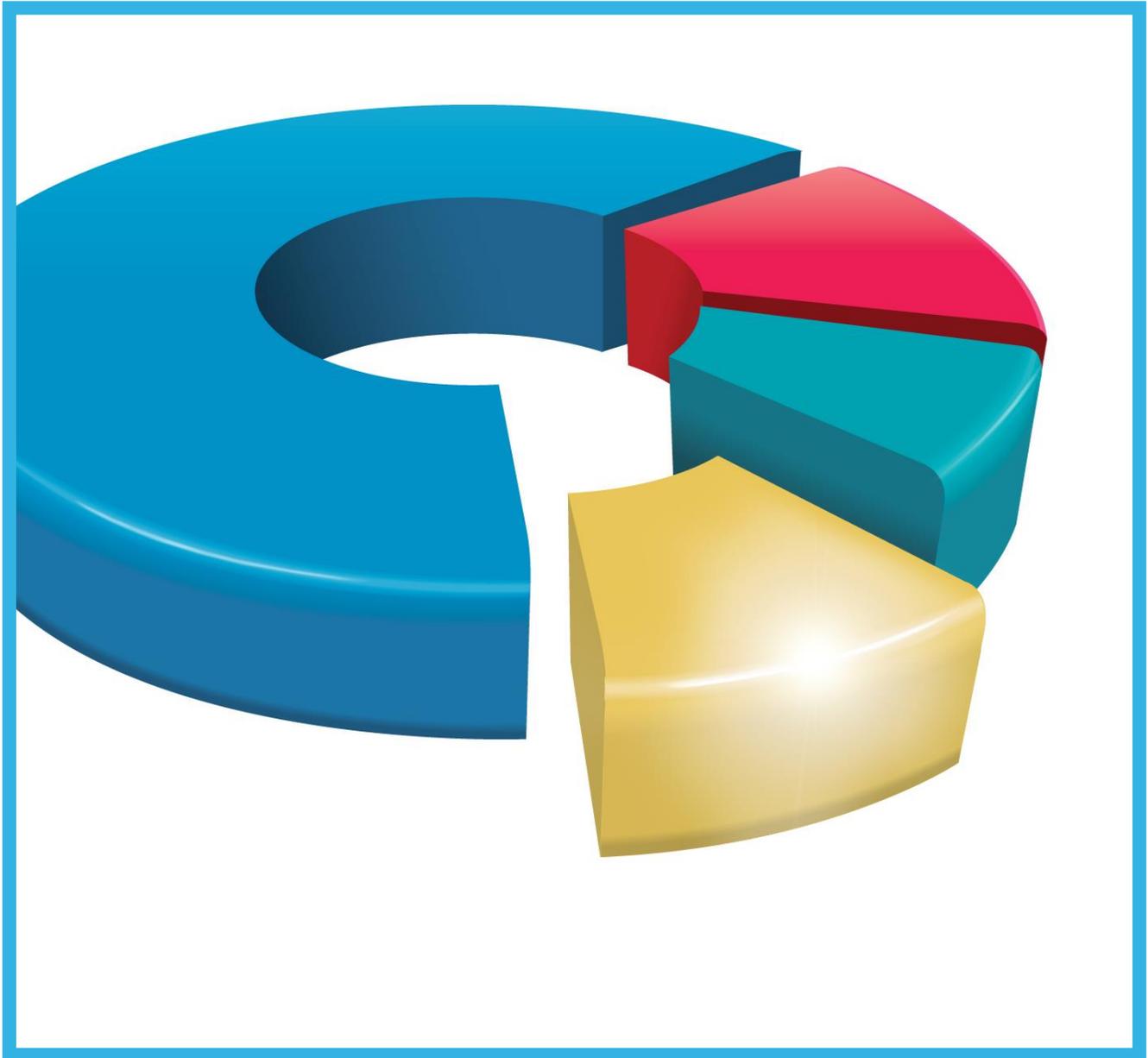


# Client Care Desktop v4.2



## EDI Manual

1

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**N.B:** Please note that this guide assumes that you have already been using Client Care Desktop (CCD) and have been trained on the EDI area accordingly. It is essential that you are familiar with the standard manual commission reconciliation within CCD, before progressing onto the more advanced functionality of EDI.

This guide is not intended to replace structured Training.

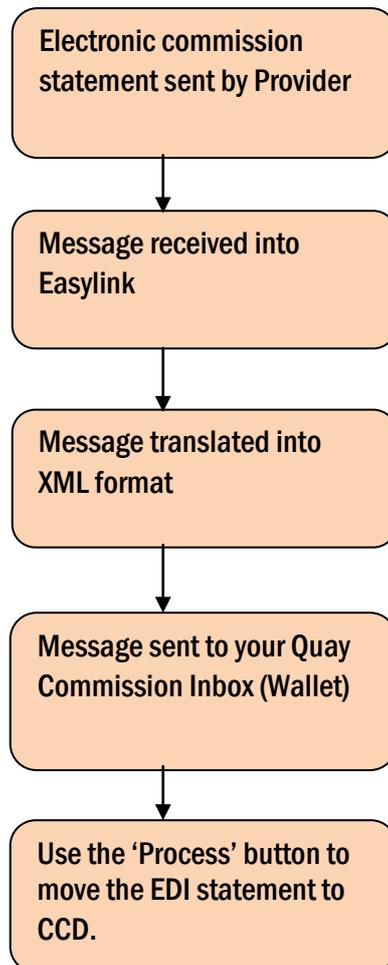
## 1. INTRODUCTION: WHAT IS EDI AND HOW DOES IT WORK?

Electronic Commission reconciliation offers considerable time savings, particularly for those with large volumes of trail or fund based renewal commission.

Incorporated within Client Care Desktop (CCD) is the ability to process and reconcile electronic commission statements via Electronic Data Interchange (EDI) with certain providers who can supply these to CCD.

The Quay Messenger, which has been designed and built by Capita Financial Software Ltd, will support the receipt and delivery of EDI commission statements from providers.

The EDI Message Process:



## 2. EDI SET UP

**3**

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There are 4 stages to the initial EDI set up and it is essential that each stage is completed for EDI to work successfully.

## 2.1. Registering with Providers

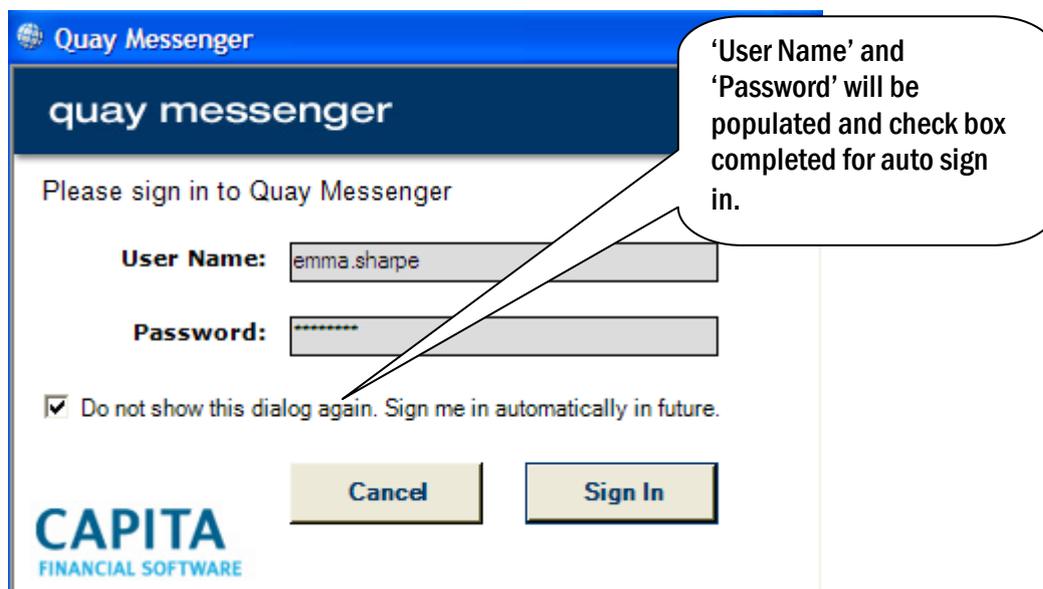
Registration with the providers will be done on your behalf by the Client Care team at Capita Financial Software Ltd as the providers will need to know the electronic address to send your messages to.

A full list of the providers offering EDI commission reconciliation can be found on our website: <http://www.capitafinancialsoftware.co.uk/LinkClick.aspx?fileticket=6FFe7VD2BMI%3d&tabid=234&mid=708>

## 2.2. Setting up Your Quay Messenger

Quay messenger is the utility in CCD that receives and converts electronic messages. Only one machine in a practice will be set up to receive the EDI messages and this one person will be the only one who can process the messages into CCD. Once the messages are in CCD they can be dealt with by any user who has the relevant access levels i.e. a Supervisor or Operator.

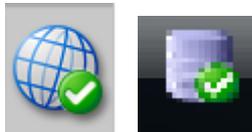
As part of the installation process Quay Messenger will be installed to automatically sign in at system start up.





You can now hide this box.

Once you are logged in to Quay Messenger, the following icons:



will appear at the bottom right hand of the screen.

The green tick confirms that Quay Messenger is signed in. If Quay Messenger is not signed in and the icon does not appear, then follow the steps below:

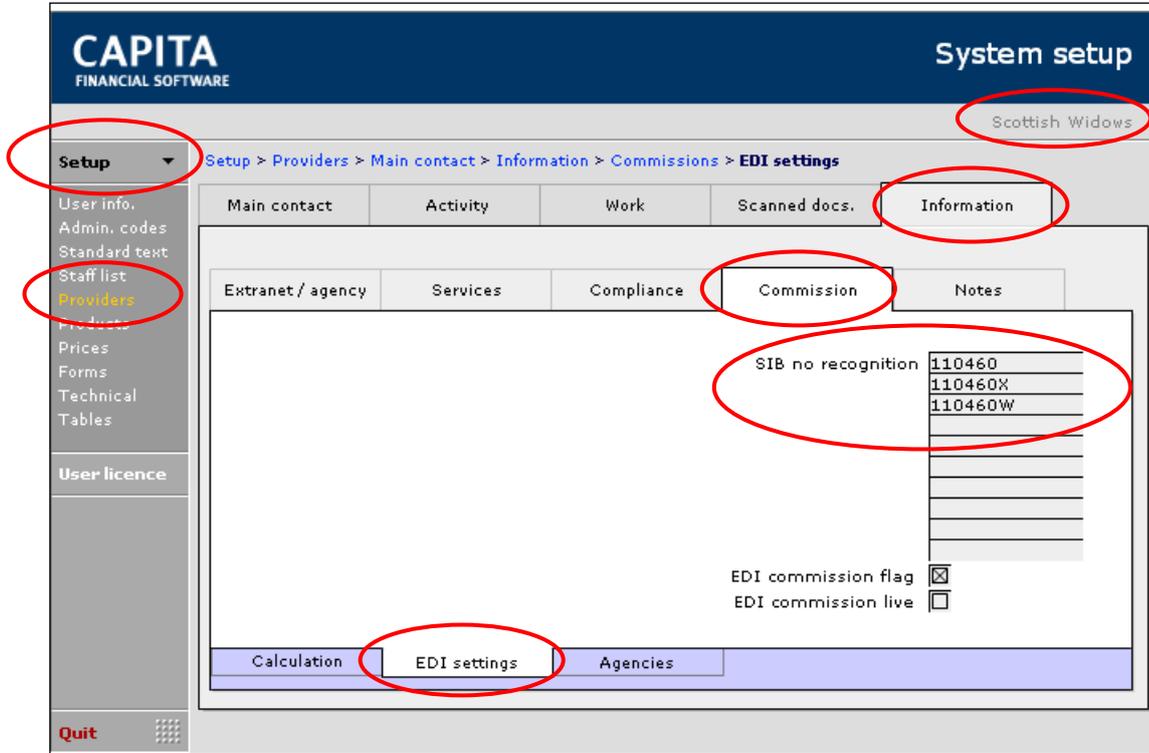
- 1) Click into 'My Computer' either from your desktop or the Start menu
- 3) Double click on the drive where the CCD files are held.
- 4) Click the folder labelled 'Link'
- 5) Click on 'Quay Messaging' Folder
- 6) Click on 'Quay Messenger' Folder
- 7) Right click on 'Quay Messenger.exe'
- 8) Select 'Open'
- 9) At this point you may need to insert your username and password (this should have been emailed to you)
- 10) Sign In.

again,

### 2.3. Recording Provider's Settings

CCD identifies which provider has sent the EDI message by their FSA number. These will have been entered on the provider's record from the central data base at Capita Financial Software Ltd.

Go to the provider's record found in the 'Setup' module of CCD and click into Information > Commissions > EDI settings



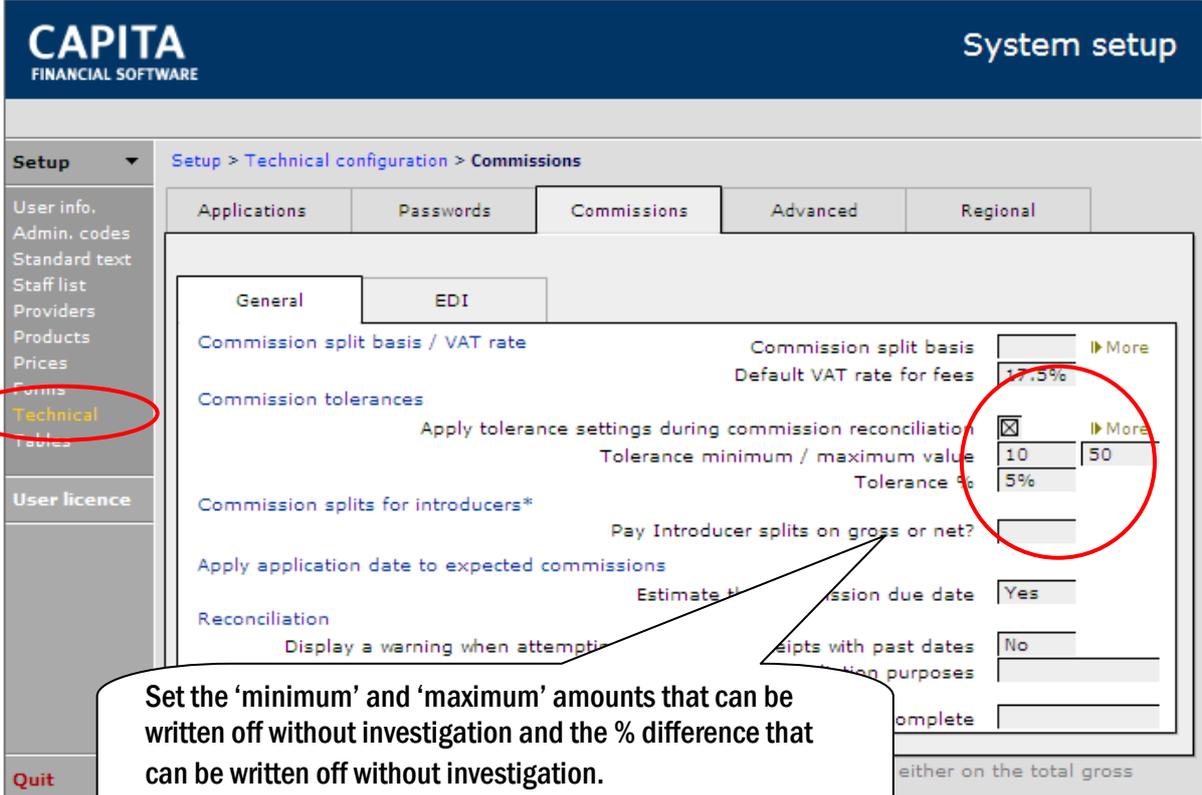
EDI commission flag   
 EDI commission live

The 'EDI Commission Flag' means that the company offers EDI, 'EDI Commission Live' indicates that your company is live with this provider and can receive EDI messages. At the installation stage Capita Financial Software Ltd will complete these details.

## 2.4. System EDI Settings

In the 'Technical' section of the 'Setup' module, details of how the system will handle EDI messages need to be input.

On the first 'Commissions' screen in the 'Technical' section of the 'Setup' module the tolerances need to be set. Any tolerances set here will apply to both EDI and manual commission reconciliation.



**Set the 'minimum' and 'maximum' amounts that can be written off without investigation and the % difference that can be written off without investigation.**

Setting up these tolerances is essential and will ensure that if commission is reconciled automatically, any large differences between expected and received commission will be flagged for YOUR attention.

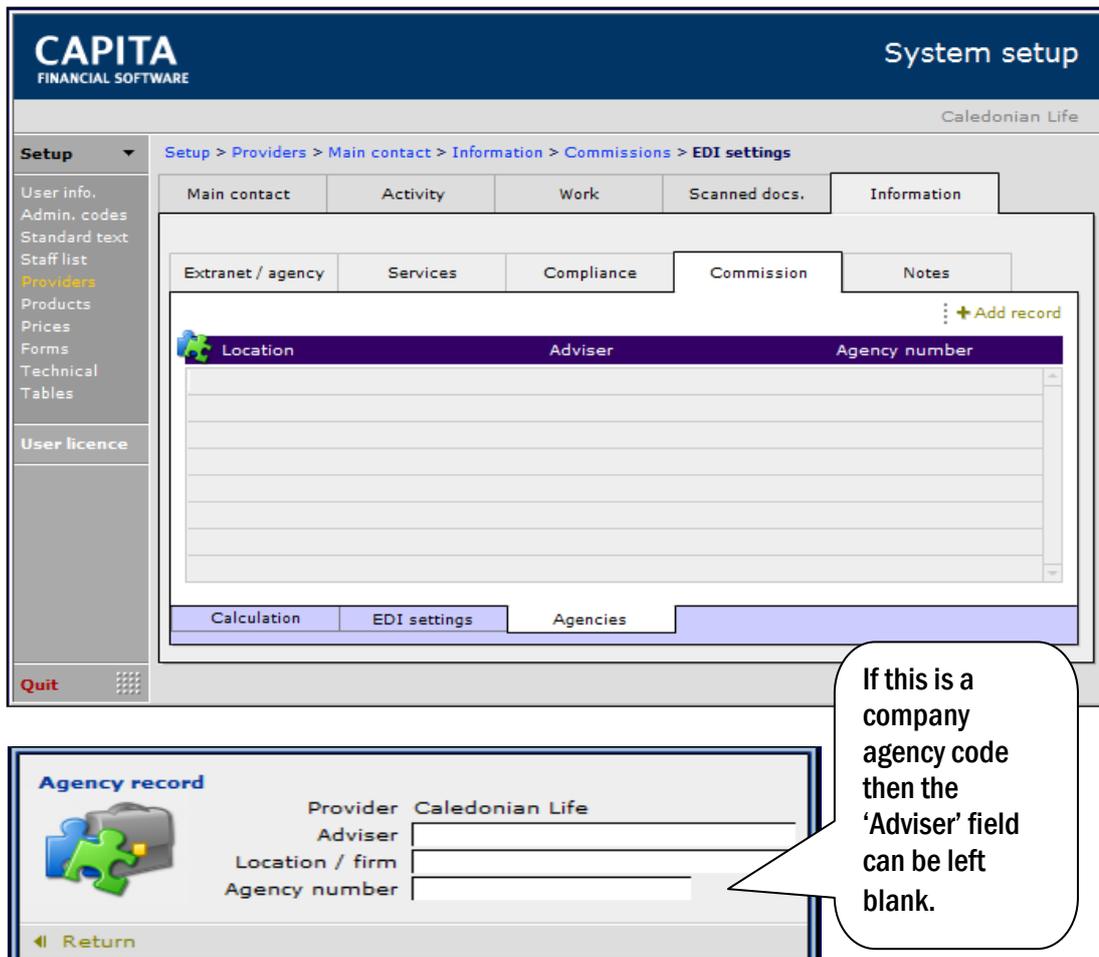
Once the tolerances have been set, instructions on how EDI will handle each piece of commission need to be entered. These are the 'rules' which will dictate how each piece of commission should be dealt with when it is received on the message into CCD.

There are 5 methods of reconciliation to choose from:

**Manual** – Any transactions marked for Manual reconciliation will be set-aside, so that the user can deal with them manually in the same way as if they were dealing with transactions on a paper statement and exclude any automation. This is used extensively for Clawback commission.

**Pay** – CCD will automatically reconcile these transactions if an Agency Code is located within CCD. If no Agency Code match is found, an exception will be created.

As no further information is required by CCD, the impact of this method means, that essential FSA information may be omitted and make RMAR reports, produced by CCD, less effective. In Setup > Providers > Provider name > Information > Commissions > Agency.



**Agency record**

Provider: Caledonian Life

Adviser:

Location / firm:

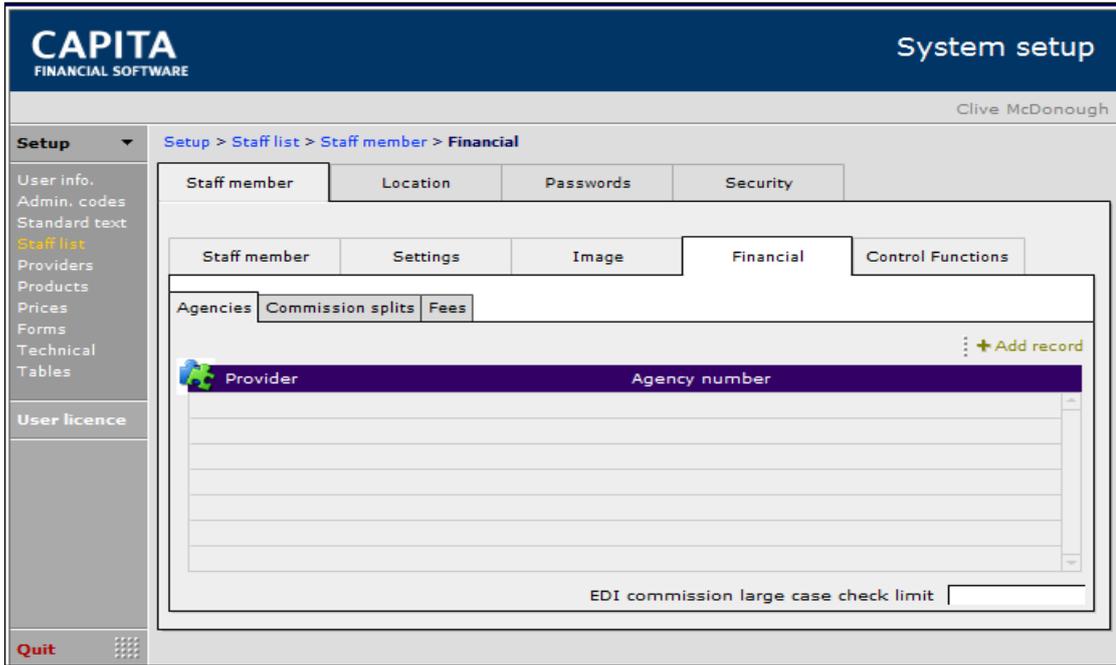
Agency number:

[Return](#)

If this is a company agency code then the 'Adviser' field can be left blank.

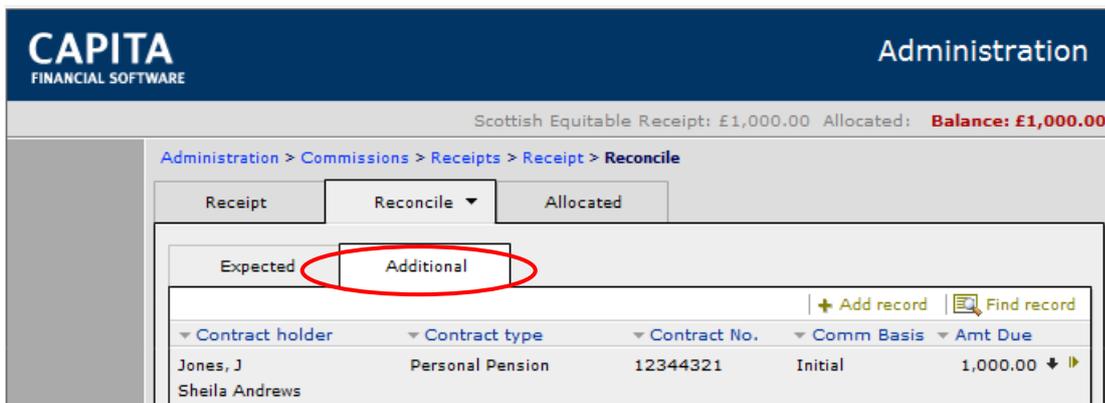
The second location that agency codes can be added is in the individual adviser's staff record.

**Setup > Staff List > Adviser name > Financial > Agencies**



NB. Some client's have found it useful to contact Providers to consolidate their Agency numbers prior to commencing EDI.

**Match Additional** – CCD will look to match your commission record in a table called CommMatching. This is found within a commission receipt, under a tab called 'Additional'.



This is only relevant if a record has previously been created in the 'CommMatching' table through a manual commission receipt, in reconcile, and the additional tab. This can be used for an expectation, which has not been created through the holding in the normal manner, but instead manually added in the receipt for repetitive use. This information therefore has no relationship to a client or holding but allows for the expectation to be used on more than one occasion.

If no match is found, an exception will be created.

**Match** – This option looks in the holdings file for a provider and policy number match. As this option is looking just in the holdings area it will not clear an expectation from the 'amounts due but not yet paid' list.

If EDI cannot find a matching policy number it will try to match to the client initial and surname. If no match is found, a further search will be carried out on just surname. If no match is found, the last search to be carried out will be done on a soundex level. If no match is found, then an exception will be created.

(Soundex means that CCD will look for a name which sounds like the one that the commission came in for).

If this method is being used for renewals the renewal transfer flag needs to be set to 'NO' so that no expectation of commission is posted.

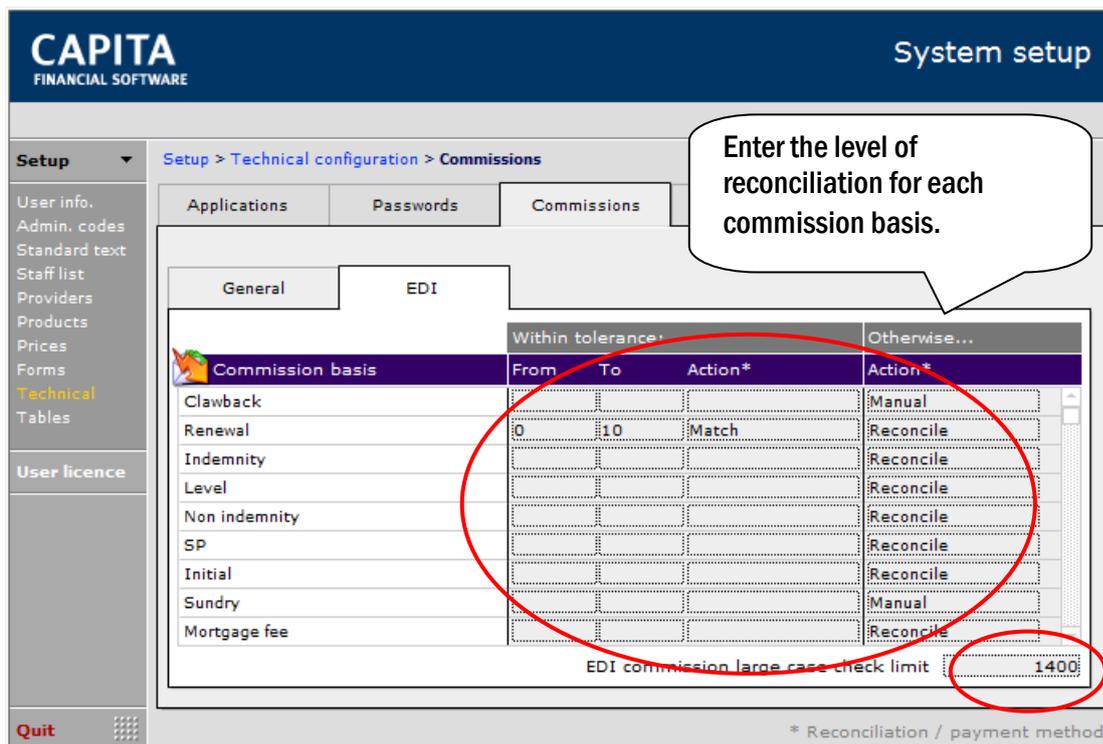
**Reconcile** – CCD will look through your commission expectations. If a commission expectation is located with the same policy number then reconciliation will occur. If no match is found, the following occurs:

EDI will try to match to a piece of commission with the client of the same name (Surname and initial). If it can't find one, then it will try to match to a piece of commission with the client of the same surname.

If EDI still cannot find a piece of commission to reconcile to, it will try one final check which is to try to match the piece of commission to a Soundex surname match. If nothing can be found, then an exception is created.

NB: If you select your renewals to reconcile, you must have created an expectation via the renewal transfer flag saying **Yes** for your EDI Providers and have Posted.

Enter the methods of reconciliation to be used into the EDI screen of Setup>Technical>Commissions>EDI.



The 'Within tolerances' section allows practices to set up different payment methods for the same type of commission. For instance, a company may want Renewal commission between certain amounts to be dealt with in one way, but anything over could be dealt with in a different way.

The above example shows how the reconciliation methods might be added; this is an example and might not show the methods selected by your company.

- **Clawback** has been set to Manual so that each claw back item received via EDI will be set to be manually reconciled.
- **Renewal** and **Fund based** renewal have been set to Match for items between £0.00 and £10.00; anything over this amount will use Reconcile. This could have been set like this because, as an expectation of commission (renewal transfer flag is set to yes) is only created where the expectation is greater than £10.00. So any small amounts of renewal commission are set to match (looks for policy to be set up in the holdings area) any renewal over £10.00 is set to reconcile (looks for an expectation of commission).
- **Indemnity, Level, Non Indemnity, SP, Mortgage Fee** and **Initial** are all set to Reconcile as the commission expectations are always set up.
- **Sundry** is set to manual, so that a person can look at this to try and sort out what it is for.

The other section that needs to be completed on this page is the "ED1 commission large case check limit" . What this will do is to flag any single case where the amount of commission received is greater than this figure and show it as an exception. This

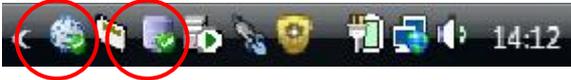
figure here is for the company however, an individual figure can be set for each adviser in the company. If using this option, when EDI checks for exceptions the adviser figure over rides the company figure.

To record a figure for an adviser use Setup > Staff List, choose the adviser and then into the 'Financial' tab. Complete the field.

EDI commission large case check limit

### 3. RECEIVING AND IMPORTING AN EDI MESSAGE

Quay Messenger has already been set up and when it is signed on will be showing in your system tray (bottom right of screen).



The final step needed to receive EDI messages from providers is the 'Commission Inbox'. This icon

looks like a wallet. 

It will appear on your desktop and must be 'opened' for you to bring your EDI messages into CCD. To open the 'Commission Inbox', you need to double click on it. To check the 'Commission Inbox' is open



and linked to Quay messenger double click on the messenger screen.

icon, this will open up your Quay



Here you can see that everything is logged on and linked together to ensure EDI messages can be received and then moved into CCD.

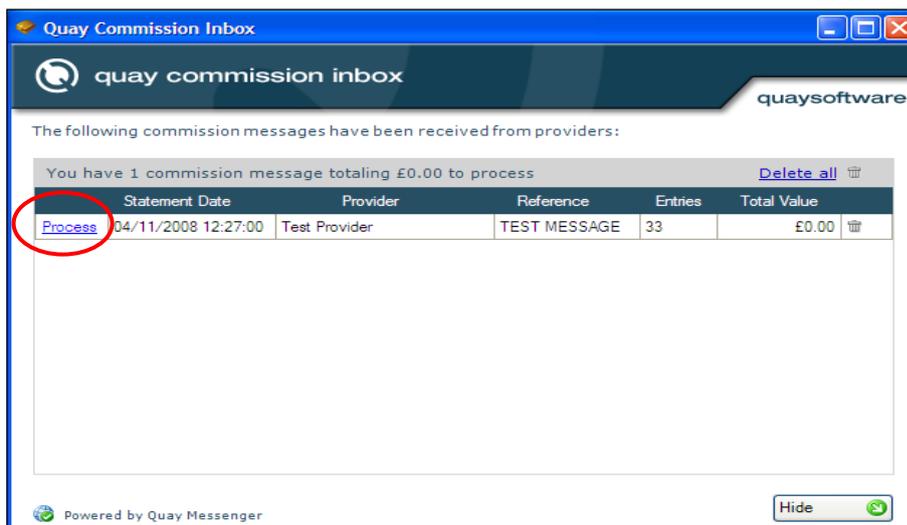
Once your 'Commission Inbox' is open, any messages waiting in Quay Messenger will move into the Inbox. To indicate that a message is coming in, this message will appear in the bottom right hand menu:



If messages are received and haven't been processed the icon will flash alternating between a green tick and a blue exclamation mark.



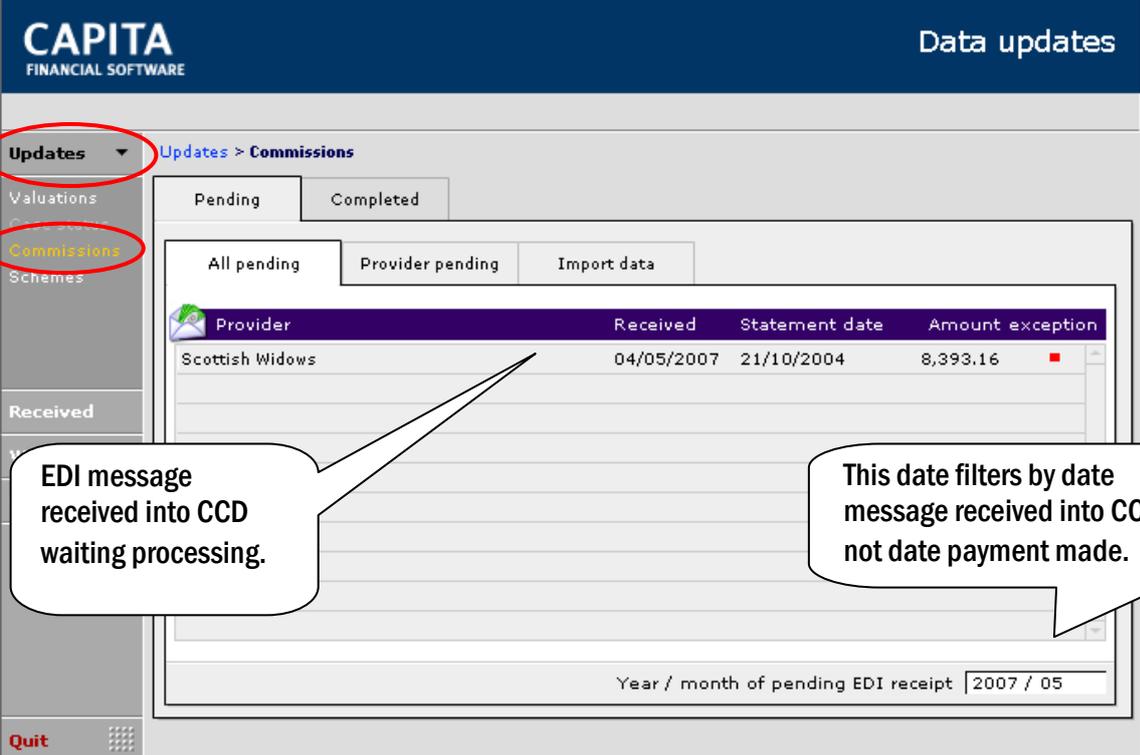
Once you click on the 'Commission Inbox', the following screen will appear:



To bring the messages in from the Commission Inbox to CCD, click on the 'Process' button next to the EDI message you want to take into CCD.

Once a message has been processed, it will be in the following area:

Updates > Commissions



**CAPITA** FINANCIAL SOFTWARE Data updates

Updates > Commissions

Pending | Completed

All pending | Provider pending | Import data

Provider	Received	Statement date	Amount	exception
Scottish Widows	04/05/2007	21/10/2004	8,393.16	■

Year / month of pending EDI receipt | 2007 / 05

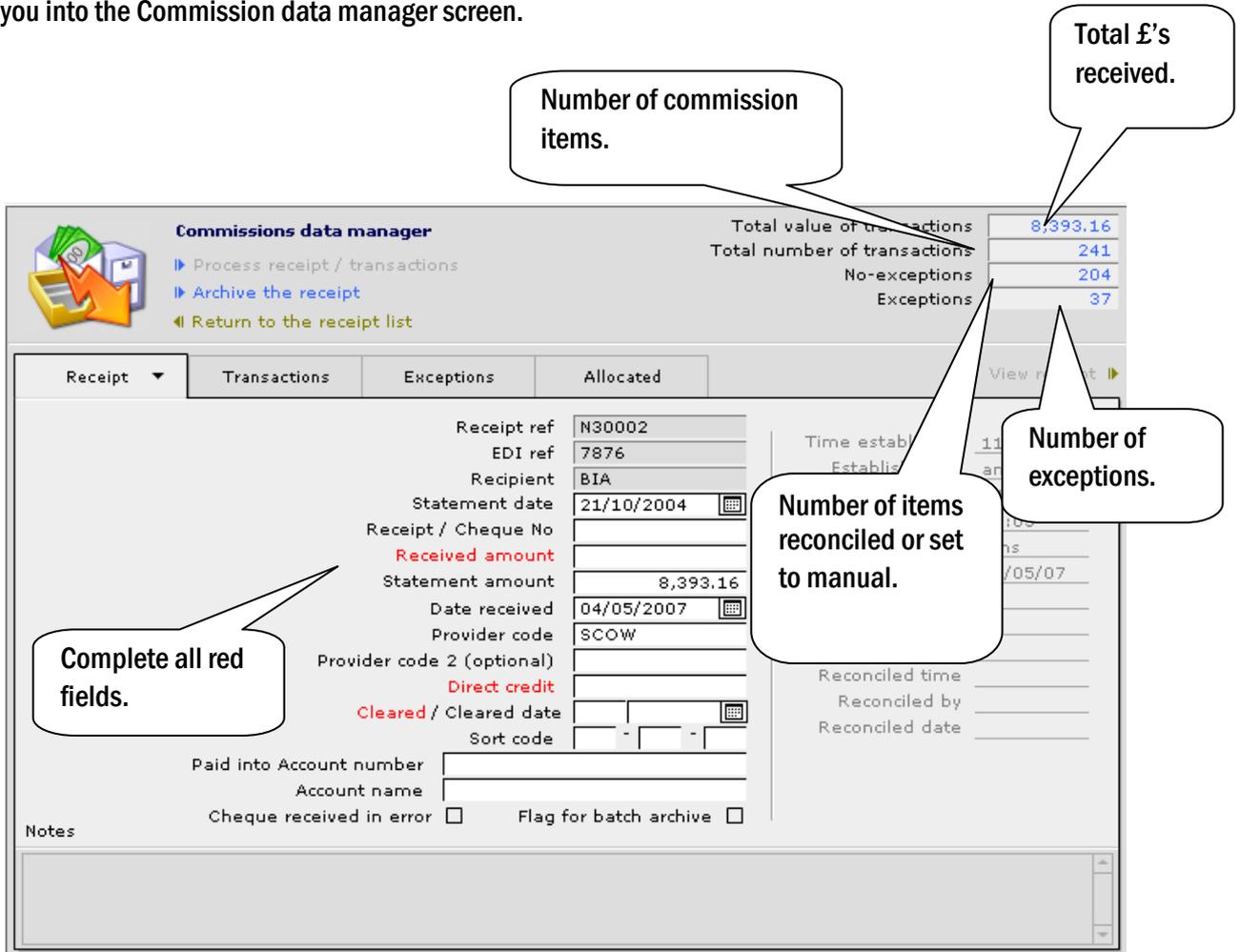
**ED I message received into CCD waiting processing.**

**This date filters by date message received into CCD not date payment made.**

**NB.** If you have two messages from the same provider with the same reference number the first EDI message will get transferred into CCD. When you bring in the second EDI message, a pop up will warn that you already have one message from this provider and will ask if you want to overwrite it with this new message. Select Yes / No as required.

## 4. PROCESSING YOUR EDI RECEIPTS

Your EDI message is now in CCD and can now be dealt with. Click on the message and this will take you into the Commission data manager screen.



**Commissions data manager**

- ▶ Process receipt / transactions
- ▶ Archive the receipt
- ◀ Return to the receipt list

Total value of transactions	8,393.16
Total number of transactions	241
No-exceptions	204
Exceptions	37

Number of commission items.

Total £'s received.

Number of exceptions.

Number of items reconciled or set to manual.

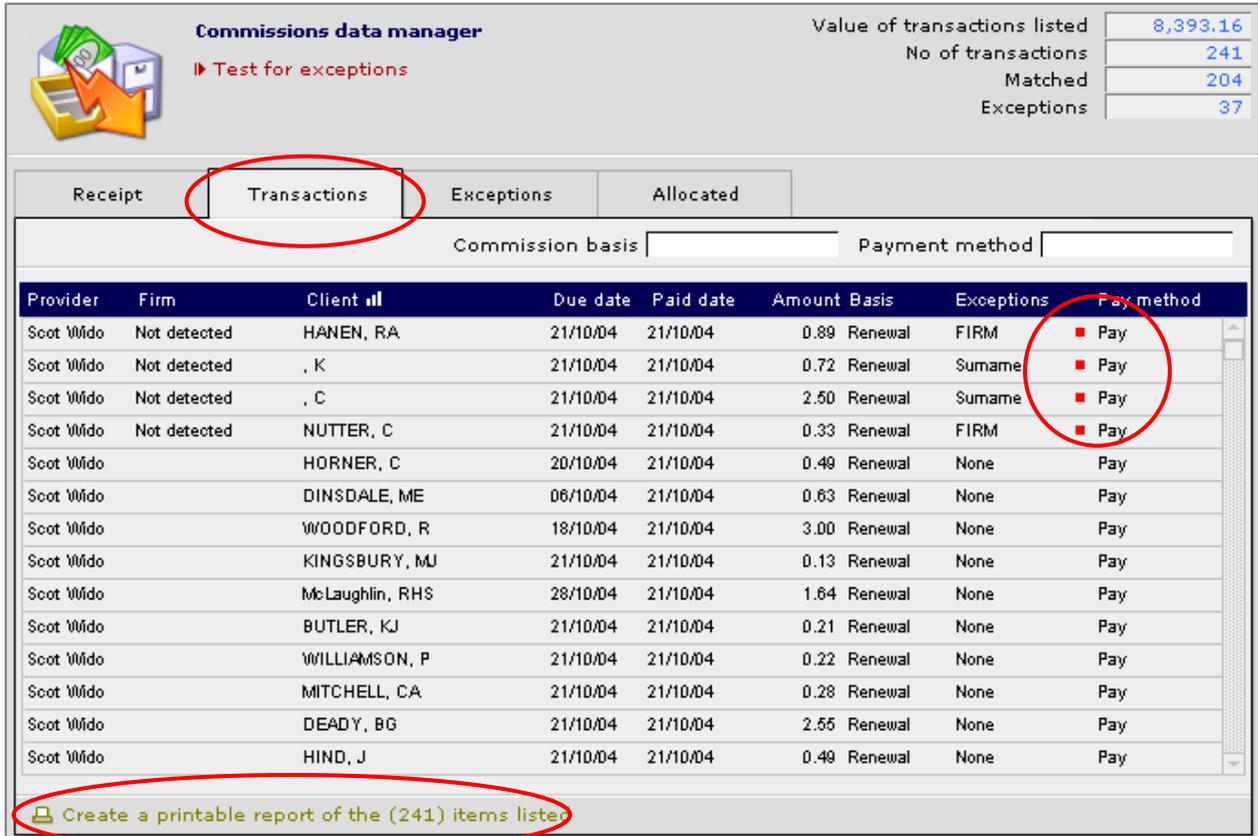
Complete all red fields.

Receipt ref: N30002  
 EDI ref: 7876  
 Recipient: BIA  
 Statement date: 21/10/2004  
 Received amount: Received amount  
 Statement amount: 8,393.16  
 Date received: 04/05/2007  
 Provider code: SCOW  
 Direct credit: Direct credit  
 Cleared / Cleared date: Cleared / Cleared date  
 Sort code: - - -  
 Paid into Account number:   
 Account name:   
 Cheque received in error:  Flag for batch archive:

Notes

## Transactions

All the transactions relating to the EDI receipt are shown here. Any that have not been automatically dealt with will have a red dot next to them and will appear in the exception list.



**Commissions data manager** Value of transactions listed 8,393.16  
 ▶ Test for exceptions No of transactions 241  
 Matched 204  
 Exceptions 37

Receipt **Transactions** Exceptions Allocated

Commission basis  Payment method

Provider	Firm	Client	Due date	Paid date	Amount	Basis	Exceptions	Pay method
Scot Wido	Not detected	HANEN, RA	21/10/04	21/10/04	0.89	Renewal	FIRM	■ Pay
Scot Wido	Not detected	, K	21/10/04	21/10/04	0.72	Renewal	Sumame	■ Pay
Scot Wido	Not detected	, C	21/10/04	21/10/04	2.50	Renewal	Sumame	■ Pay
Scot Wido	Not detected	NUTTER, C	21/10/04	21/10/04	0.33	Renewal	FIRM	■ Pay
Scot Wido		HORNER, C	20/10/04	21/10/04	0.49	Renewal	None	Pay
Scot Wido		DINSDALE, ME	06/10/04	21/10/04	0.63	Renewal	None	Pay
Scot Wido		WOODFORD, R	18/10/04	21/10/04	3.00	Renewal	None	Pay
Scot Wido		KINGSBURY, MJ	21/10/04	21/10/04	0.13	Renewal	None	Pay
Scot Wido		McLaughlin, RHS	28/10/04	21/10/04	1.64	Renewal	None	Pay
Scot Wido		BUTLER, KJ	21/10/04	21/10/04	0.21	Renewal	None	Pay
Scot Wido		WILLIAMSON, P	21/10/04	21/10/04	0.22	Renewal	None	Pay
Scot Wido		MITCHELL, CA	21/10/04	21/10/04	0.28	Renewal	None	Pay
Scot Wido		DEADY, BG	21/10/04	21/10/04	2.55	Renewal	None	Pay
Scot Wido		HIND, J	21/10/04	21/10/04	0.49	Renewal	None	Pay

Create a printable report of the (241) items listed

The Transactions can be put into alphabetical order, use the  button next to 'Client'.

## Exceptions

The next tab is the 'Exceptions' tab. This is where you will find any transactions that have not been dealt with automatically and need some manual intervention.

For example: Indemnity commission is set to Reconcile. A piece of Indemnity commission comes in on the EDI message and was unable to be matched using any of the different ways. An exception will be created.

If you have not received the paper statement you may want to have a list of all the exceptions that you have to work on. This can be obtained by using the 'Create a printable report of the (7) items listed'.



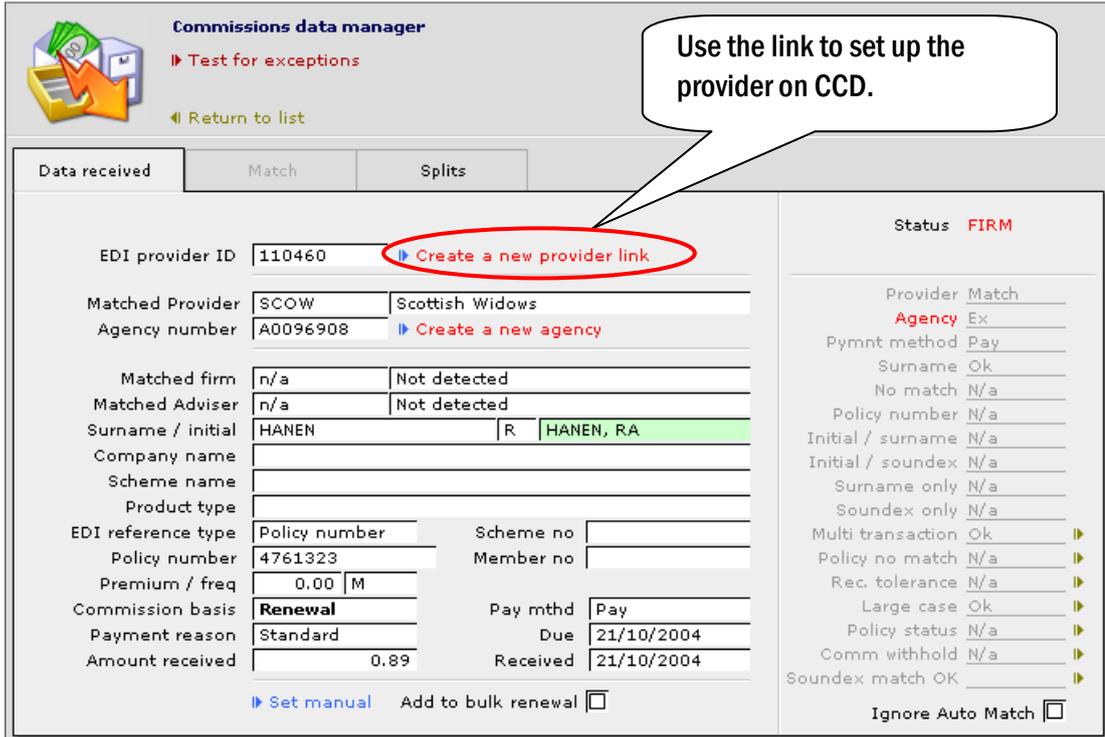


client/holding/commission expectation has been selected. If there is a problem, the item can be un-reconciled, which would allow for the correct client/holding/commission to be found and used.

### 4.1. Dealing with the exceptions

There are 12 potential exceptions that may occur:

- 01 **Provider** – the provider has not been set up within CCD as a provider who can send EDI messages. To deal with this error, you will need to set the provider up.



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 **▶ Create a new provider link**

Matched Provider: SCOW Scottish Widows  
 Agency number: A0096908 **▶ Create a new agency**

Matched firm: n/a Not detected  
 Matched Adviser: n/a Not detected  
 Surname / initial: HANEN R HANEN, RA  
 Company name:  
 Scheme name:  
 Product type:

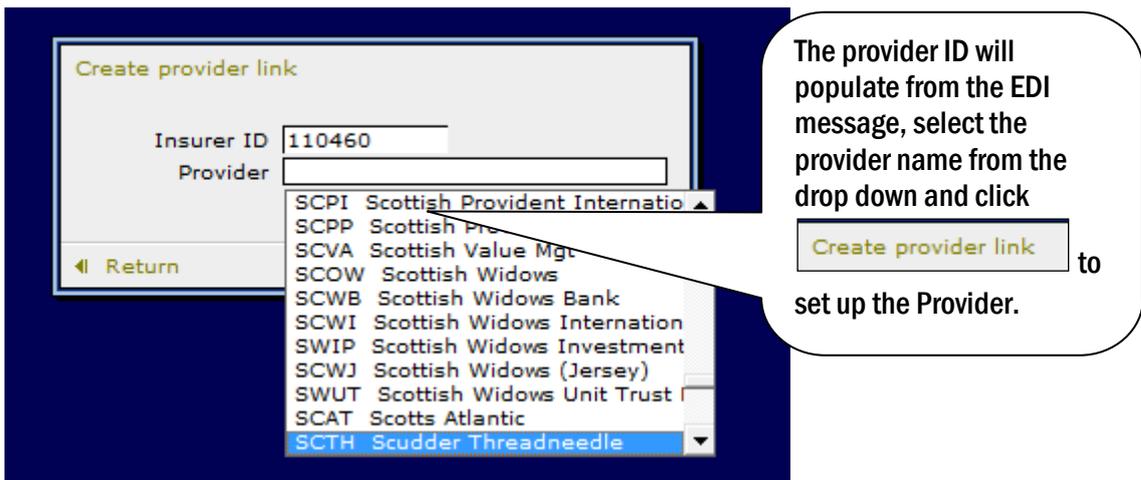
EDI reference type: Policy number 4761323 Scheme no Member no  
 Premium / freq: 0.00 | M  
 Commission basis: **Renewal** Pay mthd: Pay  
 Payment reason: Standard Due: 21/10/2004  
 Amount received: 0.89 Received: 21/10/2004

▶ Set manual Add to bulk renewal

Status: **FIRM**

Provider	Match
Agency	Ex
Pymnt method	Pay
Surname	Ok
No match	N/a
Policy number	N/a
Initial / surname	N/a
Initial / soundex	N/a
Surname only	N/a
Soundex only	N/a
Multi transaction	Ok
Policy no match	N/a
Rec. tolerance	N/a
Large case	Ok
Policy status	N/a
Comm withhold	N/a
Soundex match	OK

Ignore Auto Match



**Create provider link**

Insurer ID: 110460  
 Provider:   
 SCPI Scottish Provident Internatio  
 SCPP Scottish Pro  
 SCVA Scottish Value Mgt  
 SCOW Scottish Widows  
 SCWB Scottish Widows Bank  
 SCWI Scottish Widows Internation  
 SWIP Scottish Widows Investment  
 SCWJ Scottish Widows (Jersey)  
 SWUT Scottish Widows Unit Trust  
 SCAT Scotts Atlantic  
 SCTH Scudder Threadneedle

◀ Return

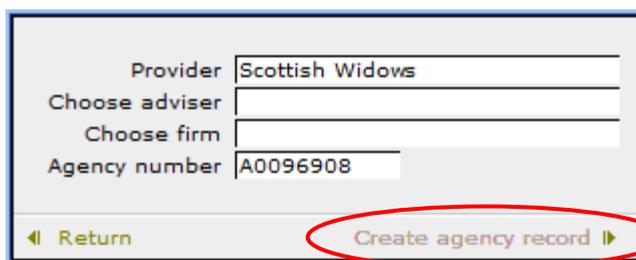
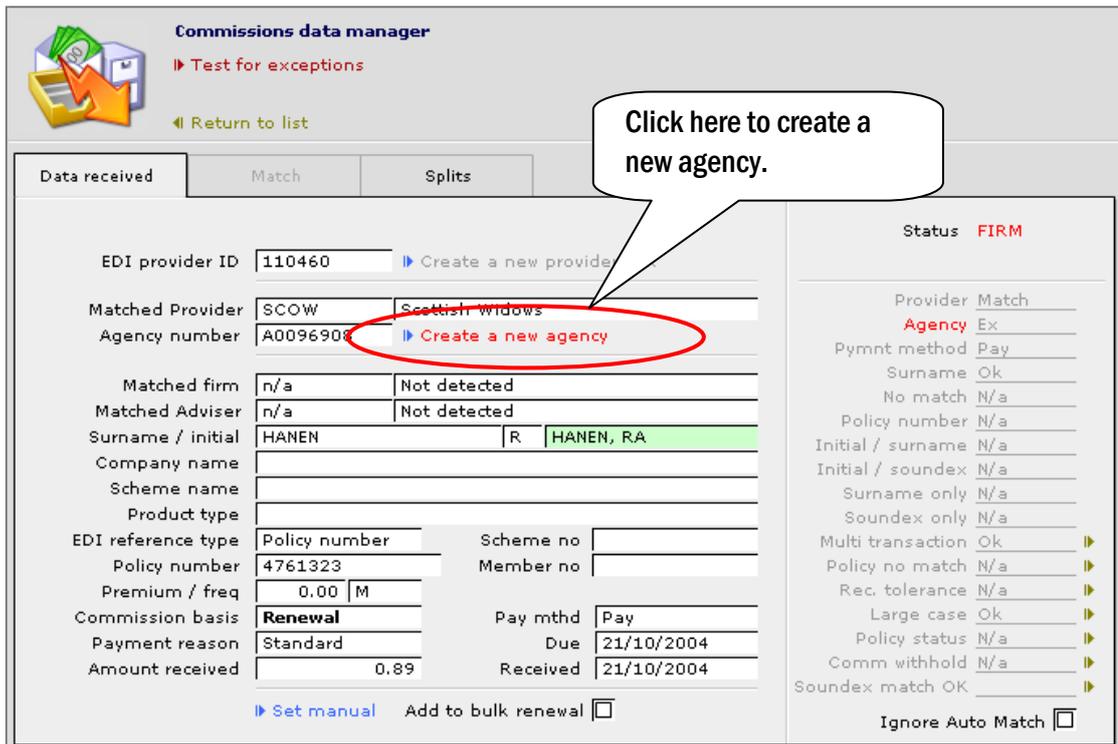
**Create provider link** to set up the Provider.

Once the provider is set up, best practice is to 'Test for exceptions' on the 'Exceptions' Tab.



The system will then apply the changes and any existing exceptions for this provider will now move to the no exceptions list. Any remaining exceptions will be for a different reason.

**02 Agency** – the ‘Agency code’ that is on the EDI receipt is not set up on CCD.



Complete the information as required. The ‘Provider’ and ‘Agency number’ will pre-populate from the EDI message.

As this exception has now been dealt with it is best practice to ‘Test for exceptions’ on the ‘Exceptions’ tab. This will deal with any other exceptions that are there due to that agency code not being set up on CCD.

**03 Surname** – the provider has not confirmed the client’s surname.

**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID	110460	▶ Create a new provider link
Matched Provider	SCOW	Scottish Widows
Agency number	A0096908	▶ Create a new agency
Matched firm	N30001	Head Office
Matched Adviser		
Surname / initial	Not completed	
Company name		
Scheme name		
Product type		
EDI reference type	Policy number	Scheme no
	4993323	Member no
Premium / freq	0.00   M	
Commission basis	Renewal	Pay mthd   Pay
Payment reason	Standard	Due   21/10/2004
Amount received	0.72	Received   21/10/2004
	▶ Set manual	Add to bulk renewal <input type="checkbox"/>

Status **Surname**

Provider Match \_\_\_\_\_

Agency Match \_\_\_\_\_

Pymnt method Pay \_\_\_\_\_

**The provider has not completed the client surname on this receipt.**

Rec. tolerance N/a ▶

Large case Ok ▶

Policy status N/a ▶

Comm withhold N/a ▶

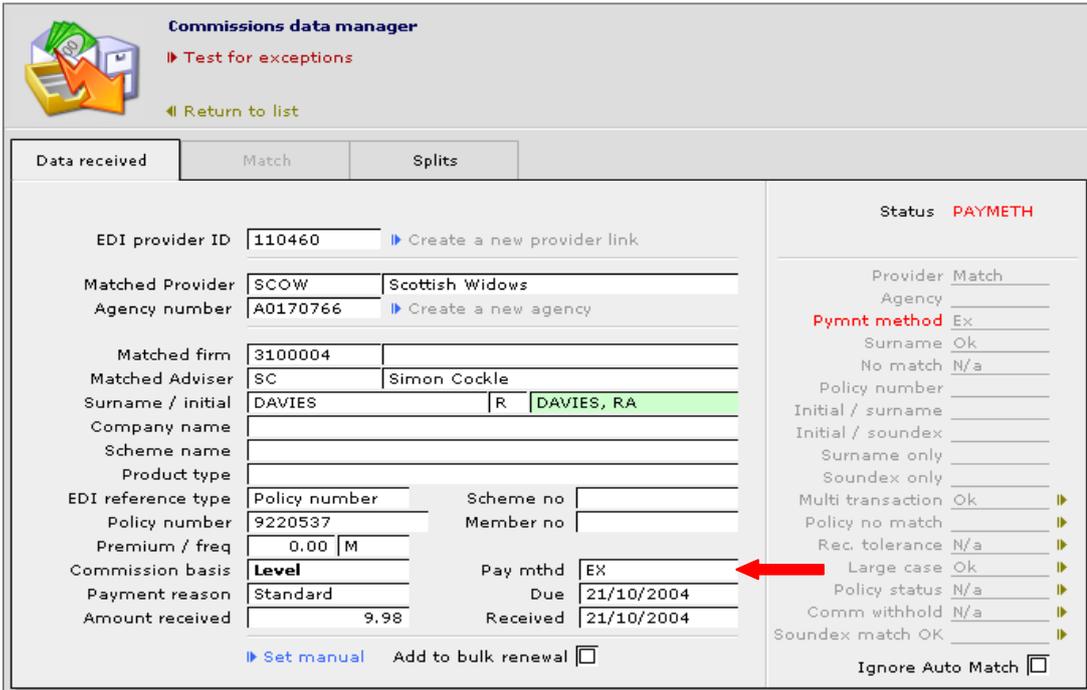
Soundex match OK ▶

Ignore Auto Match

To complete this exception, come out of the EDI exception, identify the client then return to the exception screen and complete the 'Surname' field. The 'Test for exceptions' will remove this item from the 'Exception' list. It may also be useful to contact the provider to see why they haven't sent the client's surname.

If it is not possible to identify the client, there is an option to set this piece of commission to manual. Use the 'Set manual' button. This will remove the exception from EDI and allow you to deal with it at a later time. (We would recommend using this 'Set Manual' button sparingly and only when you have exhausted all other ways to deal with the exception.)

**04 Payment method** – a ‘payment method’ has not been set up for this type of commission.



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched Provider: SCOW Scottish Widows  
 Agency number: A0170766 ▶ Create a new agency

Matched firm: 3100004  
 Matched Adviser: SC Simon Cockle  
 Surname / initial: DAVIES R DAVIES, RA  
 Company name:  
 Scheme name:  
 Product type:

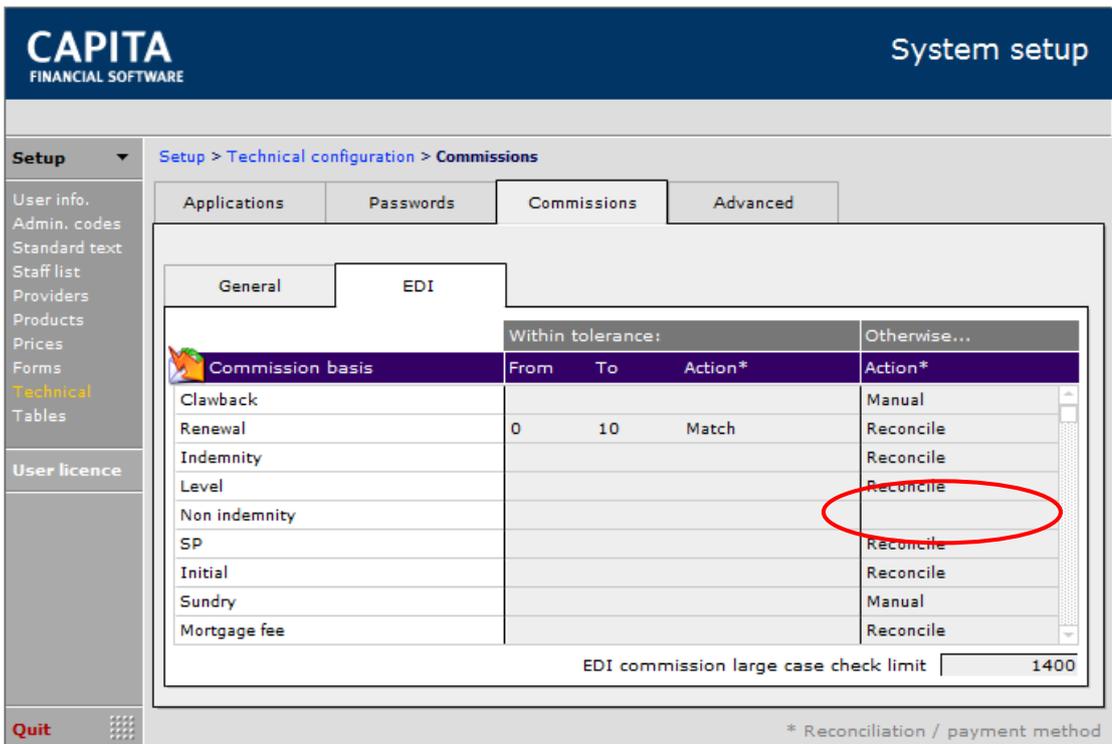
EDI reference type: Policy number Scheme no  
 Policy number: 9220537 Member no  
 Premium / freq: 0.00 M  
 Commission basis: Level Pay mthd: EX  
 Payment reason: Standard Due: 21/10/2004  
 Amount received: 9.98 Received: 21/10/2004

Status: PAYMETH

Provider Match  
 Agency  
 Pymnt method: Ex  
 Surname: Ok  
 No match: N/a  
 Policy number  
 Initial / surname  
 Initial / soundex  
 Surname only  
 Soundex only  
 Multi transaction: Ok  
 Policy no match  
 Rec. tolerance: N/a  
 Large case: Ok  
 Policy status: N/a  
 Comm withhold: N/a  
 Soundex match: OK

▶ Set manual Add to bulk renewal   
 Ignore Auto Match

To set up the ‘payment method’ for this type of commission return to the Setup > Technical > Commissions > EDI tab and complete as required.



**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Technical configuration > Commissions

Applications | Passwords | Commissions | Advanced

General | EDI

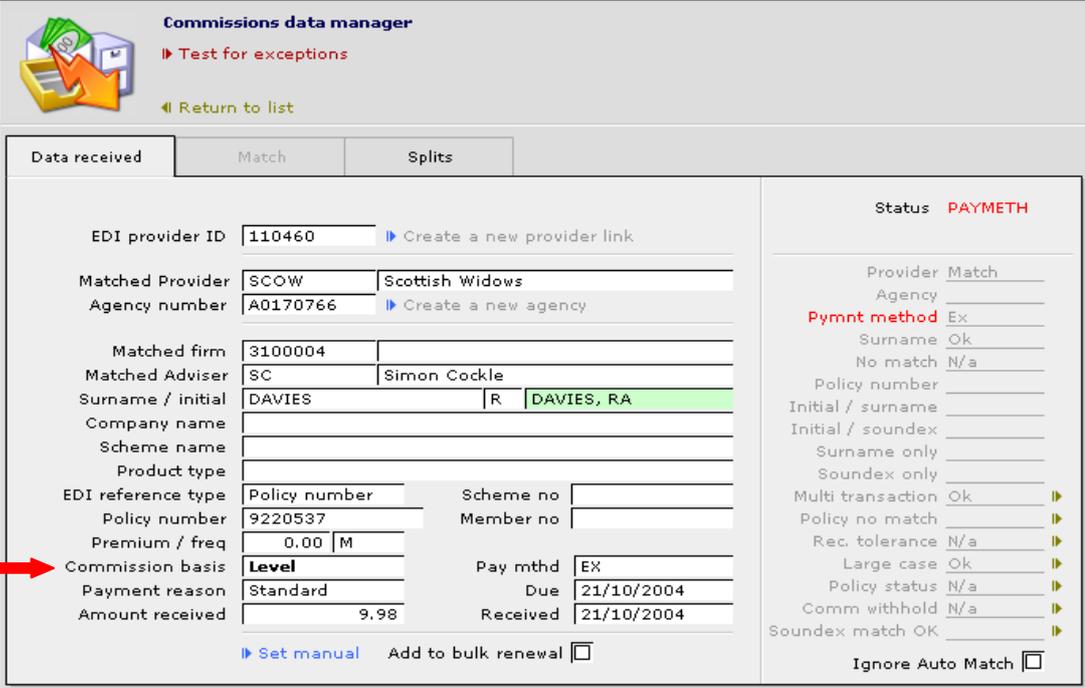
Commission basis	Within tolerance:			Otherwise...
	From	To	Action*	Action*
Clawback				Manual
Renewal	0	10	Match	Reconcile
Indemnity				Reconcile
Level				Reconcile
Non indemnity				Reconcile
SP				Reconcile
Initial				Reconcile
Sundry				Manual
Mortgage fee				Reconcile

EDI commission large case check limit: 1400

\* Reconciliation / payment method

Once this has been done, move back to the 'Receipt' and use the 'Test for Exceptions' button on the 'Exceptions' tab.

This exception may also appear if the Provider has not confirmed the 'Commission basis' for a piece of commission being sent. If the indicated field is blank, check the paper commission statement and then click into the field to select the correct commission basis. Once done, use 'Test for exceptions'.



**Commissions data manager**

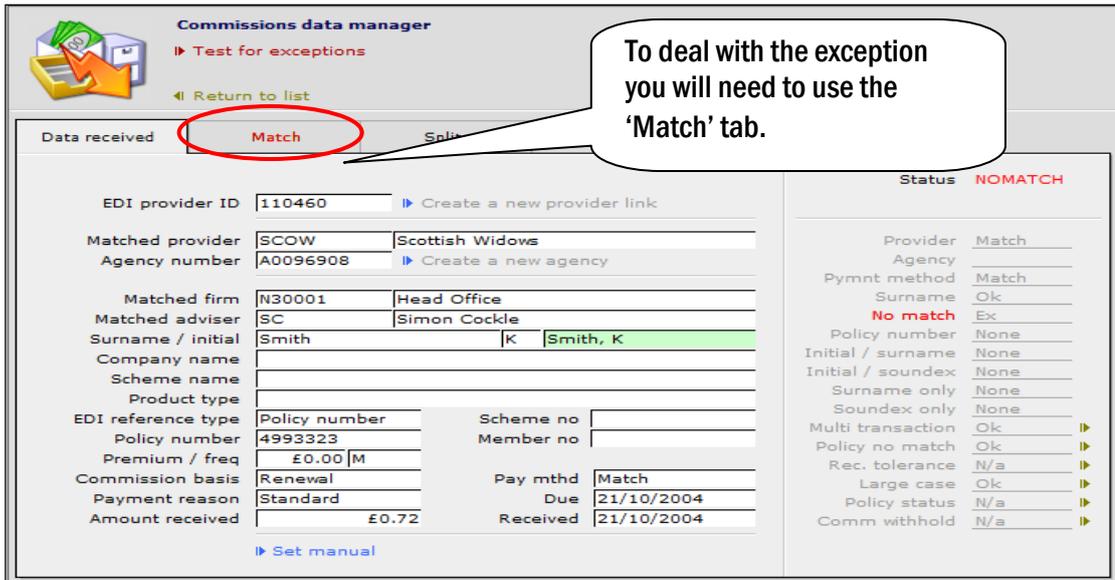
▶ Test for exceptions  
◀ Return to list

Data received	Match	Splits
<p>EDI provider ID: 110460 <a href="#">▶ Create a new provider link</a></p> <p>Matched Provider: SCOW Scottish Widows</p> <p>Agency number: A0170766 <a href="#">▶ Create a new agency</a></p> <p>Matched firm: 3100004</p> <p>Matched Adviser: SC Simon Cockle</p> <p>Surname / initial: DAVIES R DAVIES, RA</p> <p>Company name:</p> <p>Scheme name:</p> <p>Product type:</p> <p>EDI reference type: Policy number Scheme no</p> <p>Policy number: 9220537 Member no</p> <p>Premium / freq: 0.00 M</p> <p><b>Commission basis: Level</b> Pay mthd: EX</p> <p>Payment reason: Standard Due: 21/10/2004</p> <p>Amount received: 9.98 Received: 21/10/2004</p> <p><a href="#">▶ Set manual</a> Add to bulk renewal <input type="checkbox"/></p>	<p>Status: <b>PAYMETH</b></p> <p>Provider Match</p> <p>Agency</p> <p><b>Pymnt method: Ex</b></p> <p>Surname: Ok</p> <p>No match: N/a</p> <p>Policy number</p> <p>Initial / surname</p> <p>Initial / soundex</p> <p>Surname only</p> <p>Soundex only</p> <p>Multi transaction: Ok</p> <p>Policy no match</p> <p>Rec. tolerance: N/a</p> <p>Large case: Ok</p> <p>Policy status: N/a</p> <p>Comm withhold: N/a</p> <p>Soundex match: OK</p> <p>Ignore Auto Match <input type="checkbox"/></p>	

05 **No match** – there were no details on CCD which matched those on the receipt. 'No match' will only appear as an exception where the payment method has been set to Match, Match Additional or Reconcile.

These three payment methods are dealt with differently.

- No match against a 'Match' payment method. CCD has not been able to match any policy records to the information on the EDI receipt.



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received **Match** Split

EDI provider ID: 110460 ▶ Create a new provider link

Matched provider: SCOW Scottish Widows  
 Agency number: A0096908 ▶ Create a new agency

Matched firm: N30001 Head Office  
 Matched adviser: SC Simon Cockle  
 Surname / initial: Smith K | **Smith, K**

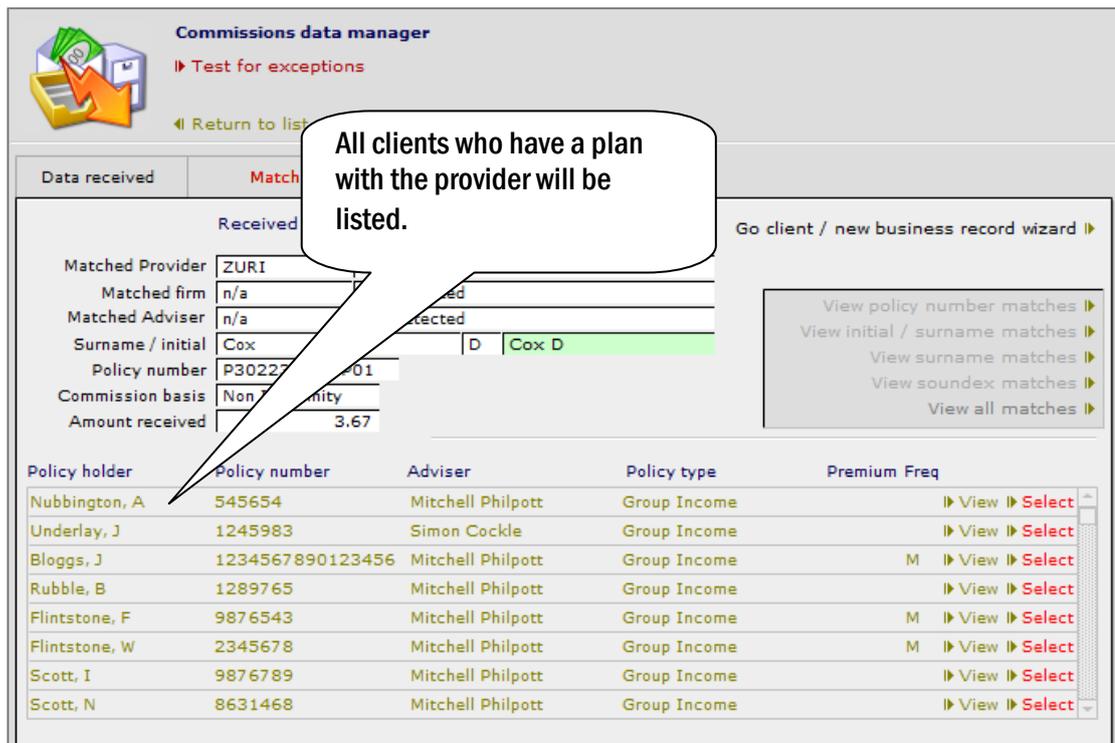
Company name: \_\_\_\_\_  
 Scheme name: \_\_\_\_\_  
 Product type: \_\_\_\_\_

EDI reference type: Policy number 4993323 Scheme no: \_\_\_\_\_  
 Policy number: 4993323 Member no: \_\_\_\_\_  
 Premium / freq: £0.00 | M  
 Commission basis: Renewal Pay mthd: Match  
 Payment reason: Standard Due: 21/10/2004  
 Amount received: £0.72 Received: 21/10/2004

▶ Set manual

Status: **NOMATCH**

Provider	Match
Agency	Match
Pymnt method	Match
Surname	Ok
<b>No match</b>	Ex
Policy number	None
Initial / surname	None
Initial / soundex	None
Surname only	None
Soundex only	None
Multi transaction	Ok ▶
Policy no match	Ok ▶
Rec. tolerance	N/a ▶
Large case	Ok ▶
Policy status	N/a ▶
Comm withhold	N/a ▶



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received **Match**

Received

Matched Provider: ZURI  
 Matched firm: n/a  
 Matched Adviser: n/a  
 Surname / initial: Cox D | **Cox D**

Policy number: P3022...01  
 Commission basis: Non...nity  
 Amount received: 3.67

Go client / new business record wizard ▶

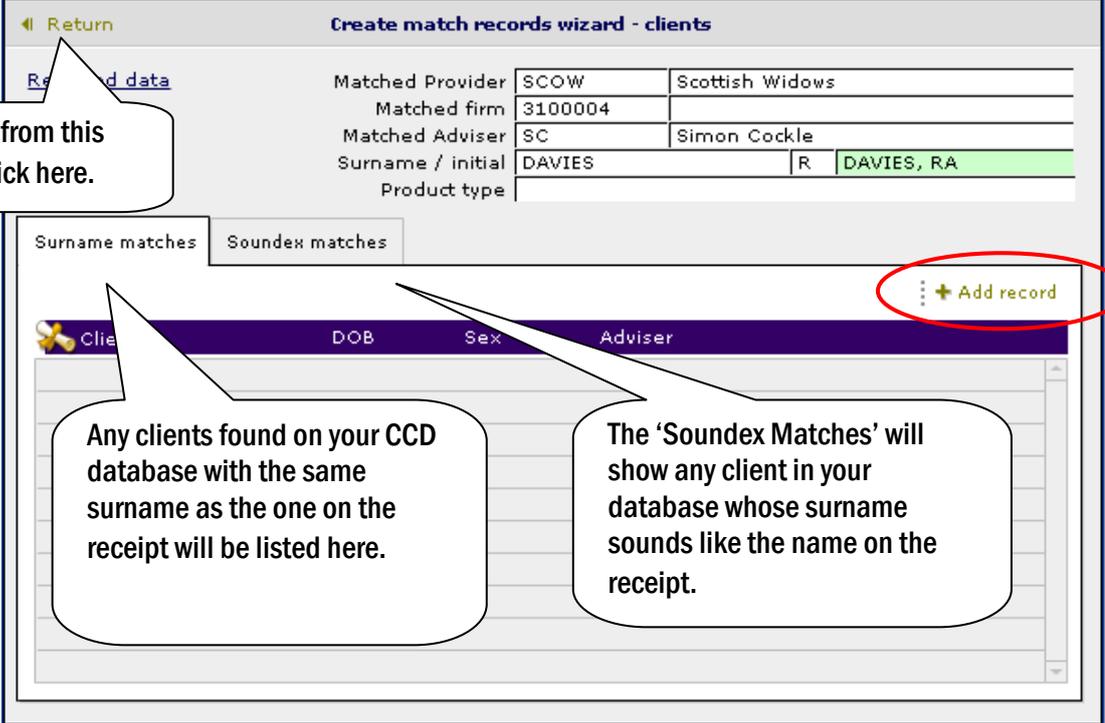
- View policy number matches ▶
- View initial / surname matches ▶
- View surname matches ▶
- View soundex matches ▶
- View all matches ▶

Policy holder	Policy number	Adviser	Policy type	Premium Freq
Nubbington, A	545654	Mitchell Philpott	Group Income	▶ View ▶ Select
Underlay, J	1245983	Simon Cockle	Group Income	▶ View ▶ Select
Bloggs, J	1234567890123456	Mitchell Philpott	Group Income	M ▶ View ▶ Select
Rubble, B	1289765	Mitchell Philpott	Group Income	▶ View ▶ Select
Flintstone, F	9876543	Mitchell Philpott	Group Income	M ▶ View ▶ Select
Flintstone, W	2345678	Mitchell Philpott	Group Income	M ▶ View ▶ Select
Scott, I	9876789	Mitchell Philpott	Group Income	▶ View ▶ Select
Scott, N	8631468	Mitchell Philpott	Group Income	▶ View ▶ Select

If the client is found on the list click on 'Select' to manually match the commission item to a client. If the client does not appear on the list then click onto the

**Go client / new business record wizard ▶**

at the top right of the screen.



**Create match records wizard - clients**

Matched Provider: SCOW | Scottish Widows

Matched firm: 3100004

Matched Adviser: SC | Simon Cockle

Surname / initial: DAVIES | R | DAVIES, RA

Product type:

Surname matches | Soundex matches

Client | DOB | Sex | Adviser

**To return from this screen click here.**

**Any clients found on your CCD database with the same surname as the one on the receipt will be listed here.**

**The 'Soundex Matches' will show any client in your database whose surname sounds like the name on the receipt.**

**+ Add record**

Where no match is found you can create the client and match the commission item to the

Holding now by clicking onto **+ Add record**, you will then be presented with 2 screens one to set up the client and one to set up the holding. In the example below the minimum required information has been added, however as many of the fields as possible should be completed.

When the minimum required information has been added the **Create client record** and **Create holding record** will become live. Until the minimum information has been added these buttons will be greyed out.

Some of the fields will pre-populate from the information held on the EDI receipt.

Return **Create match records wizard - clients**

Received data

Matched Provider	SCOW	Scottish Widows
Matched firm	3100004	
Matched Adviser	SC	Simon Cockle
Surname / initial	DAVIES	R DAVIES, RA
Product type		

Surname matches Soundex matches

Client type Individual **Create client record ▶**

Title / Initial / Surname R DAVIES

Forename/s R

Salutation EDI Auto fill

Address description

Address

Town

County

Post code

Date of birth

Gender

Adviser Simon Cockle

Return **Create match records wizard - create holding**

Received data

Matched Provider	SCOW	Scottish Widows
Matched firm	3100004	
Matched Adviser	SC	Simon Cockle
Surname / initial	DAVIES	R DAVIES, RA
Product type		

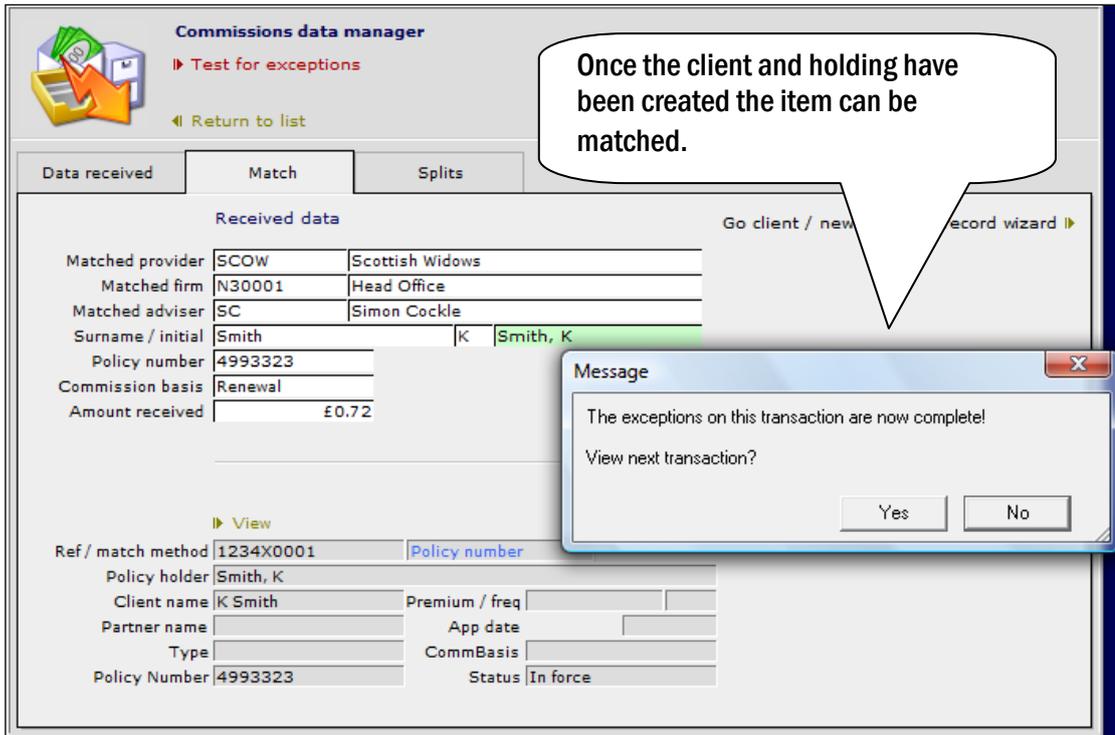
Surname matches Soundex matches

**Create holding record ▶**

Client	DOB	Sex	Adviser
R DAVIES			Simon Cockle

Status	In force	<b>Regular Commission setup</b>
Contract holder	DAVIES, R	Comm Basis
Provider	Scottish Widows	Comm due
Personal / Occupational		Comm freq
Product basis		Comm start
Product category		Comm end
Product type		
Contract number	9220537	
Adviser	Simon Cockle	

As this payment method is Match, there is no need to add in the 'Regular Commission setup'. This would only be used for any plans where the commission was to be reconciled.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | **Match** | Splits

Received data

Matched provider	SCOW	Scottish Widows
Matched firm	N30001	Head Office
Matched adviser	SC	Simon Cockle
Surname / initial	Smith	K   Smith, K
Policy number	4993323	
Commission basis	Renewal	
Amount received		£0.72

Go client / new record wizard ▶

▶ View

Ref / match method: 1234X0001 | Policy number

Policy holder: Smith, K

Client name: K Smith | Premium / freq

Partner name | App date

Type | CommBasis

Policy Number: 4993323 | Status: In force

**Message**

The exceptions on this transaction are now complete!

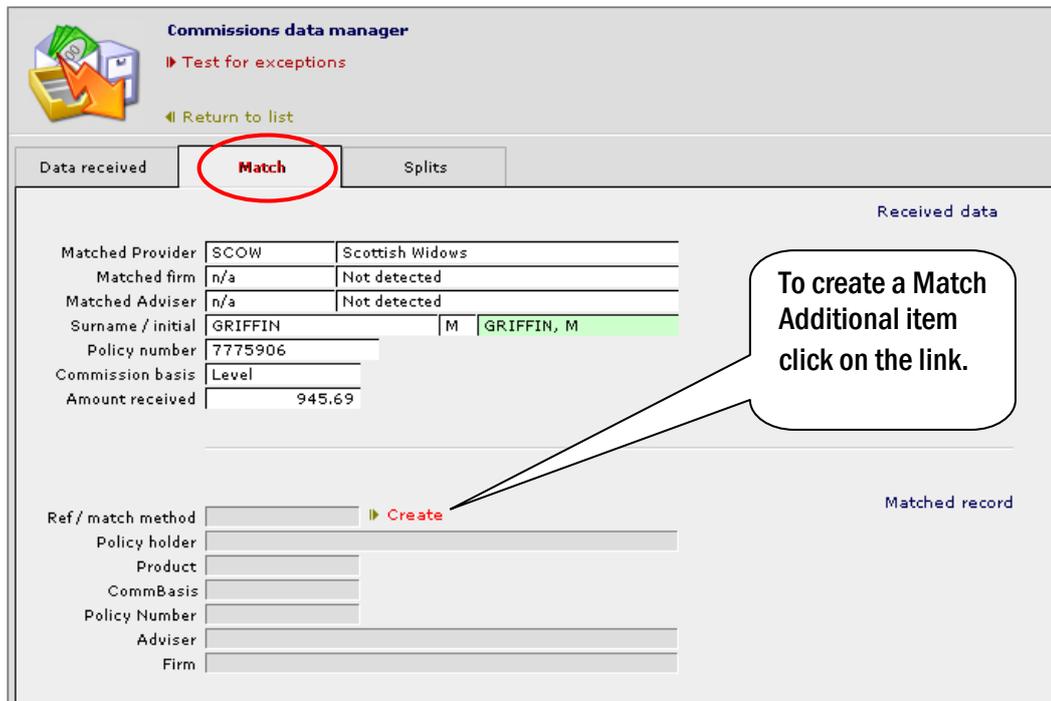
View next transaction?

Yes No

Once the client and holding have been created the item can be matched.

If next month more commission is received for this client and policy, no exception will be created as the system will be able to match the item to information held on CCD.

➤ No Match against a Match Additional payment method



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | **Match** | Splits

Received data

Matched Provider	SCOW	Scottish Widows
Matched firm	n/a	Not detected
Matched Adviser	n/a	Not detected
Surname / initial	GRIFFIN	M   GRIFFIN, M
Policy number	7775906	
Commission basis	Level	
Amount received		945.69

Matched record

Ref / match method | **Create**

Policy holder

Product

CommBasis

Policy Number

Adviser

Firm

To create a Match Additional item click on the link.

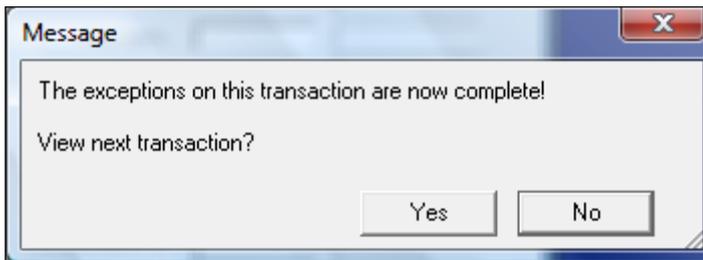
◀ Return without creating commission match record Create commission match record ▶

Policy / contract holder surname	GRIFFIN
Policy / contract holder forename(s)	M
Provider	Scottish Widows
Policy / contract number	7775906
Commission basis	Level
Personal / Occupational	
Product basis	
Product category	
Product type	
Firm	

		Payaways
Total transaction	Gross amount	945.69
	Network	
Gross receipt		945.69
	Introducer	
Balance after Introducer		945.69
	Consultant 1	
	Adviser 2	
	Adviser 3	
	Adviser 4	
	Adviser 5	
Total to Evaluation System		945.69

Minimal information has been populated from the receipt. Complete additional fields if the information is available.

Once all information has been added Create commission match record ▶ to add to the system.



If 'Yes' the next exception will appear, if 'No' is selected the following page will be displayed:

**Commissions data manager**

[▶ Test for exceptions](#)

[◀ Return to list](#)

Data received | **Match** | Splits

**Received data**

Matched Provider	SCOW	Scottish Widows
Matched firm	n/a	Not detected
Matched Adviser	n/a	Not detected
Surname / initial	GRIFFIN	M GRIFFIN, M
Policy number	7775906	
Commission basis	Level	
Amount received	674.15	

**Matched record**

Ref / match method	40122CORE	<a href="#">▶ View</a>
Policy holder	GRIFFIN, M	
Product	Unit Linked	
CommBasis	Level	
Policy Number	7775906	
Adviser		
Firm	Head Office	

➤ **No Match against Reconcile.**

The reason for the 'No Match' could be either that there is no expectation of commission or that there is no matching holding record, or matching client.

**Commissions data manager**

[▶ Test for exceptions](#)

[◀ Return to list](#)

Data received | **Match** | Splits

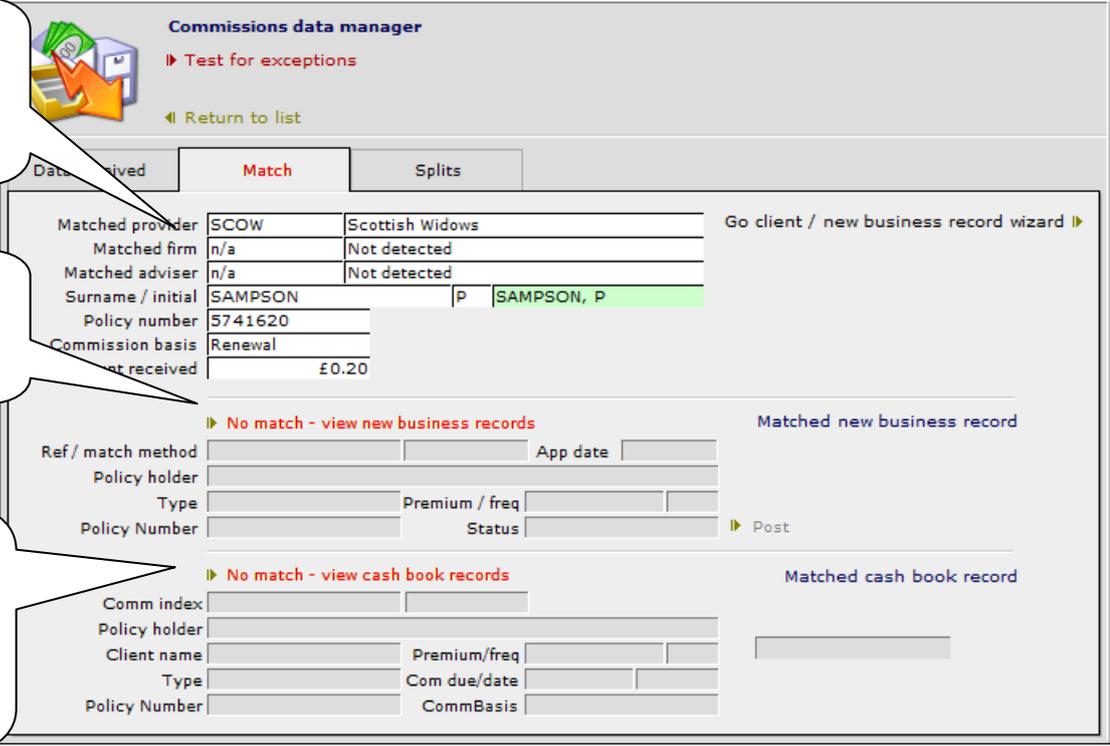
**Status NOMATCH**

EDI provider ID	110460	<a href="#">▶ Create a new provider link</a>
Matched Provider	SCOW	Scottish Widows
Agency number	A0197003	<a href="#">▶ Create a new agency</a>
Matched firm	N30001	Head Office
Matched Adviser		
Surname / initial	HERBERT	M HERBERT, MA
Company name		
Scheme name		
Product type		
EDI reference type	Policy number	Scheme no
Policy number	9856899	Member no
Premium / freq	0.00	M
Commission basis	Level	Pay mthd Reconcile
Payment reason	Standard	Due 21/10/2004
Amount received	1.82	Received 21/10/2004

[▶ Set manual](#) Add to bulk renewal

Provider	Match
Agency	
Pymnt method	Reconcile
Surname	Ok
No match	Ex
Policy number	None
Initial / surname	None
Initial / soundex	None
Surname only	None
Soundex only	None
Multi transaction	Ok
Policy no match	Ok
Rec. tolerance	No Match
Large case	Ok
Policy status	Ok
Comm withhold	Ok
Soundex match OK	

Ignore Auto Match



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Match

Go client / new business record wizard ▶

Matched provider	SCOW	Scottish Widows
Matched firm	n/a	Not detected
Matched adviser	n/a	Not detected
Surname / initial	SAMPSON	P SAMPSON, P
Policy number	5741620	
Commission basis	Renewal	
Amount received	£0.20	

▶ No match - view new business records  
Matched new business record

Ref / match method  App date

Policy holder

Type  Premium / freq

Policy Number  Status  ▶ Post

▶ No match - view cash book records  
Matched cash book record

Comm index

Policy holder

Client name  Premium/freq

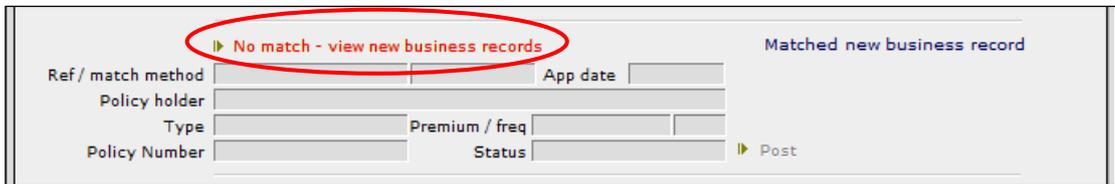
Type  Com due/date

Policy Number  CommBasis

**Callouts:**

- This section displays the receipt information.
- This section is for the holding information.
- This section is for the commission expectation information.

The picture above shows a 'No Match' where the expectation and Holding can not be located. To begin dealing with this expectation start by viewing the new business records:



▶ No match - view new business records  
Matched new business record

Ref / match method  App date

Policy holder

Type  Premium / freq

Policy Number  Status  ▶ Post

**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | **Match** | Splits

Received data Go client / new business record wizard ▶

Matched provider SCOW  
Matched firm n/a  
Matched adviser n/a  
Surname / initial SAMPSON  
Policy number 5741620  
Commission basis Renewal  
Amount received

**If the client is not in the list, Select 'Go client/new business record wizard'.**

View soundex matches ▶

Policy holder	Policy number	Consultant	GLOBAL	Policy type	Premium Freq	
ADODO, P	2546987	Simon Cockle				▶ View ▶ Select
ALLEN, P	2546988	Simon Cockle				▶ View ▶ Select
ALLISON, P	2546989	Simon Cockle				▶ View ▶ Select
ARULNATHAN, F	2546990	Simon Cockle				▶ View ▶ Select
BABB						▶ View ▶ Select
BA					508.34 M	▶ View ▶ Select
BA						▶ View ▶ Select
BA						▶ View ▶ Select

**If the client is in the list select 'View' to see more information, once you have confirmed that this is the correct client, use the 'Select' button.**

Go client/new business record Wizard.

◀ Return **Create match records wizard - create holding**

Received data

Matched Provider SCOW Scottish Widows  
Matched firm 3100004  
Matched Adviser SC Simon Cockle  
Surname / initial DAVIES R DAVIES, RA  
Product type

Surname matches | Soundex matches

**Create holding record ▶**

Client	DOB	Sex	Adviser
R DAVIES			Simon Cockle

Status **In force**

Contract holder DAVIES, R  
Provider Scottish Widows  
Personal / Occupational  
Product basis  
Product category  
Product type  
Contract number 9220537  
Adviser Simon Cockle

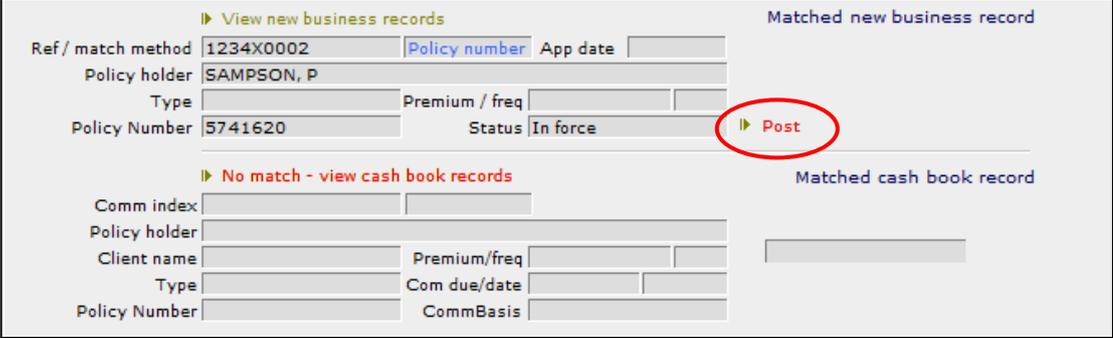
**Regular Commission setup**

Comm Basis  
Comm due  
Comm freq  
Comm start

**Complete all the red fields so that minimum information is added and then use the 'Create client record' button, this will not go live (turn red) until all minimum required information has been added.**

As this case is set to 'Reconcile', if regular initial commission is being received, the 'Regular Commission set up' fields will need to be completed for the following month.

Now that the client and holding have been set up you can move onto the expectation of commission. The second section of the match screen will now be complete and the 'Post' button will become live.



There will be no entry in the cash book (commission records) as we have only just created the client and holding. Click onto the 'Post' button to add an expectation of commission to be used with this exception only. If this is a regular piece of initial commission, it can be set up when setting up the holding (explained above). If it is a piece of regular renewal commission then this will need to be set up from within the holding.

Once the expectation has been posted the exception will be matched and removed from the exception list.

## 06 Multi Match

This exception can appear for a number of different reasons:

- 2 pieces of commission have been received for the same plan
- 1 piece of commission has been received but there are 2 expectations
- EDI has found a Soundex match for a commission item which has already been matched against another commission item.

The way that this exception is dealt with depends on whether the commission is set to Match or Reconcile.

If the commission basis is Match, the following will need to be done:

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Click the 'Match' tab.

Data received | **Match** | Splits

EDI provider ID: 110460 [▶ Create a new provider link](#)

Matched Provider: SCOW Scottish Widows

Agency number: A0202473 [▶ Create a new agency](#)

Matched firm: 3100004

Matched Adviser: SC Simon Cockle

Surname / initial: BAILEY G BAILEY, G

Company name: \_\_\_\_\_

Scheme name: \_\_\_\_\_

Product type: \_\_\_\_\_

EDI reference type: Member Scheme no: P000041561

Policy number: 2546962 Member no: 2546962

Premium / freq: 0.00 M

Commission basis: **Initial** Pay mthd: Match

Payment reason: Standard Due: 01/10/2004

Amount received: 51.92 Received: 21/10/2004

[▶ Set manual](#) Add to bulk renewal

Status: **MULTIPOL NO**

Provider: Match

Agency: \_\_\_\_\_

Pymnt method: Match

Surname: Ok

No match: Ok

Policy number: Ex

Initial / surname: Match

Initial / soundex: Match

Surname only: Match

Soundex only: Match

Multi transaction: Ok ▶

Policy no match: Ok ▶

Rec. tolerance: N/a ▶

Large case: Ok ▶

Policy status: Ok ▶

Comm withhold: Ok ▶

Soundex match: OK ▶

Ignore Auto Match

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Data received | **Match** | Splits

Received data

Go client / new business record wizard ▶

Matched Provider: SCOW Scottish Widows

Matched firm: 3100004

Matched Adviser: SC Simon Cockle

Surname / initial: BAILEY G BAILEY, G

Policy number: 2546962

Commission basis: Initial

Amount received: 51.92

Click on the 'Multi-match - view new business records.'

Matched new business record

▶ Multi-match - view new business records

Ref / match method: 1234N30034 Initial / surname

Policy holder: BAILEY, G

Client name: Greg BAILEY Premium / freq: 508.34 M

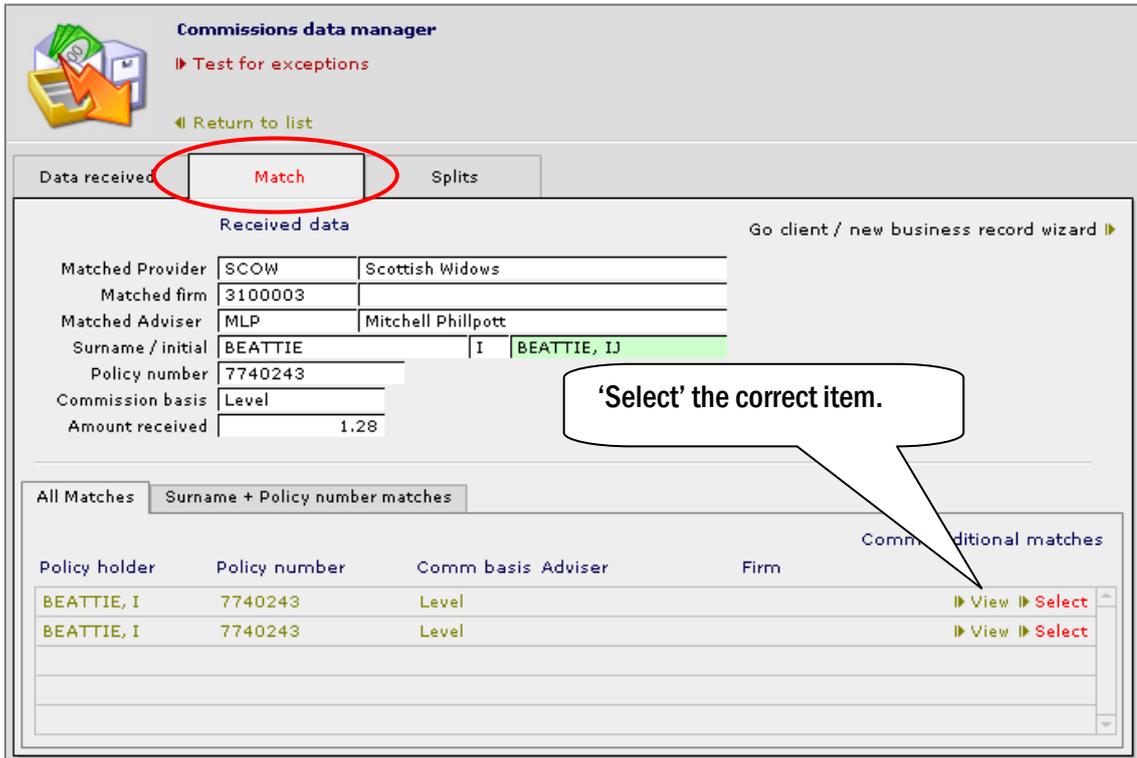
Partner name: \_\_\_\_\_ App date: \_\_\_\_\_

Type: Group Personal CommBasis: Indemnity

Policy Number: \_\_\_\_\_ Status: In force

A list of the possible matches will be displayed, use the 'Select' button to pick the one it should be. The exception will be completed.

If the commission basis is Match Additional, the following will need to be done:



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received **Match** Splits

Received data Go client / new business record wizard ▶

Matched Provider	SCOW	Scottish Widows
Matched firm	3100003	
Matched Adviser	MLP	Mitchell Phillpott
Surname / initial	BEATTIE	I BEATTIE, IJ
Policy number	7740243	
Commission basis	Level	
Amount received		1.28

'Select' the correct item.

All Matches Surname + Policy number matches

Policy holder	Policy number	Comm basis	Adviser	Firm	Comm	Additional matches
BEATTIE, I	7740243	Level			▶ View	▶ Select
BEATTIE, I	7740243	Level			▶ View	▶ Select

If the commission basis is Reconcile, the following will need to be done. Firstly, click on the 'Match' tab. This will not be red, but will contain the client information that EDI has tried to reconcile to.

**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received **Match** Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched Provider: SCOW Scottish Widows  
Agency number: A0147275 ▶ Create a new agency

Matched firm: 3100004  
Matched Adviser: SC Simon Cockle  
Surname / initial: KANE R KANE, R  
Company name:  
Scheme name:  
Product type:

EDI reference type: Policy number Scheme no:  
Policy number: 8252516 Member no:  
Premium / freq: 0.00 M  
Commission basis: **Renewal** Pay mthd: Reconcile  
Payment reason: Standard Due: 21/10/2004  
Amount received: 1.25 Received: 21/10/2004

▶ Set manual Add to bulk renewal

Status: **SOUNDEX**

Provider Match  
Agency  
Pymnt method Reconcile  
Surname Ok  
No match Ok  
Policy number None  
Initial / surname None  
Initial / soundex None  
Surname only None  
**Soundex only** Ex  
**Multi transaction** Ex ▶  
Policy no match Ok ▶  
**Rec. tolerance** Ex ▶!  
Large case Ok ▶  
Policy status Ok ▶  
Comm withhold Ok ▶  
**Soundex match OK** Ex ▶  
Ignore Auto Match

In this case, EDI has tried to match to the incorrect client, and this client has also been matched to another piece of received commission – hence it is a multi-match.

In this case, the new client needs to be set up:

Data received Match Splits

Matched Provider: SCOW Scottish Widows  
Matched firm: 3100004  
Matched Adviser: SC Simon Cockle  
Surname / initial: KANE R KANE, R  
Policy number: 8252516  
Commission basis: Renewal  
Amount received: 1.25

▶ View new business records Matched new business record

Ref / match method: 1234N30037 Cash book App date:  
Policy holder: KHAN, S  
Type: Group Personal Premium / freq: 608.34 M  
Policy Number: Status: In force ▶ Post

▶ View cash book records Matched cash book record

Comm index: 12343301688 Soundex  
Policy holder: KHAN, S  
Client name: Sandy KHAN Premium/freq: 608.34 M  
Type: Group Personal Com due/date: 3583.18 16/06/2  
Policy Number: CommBasis: Indemnity

Go client / new business record wizard ▶





Select 'Yes'. The exception has now been dealt with.

Data received	Match	Splits	
Matched Provider	SCOW	Scottish Widows	Go client / new business record wizard ▶
Matched firm	3100004		
Matched Adviser	SC	Simon Cockle	
Surname / initial	KANE	R	KANE, R
Policy number	8252516		
Commission basis	Renewal		
Amount received	1.25		
			▶ View matched new business record
Ref / match method	123440130CORE	Cash book	App date
Policy holder	KANE, R		
Type		Premium / freq	
Policy Number	8252516	Status	In force ▶ Post
			▶ View matched cash book record
Comm index	123440130CORE	Override	Matched cash book record
Policy holder	KANE, R		
Client name	R KANE	Premium/freq	
Type	Unspecified	Com due/date	1.25 21/10/2
Policy Number	8252516	CommBasis	Renewal

**07 Matched already** – the expectation has already been matched to another client and is then also trying to match to this one.



**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Data received

Match

Splits

EDI provider ID  ▶ Create a new provider link

Matched Provider  Scottish Widows

Agency number  ▶ Create a new agency

Matched firm

Matched Adviser  Simon Cockle

Surname / initial

Company name

Scheme name

Product type

EDI reference type  Scheme no

Policy number  Member no

Premium / freq

Commission basis  Pay mthd

Payment reason  Due

Amount received  Received

▶ Set manual   Add to bulk renewal

Status **Multi tran**

Provider

Agency

Pymnt method

Surname

No match

Policy number

Initial / surname

Initial / soundex

Surname only

Soundex only

**Multi transaction**  ▶

Policy no match  ▶

Rec. tolerance  ▶x

Large case  ▶

Policy status  ▶

Comm withhold  ▶

Soundex match  ▶

Ignore Auto Match

It shows here as a 'Multi transaction'. This can happen if commission statements are left in the EDI area without processing or archiving them, or if there is more than one holding or more than one commission item that could the electronic receipt could have been reconciled to.

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Data received **Match** Splits

Matched provider SCOW Scottish Widows Go client / new business record wizard ▶

Matched firm 3100004

Matched adviser SC Simon Cockle

Surname / initial KHAN S KHAN, S

Policy number 2547019

Commission basis Initial

Amount received £184.00

▶ View new business records Matched new business record

Ref / match method 1234N30037 Cash book App date

Policy holder KHAN, S

Type Group Personal Premium / freq £608.34 M

Policy Number Status In force ▶ Post

▶ View cash book records Matched cash book record

Comm index 12343301688 Initial /

Policy holder KHAN, S

Client name Sandy KHAN Premium/freq £608.34 M

Type Group Personal Com due/date £3583.18 16/06/20

Policy Number CommBasis Indemnity

Using the Match tab, use the **▶ View new business records** and select the correct holding.

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Data received Match Splits

Received data Go client / new business record wizard ▶

Matched provider SCOW Scottish Widows

Matched firm 3100004

Matched adviser SC Simon Cockle

Surname / initial KHAN S KHAN, S

Policy number 2547019

Commission basis Initial

Amount received £184.00

View policy number matches ▶

View initial / surname matches ▶

View surname matches ▶

View soundex matches ▶

View all matches ▶

Policy holder	Policy number	Consultant	GLOBPolicy type	Premium Freq	
KHAN, S		Kieran McGee	Group Personal Pension	608.34 M	▶ View ▶ Select

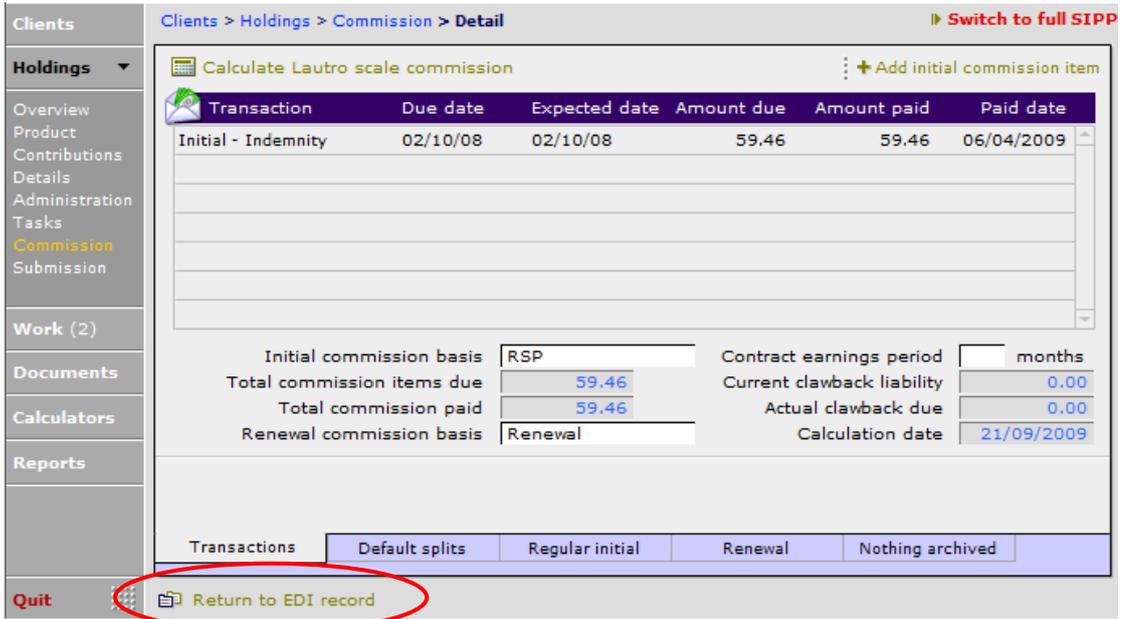
If the 'View' is chosen, to check the holding in more detail use the

 **Switch to Holdings > Commission**

\* Separate multiples with carriage returns

to switch to the holding record.

Once in the holding record there is a button to be able to come back into this record:



Clients > Holdings > Commission > Detail Switch to full SIPP

Calculate Lauro scale commission + Add initial commission item

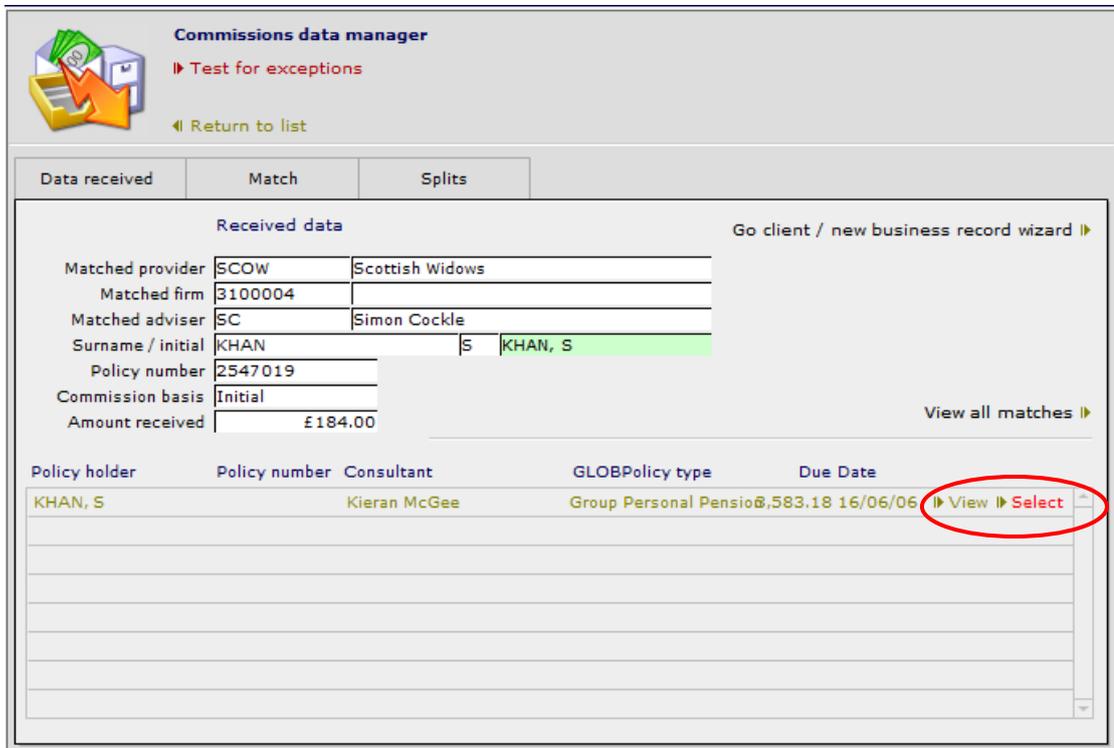
Transaction	Due date	Expected date	Amount due	Amount paid	Paid date
Initial - Indemnity	02/10/08	02/10/08	59.46	59.46	06/04/2009

Initial commission basis: RSP      Contract earnings period: months  
 Total commission items due: 59.46      Current clawback liability: 0.00  
 Total commission paid: 59.46      Actual clawback due: 0.00  
 Renewal commission basis: Renewal      Calculation date: 21/09/2009

Transactions | Default splits | Regular initial | Renewal | Nothing archived

**Return to EDI record**

Once this has been done, use the [View cash book records](#) to select the appropriate commission expectation. It is not possible to use the same expectation of commission twice. If it has been reconciled by you to a piece of received commission, whilst it will show again, it cannot be reconciled to a second piece of received commission.



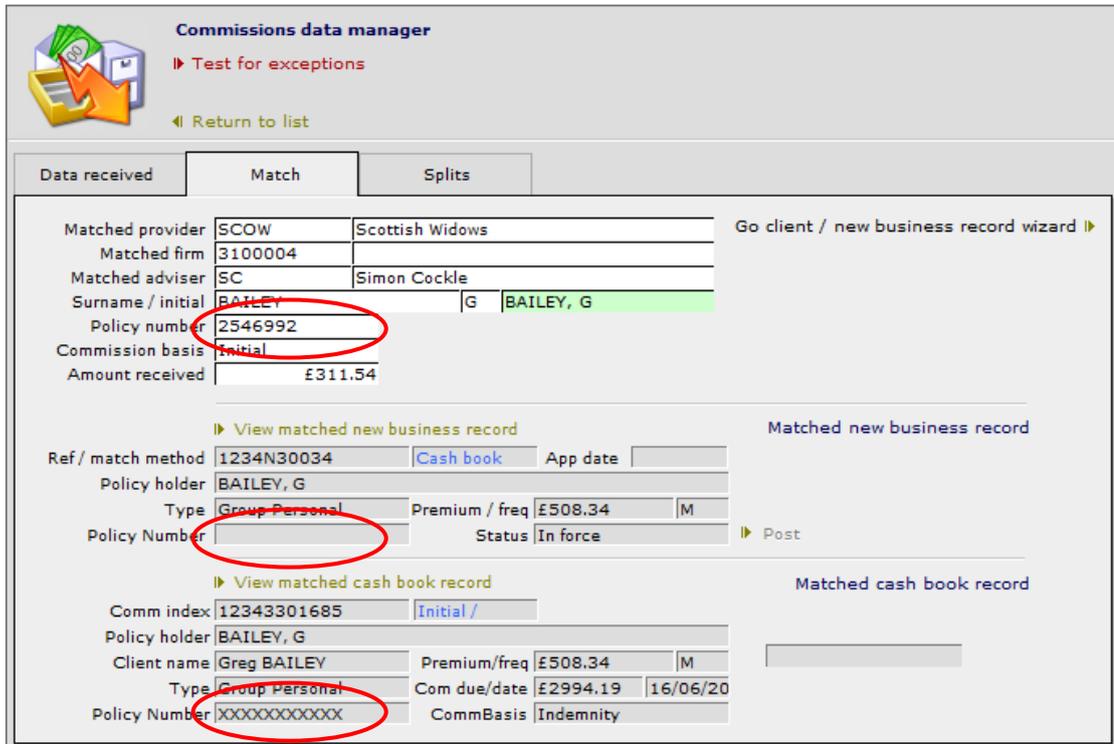
Commissions data manager

Test for exceptions  
Return to list

Data received	Match	Splits		
<p>Received data <span style="float: right;">Go client / new business record wizard</span></p> <p>Matched provider: SCOW   Scottish Widows                      Matched firm: 3100004                      Matched adviser: SC   Simon Cockle                      Surname / initial: KHAN   S   KHAN, S                      Policy number: 2547019                      Commission basis: Initial                      Amount received: £184.00 <span style="float: right;">View all matches</span></p>				
Policy holder	Policy number	Consultant	GLOBPolicy type	Due Date
KHAN, S		Kieran McGee	Group Personal Pensio	8,583.18 16/06/06 <span style="float: right;">View Select</span>

The exception is now completed.

**08 Policy number mis-match** – the policy number on CCD does not match that on the EDI receipt.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received	Match	Splits
Matched provider	SCOW	Scottish Widows
Matched firm	3100004	
Matched adviser	SC	Simon Cockle
Surname / initial	BAILEY	G BAILEY, G
Policy number	2546992	
Commission basis	Initial	
Amount received	£311.54	

Go client / new business record wizard ▶

▶ View matched new business record  
Matched new business record

Ref / match method	1234N30034	Cash book	App date	
Policy holder	BAILEY, G			
Type	Group Personal	Premium / freq	£508.34	M
Policy Number	XXXXXXXXXX	Status	In force	▶ Post

▶ View matched cash book record  
Matched cash book record

Comm index	12343301685	Initial /		
Policy holder	BAILEY, G			
Client name	Greg BAILEY	Premium/freq	£508.34	M
Type	Group Personal	Com due/date	£2994.19	16/06/20
Policy Number	XXXXXXXXXX	CommBasis	Indemnity	

One of the following options can be used to remove this item from the exceptions list:

- Locate the policy details in the Clients module of CCD and correct the policy number in the holding and the commission expectation, then come back here to test for exceptions
- Add the policy number into the EDI receipt to create a match (using the [▶ View matched new business record](#) and [▶ View matched cash book record](#) ).

The following screen shows adding the policy number into the matched cash book record:

Return

Transaction	Initial - Indemnity
Policy holder	BAILEY, G
Provider	Scottish Widows
Policy / contract number	<input type="text"/>
Personal / Occupational	Corporate
Product basis	Retirement
Product type	Group Personal Pension
Firm	
Premium / freq	£508.34 M

Total transaction		Posted	2,994.19
	Network	<input type="text"/>	
Gross receipt			2,994.19
	Introducer	<input type="text"/>	
Balance after Introducer			2,994.19
	Consultant 1	Kieran McGee	<input type="text"/>
	Consultant 2		<input type="text"/>
	Consultant 3		<input type="text"/>
	Consultant 4		<input type="text"/>
	Consultant 5		<input type="text"/>
Balance net of splits			2,994.19
Total to VAT			

- Set to manual. (this is the last option)

If the match is incorrect and the policy number mis-match is due to the incorrect policy being selected, then this match can be undone. Navigate back to the 'Data Received' tab and use the 'Ignore auto match' button:

Commissions data manager

Test for exceptions

Return to list

Data received | Match | Splits

Status **NOMATCH**

EDI provider ID	<input type="text" value="110460"/>	<a href="#">Create a new provider link</a>
Matched Provider	<input type="text" value="SCOW"/>	Scottish Widows
Agency number	<input type="text" value="A0197003"/>	<a href="#">Create a new agency</a>
Matched firm	<input type="text" value="N30001"/>	Head Office
Matched Adviser		
Surname / initial	<input type="text" value="HERBERT"/> <input type="text" value="M"/>	<input type="text" value="HERBERT, MA"/>
Company name		
Scheme name		
Product type		
EDI reference type	<input type="text" value="Policy number"/>	<input type="text" value="Scheme no"/>
Policy number	<input type="text" value="9856899"/>	<input type="text" value="Member no"/>
Premium / freq	<input type="text" value="0.00"/> <input type="text" value="M"/>	
Commission basis	<input type="text" value="Level"/>	Pay mthd <input type="text" value="Reconcile"/>
Payment reason	<input type="text" value="Standard"/>	Due <input type="text" value="21/10/2004"/>
Amount received	<input type="text" value="1.82"/>	Received <input type="text" value="21/10/2004"/>

[Set manual](#) Add to bulk renewal

Ignore Auto Match

This will remove the match that EDI has done and will put this back into the exceptions list.

**09 Reconciliation Tolerance – the amount received is outside of the tolerances set.**

**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received	Match	Splits
EDI provider ID	110460	▶ Create a new provider link
Matched Provider	SCOW	Scottish Widows
Agency number	A0202473	▶ Create a new agency
Matched firm	3100004	
Matched Adviser	SC	Simon Cockle
Surname / initial	BENKE	C BENKE, C
Company name		
Scheme name		
Product type		
EDI reference type	Member	Scheme no P000041561
Policy number	2546995	Member no 2546995
Premium / freq	0.00   M	
Commission basis	Initial	Pay mthd Reconcile
Payment reason	Standard	Due 28/09/2004
Amount received	181.73	Received 21/10/2004
▶ Set manual Add to bulk renewal <input type="checkbox"/>		

Status **TOLERANCE**

Provider Match

Agency

Pymnt method Reconcile

Surname Ok

No match Ok

Policy number None

Initial / surname Match

Initial / soundex Match

Surname only Match

Soundex only Ex

Multi transaction Ok

Policy no match Ok

**Rec. tolerance Ex !**

Large case Ok

Policy status Ok

Comm withhold Ok

Soundex match OK

Ignore Auto Match

To view the expectation go to the Match tab.

**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received	Match	Splits
Matched Provider	SCOW	Scottish Widows
Matched firm	3100004	
Matched Adviser	SC	Simon Cockle
Surname / initial	BENKE	C BENKE, C
Policy number	2546995	
Commission basis	Initial	
Amount received	181.73	
▶ View matched new business record		
Ref / match method	1234N30035	Cash book App date
Policy holder	BENKE, C	
Type	Group Personal	Premium / freq 541.66 M
Policy Number		Status In force
▶ View matched cash book record		
Comm index	12343301686	Initial /
Policy holder	BENKE, C	
Client name	Carl BENKE	Premium/freq 541.66 M
Type	Group Personal	Com due/date 3190.44 16/06/2
Policy Number		CommBasis Indemnity

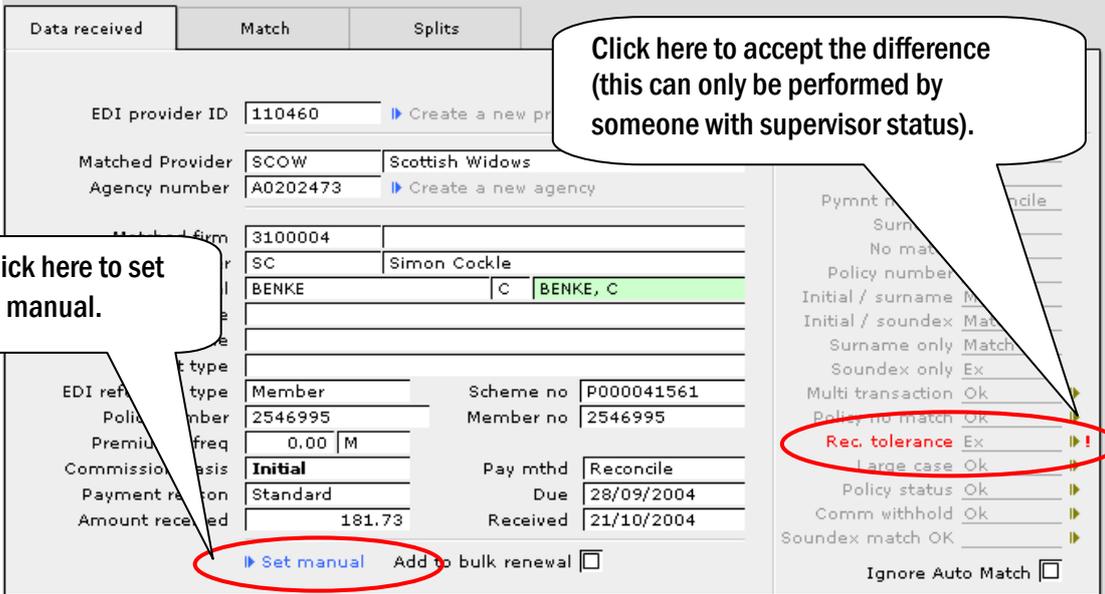
**Commission Received £181.73, commission expected £3190.44.**

Tolerances are pre set in the 'Setup' module.

Commission tolerances	
Apply tolerance settings during commission reconciliation	<input checked="" type="checkbox"/> <a href="#">More</a>
Tolerance minimum value	100
Tolerance %	5%
Tolerance maximum value	100

From the tolerances above you can see that up to 5% of the expectation or a maximum of £100.00 difference would be classed as within tolerance. The difference in the example is £3008.71 and 5% of the expectation is £9.08 so the difference in the example is outside of tolerance.

If the exception has been caused by incorrect entry of the commission expectation then it is possible to proceed with reconciling this piece of commission even though it is outside of tolerances. To do this go back to the front page for this exception and click onto the exclamation mark.



The screenshot shows a 'Match' tab in the software interface. It displays details for an EDI provider (ID: 110460, Name: SCOW Scottish Widows) and a matched provider (Agency: A0202473, Name: Simon Cockle). The 'Rec. tolerance' field is circled in red and has an exclamation mark icon next to it. A callout bubble points to this field with the text: "Click here to accept the difference (this can only be performed by someone with supervisor status)". Another callout bubble points to the 'Set manual' button at the bottom with the text: "Click here to set to manual.".

If this is an error by the provider or this is a part payment of an expectation then this item must be 'Set manual' and dealt with in the commission area of the 'Admin' module.

- 10 **Large Case Check** - the amount received is over the limit that has been set either for the company or the individual advisers.

**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider

Matched Provider: SCOW Scottish Widows  
Agency number: A0168974 ▶ Create a new agency

Matched firm: n/a Not detected  
Matched Adviser: n/a Not detected  
Surname / initial: FERGUSON F FERGUSON, F  
Company name: \_\_\_\_\_  
Scheme name: \_\_\_\_\_  
Product type: \_\_\_\_\_

EDI reference type: \_\_\_\_\_  
Policy number: 2513234 Scheme no: \_\_\_\_\_  
Member no: \_\_\_\_\_  
Premium / freq: 0.00 M  
Commission basis: Initial Pay mthd: Reconcile  
Payment reason: Standard Due: 11/10/2004  
Amount received: 1,450.91 Received: 21/10/2004

▶ Set manual Add to bulk renewal

Commission can be reconciled by clicking on the ! This can only be done by someone with supervisory status.

Reconcile  
Ok  
Ok  
None  
Match  
Match  
Match  
Ex  
Ex  
Ok  
Ok  
Ex  
Ex  
Match  
Match  
N/a  
N/a  
OK

Large case Ex !  
Policy status N/a

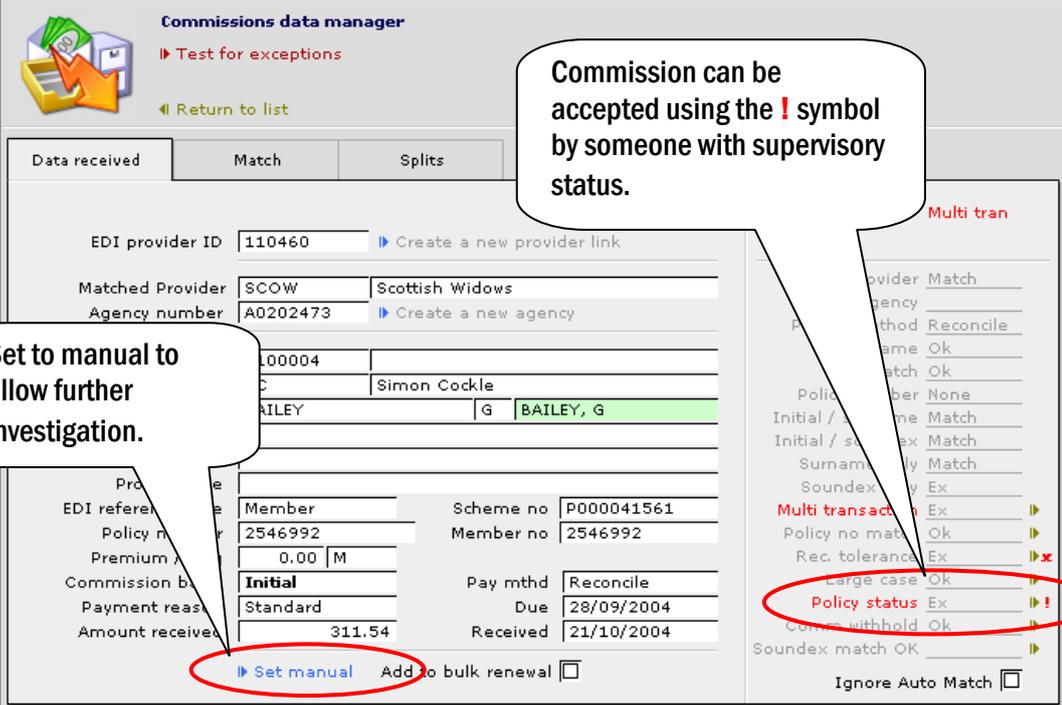
Ignore Auto Match

**Large case check is set in Setup > Technical > Commissions**

EDI commission large case check limit | 1400

In the example the large case check is set to £1400 and the commission received is £1450.91.

- 11 **Policy Status** – the policy on CCD is not set to Proposed, Underwriting, In force or Paid up.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched Provider: SCOW Scottish Widows

Agency number: A0202473 ▶ Create a new agency

00004

Simon Cockle

BAILEY G BAILEY, G

Member Scheme no: P000041561

2546992 Member no: 2546992

0.00 M

Initial Pay mthd: Reconcile

Standard Payment reason Due: 28/09/2004

311.54 Received: 21/10/2004

▶ Set manual Add to bulk renewal

Multi tran

Provider Match

Agency

Method Reconcile

Name Ok

Match Ok

Policy Member None

Initial / Scheme Match

Initial / status Ex Match

Surname Only Match

Soundex Only Ex

Multi transaction Ex ▶

Policy no match Ok ▶

Rec. tolerance Ex ▶x

Large case Ok ▶

Policy status Ex ▶!

Comm withheld Ok ▶

Soundex match OK ▶

Ignore Auto Match

Set to manual to allow further investigation.

Commission can be accepted using the ! symbol by someone with supervisory status.

12 **Commission Withheld – the policy status is at ‘Comm withhold’.**

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Data received	Match	Splits
EDI provider ID	110460	▶ Create a new provider link
Matched Provider	SCOW	Scottish Widows
Agency number	A0202473	▶ Create a new agency
Matched firm	3100004	
Matched Adviser	SC	Simon Cockle
Surname / initial	BAILEY	G BAILEY, G
Company name		
Scheme name		
Product type		
EDI reference type	Member	Scheme no P000041561
Policy number	2546992	Member no 2546992
Premium / freq	0.00 M	
Commission basis	Initial	Pay mthd Reconcile
Payment reason	Standard	Due 28/09/2004
Amount received	311.54	Received 21/10/2004

▶ Set manual Add to bulk renewal

Status **WITHHOLD**

Provider Match

Agency

Pymnt method Reconcile

Surname Ok

No match Ok

Policy number N/a

Initial / surname N/a

Initial / soundex N/a

Surname only N/a

Soundex only N/a

Multi transaction Ok ▶

Policy no match Ok ▶

Rec. tolerance Ex ▶x

Large case Ok ▶

Policy status Ex ▶x

**Comm withheld Ex ▶!**

Soundex match OK ▶

Ignore Auto Match

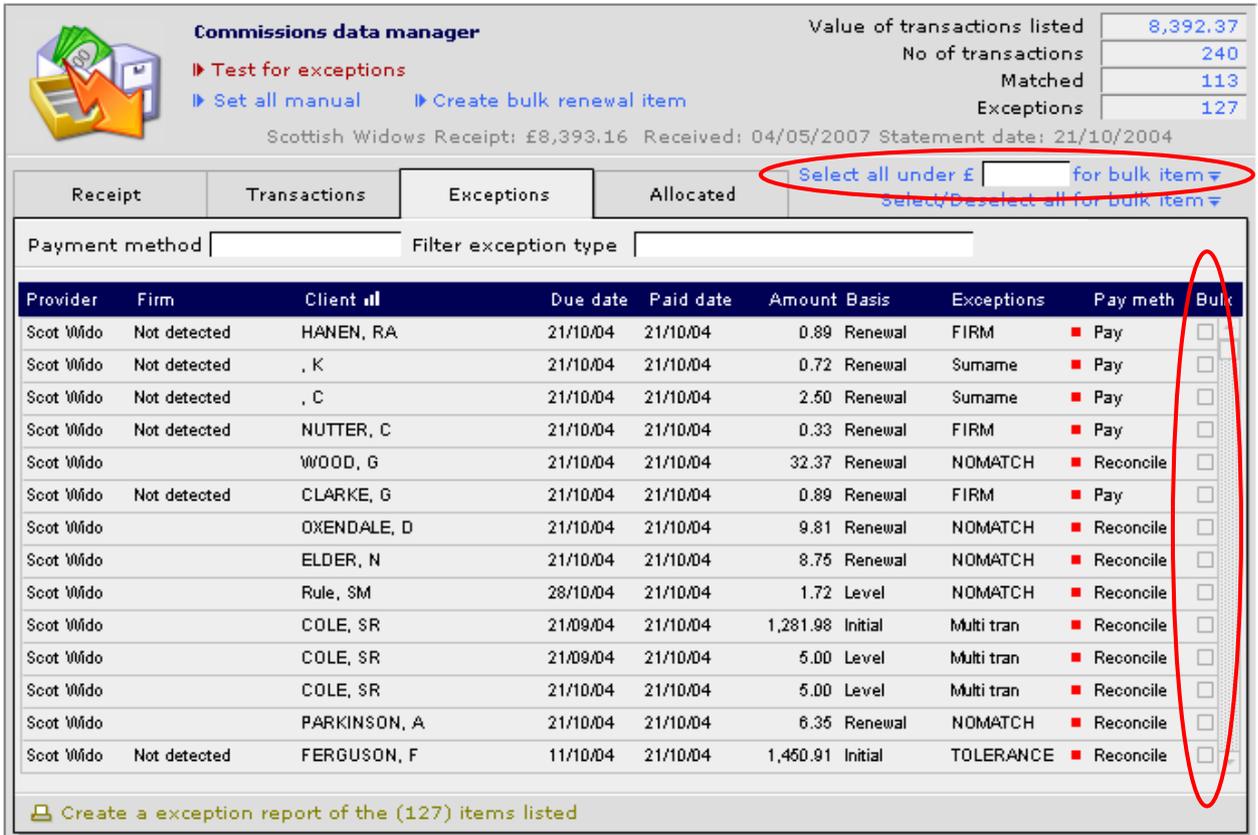
This exception will only appear where the policy status is set to 'Comm Hold'.

'Comm hold' as a policy status is be used where the compliance/administration of a case is incomplete and the company are withholding payment of commission to an adviser until all compliance/administration requirements have been met. A supervisor can override the exception by clicking into the ! but best practice is to set to manual for further investigation.

It is possible for 1 exception to appear on a number of exception lists. All the exceptions for a client can be dealt with in one go, or each exception can be dealt with individually.

## 5. CREATING BULK RECEIPTS

Within your EDI receipt it is possible to set up a bulk renewal receipt. Items can be selected on an individual basis to be added to this receipt, or a number of items can be selected based on the amount of commission which has been received in.



**Commissions data manager**

Value of transactions listed: 8,392.37  
 No of transactions: 240  
 Matched: 113  
 Exceptions: 127

▶ Test for exceptions  
 ▶ Set all manual ▶ Create bulk renewal item

Scottish Widows Receipt: £8,393.16 Received: 04/05/2007 Statement date: 21/10/2004

Receipt Transactions Exceptions Allocated

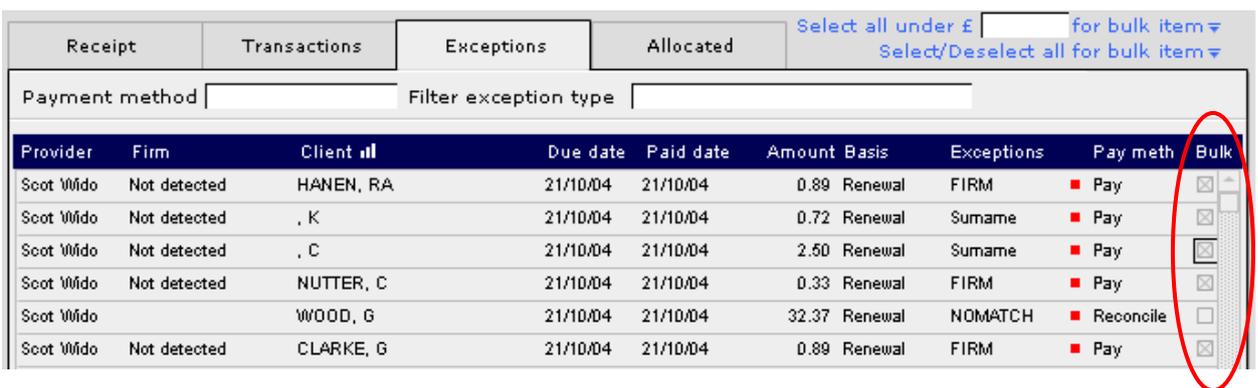
Select all under £ [ ] for bulk item ▼  
 Select/Deselect all for bulk item ▼

Payment method [ ] Filter exception type [ ]

Provider	Firm	Client	Due date	Paid date	Amount	Basis	Exceptions	Pay meth	Bulk
Scot Wido	Not detected	HANEN, RA	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input type="checkbox"/>
Scot Wido	Not detected	, K	21/10/04	21/10/04	0.72	Renewal	Sumame	Pay	<input type="checkbox"/>
Scot Wido	Not detected	, C	21/10/04	21/10/04	2.50	Renewal	Sumame	Pay	<input type="checkbox"/>
Scot Wido	Not detected	NUTTER, C	21/10/04	21/10/04	0.33	Renewal	FIRM	Pay	<input type="checkbox"/>
Scot Wido	Not detected	WOOD, G	21/10/04	21/10/04	32.37	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	CLARKE, G	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input type="checkbox"/>
Scot Wido	Not detected	OXENDALE, D	21/10/04	21/10/04	9.81	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	ELDER, N	21/10/04	21/10/04	8.75	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	Rule, SM	28/10/04	21/10/04	1.72	Level	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	COLE, SR	21/09/04	21/10/04	1,281.98	Initial	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	COLE, SR	21/09/04	21/10/04	5.00	Level	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	COLE, SR	21/10/04	21/10/04	5.00	Level	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	PARKINSON, A	21/10/04	21/10/04	6.35	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	FERGUSON, F	11/10/04	21/10/04	1,450.91	Initial	TOLERANCE	Reconcile	<input type="checkbox"/>

Create a exception report of the (127) items listed

To use the adding an individual basis, simply select the item to be added:



Receipt Transactions Exceptions Allocated

Select all under £ [ ] for bulk item ▼  
 Select/Deselect all for bulk item ▼

Payment method [ ] Filter exception type [ ]

Provider	Firm	Client	Due date	Paid date	Amount	Basis	Exceptions	Pay meth	Bulk
Scot Wido	Not detected	HANEN, RA	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	, K	21/10/04	21/10/04	0.72	Renewal	Sumame	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	, C	21/10/04	21/10/04	2.50	Renewal	Sumame	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	NUTTER, C	21/10/04	21/10/04	0.33	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	WOOD, G	21/10/04	21/10/04	32.37	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	CLARKE, G	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>

The other way is to add items below a specific amount:



**Commissions data manager**

Value of transactions listed: 8,392.37  
 No of transactions: 240  
 Matched: 113  
 Exceptions: 127

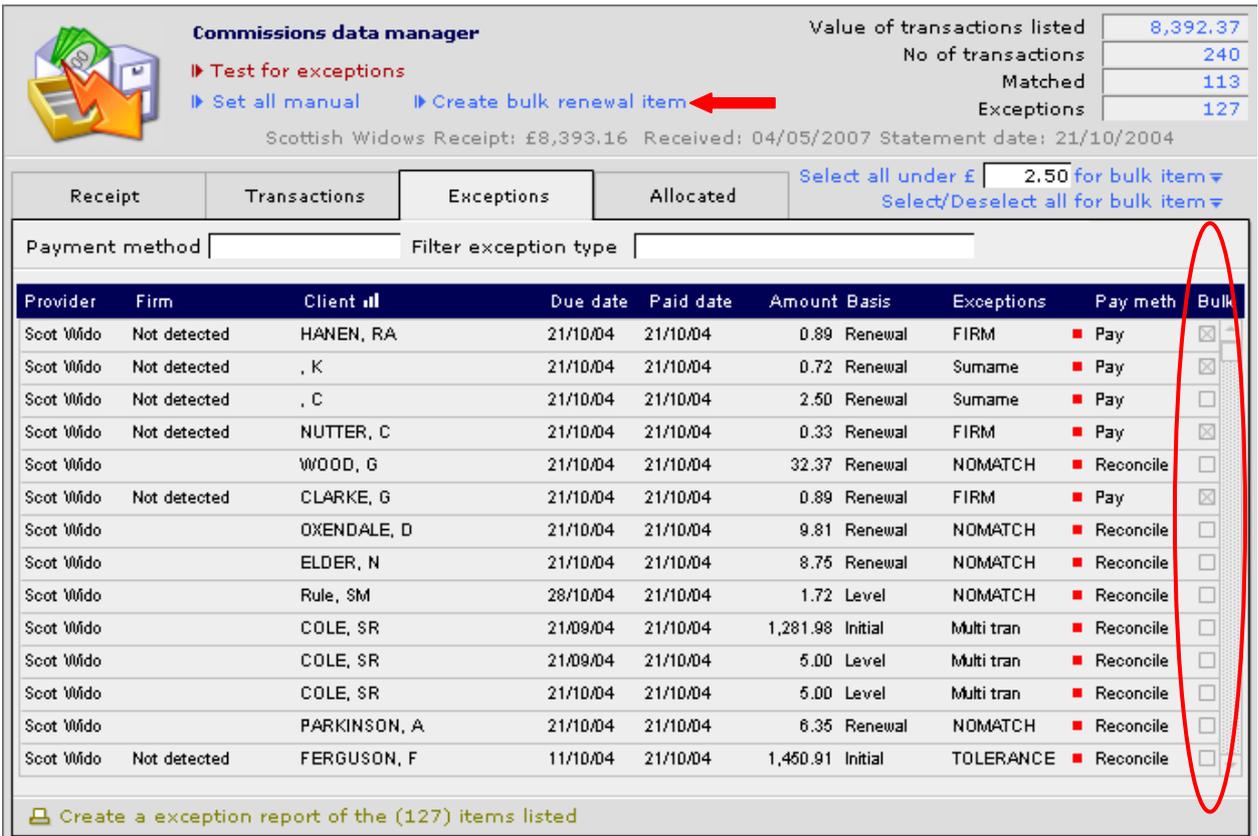
Scottish Widows Receipt: £8,393.16 Received: 04/05/2007 Statement date: 21/10/2004

Navigation: Receipt | Transactions | Exceptions | Allocated

Buttons: Test for exceptions, Set all manual, Create bulk renewal item

Dropdown: Select all under £ 2.50 for bulk item

Now that the amount is added, click on the blue text **Select all under £ for bulk item**. All the items that are below this amount will now be checked:



**Commissions data manager**

Value of transactions listed: 8,392.37  
 No of transactions: 240  
 Matched: 113  
 Exceptions: 127

Scottish Widows Receipt: £8,393.16 Received: 04/05/2007 Statement date: 21/10/2004

Navigation: Receipt | Transactions | Exceptions | Allocated

Buttons: Test for exceptions, Set all manual, Create bulk renewal item

Dropdown: Select all under £ 2.50 for bulk item

Provider	Firm	Client	Due date	Paid date	Amount	Basis	Exceptions	Pay meth	Bulk
Scot Wido	Not detected	HANEN, RA	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	, K	21/10/04	21/10/04	0.72	Renewal	Sumame	Pay	<input checked="" type="checkbox"/>
Scot Wido	Not detected	, C	21/10/04	21/10/04	2.50	Renewal	Sumame	Pay	<input type="checkbox"/>
Scot Wido	Not detected	NUTTER, C	21/10/04	21/10/04	0.33	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>
Scot Wido		WOOD, G	21/10/04	21/10/04	32.37	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	CLARKE, G	21/10/04	21/10/04	0.89	Renewal	FIRM	Pay	<input checked="" type="checkbox"/>
Scot Wido		OXENDALE, D	21/10/04	21/10/04	9.81	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido		ELDER, N	21/10/04	21/10/04	8.75	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido		Rule, SM	28/10/04	21/10/04	1.72	Level	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido		COLE, SR	21/09/04	21/10/04	1,281.98	Initial	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido		COLE, SR	21/09/04	21/10/04	5.00	Level	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido		COLE, SR	21/10/04	21/10/04	5.00	Level	Multi tran	Reconcile	<input type="checkbox"/>
Scot Wido		PARKINSON, A	21/10/04	21/10/04	6.35	Renewal	NOMATCH	Reconcile	<input type="checkbox"/>
Scot Wido	Not detected	FERGUSON, F	11/10/04	21/10/04	1,450.91	Initial	TOLERANCE	Reconcile	<input type="checkbox"/>

Create a exception report of the (127) items listed

Now use the **Create bulk renewal item**.

All of the amounts selected will now be placed into a bulk receipt:



**Add to bulk renewal**

This will create a bulk renewal commission item for £5.54 from the 9 Items selected. Do you want to continue?

Buttons: Cancel, OK

If correct, click **OK**. Within the **Allocated** tab there will be a bulk receipt:

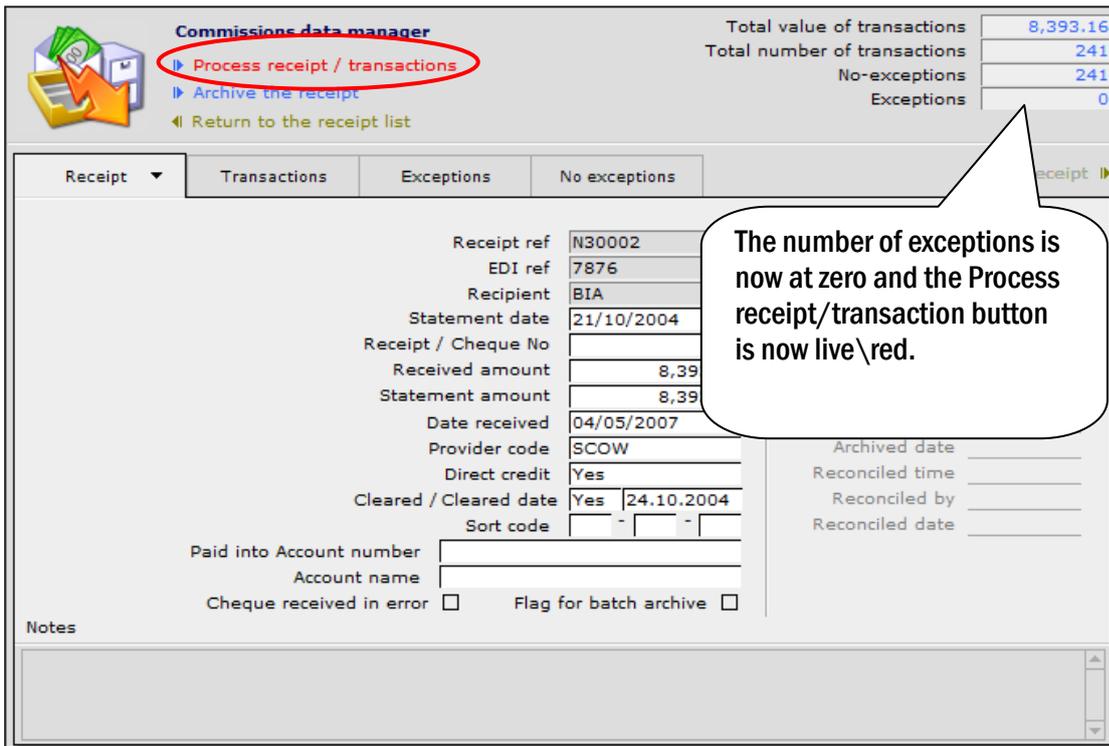
Receipt		Transactions		Exceptions		Allocated			
Provide: New Business and Commission Match method								All	
Provider	Firm	Client	Due date	Paid date	Amount	Basis	Match Method	Exceptions	Pay method
Scot Wido	Not detected	BARTON, R	21/10/04	21/10/04	1,125.08	SP	NB-CB COM-Pol	None	Reconcile
Scot Wido		TAYLOR, AD	21/10/04	21/10/04	0.96	Renewal		None	Pay
Scot Wido	Not detected	GRAHAM, M	30/09/04	21/10/04	-1,120.00	Clawback		None	Manual
Scot Wido	Not detected	GARDNER, K	20/10/04	21/10/04	630.00	SP	NB-CB COM-Pol	None	Reconcile
Scot Wido		MAHMOOD, A	21/10/04	21/10/04	0.20	Renewal		None	Pay
Scot Wido		LOGAN, SP	20/09/04	21/10/04	-2.16	Clawback		None	Manual
Scot Wido		LOGAN, SP	20/10/04	21/10/04	-2.16	Clawback		None	Manual
Scot Wido		MCDONNELL, DW	21/10/04	21/10/04	0.69	Renewal		None	Pay
Scot Wido		GRAINGER, TN	21/10/04	21/10/04	0.15	Renewal		None	Pay
Scot Wido		MEGARRY, MW	21/10/04	21/10/04	0.18	Renewal		None	Pay
Scot Wido		PENNICK, MC	21/10/04	21/10/04	0.75	Renewal		None	Pay
Scot Wido		HARRISON, RK	21/10/04	21/10/04	0.55	Renewal		None	Pay
Scot Wido		RYDER, SJ	21/10/04	21/10/04	3.75	Renewal		None	Pay
Scot Wido	Not detected	Various,	21/10/04	21/10/04	5.54	Renewal		None	Reconcile

 [Create manual reconciliation report](#)

## 5. COMPLETING YOUR EDI COMMISSION STATEMENT

When your receipt is in EDI there will be a box detailing the number of exceptions there are. As you work through the exceptions and either resolve the issue or mark the commission item for manual reconciliation the number of exceptions outstanding will reduce. Once the exceptions outstanding has reached zero you can complete your EDI statement.

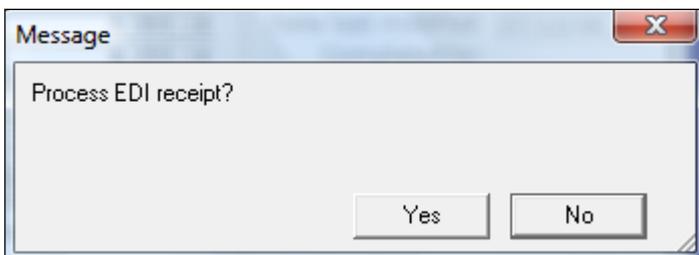
Once this has been completed, navigate back to the Receipt tab and you will see the following:



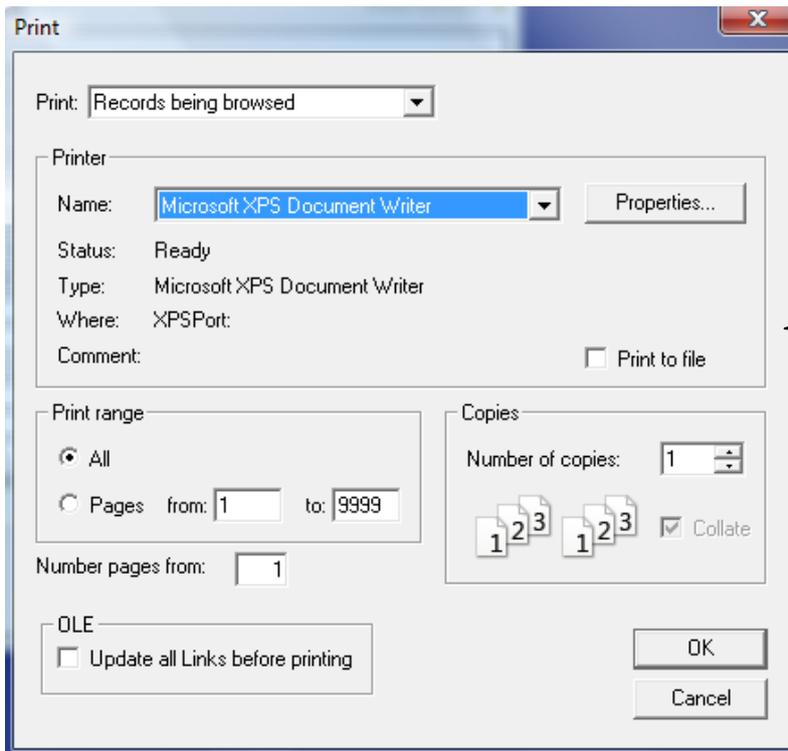
Total value of transactions	8,393.16
Total number of transactions	241
No-exceptions	241
Exceptions	0

The number of exceptions is now at zero and the Process receipt/transaction button is now live \red.

Once you click onto this Process receipt/transactions button, you will see this box:



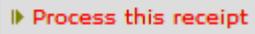
Once you've clicked yes, the following print box will appear:



A report of all manual reconciliations will now be produced.

**If you do not print here, you are not given a second chance to do so.**

All EDI receipts are now moved to the receipt list in the commission area in the Admin module of CCD. To reconcile the receipt and move it to your settlements, process the receipt, all exceptions that have been marked as manual will appear in the reconcile tab of the receipt, while items that have been automatically reconciled in the EDI system will appear in the allocated tab. Complete the manual reconcile items and process the receipt in the normal way.

EDI receipts that have no exceptions will appear in the receipt list in the commissions section of the administration module, enter the receipt and click into the  to move to your settlements.

## 6. FREQUENTLY ASKED QUESTIONS

You may have some questions to do with dealing within your electronic commission statements. We would recommend using your manual to help answer your questions. If you are unable to find the answer in here, please call out Support Desk on 01279 756061, they will be happy to help.

Here we have confirmed some of the most frequently asked questions and the answers to them:

### Question 1

We are getting electronic receipts from some providers, but not all of them. Why is this happening?

#### Answer

Some providers have a level of commission that must be met before they will start to send electronic statements. If you are not receiving your statements electronically, you will need to contact them to find out why.

### Question 2

Now that we have elected to have electronic commission statements, will we still receive paper copies?

#### Answer

It depends on the provider. Most providers will continue to send paper copies even once you have been set up for EDI. For those that have stopped, it may be worth contacting them to see if they can still send a paper copy.

### Question 3

I appear to have been sent duplicate electronic statements and have dealt with one. How do I delete the duplicate?

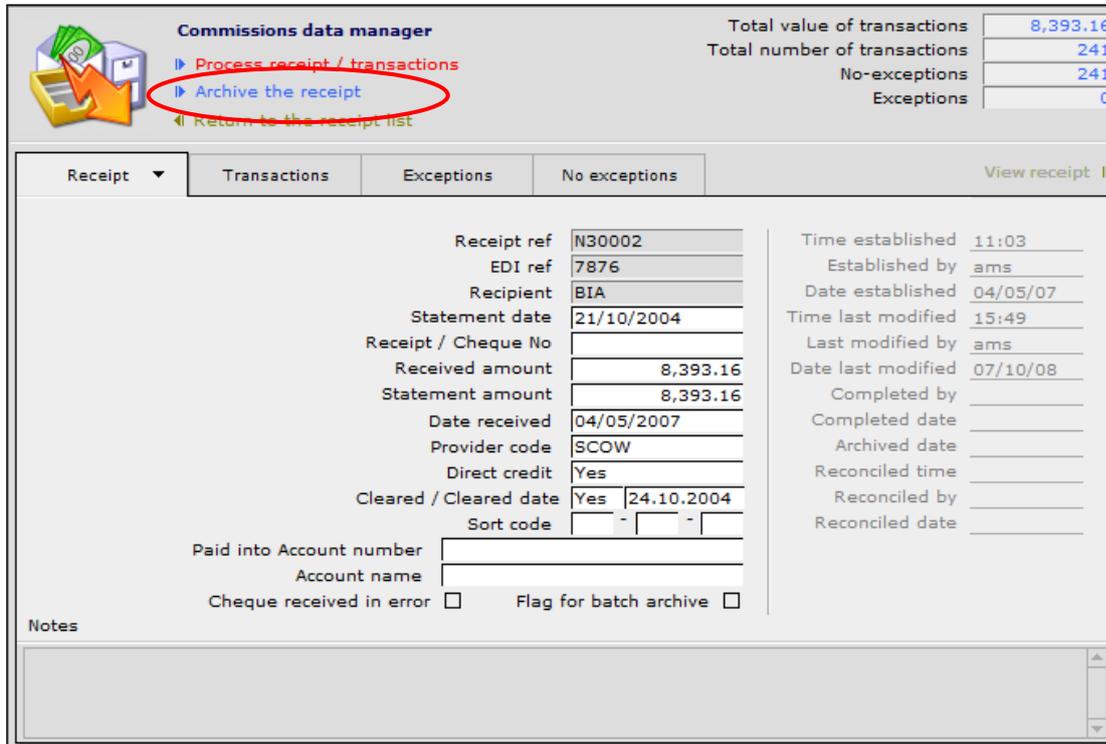
#### Answer

The answer to this question depends on what you have done to the duplicate before realising that it was a duplicate.

If you have realised that it was a duplicate whilst it is still in the commission wallet, then you can delete this by clicking on the 'dustbin' at the end of the line of the receipt.

If you have realised once you have moved the receipt from the commission wallet to CCD, then you will need to use the archive button.

This looks like this  and is found at the top of the page. This will remove the items from the receipt and then delete it.



**Commissions data manager**

Total value of transactions: 8,393.16  
 Total number of transactions: 241  
 No-exceptions: 241  
 Exceptions: 0

Process receipt / transactions  
**Archive the receipt**  
 Return to the receipt list

Receipt Transactions Exceptions No exceptions View receipt

Receipt ref	N30002	Time established	11:03
EDI ref	7876	Established by	ams
Recipient	BIA	Date established	04/05/07
Statement date	21/10/2004	Time last modified	15:49
Receipt / Cheque No		Last modified by	ams
Received amount	8,393.16	Date last modified	07/10/08
Statement amount	8,393.16	Completed by	
Date received	04/05/2007	Completed date	
Provider code	SCOW	Archived date	
Direct credit	Yes	Reconciled time	
Cleared / Cleared date	Yes 24.10.2004	Reconciled by	
Sort code	- - -	Reconciled date	

Paid into Account number  
 Account name  
 Cheque received in error  Flag for batch archive

Notes

**Question 4**

I keep getting receipts from certain providers and processing them for the wallet, but when they come into CCD, the Provider Name has disappeared. Why is this?

**Answer**

This will happen for a few of the providers (Zurich, Eagle Star, Sterling, AXA). This is because Zurich send statements on behalf of Sterling and Eagle Star but the FSA number for them all is the same. The same with AXA, AXA Sun Life and AXA Equity & Law, they all use the same FSA number, therefore when the receipts come into CCD and are auto checked against the FSA number there are 3 providers with the same number. Hence they are added into CCD without the Provider field completed.