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Exceptional Case - Receipt Payment and Reports

Initially there may be a small number of cases that cannot be set up or supported on the 2012 system. These include:

- Type one cases cannot be started as a case participant has no national insurance number (NINO) or child reference number (CRN)
- Type one cases are initially on CMS2012 but an incident has prevented progression of the case

This procedure shows caseworkers from the exceptional case handling team (ECHT) how to record a case, assign a receipt to a case in the receipts and payments tool and how to allocate the payment to the client/s once the receipt has cleared.

On a daily basis, a team member with administrator access creates two payment files from the tool, one for Great Britain and one for Northern Ireland. These payment files are saved in a localised file with the status of the receipts as 'Paid'. This allows the managing exceptions team to access the files and make the physical payments.

ECHT caseworkers must use the off system link [2012 scheme letter](#), [Exceptional case - letters \(outbound\)](#) and the relevant procedure to identify and issue the correct notifications.

This process is completed by the exceptional case handling team.

When speaking to clients always use the new terminology. For more information refer to the [Terminology Changes](#) procedure.



This procedure uses the terms receiving parent and paying parent.

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.

Receipt received



Once a case is set up on the Information gathering tool the case details must be entered onto the Receipts & Payments tool.

To input payment receipt details, access the spreadsheet in the shared folder, select a receipt to process and assign this to the client's case. Mark on the spreadsheet which receipt is being processed to ensure it is not added to the tool more than once.

1. Select the receipts and payments tool icon from the desktop, the log in screen appears with your staff ID and name pre populated. Select **Login**.



If you have multiple roles on the system (Administrator and Caseworker), select **Caseworker** from the **User role** dropdown. An error message is displayed if this field is left blank.



All mandatory fields on the forms have yellow backgrounds. If all mandatory fields are not completed, an error message displays informing you of this.

2. Once logged in, a main menu is presented with the following options to select from:

- **Administrator**
- **Search input NRP details**
- **Assign receipt**
- **Allocate receipt**
- **Record failed payment**
- **Record failed receipt**
- **Exit**

Add client case details

3. Once logged into the system, select **Search input NRP details** from the list in the main menu, the **NRP personal details screen** appears:

The screenshot shows the 'Child Maintenance Group - Input NRP Personal Details Screen'. The form includes the following fields:

- Non Resident Parent:** NRP - ECH Reference: ECH112233, NRP Name: Mickey Mouse, NRP DOB: 01/01/1950
- Jurisdiction:** NI
- Current Case List:** A table with columns for Case Reference, PWC Reference, PWC Name, and PWC DoB.

Case Reference	PWC Reference	PWC Name	PWC DoB
11111111	ECH112234	Minnie Mouse	02/02/1951
22222222	ECH112236	Joanne Bloggs	22/03/1987
77777778	ECH777777	Susan Smith	11/02/1960
77777779	ECH777777	Susan Smith	11/02/1960
77777787	ECH777787	Jane Dickens	30/10/1978

Buttons: Add Case, Edit Case, Cancel, Submit

Current User: 10062847 - Stephen Phoenix
 User Role: Case Worker
 System name: Transfer of Receipts to Future Scheme
 System date: 06/11/2012

4. Complete the following fields on the **NRP personal details** screen using the information provided on the applications tool:

- **NRP ECH Reference** – this must be the ECH reference number (not a NINO, even if the paying parent has one)
- **NRP Name**
- **NRP DOB** – the date of birth of the paying parent dd/mm/yyyy
- **Jurisdiction** – From the dropdown select GB or NI

5. Once the paying parent details are entered, the **Add Case** button is enabled. This allows you to enter the receiving parent details.

6. Select the **Add Case** button the following screen is displayed:

5510119.01.001-V1.0

Child Maintenance Group

Case Details Screen

Case Reference: 1-11111111
PWC ECH Reference: ECH111112 PWC Name: PWC One PWC DOB: 26/04/1963

Case Opening Balance: £70.00

Account Name	Sort Code	Account Number	Roll Number	End Date
PWC Bank Accounts: Account One	11-11-11	11111111		

Effective Date	Amount	End Date
Assessments: 01/09/2012	£35.00	

Receipt Reference	Amount	Date
Payments: ECH29111200001	£20.00	29/11/2012
ECH29111200003	£100.00	29/11/2012

Current User: 42361310 - Paul J Cox
User Role: Case Worker
System name: Exceptional Case Handling - Receipts and Payments Tool
System date: 04/12/2012

7. Complete the following fields in the **Case details screen**:

- **Case Reference** – numeric, one digit followed by a hyphen then eight digits
- **PWC Reference** – the receiving parent's ECH reference number
- **PWC Name**
- **PWC DOB** – (date of birth of the receiving parent dd/mm/yyyy)

8. From the main menu go to the **Search input NRP details** screen and enter the ECH number, this brings the client details on the screen. Select the appropriate case from the list and select the **edit case** button, the case details screen is displayed.
9. Select the **Add New Account** button, and within the screen that displays, enter the opening balance and all relevant accounts. Select **submit** to save data and return to **Case Details** screen.



If a balance has already been added to the account an error message is displayed. Repeat this for all appropriate accounts.

frmAccountInput : Form

Department for Work & Pensions
Child Maintenance Group

Account Input screen

Case Reference: -99999990 PWC Name: Arnold Baker

Account Name: LO-LSDO Arrears

Opening balance: [] Current balance: £1560.00

Assessment Amount: £65.00 Receipt Allocation Amount: []

Cancel Submit

Enter receiving parent's bank details

10. Enter the receiving parent’s bank details, select the **Add New Account** button, the following screen appears:

SST0116.01.001-V0.1

Child Maintenance Group

Add New Bank Account Screen

Account Type:
 Bank Account
 Building Society

PWC Account Name: []

PWC Sort code: []

PWC Account Number: []

PWC Roll Number: []

Cancel Submit

Current User: 10062847 - Stephen Phoenix
 User Role: Case Worker
 System name: Transfer of Receipts to Future Scheme
 System date: 06/11/2012

Unlike CMS2012 where a receiving parent can have more than one bank account on a multiple case, a receiving parent who has multiple cases on the ECH system may only have one bank account set up to receive payments.

Ensure that any bank account details provided at the application stage are validated in bank wizard before adding them to the system. For more information refer to Bank Wizard in Internet Explorer and copy the following link into the address bar <http://bankval/>.

11. Select the **Account Type** as Bank Account or Building Society and enter the following details in the relevant fields:
 - **PWC Account Name**
 - **PWC Sort Code**
 - **PWC Account Number**
 - **PWC Roll Number** – This is only required for a building society account
12. Once all of the details are entered, select the **Submit** button to retain the bank details and return back to the **Case details screen**. The bank details are visible in the **PWC bank accounts** field.

Add assessment to case

13. Select the **Add New Assessment** button, the following screen is displayed:

The screenshot shows a software interface titled "Child Maintenance Group" with a sub-header "Add New Assessment Screen". It features three input fields: "Effective Date:" (empty), "Amount:" (containing "£0.00"), and "End Date:" (empty). Below these fields are two buttons: "Cancel" and "Submit". At the bottom of the screen, a status bar provides the following information: "Current User: 10062847 - Stephen Phoenix", "User Role: Case Worker", "System name: Transfer of Receipts to Future Scheme", and "System date: 06/11/2012".

14. Enter the assessment details gathered from the calculation tool in the following fields:
 - **Effective date** – this date cannot be earlier than the date the case was added to the system
 - **Amount** – the amount of the assessment
 - **End date** – this is not mandatory and only required when an end date has been confirmed
15. Once the details are entered, select the **Submit** button to retain the assessment details and return back to the **Case details screen**. The assessment is visible in the **Assessments** field.
16. Select **Submit** on the **Case details screen** to retain the receiving parent's case and return you to the paying parent personal details screen.

 Note that the receiving parent's details are now added to the **Current Case List** field.
17. Where there is more than one receiving parent on the case repeat **steps 6-14** for each receiving parent.
18. Once all of the relevant parties have been added to the case select the **Submit** button on the **NRP personal details** screen to save the case details on the system.

 Ensure you do not select the **Cancel** button at this stage as all entered data will not be saved. Only select this if a mistake has been made while entering the case details to start the process again.

Assign receipt to case

19. Once logged into the system, select **Assign receipts** from the list, the **Assign Receipt to NRP** screen appears as below.:

SST0116.01.001-V0.1

Child Maintenance Group

Assign Receipt To NRP Screen

NRP - ECH Reference: NRP Name: NRP DOB:

Receipt Type: Receipt Amount: Receipt Banked Date:

Receipt Reference	Receipt Type	Receipt Amount	Banked Date
History of Receipts Assigned to NRP:			

Cancel Submit

Current User: 10062847 - Stephen Phoenix
 User Role: Case Worker
 System name: Transfer of Receipts to Future Scheme
 System date: 06/11/2012

20. Complete the following fields:

- **NRP ECH Reference** – Input the ECH reference number
- **NRP Name** – (not mandatory)
- **NRP DOB** – not mandatory)
- **Receipt Type** – DEO, DER
- **Receipt Amount**
- **Receipt Banked Date** – the date the receipt was received into the 2012 system.

21. The **History Of Receipts Assigned To NRP** field shows any receipts that have been assigned to the case.

22. Once all the details are entered, select the **Submit** button, this saves and records the receipt into the system with your staff ID and today's date.

 Once the receipt has been assigned to the case, the system automatically sets a clearance time for the receipt in line with the method of payment.

Allocate receipts

 When an assigned receipt has cleared, it appears on your **Allocate receipts list screen**. This list must be checked on a daily basis to allocate any receipts that have cleared.

 Note - receipts will not appear on this list if it has not completed the clearance time.

23. Select **Allocate Receipts** from the main menu in the receipts and payments tool. The **Allocate Receipts list screen** appears as below.

The screenshot shows a web application window titled 'Child Maintenance Group' with a subtitle 'Allocate Receipts List Screen'. The window has a blue header bar with the text 'SST0116.01.001-V0.1'. Below the header, there is a large empty rectangular area labeled 'Assigned and Cleared Receipts:'. At the bottom of the main content area, there are two buttons: 'Cancel' on the left and 'Allocate Receipt' on the right. Below the main content area, there is a footer section containing the following text: 'Current User: 10062847 - Stephen Phoenix', 'User Role: System Administrator', 'System name: Transfer of Receipts to Future Scheme', and 'System date: 18/10/2012'.

24. All receipts that have cleared appear in the **Assigned** and **Cleared Receipts** field with the following information:

- **ECH reference**
- **NRP name**
- **Receipt amount**
- **Receipt type**
- **Receipt banked date**

25. Highlight a receipt and select the **Allocate receipt** button. The Allocate receipt screen appears as below.

SST0119.01.001-V4.22

 **Department for Work & Pensions**
Child Maintenance Group

Allocate Receipt Screen

NRP Reference: ECH000001 NRP Name: Homer Simpson Receipt Amount Outstanding: £100.00

Assign Receipt Allocation

Case Reference	PWC Reference	PWC Name	Assessment Amount	Current Balance	Allocation Amount	Allocate to Accounts
9-12345678	ECH000002	Marge Simpson	£51.48	£51.48	£0.00	Allocate
Total					£0.00	

Cancel Refund Submit

Current User:
User Role: Case Worker
System name: Exceptional Case Handling - Receipts and Payments Tool
System date: 05/01/2015

26. The following fields are pre-populated with the following details:

- **NRP reference** – paying parent NINO or ECH reference number
- **NRP name**
- **Receipt amount outstanding** - the amount of the receipt to be allocated

27. The **Assign Receipt Allocation** field holds the details of all of the receiving parent's, this shows as a list. The following fields are pre populated for each receiving parent:

- **Case reference** – this is the numeric reference with one digit followed by a hyphen then eight digits
- **PWC reference** – the receiving parent NINO or ECH reference number
- **PWC name**
- **Assessment amount** – the current assessment amount
- **Current balance** – this information is gathered from the assessment performed on the offline calculation tool.

28. Select the **Allocate** button to allocate the amount to accounts. If there is more than one receiving parent, allocate the funds to each receiving parent in line with payment hierarchy until all of the payment has been allocated. For further information refer to [Payment Hierarchy Summary](#).



Note that the system does not allow partial allocation of the receipt, all of the funds must be allocated to allow the receipt to post successfully.

29. To allocate receipts to different account types, highlight the appropriate account in the accounts screen and select **Select** (see screenshot below). Record the receipt amount as at step **28** above.

frmAccountAllocation : Form

 Department for Work & Pensions
Child Maintenance Group

Accounts

Case Reference: -99999990 PWC Name: Arnold Baker Receipt Amount Outstanding: £100.00

Available accounts

Account type	Priority
On Going Maintenance	7
On Going Maintenance -Arrears	19

30. Once all the funds have been allocated, select the **Submit** button (see screenshot at step 25), this saves the allocation, sets an **Awaiting Payment** status for the funds within the system and removes the receipt from the **Allocate Receipts List screen**. (see screenshot at step 23)



The **Awaiting Payment** status allows the system to identify receipts that have been successfully allocated to the cases when the payment files are generated at the end of the day.

31. Complete steps **23-30** until all of the receipts have been cleared from the Allocate Receipts List screen, once complete, select **Cancel** to close this.

Adding new adjustments

- From the list of account types displayed, highlight the appropriate account type and select **adjust**.

frmAccountAllocation : Form

Department for Work & Pensions
Child Maintenance Group

Accounts

Case Reference: -99999990 PWC Name: Arnold Baker Receipt Amount Outstanding: £100.00

Available accounts

Account type	Priority
On Going Maintenance	7
On Going Maintenance -Arrears	19

Buttons: Select, Adjust, Return

- The account input screen is displayed (see screenshot at step 18). Select the reason for adjustment from the drop down menu (if write off or suspend is selected a further reason is requested).
- Enter the amount in the adjustment amount field and select **submit** for both the Receiving Parent and Paying Parent screens to save details. A confirmation message is displayed.

 If no balance exists, no adjustment can be made. Repeat this for all appropriate accounts.

Reason	Amount	Date	UserID
Write Off	-£410.00	15/05/2013 12:28:39	76834403

Create payment file

35. On a daily basis, a team member with system administrator access is required to create two payment files within the system to pay the funds that have been allocated. One file for GB and one for NI.

 Log on to the system as administrator from the dropdown on the login screen.

36. From the main menu select **Administrator Menu** and **Create Payment File**.

37. The payment file generates and is saved to a specified shared folder with the following filename: "GB_Exceptional_Case_Payments_File" & Julian date &_HH:MM:SS & ".csv"

 The file name for the NI payment file will begin with NI.

38. Once the payment file is created, the **Status** of each payment changes from **Awaiting Payment** to **Paid**.

 This is the last action performed by the exceptional case handling team. The managing exceptions team will access the payment file and make a BACS payment through HSBCnet to issue the payments. For further information refer to **Exceptional Case – BACS Payment**.

Accounting reports

There are five reports available for an administrator to generate. Certain reports are required on a daily basis to aid with accounting and reconciliation.

39. Log on to the system as **Administrator**, from the main menu select **Administrator Menu** and **Generate Accounting Reports**, the following screen appears.

40. In the **Report Options** field, choose **Generate all reports** or **Generate individual reports**.
41. The five types of reports available are:
- Generate current accruals report
 - Generate current debt position report
 - Generate unallocated receipts report
 - Generate daily assigned receipts report
 - Generate daily payments made report
42. To generate the two current position reports enter a reporting date from the past. This will create a report using the criteria that all relevant assessments and receipts are earlier than, or equal to the date entered.
43. The unallocated receipts report produces details of all receipts with an **Awaiting Payment** status at the point the report is generated.
44. Daily reports are generated for the last full working day using the criteria that all creation dates of receipts or payments are equal to the date of the last full working day.



Once the relevant reports have been selected, select **Generate reports**.

45. When the reports have generated, these are automatically saved in a designated folder with the relevant report name and date, e.g. 'Current_AccrualsReport_2012.10.22_15:45:33'
46. The Exceptional case handling team (ECHT) use these reports to issue the payments.

Close case (for reload onto CMS2012)

47. Where a case is to be closed for reload onto CMS2012, go to the case details screen; select the close case button, the following dialogue box displays:



The screenshot shows a web form window titled "frmCloseCase : Form". Inside the window, there is a label "Reason for closure" followed by a dropdown menu. The dropdown menu is currently set to "Closed - Reload to 2012". To the right of the dropdown menu is a button labeled "Confirm case closure".

48. Select the closed - reload to 2012 tab, select **Select** and **Confirm Case Closure** button.
49. The following warning message appears; **the case will be closed permanently and will become read only. Do you wish to continue?** Select one of the options **yes/no**.

When closing a case a check is made to confirm all balances are nil. Use the reload to 2012 reason code from the drop down menu.

[Exceptional Case - Assessment](#)

[Exceptional Case - BACS Payment](#)

[Exceptional Case - Gateway](#)

[Exceptional Case Handling - Overview](#)

[Exceptional Case - Information Gathering](#)

[Payment Hierarchy Summary](#)