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Correspondence (Inbound) - Exceptions

This process covers all physical items received from the third party postal opening and scanning contractor as they have been classed as an exception. These items become the responsibility of the unassociated mail handling team to action. An exception within this process is defined as something which has failed the post opening and scanning process and could include

- Payments which cannot be banked, ie cheques post dated or older than six months

- Cheques or postal orders which fail authentication

- Foreign currency

- Items which cannot be scanned (eg car keys)

- Items received in alternative format (eg braille)

- Items received incomplete (ie where the envelope is open upon receipt and therefore it is unclear if something is missing from it)

- Invalid original item – where an item is received and the postal opening and scanning contractor believe it is an original but it is not listed on the agreed original items list

- Original item received where the sender cannot be identified and therefore the postal opening and scanning contractor can not return to the sender

- For emails where the attachment is removed because it is not in a recognised format

- Original items received damaged on receipt

- Original items damaged during contractor processing or an item damaged which could not be processed as normal

- Envelopes marked return to sender

In some cases it may be necessary for the physical item to be stored securely by Child Maintenance Group (CMG), in these cases the items will be stored in the secure store. Secure store is a generic term for either:
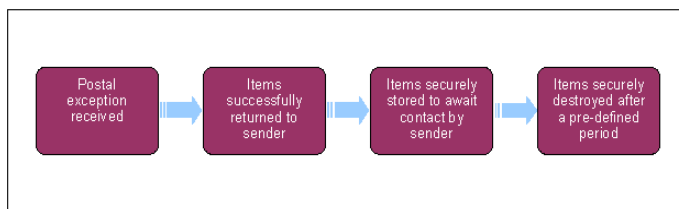
- The BPAS safe

- A lockable cabinet owned and held within the unassociated mail handling team

Items deemed as valuable will be stored in the BPAS safe. Please see the FINANCE MANAGERS GUIDE for more information.

Items not held by BPAS will be stored in the unassociated mail handling team lockable cabinet. The secure store will not be a permanent location for any item, the unassociated mail handling team will review the contents on a regular basis with the aim of:

- Sending the item to a relevant caseworker

- Returning the item to the client

- Securely destroying the item

For more information refer to Law and Policy Handbook ⚖️

When speaking to clients always use the new terminology - For more information refer to the Terminology Changes procedure in related items.

Details

Postal exception received

When the third party scanning provider receives any physical item they will class them as a postal exception, the activity and PDF image will be automatically assigned to the unassociated mail handling team by the system. The physical item will also be sent to the unassociated mail handling team by courier.

Each exception will require a different action by the third party scanning provider and the unassociated mail handling team. The unassociated mail handling team will progress each exception to a resolution and update the system accordingly. If the exception is from a third party the unassociated mail handling team will liaise with the third party team if required.

The list below details all exceptions and actions to be taken. By selecting the relevant exception, resolution actions will be displayed.

Post dated cheques (up to three days in advance)

1. The Child Maintenance Group (CMG) will accept post dated cheques up to three days advance.

Cheques older than six months or post dated more than three days in advance will be dealt with as per the heading cheque, cash or postal order which fails authenticity check or additional quality check in this procedure.

Envelopes marked return to sender

Third party scanning provider action

Third party scanning provider:

1. The third party scanning provider will stamp the envelope and first page of correspondence with "gone away"

2. Remove all pages for secure destruction.

3. Scan the envelope and first page of correspondence ensuring the Royal Mail red sticker is scanned to show reason for return.

4.

They will include the gone away flag as part of document metadata to show that this is an exception.

Unassociated mail handling team

5. No action is to be taken by the unassociated mail handling team for returned envelopes as they will be automatically associated to the relevant contact, case or organisation on the system with an activity type of returned envelope.

6. This action will automatically create a Change Of Circumstances (CofC), Change Personal Information, Change Address Details service request (SR).

i If the source of the **Change Addres Details** SR is **Third Party**, you do not need to link the SR to a contact via the MVG button.

Envelopes not addressed to one of the authority postal addresses

Third party scanning provider:

1. Envelope stamped "incorrect delivery address" and re-introduced to the Royal Mail network.

No other action is required.

Non scannable Items

e.g. car keys, hard back books, diaries, business accounts, rent books, magazines. This also refers to items in alternative format e.g. braille, large print, audio cassette etc.

Third party scanning provider

1. Will create an exception form and capture a written description of the non scannable item received.

2. Scan the exception form and create an exception metadata item of 'unable to scan' against the envelope. The exception form will be presented within the portable document format (PDF) image sent to the Child Maintenance Group (CMG).

3.

Forward the physical item and a copy of the exception form to the unassociated mail handling team via courier within 24 hours of receipt.

Unassociated mail handling team:

4. The system will flag as an Exception (which will include an exception form). The unassociated mail handling team will take the following actions upon receipt of the physical item:-

5. Determine whether further scanning is required (for example: a need to scan pages of a diary for proof or further information). This will require contact with the case owning team to discuss and confirm the action required.

6. If local scanning capability is not available, photocopy the items and send the photocopies to the relevant 2012 scheme PO Box address (this will route the item to the scanning provider for business as usual scanning and storage).

7. If necessary, the physical item may need to be forwarded to the case owning team for them to determine the action required and to perform the local scanning. In this scenario, the case owning team must return the physical item to enable the unassociated mail handling team to complete all actions as below.

8. If local scanning is not available, the item should be photocopied and the photocopies must then be sent to the relevant 2012 scheme PO Box address.

9. If the physical item is deemed of value to the sender (e.g. jewellery, diary) and the sender can be identified, return the item to the sender. If clarity is required to determine whether the item should be returned to the sender, the case owning team should be contacted so they can liaise with the client to ask them if they would like it returned.

10. If the item is not deemed of value to the sender, and the sender can be identified, store the item for six weeks in the secure store(in alignment with scanning provider contract). Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

11. If, in exceptional circumstances, it is deemed essential for the physical item to be stored long term (e.g. linked to an appeal or dispute or any court/legal action), return the item to the scanning provider (by courier) for long term storage only (i.e. the item will not require scanning).

12. If the sender cannot be identified, store the item in the secure store and diarise a review date of three months to perform another search. If the sender cannot be identified after three months and the sender has not contacted the CMG to ask for the item's return, securely destroy the item unless it requires long term storage, as per the above rule.

13. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. Name, Address, Return Date and Return Method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

14. Where the sender has been identified, the Activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system Activity needs to be moved to the **Unassociated Items** view.

15. Update the off system manual inventory log for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

    - Log of date and time the item is received.

    - Description of the item received.

    - Reference of the item location within the secure store (if necessary).

    - Log of trace activity undertaken.

    - Date the item has been returned to the sender or forwarded to another team.

    - Name and address of the sender or team the item is returned to.

    - Audit of the return method and tracking details.

    - Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction/decision not deemed as valuable.

Cheque, cash or postal order which fail authenticity check or additional quality check

Third party scanning provider

1. Scan the document as normal and create an exception metadata item of; 'unable to bank' against the envelope.

2. At the end of the standard process remove the cash, cheque or postal order from the batch and forward to the unassociated mail handling team along with information about the exception (i.e. failed authenticity check).

The unassociated mail handling team

1. Receives a system activity flagged as an **Exception** (which will include an image of the item received which could not be banked) and the physical item from the scanning provider.

2. Will determine if the item is of value. If the physical item is deemed of value to the sender (e.g. cheque) and the sender can be identified, return the item to the sender. If clarity is needed to determine whether the item should be returned to the sender, the case owning team should be contacted so they can liaise with the client to ask them if they would like it to be returned.

3.

   If the item is not deemed of any value to the sender, and the sender can be identified, store the item in the secure store for six weeks (in alignment with scanning provider contract). Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

   If in exceptional circumstances it is deemed essential for the physical item to be stored long term (e.g. linked to an appeal or dispute or any court/legal action), return the item to scanning provider (by courier) for long term storage only (i.e. the item will not require scanning).

4.

   If the sender cannot be identified, store the item in the secure store and diarise a review date of three months in advance to perform another search. If the sender cannot be identified after three months and the item is deemed of value, store for a further three

months. If the sender cannot be identified after six months of storage, return the item to the issuing body. If not possible, liaise with finance team to determine next steps.

If the sender can not be identified after three months and the item is not deemed of value, securely destroy the item.

5.

Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

Where the sender has been identified, the Activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system Activity must be moved to the **Unassociated Items** view.

6. Update the off system Manual Inventory Log, for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

- Log of date and time the item is received.

- Description of the item received.

- Reference of the item location within the secure container (if necessary).

- Log of trace activity undertaken.

- Date the item has been returned to the sender or forwarded to another team.

- Name and address of the sender or team the item is returned to.

- Audit of the return method and tracking details.

- Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction/decision not deemed as valuable.

Incomplete mail items

Third party scanning provider

1. If possible, process the document as normal. If not possible, create an Exception Form to capture a written description of the item.

2. Create an exception metadata item of 'potentially incomplete' against the envelope.

3. Store the document as normal where it could be processed normally. Where the document could not be processed and an Exception Form was created, forward to the unassociated mail handling team along with information about the exception.

Unassociated mail handling team:

The unassociated mail handling team receives the following only if the item could not be processed as normal:

1. System Activity flagged as an exception (which includes an Exception Form that captures a description of the item received).

2. Physical item from the scanning provider.

The unassociated mail handling team takes the following actions upon receipt of the physical item:-

1. Determine if the sender can be identified and if it can be progressed without further action. This may require contact with the case owning team to discuss and confirm the action required.

If the item does not include a Court Form or an original item, store the item in the secure store for six weeks. Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date. If the physical item includes a court form, return to the scanning provider for long term storage. If the item includes an original item, return the original item to the sender and any other contents (e.g. letter) should be stored in the secure store for six weeks and destroyed as above.

2. If the sender cannot be identified and the item does not include a court form or an original item, store the item in the secure store for six weeks. Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

If the sender cannot be identified and the item includes a court form, contact the nearest regional enforcement team of the issuing court for advice/action. Once resolved the court form must be returned to the scanning provider for long term storage or forwarded to the case owning team.

If the sender cannot be identified and the item includes an original item, store the item in the secure store and diarise a review date of three months to perform another search. If the sender cannot be identified after three months, store in the secure store for a further three months. After six months of storage, forward the item to the issuing body. Any other general correspondence that was received with the item must be securely destroyed.

3. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system Activity will need to be moved to the **Unassociated Items** view.

4. Update the off system Manual Inventory Log For Recording Purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

- Log of date and time the item is received.
- Description of the item received.
- Reference of the item location within the secure container (if necessary).
- Log of trace activity undertaken.
- Date the item has been returned to the sender or forwarded to another team.
- Name and address of the sender or team the item is returned to.
- Audit of the return method and tracking details.
- Planned destruction date and the Log of Item Disposal Date and activity undertaken, this must include the reason for destruction/decision not deemed as valuable.

Cherished item which fails authentication

Third party scanning provider

1. Process the document as normal and capture an exception metadata item of 'potentially incomplete' against the envelope.

2. Forward physical item to the unassociated mail handling team plus a copy of the exception form to identify the item has failed authentication.

Unassociated mail handling team

The unassociated mail handling team will receive the following only if the item could not be processed:

1. System activity flagged as an Exception (which includes an exception form that captures a description of the item received).

2. Physical item from scanning provider.

The unassociated mail handling team take the following actions upon receipt of the physical item:-

1.

If the sender can be identified, call the case owning team to discuss the action required. The case owning team contact the client to discuss the item received and to determine if the item requires returning to sender and to request further evidence, if applicable.

Return to sender if requested by the case owning team. If the item does not need to be returned, store the item in the secure store for six weeks. Diarise a review date to extract the item from storage for destruction and securely destroy on the diarised date.

2. If the sender cannot be identified, store the item in the secure store and diarise a review date of three months in advance to perform another search. If the item is not deemed of value, securely destroy the item. If the item sender can not be identified after three months, store for a further three months. After six months of storage return the item to the issuing body.

3. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. Name, Address, Return Date and Return Method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

4. Where the sender has been identified, the Activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system activity will need to be moved to the **Unassociated Items** View.

5. Update the Off System Manual Inventory Log for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

- Log of date and time the item is received.
- Description of the item received.
- Reference of the item location within the secure container (if necessary).
- Log of trace activity undertaken.
- Date the item has been returned to the sender or forwarded to another team.
- Name and address of the sender or team the item is returned to.
- Audit of the return method and tracking details.
- Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction/decision not deemed as valuable.

Documents received and classed as "damaged" upon receipt

Third party scanning provider

1. If possible, process the document as normal. If not possible, create an exception form to capture a written description of the item.

2. Create an exception metadata item of 'damaged on receipt' against the envelope.

3. If the damaged item is a cherished item, forward to the unassociated mail handling team, otherwise store in short term storage, as normal.

Unassociated mail handling team

1. For exceptions where the physical item will not be received and the sender can be identified, associate the activity to the relevant contact and call the case owning team to advise of the damaged item.

   For exceptions where the physical item will be received, no action will be taken with the system activity until the physical item is received.

2. If the physical item is an original item and the sender can be identified, contact the case owning team to advise they plan to return the item but as it was damaged on receipt, they will need to submit a compensation claim to Royal Mail.

   If the physical item is a court form and the sender can be identified, contact the case owning team to request the action they wish to be taken.

3. If the physical item is received, the sender can be identified and it does not include a court form, store the item in secure store for six weeks (in alignment with ccanning provider contract). Diarise a review date to extract the item from storage for destruction. Securely destroy the item on diarised date. If the physical item includes a court form, return to the scanning provider for long term storage.

   Update the system Activity **Notes** with action taken and associate to the correct client or organisation.

4. If the sender cannot be identified and the item does not include a court form or an original item, store the item in the secure store for six weeks. Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

   If the sender cannot be identified and the item includes a court form, contact the nearest regional enforcement team of the issuing court for advice/action. Once resolved the court form must be returned to the scanning provider for long term storage or the case owning team.

   If the sender cannot be identified and the item includes an original item, store the item in the secure store and diarise a review date of three months in advance to perform another search. If the sender cannot be identified after three months, store for a further three months. After six months of storage, forward the item to the issuing body. Any other general correspondence that was received with the item must be securely destroyed.

5. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

   Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system activity must be moved to the **Unassociated Items** view.

6. Update the off system Manual Inventory Log for Recording Purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

   - Log of date and time the item is received.
   - Description of the item received.
   - Reference of the item location within the secure container (if necessary).
   - Log of trace activity undertaken.
   - Date the item has been returned to the sender or forwarded to another team.
   - Name and address of the sender or team the item is returned to.
   - Audit of the return method and tracking details.
   - Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction / decision not deemed as valuable.

Documents damaged by the contractor process

Third party scanning provider

1. If possible, process the document as normal.

   If not possible, create an Exception Form and capture a description of the item.

2. Create an exception metadata item of 'damaged by contractor' against the envelope.

3. If exception form completed, scan the exception form.

4. If the damaged item is a cherished item or can not be processed for any reason, forward to the unassociated mail handling team. Otherwise store in short term storage, as normal.

5. Escalate incident to team leader (TL). Contact unassociated mail handling team nominated point of contact and agree approach.

Unassociated mail handling team:

1. For exceptions where the physical item will not be received and the sender can be identified, associate the activity to the relevant contact and call the case owning team to advise of the damaged item.

   For exceptions where the physical item will be received, no action will be taken with the system activity until the physical item is received.

2. If the physical item is an original item and the sender can be identified, contact the case owning team to advise they plan to return the item but need to determine whether compensation is required to replace the item. If compensation is required, raise to the service management and finance teams for progression and resolution and return the item to the sender.

   If the physical item is a court form and the sender can be identified, contact the case owning team to request the action they wish to take.

3. If the physical item is received, the sender can be identified and it does not include an original or court form, store the item in the secure store for six weeks (in alignment with scanning provider contract). Diarise a review date to extract the item from storage for destruction. Securely destroy item on diarised date.

4. If the sender cannot be identified and the item does not include a court form or an original, store the item in the secure store for six weeks. Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

5. If the sender cannot be identified and the item includes a court form, contact the nearest regional enforcement team of the issuing court for advice/action. Once resolved the court form must be returned to the scanning provider for long term storage.

6. If the sender cannot be identified and the item includes an original item, store the item in the secure store and diarise a review date of three months to perform another search. If the sender can not be identified after three months, store for a further three months. After six months of storage, forward the item to the issuing body. Any other general correspondence that was received with the item must be securely destroyed.

7. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

8. Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system activity will need to be moved to the **Unassociated Items** view.

9. Update the off system Manual Inventory Log for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

   - Log of date and time the item is received.
   - Description of the item received.
   - Reference of the item location within the secure container (if necessary).
   - Log of trace activity undertaken.
   - Date the item has been returned to the sender or forwarded to another team.
   - Name and address of the sender or team the item is returned to.
   - Audit of the return method and tracking details.
   - Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction/decision not deemed as valuable.

Cherished items identity of sender/return address cannot be determined

Third party scanning provider

1. Process the document as normal.

2. Create an exception metadata item of 'sender unknown' against the envelope.

3. At the end of the standard process remove the cherished item from the batch and forward to the unassociated mail handling team.

Unassociated mail handling team

The unassociated mail handling team will receive:

- System activity flagged as an **Exception** (which will include an image of the item received).
- Physical item from scanning provider.

The unassociated mail handling team will take the following actions upon receipt of the physical item:-

1. If the sender can be identified, return the physical item to the sender.

2. If multiple potential contact matches can be found, contact the relevant case owning teams with a view to identifying the correct sender. If the sender can be identified, return the physical item to the sender.

3. If the sender cannot be identified or if there are too many potential matches to enable a further search, store the item in the secure store and diarise a review date of three months in advance to perform another search. If the sender can not be identified after three months, store for a further three months. After six months of storage, forward the item to the issuing body. Any other general correspondence that was received with the item must be securely destroyed.

4. Update the Activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

5. Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system activity will need to be moved to the **Unassociated Items** view.

6. Update the off system Manual Inventory Log for Recording Purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

   - Log of date and time the item is received.

   - Description of the item received.

   - Reference of the item location within the secure container (if necessary).

   - Log of trace activity undertaken.

   - Date the item has been returned to the sender or forwarded to another team.

   - Name and address of the sender or team the item is returned to.

   - Audit of the return method and tracking details.

   - Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction / decision not deemed as valuable.

Poor quality physical document

Third party scanning provider action

1. Stamp the document as 'poor quality original'. If the item is an original/cherished item, the photocopy of the item will be stamped.

2. Process the document as normal.

Unassociated mail handling team action

No action required by the unassociated mail handling team.

The procedure for reprocessing requests should include the visual check on each PDF image and if the item is stamped with 'poor quality original' the caseworker should not make a rescan request with the aim of trying to get a better quality scanned image, as this would not be feasible because the poor quality of the image is due to the poor quality of the original document.

Documents outside of A3-A5 size

Third party scanning provider

1. If possible, process the document as normal.

2. If not possible create an exception form to capture a written description of the item.

3. Forward the physical item to the unassociated mail handling team.

Unassociated mail handling team

1. Determine whether further scanning is required (for example: if it is possible to enlarge or reduce an item for A4 scanning/copying). This will require contact with the case owning team, if the sender can be identified, to discuss and confirm the action required. If local scanning capability is not available, photocopy the item and send the photocopies to the relevant 2012 scheme PO Box address (this will route the item to scanning provider for business as usual scanning and storage).

   If necessary, the physical item may need forwarding to the case owning team for them to determine the action required and to perform the local scanning. In this scenario, the case owning team must return the physical item to enable the unassociated mail handling team to complete all actions as below. As above, if local scanning capability is not available, the item will need to be photocopied and the photocopies must then be sent to the relevant 2012 Scheme PO Box address.

2. If the physical item is deemed of value to the sender and the sender can be identified, return the item to the sender. If clarity is required to determine whether the item should be returned to the sender, the case owning team should be contacted so they can liase with the client to ask them if they would like it returned.

3. If the item is not deemed of value to the sender, and the sender can be identified, store the item for six weeks in the secure store (in alignment with scanning provider contract). Diarise a review date to extract the item from storage for destruction. Securely destroy the item on the diarised date.

4. If, in exceptional circumstances, it is deemed essential for the physical item to be stored long term (e.g. linked to an appeal or dispute or any court/legal action), return the item to scanning provider (by courier) for long term storage only (i.e. the item will not require scanning).

5. If the sender cannot be identified, store the item locally in the secure store and diarise a review date of three months in advance to perform another search. If the sender cannot be identified after three months and the sender has not contacted the CMG to chase for the item's return, securely destroy the item unless it requires long term storage, as per the above rule.

6. Update the activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system Activity (i.e. name, address, return date and return method). All other actions should be captured in the activity **Notes** field. If the item is to be securely destroyed, the planned destruction date should also be included.

7. Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system Activity will need to be moved to the **Unassociated Items** view.

8. Update the off system Manual Inventory Log for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

   - Log of date and time the item is received.

   - Description of the item received.

   - Reference of the item location within the secure container (if necessary).

   - Log of trace activity undertaken.

   - Date the item has been returned to the sender or forwarded to another team.

   - Name and address of the sender or team the item is returned to.

   - Audit of the return method and tracking details.

   - Planned destruction date and the log of item disposal date and activity undertaken, this must include the reason for destruction or decision not deemed as valuable.

Emails where the attachment is removed

This occurs when the attachment is not in a recognised format or removed as per Child Maintenance Group requirements (i.e. Options/Choices emails).

Third party scanning provider

1. Create image as per normal process.

2. Capture an exception metadata item of 'Attachment Removed'

Unassociated mail handling team

1. Will receive a 2012 sytem activity flagged as Exception (which will include an Exception Form)

2. If the sender can be identified, the case owning team should be contacted to advise of the reason for removal (i.e. because the attachment was not of a recognisable format). The case owning team will contact the organisation to discuss what attachment was sent and that if we require the information they will need to resend it in either a different format or by another communication channel.

Where more than four cherished items are received in a single envelope.

Third party scanning provider

1. Process the documents as normal and combine the fifth and any subsequent cherished items within the fourth cherished item creating a single PDF image file and single metadata output.

Unassociated mail handling team

No action required by the correspondence team.

Invalid cherished items (i.e. where the cherished item type is not on the defined list)

The current list of cherished (original) item types are:

   - Adoption papers

   - Bank statement

   - Birth certificate

- Bond certificate
- Dividend statement
- Court writ/order/legal doc
- DEO authorisation
- Divorce certificate
- DNA test result
- Drivers licence
- Earnings/payslip
- Gender declaration
- Marriage certificate
- P45
- P60
- Parentage declaration
- Parentage proof
- Passport
- Photograph
- Share certificate
- Tax code notice
- Unidentified

Third party scanning provider

1. Process the document as normal and include a cherished item document type of 'unidentified'.

2. Create an exception metadata item of 'potentially incomplete' against the envelope.

3. Forward the physical item to the unassociated mail handling team with insert to advise of invalid cherished item to enable progress and creation of new cherished item type.

Unassociated mail handling team:

1. Identify the new original item document type and if the sender can be identified, return the item to the sender. Contact may be required with the case owning team to help determine the type of document, this may require contact with the client.

2. If, when searching for the sender, multiple potential contact matches can be found, contact the relevant case owning teams with a view to identifying the correct sender. If the sender can be identified, return the physical item to the sender.

3. If the sender cannot be identified or if there are too many potential matches to enable a further search, store the item in the secure store and diarise a review date of three months in advance to perform another search. If the sender can not be identified after three months, store for a further three months. After six months of storage, forward the item to the issuing body. Any other general correspondence that was received with the item must be securely destroyed.

4. Update the activity on the system with all actions taken. If the item is returned to sender, the return information should be captured against the system activity (i.e. name, address, return date and return method). All other actions should be captured in the Activity **Notes** field.

5. Where the sender has been identified, the activity must be associated to the relevant contact/case after all updates have been made. If the sender could not be identified, the system activity will need to be moved to the **Unassociated Items** view.

6. Submit formal request for new document type data item on the system. This request must be approved by the owning operational team before submission and will follow the business as usual procedure for reference data updates.

7. Update the off system Manual Inventory Log for recording purposes. This log must include all actions taken with the physical item for audit purposes. This should capture:

    - Log of date and time the item is received.
    - Description of the item received.
    - Reference of the item location within the secure container (if necessary).
    - Log of trace activity undertaken.
    - Date the item has been returned to the sender or forwarded to another team.
    - Name and address of the sender or team the item is returned to.

- Audit of the return method and tracking details.

- Planned destruction date and the Log of Item Disposal Date and activity undertaken, this must include the reason for destruction or decision not deemed as valuable.

Police Enquiries

Third party scanning provider

No action will be taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team:

If the unassociated mail handling team receive an activity which is from the police, this should be reassigned to the third party team for progression.

Freedom of information letters

Third party scanning provider

No action will be taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team:

1. If the unassociated mail handling team receive a freedom of information (FOI) request from a client or organisation held on the 2012 system, the unassociated mail handling team must associate the Activity to the sender on the system.

2. If the FOI is from a third party organisation, the activity should be reassigned to the third party team for progression.

3. If the FOI is not from a client or organisation held on the 2012 system, a copy of the correspondence should be forwarded to the CMG FOI team for action and the Activity **Notes** updated with the action taken. Upon completion the Activity must be moved to the **Unassociated Items** view.

Subject access requests

Third party scanning provider

No action is taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team

1. If the unassociated mail handling team receive a subject access request (SAR) from a client or organisation held on 2012 system, the unassociated mail handling team must associate the activity to the sender on the 2012 system.

2. If the SAR is from a third party organisation, the activity should be reassigned to the third party team for progression.

3. If the SAR is not from a client or organisation held on the 2012 system, the unassociated mail handling team must contact the 1993/2003 scheme helpline to determine if the sender is managed on a 1993/2003 schemes. A copy of the correspondence should be forwarded to the CMG SAR team or the team managing the sender relationship.

4. Update the activity **Notes** with the action taken. Upon completion the activity must be moved to the **Unassociated Items** view.

Request from a potential prospect for Options/Choices

Third party scanning provider

No action is taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team

1. Forward the correspondence item (off system) to Options or Choices.

2. Update the activity **Notes** with the action taken and move the activity to the **Unassociated Items** view.

Complaints from non clients

Third party scanning provider

No action is taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team:

1. Aim to identify if the complaint can be linked to a specific team and if possible forward the correspondence (off system) to that team. If unsure which team would have ownership of the complaint, contact the nearest regional complaints team for advise and forward based upon this outcome.

2. Update the activity **Notes** with the action taken and move the activity to the **Unassociated Items** view.

Media enquiries

Third party scanning provider

No action is taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team:

1. Forward the correspondence item (off system) to the press office.

2. Update the activity **Notes** with the action taken and move the activity to the **Unassociated Items** view.

General enquiries from non clients

Third party scanning provider

No action is taken by the third party scanning provider, they forward this to the unassociated mail handling team for action.

Unassociated mail handling team:

1. Ensure the sender is not a new third party or a client or organisation held on 1993/2003 systems. This can be performed by liaising with the third party team and calling the relevant 1993/2003 scheme helpline numbers for information.

    If the sender is a new third party, reassign the activity to the third party team.

    If the sender is held on a 1993/2003 scheme system, forward the correspondence (off system) to the relevant regional team.

    If the sender is not held on 1993/2003 system, escalate to the unassociated mail handling team - team leader to identify the action required. If necessary and if possible, contact the sender to help identify the action required.

    Update the activity **Notes** with the action taken and for all items not reassigned to the third party team, move the activity to the **Unassociated Items** view.

Underpaid post (returned post from the client has incurred a surcharge due to wrong envelope being sent out by the case officer)

Third party scanning provider

No action is to be taken by the unassociated mail handling team for underpaid postage. The scanning provider will scan the envelope of all underpaid items with the contents of the envelope so this will be available to the receiving case owning team within the scanned image.

Underpaid postage is not captured as a metadata item to enable MI reporting from the system but agreement has been made for the scanning provider to pay all underpaid postage costs on our behalf and they will invoice the Child Maintenance Group monthly of the charges to be paid.

CMSL0405 (parental contact)

Third party scanning provider

In most cases the CMSL0405 will be automatically associated with a case on the system. If it cannot be associated it will be forwarded to the unassociated mail handling team as per business as usual unassociated mail handling.

Unassociated mail handling team:

For unassociated CMSL0405s the unassociated mail handling team aim to identify the sender and associate the system activity to the contact as per business as usual.

NICMS to replace CMG in Northern Ireland

Correspondence (Inbound) - Scanning

Terminology Changes

Will there be any hard copies of post?

Yes, enforcement and appeals will be the exception and have access to hard copies of post.

How do you change the classification of a piece of post if it was classified incorrectly?

The item post will be forwarded to the correspondence team who will reclassify it.