

# Client Care Desktop v4.1



Features and  
Modifications

**Version 1.2**

**21<sup>st</sup> April 2010**

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# 1 Introduction

This document briefly describes at a high level the new features and modifications to existing functionality within Client Care Desktop (CCD) v4.1.

If you are upgrading from a previous version of CCD then all of this document will be of interest to you. If you are a new user of the software, you may only be interested in the new features section of this document.

For any specific training requirements, please contact the Training department on 01279 756083 or send an email to [financialsoftwaretraining@capita.co.uk](mailto:financialsoftwaretraining@capita.co.uk).

## 2 New features

This section details the significant new features that are included in CCD v4.1.

### 2.1 Contract Enquiry restructure

Significant enhancements have been made to the Contract Enquiry process within CCD v4.1 to ensure that Provider valuations update, rather than replace, details held in CCD against a client contract. Where Providers supply industry recognised Fund codes (such as SEDOL or MEXID) this occurs automatically, otherwise the user can perform a one-time mapping of the Provider fund to a Financial Express fund.

### 2.2 Additional Fact find flexibility

The Fact find has been enhanced to allow individual sections of the Fact find to be selected for viewing, printing or PDF output. This can be applied to both the Full and Short Fact finds and can either be set as a company default, or on an individual client basis.

### 2.3 New Group Scheme wizard

The new group transfer wizard provides the facility to import data that will allow you to record single premium transfers into an existing scheme. Additional group scheme enhancements will enable New Business and Compliance checklists to be administered more efficiently.

### 2.4 Admin and Marketing enhancements

A range of improvements including the capability to export marketing mailshots to a Microsoft Word template, a prospect list allowing easier initial client contact and new configurable options around commission reconciliation.

### 2.5 Commission Suppression

This new feature allows commission to be 'held back' on a holding which is in the process of being file checked within the Compliance Module. It allows you to issue a statement to the adviser excluding the suppressed commission amount.

### 2.6 Integration with Openwork Business Platform

For Openwork members, a new integration is available for the Openwork Business Platform (OBP) application. This allows the population of data in OBP with data from CCD, as well as the capability for CCD to receive notifications of New Business placed on OBP.

## 3 Detail of the Changes in CCD v4.1

### 3.1 Clients

Path	Detail	Development code
Clients > Account > Fees>Ancillary (Create new invoice for an ancillary service)	Invoices can now be issued to someone other than the client.	A0004378
Client > Client account > Fees > Invoice> Print options	Invoices now display the regulatory text from the associated appointed rep or directly authorised branch record.	A0006163
Clients > Data Upload > Openwork	Click on the 'Output to Openwork' button to export the client data into an xml file. From the Openwork OBP system, you can navigate to the xml file and import it into the OBP system.	A0006235
Client > Reports > Protection	The schedule of the client's current protection contracts report now includes totals for life cover, critical illness, family income benefit and income protection.	A0006687

#### 3.1.1 Enquiries

Path	Detail	Development code
Clients > Holdings > Enquiries	The Service Manager field has been added to the enquiry screen. A report can be produced from the Admin > Reports > New business area to show all enquiries by Service Manager within a specified date range.	A0006152
Clients > Holdings > Enquiries > Enquiry	The enquiry overview screen has been amended to improve readability and to reflect the existence of any related holding(s).	A0006742

#### 3.1.2 Holdings

Path	Detail	Development code
Clients > Holdings	If the provider name is amended on a holding, all unpaid commission records will be automatically updated to reflect the change.	A0006440
Clients -> Holdings -> Overview	The file fact sheet displays additional contribution details for SIPP and Wrap products.	A0006394
Clients > Holdings > Overview	When un-archiving a unit linked policy, an option will be given to select which assets also need to be un-archived.	A0006001

Path	Detail	Development code
Clients > Holdings > Contributions	A flag has been added to Retirement holdings to state whether the contribution is paid Gross or Net of BRT. This information will feed through to the pension contributions within the fact find.	A0006132
Clients > Holdings (SIPP) > Contributions > Trustee account	The Schedule of contributions to date report now displays whether the contributions were protected or non-protected.	A0005930
Clients > Holdings (SIPP) > Contributions > Trustee account	When money is re-allocated from a bank account back into the Trustee account, it is not included in the Trustee account total contributions.	A0005963
Clients > Holdings (SIPP/Wrap) > Contributions	Ability to re-assign contributions incorrectly logged to Directly Held Assets to Trustee Bank Account.	A0006336
Clients > Holdings > Contributions	The effective date displayed on the overview screen now displays the date of the oldest In force or completed contribution date.	A0006418
Clients > Holdings > Details	The Electronic valuation available field will only be set to 'Yes' if the Valuation data field is set to 'Summary' and the Provider and Product are available via Contract Enquiry.	A0006211
Clients > Holdings > Details > Process electronic valuation within Updates Section	A link has been added to allow you to navigate direct to the updates area to process electronic valuations. This will only allow access to users with the appropriate security access.	A0006212
Clients > Holdings > Details	Contract enquiry valuations are now available for unit linked endowment plans, where the provider supports these products.	A0006270
Clients > Holdings > Details	The Commission Administrator field will now be available on all contracts. In addition, all Mortgage contracts will display the Mortgage Packager field and all Investment contracts will display Discretionary Fund Manager along with Fund Supermarket / Wrap. Commission can be reconciled against any of these fields.	A0002669
Clients > Holdings > Details > Assets	The asset type will no longer be reset to blank when using contract enquiry, as assets are now matched rather than overwritten.	A0000489
Clients > Holdings (SIPP) > Tasks	New tasks can be recorded against a SIPP before a Trustee Bank Account has been set up.	A0006126
Clients > Holdings > Administration > Cessation	When a holding is set to 'NTU', an option is given to remove all unpaid commission expectations. Any commission already paid will not be affected. The NTU date will also be recorded in Cessation tab of Administration.	A0005856

Path	Detail	Development code
Clients > Holdings > Commission	If you record a New Business Credit amount for Non Indemnity commission entries, the amount will now show on the New business reports.	A0001503
Clients > Holdings > Commission	The commission notes tab is highlighted in red when the FSA fields are incomplete.	A0005780
Clients > Holdings > Commission > Renewal	A 'Renewal last posted' field has been included. It is a non-modifiable field.	A0006528
Clients > Holdings > Submission	Modification made to verification of client ID so that 'n/a' can be shown on the File Monitoring Sheet.	A0006145
Clients > Holdings > Overview	When printing a holding factsheet, CCD will now prompt the user if they want to include the contribution history.	A0006634
Client > Holdings > Product>Product category	A Stocks and Shares Transfer ISA product is now available.	A0006697
Clients > Holdings > SIPP > Commission	Commission items that were recorded on a SIPP prior to CCD v4.0.1, will now be visible when upgrading to version 4.1.	A0006720
Client > Holdings > Holding > Details	The Mini cash transfer ISA product now goes to the correct detail screen.	A0006728
Clients > Holdings > Holding > Tasks (and others)	The 'Include Honours' flag is now available on all correspondence generation screens.	A0006734

### 3.1.3 Corporate Schemes

Path	Detail	Development code
Client > Holdings (Final Salary Scheme) > Details	On a Final Salary scheme, the spouse pension calculation has been amended to a percentage of the main pension as opposed to a percentage of the salary.	A0006002
Clients > Holdings (Final Salary Scheme) > Details	Radio buttons added to specify whether pensionable service starts from date employment commenced or date of joining scheme.	A0005971
Clients > Holdings > Schemes > Overview	When the provider is changed on a Group SIPP the individual member records are also updated.	A0005783
Clients > Holdings > Schemes > Overview > Membership > Create a batch increment > Process increments for the scheme's current membership > Salary Increase	Column headings renamed within the batch increment screens and a new button enabling the batch increment to be cancelled.	A0005467

Path	Detail	Development code
Clients > Holdings > Schemes > Overview > Tasks	Clicking into a task on a corporate scheme now takes you to the correct found set of related tasks.	A0006733

### 3.1.4 Calculators

Path	Detail	Development code
Clients > Calculators > Retirement	State Retirement Date will take into account when an individual is due to retire and record the appropriate date on Retirement Calculators.	A0006070
Clients > Calculators > Retirement > Set-up > Provisions > Defined Benefit > Complete the list from the client's holdings records	Within the Retirement calculator the Defined Salary schemes can now be populated from the Holding records.	A0005984

## 3.2 Fact find

Path	Detail	Development code
Fact find > Print options	The ability to amend the standard fact find templates for each individual client has also been included under the Fact find > Print options.	A0006167
Fact find > Planning > Objectives	An additional tab has been added to allow you to record the following information on the Summary and declaration printable:  What do you hope to achieve from this meeting? Summary of agreed objectives	A0006569
Factfind > Personal > Affordability > Income>Tax, National Insurance and other>Tax > Setup	The Insert earning details from Fact find button now inserts the client and partner's dividend income correctly.	A0006435
Client > Fact Find > Analysis > Reports > Holistic > Inheritance	The IHT shortfall/Net asset value graphs now display the correct percentages.	A0006437
Fact find > Analysis > Research > Funds > Portavista	The Portavista integration tab has been removed as this platform is no longer available.	A0006762



Path	Detail	Development code
Fact find > Analysis > Research > Funds > Platform Comparator	A feature to integrate with a new Platform Comparator tool has been introduced. This is due to be made available by Capita in the near future.	A0006762
Fact find > Analysis > Reports > Taxation	The breadcrumb trail and tab names have been renamed for consistency from "Liability" and "Advice" to "Taxation".	A0006778
Fact find > Personal > Affordability > Income	An issue with the tax calculator area of the Fact find which did not include partner's earned income has been corrected.	A0006783

### 3.3 Administration

Path	Detail	Development code
Admin > Diary	If a work task is created without a due date or number of days due, it will now show as outstanding in the diary.	A0006011
Admin > New business & Admin > Compliance	A new button has been added giving the ability to complete the Admin and Compliance checklists for a group scheme, once all relevant fields have been completed.	A0006027
Admin > New business > Product > Schemes	Added ability to filter the admin and compliance checklists by Scheme name.	A0006026
Admin > Compliance > By scheme	Ability to process admin and compliance checklists en masse where the mandatory fields have been completed.	A0006026
Admin > Reviews > Renewals > Schemes	Added Next review date to the Renewal reports and associated Excel Exports.	A0006025
Admin > Reviews	When printing a review list, linked clients will be recorded next to each other.	A0006526

#### 3.3.1 Reports

Path	Detail	Development code
Admin > Reports > New Business > Schedules/Analysis	The following additional reports have been created; <ul style="list-style-type: none"> <li>• New business reports – reports showing adviser splits needed to match the number of advisers in the system. (up to 5)</li> <li>• New business reports – by source</li> <li>• New business reports – by service manager</li> <li>• New business reports – analysis written by service manager</li> </ul>	A0006461
Admin > Reports > Compliance > Analysis	Additional report to show Analysis of funds by Provider.	A0006461
Admin > Reports > Commissions > Adviser > Due	Additional report showing all commissions and fees submitted in date range.	A0006171

Path	Detail	Development code
Admin > Reports > Commissions > Adviser > Paid	This report can now be produced for all Advisers without the need to select each Adviser individually.	A0006544
Admin > Reports > Commissions > Fees	Schedule of regular fees / retainers commenced within a date range now runs correctly within date range selected.	A0006109
Admin > Reports > Reviews	The following reports have been added; List all clients due for their next valuation within the date range List all plans due for valuation within the date range	A0006622
Admin > Reports > Compliance	Schedule of replacement policy business report allows you to specify report for a reason for replacement and whether a sale or purchase.	A0006384
Admin > Reports > Compliance & Compliance > Reports > Management > New Business	The 'New business book entries for cases written within date range' report has been updated.	A0006427
Admin > Reports > Compliance > Analysis > 'Analysis of funds under management by Provider'	The analysis of funds under management by provider report now correctly groups provider funds together.	A0006766

### 3.3.2 Commission

Path	Detail	Development code
Admin > Commission > Amounts due > Suppressed	Ability to suppress commission payments on new business cases flagged for file review. The commission is released upon successful completion of the file review check. Suppressed commission (Admin > Reports > commissions > Statements > Commission statements adviser 1).	A0006649
Admin > Commission > Receipts > Reconcile	In setup (Setup > Technical > Commissions) users can select which date they wish to reconcile commissions at; they can use the current system setting of the statement date, or the current date. This will apply to the commission suppression release logic (A0006649).	A0006650
Clients > Overview	In setup (Setup > Technical > Software) users can select which client reference number to display on the client front screen, the system generated reference or the user defined reference.	A0006651
Admin > Commissions > Postings	The commission posting routine now correctly sets the transaction type for Fund based renewals.	A0006601

Path	Detail	Development code
Admin > Commission > Receipts > Reconcile	In setup (Setup > Technical > Commissions) users can select which date they wish to reconcile commissions at; they can use the current system setting of the statement date, or the current date. This will apply to the commission suppression release logic (A0006649).	A0006650
Admin > Commissions > Postings	The commission posting routines will now only post commission for In force or complete holdings.	A0006659
Admin > Commission > Receipts > Reconcile	In previous versions of CCD, when reconciling a commission payment, a check was made that the underlying policy record had certain mandatory fields completed. This included a check that the policy was in force, and a commencement date had been set. Since the commencement date is not always known at the point of reconciliation or by the commission administrator, the user can now elect to set the policy to "complete" without specifying a commencement date.	A0006652

### 3.3.3 Marketing

Path	Detail	Development code
Admin > Marketing	Link added to view your prospect list. This will display a list of clients with a status of prospect and allows you to link straight to their work tasks.	A0006383
Admin > Marketing > Diary	Meetings can now be viewed in the marketing diary.	A0006616
Admin > Marketing	Add the capability to export marketing campaign letters to Microsoft Word.	A0006683
Admin > Marketing > Diary all	The date field within the Task schedule has been amended to display the meeting date where relevant.	A0006707
Clients > Marketing > Mailshots > Mailshot	The override date field for mail shots now has a dropdown calendar to assist data entry.	A0006761

### 3.4 Compliance

Path	Detail	Development code
Compliance > select an adviser > Adviser T&C > Development > select a development > Results	The CPD information recorded for the adviser is displayed on the development report. Full details can be printed as an addendum to the report.	A0005738
Admin > Compliance > Checklist Item	The button to complete the checklist will now take into account the illustration sent date.	A0006706

#### 3.4.1 Reports

Path	Detail	Development code
Compliance > Reports > Management > New Business	The 'New business book entries for cases written within date range' report has been updated.	A0006427
Compliance > Reports > Management > New Business Reports	Schedule of replacement policy business report allows you to specify report for a reason for replacement and whether a sale or purchase.	A0006384
Compliance > Reports > Management > Supervision	'Analysis of file reviews conducted within date range by supervisor report will now show the following information by Adviser: Cases Reviewed, number pass or conditional or fail. There will also be a final figure which will take into account the total number of cases reviewed for all advisers.	A0006513
Compliance > Reports > Management > Development	Notes can be added to the report 'Create a 12 month performance review'.	A0006567
Compliance > Reports > Regulatory	Split of business by product class report updated to ensure all relevant information from all Business Classes is included.	A0006261
Compliance > Reports > Regulatory	Regulated Business Revenue report now includes any commission that has been marked as coming from 'Other Regulated Activity'.	A0005945
Compliance > Reports > Regulatory	Regulated Business Revenues report has been amended so that it shows the net and gross figures required.	A0006472

### 3.5 Setup

Path	Detail	Development code
Setup > User info > Financial	Any changes in the VAT rate can now be pushed through to locations and fees from the setup area without the need to adjust individual entries.	A0006143

Path	Detail	Development code
Setup>Standard text>Personal Financial Review text	If the standard text is updated, the new text will be displayed on any Personal Financial Review generated after the amendment.	A0005946
Setup > Providers > Work	A new report is available which shows a list of outstanding work and tasks by Provider.	A0005898
Setup > Technical > Commission	Flag to set commission suppression (released by compliance office in file check).	A0006649
Setup > Technical > Software	You can set up a standard template for the full and short fact find within the setup area, to select the sections of the fact find you wish to use. Every fact find you produce will contain the sections specified within the setup area, with the ability to amend at client level.	A0006167
Setup > Tables > Personal tax	The tax tables have been updated.	A0006629
Setup > Advanced > Maintenance	The configurable option under Setup>Advanced>Maintenance to run the Updater on CCD startup has been corrected to ensure that the Updater will now run on startup by default.	A0006717
Setup > Prices > Details > Client Portfolios	The list of client holdings exposed to a fund now omits any that are archived.	A0006725

### 3.6 Updates

Path	Detail	Development code
Updates > Valuations	Provider valuations now enhance, rather than replace, details held in CCD against a client contract. Where Providers supply industry recognised Fund codes (such as SEDOL or MEXID) then this occurs automatically. Otherwise the user has the ability to perform a one-time mapping of the Provider fund to a Financial Express fund.	A0006197
Updates > Valuations	An option has been added to delete Contract Enquiry valuations individually and by status.	A0003051
Updates > Valuations	The Transact policy matching dropdown now works correctly.	A0003090
Updates > Valuations	Contract Enquiry updates now allow you to flag all valid CE records for an update, including the ones without a next valuation date option.	A0005912
Updates > Valuations > Individual > Due Today	You now have the ability to update all holdings where contract enquiry is available in addition to those with a scheduled valuation date.	A0006056

Path	Detail	Development code
Updates>Valuations>Bulk - Download and process the Cofunds data file	Cofunds bulk download will no longer overwrite manual data input by the client.	A0005885
Updates > Commissions	When viewing transactions, exceptions and no-exceptions within an EDI receipt, client names can be put into alphabetical order.	A0006441
Updates > Commissions	Reasons for the exception have been extended to provide more detail.	A0006452
Updates > Schemes	New wizard 'Import member transfer in' allows you to create premium increment entries against existing pension holdings. The wizard will automatically match to existing holdings in the scheme and create incremental premium records and associated commission if applicable.	A0006166
Updates > Received	New Business messages submitted from the Openwork OBP system will be received into this section. Click on the message to push the message through to the Openwork tab.  From the Openwork Tab, you can select the message to start the import process.	A0006235
Updates > Website > Uploads	Trustee bank account values can now be uploaded to the Client Care Hub.	A0006633

### 3.7 Tools

Path	Detail	Development code
Contract Enquiry Utility > Settings	You can set the contract enquiry application to default to your preferred setting, display valuation on screen, import into back office or both.	A0003405
Contract Enquiry Utility > Settings > Provider settings	When signing up for contract enquiry, you can now view all of the providers on one screen and see which ones you are signed up to.	A0006574

## 4 Known Issues

### Detail

**At the time this document was issued, there are no Known Issues introduced with CCD v4.1.**