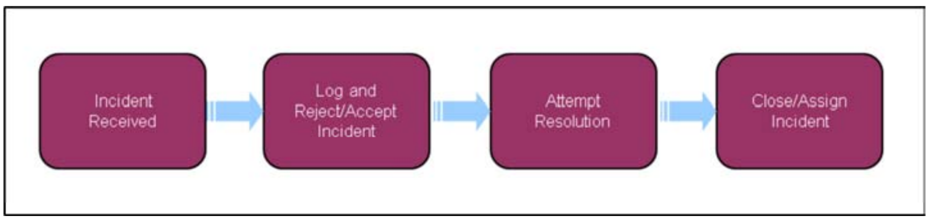
Incident Management - AAC Manage Incident

This procedure provides information detailing the actions that need to be taken when an incident has been raised to Area Advice Centre (AAC). The procedure is broken down into the following:

- How to record an incident within the IMT, including providing the caseworker with an incident number
- How to resolve an incident using the resources available
- How to reject an incident
- How to assign an incident

Upon receipt, an incident will be logged and then reviewed to confirm that all the relevant actions have been taken. The incident will be rejected if all actions have not been taken. The incident will then either be resolved by AAC or assigned to Expert Domains. The caseworker will be provided with an incident number.

The caseworker must always be provided with an incident number when an incident has been raised.



When speaking to clients always use the new terminology - for more information refer to Terminology Changes.

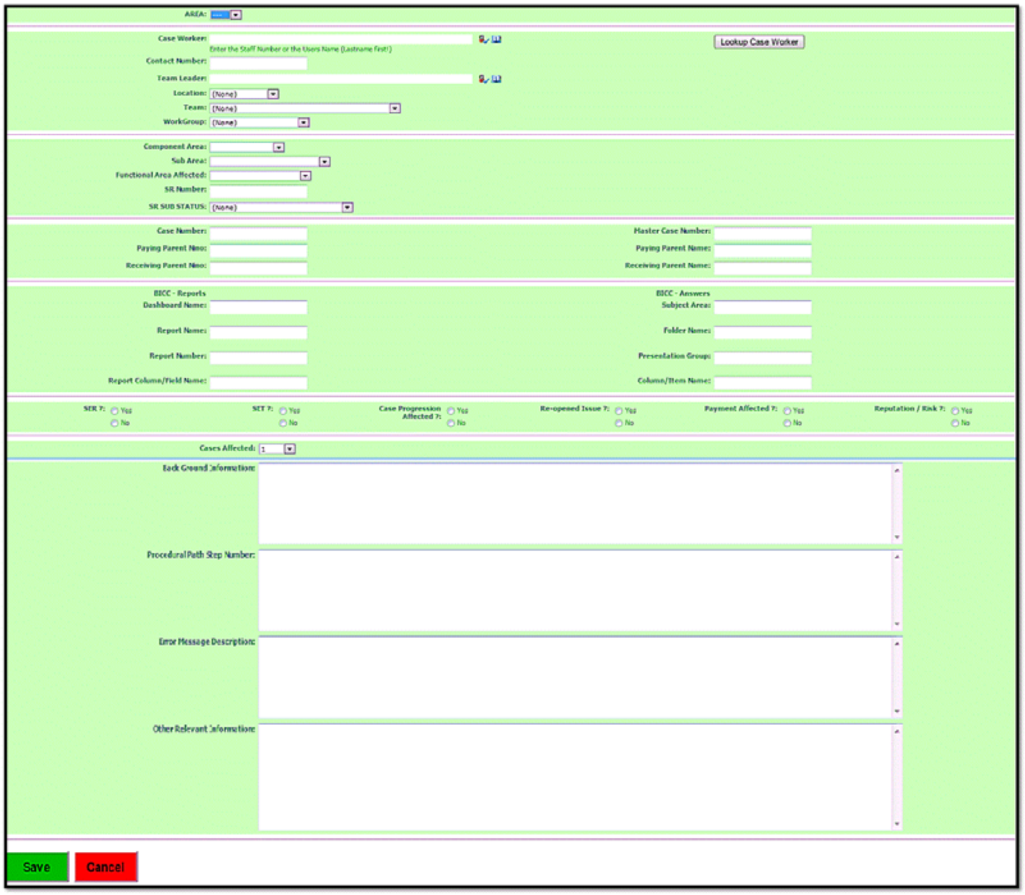
AAC Receive Issue

Record New Incident

The incident will be received via a telephone call.

Confirmation is required that the caseworker has sought advice from their team leader and experienced colleagues, and has consulted the relevant procedure. If not, the incident should be rejected, however AAC should continue to complete the Incident Management Tool (IMT) as per the following steps to ensure the rejection is registered.

1. Open the **IMT**. Within the **IMT** select **Create New Incident** from the tool bar at the top of the screen. From this the following screen will have been accessed:



2. Using the **Area** field select the drop down and populate with the area where the incident originated. E.g. If the caseworker works in Hastings select the **HAS** option.
3. Request the caseworkers staff number. Select the **Lookup Case Worker** option and input the staff number. If the caseworker has raised an incident previously then the caseworker, contact number, team leader, location, team and workgroup will automatically be populated. If this happens check that the information held is still current and correct, then progress to **step 5**. If no record is held, or the information requires updating then continue to **step 4**.
4. Populate the following information:
    - Caseworker
    - Contact Number
    - Team Leader
    - Location
    - Team
    - Workgroup

    When an incident is raised by Special Client Records (SCR), update the **Name** and **NINO** fields with "Minimum Client Data" then progress to **step 8**. For all other areas continue to **step 5**.
5. The caseworker should provide the following information and will have been advised to do so prior to contacting AAC:
    - SR Number and Status
    - Date Incident Raised
    - Location
    - Case Number/Master Case Number
    - NINO
    - Caseworker and team leader staff number

- Paying Parent/Receiving Parent name
- Background information - including details of the issue and what the caseworker was trying to do
- Procedural Path step number - E.g. Procedures>Pages>Client-Contact>Statement-client statement - Client - Step 4
- Error message description, if required
- Other relevant information - (Has the incident been raised previously?)
- Employer (ERN)/Third Party (TRN) number where applicable

When an incident is received from a Caseworker relating to the HMRC Interface providing no information, or evidence has been provided by the PP or RP to suggest the information provided is out of date, the case may be applicable for an Exceptional DEO. This is to be raised via TCS for investigation to determine why the information is not being received. The following additional information is to be collated:

- Employer Details
- PP Address
- Date the DEO Desire Flag was added
- Dates an RDO/LSDO were attempted
- Detailed reasons why RDO and LSDO actions have failed
- Any other relevant information

When RDO and LSDO actions are currently on-going, advise Caseworker to continue with these actions whilst the incident is being investigated.

If RDO/LSDO actions have been attempted and failed, send an email to Payments Design for investigation via the following email: 2012.PAYMENTSDESIGN@DWP.GSI.GOV.UK, including the information collated above. Within the subject heading include the incident number and "Potential Exceptional DEO". Advise the caseworker not to refer the case to enforcement for Liability Order action whilst the incident is being investigated.

6. Populate the following information:
    - Component Area
    - Sub Area
    - Functional Area
    - SR Number
    - SR Sub Status
    - Case Number
    - Master Case Number
    - Paying Parent NINO
    - Receiving Parent NINO
    - Paying Parent Name
    - Receiving Parent Name
7. Consider if the case falls into the following categories and make the relevant selection:
    - BICC - Complete the cells for; Dashboard name, report name, report number, column/field name, appropriate subject area, folder name, presentation group, column name, item name.
    - SET - Select radio button
    - Case progression affected - Y/N
    - Reopened Incident - Y/N
    - Payment Affected - Y/N
    - Reputation Risk - Y/N
    - Case number affected - to be populated with value if more than 1 case affected by the incident.

The High Profile Case radio button will become available when the incident has been recorded. This is to be populated when required.

8. The **Master Case Number** must be the first thing added to the **Background Information** Field when the incident does not refer to SCR.

   When the incident refers to a SCR case, add "SCR case, limited data within the IMT" to the start **Background Information** field. When the case is referred via TechNow, add the Master Case, Case and SR numbers ONLY to the description field.

9. Add a description of the incident, requesting that the caseworker provides as much information as possible.
10. Within the **Procedural Path Step Number** input the path where the incident occurred and the step number. E.g. Procedures>Pages>Finance>Special-Client-Records-Request-Temporary-Access - step 4.
11. When a caseworker indicates that an error message has occurred, populate the **Error Message Description** field with the error as shown on the caseworkers screen.
12. If the caseworker can provide additional information, populate the **Other Relevant Information** field.
13. Save the incident, an incident number will be generated.

Provide Caseworker with the Incident Number

14. Whilst on the call to the caseworker select the **My New AAC** option which is located on the left hand side tool bar within the **IMT**. The newly generated incident will be located here.
15. Having selected the incident number, provide the caseworker with this. E.g. PLY12345. Advise the caseworker that further action is required within the call.

   The caseworker must always be provided with the incident number every time an incident is raised.

Evaluate the Incident

16. Having provided the caseworker with the incident number determine:
    - Has the correct information been provided?
    - Has the caseworker provided sufficient information?
    - Is a resolution already available within Online Procedures/ESM Announcement?
    - Should the incident have been raised with Advice and Guidance?
    - Should the incident have been dealt with by local IT?
    - Has the caseworker exhausted every option before raising the incident?
    - Has the caseworker used procedures, fundamentals and PLDMG?
    - Has the caseworker sought guidance from their team leader or colleagues?
    - Has the team leader authorised them to raise an incident?

   If all the queries have been met, attempt the resolution and continue to **step 17**. If any of the queries have not been met then progress to **Reject Incident**.

17. Attempt to resolve the incident whilst the caseworker is on the phone. To attempt a resolution use the following:
    - Online Procedures - including SharePoint, PLDMG and Fundamentals
    - IMT - Search for any live incidents
    - Closed Incidents Archive
    - Peer Knowledge
    - Team Leader Knowledge
    - Problem Database
    - Teams Knowledge Board (This includes the top 20 incidents)
    - Knowledge Bank
    - CMS2012

   If the incident can be resolved progress to **Resolve Incident**.

If the incident needs to be assigned progress to **Assign Incident**.

Reject Incident

18. Advise the caseworker that the incident has been rejected, giving a valid reason and explanation for the rejection. End the call.
19. Within the incident select the **Add New Update** button.
20. Within the screen update the **Status** to **Closed Rejected**.
21. Update the **Resolved/Rejected Reason** with the reason why the incident has been rejected. E.g. Rejected- IT issue.
22. Add a note to the **Background Information** field describing why the incident has been rejected.
23. Select the **Save Update** button. This process will close the incident.
24. Email the caseworker, team leader and workgroup leader with details of the rejected incident.

Resolve Incident

25. Having resolved the incident using the resources available, advise the caseworker of the resolution within the call. If further investigation is required by AAC to confirm resolution actions, advise the caseworker of this and arrange a call-back.
    If the Caseworker advises that the resolution action provided has been unsuccessful, continue to **Assign Incident**

    When the caseworker has been provided with a resolution within the initial call progress to **step 28**. When the incident has been resolved via call-back continue to **step 26**.
26. Access the **IMT** and select the **Search** button located on the tool bar at the top of the screen.
27. Input the Incident number into the **Open An Incident Directly** field. This will locate the incident.
28. Select the **Add New Update** button.
29. Within this screen update the **Status** to **Closed Resolved**.
30. Update the **Resolved/Rejected Reason** within the reason that the incident has been resolved. E.g. Resolved using the Knowledge Bank.
31. Add a note to the **Update** field describing how the incident has been resolved and the source of the information which enabled resolution.
32. Select the **Save Update** button. This process will close the incident.

Assign Incident

An incident will be assigned to the relevant Expert Domain when a resolution cannot be found or the resolution provided has been unsuccessful.

33. Follow the process from **step 40** to **step 48** when an incident needs to be assigned to either of the following areas:
    - Design/Procedures
    - Policy
    - Live Service Support
    - CFAT
    - OED/Customer
    - NAT Lead

    When the incident is to be assigned to **OMC** follow the process from **step 34** to **step 48**.
34. Within the incident select the **WIA** button. Highlight the information within this field, copy and exit.
35. Navigate to the **WIA** tool, leaving the incident open within the **IMT**.
36. Select the **Next** option.
37. Paste the information that has been copied from the previous screen into the **Description** field and review what is written.
38. Send the information by selecting the **Create Incident Button**. Once sent, a WIA incident number will be generated. Copy the last 7 digits and exit.
39. Navigate to the **IMT**.
40. Within the incident select the **Add New Update** button.

41. Within this screen update the **Status** field to **Open**.
42. Update the **Working Team** and **Responsible Team** to the team being assigned to if being assigned to either of the following:
    - Design
    - Policy
    - OED
    - Procedures
    - NAT Lead
43. Update the **Design Sub Area** to the area the incident is being assigned to. E.g. **Live Design**.
44. Input todays date into the **Date to Nat** field.
45. Update the **Working Team** and **Responsible Team** to the team being assigned to if being assigned to either of the following:
    - Live Service Support
    - OMC
    - CFAT
46. Add a note to the **Update** field with an explanation of why the incident has been assigned, including any additional information not documented within the background information, and if linked to a problem number.
47. Consider if any of the following apply and select the relevant options as appropriate:
    - User Error
    - High Profile
    - Reopened Issue
    - Link to - complete with incident number if this incident is linked to another
    - 602-01 - Insert number if raised with HPES
    - 602-04 - Insert number if linked to an existing problem number
48. Select the **Save Update** button.

Content Editor

Incident Management - AAC Manage Response

Incident Management - Manage Incident Locally