



Exceptional Case-Reload

This procedure advises the exceptional case handling team (ECHT) how to reload an exceptional case back onto CMS2012. These cases are reloaded onto CMS2012 when the underlying issue which initially made the case exceptional is resolved.

The ECH caseworker must first check the ECH tracker tool to determine if a case is eligible for reload. The reconciliation tool must also be open and completed whilst reloading a case. Complete a new sheet for each case whilst carrying out the action. Notes explaining each header is provided within the tool.

A business decision is made as to the best time to reload a case. This decision is based on a number of factors, these include:

- the level of the paying parent's compliance
- whether any enforcement or complaint action is at a critical stage
- whether any specialist action needs to be completed

When a case has been removed prior to the Provisional Calculation, the case is reloaded in the same way as the original application. Notifications are suppressed to avoid any unnecessary letters being issued whilst the case is set up and a lock assignment prevents movement to any other business segment whilst the build is completed. The system automatically sets the initial effective date as three days after the provisional calculation is complete. The effective date is changed by the ECH caseworker to the original application effective date and the annual review date is automatically amended to align with this date.

Any balance displayed may be later reduced. All changes of circumstances are completed using the effective date of each change. All payments made from the original effective date, including those received whilst the case was exceptional, are entered as voluntary payments using the non direct process.

The initial assessment is completed using the current income to override the HMRC data until the next annual review date.

Any details previously entered on CMS2012 (from the original case) may be used to complete the reload process (e.g. case participant details) but these should be validated using the ECH folder or through client contact. The ECHT handle the application and maintenance process up to the point where the case is rebuilt and ready for release using the work management process.

When a case has been removed following the Provisional Calculation, the case was only paused, therefore the action required to activate the case, establish the liability back onto CMS2012 and ensure the case is fully up to date including any arrears balance.

 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.

Process application

 Prior to beginning the reload process check the Exceptional case handling (ECH) criteria in the tracker tool to confirm the case is eligible for reload. Any information held on CMS2012 from the original case must be confirmed for accuracy before using in the reload process.

Read through all case notes in the ECH folder and associated tools for information regarding any changes of circumstances. When reloading a case record in CMS2012 case notes, the dates the case was on the ECH database. This information is found on the latest **Information gathering tool**.

Open the reconciliation tool whilst carrying out this action and complete a reload sheet for each case you are reloading. Notes explaining each header is provided within the tool.

1. Gather the applicant's name from the ECH information gathering tool. Navigate to the **Contact List** view on CMS2012 and run a query to locate the original applicant details e.g. the receiving parent or paying parent.

 When adding case participants that already exist on the system from the closed case, highlight the receiving parent contact, an applet is displayed. Confirm the details for reload is accurate before selecting.

2. Complete the application, the system automatically sets the effective date as three days after the provisional calculation is complete. Refer to [Application - receiving parent](#), [Application - Child In Scotland](#), [Application - paying parent](#)

 When following the steps in the relevant application procedure be aware that some of the information on cases that were previously held on CMS2012, only requires verification with the client or ECH data e.g. telephone numbers, method of payment (MOP).

Place complex case indicator and lock assignment flag

3. For information on placing a complex indicator flag on the case refer to steps 5 to 20 in [Non Standard Case - Refer](#).

4. Once TL approval action is complete, tick the lock assignment flag on the case to prevent the case moving to a different business segment in error whilst the reload is in progress.
5. Confirm the suppression flag is still in place on the case contacts. This must be set to prevent any notifications being issued whilst the case is being reloaded. For further information refer to [Outbound contact - suppress](#).

Continue with reload data

6. Confirm the method of payment (MOP) is set up. Wherever possible, use the same MOP that was in place on the ECH tracker. Consider the following:
 - Deduction from benefit will have ended with the closure of the ECH case and must be re-established on CMS2012. For further information refer to [DFB - Set up](#)
 - Deduction from earnings order (DEO) should be maintained, liaise with the case participants and the employer team to maintain the DEO schedule. For further information refer to [DEO - Self Selected - Set Up](#)
 - Standing order (S/O) should be maintained, liaise with the case participants. For further information refer to [Standing order - Set up](#)

For all other MOP refer to the relevant procedure.

7. After completing the locate other party process, open the ECH information gathering tool, in the case summary notes section go to the sub-section, case decisions/notes to find the original effective date.

In the case view change the system effective date, over type the date presented with the original effective date.

8. Record the ECH case number in the SR notes section.
9. Open the information gathering tool, go to the sub-section, income (in the application information section) gather the paying parent gross historic taxable, annual income.
10. Override the HMRC interface lookup. Once an estimated, annual income figure is calculated, select the Initial Calculation SR, update the **Current Income** field with the income details held and change the **Income Source** to **Best Evidence**. Update the **Notes** field to record the reason for this decision as **Exceptional Case Reload**. The paying parent can appeal against a maintenance calculation based on an estimated child maintenance amount (all maintenance calculation decisions may be appealed by the paying parent or receiving parent), but evidence must be provided of the actual income to allow a revision to be calculated. For further information refer to [Calculation - non HMRC](#).



When using current income, the system creates a DMD/best evidence review SR. This SR is shown as suspended and becomes active after 90 days. Go to [DMD Review](#) for more information.

11. Prior to selecting the evaluate shared care tab, confirm the original effective date is displayed in the case view screen, if yes, select evaluate shared care tab, the system automatically starts the process of generating an initial calculation from the original effective date, if no, repeat step 7.

Proceed with ongoing actions

12. Open the information gathering tool, go to the change of circumstances (CofC) section and gather details of all change types, effective dates and notes. This should include details of changes from the original effective date and changes whilst the case was exceptional.
13. Complete each CofC in date order. This information is found on the **Information gathering tool**. Complete each CofC using the correct effective date including new address, new telephone number, new bank details. Refer to the relevant CofC procedure for further information.
14. Change of Circumstances that effect the liability e.g. changes in salary, should be completed using the current income override to reflect the amounts at the time these changes occurred, see step 10. Record each CofC in the CMS2012 notes field.
15. Open the ECH receipts and payments tracker tool and gather the history of all receipts assigned to the paying parent and details of the value of the final debt position. This is the due balance that must be remaining on CMS2012 when the debt has been reduced using the non scheme payment process.
Refer to steps 1 to 6 and 15 to 30 in [Direct non scheme payment](#) to create an SR and reduce the balance via the voluntary payment/direct non scheme payment process.
16. Use the Reconciliation Tool to record all information required in each column whilst you transfer each case from ECH to CMS2012. Remember to be accurate, a definition of each column is available in the notes section on the spreadsheet.
17. The initial calculation automatically generates on CMS2012. (It may be necessary to contact the paying parent for information). For further information refer to steps 3 to 9 in [Calculation - Initial](#).
 - An exceptional case is assessed without using HMRC income (as it was unavailable at the time the case was made exceptional) the current income used to calculate the exceptional case must be used for the reload. HMRC data is not used until the next annual review date. For further information refer to step 20 in [Calculation non HMRC](#).
18. The annual review date is automatically set to align one year from the original application date.
19. The promise to pay (P2P) schedule is automatically produced. To view the liability and P2P schedule refer to [2012 System Finance Overview](#). Confirm this balance matches the final debt position gathered from the Calculation tool.
20. Remove suppression on the case contacts. Open the original SR used to set the suppression and close and complete the status and sub status.
21. Create a new SR as follows:
 - **Process = outbound contact**
 - **Area = suppress contact**

- **Sub area = review suppression**

Set the status to in progress, the sub status as remove suppression plan and the resolution code to remove suppression.

 Repeat this process to remove suppression on each case participant.

22. Update the notes field to explain why suppression is now removed and select the option to cancel the letter. Contact the case participants to advise them their case is back on the system. Reassure them nothing will change regarding payments and the case is progressing as normal but advise them they may receive notifications confirming case details.
23.  Issue all relevant notifications, this includes the liability letter and P2P schedule to the case participants and the employer where a DEO is in place.
24. Update the **Notes** section to record all actions taken.
25. Refer to **Scanning - local**. Email all letters received and sent during the ECH process, the spreadsheet copies of the latest Information gathering tool, Calculation tool, Receipts and payments tool to Xerox who upload these onto the system. Complete a further check to determine if any of the scanned letters need issuing to clients.
26. Repeat the above steps for each case in the casegroup.
27. The ECHT monitor the case through to when first payment is received successfully on CMS2012, a decision is made to release the case to 2012 business as usual or keep in ECH. The case/group is removed from the complex case segment as follows:

- **Go To Master Case view**

The case/group is automatically moved to the relevant business as usual (BAU) segment.

 If the case has an escalated enquiry or ongoing enforcement, progress to the appropriate stage, complete the initial calculation and P2P schedule and remove the lock assignment immediately to allow the case to move to the correct business segment. These cases are not retained for monitoring.

Reload of case removed after a provisional calculation

These steps should be completed by a complex caseworker to allow enforcement action (where applicable) to be completed.

28. Select the case to be reloaded and ensure that the **Lock Assignment Flag** is set to prevent the case moving segments whilst the reload is being carried out.
 29. Remove the **Suppression of Future Action** which has been set as **Hospital**. Create the following SR:
 - **Process = Outbound contact**
 - **Area = Suppress contact**
 - **Sub area = Review suppression**
 30. Update the status of the SR to **In Progress**, select **Remove Suppression Plan** and change the **Resolution Code** to **Remove Suppression**. Repeat this process for each client where required. Once removed, a Perform Calculation Service Request (SR) is automatically generated.
 31. Set an outbound contact suppression on the case to prevent erroneous letters being issued. For more information refer to **Outbound Contact - Suppress**.
 32. The Nil assessment currently present for the case on the system needs to be revised back to the calculation that was in place when the case was paused. Use the Perform Calculation SR to complete this.
 33. Bring the case up to date by completing all the change of circumstance's that were raised when the case was managed off system.
 34. If the case has an outstanding escalated enquiry, add this to the system up to the required stage. For more information refer to **Escalated Enquiry**.
 35. If the case has any outstanding enforcement, add this to system up to the required stage. For more information refer to **Civil Enforcement Overview**.
 36. You'll need ensure that the debt balance is correct. Once all the changes are completed the system will have created an outstanding debt figure. Payments made offline have to added to the system to correct this. Record the payments as a non direct voluntary payment. For more information refer to **Direct Non Scheme Payment**.
 37. Add the receiving parent's method of payment to (MOPT) to the system. For more information refer to **Method of Payment To - Set Up Initial**
 38. Add the paying parent's method of payment from (MOPF) to the system. For more information refer to **Method of Payment From - Set Up Initial**
-  The MOPF used offline may not be the correct one to use when the case is reloaded. For example, where the paying parent was paying by direct debit before the case was managed offline and as a result has been paying by standing order as result, you'll need to contact the paying parent to discuss using direct debit again.
-  Where the MOPF is a deduction from earnings order (DEO) this will remain, however when it's added to the case the system may generate a slightly amended promise to pay schedule.
39. Once all the case information has been added, remove the manual allocation flag. For more information refer to the section titled, **Remove flag** in **Manual Allocation Flag - Remove**.

40. Remove the outbound contact suppression. For more information refer to [Outbound Contact - Suppress](#).
41. Complete all the outstanding calculations and issue the promise to pay to pay (P2P) schedule. The case is now ready to continue to be processed on CMS2012.

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[Application - Child In Scotland](#)
[Application - paying parent](#)
[Application - receiving parent](#)
[Calculation - Initial](#)
[Calculation - non HMRC](#)
[Civil Enforcement Overview](#)
[DEO - Self Selected - Set Up](#)
[DFB - Set up](#)
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Related Items

[Application - Child In Scotland](#)
[Application - NRP](#)
[Application - PeWC](#)
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