



Exceptional Case - Gateway (Including Transition)

All cases must progress through the Gateway stage to become an exceptional case. This procedure shows caseworkers from the Exceptional case handling team (ECHT) how to determine whether a case is to be progressed as exceptional, complete a 1993 Scheme/2003 Scheme look up for linked cases and to set up the case using the ECH tools. There are two types of cases identified for exceptional case handling:

- Type one cases cannot be started on CMS2012 as one or more case participants has no national insurance number (NINO) or child reference number (CRN)
- Type two cases are initially on CMS2012 and due to an incident preventing progression these cases are moved to 2012 clerical case solution

A business decision is made prior to a case being accepted by the ECHT. Those cases returned to business as usual generally include those where:

- a client has applied for or is waiting for a NINO to be assigned
- the technical problem is awaiting a known system fix and the problem is expected to be rectified within four weeks



Currently all cases identified for exceptional treatment should be raised to ICC for consideration via an AAC incident. Unprogressable cases are assigned a new problem number or linked to a known problem prior to referral to the ECHT.

A type one case where the client is not expected to receive a NINO is generally accepted as an exceptional case. Type two cases are referred to the proactive incident management team (PIMT) for investigation. All cases are assigned to a new problem or linked to a known problem by the supplier prior to referral to the ECHT.

Once received by the ECHT Gateway process, cases are checked to ensure:

- NINO's are not expected to be assigned
- All trace action has been completed
- All technical problems are not expected to be fixed within four weeks

Once accepted, the system case is brought up-to-date as part of the Gateway process and assigned to the complex case segment. All system information, previously gathered is captured and recorded on the Gateway template. The Gateway template is held in the central AAC folder.

The system case is halted and set up on the 2012 clerical case solution by the ECHT.

The application process; gathering and verifying information, transition, parentage process, issuing relevant letters, maintenance calculation and payment process is managed offline. For further information refer to [Exceptional Case - Information Gathering](#).

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.



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



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.

Review case

1. After receiving an error message on the system concerning one of the following:

- Certain known variation types
- Known defects
- Unable to progress beyond a certain point due to a technical error

Consult procedures, floor walkers and a team leader to resolve the issue.

 Cases that are initially on CMS2012 but cannot be progressed due to an incident are known as Type two cases. Type two cases can be moved to the exceptional case handling team at any point in the lifecycle of the case.

2. Following discussion with the team leader to confirm all action has been carried out a referral is made to ICC. Raise an incident with your local AAC and provide the details of the case including the reason for referral and details of any error messages.

3. Once a decision is made to progress a case as exceptional an incident/known problem number is assigned. PIMT refer the incident to the exceptional case handling team (ECHT) Gateway process to confirm:

- all possible trace action has been carried out
- NINO's are not expected to be assigned
- all technical problems are not expected to be fixed within four weeks

If the answer to any of the above is no; the case is returned to the business as usual caseworker.

If the answer to any of the above is yes, the case is progressed as an exceptional case, all system information is captured on the Gateway template held in the AAC central folder.

4. Once a case is to be progressed by the ECHT all further client contact and information gathering is carried out by the ECHT. Create an ECH client folder using the paying parent name as the title. Within the client folder create sub-folders as and when needed. Sub-folders include:

- Receiving parent name - contain anything relating to the receiving parent e.g. inbound/outbound letters
- ECH case number - anything to do with the case e.g. Information gathering tool
- Complaints - set up if there is a complaint on the case
- Appeals - set up if there is an appeal on the case
- Enforcement - set up if the case goes into enforcement

All ECH tool documents are stored in the client folder, these include:

- Information gathering tool - used to record and store all case participant details including employment and changes of circumstances
- Tracker tool - used to record, store and monitor case details, schedules, complaints, enforcement and appeals
- Calculation tool - used to calculate the liability
- Reconciliation tool - used to record and store all details halted on CMS2012

- Receipts and payments tool - used to record and store payment and receipt details and allocation details
5. The ECHT trigger reactive transition and load the details onto the 2012 clerical case solution (2012 CCS) template. For further information see [Exceptional Case - Information Gathering](#) and [Exceptional Case - Assessment](#).

Transition/ Look up



When an application is received on CMS2012, look up is required to check if the applicant and qualifying child/ren (QC) exist together on any 1993/2003 Scheme system. As an ECH case is dealt with offline, this look up is carried out manually by the ECHT. To complete the look up for all case participants, the ECHT use sections from the following procedures; [Manual handling - 1993 Scheme/2003 Scheme look up applicant](#), [Manual handling - 1993 Scheme/2003 Scheme look up paying parent](#), [Manual handling - 1993 Scheme/2003 Scheme look up paying parent partner](#), [Manual handling - transition case data capture summary](#).

6. The ECHT familiarise themselves with the case details and determine whether 1993 Scheme/2003 Scheme look up has been completed for case participants.
- If yes, follow steps 7 to 9
 - If none of the lookups have been completed, go to step 10
 - If only a partial lookup has been carried out consider the following:
 - the applicant lookup has been completed but not the paying parent lookup go to step 14
 - the applicant and paying parent lookup has been completed and the partner lookup is required go to step 14
7. Create a case for each receiving parent in the paying parent case group folder (including arrears only case/s). Issue a welcome pack to the applicant where applicable and transfer the case details, including the look up information onto the Information gathering tool (for each transitioned case where applicable). For further information refer to [Exceptional Case - Information Gathering](#).
8. Add any transitioned debt values to the relevant case within 24 hours of receiving the transition debt details. Once the debt/s are added, advise CFAT to reconcile any debt with 1993 Scheme/2003 Scheme. See section titled **Financial transition**.
9. Issue a case list of paying parent's (paying parent forename, surname, NINO and DOB) on a daily basis to the following stakeholders:
- LTT
 - Special client records
 - CMS2012 application teams
 - CFAT

1993 Scheme/2003 Scheme look up

10. Use the applicant and QC details to search 1993/2003 scheme systems to identify whether they exist together in any 1993/2003 scheme case (this includes CSCS, CS2 and CCD). For further information refer to steps **14 to 20** in [Manual Handling - 1993 Scheme/2003 Scheme Look Up Applicant](#).



Where the NINO is not available, use client name, date of birth (DOB) address to check 1993 Scheme/2003 Scheme systems. ECH caseworkers have read only access to all three 1993 Scheme/2003 Scheme systems. Refer to [1993 Scheme/2003 Scheme system guidance for 1993 Scheme/2003 Scheme look up manual handling - CCD](#), [1993 Scheme/2003 Scheme system guidance for 1993 Scheme/2003 Scheme look up manual handling - CS2](#), [1993 Scheme/2003 Scheme system guidance for 1993 Scheme/2003 Scheme look up manual handling - CSCS](#), and [1993 Scheme/2003 Scheme system guidance for identifying customer reference - CS2](#).

11. During the look up, if the applicant is identified as locally or nationally sensitive on CS2, CSCS or CCD, pass the case details to an ECHT member with sensitive access to continue with the look up.
12. Refer to steps **28 to 30** in [Manual handling 1993 Scheme/2003 Scheme - Look up applicant](#). Open the information gathering tool and record details of findings in the Applicant information, applicant decisions/notes field. For further information refer to [Exceptional Case - Information Gathering](#)

Examples of no match between applicant and QC include:

- Applicant exists in a 1993/2003 scheme case but not with any of the QC's named
- QC's exist in a 1993/2003 scheme case but not with the named applicant
- Applicant exists and QCs exist in 1993/2003 scheme cases but not together (in separate cases)
- Applicant and QCs do not exist in any 1993/2003 scheme cases



Record your findings in the information gathering tool and continue to progress the case.

13. If a full match or a partial match is found, and the liability case is still active and/or the case has been closed for less than 13 weeks, the application is rejected.



Advise the applicant to make a new claim once the 1993 Scheme/2003 Scheme case has been closed for 13 weeks. Record details of findings (see step 12) and issue CMSL0070 to explain why the application cannot be progressed. For information on issuing letters refer to [Letters \(outbound\) contingency](#).

Paying parent/paying parent partner lookup



For guidelines to complete a paying parent lookup refer to [Manual handling - 1993 Scheme/2003 Scheme look up paying parent](#).

For guidelines to complete a paying parent partner lookup refer to [Manual handling - 1993 Scheme/2003 Scheme look up paying parent partner](#)

14. Perform a look up for a paying parent. Perform a lookup for a paying parent partner (paying parent partner in a benefit household or the paying parent partner who is a paying parent in their own right).



If the paying parent (or the paying parent partner in a benefit household, or the paying parent partner who is a paying parent in their own right) is not found on any 1993 Scheme/2003, no transition is necessary.

15. Check if the application can be progressed. Record details of findings (see step 12) and issue CMSL0070 where applicable to explain why the application cannot be progressed.

16. Check if the paying parent casegroup has already been selected for transition. Record details of findings (see step 12).

17. Check whether there is any ongoing liability in the paying parent casegroup. Record details of findings (see step 12).

18. If there is ongoing liability in the paying parent casegroup (i.e. a QC for whom the paying parent is liable for maintenance payments) record the transition date (T date) on the additional application data section of the information gathering tool and gather details of the case/s. Inform the 1993/2003 scheme caseworker that reactive transition has been triggered and they should take action to end the liability, capture the minimum case data required. For information on informing 1993/2003 scheme of the transition and capturing the minimum case data refer to [ECH Transition Contingency](#) and [Manual handling - transition case data capture summary](#).



Calculate the initial T date as the date reactive transition is triggered plus 38 days. To ensure case progression in the statutory maintenance scheme, one of the 1993/2003 Scheme parties must make an application to the 2012 Scheme via the mandatory gateway. If the case / casegroup has already been selected for proactive case closure (200 days) they move to the reactive Case Closure journey.



All cases in the ECH casegroup are together as one calculation with an effective date of T date plus one day. Calculate the

initial T date as the initial date that reactive transition is started plus eight days to ensure liability is ended on 1993/2003 scheme and started on CMS2012.

19. Contact the 1993/2003 Scheme case owner to advise of transition action. The 1993 Scheme/2003 Scheme transition team (LTT) begin closure action and case cleanse. Case details and debt balances (including arrears only case data) are sent to the ECHT and the client fund account team (CFAT). For further information refer to [1993 Scheme/2003 Scheme case cleanse summary](#).



CFAT maintain an unreconciled balance on a daily transition reconciliation spreadsheet, any unreconciled balances are checked and appropriately flagged as an ECH case.

Financial transition



Where transition is necessary, ECHT contact 1993 Scheme/2003 Scheme with the T date to provide case details to begin case cleanse and closure. Case cleanse and closure may take up to three months. Some of the following steps are carried out by other teams and are for information only. Where this occurs, the step clearly states which team carries out the action.

20. Once case cleanse and closure is complete, ECHT receive all financial data. Consider the following:
 - Arrears data returned - check ECH log, add to existing case where applicable
 - Arrears data returned - check ECH log, create arrears only case where applicable
 - No further action - during case cleanse and closure all outstanding debt has been cleared by 1993 Scheme/2003 Scheme Transition team
21. All case details and debt balances are passed from the 1993/2003 team to the ECHT and a copy sent to CFAT (who maintain an unreconciled balance against the daily transition reconciliation flagged as an ECH case/s).



If the case and finance details were received by the 1993/2003 team on the Partially Clerical Case Transition (PCCT) or Wholly Clerical Case Transition (WCCT) template then the details are passed to the ECHT for processing.

If the case and finance details were received by the 1993/2003 team on the Legacy write down report then the details are transposed onto the WCCT template before transfer to the ECHT.

22. Record the case details and transitioned debt balance on the information gathering template and complete a new assessment on the calculation tool. For more information see [Exceptional Case - Information Gathering](#) and [Exceptional Case - Assessment](#).

[Application - Child in Scotland](#)

[Application - paying parent](#)

[Application - receiving parent](#)

[CIS - Verify NINO/CRN](#)

[Exceptional Case - Assessment](#)

[Exceptional Case - Information Gathering](#)

[Exceptional Case Handling - Overview](#)

[Identify The Non Applicant](#)

[Incident Management - Manage Incident Locally](#)

[Non Standard Case - Refer](#)

[Terminology Changes](#)

[ECH Transition Contingency](#)