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### **Agreed error checks**

#### **JCP 0057 – NINo allocated agreed errors – resulting in a fail**

1. Evidence of identity missing or incomplete, such as, biometric page missing.
2. Unexplained inconsistency of personal information provided
3. Right to work:
  - incomplete documents
  - inconsistent documents
  - time limited
  - specific prohibition
4. Source documentation/Application:
  - not signed by applicant/countersigner
  - amendments not initialled, dated or explained
  - not signed by benefits supervisor, where appropriate
  - unused boxes at 1-6 not crossed through on NINo application form
5. Override:
  - no explanation attached for same applicant name and date of birth such as: J. Smith (a) / J. Smith (b)
  - no explanation attached – failure/possible duplication
6. Existing national insurance number found CIS/NIRS check
7. Incorrect input to CIS, for example name, gender, date of birth, NINo level
8. Allocation based on name only.

### **JCP 003 – Change to NINo verification level – Agreed errors – Resulting in a fail**

1. Evidence of identity missing or incomplete, such as biometric page missing
2. Insufficient documentation or information available to support downgrade
3. Unexplained inconsistency of personal information provided – authorisation on LMS/CIS report
4. Incorrect input to CIS, for example name, gender, date of birth
5. The applicant has more than one NINo (duplicate CIS account).

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### **Allocator role**

When applications have been scanned and indexed they are sent to the NINO Centre queue. This queue, known as Big Box, is administered by the allocator. The allocator is responsible for sending out the requested amount of applications to the team leaders and where appropriate, sending certain types of applications to specialist teams such as self-employed or benefit applications.

Cases can be sorted on CAMLite either by prefix or sub type.

<b>Step</b>	<b>Action</b>
1	Click on the start menu and select All Programs
2	Select CAMLite and then CAMLite Processing
3	The allocator queue, called GLAN-PT-01-ALLOCATOR-01, appears. This holds all the NINo Centre applications that have not yet been attributed to team leaders
4	Select My Cases, and then My Teams Cases
5	Click on Query
6	Select Created On and enter the required date and click Save
7	Select Sub Type and enter the type of cases required, then press enter
8	Click CRN and this sorts type by prefix
9	Highlight the number of cases required
10	Click Edit and then select Change Records
11	Click on Field and select Owner
12	Enter the staff number of the team leader that you are sending cases to in the Value field and click OK

### **Prefixes**

44 for Centre of Non-Residence cases  
55 for Ca5400 Other Postal applications  
66 for Employer fastpath cases  
77 for Ghurkhas

### **Sub Types**

- Self Employed cases have no prefix but are indexed as CA5400 Self Employed on tasks.
- CA5400 Employer - Partner docs are the Faspath Employer cases.

- CA5400 Other Postal cases
- CA5400 Benefit / AIS (1) cases
- CA5400 EOI docs are 'normal' cases (NB – prefix's for different sites are EU/EEA RTW cases.)

The allocator will email the team leader that deals with self-employed cases to tell them their Intake figure. The allocator will advise the Admin team leader when the CA5400 Other Postal cases have been sent to their queue so the LMS registrations can be completed, see Registrations on UK visa postal.  
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### Amend a decision

Sometimes a decision made on a NINo application will need to be amended, for example if:

- an error was made and the wrong decision recorded
- the applicant supplies requested information after the application was refused

### Action to take in LMS

Step	Action
1	Access customer's details on LMS
2	Click NINo hotspot
3	Select Amend tab
4	In Decision field, choose None Selected from the drop down list <b>Note:</b> If previous decision was Allocated, Traced or Upgraded, the NINo will automatically be replaced by the LMS number in the NINo/RefNo hotspot
5	Click Save – the NINo Application Details pop-up box appears Click on Yes to continue, then OK Click on Close tab <b>Note:</b> If the new decision is Traced: <ul style="list-style-type: none"> <li>• Click Trace tab</li> <li>• In CCU section add the following information: <ul style="list-style-type: none"> <li>○ Insert NINo in the NINo field</li> <li>○ Select Yes from dropdown list in Possible NINo Found field</li> <li>○ Select Yes from dropdown list in Confirmed as Correct field</li> <li>○ Select Level 1 Verification Level</li> </ul> </li> <li>• Save, then OK</li> </ul>
6	Click on Decision tab
7	Click on Amend
8	In Decision field drop down list select required decision. <ul style="list-style-type: none"> <li>• If Refused is selected, select relevant letter</li> <li>• If Traced is selected, the NINo will pull through from the input on the Trace tab</li> <li>• If Upgrade or Allocated is selected, enter NINo in NINo field</li> </ul> <b>Note:</b> If the applicant has been previously notified of a NINo that

	has been allocated, you need to also send an LMS open letter to tell applicant that the NINo has been cancelled and must not be used.
9	Click Save, then OK
10	Select Print tab
11	Select Allocation/Refused letter, print and click OK.  For Traced and Upgraded – print and destroy the letter to clear the LMS action – the letter must not be sent to the applicant. The NINo traced letter must be printed and sent to the applicant.
12	Click on the Checked hotspot
13	Select Amend tab
14	Enter today's date in the Authorisation Date field
15	Click Save and OK, then click Hide tab
16	Select Amend tab
17	Enter today's date in the Completion Date field
18	Click Save and OK
19	Close Decision screen
20	In Conversations, record the reason for changing the decision
21	Close View Client Details screen

### Action to take in CAMLite and DRS

Step	Action
1	In CAMLite select Customers tab
2	In CRN field enter LMS/CRN, including 3 digit office code if necessary
3	Click Go
4	Check that the customer's name appears
5	Click Yes
6	Select View Documents on the Customer Details screen
7	Tick all the document boxes and select Bulk Update
8	Enter NINo and select Update
9	Select Update Metadata
10	Close DRS screen

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### Appointees

If an applicant is unable to act on their own behalf, an appointee may have responsibility for conducting their affairs.

An appointee can be:

- an individual such as a friend or relative
- an organisation or representative of an organisation. This could be a solicitor or local council, referred to as a Corporate Appointee.

### **Appointees - Benefit Centre process**

The benefit team must take the necessary action to decide whether an appointee is appropriate for the customer and provide the appointee with Confirmation of Appointeeship form BF57 to confirm they have appointee status.

The benefit team must complete the appointee form BF56 for their own records and provide a copy of this with the eDCI1 referral.

### **Appointees - NINo Centre process**

Appointee cases will follow the Benefit Inspired application process. Details from the BF56 must be included in LMS conversations. The BF56 will be retained by the Benefit Inspired (BI) Admin team at the NINo Centre (NC) with the eDCI1. The LMS customer record must be created in the name of the benefit applicant and details of the appointee must be noted in LMS conversations.

Contact the appointee who must confirm that they will attend the evidence of identity (EOI) interview. If the appointee is unable to attend the interview, consider a home visit. Use reasonable judgement to decide how both identities are established before the CA5400 is dispatched to the mail opening unit (MOU).

The following evidence must be provided at the EOI interview:

- identity documents for the applicant
- proof of the applicant's status in the UK - if non European Union/European Economic Area (EU/EEA)
- proof of the applicant's address
- identity documents for the appointee
- proof of the appointee's status in the UK (if non EU/EEA)
- documentation to confirm appointeeship, such as BF57, power of attorney or proof of employment for a corporate appointee
- proof of the appointee's address

Use the Appointee EOI interview letter, do not use the LMS EOI interview letter. If the applicant has a NINo that requires upgrading, use the Appointee Upgrade EOI interview letter.

### **Appointees - Interview site process**

The interview is the same as Benefit Inspired applications with the following additional steps to be included:

- identity documents, proof of status in the UK (if non EU/EEA) and proof of address to be copied for applicant and their appointee
- proof of appointee status to be copied
- appointee details to be recorded at Part 4 – Other information on the CA5400
- appointee to sign Declaration and all photocopies of supporting evidence
- Interviewing officer to annotate "Appointee" in capital letters below the signature at Part 6 and on the front of the application.

If someone contacts the interviewing site stating they are an appointee of a Benefit applicant but the Benefit Centre has not advised the NC that the applicant has an appointee, take the following action:

- ask the appointee if they have form BF57 or any other appointee status documents
- if they have proof of their appointee status, advise them that they should attend the EOI interview and bring all the evidence listed on the appointment letter
- if the appointee does not have proof of their appointee status, notify the BI Admin team at the NC. They will contact the Benefit Centre to clarify if the applicant has an appointee and request a copy of the BF56.

See Benefit Inspired applications.

### **Other appointee applications**

For all applications the appointee must provide evidence of the appointee status, such as a legal power of attorney document.

As with a benefit inspired application, the appointee must provide evidence of their identity as well as the identity of the NINo applicant they are acting for.

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## **BCS validation officer's desk aid**

### **Definition of Validation**

It is the process which allows the assurances currently derived from the existing checking regime to be confirmed.

### **Validation plan**

Validation is undertaken in accordance with the requirements of a flexible Validation Plan developed, owned and reviewed by the business unit manager.

### **Validation officer**

The Validation Officer must be independent of the process being validated and should possess the skills to interpret check instructions and the required process for each check.

The role of the validation Officer is to check that the checking officer has performed a check correctly. This includes examining instructions, re-performing the selected checks and confirming identified errors are corrected. Then ensuring BCS is updated with the validation result which is not always a pass.

### **Validation process**

#### **The Validation officer**

- agrees and documents a suitable sample size for each check, for example; % of validation usually mirrors that of the checking sample size i.e. 10% check = 1% validation
- examines current instructions
- confirms effective and timeous performance of checks
- re-performs checks, including examination of relevant documentary evidence.
- makes a record of findings



## **Selection of cases**

- for daily checks, although the usual process is to select from previous quarter ending, for NINo checks they should be randomly selected throughout the day of activity.
- the number of checks validated should be sufficient to provide the best possible assurance that the checking requirements are being met.
- aim to validate checks undertaken within the same day to avoid delay in processing.

## **Validation records**

All documentary evidence seen by the Validation officer should be annotated. The proposed annotation for each document seen would be:

- validated
- date
- initials of validator
- check reference number

Optional additional records can be kept providing information on:

- name and location of Checking Officer
- applicant name and/or NINo of selected case
- date check was generated
- date check was completed
- date of Validation
- whether the check is satisfactory or not, and if not, any comments.

## **Validation reports**

Consideration should be given to the production of a report detailing the Validation Officer's findings for use within the business. Contents could include:

- a background to the check
- details of the Validation process
- findings from the Validation
- any recommendations to address areas for improvement or non-compliance identified during the Validation.
- identity of the checking procedures used by the Checking Officers
- the period used in the Validation process
- the sample selection process and size
- the offices/section covered by the Validation
- the steps taken to Validate/re-perform the check
- a factual account of the Validation performance

details of any non-compliance or deviation from the mandatory process documented in the test checking instructions

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## **BF process**

If further details are required to reach a decision on an application, the applicant must be contacted by telephone if possible. If that is unsuccessful a letter must be sent to the applicant asking for the required information.

## BF action on LMS

Step	Action
1	Check to establish if the evidence or information you need has already been received
2	Check that the address in LMS matches the address on the CA5400.
3	Mark the CA5400 as received CCU (or returned if postal)
4	Click Conv
5	Click New
6	Input reason for B/F in Details Box
7	Click Save and OK
8	Click Close twice
9	Click NI Hotspot
10	Click on B/F Action tab
11	Click Amend
12	Action reason, click reason for B/F from dropdown menu
13	Review date, click date from dropdown menu (10 working days)
14	Click Queue and OK
15	Click Letter tab
16	Click Amend
17	Click Letter date and input today's date
18	Click Addressee Type and from dropdown menu Click Type
19	Click Respond By and from dropdown menu input date (10 working days)
20	Click Save and OK
21	Click Details Hotspot
22	Click Amend
23	Input reason for B/F letter in letter heading
24	Input full reference number, including any three-digit prefix
25	Input questions for customer in letter body
26	Click Save and OK
27	Click Print
28	Tick Letter in sub box
29	Click Print and OK
30	Click Close
31	Post letter to applicant.

## BF action on CAMLite

Step	Action
1	With the applicant's record open in CAMLite, close DRS and any open documents
2	Select the applicant in CAMLite from work queue.
3	In applicant case, go to Tasks at the bottom of the screen and change the task status to Closed on the dropdown menu
4	Click Create New Task
5	Click Type and select Outbound Correspondence from dropdown

	menu
6	Click Sub Type and select Additional Information from dropdown menu This will automatically set a BF date in CAMLite (but will be different from LMS)
7	Click Notes box
8	Click New
9	Input reason for B/F
10	Click OK
11	Set the due date in case details to the correct BF date

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### CA5400 – completing the form

The CA5400 application form must be completed by the interviewing officer on behalf of the applicant at the EOI interview, unless the applicant specifically asks to complete it themselves.

- Use black ink and block capitals
- Make sure handwriting is legible to assist with accurate and efficient processing at the NINo Centre (NC)
- Do not use correction fluid
- Cross out any unused boxes in questions 1 to 4.

If any of the applicant's answers are amended, the applicant must sign and date next to each amendment to indicate their agreement to the alteration. If a box is crossed through in error, annotate it with STET and the applicant must sign and date next to it. In Latin STET means to 'Let it stand', and this tells the decision maker that the information recorded should still stand.

To complete the CA5400 take the following action:

Step	Action
1	Ask the applicant why they are applying for a National Insurance Number (NINo). A NINo will be allocated based on the applicant's entitlement and business need for a NINo. In the DWP Official Use box at the bottom of page one, tick <b>only</b> one of the following boxes with the reason for the application: <ul style="list-style-type: none"> <li>• EOI</li> <li>• Benefit/AIS (1)</li> <li>• Self-employed</li> <li>• Student Loan</li> </ul>
2	In Part 1: About You, questions 1 and 2, ask and record the applicant's full name including middle names as displayed on their identity documents, see Names - how to record them
3	At question 3, ask and record their title, for example, Mr, Mrs
4	At question 4, ask and record any other names the applicant has used in the past or is currently using. This includes 'known as' names and legal names, whether used or not, see Names - how to record them.  Include any variations of spelling/misspelling or transcription errors of names on their identity documents which are being used to prove

	their identity - see Acceptable Supporting Documents for identity verification
5	Ask and record the applicant's reasons for any previous names used. <b>Any boxes that have not been used in questions 1 to 4 must be crossed out to make sure no changes can be made.</b>
6	At question 5, ask and record the applicant's date of birth (DOB) as dd/mm/yyyy. If the DOB stated by the applicant is different to what is shown on their documents, including passport, birth certificates and Home Office documents, use the date on the documentation. Provide an explanation at Part 4 of the CA5400. If the DOB is 01/01/yyyy, confirm that this is their actual DOB and note this at Part 4 of the CA5400. If the applicant does not know their exact DOB or the Home Office appears to have applied 01/01/yyyy on their documentation, see Date of birth not known by applicant
7	At question 6, tick the appropriate box to indicate the sex of the applicant. If the applicant has a Gender Recognition Certificate this must confirm their acquired sex.
8	In the DWP official use section, tick the relevant NC box: <ul style="list-style-type: none"> <li>• Isle of Wight (IOW), or</li> <li>• Glasgow</li> </ul>
9	At question 7, ask and record the applicant's current address. If the applicant is No Fixed Abode (NFA) enter None
10	Record the date the applicant started living at their current address. If the applicant cannot remember the date, enter 'N/K'
11	Ensure the applicant will be staying at their current address for the next 6 weeks, so the NINo letter can be issued to this address. See step 13.
12	Consider whether it is necessary to record a correspondence address for the applicant. This may be required if: <ul style="list-style-type: none"> <li>• the applicant will be moving within 6 weeks</li> <li>• the applicant has requested correspondence to be sent to a different address</li> <li>• their home address is unsafe or NFA</li> </ul> If the applicant is NFA or their address is unsafe they can request that the NINo Allocation decision letter is delivered to the DWP office where the EOI interview took place. Provide an explanation at Part 4 and retain a copy of their declaration page to compare the applicant's signature when they call to collect their decision letter.
13	At questions 8 and 9, ask and record the applicant's UK telephone number (landline and mobile if they have both)
14	At question 10, ask and record the applicant's previous addresses in the UK to cover the previous 2 years. If further space is needed,

	record details at Part 4 – Other information.
15	At question 11, ask and record the applicant's current legally recognised, and previous, relationship status. If more than one previous relationship, record details at Part 4 – Other information.
16	Record start and end dates of marriage and divorce. If exact dates are not known provide an explanation at Part 4 – 'Other Information'.
17	Ask whether they know their partner's NINo. If known, complete all details for their partner / ex-partner.
18	In Part 2, at question 12, ask and record the applicant's Nationality, see dual nationality instructions.
19	Ask the applicant for their social security membership number and record at question 12 see Social Security numbers - names by country. <b>Important:</b> If they cannot remember or are unsure, check whether their social security number is recorded on their Identity document. If their full social security number is not known, write N/K in the box provided.
20	At question 13, ask and record the applicant's most recent date of entry to the UK.
21	Record the dates of any previous stays in the UK of 30 days or more. All stays must be listed in date order with the most recent first. Record the dates they arrived in the UK and the dates they left. If the applicant's exit from the UK is for less than 30 days, do not record this information. If the applicant does not know the exact dates for stays in the UK, especially the arrival date for their current stay and this cannot be confirmed by checking their passport, use approximate dates. Then use the first of the month they entered the UK, and the last day of the month they left the UK. For example: The applicant arrived in the UK in June 2009 and left in January 2010. Record this as 'approximate dates – arrived 01/06/2009 – left 31/01/2010.' These dates are only required from the age of 16. If the applicant was in the UK as a child and the stay spanned when they became 16, then the date they arrived in the UK should be the date of their 16th birthday. If the applicant was born in the UK, the earliest entry will start with a date the applicant left the UK, rather than a date they arrived in the UK. If the applicant was born in the UK and has never left the UK, all boxes must be crossed through and a note entered at Part 4 – Other information as 'Applicant born in the UK and never left the UK'.
22	At question 14, if the applicant is from one of the following countries

	<p>and has a valid passport or current rights within:</p> <ul style="list-style-type: none"> <li>• Belgium</li> <li>• Cyprus</li> <li>• Denmark</li> <li>• France</li> <li>• Germany</li> <li>• Greece</li> <li>• Italy</li> <li>• Luxemburg</li> <li>• Norway</li> <li>• Portugal</li> <li>• Spain</li> <li>• The Netherlands</li> </ul> <p>ask and record their place of birth.</p>
23	At question 15, if the applicant is from one of the above countries, ask and record the address of the last EU/EEA country they lived in. If they have never lived in an EU/EEA country, strike through the boxes and provide an explanation at Part 4 – Other information.
24	At questions 16 and 17, if the applicant is Spanish, ask and record their parents' names. (Mother's name should be her maiden name).
25	In Part 3, at questions 18, 19 and 20, ask and record who the applicant works for and the employers address. If the applicant states they are self-employed or a sub-contractor, refer to the instruction for Self Employed Applications.
26	Record any other relevant information in Part 4 – Other information, for example, looking for work, date of marriage not known, name not changed after marriage.
27	At part 5, if the applicant has used an interpreter, record the interpreter's name, their relationship to the applicant, their contact phone number and their address. If an interpreter from thebigword was used during the interview, record the interpreter's name and identification code.
28	At part 6, ask the applicant to check CA5400 (or read back entries to applicant to check), and read declaration
29	Ask applicant to sign Declaration. If unable to sign they must make their mark and the interviewing officer must provide an explanation at Part 4 - Other information. This mark must <b>not</b> be any form of a fingerprint.
30	Ask applicant to sign copies of evidence If unable to sign they must make their mark and the interviewing officer must provide an explanation at Part 4 - Other information. This mark must <b>not</b> be any form of a fingerprint.
31	Check signature on application against that held on the identity document. If identity document is not signed, ask the applicant whether they have any other documents containing their signature, such as a driving licence, student card, bank card etc.
32	Ask applicant to sign again if signature differs from that on identity

	<p>document provided.</p> <p><b>Note:</b> The interviewing officer needs to consider the age of the documents and XXXXXXXX XXX XXXXXXXXXXXXXXX XXXXXXXXXXX XXXXXX XXXX XXXXXXXXXXX XXXX XXXX. XX XXX XXXXXXXXXXX XXXX XXXX XXXXXXX XXXX XXXXXXXXXXX XXX XXXXX XX XXX XXXXX, make a note of this on the application and in LMS Conversations. If there is any doubt about the application, consider completing a Doubt Notification (DN) or taking further Document Examination Team (DET) advice.</p> <p>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]</p>
33	Record the LMS reference number at the official use section on the front page of the CA5400 (including prefix of the EOI Site numeric code when applicable)
34	<p>In the 'Interviewing site official use' section, record:</p> <ul style="list-style-type: none"> <li>• the IFT reference number if a document was checked</li> <li>• if the applicant's passport, identity card or visa has expired</li> <li>• the NINo, if one has been traced including details of how the record was confirmed as the applicant's (such as checks against previous addresses or names held on CIS)</li> <li>• any other information that might be relevant to the application.</li> </ul>

**Consequences:**

If you do not follow the appropriate instructions to ensure that all information has been recorded and countersigned accurately this may mean:

- the NINo could be issued in error or in duplicate
- avoidable rework to record the missing information and reissue the NINo correctly
- poor customer service which may lead to complaints
- the potential for fraud if the NINo is incorrect
- the potential for internal fraud if the countersigning action is not undertaken

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**Change in applicant's circumstances**

- NINo application decision not yet made
- NINo application decision made

**Change of circumstances when NINo application decision not yet made**

If a NINo applicant phones to report a change in their circumstances, for example, if they changed address, but the application has **not** yet had a decision made on it:

Step	Action
1	Confirm you are speaking to the applicant by asking for their:

	<ul style="list-style-type: none"> <li>• full name</li> <li>• LMS reference number</li> </ul> <p>Consider using thebigword interpreting services to support your discussion with the applicant or apply Implicit consent <a href="#">to speak to their representative</a></p>
2	Tell the applicant that to be able to continue they must answer security questions to confirm their identity, and have with them the identity document they provided for their application. If they do not have the documentation available, tell the applicant they need to obtain it and call back.
3	Using the applicant's LMS record, ask for their: <ul style="list-style-type: none"> <li>• name</li> <li>• date of birth</li> <li>• address at the time of making the application</li> <li>• the date of their EOI interview or when they completed their postal application</li> </ul>
4	Using CAMLite/DRS to view their application and the copies of their documents, ask the applicant to: <ul style="list-style-type: none"> <li>• state their nationality</li> <li>• state the serial number of their passport, identity card or Home Office biometric residence permit (BRP)</li> <li>• state their place of birth – this is recorded on their passport, identity card or BRP</li> </ul>

If the applicant is unable to answer **all** the questions, you must advise them to send details of the change of circumstances in writing to the NINo Centre. Tell the applicant that the letter must be signed by them and that they must quote their LMS reference number.

If the applicant answers all the questions correctly you can continue to record the change in their circumstances.

### Recording the change of circumstances

Step	Action
1	Access the applicants CAMLite record. In the Notes field in the Case Details screen enter: <ul style="list-style-type: none"> <li>• 'CO Address'</li> <li>• the new address and</li> <li>• the date of moving</li> </ul>
2	In the applicant's LMS record: <ul style="list-style-type: none"> <li>• amend the address field with the new address details</li> <li>• note conversations with 'CO Address' and the date of moving.</li> </ul>

### Change of circumstances when NINo application decision made

<b>Benefit inspired applications</b>
If a decision has already been made on a benefit inspired NINo application,



advise the applicant to contact the appropriate benefit team dealing with their claim.

### **If the NINo application has been refused**

If the decision has been made to refuse a NINo application, do not update the applicant's personal details in LMS. Advise the applicant to phone the Contact Centre on 0345 600 0643 if they want to make a new NINo application.

### **If the NINo has been allocated, upgraded or traced**

If the decision has been made to allocate, upgrade or the NINo has been traced, advise the applicant to phone the HMRC National Insurance Number helpline on 0300 200 3502 to notify their change of address and, if needed, ask for a letter stating their NINo. Alternatively they can report the change on [GOV.UK](http://GOV.UK).

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## **CIS500 – issuing CIS500 and team leader action**

### **Issuing a CIS500**

<b>Step</b>	<b>Action</b>
1	Open the CIS500
2	Underneath the 'Reason for submitting this form' box, tick the third option. Enter the mandatory details required at Part 1.
3	Enter all appropriate Additional information from the application.
4	Enter the Authorisers email address in Part 14a
5	Click 'Submit Form to Authoriser'.
6	Message 'Do you wish to send' will appear – Click 'Allow'.

This will send the CIS500 to the team leader for authorisation.

### **Team leader action on receipt of CIS500**

<b>Step</b>	<b>Action</b>
1	Open CIS500
2	Check that all appropriate details are entered.
3	Complete personal details at Part 14b
4	Click 'Click here to submit form to Front Line Services'.
5	Click 'Allow'.

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## **CIS501 and CIS502 - multiple use of a NINo**

If the decision maker identifies that **two applicants** appear to be using the same National Insurance Number (NINo) they must complete a CIS502 and refer to CIS Frontline Services for continued investigation.

If the decision maker identifies that **one applicant** appears to relate to more than one NINo they must:

<b>Step</b>	<b>Action</b>
1	Confirm if each NINo identified is NPS maintained

2	Confirm which dates each NINOs was set up on CIS
3	Complete a CIS501 and refer to CIS Frontline Services for continued investigation
4	Copy and send to the NIU Intel email inbox listed below: <ul style="list-style-type: none"> <li>• XX</li> <li>• XX, or</li> <li>• XX.</li> </ul>

[Email addresses redacted – Exclusion 40 applied – Personal Information]

In these cases, do not:

- directly remove or amend the information held on CIS or
- contact the applicant.

Where there are possible confused or hijacked accounts, CIS Frontline Services will work with HMRC to correct the records. They will also inform the NCs and relevant benefit areas on form CIS26 of the correct NINo to be used for the applicant, or that a new NINo can now be allocated.

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### CIS trace

Step	Action
1	Open CIS trace
2	Tick relaxed trace box
3	Tick Include Historic Records In Search box
4	Insert forename of applicant in Forename field
5	Insert surname of applicant in Surname field
6	Click search
7	If more than 100 matches appear, take the standard action of inputting 1 year before date of birth start date, and 1 year after date of birth end date in the appropriate fields.
	<b>For multi part surnames</b>
8	Follow step 2 to step 6 above, using each separate name in turn, then follow steps 9 to 12 below
9	Tick multipart surname trace
10	Input forename of applicant in forename field
11	Input first, last or penultimate surname of applicant in surname field
12	Click Search
13	If more than 100 matches appear, take the standard action of inputting 1 year before date of birth start date, and 1 year after date of birth end date in the appropriate fields.

Also, due to the tracing programme used by CIS, if the applicant has a hyphenated forename such as Sally-Ann you need to conduct a trace using both Sally-Ann and Sally Ann in the Forename field. An alternative method is to input the first letter of the first forename into Forename field, the applicant's surname in the Surname field and a tick in the Include Historic Records In Search box.

If the applicant has a surname that could be used as a forename, such as forename Stuart and surname David, you also need to trace using David as the forename and Stuart as the surname.

### Using the Wildcard trace facility

Wildcard tracing is the process of tracing based upon details that are incomplete. In these cases, CIS allows users to enter a wildcard in the following fields:

- Surname
- Forename
- Address Line 1

To use a wildcard, use an asterisk (\*) to indicate a string of one or more unknown characters. When using a wildcard against Surname, Forename and Address Line 1, at least 3 characters must be used. You cannot use a wildcard when the Relaxed Name Trace box is ticked.

### CIS address trace function

You might need to perform an address trace in CIS when you are unable to trace a NINo for an applicant and it seems likely that they will have one, for example, if the applicant was born in the UK and has provided details of their parents and any brothers or sisters.

Step	Action
1	Open CIS trace
2	Tick Include Historic Records In Search box
3	Insert the first line of address in Address Line 1 field <b>Note:</b> The address descriptor must be abbreviated, for example Street must be abbreviated to ST, and Road must be RD. See Valid address abbreviations for the full list of abbreviations used in CIS. When tracing an address that is a flat, it is recommended to only insert Fla* in Address Line 1 field. This can also be used as an alternative to inserting the full address in Address Line 1 field.
4	Insert the postcode in full in the postcode field
5	Click Search
6	The Results screen will list current and previous occupants at the address
7	Select the NINo to view an occupant's CIS record.

To trace using a telephone number, complete the Contact Details field and tick the Include Historic Records In Search box.

See CIS Trace and Allocation Guide [for more information about CIS tracing functions.](#)

If a NINo or possible NINo is found, see Tracing Action.

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### Correspondence address – how to record on LMS

An applicant might use a correspondence address if:

- they will be moving in 6 weeks
- they have asked for correspondence to be sent to a different address
- their home address is unsafe
- they are of no fixed abode (NFA) and do not have a residential address

If the applicant is NFA or their address is unsafe they can request that the NINo allocation letter is delivered to the DWP office where the interview took place.

To record the correspondence address in LMS, open the applicant's LMS record and:

Step	Action
1	Click address/Tel No hotspot
2	Select Amend
3	Click in the box next to Alt Address. A tick will appear and No will change to Yes. Click Save.
4	Select NINo/RefNo hotspot
5	If the application summary list appears, select the application, then Detail
6	Select the Additional Addr tab
7	Click Amend
8	Click Postcode hotspot
9	Enter the postcode of the applicant's correspondence address
10	Search
11	Select the correct address from the list
12	Click in the box next to Correspondence address. A tick will appear.
13	Save and close

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### Countersigner

The Countersigner checks CA5400, LMS, Document High Risk Lists (DHRL) and Intelligence High Risk Lists (IHRL) and signs CA5400 and photocopies. This is the final check before the application is processed at the NINo Centre (NC).

Step	Action
1	Open LMS and click on Client tab
2	Input wild card details: from dropdown list at location select National, then SelAll and enter the first three letters of the applicant's surname followed by % (such as SMI%) and enter their date of birth. Then select Search.
3	Select applicant's LMS record from list
4	Check name, title and DOB against CA5400
5	Click on the address tab and check address and tel number match CA5400
6	Click on <b>NINo/Ref No</b> hotspot
7	Select application from list if application summary list provided
8	Click on Forms tab
9	Check Form Serial number (A Reference number) is correct
10	At the bottom of Page 1 of the CA5400, check that the tick boxes in

	the DWP official use box have been correctly completed, including the LMS reference number (and the preceding three digit numeric code, if relevant).
11	On CA5400 check Part 1 About you is complete, matches evidence and is recorded correctly on LMS
12	Check Part 2 Nationality and Residence is recorded accurately on application
13	Check Part 3 Work is complete
14	Check Part 4 Other information
15	Check Part 5 About your interpreter
16	Check Part 6 - signature matches the signature on the ID provided
17	Check that the applicant has signed copies of evidence and that they have signed and dated any amendments on the form
18	Sign copies of evidence
19	Open Intelligence High Risk List
20	'Ctrl and F' to locate quick search function
21	Type in the search box: <ul style="list-style-type: none"> <li>• Applicant address</li> <li>• Employer address</li> <li>• Interpreter address</li> <li>• Applicant name</li> <li>• Employer name</li> <li>• Interpreter name</li> </ul>
22	In LMS check Documents tab is complete, including Identity Fraud Team (IFT) reference number if applicable (check Document High Risk List)
23	Click on Interview tab – Amend and input date Sent to CCU
24	Save
25	Check NINo Application Summary list and clear any outstanding actions. To clear an outstanding registration: <ul style="list-style-type: none"> <li>• Highlight application in list</li> <li>• Click Detail</li> <li>• Click Wdraw</li> <li>• Save and Close</li> </ul>
26	Sign and date CA5400 in Part 7
27	If you are at an EOI site that must establish identity and right to work (RTW). For an EU/EEA applicant take the following action: Check that the CA5400 has been stamped and signed on the back page by the Interviewing Officer. Consider whether you are satisfied that ID and RTW has been confirmed, if you are sign and date the stamp.

1. If the countersigner finds any discrepancies or mistakes they must return the application and ID to the interviewing officer for amending. The interviewing officer will then return the application to the countersigner to complete their checks. If the interviewing officer is with another applicant,

consider if the amendment can be actioned by the countersigner to avoid delays.

2. The Countersigner checks that the photo ID matches applicant and asks applicant for full name and date of birth before returning applicant's documents.
3. If the photo on the ID provided does not match the applicant refer to Impostor action before continuing.

1	Call applicant in waiting area
2	Ask them for their name and date of birth and check their CA5400 cover page
3	Check photograph on ID matches the applicant
4	Hand ID back
5	Advise applicant that their NINo decision letter will be sent to their address and they can leave

4. Countersigner follows local practice for storing completed CA5400 in readiness for sending to the Mail Opening Unit (MOU)
5. Designated officer completes EF413 and sends CA5400 and photocopies to MOU

1	Using the application form serial number put all the forms into numerical order
2	All form serial numbers to be listed on EF413
3	Physical check completed by another officer to confirm that all reference numbers listed on EF413 match those to be dispatched
4	EF413 printed and signed by both officers
5	TNT book completed in duplicate
6	TNT pouch labelled
7	Forms placed in TNT pouch ready for collection by TNT to be sent to MOU

#### **Consequences:**

If you do not follow the appropriate instructions to ensure that all information has been recorded and countersigned accurately this may mean:

- the NINo could be issued in error or in duplicate
- avoidable rework to record the missing information and reissue the NINo correctly
- poor customer service which may lead to complaints
- the potential for fraud if the NINo is incorrect
- the potential for internal fraud if the countersigning action is not undertaken

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#### **Creating a new LMS record**

To create a new LMS record:

Step	Action
1	In LMS, click Client
2	Amend Location to National

3	Select SelAll
4	Enter the first 3 letters of the applicant's surname followed by %
5	Enter the Date of Birth (DOB) in the appropriate field
6	Click Search
7	If no record found, LMS will ask if you wish to create a new record. Click Yes
8	Complete details for: <ul style="list-style-type: none"> <li>• Title</li> <li>• Surname</li> <li>• Date of birth (DOB)</li> <li>• Employment Status</li> <li>• Pension Credit (enter Not Known).</li> <li>• Parent Status (No)</li> </ul>
9	Click on Address Hotspot
10	Click on the Postcode Hotspot.
11	Type in the postcode
12	Click Search
13	Select the property number from the dropdown list. The address can be entered manually if the search does not provide the correct address.
14	Click on the telephone number box and enter the applicant's telephone number
15	If the applicant has a Correspondence Address click Alt Address box and see Recording a Correspondence Address
16	Click on JP Non Selected and select No
17	Click Save and Ok
18	DP (Disability) marker screen appears
19	Click None or as appropriate and click Save

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### Critical Process Points

Critical Process Points and Consequences:

<b>1</b>	<b>All relevant supporting documents checked and validated</b>
	You <b>must</b> follow and adhere to the appropriate Operational Instructions National Insurance Number (NINo) instructions
	You <b>must</b> follow Operational Instructions for completing the CA5400 form to ensure all the information has been recorded accurately
	You <b>must</b> ensure the countersigning action has been completed accurately

### Consequences:

If you do not follow the appropriate instructions to ensure that all information has been recorded and countersigned accurately this may mean:

- the NINo could be issued in error or in duplicate
- avoidable rework to record the missing information and reissue the NINo correctly
- poor customer service which may lead to complaints
- the potential for fraud if the NINo is incorrect
- the potential for internal fraud if the countersigning action is not

undertaken

<b>2</b>	<b>Has Labour Market System (LMS) been updated accurately</b>
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You **must** follow and adhere to the appropriate Operational Instructions National Insurance Number (NINo) instructions

You **must** ensure all information is recorded accurately

You **must** ensure all the appropriate LMS action is carried out and the record is fully updated/completed at the Evidence of Identity site prior to the application being forwarded to the processing site

You **must** ensure the appropriate LMS action is carried out at the processing centre to authorise their decision by confirming it on LMS and ensure the case has been closed on LMS after this action has been carried out.

**Consequences:**

If you do not accurately record all information on LMS and ensure the necessary actions are taken at all stages this may mean:

- the potential for incorrect or duplicate LMS records
- a delay in arranging the interview appointment and the issue of any subsequent decision letters
- avoidable rework to correct and update the records
- inaccurate Actual Average Clearance Time (AACT) information if the case is not closed correctly

<b>3</b>	<b>Has Customer Information System (CIS) been updated accurately</b>
----------	--

You **must** follow and adhere to the appropriate Operational Instructions National Insurance Number (NINo) instructions

You **must** follow and adhere to the appropriate Operational Instructions for NINo allocation for the appropriate product line. This will ensure the National Insurance Number is only allocated after all the appropriate checks have been completed and the processing officer is satisfied a National Insurance Number should be allocated

You **must** ensure the appropriate trace action is carried out to ensure a National Insurance Number does not exist for the applicant already

You must follow and adhere to the appropriate Operational Instructions Allocate NINo - create account screen to ensure all information is recorded accurately.

**Consequences:**

If you do not accurately record all information after completing the appropriate checks and tracing action this may mean:

- delays in tracing the applicant if all documentation does not match and contain the same information
- avoidable customer contact and rework required to correct the records
- poor customer service which may lead to complaints
- the NINo could be issued in error or duplicate
- the potential for fraud if the NINo is incorrect

<b>4</b>	<b>Has Electronic National Insurance Recording System (eNIRS)</b>
----------	---



<b>been updated accurately</b>
You <b>must</b> follow and adhere to the appropriate Operational Instructions National Insurance Number (NINo) instructions
You <b>must</b> follow and adhere to the appropriate Operational Instructions for the relevant product line for registering a NINo on eNIRS. This will ensure all information is recorded accurately and the National Insurance Number has been registered.

**Consequences:**

If you do not follow the correct e-NIRS and NPR Registration Process to accurately record all details and register the NINo this may mean:

- contributions may be posted incorrectly or to the wrong account which may potentially impact on salaries and pensions
- HMRC has to undertake avoidable rework to correct the records which causes reputational damage to the Department
- poor customer service which may lead to complaints

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**Date of birth not known by applicant**

When recording the date of birth on the CA5400, if the date of birth (DOB) stated by the applicant is different to what is shown on their documents, including passport, birth certificates and Home Office documentation, use the date on the documentation.

<b>Applicant states</b>	<b>Document states</b>	<b>We record</b>
13/07/1987	23/07/1987	23/07/1987

If the applicant does not know their DOB and it has been recorded by the Home Office as being 01/01/????, apply the instruction below. Tell the applicant that this will be the DOB that is recorded on their computer records by DWP/HMRC.

Always provide an explanation, including the date of birth as stated by the applicant at Part 4 - Other Information.

<b>Applicant states</b>	<b>Document states</b>	<b>We record</b>
24/01/1987	24/01/1987	24/01/1987
Not known	01/01/1987	31/12/1987
??/??/1987	XX/XX/1987	31/12/1987
??/01/1987	XX/01/1987	31/01/1987

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**Doubt notifications**

If at any point before, during or after an Evidence of Identity (EOI) interview there are any concerns with the application or the circumstances under which the application was made, a Doubt Notification (DN) form must be completed to refer the application to the NINo Integrity Unit (NIU) for further investigation. Some examples of evidence and circumstances that might cause suspicion are:

- XXXXXXXXXXXX XXXXXXXXXXX XX XXXXXXXX XX XX XXXXXXXXXXXXXXX, XXXX XX XXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXX XX XXXXXXXX XXXXXXXXXXX XXXX XX XXXXXX XX XXXX XXXXXX, XXX XXXXXXXX, XXXXXXXXXXX XX XXXXXXXXXXXX XXXXXX XXX XXXXXXXXXXX XX XXXXXX XXX XX XXXXXX, XXXXXX XX XXXXXXXXXXX XXXX XXXXXXXXXXXXXXX XX XXXXXXXXXXXXXXX XXXXXXXX XX XXXXXXXXXXXXXXX XX XXX XXXX XXXXXXXX;
- XXXXXXXX XX XXXXXXXXXXXXXXXXXXXX, XXX XXXXXXXX, XXXX XXXXXXXX XXXXXXXXXXX XX XXXX XXXX, XXX XXXX XXXXXXXX XXXXXXX XXXXX XXXXXXXXXXX XXX XXXXXXXXXXXXXXX XX XXXXXXXXXXX XXXXXXXXXXXXXXX XX
- XXXXXXXXXXXXXXXX XX XX XXXXXXXX XXXXXXXXXXX XX XXX XXXXXXXXXXXX XXXXXXX, XXXX XX XXXXXXXXXXXXXXX, XXXXXXX XXXXXXXXXXXX XX XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXX XX XX XXXXXXX XXX XXXXXXXXXXX XXXX XXXXXXXXXXXXXXX. XXX XXXX XX XXXXXXX XXX XXXXXXX XXXXXXXXXXX XXXX XXXXXXX XX XXXXXXXXXXX XXXXX XXXXXXXXXXX, XXXX XX XXXX XXXXXXX XX XXX XXXXXXXXXXX XX XXX XXXXXXXXXXXXXXX XXXXXXX XXXX XXXXXXX XX XX XXXX XXXXXXX.

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

A Doubt Notification form must be completed and sent to the NIU:

Step	Action
1	During the EOI interview, gather as much information from the applicant as possible.
2	Copy all available supporting evidence (as well as the applicant's identity document) and make sure it is signed by applicant/interviewer/countersigner. This supporting evidence might include: <ul style="list-style-type: none"> <li>• XXXXXX XX XXXXXXXX</li> <li>• XXXXXXX XXXX XXXXXXXXXXXXXXXXXXXXXXXX</li> <li>• XXXXXXXX XXXXXXXX XXX XXXXXXXXXXXXXXXXXXXXXXXX</li> </ul> This list is not exhaustive.
3	Complete the EOI interview. Make sure the case is marked 'In Transit' in LMS.
4	Fully complete a DN form immediately after the interview. You must include specific details of how and why the doubt has been raised.
5	The original Doubt Notification form must be attached to the CA5400 application form with all supporting evidence and sent to NIU via the Mail Opening Unit (MOU) by fully tracked courier service.
6	The MOU will scan the application and send to the NIU following their normal processes.

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

Where LMS states that an applicant has been previously refused by NIU and is requesting further information, the interviewing sites must contact the relevant NIU for advice.

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### Downgrading the verification level of a NINo

If a NINo needs the verification level to be amended from Verified to Not Verified (the NINo needs to be downgraded) you must complete a CIS3 form and email it to CIS Frontline Services. Take this action if, for example, the NINo has recently been upgraded but the applicant's identity has not been fully established or if the wrong NINo was recently upgraded in error.

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### Duplicate records on LMS

Duplicate records must not be ignored. They can cause confusion and delay in processing the application.

After searching for a applicant record on Labour Market System (LMS), if you find a duplicate record you need to:

Step	Action
1	Decide which record to keep, this will be known as the master record: <ul style="list-style-type: none"> <li>• live record with current on-going benefit application (Universal Credit, Jobseekers Allowance, Employment Support Allowance etc)</li> <li>• original record showing application/interview history</li> </ul>
2	On the record that is to be made duplicate, make sure there is nothing outstanding on it including: <ul style="list-style-type: none"> <li>• outstanding interviews</li> <li>• Actions – check the Actions button</li> <li>• Caseload</li> </ul> If there is anything outstanding, workflow or email the member of staff it is assigned to and ask them to complete the action before it is made duplicate
3	On the record that is to be made duplicate, check Conversations for notes that need to be kept and copy the information to the record you will be keeping
4	Set the Emp Stat field to Not Known
5	Set the Status field to Inactive
6	Click Amend and overwrite the Surname and Forename fields with Duplicate, followed by your initials without any spaces.
7	Amend the date of birth field to 01/01/1901 and confirm this is correct. This makes the client over 65.
8	To comply with the Data Protection Act all information that can identify the applicant must be removed, including NINo, address and telephone number.
9	Select Other Functions and Duplicate Record
10	Click Save. You will now see a Duplicate Record hotspot at the

bottom of the applicant's LMS record.
---------------------------------------

### **Amending Duplicate Records allocated post LMS 25**

If a National Insurance Number (NINo) has been allocated by the NINo Centre (NC) using LMS 25, only the NCs can amend it. Anything allocated before then can be amended by any LMS user.

NC action:

- Make a note of the NINo. On the record with the NINo, in the Decision tab, click on Amend and change the decision to None Selected, then Save. This will remove the NINo from the NINo box in the Decision tab and the NINo/Ref No box will revert to the original LMS number. Click on Amend and select 'Refused - NINo Not Required', then click Save. Select 'not checked hotspot' and click Amend. Enter today's date in the Authorisation Date field and then Save.
- Take duplicate record action and put the NINo on the other LMS record.
- Cross reference both accounts with the NINo/LMS number by recording them in LMS conversations.

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### **EOI site numeric ID codes**

These are used to prefix the LMS Reference Number for the EU/EEA RTW process. They must only be used when identity and right to work have been confirmed at the EOI site.

<b>EOI Site</b>	<b>Numeric ID Code</b>
Bedford	008
Birmingham	009
Brighton	012
Bristol	015
Cambridge	006
Camden	001
Chelmsford	017
Cityside	004
Coventry	016
Edinburgh	014
Glasgow	022
Hatfield	021
Kings Lynn	023
Leeds	010
Liverpool (Wavertree)	011
Maidstone	013
Newcastle	024
Nottingham	002
Oxford	019
Rusholme	005
Sheffield	018
Slough	007

Southampton	020
Tooting	003

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### European Union/European Economic Area overview

Except Croatia, nationals from European Union (EU), European Economic Area (EEA) countries and Switzerland can enter and work in the United Kingdom without restrictions, just like British citizens. Croatian nationals can enter the UK but have workers restrictions placed on them.

Switzerland is neither an EU or EEA member but is part of the single market. This means Swiss nationals have the same rights to live and work in the UK as other EEA nationals.

European Union	European Economic Area
Austria	<p>The EEA includes the EU countries and:</p> <ul style="list-style-type: none"> <li>• Iceland</li> <li>• Norway</li> <li>• Liechtenstein</li> </ul> <p>It allows them to be part of the EU's single market.</p>
Belgium	
Bulgaria	
Croatia - Croatia joined the EU on 01/07/2013 but Croatian nationals have workers restrictions placed on them.	
Czech Republic	
Cyprus	
Denmark	
Estonia	
Finland	
France	
Germany	
Greece	
Hungary	
Ireland	
Italy	
Latvia	
Lithuania	
Luxemburg	
Malta	
Netherlands	
Poland	
Portugal	
Romania	
Slovakia	
Slovenia	

Spain
Sweden
United Kingdom

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### Examining relevant documents

Examine documents to make sure they are genuine:

Step	Action
1	XXX XXX XXXXX XXXXXX XXXXX XX XXXXX XXXXXXXXXXX XXXXXXXXX XXXXX XXX XXX XXXXXXXXXXX XX XXX XXXXX XXX
2	XXX XXX XXXXXXX XXXXX XX XXXXX XXXXXXXXXXX, XXXXXXXXX XXXXXX, XXXXXXXX, XXXXXX XXXXX, XXX
3	XXX XXX XXXXXXXXXXX XXXXX XX XXXXX XXXXXXXXXXX XXX XXXXX XXXXXXXXXXX XXXXX
4	XXX XXXXXXXXXXX XXXXX XX XXXXX XXXXX XXXXX XXX XXXXXXXXXXXXXXXX XXXXXX
5	XXXXX XXXXXXXXXXX XXXX XXXX XXXX
6	XXXXXXXX XXXXXXX XXXXX XXXX XXXXX XX XXX XXXXXXXXXXX XX XXXXXX XX XX XXXXXXX XXXXXXXXXXXX XX XXXXXXXXXXX XXXX XXXXXXXXXXX XXXXX
7	Record the IFT reference number at page 8, Interviewing site official use section on the CA5400

See Documentary evidence and checks for more information.

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

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### Failure to attend – EOI site action

- Right to Work application
- Student Loan application
- Benefit inspired application – first FTA
- Benefit inspired application – second FTA

### Right to Work application

Right to Work applicants are given one appointment and if they do not attend you must take failed to attend (FTA) action. If they still require a National Insurance Number (NINo) they need to make a new appointment via the Contact Centre.

Step	Action
1	Click on Adviser
2	Select Adviser / Team Interviews
3	Check From and To dates are today's date
4	Select BTWT
5	From BTWT drop down list select NINo Allocation
6	Click Search

7	Highlight client details for FTA action
8	Click CInDet. If you receive message that says 'Ethnicity is invalid or unknown' click OK to continue
9	Select NINo/RefNo
10	In the Registration tab check the App Type is EOI
11	Close
12	Select O/S Int
13	Click NActn
14	Highlight NINo EOI – FTA
15	Select and Yes
16	Record 'FTA' in Notes box
17	Save and OK
18	Click Conv
19	New
20	Record 'FTA NINo interview' in Details box
21	Save and OK
22	Close and Close

### Student Loan application

Student Loan applicants are given one appointment and if they do not attend you must take FTA action. The referral will be returned to the Student Loan company notifying them that the applicant did not attend their NINo Evidence of Identity (EOI) interview.

Step	Action
1	Click on Adviser
2	Select Adviser / Team Interviews
3	Check From and To dates are today's date
4	Select BTWT
5	From BTWT drop down list select NINo Allocation
6	Click Search
7	Highlight client details for FTA action
8	Click CInDet
9	Select NINo/RefNo
10	In the Registration tab check that App Type is Student Loan
11	Close
12	Select O/S Int
13	Click NActn
14	Highlight 'Nino EOI – FTA'
15	Select and Yes
16	Record 'FTA' in Notes box
17	Save and OK
18	Click Conv
19	New
20	Record 'FTA NINo SL interview' in Details box
21	Save and OK
22	Close and Close

The Benefit Inspired Admin team at Glasgow NINo Centre (NC) will check the applicant's record as part of their Student Loan application process.

## Benefit Inspired application – first FTA

Benefit Inspired applicants are allowed two attempts to attend their NINo EOI interview. If they do not attend the first you must contact the applicant to arrange for them to attend a second appointment.

Step	Action
1	Click on Adviser
2	Select Adviser / Team Interviews
3	Check From and To dates are today's date
4	Select BTWT
5	From BTWT drop down list select NINo Allocation
6	Click Search
7	Highlight client details for FTA action
8	Click CInDet
9	Select O/S Int
10	Click NActn
11	'Nino EOI – Ben 1st FTA' should already be highlighted
12	Select and Yes
13	Record 'FTA' in Notes box
14	Save and OK
15	Call applicant to arrange second appointment
<b>To book second appointment:</b>	
16	Select NINo/RefNo
17	Click ReArr
18	Enter '1st BI FTA' in the Reason box
19	Click ReArr
20	If you operate 20mins BI diary at your EOI site, check appointment time is 00:20 on left hand side
21	Click Search
22	Click Next to find the next appropriate date and time for the applicant. Book this for within the next 3 days unless circumstances prevent this. If you cannot contact the applicant by phone, book an appointment within 5 working days to allow time for the appointment letter to reach them.
23	Highlight required date and time
24	Click Book and OK
25	Tick Valid Passport and Save
26	Ok and Close
27	Click Conv
28	New
29	Record 'FTA 1st BI NINo interview' in Details box
30	Save and OK
31	Close and Close
32	Access NINo Instructions
33	Select BI 2nd request letter template and Open
34	Insert LMS reference number, applicant's name and full postal address
35	Insert your full office address and telephone number 0345 641 5008



36	Insert applicant's title and surname
37	Insert Date, Time and Location (At) of NINo appointment
38	Print
39	Collect appointment letter from printer and send

### **Benefit Inspired application - second FTA**

If the Benefit Inspired applicant fails to attend their second appointment you will need to complete FTA action and send the DCI1 to the relevant Benefit Centre. This tells the Benefit Centre that the applicant did not attend either of their NINo EOI interviews.

<b>Step</b>	<b>Action</b>
1	Click on Adviser
2	Select Adviser / Team Interviews
3	Check from and to dates are today's date
4	Select BTWT
5	From BTWT drop down list select NINo Allocation
6	Click Search
7	Highlight client details for FTA action
8	Click CInDet
9	Select O/S Int
10	Click NActn
11	'Nino EOI – Ben 2nd FTA' should already be highlighted
12	Select and Yes
13	Record 'FTA' in Notes box
14	Save and OK
15	Click Conv
16	New
17	Record 'FTA 2nd BI NINo interview' in Details box
18	Save and OK
19	Click Queue (bottom right hand side)
20	From Action Type drop down list select 'JP – Other'
21	Record 'FTA 2nd BI NINo interview'
22	From Queue To drop down list select 'Team'
23	Click Select
24	From Office drop down list select 'Other Local office'
25	In Mnem: record GLP and press Enter
26	The Team Search box should now show Glasgow Portcullis (LN). Click Srch
27	Highlight DCI1 ADMIN TEAM from the Team List and Select
28	Click Queue
29	Close and Close

The Benefit Inspired Admin Team at Glasgow NC will open the workflow, access their eDCI1 folder, find the relevant eDCI1, record that applicant has failed to attend two appointments and return it to the originating office.  
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## Impostors

The interviewing officer may find that the documents provided by an applicant do not appear to relate to the applicant themselves. In addition to the usual examination of these documents, checks must be made with Glasgow Identity Fraud Team (IFT) to establish if the document has been reported lost or stolen, and referred for further advice if there are questions surrounding their validity.

Step	Action
1	When an interviewing officer identifies a possible impostor, they need to get a second opinion from colleague, countersigner or line manager.
2	If both agree that the applicant is an impostor, the interviewing officer must consider and record all appropriate information during the interview to aid clarification of circumstances
3	The interviewing officer must contact Glasgow IFT to check all the identity documents produced by the applicant. If one or more documents are found to be fraudulent, follow the process as advised by Glasgow IFT.
4	Ask if applicant has any other form of identity document (ID), XXXXXXXXXX XXX XXXX XX XXXXX XX. XXXX XXX XX XXXXXXXX XX, XXXX XX, X XXX XXXX, XXX. XX XXX XXXXXXXXXX XXXX XXX XXXX XXXXX XX, XXX XXX XXXXX XXXXXXXXXXXX, XXXXXX XXXX XXXXXXXX, XXX.
5	If applicant says yes: <ul style="list-style-type: none"> <li>• Allow 24 hours to return to office with second ID. If the applicant needs longer to provide the ID, make your line manager aware</li> <li>• Give applicant the office contact number</li> <li>• Advise applicant that if they do not return or make contact within agreed time, it will affect their application</li> <li>• Make sure the same interviewing officer sees the applicant on their return. If the original interviewing officer is not available, the applicant should be dealt with by the colleague that provided the second opinion that the applicant was an impostor.</li> </ul>
6	XX XX XXXXXX XX XX XXXX XXX XXXXXXXXXXXX XXXXXXXXXXXX XXXX XXXX XXXXX, XXX XXX XXXXXXXXXXXX XX XXXXX XXXXXXXXXX XX XX XX XXXXXXXXXXXX, XXXX XXX XXXXXXXXXXX XXX XXXX XX XXX XXXXXX XX XXXXXXXX: XXXXXXXXXX XXXXXX. XXXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXX XXXX XXX XXXX XXXX XXX XXXXX XX XXXXXXXXXXX X. XXX XXXXXXXX XXXXXXX XXXX XXX X XXXXX XXXXXXXXXXXXXXX XXXX XXXXX XXXX XXXXXXXXXXXX XXXXXXXX XXXX XX XXXXXXXXXXX XXX XXXXXXXXXXX XX XXX XXXXXX.
7	XX XXXXXXXXXXX XXXX XXX XXXXXX XXXXXX XXXXXXXXXXXX XXXX, XXXX XXX XXXXXXXXXXX XXX XXXX XX XXX XXXXXX XX XXXXXXXX:

	XXXXXXXXXX XXXXXX. XXXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXX XXX XXX XXX XXX XXX XXX XXX XXX XXXXXXXXXXX X. XXX XXXXXXXXXXX XXXXXX XXXX X. XXXXXXXXXXX XXX XXX XXXXXXXX XXX XXX X XX XXXXX XXXX XXXXXXXXXXX XXXXXXXXXXX XXXX XX XXXXXXXXXXX XXX XXXXXXXXXXX XX XXX XXXXXXX
8	If applicant returns with ID, conduct a check with Glasgow IFT to rule out a XXXXXXXXXXX XXXXXXXX. Take a photocopy of the second ID and add it to the application. Make sure all photocopies are clear and good quality.
9	XX XXX XXXXXXXXXXX XXXXX XXXX XXX XXXX XXXX XXXXXXX XX, XXXX XXX XXXXXXXXXXX XXX XXXX XX XXXXXXX XX XXXXXXXX: XXXXXXXXXXX XXXXXXX. XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXX XXXX XXX XXXX XXXX XXX XXXXXX XX XXXXXXX XXXXXXXXX X XX XXXXXXXXXXX X. XXX XXXXXXXXXXX XXXXXXX XXXX X.'
10	XX XXX XXXXXXXXXXX XXXXX XXXX XXX XXXXXXX XX XXX XXXXXXXX XXXX XXX XXXX XXXX XXXXXXX XX, XXXX XXX XXXXXXXX XXX XXXX XX XXXXXXX XX XXXXXXX: XXXXXXXXXXX XXXXXXX. XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXX XXXXX XXXX XXX XXXXXX XX XXXXXXXXXXX X XXX XXXX XXX XXXX XXXX XXX XXXXXX XX XXXXXXXXXXX X. XXX XXXXXXX XXXXXXXX XXXX X.'
11	XX XXXXXXX XX XXXXXXXXXXXXXX XXXX XXXXXXXXXXXXXX XXX XXX XX XXXXXXX XXXXXXXX XXX XXXXXXXXXXX XX XX XXXXXXXXXXX XXXX XXXXXXX XX XXXXX, XX XXXXXXXXXXX XXXXXXX XX XXXXXXXX.
12	These cases must be sent to the Mail Opening Unit (MOU) by fully tracked courier service. The MOU will route them by CAMLite following normal scanning and indexing processes to the NINo Integrity Unit (NIU).
13	When received by the NIU, they will: <ul style="list-style-type: none"> <li>• check all interview site LMS action has been completed,</li> <li>• undertake refusal action if relevant or pass the application for processing</li> <li>• collate all relevant intelligence and</li> <li>• complete a low-level referral to Glasgow IFT where appropriate.</li> </ul>

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

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**International Pension Centre – applications for a NINo.**

This is a separate process which the NINo Centre is not involved in.

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### Interpreting services and thebigword

It is DWP policy to use an interpreter when we need to communicate with a person who:

- cannot communicate adequately in English (or in Wales, Welsh)
- is an individual in a vulnerable situation, and
- cannot provide their own interpreter.

If the applicant wants to use their own interpreter they must:

- be competent
- be sufficiently fluent in both languages
- relay information and questions properly, and
- not answer questions themselves.

If an interviewing officer is unhappy with the way an interpreter is behaving they can choose to use thebigword at any time.

DWP staff **must not** use online translation services when communicating with claimants or applicants.

For further information see [Interpreting services policy](#).

### thebigword

DWP's contracted supplier for telephone interpretation services is thebigword. These interpreters work from home and calls are charged from the moment you are connected.

To use thebigword telephone service:

Step	Action
1	Call thebigword primary line on XXXX XXX XXXX. [Telephone number redacted – Exclusion 40 applied – Personal Information] <b>Note:</b> thebigword telephone numbers must never be given out to claimant or applicants.
2	Enter '99', your 6 digit cost centre code and the hash (#) key
3	Enter your 8 digit staff number, followed by the hash (#) key
4	Enter the language code you need, followed by the hash (#) key. The language code can be identified from this table  Where it is difficult to identify the applicant's language, help is available by using the Language Identification Point Card or the services of thebigword.
5	When you are connected to an interpreter take note of their name and identity number
6	Introduce yourself
7	Explain you have a applicant who wants to apply for a National Insurance Number (NINo)
8	Introduce the applicant
9	Allow the interpreter to introduce themselves to the applicant
10	Direct your questions to the applicant and not the interpreter.  <ul style="list-style-type: none"><li>• Be concise and ask one question at a time</li><li>• Observe normal courtesies</li></ul>

	<ul style="list-style-type: none"> <li>• Use direct speech</li> <li>• Avoid jargon and technical terms</li> <li>• Double check if you think there may have been a misunderstanding</li> </ul> <p>If you want to ask the interpreter a question, refer to them as 'interpreter' to avoid confusion.</p>
11	When the call is finished, record the interpreter's name and identification code on the CA5400 at Part 5.

If you are working in the Contact Centre, the applicant needs to remain on the telephone while you contact thebigword.

For further information see how to use thebigword telephone interpreting services and the thebigword desk aide (PDF). You can also use thebigword automated telephone training (for DWP staff only) on XXXX XXX XXXX.

[Telephone number redacted – Exclusion 40 applied – Personal Information]

### Face to face interpreting

For information about DWP policy on face-to-face interpreters, see DWP HR Interpreting Services.

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### Jobcentre Internal Feedback

Jobcentre Internal Feedback (JIF) was launched in January 2011 to enable all staff to provide feedback to colleagues on issues that affect a customer's journey.

The benefits are:

- it promotes effective communication between three arms of the business such as the Contact Centres, Evidence of Identity (EOI) interviewing sites and the NINo Centres (NC).
- a 'Right First Time' approach reduces avoidable contact
- real time feedback direct to source.
- allows users to explain impact on the customer experience, and therefore, improve the understanding of the customer journey for front line staff

The categories used for JIFs are:

- **Caused official error** - An official error is one that is the Department's responsibility, which no one else has contributed to, to make the decision wrong. This could be in the form of incorrect information being taken at initial contact stage, such as wrong address recorded on LMS.
- **Caused avoidable contact** - Avoidable contact is contact that the customer should not have to make, such as a phone call or face to face contact at an EOI site.
- **Had an impact on a Key Performance Indicator (KPI)** – KPIs are the benchmarks that performance is measured against.
- **Delayed a payment** - This category is not likely to be used often within NINo Provision, but could occur on an eDC11 case.
- **Compliment** - used to give praise, if someone has given excellent service to a customer or a colleague

When it has been identified that an error has occurred, the JIF form needs to be completed by the officer who has identified the error. The template is usually held within local site shared folders, ask your line manager for further details.

### **Sending a JIF**

<b>Step</b>	<b>Action</b>
1	Open JIF Excel form
2	Enter your name
3	Enter the name of the officer, team or location you want to send feedback to
4	Enter their Site LMS Mnemonic - press Ctrl+R to see a list. Click Yes if the site is correct, or No to change it.
5	Enter the 'Customer's name'
6	Enter the customer's NINo or LMS Reference number
7	Select the type of feedback from the dropdown list
8	Customer Group is optional and should only be completed when providing feedback regarding a Benefit Inspired applicant
9	Enter your feedback in the free text box at the bottom, including: <ul style="list-style-type: none"> <li>• what happened</li> <li>• what should have happened</li> <li>• the impact it had on the customer</li> </ul>
10	When all information has been recorded click 'Send to line manager'
11	If you want to continue, click Yes
12	The JIF appears as an attachment in a new email
13	Add a note of explanation in the message box if needed, then send the email to your line manager.

The line manager will then review the JIF and the comments made. If they agree with the content, they will send the form by email to the office where the error was made. They will need to copy the email to 'DWP NINo JIF Control' inbox, where the JIFs will be logged and monitored.

### **Receiving a JIF**

When a JIF is received, it is sent to the line manager of the person the feedback is for.

<b>Line manager action</b>	
1	Review the JIF and feed back to the member of staff
2	Click the link on the JIF to confirm feedback has been given. This creates an email automatically populated with the details of the person, and the line manager of the person, who originally sent the JIF.
3	In the email, consider explaining how the feedback was acted on, such as identifying a training need or reminding the team to complete a process step
4	If you think the feedback is not appropriate, click 'Feedback not given' link on the JIF. This creates an email automatically populated

	with the email address of the team leader of the person who raised it, and the single point of contact.
5	In the body of the email, explain why the feedback has not been given.
6	All JIF emails must be copied to 'DWP NINo JIF Control' inbox. The responses are logged and monitored.
7	Send the email to the team leader.

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### **Language/ID at risk/Immigration**

- ID at risk box
- NIFU box
- IND Interest box

#### **ID at risk box**

Where the ID at risk box is set to 'Y' on the CIS record, the decision maker must seek advice from the NINo Service Line Team, via the NINo Centre gatekeeper.

#### **NIFU box**

Where the NIFU box is set to 'Y' on the CIS record, the decision maker must refer the case to the National Identity Fraud Intelligence Desk (NIDFID) by email to JCP Houghton le Spring NIDFID FIS via the NINo Centre gatekeeper. NIDFID will provide the decision maker with advice by email, based on the intelligence held as to whether the NINo needs to be upgraded.

When NIDFID have not identified any reason for not upgrading, the decision maker will continue to take appropriate action to upgrade.

If the NINo has been upgraded, the decision maker will send an email to NIDFID JCP Houghton le Spring NIDFID FIS with details of the upgrade.

#### **IND Interest box**

Where the IND Interest box is set to 'Y' on the CIS record, the decision maker must complete and send an Evidence and Enquiry Request Proforma to the Home Office to establish the applicant's current status. If after the response the status is unclear, contact the NINo Service Line Team, via the NINo Centre gatekeeper and await further instruction.

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### **Mac letters**

In Labour Market System (LMS) customer records, the forename and surname fields are completed and displayed as capital letters. When letters are printed, LMS correctly changes the text to capital and lower case letters. The exception to this is that LMS views every surname beginning with the letters 'Mac' as being a Scottish name when it prints letters, by capitalizing the letter after the 'c' in the name. For example, the surname 'Machin' appears on a letter as being MacHin, which is incorrect. In these cases, send a MAC letter.

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## Names – how to record names on NINo application

Names to be included on the NINo application include:

- Names the applicant has ever used in the past
- Names the applicant has been known as
- Names the applicant is using at the same time
- Variations of spelling/misspelling or transcription errors of names on documentation used to prove identity
- Any other misspellings should only be recorded where the applicant states they use or will use that name
- Married names not adopted following marriage
- Maiden name – name before first marriage
- Name at birth
- Names the applicant wants to be known by when dealing with DWP/HMRC if different from their primary identity documents.

This list is not exhaustive.

### How to record Non English name characters

If an applicant's name(s) stated in their passport or Identity Card contains non English characters, the 'plain' letter from the English alphabet must always be used when recording the name on the CA5400, and later on CIS, for example:

Non English name characters	Plain English
ä	a
ö	o
ü	u
ø	o

In these cases, the Machine Readable Zone (MRZ) on the passport or Identity Card will often display a different spelling of the applicant's name(s), for example: ä will be replaced with ae, ö will be replaced with oe and so on, which replicates the pronunciation of the name.

This version of the applicant's name must only be recorded on the CA5400/CIS if the applicant informs us that they use this spelling. Record this as an additional name on the CA5400 and a 'Historic' name on CIS. The exception to this is the German language uses a "ß" which is called an "eszett". This is an abbreviation for "ss" and is interchangeable.

For languages that significantly differ to English, or other European, Latin or Germanic derived languages, for example Russian, Chinese or Arabic, the MRZ data strip of the passport or Identity Card must be used to record the name.

### How to record names on application, LMS, CIS and eNIRS:

Scenario	Record on CA5400 at Q1 and 2	Record on CA5400 at Q4	Record on LMS	Record on CIS
1. Applicant states name is Masing Bawe but immigration	Forename: Bawe  Surname:	Forename: Masing  Surname:	Forename: Masing  Surname:	Name Type 1:  Forename:



document states surname MASING and forename BAWE	MASING	BAWE	BAWE	Bawe Surname MASING Historic name: Forename: Masing Surname: BAWE
2. Applicant has recently married and is using name Louise SMITH, but her passport still shows Louise JONES.	Forename: Louise Surname: JONES	Forename: Louise Surname: SMITH	Forename: Louise Surname: SMITH	Name Type 1: Forename: Louise Surname: JONES Historic Name: Forename: Louise Surname: SMITH
3. Applicant wants to use surname HARVEY-SMITH but passport states surname is HARVEY only.	Surname: HARVEY	Surname: HARVEY-SMITH	Surname: HARVEY SMITH	Name Type 1: Surname: HARVEY Historic Name: Surname: HARVEY-SMITH
4. Applicant has used name Dinelle GRAHAM throughout her life, she does not have a passport but her birth certificate states name is Dinell GRAHAM.	Forename: Dinell Surname: GRAHAM	Forename: Dinelle Surname: GRAHAM	Forename: Dinelle Surname: GRAHAM	Name Type 1: Forename: Dinell Surname: GRAHAM Historic Name: Forename:

				Dinelle Surname: GRAHAM
5. Applicant uses only one name, Pinky and her passport states forename is Pinky and surname is blank.	Forename: Pinky		Forename: Pinky  Surname: PINKY	Name Type 1:  Surname: PINKY (this will allow the record to be traced on CIS)
6. Applicant's ID card holds Michael Martin GREENE but the applicant wants to be known as Michael GREENE.	Forenames: Michael Martin  Surname: GREENE		Forename: Michael  Surname: GREENE	Name Type 1:  Forename: Michael Martin  Surname: GREENE  Historic Name:  n/a dropping his second forename is irrelevant
7. Applicant has a French ID card which shows maiden surname DUBOIS and married surname LE BLANC. Applicant wishes to use maiden surname as she only used married surname in France.	Surname: DUBOIS	Surname: LE BLANC	Surname: DUBOIS	Name Type 1:  Surname: DUBOIS  Historic Name:  Surname: LE BLANC  (as both surnames are shown on her ID card, we would follow her preference and enter her maiden name on CIS)
8. Applicant's name reads on data strip as KUMAR<RAJESH<	Forename: Rajesh  Surname:		Forename: Rajesh  Surname:	Name Type 1:  Forename:

and is not split into forename and surname, but applicant states forename is Rajesh and surname KUMAR.	KUMAR		KUMAR	Rajesh Surname: KUMAR
9. Applicant has a Romanian passport which shows her forenames as: Elena Adriana and her surname .as MIHAILESCU  She also presents a Romanian ID card showing her forename as Elena-Adriana and surname as MIHAILESCU.	Forenames: Elena Adriana  Surname: MIHAILESCU	Forename: Elena- Adriana  Surname: MIHAILESCU	Forenames: Elena Adriana  Surname: MIHAILESCU	Name Type 1:  Forenames: Elena Adriana  Surname: MIHAILESCU  Historic name:  Forename:  Elena-Adriana  Surname:  MIHAILESCU
10. Greek passport/ID card states surname as SKIAOU OR SHQAU. Applicant states spelling should be SKIAOU.  <b>Note: The word 'OR' must not be recorded as being part of either name</b>	Surname: SKIAOU	Surname: SHQAU	Surname: SKIAOU	Name Type 1:  Surname: SKIAOU  Historic name:  Surname: SHQAU
11. Applicant has a surname which contains an apostrophe:  John O'Connor  <b>Note: Apostrophes cannot be entered in LMS, and using a space prevents</b>	Forename:  John  Surname:  O'CONNOR		Forename:  John  Surname:  OCONNOR	Name Type 1:  Forename:  John  Surname:  O'CONNOR

<p><b>a wildcard trace. The decision maker must use the MAC Allocation letter to notify the applicant of their NINo.</b></p>				
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**Note:** Surname on MRZ is indicated by two left facing arrow after the name, for example SMITH<<HELEN<  
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## **Name Type 1 and Name Type 2**

### **Name Type 1**

This is the name held on the applicant's identity document. All correspondence is issued to the applicant using Name Type 1, unless a Name Type 2 or Requested Form of Address is held.

### **Married name not recorded on identity document**

If the applicant states they are married and using a different name to that recorded on their identity document you must record the name on the identity document as Name 1 and their married name as Historic Name.

### **Name Type 2**

This is used when a person uses two names concurrently, such as an author, singer or doctor etc. Proof of this concurrent name can be obtained from a contract of employment or other work related docs. Applicants with Name Type 2 are rare. **Name 2 must not be used for nicknames or shortened names.**

When you record a name as Name Type 2 on CIS/eNIRS, this name takes preference over Name Type 1. All correspondence to the applicant will be issued in the Name 2 unless a Requested Form of Address is present.

### **Requested Form of Address**

This is used when a person uses a title or style of address that is not catered for by the title, first forename, other forename(s) and surname fields, such as Lord John Smith, OBE.

If a requested name is held all correspondence is issued using this name  
When all Other Names data has been input, the user must select Next to go to the Add Address screen.

It is not mandatory to enter Other Name data. If **no** Other Name data exists the user must select the Next button to go to the Add Address screen.

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### **NINo Centre contact details**

- Glasgow NC
- Isle of Wight NC

**Glasgow NINo Centre**

Covers the following regions:

- London and Home Counties
- Scotland

**Applications processed at Glasgow NINo Centre:**

- Evidence of Identity
- Benefit Inspired
- Student Loan
- Home Office Visa Postal
- Non EOI Fastpath
- Self-employed

**Internal courier address:**

Glasgow NINo Centre

**External address:**

Glasgow NINo Centre  
Mail Handling Site A  
Wolverhampton WW98 1BR

**Customer contact number:**

0345 641 5008

**eDCI email address**

XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
XXXXXXXXXXXX

**Isle of Wight NINo Centre**

Covers the following regions:

- Central England
- North East and North West
- Southern England
- Wales

**Applications processed at Isle of Wight NINo Centre:**

- Evidence of Identity

**Internal courier address:**

Isle of Wight NINo Centre

**External address:**

Isle of Wight NINo Centre  
Mail Handling Site A  
Wolverhampton WV98 1ST

**Customer contact number**

0345 603 0526

[Email address redacted – Exclusion 40 applied – Personal Information]

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## Non-UK terms for Civil Partnership

Country or Territory	Relationship known as:
Andorra	unió estable de parella
Australia: Tasmania	Significant relationship
Belgium	marriage
Belgium	cohabitation légale, wettelijke samenwoning, gesetzliches zusammenwohnen
Canada	Marriage
Canada: Nova Scotia	domestic partnership
Canada: Quebec	union civile, civil union
Denmark (including Greenland)	registreret partnerskab
Finland	rekisteröity parisuhde, registrerad partnerskap <sup>1</sup>
France	pacte civil de solidarité
Germany	Lebenspartnerschaft
Iceland	stafesta samvist
Luxembourg	partenariat enregistré, eingetragene partnerschaft
Netherlands	Marriage
Netherlands	geregistreerd partnerschap
New Zealand	civil union
Norway	registrert partnerskap
Spain	Marriage
Sweden	registrerat partnerskap
USA: California	domestic partnership
USA: Connecticut	civil union
USA: Maine	domestic partnership
USA: Massachusetts	Marriage
USA: New Jersey	domestic partnership
UK	Civil Partnership

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## Overrides

When allocating a National Insurance Number (NINo) in CIS, the system may identify a number as a possible trace for the applicant. If the details do not match the applicant and the number is to be discounted this is an Override.

Step	Action
1	Access the applicant's LMS record
2	Select Nino/Ref no and the appropriate application if necessary
3	Select Decision tab, click amend and in the Information for NIFU box enter: 'All possible traces discounted'
4	Select Save and close

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### Post allocation checks

After the allocation/amendment action on CIS, all scanned application forms and supporting material must be retained on DRS Portal pending the security checker's notification of the cases selected for checking. For the duration of the HMRC data sharing tactical solution all cases will have been transferred to HMRC within an agreed data set.

Using a secure print issued by CIS, the Secure Print Officer (SPO) must make sure the cases required for checking are identified for each of the relevant checks:

- JCP00057
- JCP00003

When the Secure Print Operator has identified the cases required for checking, they must retrieve the relevant application forms and accompanying documentation from the retained scanned authorised cases.

When the checking officer has undertaken their checks, see Agreed error checks, the appropriate validation activity has taken place, see BCS desk aid and the applications are no longer required. When the check has been performed, it must be registered on BCS under check type number (as appropriate) and noted in LMS.

If the checking officer has established that a NINo has been upgraded in error, a CIS3 must be completed and forwarded to CIS Frontline Services for the NINo account to be rectified.

Copies of the application and supporting evidence must be retained in DRS Portal for 3 years for audit purposes.

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### Refusing a NINo application

The decision maker may decide to **refuse** an application because the applicant:

- has been unable to prove their identity
- has been unable to prove their RTW
- has failed to provide enough information, for example self-employment
- has provided evidence which has been identified by NIU as not being genuine such as NIU advice, or
- has not replied to correspondence, or has failed to attend a rework interview, and their evidence is therefore incomplete.

Where the NINo has been refused, the decision maker must:

Step	Action
1	Issue the appropriate LMS NINo refusal letter to the applicant. For self-employed applications you need to print and destroy the LMS refusal letter, then complete and issue either a SERL 1, SERL 1A or SERL 2
2	Note the reason for the refusal on LMS in the Information for NIFU box within the Decision tab

3	For Benefit Inspired applications, complete the eDCI1 form and return it to the originating office, see Returning the eDCI1 form
4	<p>If the NINo application has been refused for the following reasons:</p> <ul style="list-style-type: none"> <li>• No Right to Work in the UK</li> <li>• No Right to Reside in the UK</li> <li>• Identity has not been proven</li> <li>• Employment or self-employment evidence is proven to be false</li> </ul> <p>Make sure a Workflow is sent to the Identity Fraud Team, via LMS, to enable referral of intelligence to other government departments where appropriate.</p>

Following refusal action, the decision maker must authorise the decision on LMS. After authorisation and completion action has taken place, close LMS and update CAMLite.

### Refusal action on LMS

Step	Action
1	Enter LMS number in the Client screen
2	Click Search
3	Select NINo/RefNo Hotspot on customer's record
4	Click the Decision tab
5	Click Amend
6	<p>From Decision dropdown list, select correct refusal reason:</p> <ul style="list-style-type: none"> <li>• Refused-NINo not required</li> <li>• Refused-not enough info</li> <li>• Refused-RTW not established</li> <li>• Refused-NIFU advice</li> <li>• Refused-EOI uncorroborated</li> </ul>
7	Click Save and OK
8	Select Print tab
9	Select Refusal letter, then click print and OK.
10	Select Not Checked hotspot
11	Select Amend tab
12	Enter today's date in the Authorisation Date field
13	Save and OK, then Hide
14	Select Amend tab
15	Enter today's date in the Completion Date field
16	Save and OK
17	Click Conv tab
18	Click New
19	Input reason for refusal
20	Click Save and OK
21	<p>Send NINo decision letter to applicant.</p> <p><b>Note:</b> If the applicant's name begins with 'MAC', see MAC letters in the NINo A-Z forms and letters.</p>



### To send an LMS workflow to IFT

Step	Action
1	The applicant's LMS View Client Details screen must be open
2	Click Queue button at the bottom right of LMS screen
3	Create New Workflow Queue window will appear
4	Select Follow Up Opportunity from Action type dropdown menu
5	Leave Required date as today's date
6	Select High from Priority dropdown menu
7	In Description box, enter the reason for refusing the application
8	Select Team from Queue To dropdown menu
9	Click Select button, Team Search window will appear
10	Click on the Office dropdown menu and select Other Local Office from the window that appears
11	Enter GLP in Mnem box then press Enter key on the keyboard
12	Click Srch button in the Team Search window
13	Highlight DET NIFU from Team list window
14	Click Selct button
15	Click Queue button in the Create New Workflow Queue Action window
16	Close Client details

### Refusal action on CAMLite

Step	Action
1	Access CAMLite queue and access the appropriate record in My Cases
2	In Cases View, select Closed in status dropdown in Tasks section at the bottom of the screen
3	Select Closed from the Case Resolution drop down menu in Case Details.
4	Enter a note in the Notes field to add a brief explanation for the decision.

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### Retaining a document from an applicant

When a document examination officer from the Identity Fraud Team (IFT) advises you to refer a document to them for further examination:

Step	Action
1	Tell the applicant that their document/s needs to be sent with their National Insurance Number (NINo) application for additional security checks. They will be contacted when the document is returned.
2	Complete receipt and give a copy to the applicant. Tell them to bring it back with them when they collect their document/s.
3	Complete all other outstanding interview action but leave 'In process'. Do not put the application into transit on LMS.
4	Complete the Document tab in the NINo hotspot with the following

	information: <ul style="list-style-type: none"> <li>• Enter today's date in Documents Examined</li> <li>• Enter today's date in Receipt Issued</li> <li>• Enter document number in the appropriate field</li> <li>• Select Nationality from the dropdown list</li> <li>• Record IFT reference number in the Notes box and record that document has been referred to IFT.</li> </ul>
5	Note in Conversations that document has been retained for IFT

When the interview has been completed and the applicant has left, take the following action:

Step	Action
1	Complete form MG11 witness statement or PF11S (Part 1) Scotland and PF11S (Part 2) Scotland. Print two copies, one to keep with the CA5400 and one to be sent with the document to IFT
2	Copy all pages of CA5400 and all supporting evidence
3	Complete DCI10H.
4	Complete TNT book and TNT pouch
5	Put document/s, <b>copy</b> of CA5400, DCI10H and MG11 in a purple courier pouch, and then an orange pouch
6	Send the orange pouch to the Identity Fraud Team and marked as 'Restricted & In Confidence. To be opened by addressee only'
7	Attach a note to the front of the CA5400 to explain document/s sent to IFT
8	File <b>original</b> CA5400 and copies of MG11 and DCI10H at Evidence Of Identity (EOI) site in a locked cabinet pending result from IFT.

### Failure to submit identity document when requested

When an applicant refuses to submit their document for further checks:

Step	Action
1	Call the document examination officer who requested the document(s) and tell them that the applicant is failing to submit the document.
2	Complete the EOI interview in full and update LMS in the usual way
3	Put a note in LMS conversations: 'Important: Do not allocate a NINo, original CA5400 and copies of documents referred to the Identity Fraud Team in Glasgow'.
4	<b>Original</b> CA5400 and <b>original</b> photocopies must be sent to the Identity Fraud Team and marked as 'Restricted & In Confidence. To be opened by addressee only'.

### Document found to be genuine

If after two individual document examinations the document is deemed to be genuine, it will be returned to the EOI interviewing site. The interviewing officer must contact the applicant to make arrangements for them to collect their identity documents from the office. The applicant must be advised to attend in person to collect their documents and bring their receipt. The original

CA5400 with supporting evidence can be sent to the NINo Centre (NC). Update LMS when the applicant has collected their document. If the applicant fails to collect their identity document after 3 months, contact IFT to make arrangements to return the document to them.

**Document found to be invalid**

When a document is found to be invalid it will be returned to the embassy of the country of origin. A letter will be sent by IFT explaining to the applicant what has happened to their document and what they need to do next. IFT will notify the EOI interviewing site to explain what has happened to the document and what action to take.

**Document found to be manipulated or counterfeit**

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Step	Action
1	XXXXX XXXX XXX XXX X XXXXXXXXXXXX XXXXXXXXXXX XXX XXX XXXXXXXXXXXX XX XXXXXXX XXX XXXXXXX
2	XXXXXXXX XXX XXXXXXXXXXXX XX XXXXXXXXXXXX XX XXX XXXX XXXXXX XXX XXXXXXX XX XXX XXXX XXX XXXX XXX XXXX XXXXXXX XXXX XXX XXX. XXXX XXXX XX XXXXX XXXXX
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[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

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**Second day action**

eNIRS will only accept one name on a customer record per day. For customers who have used more than one name, the additional names must be entered onto the system on separate days. This is known as second day action.

Step	Action
1	Open eNIRS
2	Enter NINo in Adult Registration Update screen
3	Click Submit NINo
4	Click Name tab
5	Click Insert
6	Input Title from dropdown
7	Input Surname
8	Input First Forename
9	Input Second Forename if required
10	Input Start date as today's date
11	Click Update
12	Click OK
13	If working from a Task, update CAMLite to note '2nd day action complete'

This process will be repeated each day until all names are captured in eNIRS  
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### SMS texting

SMS texting has a limited scope within NINo Provision. An SMS text reminder is sent to two customer groups only. Benefit Inspired applications are sent a notification of their appointment and Visa Postal applicants are sent a reminder to return the form.

### SMS Superuser checking

The Superuser function is a management function. Superusers are responsible for producing and reporting management information as needed by their part of the business and reviewing messages sent by their users. This can be reported weekly and monthly and will show the volume of messages sent, delivery status of the message (sent, failed, error and pending), who sent the message and the text content of the message sent. Using this management information, Superusers should make sure their users are sending out messages that comply with data standards. See SMS user guide for carrying out reviews.

Superusers must make sure that all licenses are live and in use. Any licenses not in use must be reassigned to new users.

### SMS text templates

Title of template	SMS wording	
NINO – GNC Benefit	Remember your appointment about a National Insurance number is on [date] at [time] at [venue]. If you have any problems call 03456415008 as we can't progress your	Cofiwch fod eich apwyntiad am rif Yswiriant Gwladol ar [date] am [time] yn [venue]. Os oes gennych unrhyw broblemau, ffoniwch 03456088545 gan na allwn symud

	<p>application if you don't attend. Please ignore this message if you have already rearranged your appointment.</p>	<p>ymlaen â'ch cais os na fyddwch yn bresennol. Anwybyddwch y neges hon os ydych eisoed wedi aildrefnu eich apwyntiad.</p>
<p>NINO – GNC Benefit L&amp;HC</p>	<p>Remember your appointment about a National Insurance number is on [date] at [time] at [venue]. If you have any problems call 02073016771 as we can't progress your application if you don't attend. Please ignore this message if you have already rearranged your appointment.</p>	<p>Cofiwch fod eich apwyntiad am rif Yswiriant Gwladol ar [date] am [time] yn [venue]. Os oes gennych unrhyw broblemau, ffoniwch 02073016771 gan na allwn symud ymlaen â'ch cais os na fyddwch yn bresennol. Anwybyddwch y neges hon os ydych eisoed wedi aildrefnu eich apwyntiad.</p>
<p>NINO – IOWNC Benefit</p>	<p>Remember your appointment about a National Insurance number is on [date] at [time] at [venue]. If you have any problems call 03456030526 as we can't progress your application if you don't attend. Please ignore this message if you have already rearranged your appointment.</p>	<p>Cofiwch fod eich apwyntiad am rif Yswiriant Gwladol ar [date] am [time] yn [venue]. Os oes gennych unrhyw broblemau, ffoniwch 01983273037 gan na allwn symud ymlaen â'ch cais os na fyddwch yn bresennol. Anwybyddwch y neges hon os ydych eisoed wedi aildrefnu eich apwyntiad.</p>
<p>NINO – GCN UK Visa</p>	<p>Please complete and return your application for a National Insurance number by [date]. If you have any problems call 03456415008 as we can't progress your claim without it. Please ignore this message if you have already returned your form.</p>	<p>Cwblhewch a dychwelwch eich cais am rif Yswiriant Gwladol erbyn [date]. Os oes gennych unrhyw broblemau, ffoniwch 03456088545 gan na allwn symud ymlaen â'ch cais hebdo. Anwybyddwch y neges hon os ydych eisoed wedi dychwelyd eich ffurflen.</p>
<p>NINO – IOWNC UK Visa</p>	<p>Please complete and return your application for a National Insurance number by</p>	<p>Cwblhewch a dychwelwch eich cais am rif Yswiriant Gwladol erbyn [date]. Os oes</p>

	[date]. If you have any problems call 03456030526 as we can't progress your claim without it. Please ignore this message if you have already returned your form.	gennyich unrhyw broblemau, ffoniwch 01983273037 gan na allwn symud ymlaen â'ch cais hebdo. Anwybyddwch y neges hon os ydych eisoes wedi dychwelyd eich ffurflen.
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### Social security numbers – names by country

This list is not exhaustive.

Country	Type of number	Name of number
Argentina	Unique Taxpaying code	Código Único de Identificación Tributaria
Australia	Tax File number	Tax File number
Austria	Social Security number	SSN
Belgium	National number	National number
Brazil	Tax code number	Cadastro Nacional da Pessoa Jurídica
Bulgaria	Uniform Civil number	Единен граждански номер or Edinen grazhdanski nomer
Canada	Social Insurance number	Social Insurance number
Chile	National Identity number	Rol Único Tributario
Colombia	Taxpayer Identity number	Número Único de Identificación Personal
Croatia	Personal Identification number	Osobni identifikacijski broj
Cyprus	Social Insurance number	Social Insurance number
Czech Republic	Birth number	Rodné číslo
Denmark	Personal Identification number	CPR (Det Centrale Personregister)
Estonia	Personal Identification code	Isikukood
Finland	Personal Identity code	Henkilötunnus
France	Social Insurance number	INSEE code
Germany	Taxpayer Identification number	Steuerliche Identifikationsnummer
Greece	Social Security number	Αριθμός Μητρώου Κοινωνικής Ασφάλισης
Hungary	Social Security number	Társadalombiztosítási azonosító jel (TAJ)
Iceland	Personal Identification number	Kennitala
Ireland	Personal Public Service Number	Personal Public Service Number

Italy	Fiscal code	Codice Fiscale
Latvia	Personal code	Personas Kods
Lithuania	Personal code	Asmens Kodas
Luxembourg	Social Security number	Social Security number
Malta	Social Security number	Social Security number
Moldova	Personal code	Numarul de Identificare
Netherlands	Personal number	Burgerservicenummer
New Zealand		
Norway	Personal number	Personal number
Poland	PESEL	Powszechny Elektroniczny System Ewidencji Ludności
Portugal	Social Security number	Segurança Social
Romania	Personal code	Cod Numeric Personal
Serbia	Unique Master Citizen Code	Јединствени матични број грађана
Slovakia	Birth number	Rodné číslo
Slovenia	Unique Master Citizen Code	Enotna matična številka občana
Spain	National Identity number	Seguridad Social
Sweden	Personal Identity number	Personnummer
Switzerland	Social Security number	Social Security number
Turkey	Personal Identification number	Türkiye Cumhuriyeti Kimlik Numarası
United States	Social Security number	Social Security number

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## Tracing a NINo on applicant's request

### Enquiries received from applicant in relation to their National Insurance number card (RD3)

Her Majesty's Revenue and Customs (HMRC) no longer issue plastic cards. New adult National Insurance number (NINo) applicants will continue to receive notification of their NINo in their decision letter.

If the applicant thinks they already have a NI number but cannot remember it, or they request a replacement card, they should contact the HMRC NI Registration helpline on 0300 200 3200 and ask for a "letter of confirmation" of their NI number or a form CA5403 to complete. For more information see the Jobcentre Plus Customer Service National Insurance Number webpage.

### Applicant enquiry face to face

If an applicant attends any DWP office to request confirmation of their NINo, advise them to complete CA5403 application form available on [www.hmrc.gov.uk](http://www.hmrc.gov.uk).

In very exceptional circumstances, if the applicant requires the NINo urgently, use Customer Information System (CIS) to attempt to trace the NINo. If the applicant's identity documents can be checked and confirmed, confirmation of the NINo can be issued to the applicant by using the NINo Tracing letter.

If the applicant's identity cannot be confirmed, or there is any doubt surrounding the applicant's identity, the NINo must not be disclosed. The

applicant should be asked to provide additional information in order to confirm their identity.

### **Referrals from HMRC**

HMRC Contact Centre will not be able to deal with an applicant's enquiry for confirmation of their NINo if the applicant:

- cannot satisfy HMRC with regard to their identity
- has an unsafe address
- does not have a NINo, or
- has a NINo which is not National Insurance Pay as you Earn System (NPS) maintained.

### **HMRC cannot confirm the applicant's identity**

If an applicant has provided information to HMRC which does not match the information held on NPS, the applicant will be advised to attend their nearest DWP office with evidence to prove their identity.

When an applicant attends a DWP office with an explanatory note from HMRC along with the necessary documentary evidence as proof of their identity, DWP staff should try to trace the applicant's details on CIS.

If, in the exceptional circumstances that the applicant either requires the NINo as a matter of urgency or has been referred back to DWP by HMRC, and the applicant has provided evidence of their identity and only requires confirmation of their NINo, this can be provided by issuing the NINo traced letter.

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### **Tracing action**

You must establish that an applicant does not have an existing National Insurance Number (NINo) on Customer Information System (CIS) before allocation action is taken. If you are in an EOI interviewing site, see Tracing action in an EOI interviewing site instructions.

Tracing an applicant in CIS may produce a list of any possible traces. Each must be checked to establish if it belongs to the applicant.

When a National Insurance Number (NINo) is traced, make sure the CIS record relates to the identity documents and information provided to support the application.

When you have done the CIS trace, one of the following will apply:

- No trace in CIS
- Possible trace(s) identified in CIS
- Confirmed trace – NINo Verified, Qualified or Not Verified

### **No trace**

If there are no possible traces and the applicant satisfies the appropriate identity and right to work (RTW) conditions, a NINo must be allocated in CIS.

### **Possible trace(s) identified in CIS**

If a NINo is found that might belong to the applicant, check the following details in CIS to see if they match those provided by the applicant:

- name history
- address history and



- date of birth

If a National Insurance Pay as You Earn System (NPS) (eNIRS2) account exists, checks must be made against the addresses, marriage details, contribution details and liability dates held there.

If there are not enough details to establish that the traced NINo belongs to the applicant, they must be asked for further information. This might be in relation to former names, addresses or benefit history that is recorded on the CIS record, see BF process.

If the NINo was allocated by a NINo Centre (NC) within the last three years, consider viewing the associated CA5400 and documents used at the time, to establish whether the NINo belongs to the applicant:

- If the NINo was allocated by an NC up to and including the 20 November 2013, a copy of the original CA5400 and documents can be requested from HMRC by email. In the email, state the NINo and name as recorded on CIS, and your name and NC address so the copies to be sent to you.
- If a NINo was allocated by an NC after the 20 November 2013, a copy of the original CA5400 and documents can be viewed via the DRS Portal.
- If the traced account was created before 1975, it might be necessary to request the clerical records from HMRC RF1 Team by completing form MF15.

If a possible trace is being discounted, make a note of the reasons for doing so, in case it later comes up as an override during the NINo allocation process.

### **Confirmed trace – NINo Verified, Qualified or Not Verified**

If sufficient details match and the decision maker is confident that the NINo belongs to the applicant, check the NINo Verification Level. The verification level is shown at the top right hand side of the Account Summary screen.

This will either be:

- Verified
- Qualified or Not Verified in CIS

### **Traced NINo Verification Level is Verified**

If the traced NINo is already verified in CIS the decision maker must:

<b>Step</b>	<b>Action</b>
1	Take a screen print from CIS of the Account Summary page and any other relevant pages
2	Highlight the matching personal details on the print and note Trace at the top of the page
3	If further information was obtained, note an explanation of how it was confirmed that the NINo belongs to the applicant on the Account Summary page print.
4	In LMS, under the Trace tab, insert the NINo, set Confirmed as Correct to Yes and type Level 1 in the Verification Level box
5	In LMS, under Decision tab, select Amend and set Decision dropdown menu to Traced (The NINo will pull through from the input on the Trace tab) and click on Save

	Note any action taken to confirm the NINo in the 'Information for NIFU' notes box
6	Print and destroy the letter to clear the LMS action, the letter must not be sent to the applicant. The NINo traced letter must be printed and sent to the applicant.
7	Complete authorisation and completion action on LMS as follows: <ul style="list-style-type: none"> <li>• Select Not Checked hotspot</li> <li>• Select Amend tab</li> <li>• Enter today's date in the Authorisation Date field</li> <li>• Save and OK, and then hide</li> <li>• Select Amend tab</li> <li>• Enter today's date in the Completion Date field</li> <li>• Save and OK</li> <li>• Close decision screen</li> <li>• Close View Clients Details screen</li> </ul>
8	In eNIRS, establish whether there is an NPS account. If not NPS maintained, create an NPS account through eNIRS. If personal details need to be changed in CIS, complete an eCIS500 to notify any amendments to personal details. If an eCIS500 is sent, record in the 'Information for NIFU' box on LMS, include what was entered on eCIS500 for change, for example name, address etc. <b>Note:</b> No changes must be made to any details held on eNIRS if an NPS account is already held.
9	If the applicant's name has changed as a result of marriage or a civil partnership complete a CA8437. If the applicant's name has changed for any other reason, such as divorce or deed poll, complete a CA8438.
10	Note if the NINo is NPS maintained, on the Account Summary page print. Pass the Account Summary page print to the team leader.
11	Complete DRS by ticking all boxes and then click Bulk Update. Insert NINo in the box and click Update.
12	In CAMLite, insert the NINo into the notes box, type Traced next to it and note if the NINo was already NPS maintained. Set the Status to closed and set Case Resolution to NINo Allocated.

### **Traced NINo Verification Level is either Qualified or Not Verified**

If the traced NINo has the Verification Level recorded in CIS as either Qualified or Not Verified, it must be upgraded. However, before taking action to upgrade the NINo, check the entries in the 'Language/ID at risk/Immigration' box in the CIS Account Summary screen. If there is a Y against any of the ID at risk, NIFU or IND Interest boxes, there is further action to be taken, see Language/ID at risk/immigration instructions. If there is not a Y against those three boxes, see Upgrading a NINo instructions.

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## Tracing action at the Evidence of Identity interviewing site

If during the evidence of identity (EOI) interview, information suggests that the applicant might have an existing NINo, you need to conduct a trace on the Customer Information System (CIS). Consider alternative names, spellings and other information including:

- changes of surname
- date of birth X XXXXXXXXXXXXXXXX XXXXXXX XXX XXXXXXX XXXX  
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- XXXXXXXXXXXXXXX X XXXXXXX XXXXXXX XXXX XXXXXXX XX  
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[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

## NINo traced but verification level is Not Verified

When completing the CIS trace, if the Account summary tab shows the verification level as Not Verified:

Step	Action
1	Continue the EOI interview, recording the following details at Part 4: <ul style="list-style-type: none"> <li>• details of how it relates to the applicant, such as previous address</li> <li>• any other relevant information</li> </ul>
2	If the applicant does not have primary identification documents, copy all supporting documents and record the following details at Part 4: <ul style="list-style-type: none"> <li>• parent's names, date of birth, addresses</li> <li>• siblings names, dates of birth, addresses</li> <li>• applicant's previous addresses</li> </ul>
3	Record the traced NINo in the Interviewing Site Official Use section on the back page

## NINo traced and the verification level is Verified

When completing a CIS trace, if a NINo is traced and confirmed as relating to the applicant using standard identity checks, and it does not need upgrading:

Step	Action
1	Check if the traced NINo is NPS (NIRS) by viewing the Interests History tab in CIS
2	If the NINo is not NPS maintained, the EOI interview should continue and the following detail captured at Part 4: <ul style="list-style-type: none"> <li>• details of how it relates to the applicant, such as previous address</li> <li>• any other relevant information</li> </ul>
3	If the NINo is NPS maintained, the interview must be withdrawn on

	<p>Labour Market System (LMS):</p> <ul style="list-style-type: none"> <li>• open applicant's record</li> <li>• select NINo/RefNo</li> <li>• select Wdraw tab</li> <li>• select 'NINo already exists' as the reason for withdrawal</li> <li>• select Save, and Close</li> <li>• select Amend</li> <li>• delete the LMS Ref. No. and insert NINo on the applicant's record</li> <li>• update conversations to confirm NINo was traced during EOI interview</li> </ul> <p>Record the traced NINo in the Interviewing Site Official Use section on the back page</p>
4	Complete and issue the NINo Traced letter to the applicant
5	<p>For benefit inspired applications, workflow the details of the traced NINo to the DCI1 Admin team at the NINo Centre (NC):</p> <ul style="list-style-type: none"> <li>• open applicant's LMS record</li> <li>• select queue</li> <li>• select JP-Other from Action Type dropdown list</li> <li>• record 'FTA 2nd BI NINo interview'</li> <li>• select Team from Queue To dropdown list</li> <li>• click Select</li> <li>• select Other Local Office from Office dropdown list</li> <li>• in Mnem, record GLP and press enter</li> <li>• the Team Search box should now show Glasgow Portcullis (LN)</li> <li>• click Search</li> <li>• highlight DCI1 Admin team and Select</li> <li>• click Queue, then close.</li> </ul>
6	The CA5400 application form must be cancelled and retained on site for 3 years.

If the NINo is maintained on NPS but the applicant's address on the CIS record requires updating, complete a CIS500 and send it electronically to CIS Frontline Services to amend the NINo account.

If the NINo is maintained on NPS but the record on CIS is held under a previous name, you need to complete either:

- CA8437 – if the applicants name has changed due to marriage or a Civil Partnership
- CA8438 – if the applicants name has changed due to divorce, deed poll etc.

See CIS Frontline Services for more information.

### **NINo traced but unable to determine that it belongs to the applicant**

If you have concerns or questions about if the NINo relates to the applicant, take normal EOI interview action. Record details of why the NINo may or may not relate to the applicant at Part 4 of the CA5400. Send the CA5400 and copies of all supporting documents to the NC for a decision.

If a NINo is traced but the applicant denies ever having applied for a NINo (unless the NINo was issued by Child Benefit following a claim made by a parent or guardian), this and any other relevant information must be recorded at Part 4 of the CA5400. Take normal EOI interview action, and send the CA5400 and copies of all supporting documents with a Doubt Notification to the Identity team for investigation.

### **NINo traced after completing the EOI interview**

If the NINo is traced after completing the EOI interview, note this in the interviewing site official use section of the CA5400. Send the CA5400 and copies of all supporting documents to the NC. The interview must not be cancelled on LMS.

### **Applicant has an Isle of Man NINo**

If the applicant has an Isle of Man (IoM) NINo (i.e. the prefix is MA) and it cannot be traced on CIS, complete a CA5400 and follow normal procedures. Record the IoM NINo at Part 4 of the CA5400. You must advise the applicant to use their IoM NINo for employment and benefit purposes. The NC will request the creation of a CIS record using the IoM NINo by issuing a CIS2 form to CIS Frontline Services.

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### **Travelling expenses**

Applicants attending evidence of identity (EOI) interviews or collecting documents from the interviewing site are entitled to their travelling expenses being reimbursed.

When the applicant asks for travel expenses you must:

<b>Step</b>	<b>Action</b>
1	Scan a copy of the applicant's train, bus or car parking ticket
	<p>If they have travelled by car you <b>do not</b> need to copy their receipt for fuel, instead you must calculate the fuel cost for their journey:</p> <ul style="list-style-type: none"> <li>• open Google maps</li> <li>• use applicant and office postcode to calculate mileage for their entire journey</li> <li>• access travelling expenses to check current mileage rate</li> <li>• multiply mileage rate by number of miles (round up to the nearest pence)</li> </ul>
2	<p>Complete form ACS703JP. Stocks of form ACS703JP can be requested through RM Zanzibar.</p> <ul style="list-style-type: none"> <li>• Part 1 – Applicant to complete (use LMS ref no for NI number)</li> <li>• Part 2 – Input Postcodes, date, and expenses to be reimbursed</li> <li>• Part 3 – To be signed and dated by the applicant</li> <li>• Part 4 – To be completed by team leader</li> <li>• Part 5 – To be completed by the applicant</li> <li>• Part 6 – Should only be completed if applicant has no means of receiving a payment electronically</li> <li>• Part 7 – To be completed by team leader</li> </ul>

3	Tell the applicant that the payment will be made into their account within 8 to 10 days
4	Access form RM1 Client Related Payment Authority
5	Complete RM1 using Aide Memoir contained within the document
6	When complete, check all the details are correct and the bank account details match those provided by the applicant on form ACS703JP
7	Click Send form to Authoriser A text box will now open with the option to send, Yes or No: <ul style="list-style-type: none"> <li>• Select No if an amendment to the RM1 is required</li> <li>• Select Yes to send, this will open an email with the RM1 as an attachment</li> </ul>
8	In the email containing the RM1 form, attach the scanned image of the applicant's receipts
9	Add your line managers email address
10	Enter "RM1 for approval" in the subject field
11	Send the email
12	Add note in LMS conversations that Travel expenses claim has been passed to Team Leader for approval
13	Attach hardcopy of receipt to the ACS703JP and give it to your line manager

Expenses can be reimbursed for the applicant, an appointee or someone acting on behalf of the customer. You must not reimburse relatives and friends that have accompanied the applicant to the office, or any representative from a welfare rights organisation or advice agency. Form RM1 will be authorised by your line manager. Instructions for the authorising officer can be found at Guidance and forms. When authorised, the form will be sent to Shared Services for payment directly into the applicant's bank account. In exceptional circumstances an alternative method of payment can be considered, speak to your line manager about this. If an alternative method of payment is agreed, when the ACS703JP is completed, follow local arrangements for customer expenses. For further information on reimbursement of applicant's travel expenses, see reimbursement of customers' travelling expenses.

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### Upgrading a National Insurance Number

The decision maker must be confident that the applicant's identity is fully established to enable the Verification Level on the National Insurance Number (NINo) CIS record to be upgraded to Verified. The applicant's right to work does not need to be considered.

#### To upgrade a NINo

Step	Action
1	To upgrade a NINo on CIS, select the ID Verification hyperlink on Account Summary screen.
2	In NINo Verification Type, select Update Value from the dropdown list. Set it to Verified, and then click Update.
3	In LMS Decision tab in NINo hotspot, click Amend. Select

	Upgraded from Decision dropdown list. Insert the NINo in the NINo field and click Save. Print and destroy the Allocation letter to clear LMS action. The NINo traced letter must be printed and sent to the applicant. The NINo Allocation letter <b>must not</b> be issued in cases where the verification level has been upgraded.
4	Complete authorisation and completion action on LMS as follows: <ul style="list-style-type: none"> <li>• Select Not Checked hotspot</li> <li>• Select Amend tab</li> <li>• Enter today's date in the Authorisation Date field</li> <li>• Save and OK, and then hide</li> <li>• Select Amend tab</li> <li>• Enter today's date in the Completion Date field</li> <li>• Save and OK</li> <li>• Close decision screen</li> <li>• Close View Clients Details screen</li> </ul>
5	Check to see if NINo is eNIRS maintained. If there is not an account, create an eNIRS account using the normal eNIRS process.
6	In LMS Decision tab, record in the 'Information for NIFU' box, whether the NINo was already eNIRS maintained or if an eNIRS record has been created. Also record how it was confirmed that the NINo belongs to the applicant.
7	If details need to be changed on CIS, such as any changes to personal details, complete an eCIS500. If an eCIS500 is sent, record this in the Information for NIFU box on LMS. Include what was entered on eCIS500 to be changed, such as name, address etc.
8	If the applicant's name has changed as a result of marriage or a civil partnership, complete a CA8437. If the applicant's name has changed for any other reason, such as divorce or deed poll, complete a CA8438.
9	Complete DRS, tick all boxes and select Bulk Update. Insert NINo and click Update.
10	In CAMLite, insert the NINo into the notes box and type 'Upgraded' next to it. Set the Status to closed, and set Case Resolution to NINo Allocated.

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### Uploading documents to CAMLite

PDF files are best for uploading to CAMLite. If your document is in a different format, complete the following action to convert it to PDF.

Step	Action
1	Open document to be converted
2	Click on the File tab
3	Click Save As
4	Select appropriate shared folder to save PDF document in
5	Click in the text box next to Filename

6	Type in the CRN of the application
7	Click in the text box beside 'Save as type'
8	Select PDF from the dropdown list
9	Click Save
10	A new PDF will now appear

Your PDF file is now ready to be uploaded into CAMLite.

Step	Action
1	Open CAMLite
2	Click on Customers tab
3	Click on the box next to CRN
4	Enter the CRN for the application
5	Check the customer details match and confirm by clicking Yes
6	Click on the View Document button
7	Click on the Browse button
8	Find the PDF file in the folders
9	Double click the PDF icon
10	Next to Document Type, click Look Up
11	Select appropriate document type from the list
12	Select the appropriate Document Classification (supporting)
13	Click Upload
14	The new document appears in a list of documents available to view and confirmation message will appear
15	Click on the confirmation button in the middle of the page
16	Close DRS to return to CAMLite
17	Go to Cases, click View Case and View Documents to check upload
18	Delete file from shared folder

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### Useful websites

PRADO	Document experts in all EU member states and in Iceland, Norway and Switzerland provide and select the information to be released to the general public via PRADO.
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### Valuables exempt from scanning by the MOU

The following items are exempt from scanning by the Mail Opening Unit (MOU) and are securely couriered to the NINo Centre:

- Birth certificates
- Marriage certificates
- Passports
- Death certificates



- Bank/Building Society books
  - Post Office Card Account (POCA) cards
  - Premium Bonds
  - Share certificates
  - Gender Recognition certificates
  - Immigration papers/forms
  - Driving licenses
  - Power of Attorney
  - Certified copies of above - if certified by solicitor
  - Tenders
  - Company/Business accounts
  - Wills
  - Deeds
  - Trust deeds
  - Adoption papers
  - Divorce papers
  - Form P60
  - Form P45
  - Form RD45
  - Utility bills
  - National Insurance cards
  - Rent books
  - Insurance documents
  - Other computer output forms, for example; RD23/RD25
  - Certified copies of above - if certified by Solicitor
  - Bank statements
  - Pension statements
  - Rent documents, including; service charges and/or ground rent documents
  - Wage slips
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