# Student Loan applications

## Background

1. All National Insurance Number (NINo) enquiries made by students who are planning to, but have not yet applied, for a student loan (SL) must be directed to the Student Loan Company (SLC) by the contact centres. An evidence of identity (EOI) appointment must not be booked.

2. The SLC will confirm an applicant's entitlement to a SL before any referral to DWP. DWP will then pass the information to DWP Data Matching Service (DMS) who will refer data to us only when they could not match the details provided to an applicant's record.

3. DMS send an Excel spreadsheet to Glasgow NINo Centre each week listing the students whose NINo's could not be matched.

## Admin process

4. The Admin team receive an email from the DMS every Tuesday. This needs to be saved to the Glasgow Fastpath Student Loan folder.

## Receiving Student Loan sheet by email

| Step | Action |
|---|---|
| 1 | Access Glasgow Fast Path Student Loan Folder |
| 2 | Click Save as |
| 3 | Save to the correct date folder within the student loan folder |
| 4 | If there is an input rejection sheet, save that in the same way |
| 5 | Move both emails into the Student Loan email folder within the Fastpath inbox. |

5. If the student loan email has not been received by 11am on Wednesday, call data matching on XXXXX XXX XXX to enquire about the delay. This number is for staff use only. They will not contact us.

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

## Formatting Student Loan sheet

| Step | Action |
|---|---|
| 1 | Locate file in dated folder |
| 2 | Open excel workbook JCP_OUTPUT_DDMMYY.TXT |
| 3 | Enter the password |
| 4 | Enable editing in the workbook |
| 5 | Click on column header 'A' to highlight the entire column |
| 6 | Click on Data from the menus across the top |
| 7 | Select Text to Columns |
| 8 | Click Next |
| 9 | Click the box next to comma |

| | |
|---|---|
| 10 | Click Next |
| 11 | Highlight all the columns that show in the bottom of the dialogue box |
| 12 | Click Text |
| 13 | Click Finish. Any fields with numbers in them will now show with a green triangle in the box |
| 14 | Delete any information in columns AD, AE and AF – this will most likely be at the bottom of the sheet |
| 15 | Right click on the small grey box at the top of the sheet – above row 1 and beside column A |
| 16 | Select Format cells |
| 17 | Select Text |
| 18 | Click OK |
| 19 | Click Save |

**Making the sheet printable**

| Step | Action |
|---|---|
| 1 | Move all address information from columns K and L into M (if applicable). |
| 2 | Hide columns B, D, E, H, J, K, L, R-Z, AA and AC-AF. To do this right click on the column header, select ‘hide’ from the list. |
| 3 | Click Page layout from the tool bar across the top |
| 4 | Click Orientation |
| 5 | Click Landscape |
| 6 | Click on the lines in between the column header, and drag either left or right |
| 7 | Check the surname and first line of the address is visible |
| 8 | Leave space in column A for the end letter of the NINo to be added |
| 9 | All information must fit on to one page |
| 10 | AB and O or P can be hidden to free up space |
| 11 | Highlight the whole sheet |
| 12 | Click Home at the top of the page |
| 13 | Click on the box to input a border – underneath the box displaying font type and size |
| 14 | Select All Borders |
| 15 | Click File |
| 16 | Click Print |
| 17 | Change setting to print one sided |
| 18 | Click Print |
| 19 | Check it’s printed correctly and number each printed sheet. |
| 20 | Do not save a copy. Close the student loan sheet. |

6. When the sheets have been printed a NINo trace needs to be conducted.
7. Complete a CIS Trace and then tracing action.
8. There are 4 possible outcomes:
    - Trace found and confirmed
    - Trace found but NINo needs to be Upgraded (applicant under 20)
    - Trace found but NINo needs to be Upgraded (applicant 20 or older) An EOI interview is needed.
    - No Trace of NINo. An EOI interview is needed.

### Trace Confirmed /Upgrade required (under 20 years old)

9. The Admin team must upgrade the applicant's NINo where the applicant:
   - is under 20 and
   - has a Child Reference Number (CRN) recorded on Departmental computer systems, or
   - has a low level NINo (either not verified or qualified) recorded on departmental computer systems.
10. See Upgrading a NINo. There is no requirement for an evidence of identity (EOI) interview in these cases.

### Record a decision on an existing LMS record

11. If a LMS record already exists, a decision needs to input.
12. If you have created a new record on LMS, follow the worksteps below from step 7:

| Step | Action |
|---|---|
| 1 | Click Client |
| 2 | Amend Location to National |
| 3 | Select SelAll |
| 4 | Enter the initial 3 letters of the applicants surname in the Surname field. |
| 5 | Enter the DOB in the appropriate field |
| 6 | Click Search |
| 7 | Select NINo/RefNo hotspot on applicant's record |
| 8 | Click Registration tab |
| 9 | Click Application Type and select Fastpath |
| 10 | Click App Source and select 'CA5409 – Miscellaneous' |
| 11 | Click Save |
| 12 | Select the Trace tab (Yes if Trace/Upgrade found and enter the NINo) |
| 13 | Select Forms |
| 14 | Click Amend and enter S Loan as type of application |
| 15 | Click Save |
| 16 | Click Link Form hotspot |
| 17 | Enter random form number S followed by 7 digits and then click Link |
| 18 | Click Link |
| 19 | Select Detail |
| 20 | Click Return |
| 21 | Click Amend |
| 22 | Select Yes on Trace drop down menu and click Save |
| 23 | Select Decision tab |
| 24 | From drop down list select Traced/Upgraded as applicable |
| 25 | Enter NINo in NINo field |
| 26 | Save and OK |
| 27 | Select Print tab |
| 28 | Select Allocation letter and print |
| 29 | Select Not Checked hotspot |
| 30 | Select Amend tab |
| 31 | Enter today's date in the Authorisation Date field |

| | |
|---|---|
| 32 | Save and OK (then Hide) |
| 33 | Select Amend tab |
| 34 | Enter today's date in the Completion Date field |
| 35 | Save and OK |
| 36 | Close Decision screen |
| 37 | Close View Clients Details screen |

13. The NINo Allocation letter must be disposed of in the confidential waste.
14. The printed Student Loan sheet is then updated to reflect these cases.

## No trace of existing NINo or customer is over 20 and NINo needs to be upgraded

### Creating a new LMS record

15. Follow the instructions to create a new LMS record.
16. When the LMS record has been established an EOI interview must be booked. The Admin team must contact the applicant directly by phone. Two attempts to contact the applicant must be made with at least 24 hours gap between attempts. If leaving a message for the applicant on their answering machine, see Leaving a message on a customer's answer machine.
17. If the applicant is not contactable by phone they must:

| Step | Action |
|---|---|
| 1 | Book the EOI interview at the most appropriate site using the Postcode Locator |
| 2 | Record in LMS conversations ‘Student Loan inspired application’ |
| 3 | Print and send the EOI invitation letter |

If the applicant has language difficulties and requires support during a phone call, the Admin team must:

- establish whether there are staff within the NC with the appropriate language skills and/or
- contact thebigword and agree a method of contact and/or
- establish whether there is a third party with the applicant who has the appropriate language skills and whom the applicant accepts as their interpreter.

### Booking an EOI appointment on LMS

| Step | Action |
|---|---|
| 1 | Open NINo Postcode Locator. Enter first 3 digits of postcode and click search. Note the appropriate office |
| 2 | Click NINo/RefNo hotspot |
| 3 | Click Registration tab |
| 4 | Click App Type and select EOI type |
| 5 | Select Student Loan from App Source |
| 6 | Leave the Related Ben and click Save |
| 7 | Click OK and No on the subsequent message |
| 8 | Select Interview Tab |
| 9 | Select No from the Needs identified Tab unless a need has been identified, in which case click Yes |

| | |
|---|---|
| 10 | Click Book and a Create appointment Screen will be displayed |
| 11 | Enter the earliest appropriate start date |
| 12 | Click Search |
| 13 | The search results will then be displayed. Book the EOI by highlighting the most appropriate option from those displayed. A 25 minute slot must be selected |
| 14 | Click Book |
| 15 | Click Continue and then OK |
| 16 | Tick the appropriate boxes for the documents that the applicant requires to take to the EOI (Passport, Visa, Residence Permit etc. One selection will enable all required documents for the letter.) |
| 17 | Click Save |
| 18 | Click Print Letter |
| 19 | Click OK |
| 20 | Post letter to applicant |

## Updating Student Loan master sheet

**18.** The Admin team use the printed Student Loan sheet to help update the master sheet.

19. The Admin team must make sure the NINo is notified to DMS on the spread sheet on a weekly basis.

| Step | Action |
|---|---|
| 1 | Access Glasgow Fast path Student Loan folder. |
| 2 | Enter the NINo in column AD in the appropriate month and year folder |
| 3 | Enter the Surname in column AE |
| 4 | Enter the Date of Birth in column AE |
| 5 | Enter the Reason Code in column AG 07 – traced/upgraded<br>08 – refused<br>09 – FTA<br>99 – Abroad |
| 6 | Enter the NINo in column AH (if NIRS action required) |
| 7 | Leave Column AI blank |
| 8 | Enter NINo/LMS reference number in Column AJ |
| 9 | Enter Date of EOI or mark W/F if one has been sent in Column AK |
| 10 | Enter the date the sheet is updated in Column AL |
| 11 | Ensure sheet is formatted for text. |
| 13 | Click grey arrow in top left hand corner of the sheet - above row 1 and beside column A. |
| 14 | Right click and select Format Cells |
| 15 | Select Text and then OK. |

20. Any fields that have numbers in them will show a green arrow next to them. This shows it has been formatted correctly.

## Preparing sheet for HMRC

| Step | Action |
|---|---|
| 1 | Click on the grey arrow at the top of column AH. If the grey arrow does not appear at the top of the column, the filter option must be |

| | |
|---|---|
| | activated. |
| 2 | Unclick the box next to the word blank at the bottom of the list |
| 3 | Click OK |
| 4 | Open file copy of HMRC Spreadsheet Template, which will be saved in the student loan dated folders. Open the one relevant to the week you are working on. |
| 5 | Copy and paste the information from columns G, I, AD, AE, AF from the student loan sheet to the required fields on the HMRC sheet. |
| 6 | When copying the addresses take the address from column L – Q on the SL sheet. Make sure the house/flat numbers show. You may have to add these manually. |
| 7 | Highlight the information that has just been input. |
| 8 | Click home at the top of the page |
| 9 | Click on the box to input a border – underneath the box displaying font type and size |
| 10 | Select All Borders |
| 11 | Click save on the HMRC sheet and close |
| 12 | Click the grey arrow at the top of column AH and re-select the blank option. |
| 13 | Click OK. You can now see the student loan sheet. |

### Preparing sheet for BF

| Step | Action |
|---|---|
| 1 | Click the grey arrow at the top of column AG. If the grey arrow does not appear at the top of the column, the filter option must be activated. |
| 2 | Deselect all options so only the blanks are selected. |
| 3 | Click OK |
| 4 | Open file Current_BF located in your local Fastpath Student Loan folder |
| 5 | Copy all information on the student loan sheet (Column A to AL). Do not copy row 1. |
| 6 | Paste information on to the bottom of the BF file. |
| 7 | Save the BF file and close |
| 8 | Click grey arrow at the top of column AG. |
| 9 | Click Select All |
| 10 | Click OK. This will allow you to see the entire student loan sheet again. |

**21.** Any sensitive cases must be saved in the file 'BF sensitive cases' rather than the main BF sheet.

### Student Loan BF Sheet

22. The BF sheet must be checked on a weekly basis and updated accordingly. This action needs to be updated weekly to capture newly allocated NINos and failure to attend (FTA) EOI appointments.

### Filtering the BF Sheet

| Step | Action |
|---|---|
| 1 | Click the grey arrow at the top of column AG. If the grey arrow does |

| | |
|---|---|
| | not appear at the top of the column, the filter option needs to be activated. |
| 2 | Click the box next to Select all |
| 3 | Click the boxes next to the dates/information you want to check and click OK |
| 4 | Click the grey arrow at the top of the column you have filtered |
| 5 | Click Select All and click OK to reset the list. |

**If a number has been upgraded/allocated**

| Step | Action |
|---|---|
| 1 | Input NINo in column AD |
| 2 | Input surname in column AE |
| 3 | Input date of birth in column AF |
| 4 | Input Reason code in column AG |
| 5 | Delete any information in columns AJ-AL |

**If evidence of identity interview has been attended but action not completed**

| Step | Action |
|---|---|
| 1 | If EOI has been booked and attended input IN TRANSIT in column AK |
| 2 | Delete information in column AL |

**If student has failed to attend evidence of identity interview**

| Step | Action |
|---|---|
| 1 | Input reason code 09 in column AG |
| 2 | Delete information in column AJ and AK |

**Evidence of identity interview still outstanding**

| Step | Action |
|---|---|
| 1 | If EOI interview has been booked input EOI date in column AK |
| 2 | Delete information in column AL |

**If Workflow has been sent to evidence of identity interview site**

| Step | Action |
|---|---|
| 1 | If workflow has not been actioned (allow 1 week). Try to book EOI and input date if applicable. |
| 2 | If another workflow is sent input ‘R/Q and date’ in to column AL. |
| 3 | If the second workflow is not actioned refer to line manager. |

**Removing completed cases from the BF**

| Step | Action |
|---|---|
| 1 | Click the grey arrow at the top of column AG. If the grey arrow does not appear at the top of the column, the filter option needs to be activated. |
| 2 | Deselect blank option |
| 3 | Click OK |
| 4 | Copy all information on the sheet, except row 1 |
| 5 | Open current student loan output sheet |
| 6 | Paste information onto the bottom of current student loan file |

| | |
|---|---|
| 7 | Save student loan sheet and close. |
| 8 | Highlight all the rows that have just been copied onto the master sheet – right click on the numbered rows at the side and hold while dragging the cursor down till all the rows are selected. |
| 9 | Right click |
| 10 | Select delete. This will remove those files from the BF sheet. |
| 11 | The sheet will now appear to be blank which is normal and happens as the rows have been deleted. |
| 12 | Click the grey arrow at the top of column AG. |
| 13 | Click Select all |
| 14 | Click OK |
| 15 | Save the BF sheet and close. A dialogue box may appear when you click save, if so click Continue. |

### Student Loans rejections

23. If any information on the master sheet is incorrect, student loans will return this to be rectified. The rejections will be sent on a Tuesday along with the master sheet under file name, 'JCP_INPUT_FILE_REJECTED_DDMMYY'.
24. The file will be password protected but it will be the same password as that used or the master sheet received that week. Most common reasons for rejections are:
    - Not completing a field
    - Mistyping the NINo
    - Mistyping the Surname
    - Mistyping the DOB
    - Wrong reason code input

### Checking the rejections

| Step | Action |
|---|---|
| 1 | Open the file and input the password. |
| 2 | Check columns AD-AG as this is likely where the rejection will have occurred. |
| 3 | Check the previous week's master sheet (the output file) the student's details will be on it. |
| 4 | Check the details on CIS to ensure accurate recording of NINo, surname and date of birth. |
| 5 | Copy the information and paste it on to the bottom of this current week's master sheet. |
| 6 | Re-input the DOB |
| 7 | Add the 2 end letters of the NINo in column AD |

### Preparing sheet to be returned to Student Loans

| Step | Action |
|---|---|
| 1 | Click the grey arrow at the top of column AG. If the grey arrow does not appear at the top of the column, the filter option needs to be activated. |
| 2 | Deselect the Blank option at the bottom of the list. |

| | |
|---|---|
| 3 | Click OK and copy all detail onto sheet |
| 4 | Click the File tab and click New. |
| 5 | Open blank workbook |
| 6 | Paste information on to new sheet. |
| 7 | Adjust font size from 12 to 10. |
| 8 | Ensure sheet is still in text format – the green arrows must show in any fields with numbers in them. |
| 9 | Select File |
| 10 | Select Save As |
| 11 | Make sure file is going to be saved in the correctly dated student loan folder for the week you are working on. It may say there are no matches for the file. Continue with save in this instance. |
| 12 | Change file name to JCP_INPUT_FILE |
| 13 | Change Save as type to CSV (Comma Delimited). |
| 14 | Click Save |
| 15 | Click OK |
| 16 | Click Yes |
| 17 | Close the sheet |
| 18 | Click Don't save |
| 19 | Close main student loan sheet. |
| 20 | Click Don't Save |

**Activating filter option**

| Step | Action |
|---|---|
| 1 | Highlight row 1 |
| 2 | Select the Data tab across the top of the page and click Filter |
| 3 | The grey arrows will now appear across the top of all the columns |

25. The information recorded and returned by the NC to DMS must only include the following:

Applicant:

- Failed to attend (FTA) – this will be recorded on LMS by the interviewing site;
- Does not have a UK home or correspondence address;
- Has been refused a NINo, and
- What the NINo is.

## Returning Student Loan and HMRC sheet

26. Return the file on a weekly basis. It must be returned by Monday before 11.00am. When the sheet has been sent, phone XXXXX XXXXXX or XXXXX XXXXXX to confirm that the sheet has been received

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

27. The student loan sheet must be sent to:
    - XXXXXXX XXXXXXXXX
    - XXXXX XXXXXXX
    - XXXXX XXXXXXXXXX
    - XXXXXXXX XXXXXXXXXX
28. The HMRC sheet must be sent to XXXXXXX XXXXXX.

[Contact names redacted – Exclusion 40 applied – Personal Information]

29. If you are unable to return the file for any reason, an email must be sent to the above contact advising this.
30. The unsent sheet must be added to the following week's sheet and sent.

## Interviewing site instructions

31. The CA5400 application form must be completed by the interviewing officer, on behalf of the applicant, at the EOI interview.
32. Call customer, introduce yourself, explain EOI interview and ask for identity (ID) and supporting documents. Check photo ID matches applicant.
33. If the photo on the ID provided does not match the applicant, see Impostor instructions before continuing.
34. Identify whether applicant will require an interpreter, if so consider using thebigword or applicant's own interpreter. Explain to the applicant's own interpreter that their name and contact details must be recorded on the CA5400 if they accompany them during the EOI interview.
35. If applicant is accompanied by their appointee refer to Appointee instructions before continuing
36. Complete a wildcard search on LMS to check for duplicate records. Take the following action:

| Step | Action |
|---|---|
| 1 | Ask the applicant for their full name and date of birth. |
| 2 | Open LMS, click on Client 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. |
| 3 | Click Search |
| 4 | Identify the applicant from the client list and access the record. If a duplicate record is identified see LMS duplicate records. |
| 5 | Check Conversations for any notes that are relevant to the NINo application. |
| 6 | Access NINo Hotspot via NINo/Ref no |
| 7 | Check the Registration tab to make sure the interview has been booked as a 'Right to Work' interview. If booked as a Benefit, follow instructions for Benefit Inspired applications |
| 8 | Ask the applicant if this is their first application for a NINo. If No, establish what happened during/after their other application and check LMS for further information (in Conversations or NINo hotspot). |
| 9 | Ask the applicant if they have dual nationality. For additional steps to follow refer to Dual Nationality instructions. |
| 10 | Ask the applicant if they are self-employed? If Yes follow Self-Employment instructions |

**Conducting a CIS trace**

37. Conduct a CIS trace if it seems that the applicant may have a NINo already. The applicant may have previously worked in UK, lived in the UK as a child and therefore parents may have claimed Child Benefit for them. Also, their parents may have claimed Child Benefit for them, even though the applicant was not living in the UK at the time.

38. Follow Tracing Action instructions if a NINo or possible NINo is found. If a NINo is traced, record the NINo and details of how the record has been confirmed as relating to the applicant at Part 4 Other information on the CA5400.

**Check and copy documents**

39. Collect CA5400, examine all documents provided by the applicant using XXX XXXXXXX and photocopy:

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

| Step | Action |
|---|---|
| 1 | Advise them that you will copy their ID before the interview begins. Note: They may have other evidence that will be enable identity to be established during the EOI interview, for example, proof of their address or a letter from their employer. If this is provided during the EOI interview it can be noted on the back page such as 'Utility bill seen as proof of address but not copied'. Refer to Documentary Evidence for further details. |
| 2 | Examine relevant documents using XXX XXXXXXX XXX XXXXX XXXXX XXXXX XX XXXXXXXXXX XXXXX, XX X XX XXXXXXX, etc.) see Examining relevant documents.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 3 | If there are any concerns with the documents provided or they are listed on the Document High Risk List, phone the Identity Fraud Team (IFT) on XXXX XXX XXXX for further assistance, and record the IFT reference number. If the document needs to be retained for further examination refer to the Retaining a document instructions.<br>[Telephone number redacted – Exclusion 40 applied – Personal Information] |
| 4 | Photocopy the ID and relevant evidence. If an identity card is provided, make sure both sides are copied on one page. When photocopying a passport, make sure you have copies of:<br>• Photo and personal details page(s)<br>• Bearer's signature (if not on photo page)<br>• Both sides of Identity card / Biometric residence Permit<br>• Any observations or amendments (recorded in passport)<br>The applicant may not have their passport and state that it has been sent to the Home Office. In this instance they must provide their acknowledgement letter from the Home Office and a copy of their passport. You need to photocopy all of these documents. |
| 5 | Stamp copies of the ID and evidence (triple signature stamp) as a certified copy. If applicant only has a copy of the original, make a note by the stamp to say "original not seen, this is a copy of a copy". Explain where the original document is, on the CA5400 at Part 4, Other information. |

| | |
|---|---|
| 6 | Sign and date the copy. |

### Completing the CA5400

40. Follow Completing the CA5400 instructions.
41. Check supporting evidence and applicant information against Intelligence High Risk Lists (IHRL). Take the following action and consider whether to raise a Doubt Notification (DN).

| Step | Action |
|---|---|
| 1 | Open IHRL |
| 2 | Ctrl+F |
| 3 | Type in search box:<br>• Customer address<br>• Employer address<br>• Interpreter address<br>• Customer name<br>• Employer name<br>• Interpreter name |
| 4 | Complete Doubt Notification if a match is found. |

### LMS action

42. Update LMS and correct any errors. Take the following action:

| Step | Action |
|---|---|
| 1 | Check the applicant's name, title, address, phone number and date of birth |
| 2 | Check the applicant's status (should be inactive if they are not claiming a DWP benefit) |
| 3 | Click on NINo/Ref No: |
| 4 | If the NINo Application Summary List appears, highlight Interview and click Detail |
| 5 | Select the Forms tab |
| 6 | Click on Link Form |
| 7 | Type in "A" Number |
| 8 | Click on Link |
| 9 | Click on OK |
| 10 | Click on the Documents tab and select Amend |
| 11 | In the Documents Examined field, enter today's date |
| 12 | Enter the applicant's ID or Passport number in the appropriate field |
| 13 | Select the applicant's Nationality from the drop down list, click Save and then OK. This field must always be completed, even when the applicant has not provided Identity documents. |
| 14 | If the applicant's ID documents have been checked by IFT enter the reference number in the 'Notes' box, click 'Close' and 'Close' again.<br>Any other documents copied must be entered in the notes along with any serial numbers for example marriage certificates or residence cards.<br>Any other relevant documents seen but not copied must be entered in the Notes box. |

| | |
|---|---|
| 15 | Click on O/S Int hotspot |
| 16 | Click on Start, then Yes |
| 17 | Select AO Int Attended, then select OK and OK. |
| 18 | End Yes, then Ok and Close. |

43. Consider asking further questions if LMS has revealed information other than that already supplied by the applicant. You must record any correspondence addresses on LMS at this time.

**Completing the interview**

44. If you are in an EOI site where you must establish identity, consider whether you are satisfied that this has been achieved.

Decision makers are required to complete corroborative checks for these types of application

45. Ask the applicant if they have any questions. Thank the applicant and ask them to take a seat in the waiting area whilst the application is checked.
46. Complete the appropriate CA5400 Covering Page with the applicant's name, date of interview, LMS reference number (including prefix EOI office site numeric code where necessary) and CA5400 form reference number. In the 'What happens next' box, insert the earliest date the applicant can contact the NINo Centre, as per local agreement.
47. Give the cover sheet to the applicant and explain what it is and what will happen next.
48. Put the CA5400, supporting documents and photocopies in the tray for countersigning action.

## Countersigner

49. Follow Countersigner instructions.

## Despatching officer

1. Designated officer completes EF413 and sends CA5400 and photocopies to Mail Opening Unit (MOU).

| Step | Action |
|---|---|
| 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 |

## MOU and Xerox

50. The MOU will scan the CA5400 and any supporting evidence which will then be indexed and uploaded into CAMLite/ Document Repository System (DRS)

### NINo processing team leader

51. Team leaders distribute work to teams through CAMLite.

### Form returned to the NINo Centre

52. Band C will send the application to a processing team to be processed. When processing this type of NINo application, the applicant is only required to prove their identity and having right to work is not a requirement. The Student Loan Company is responsible for confirming the applicant's right to reside in the UK.
53. Student Loan inspired NINo applications can be identified on LMS by viewing the ‘Registration’ tab. The ‘App Source’ field will display ‘Student Loan – DCI1 (SL)’. There will also be a conversation that starts ‘Student Loan Application’.

### UK passport checks

54. If a customer provides their UK passport as evidence to support their application for a NINo, the decision maker must send a copy to National Identity Unit (NIU) for further checks **before** NINo allocation is considered.

| Step | Action |
|---|---|
| 1 | In CAMLite, open the supporting documents in DRS. |
| 2 | Identify that the customer has provided a UK passport |
| 3 | Send an email to NIU shared mailbox with the CRN and customer’s surname as the email subject. |
| 4 | NIU will respond to the request within 24hours |
| 5 | Follow the appropriate instructions to allocate or refuse according to the response from NIU. |

**Access CAMLite and go to cases view, open CA5400 and supporting evidence and view application details**

| Step | Action |
|---|---|
| 1 | Highlight case to be processed and select View Case |
| 2 | Copy Customer Reference Number (CRN). When processing an EU/EEA RTW application, remove the three digit prefix (the Site Numeric ID Code). |
| 3 | View tasks at bottom of screen |
| 4 | At top of screen select View Documents |
| 5 | Open CA5400 only and resize |
| 6 | Access LMS and click on the Client icon. This opens the Identity Client window. Paste the CRN into the NINo/Ref No box and click on the Srch button. The applicant’s LMS record will open. |
| 7 | Check Conversations for any notes that are relevant to the NINo application |
| 8 | Check the applicant’s Status in LMS. The Status should be Inactive if they are not claiming a DWP benefit. |
| 9 | Check details on CA5400 match the supporting evidence and details on LMS – Name, Address, Title, Tel and DOB. |
| 10 | Continue to check all other details on CA5400 |
| 11 | Click on NINo/Ref No button, Decision tab, click on Amend and enter receipt date (found on CAMLite) in the Received at CCU box, click |

| | |
|---|---|
| | on Save. |

**55.** For further information regarding initial checks and what to do if information is missing please refer to Rework.

**56.** Conduct CIS trace. If a NINo or possible NINo is found see Tracing Action. Refer to CIS Trace and Allocation guide for further details on tracing action.

## To allocate or refuse a NINo

57. To allocate a NINo follow the instructions below. To refuse a NINo follow the refusal instructions.

| Step | Action |
|---|---|
| 1 | In CIS, select SA Create New CIS Account |
| 2 | Click on Title dropdown, select applicants title from dropdown |
| 3 | Enter Forenames of applicant in Forenames box |
| 4 | Enter surnames of applicant in Surname box |
| 5 | Click on Sex dropdown, select either M or F |
| 6 | Enter date of birth in Date of Birth box, format as DD/MM/YYYY |
| 7 | Click on Date of Birth Verification dropdown select correct Verification level from dropdown i.e. 'Verified to level 2' |
| 8 | Click on NINo Verification dropdown, select 'Verified' from dropdown |
| 9 | Click 'Next' |
| 10 | If applicant does not have historic name click Next and go to step 17. If applicant has historic name, click on Add Historic Names |
| 11 | In 1. Hist  Name, enter historic name title from Title dropdown |
| 12 | Enter historic Forenames in Forenames box |
| 13 | Enter historic surname in Surname box |
| 14 | **Do not overtype the system default name start and end dates** If applicant has another historic name, click on Add Historic Names button and repeat the process |
| 15 | Click Next |
| 16 | Name Type 2 is name being used concurrently, Historic name is name previously known by. Unadopted married names are used for tracing purposes only and must not be recorded in CIS or eNIRS. |
| 17 | On the Residential Address dropdown, click Add Address. |
| 18 | Enter postcode in Postcode box |
| 19 | Enter address building number in Building Name/Number box |
| 20 | Click Search |
| 21 | From Address Details- Search Results click on the hyperlink that corresponds to applicants address (if no/incorrect results found click on Address not listed to input address manually then go to step 23) |
| 22 | Enter any more details needed in Address Line 1 box, or leave blank if address is complete |
| 23 | Enter Address Start Date from CA5400 application form. If none |

| | |
|---|---|
| | provided us today's date. |
| 24 | Click Next. If a previous address has been provided repeat steps 17-23 selecting Former Residential Address from the dropdown menu.<br>You need to complete the following fields:<br>Address Notified Start Date – enter today's date<br>Address End Date – enter the date on the CA5400<br>Address Notified End date – enter today's date<br>**Note:** Only one former residential address can be recorded in CIS. There must not be a break between the end date of the former residence and the start date of the current residence.<br>For example:<br>Current address from 02/01/2016<br>Former address from 27/09/2015 to 02/01/2016<br>If there is a break, the former address will not be recorded in CIS. |
| 25 | Click Next. If a correspondence address has been provided, repeat steps 17-23 selecting Correspondence Address from the dropdown menu. |
| 26 | To add phone contact details click on Add New Contact Detail |
| 27 | Click inbox for Preferred Method of Contact to add tick |
| 28 | Click on Select Contact Type dropdown tab |
| 29 | From dropdown tab select relevant phone type |
| 30 | Enter phone number in Contact Details tab |
| | If applicant has additional contact details then repeat steps 25-29 , if no extra contact details go to next step |
| 31 | Click Next |
| 32 | On Personal Details screen click on Marital/Civil Status dropdown |
| 33 | From dropdown tab select relevant marital/civil status of applicant |
| 34 | Click on Nationality dropdown |
| 35 | From dropdown select applicants nationality |
| 36 | Click on Create Account |
| 37 | Click OK on pop up if you want to create account, or click Cancel if you no longer want to create an account |
| 38 | Created NINo will then show. If needed to access applicants account click on NINo in the Account Successfully Created for box |

**Update and authorise LMS, print decision letter and send to applicant:**

| Step | Action |
|---|---|
| 1 | In LMS, select Decision tab |
| 2 | From drop down list select Allocated |
| 3 | Enter NINo in NINo field |
| 4 | Save and OK |
| 5 | Select Print tab |
| 6 | Select Allocation letter and Print then click OK |
| 7 | Select Not Checked hotspot |

| | |
|---|---|
| 8 | Select Amend tab |
| 9 | Enter today’s date in the Authorisation Date field |
| 10 | Save and OK (then Hide) |
| 11 | Select Amend tab |
| 12 | Enter today's date in the Completion Date field |
| 13 | Save and OK |
| 14 | Close Decision screen |
| 15 | Close View Clients Details screen |
| 16 | Send NINo Allocation letter to applicant |

### Register NINo on eNIRS

58. It is important to input as much relevant information as is available. See eNIRS knowledge library for further information.

| Step | Action |
|---|---|
| 1 | Access eNIRS, enter the Adult Registration Application, then click OK |
| 2 | Enter NINo in Adult Registration screen and Submit |
| 3 | Check Name, DOB, Sex and NINo have pulled through correctly from CIS |
| 4 | If OK click registration and move to step 5 |
| | If the wrong person appears, cancel out and check NINo |
| | If the wrong DOB appears, this can be changed in Adult Registration page |
| 5 | Enter Date of Entry, which is the applicant's first ever entry into the UK. Unless date of entry is before 16th birthday, then enter 16th birthday as date of entry |
| 6 | Click Complete Registration, then OK and Yes |
| 7 | Access Adult Registration Update screen, enter NINo and click OK |
| | No need to take action in the General Details screen |
| 8 | If dealing with a single name case go to step 14<br>Note: Unadopted married names are used for tracing purposes only and must not be recorded in CIS or eNIRS. |
| 9 | Access Name screen and update |
| 10 | Click Name tab. For applicants who have used more than one name, the additional names must be entered onto the system on separate days. See second day name action |
| 11 | Click on any of the blue hyperlinks |
| 12 | Overtype the name details as appropriate using the oldest historic name held on CIS |
| 13 | Click Update and OK |
| 14 | Access Address screen and update<br>Country codes are:<br>• 114 England<br>• 115 Scotland |

| | |
|---|---|
| | • 116 Wales<br>• 008 Northern Ireland |
| 15 | Click Update and OK |
| | If no correspondence address, go to step 20 |
| 16 | Click Insert |
| 17 | Change address type to Correspondence – DWP office care of addresses must never be recorded in eNIRS |
| 18 | Complete address boxes – the start date is always todays date |
| 19 | Click Update and OK |
| 20 | If partner/ex-partner NINo is provided on the CA5400, access the marriage/civil partnership screen and enter all details. If partner/ex-partner NINo is not provided, go to step 30. |
| 21 | Click Insert |
| 22 | Complete Start date of marriage or civil partnership |
| 23 | Select appropriate marriage/civil partnership status from dropdown |
| 24 | In last box enter the spouse's/civil partner's NINo |
| 25 | Click Update |
| 26 | Check the spouse's or civil partner's details shown. These must match |
| 27 | If they do match click Confirm |
| 28 | Click OK |
| 29 | If they do not match click Cancel |
| 30 | Access Migrant Worker screen |
| 31 | In Surname box enter surname at birth |
| 32 | If the applicant **is** a national of one of the 12 EU/EEA specific countries – enter Town/Commune and Province/Department/County of birth (even if this is not an EU/EEA country), then complete the ‘Country’ box |
| | If the applicant **is not** a national of one of the 12 EU/EEA specific countries – complete the Country box with ‘249 – not yet recorded’ |
| | For all nationalities, input the full social security number. If the full social security number is not known, do not complete. |
| 33 | Complete the Nationality box with the appropriate nationality.<br>**Note:** If the customer is Palestinian, use ‘250’, for any other Nationality not on the list, use ‘249 – not yet recorded’ |
| 34 | For all nationalities, input the full social security number. If the full social security number is not known, do not complete. |
| | Maiden name box- Do not complete this box |
| 35 | If the applicant is Spanish, also enter their parents names |
| 36 | If the applicant is a national of one of the 12 EU/EEA specific countries input their last address in the EU/EEA |
| 37 | Click Update and OK |
| | Liability details for 16th Birthday Cases |

| | |
|---|---|
| | • Where the date of entry is the 16th birthday and there has been a single entry into the UK, then staff must record migrant worker details but no liability dates, regardless of nationality.<br>• Where the date of entry is the 16th birthday and there are multiple UK entry and exit dates after the 16th birthday, then staff must record migrant worker details and all valid liability dates, regardless of nationality. |
| 38 | Access Liability Details screen |
| 39 | Click on Liability tab |
| 40 | Click on Add liability |
| 41 | In Liability Details enter the first date that applicant arrived in UK in the End Date box |
| 42 | In Office no. box enter **2106** for Isle of Wight NC or **4061** for Glasgow NC |
| 43 | Click Submit |
| 44 | Click OK and OK. If only one liability date to input, go to Step 46 |
| 45 | For next liabilities enter Date left UK in the 'start date' box |
| 46 | Enter next Date Arrived in UK in 'end date' box |
| 47 | In Office no. box enter **2106** for IOW NC or **4061** for Glasgow NC |
| 48 | Click OK and OK |
| 49 | Repeat until all liabilities are entered |
| 50 | Click black cross at top right hand side to close eNIRS |
| 51 | Close eNIRS browser |

**Update DRS and CAMLite**

| Step | Action |
|---|---|
| 1 | Return to DRS screen |
| 2 | Tick all documents boxes and select Bulk Update |
| 3 | Enter NINo, amend any name errors, click Update and then click Update Metadata |
| 4 | Close DRS screen |
| 5 | Return to CAMLite |
| 6 | Change Status on task to Closed |
| 7 | Enter NINo in Notes box |
| 8 | In Case Resolution click on dropdown arrow and select Closed. |

59. Customer Information transferred to HMRC National Insurance Pay as You Earn System (NPS) system.

## Issue a CIS500 and team leader action

**60.** Follow issuing CIS500 and team leader action instructions.

## BF action

61. If further details are required, an attempt to contact the applicant by phone must be made. If that is unsuccessful a letter must be sent to the applicant requesting the required detail.

### LMS

| Step | Action |
|---|---|
| 1 | Click Conv |
| 2 | Click New |
| 3 | Input reason for BF in Details Box |
| 4 | Click Save and OK |
| 5 | Click Close and Close again |
| 6 | Click NI Hotspot |
| 7 | Click on BF Action Tab |
| 8 | Click Amend |
| 9 | Action Reason Click reason for BF from dropdown |
| 10 | Review Date Click date from dropdown (10 working days) |
| 11 | Click Queue and OK |
| 12 | Click Letter Tab |
| 13 | Click Amend |
| 14 | Click Letter date and input today date |
| 15 | Click Addressee Type and from dropdown Click Type |
| 16 | Click Respond By and from dropdown input date (10 working days) |
| 17 | Click Save and Ok |
| 18 | Click Details Hotspot |
| 19 | Click Amend |
| 20 | Input reason for BF letter in Letter Heading |
| 21 | Input questions for applicant in Letter Body |
| 22 | Click Save and OK |
| 23 | Click Print |
| 24 | Tick Letter in sub box |
| 25 | Click Print and OK |
| 26 | Click Close |
| 27 | Collect letter from printer and post to applicant. |

### CAMLite

| Step | Action |
|---|---|
| 1 | Select the Applicant in CAMLite from work queue. |
| 2 | Click Status in tasks |
| 3 | Click Closed from dropdown list |
| 4 | Click Cases |
| 5 | Click Create New Task |
| 6 | Click Type and Outbound Correspondence from dropdown |
| 7 | Click Sub Type and Additional Information from dropdown |
| 8 | Click Notes box |
| 9 | Click New |
| 10 | Input reason for B/F |
| 11 | Click OK |

## Rework

**62.** If there has been an error or omission on the application you might need to return the application to the EOI site**.**

63. The Admin team will check for allocated NINos on a weekly basis and update the Student Loan Master Sheet.