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BaNCS - Control and Assurance		

BaNCS is the Child Maintenance Group (CMG) core banking engine and controls all company and client internal accounts. It is responsible for the movement of money between these accounts.

The following process will provide assurance to the National Audit Office (NAO) and CMG management that any actions taken in BaNCS are executed correctly and that fraudulent activities are not being carried out.

Management checks will be performed against all transactions before they are submitted to BaNCS. Banking and accounting management will receive an audit report on a daily basis detailing transactions that have been submitted to BaNCS the previous day. This report will be checked against the corresponding control logs to ensure submitted transactions are accurate.



## **Details received from managing exceptions**

1. Following completion of the customer service log or the Nat West inward payment file spreadsheet by the managing exceptions team, your team will be responsible for completing various processes using functionality only available in BaNCS. For information on how to complete these processes refer to the relevant procedure in related items. For payment reassignments there will be a corresponding email in the CM2012 Scheme CFAT Banking and Accounting inbox.

# **Manual receipting**

2. For processes which need manual receipting, you will need to access the manual receipting spreadsheet and complete the transaction data.

# Transactions under £2,000

- 3. Complete the transaction data in BaNCS. // Do not select Transmit.
- 4. Request that your team leader checks the transaction.

5. Your team leader will give you verbal confirmation that they approve the transaction. If they approve, select **Transmit** to submit the transactions to BaNCS. If they reject the transaction go to **step 3**.

#### **Team leader action**

6. Following authorisation of a BaNCS transaction, update the Checked By field in the relevant spreadsheet.

### **Transactions over £2,000**

- 7. Note the following data in an email and send it to your segment manager for authorisation:
  - BaNCS account number details
  - The amount of the transaction
  - The reason for the amendment
  - The name of the spreadsheet which contains the transaction details
  - Any supporting evidence, for example the email received for a reassignment request
- 8. You will receive email confirmation from your segment manager if they approve or reject the transaction. If the transaction is rejected, amend the transaction data in the email and re-send it to your segment manager. If approved go to **step 9**.
- 9. Once approved, save a copy of the authorisation email in a secure folder.
- 10. Complete the transaction data in BaNCS. // Do not select **Transmit**.
- 11. Ask a member of your team to peer review the transaction details, comparing it with the authorisation email.
- 12. Once agreed that the transaction matches the email, select **Transmit** to submit the transaction to BaNCS, the peer reviewer should then complete the **Checked By** field in the relevant spreadsheet.

## **Team leader audit check**

- 13. Team leaders will receive an audit report on a daily basis for work completed in BaNCS on the previous day, the report will contain the following:
  - Staff numbers relating to who accessed the system
  - Date and time of access
  - Any action taken
  - Any failed action attempted
  - Changes to user access
  - Addition and deletion of users
- 14. Save a master copy of the report in a secure location. Do not use the master copy whilst carrying out your investigation, use another copy.
- 15. Access the following spreadsheets and compare the total number of transactions for the previous day against the audit report:
  - Customer service log
  - Nat West inward payment file spreadsheet
  - Manual receipting spreadsheet

If there is a discrepancy in the number of transactions you will need to identify the missing/additional transactions by comparing the spreadsheets line by line with the report.

- 16. Perform a check against every transaction in the report, checking it against the relevant spreadsheet to ensure the action taken in BaNCS was correct.
- 17. If the action taken is incorrect and there is no suspicion of fraud, pass the transaction back to the team member to correct the transaction.

18. If the action taken is incorrect and there is a suspicion of fraud, refer the transaction details to the security team who will advise you of any further action required.

#### **Related Items**

BACS - Inward Payment File	
BaNCS Journals	
Chargebacks - Credit/Debit Card	
Payment From - Investigate/Escalate	
Payment - Reassign	
Receipting - Manual	
Suspense Account - Clear Online	