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Resolve Financial Transition Exceptions

The purpose of this process is to resolve financial transition exceptions that are generated during the Add Arrears from Legacy or Generate Arrears Only Case processes.

Where, as part of adding arrears from the CSA scheme to an existing CMS scheme case or casegroup an error is encountered, or where as part of generating an arrears only case, the case cannot be created or is created with missing data, the CMS system will automatically generate a Manual Handling work item, which will either be routed to the case owner (where a casegroup exists), or sent to the caseworkers on the CSA Rules Reassessment teams (where no case/casegroup currently exists).

Linked to the Manual Handling SR will be one or more child SR that will detail the reason/s for the failure and include an activity plan of the steps required for resolution, these are:

- Arrears Only - where case creation has failed or there is missing non mandatory case data.

- Add Residual Arrears - where the transitioned debt balance has failed to be created on the CMS system.

A Manual Handling SR will also be created to prompt action when:

- Residual arrears are present and receiving parent requested write off - A receiving parent has indicated to the CSA scheme they wanted their arrears to be written off but following financial transition arrears are still showing owed to the receiving parent.

- Liability Order/Enforcement Action - Following financial transition the system identifies a legacy ongoing enforcement indicator is set on the case.

The associated child SRs will allocate to the CSA Rules Reassessment team for them to resolve, with the exception of the Arrears Only SR which will allocate to the case owner where it has been generated due to missing case data.

These child SRs essentially act as a tick list to ensure all required action is taken e.g. when case creation is required the **Arrears Only** child SR will generate and provide an activity plan to resolve the exception. A **New Arrears Only Application** SR would then be created to create the case.

While these child SRs remain open, the case owner will not be able to close the Manual Handling SR, as these will remain open for information purposes.

Case routing will be applied for any cases where the paying parent or receiving parent is identified as having a sensitive case indicator, all sensitive records will be dealt with by the Special Client Records (SCR) team.

The child SR will be populated with the reason for the exception and will show the data that failed to correctly record. The caseworker will then investigate the exception and determine what action is required to resolve the issue, gathering and entering additional missing case data if required to allow the case to progress.

After the missing or incorrect data has been identified by accessing the CSA systems (CS2, CSCS, CCD) ,the report that is attached to the SR, or by contacting the client, the caseworker will enter the correct details onto the system to allow financial transition to continue correctly.

Depending on the reason for the case exception, a child SR will be generated. These SRs will be attached to the Manual Handling SR that is generated automatically by the system for every paying parent casegroup that transitions from the CSA scheme. The **Manual Handling** SR generated will be:

- **Process = Case Closure**

- **Area = Exception**

- **Sub Area = Manual Handling**

Investigate the reason for the exception and failure by viewing the description given within the **Case Closure - Exception** tab. Where information is present within this tab, further detail will be available to view in the **Notes** tab e.g. in the case of missing data items, which specific items are missing. If a **Manual Handling** SR is created due to Residual Arrears or Enforcement/Liability Order action then no information will be populated in these tabs. In these instances the reason for the exception will be identified by viewing the **Child SR** tab and the type of SR that has been created.

Where the paying parent or receiving parent is identified as having a Sensitive Case indicator all actions will be undertaken by the sensitive case records (SCR) team.

Arrears Only Case Could not be created

1. If the arrears only case failed to be created or if there is missing mandatory data items the following child SR generates and is visible within the **Child SR** tab:

   - **Process** = **Case Closure**

   - **Area** = **New Application**

   - **Sub Area** = **Arrears Only**

2. Update the status to **In Progress**.

3. Investigate the reason for the exception and failure by viewing the description in the **Case Closure - Exception** tab. Having viewed this and the relevant notes, access the report provided by Data Warehouse within the **Attachments** tab. Action is required to view the reports in a readable format. Select the **HTML Attachment** button to create a new html version of the exception document. Select the hyperlink button to open the html version of the file. Select **Open** to view the document.

4. Gather the missing or incorrect data required by accessing the relevant CSA scheme system (CS2, CSCS, CCD), the report that is attached to the SR, or if required contact the client. If the case is marked as sensitive on CSA systems, identify all data required and contact the CMS Special Client Records Team (email CM 2012 SCHEME Special Client Records) to obtain the information.

   If the exception has occurred due to non mandatory data missing, (e.g. the CSA case had a representative for which the details have not transitioned) the case will have been created but additional data is required. After identifying what data is missing, gather this information for the case.

   The HTML attachment displays dates in the US format of MM/DD/YYYY therefore all dates should be entered manually rather than copied and pasted.

Where the failure has prevented case creation

5. Create the arrears only case after establising the correct information. For more information refer to Arrears Only Case (CSA) Manual Set Up.

6. Add the arrears to the CMS scheme case the following day. For more information refer to Arrears (CSA Scheme) - Manually Add/Correct Balance.

7. Once this action has been completed, link the exceptions SR to the case and update the sub status to **Complete** and the status to **Closed**.

Where the case was created but failed due to missing data

8. Launch a change of circumstances SR to add the missing client information onto the case. For more information refer to Maintain Client Details Overview.

   There may be several data items missing that may require multiple change of circumstances SRs to be generated in order to correct all the reasons for the exception.

9. Once this action has been completed, link the exceptions SR to the case and update the sub status of to **Complete** and the status to **Closed**.

Where the CSA scheme arrears have not been assigned to the paying parent

10. If the arrears balance cannot be assigned to the paying parent the following Child SR generates within the **Child SR** tab:

    - **Process** = **Transition**

    - **Area** = **Set Up/Amend Residual Arrears**

    - **Sub Area** = **Add Residual Arrears**

11. Update the status to **In Progress**.

12. Where the system displays the reason for the exception as **Legacy Arrears Could not be assigned to an NRP**, access the arrears screens to see the information provided from CSA regarding all the arrears due.

13. Access the relevant CSA scheme system (CS2, CSCS, CCD) and identify any missing information, and if required contact the client. If the case is marked as sensitive on CSA systems, identify all data required and contact the CMS Special Client Records Team (email CM 2012 SCHEME Special Client Records) to obtain the information.

14. After identifying the missing data add the residual balance. For more information refer to Arrears (CSA) - Manually Add/Correct Balance.

Where the missing data cannot be identified

15. Where the missing information cannot be found, or the information entered is still causing a case exception, raise an incident to investigate the issue. For more information refer to Incident Management - Manage Incident Locally.

16. Update the status of the exceptions SR to **Incident Raised.**

17. The system automatically pauses the SR to await incident resolution.

Write Off of Residual CSA Scheme Arrears

18. Once financial transition has completed and any residual arrears have been added to the paying parent's casegroup, the system checks if there are arrears owing to the receiving parent from the CSA scheme. If the receiving parent requested their arrears to be written off, yet arrears still remain owing, the system generates a Manual Handling SR and the following Child SR:

    - **Process = Case Closure**
    - **Area = Additional Debt**
    - **Sub Area = Contact PWC**

19. Update the status to **In Progress** and follow the **Arrears Write Off** guidance within Arrears (CSA) - Manually Add/Correct Balance.

20. Once this action has been completed, update the sub status of the exceptions SR to **Complete** and the status to **Closed**.

Identify Enforcement and/or Liability Order Actions

21. If outstanding enforcement and/or liability order (LO) actions are present on a transitioned case, you need to check the case details on the CSA scheme systems and establish the actions that will need to be taken. If an exception has occurred and the financial transition process has been completed with manual intervention, check for the **Legacy Ongoing Enforcement Indicator** by accessing the **More Info** tab within the **Case Detail** view and if identified follow Enforcement/Liability Order Actions - Check CSA Scheme.
    If financial transition was fully automated the system will check for a **Legacy Ongoing Enforcement Indicator** and if identified create a Manual Handling SR and the following Child SR:

    - **Process = Transition**
    - **Area = Legacy Case Data**
    - **Sub Area = Legacy Enforcement**

22. Update the status to **In Progress** and follow the Enforcement/Liability Order Actions - Check CSA Scheme

23. Once this action has been completed, update the sub status of the exceptions SR to **Complete** and the status to **Closed**.

    (i) All cases where a LO has been granted on the CSA Scheme and the debt has not yet been fully discharged must have the LO details entered onto the case.

    (i) If dealing with a casegroup which contains multiple exceptions, all action must be complete before the paying parent notification (CMSL6301) is issued. Only when all action is complete will the letter contain the true arrears balances.

Automatic Case Build Failure - Northern Ireland Case

GB Action

When an NI case fails to create automatically, it will allocate along with GB cases to the GB CSA Rules Reassessment Team. This is because no postcode is present for the jurisdiction and location to be identified.

In these instances follow the Procedures within the Details tab and build the case. This action must be completed the same day the Manual Handling SR has generated. Having completed the action within Arrears Only Case (CSA Scheme) Manual Set Up the case will assign to the NI CSA Rules Reassessment Team.

1. Once the case has assigned to NI email the designated NI SPOC to notify them that the case has been passed to them and that the action to add the arrears balance can begin.

NI Action

1. Upon receipt of the email, complete the arrears only action by adding the arrears following Arrears (CSAScheme) - Manually Add/Correct Balance. This action must be complete within 24 hours of receiving the email to ensure the agreed timeframe for financial reconciliation is met.

CSA Scheme Case Cleanse - Summary

CSA Scheme Case Closure (Arrears) - Summary

CSA Scheme Information Required - Contact Caseworker

CSA Scheme Inhibit Case Closure - Summary

CSA Scheme Payments to CMS - Summary

CSA Scheme Case Closure Exceptions - Summary

Arrears (CSA Scheme) - Manually Add/Correct Balance

Manage Client Arrears Contact (CSA Scheme) - Summary

Arrears Only Case (CSA Scheme) - Set Up

Arrears - Manually Receive CSA Scheme Balance

Manual Arrears Report (CSA Scheme) - Process

DCA Arrears - Identify And Locate

End CSA Scheme Liability - Summary

Enforcement Actions (CSA Scheme) - Input

Enforcement/Liability Order Actions - Check CSA Scheme

Automated Financial Transition Arrears

Legacy Transition Request (LTR) - Summary

Liability Order (CSA Scheme) - Input

Maintain CSA Scheme Arrears

Manual Handling - CSA Look up Applicant

Manual Handling - CSA Look up Applicant - Paying Parent Partner

Manual Handling - CSA Look up Paying Parent

Manual Handling - Case Closure Case Data Capture Summary

Offline Calculation - Perform

Payments From CSA Scheme To CMS

Terminology Changes

Case Closure - Contingency

Transitioned Arrears - Reconcile

Reactive Case Closure - Invoke