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## Incident Management - Manage Incident Locally

This procedure provides information detailing the actions required if encountering a problem within CMS2012 or BaNCS. The procedure is broken down into:

- How to resolve the problem locally, including raising a problem with local IT support
- What information is required prior to raising an incident with Area Advice Centre (AAC)
- How to raise an incident with AAC
- What action should be taken when a resolution is provided by AAC

This process can be undertaken by any member of the Child Maintenance Group (CMG) experiencing a problem that requires an incident to be raised with AAC.

Examples of problems include:

- System displays an error message
- Unable to progress the case due to an error, but no error message has been received. E.g. system is not calculating the assessment correctly
- Work management screens are not displaying or filtering correctly
- Unable to access work or allocate work correctly due to Business Organisational Model (BOM) configuration problems

Use the resources available, including Procedures and attempt to resolve the problem. When a resolution cannot be found, escalate to the team leader (TL) who will determine if all the relevant action has been taken and advise if the problem needs to be escalated to the AAC.

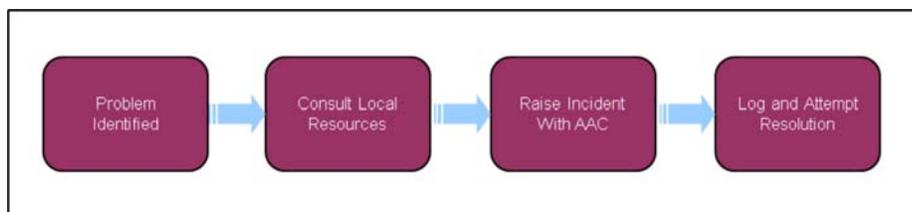


Always consult a team leader before raising the incident with AAC.

Call AAC and raise the incident. On receipt the incident will be logged. The incident will be reviewed to confirm that all the relevant actions have been taken, a resolution attempted and assigned to Expert Domains when required. An incident number will be provided. When an incident is assigned to an Expert Domain, resolution action will be provided to the AAC. AAC will provide updates and any required resolution action.



Reducing the number of incidents raised is important. For more information refer to [Incident Reduction Advice](#).



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

## Manage Incident Locally

### Consult Local IT Support

1. Examples of problems that require escalation to local IT Support are:

- Screen Freeze
- Slow Running Computers
- Profile Exceeds Errors
- Smart Card
- Errors Affecting Multiple Users

When using CMS2012 and a problem progressing an Application or Case arises continue to **Consult Procedures**.

### Consult Procedures

- The first action to take to resolve progressing an Application or Case is to consult online procedures



For an overview on how to use online procedures use: [Sharepoint/Procedures - How to use](#)

- Ensure that when consulting procedures, key words are used that relate to the problem. E.g. When searching for information regarding client contact, use words like "Correspondence" or "Contact" or a phrase like "Inbound Correspondence". Be specific to narrow down the potential matches.

The procedure will provide step by step actions to help with case progression.

If guidance is unavailable, or is unclear, determine if the problem has been raised previously.

- If an incident has not previously been raised and further action is required, continue to **Consult Team Members**.

### Consult Team Members

- Discuss the problem with a colleague. Colleagues may have encountered the same problem in the past and may have already been provided with an approved resolution.



When the problem is Payments related then this is to be discussed with the Local Finance SPOC before progressing.

### Check Incident Reduction Advice

- Before discussing with a team leader, check the Incident Reduction Advice page. For more information refer to [Incident Reduction Advice](#). After checking this page and discussing with colleagues, discuss with a team leader.

### Team Leader Action

- When informed that there is a problem handling an Application or Case, look into this and attempt to resolve it. Work with the caseworker to find a resolution.
- Confirm with them the actions taken before raising with you.
- Take the following actions depending on the outcome of the discussion:
  - **Problem Resolved:** Following investigation you are able to resolve the problem, advise the caseworker of the actions to take and check back to ensure all required actions have been taken.
  - **Further Information Required:** If more information is required before making a final decision on action to take to clear the problem, advise the caseworker of this, asking for further information to enable you to fully consider the problem.
  - **Unable to Resolve:** If after investigation you are not able to resolve the problem and the caseworker has taken all appropriate action, consider the type of problem that the caseworker has and if this could be resolved with escalation to Advice and Guidance (A&G).
- If so, advise the caseworker to raise an SR with Advice and Guidance team. See procedure: [Advice and Guidance - Create Request](#)



Advice and Guidance provides an Enhanced Operational Support service to help with case specific issues that cannot be resolved by consulting business procedures, [Policy, Law and Decision Making Guidance](#) (PLDMG) and/or team leaders.

They provide a single, consistent source of support for both policy and advice and guidance enquiries for colleagues in both Operations and support areas.

All advice requests will be processed by the Advice and Guidance team and can be received at any point during the life of a case.

The Advice and Guidance analysts are not decision makers, however they will help and direct caseworkers to the relevant legislation and procedures which will assist them in reaching a decision.

Advice and Guidance aim to provide a response to case specific enquiries within five working days. Non case specific enquiries may take a little longer and urgent enquiries have a 24 hour turnaround.

A list of areas that Advice and Guidance cover can be found with Enhanced Operational Support Team, this also details examples of urgent enquiries.

- If after investigation Advice and Guidance are unable to provide a resolution, or where a referral to Advice and Guidance is not appropriate, an incident will need to be raised with AAC. Prior to doing this, document the issue.

### Document Issue

12. When a resolution can not be found after all appropriate steps have been taken to resolve the problem, document the problem and the actions to resolve the problem prior to raising an incident with AAC.
13. Document the incident in CMS2012 within the notes section of the SR in question and include the following:
  - Case/SR Number
  - Client Name
  - SCIN
  - Description of the incident, including last actions taken before problem occurred.
  - Date Raised
  - Procedure Path/Step Number
  - Actions taken to resolve



You will be required to log the incident number when this has been provided by AAC. This is to be added to the note previously recorded within CMS2012.

14. Approval is required from a team leader to seek agreement to escalate the incident.

### Refer to Team Leader

15. Before an incident can be raised with AAC, approval is needed from a team leader. Refer the incident via email to a team leader and include the following:
  - Case/SR Number
  - Client Name
  - SCIN
  - Description of the incident, including last actions taken before problem occurred.
  - Date Raised
  - Procedure Path/Step Number
  - Actions taken to resolve

### Further Team Leader Action

16. Having previously been consulted about this problem, review the details provided to ensure all appropriate action has been taken in order to resolve it locally.
17. When satisfied that all appropriate steps have been taken to resolve the problem and the problem still remains, give authorisation to escalate to AAC. If further action is required locally, advise the caseworker of the action(s) to take.

### Approved Referral Identified

18. Having received an approved referral from a team leader, update the note previously recorded within CMS2012 to confirm that approval has been received. Once updated continue to **Raise Incident with AAC**.

## Raise Incident with AAC

### Contact AAC



Whenever an incident is raised with AAC, the lock assign flag must be placed on the case. This is to ensure that the case remains within the current segment and any retry can be completed by the original caseworker. This is necessary so that no further action is taken on the case until the incident has been investigated. Once the incident has been closed, the lock assign can be removed, unless otherwise directed. If it is necessary for the case to be actioned by another caseworker, it is the responsibility of the caseworker who raised the incident to forward any retry requests to the new caseworker.

19. Before raising an incident with AAC ensure that the following information is available otherwise the incident will be rejected:



AAC will reject the incident within the initial call. A follow-up email with the reason for the rejection will be sent to the caseworker and team leader.

- SR Number and Status

- Date incident raised
- Location, Team and Workgroup
- Case Number/Master case number
- NINO
- Caseworker staff number and Team Leader staff number
- Paying Parent/Receiving Parent names and NINO
- Background Information
- Procedural Path Step Number - E.g. Procedures>Pages>Client-Contact>Statement-client statement - Client - Step 4
- Error Message Description
- Other relevant information - (Has the incident been raised previously)
- Employer (ERN)/Third Party (TRN) reference numbers where applicable



When an incident is being raised regarding:

- No employment information being provided by the interface, or;
- Evidence has been provided from either the PP or RP to suggest the information is out of date

AAC are to be provided with the following additional information:

- Employer Details
- PP Address
- Date the DEO Desire Flag was set
- Dates the RDO/LSDO were attempted
- Detailed reason(s) why RDO and LSDO actions have failed
- Any other relevant information

20. To raise an incident with AAC contact them on:

- Belfast - 788266004
- Northern Areas - 783284500
- Hastings - 788508008
- Plymouth - 783022055
- Leicester - 759202127

21. To determine the next action to take continue to **Response Received from AAC**

## Response Received from AAC

A response is provided by AAC via either of the following:

- Within the Initial Call
- Call-back from AAC
- Email from AAC



AAC will always provide the incident number within the initial call. This is to be added to the note previously recorded within CMS2012.

When a resolution is provided within the initial call, continue to **Initial Call**. When a resolution is provided via call-back, continue to **Call-back**. When a resolution is provided by email, continue to **Email**

### Initial Call

When a successful resolution is provided continue to **step 22**. When an unsuccessful resolution is provided continue to **step 23**

22. When a resolution is provided within the initial call, confirm with AAC that corrective action has been successful within the call. This will allow AAC to close the incident. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.
23. When the resolution provided within the initial call is unsuccessful, advise AAC of this within the call. This will allow AAC to escalate the incident. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.

 All future responses will be received via email.

### Call-Back

A call-back will be arranged by AAC when further investigative action is required by AAC. Attempt the resolution within the call.

When a successful resolution is provided via call-back continue to **step 24**. When an unsuccessful resolution is provided by call-back continue to **step 25**.

24. When a successful resolution is provided via call-back, confirm with AAC that corrective action has worked within the call. This will allow AAC to close the incident. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.
25. When the resolution provided via call-back has been unsuccessful, advise AAC of this within the call. This will allow AAC to escalate the incident. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.

 All future responses will be received via email.

### Email

When the incident raised requires escalation by AAC, the resolution will be provided by email. The email will be sent to both the caseworker and team leader.

 When an email has been received from AAC a response is required with 24 hours.

When a successful resolution is provided via email continue to **step 26**. When an unsuccessful resolution is provided by email continue to **step 27**.

26. When successful resolution is provided via email, confirmation is required to AAC. To do this, ensure that a response is sent using the email address within the email text received from AAC. This will allow AAC to close the incident. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.
27. When an unsuccessful resolution is provided via email, confirmation is required to AAC. To do this, ensure that a response is sent using the email address within the email text received from AAC. Add a note to the email if any further information is required. This will allow AAC to escalate the incident for further investigation. Update the note previously recorded within CMS2012 with a description of the actions that have been taken.

 All future responses will be received via email.

[BOM - Segment Summary](#)

[Complaint/Dissatisfaction - Log](#)

[Error Handling](#)

[Exceptional Case Handling - Gateway](#)

[Incident Management - AAC Manage Incident](#)

[Incident Management - AAC Manage Response](#)

[Incident Reduction Advice](#)

[Notes - Service Request/Case/Contact](#)