

All fields in this letter are system generated, no manual intervention is required.

CMSL9568 Important information about child maintenance

Letter to the paying parent's estate where the paying parent has died, stating that we will withdraw the application.

All fields in this letter are system generated, no manual intervention is required.

CMSL9569 Important information about child maintenance

Letter to the receiving parent's estate where the receiving parent has died, stating that we will close the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9573 Important information about child maintenance

Letter to the receiving parent's estate where the receiving parent has died, stating that we will withdraw the application.

All fields in this letter are system generated, no manual intervention is required.

CMSL9574 Your child maintenance application has been withdrawn

Letter to the paying parent where the receiving parent has died, stating that we will withdraw the application.

All fields in this letter are system generated, no manual intervention is required.

CMSL9575 Important information about your child maintenance case

Letter to the paying parent where the receiving parent has died, stating that we will close the case but they must still pay child maintenance as normal for the other cases in their casegroup.

All fields in this letter are system generated, no manual intervention is required.

CMSL9579 Important information about your child maintenance payments

Letter to paying parent when they have reconciled with other parent.

All fields in this letter are system generated, no manual intervention is required.

CMSL9580 Important information about your child maintenance

Letter to the receiving parent thanking them for confirming that they have reconciled with the paying parent.

All fields in this letter are system generated, no manual intervention is required.

CMSL9582 Your child maintenance case

Letter to the receiving parent where the last QC has died, stating that we will close the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9586 Your child maintenance application

Letter to the client where the last QC has died, stating that we will withdraw the application.

All fields in this letter are system generated, no manual intervention is required.

CMSL9588 Important information about your case

Letter to the receiving parent stating that the case has been closed as they are no longer the primary carer of the last QC.

All fields in this letter are system generated, no manual intervention is required.

CMSL5989 RP - Important information about your child maintenance case

Letter to the receiving parent stating that the case has been closed as it has been determined that the receiving parent and the paying parent have joint day-to-day care of the QC.

CMSL5989 PP - Important information about your child maintenance case

Letter to the paying parent stating that due to evidence of joint day-to-day care of the QC, the payment of child maintenance is not required.

CMSL9592 Your child maintenance case has closed

Letter to the receiving parent stating that the case will be closed as we have received proof that the paying parent is not the parent of the last QC in the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9594 Your child maintenance case has been closed

Letter to receiving parent to confirm their request to close their case – no arrears.

This letter should be clerically issued - check Oscar for further details.

CMSL9595 Your regular child maintenance payments will stop

Letter to receiving parent to confirm their request to close their case – where there are arrears on the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9607 Changes to your child maintenance case

Letter to paying parent to confirm receiving parent's request to cease the on going maintenance liability, where there are arrears outstanding.

This letter should be clerically issued - check Oscar for further details.

CMSL9685 Your child maintenance case

Letter to the receiving parent where the paying parent has died, stating that we will close the case. – where there are arrears on the case.

All fields in this letter are system generated, no manual intervention is required.

CMSL9686 Important information about your child maintenance payments

Letter to paying parent when the last QC in the case left FTE. Paying parent may or may not have other active cases in casegroup

All fields in this letter are system generated, no manual intervention is required.

CMSL9687 Important information about your child maintenance payments

Letter to paying parent last QC in the case dies - paying parent may or may not have other active cases in casegroup. Paying parent may not be aware of QC death.

All fields in this letter are system generated, no manual intervention is required.

CMSL9688 Important information about your child maintenance payments

Letter to paying parent when receiving parent no longer being Primary Carer of last QC but paying parent may or may not have other active cases in casegroup.

All fields in this letter are system generated, no manual intervention is required.

CMSL9689 Important information about your child maintenance payments

Letter to paying parent when evidence is given that paying parent is not the father of last QC in the case - paying parent may or may not have other active cases in casegroup

All fields in this letter are system generated, no manual intervention is required.

CMSL9690 Important information about your child maintenance payments

> Letter to paying parent when receiving parent requests end to ongoing liability for last child in case but paying parent may or may not have other active cases in casegroup
>
> All fields in this letter are system generated, no manual intervention is required.

Application - Child in Scotland

Application - Paying Parent

Application - Receiving Parent

Arrears Negotiation and Missed Payments

Arrears Recovery - Paying Parent Estate

Arrears - Consider Action

Arrears - Part Payment

Arrears - Write Off

Calculation - Post Initial

Changes at Application/New Case

Change - Address Details

Close Case (Collect and Pay)

Close Case - Reverse/Revise

Create Cost

Direct Non Scheme Payments

Exceptional Case - Close 2012 Scheme Case

Manual Allocation Flag - Set Up

Outbound Contact - Suppress

Receiving Parent/Payee Repayment Request - Create

Suspend/Unsuspend Liabilities

Terminology Changes

 What if the receiving parent's status was Not Habitually Resident but an address has now been provided?

> If the **Close Case SR** generated as a result of changing the receiving parent's **Additional Contact Status** to **Not Habitually Resident**, and an active address is now available (which proves the case should not close) the action to take will depend on which stage the closure has reached.
>
> The closure can only be stopped if the **Perform Calculation SR** has not been generated to end the liability. If this is the case, cancel the case closure by following the steps in the **Cancel Case Closure** section, then generate and complete a new **Change Address Details SR** under the receiving parent's contact to implement the new active address.
>
> If the **Perform Calculation SR** has generated, the case closure process must be followed and then reversed once completed. See Close Case - Reverse/Revise for more information. After the closure has been reversed, complete a new **Change Address Details SR** under the receiving parent's contact to implement the new active address.