Confused accounts - NI-ACT Type 1 referrals

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Background

1. A Confused Account is where two people are using the same National Insurance Number (NINo) but there is no fraudulent activity. This could occur when two people who share similar identity details, have been incorrectly linked to one NINo.

HMRC NI-ACT investigation process

2. If Her Majesty's Revenue and Customs (HMRC) National Insurance Account Correction Team (NI-ACT) finds that two people are using the same NINo account, this is called a 'Standard Confused NINo Account'. NI-ACT carries out an investigation to establish the correct owner of the NINo, by sending an enquiry form CA3223 to each person requesting details of their employment history.
3. When the CA3223 forms are returned, NI-ACT will determine the correct owner of the NINo record in question. When all ways of tracing an alternative NINo have been exhausted, the other customer known as the 'intruder' is referred to Department for Work and Pensions (DWP) for NINo allocation. These cases have no suspicion of fraud and require a standard evidence of identity (EOI) interview to establish the applicant's identity and right to work (RTW). This will allow a NINo to be allocated.
4. A request for a NINo to be allocated to the intruder is made to the NINo Centre (NC) by NI-ACT on form AISTP1 via GSI email. The referral is sent to the DCI1 Admin Team at Glasgow NINo Centre (NC).

NINo centre action to book an evidence of identity interview

Currently, all AISTP1 forms are dealt with at Glasgow NC by the Admin team.

5. Upon receipt of the AISTP1 form, a LMS record is traced or created for the applicant, see creating an LMS account
6. In LMS Conversations record the receipt of the AISTP1, note that this is an 'NI-ACT Confused Account' NINo application and record the NINo that has been incorrectly used. This is to alert the interviewer and the decision maker that a CIS trace may incorrectly suggest that the applicant has an existing NINo.
7. An evidence of identity (EOI) interview is booked through direct contact with the applicant (warm booking).

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 Right to Work from the App Source drop down menu
6	Select None from the Related Ben menu and click Save

7	Click OK and No on the subsequent message.
8	Select Interview tab
9	Click Amend, then select No from the Needs identified tab. If a need has been identified, 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 appropriate office from those displayed. A 25 min slot must be selected.
14	Click Book
15	Click Continue and then OK
16	Tick passport only as appointment letter will ask the applicant to bring as many documents as possible regardless of which items are ticked.
17	Click Save
18	Click Print Letter
19	Click OK
20	Post letter to customer
	While the applicant's LMS record is still open, send a Workflow to the DCI1 Admin Team to check that the EOI interview was attended
21	Click on the Queue button in the bottom right corner. This will open the Create New Workflow Queue Action window
22	Action Type – select Follow Up - Opportunity from the drop down menu
23	Required – set the date to the day after the date of EOI interview
24	Priority – set this to High
25	Description – type in 'AIS – check interview attended'
26	Queue To – select Team' from the drop-down menu, then click Select
27	Team Search window opens. In the Description box type 'DCI1 admin team' and click Search
28	The Team List window opens. Highlight the DCI1 Admin Team and click Select
29	Click on the Queue button. A message appears "WorkFlow Action has been Queued Successfully". Click on OK

8. Save the AISTP1 into the DCI folder to await completion of the interview.
9. When the Workflow matures on the day following the date of the EOI interview, check the applicant's LMS record to confirm if they attended.
10. If the applicant has failed to attend the EOI interview, locate the original AISTP1 form in the DCI1 folder and complete Section C with the details of the interview and the Reason Code 'C'. The AISTP1 must be returned to NI-ACT by secure email.

Interviewing site action

11. The applicant must provide documents to prove both their identity and right to work (RTW). A NINo will not be allocated based purely on the request of HMRC NI-ACT.

12. A standard EOI interview is conducted by the interviewing officer. The interviewing officer will complete a CA5400 form as normal with only small exceptions - to make sure the application is correctly processed and not treated as a ‘traced’ case, the interviewing officer must:
    - annotate the top of the first page of the CA5400 with ‘NI-ACT Confused Account Case’
    - tick the ‘Benefit/AIS (1)’ box in the DWP Official Use Reason for this application section at the bottom of the first page
    - tick the Glasgow NC box.

Interviewing site instructions

13. The CA5400 application form must be completed by the Interviewing Officer, on behalf of the applicant, at the EOI interview.
14. Call customer, introduce yourself, explain EOI interview and ask for identity and supporting documents. Check photo ID matches applicant.
15. If the photo on the ID provided does not match the applicant, see Impostor instructions before continuing.
16. Identify whether applicant will require an interpreter, if so consider using thebigword or applicant’s own interpreter.
17. If the applicant is accompanied by their appointee, follow appointee instructions before continuing.
18. 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 whether 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.

Check and copy documents

19. Refer to Tracing action for further advice if a NINo or possible NINo is found.
20. Collect CA5400, examine relevant documents using XXX XXXXXXX and photocopy:

Step	Action
1	Tell them that you will copy their ID before the interview begins. **Note:** EU nationals only need to provide a primary document which proves their identity and right to work (RTW). However, they may have other evidence that will 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, XXXXXXX XXXXXXX, etc.) see Examining relevant documents. [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, follow Retaining a document from an applicant instructions. [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: • photo and personal details page(s) • bearer's signature (if not on photo page) • both sides of identity card / Biometric Residence Permit • any observations or amendments recorded in passport 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 must 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

21. Follow Completing the CA5400 instructions.

Note: the applicant's identity and RTW cannot be confirmed at the EOI interviewing site, you must not use the EOI office site numeric code.

22. 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: • Customer address • Employer address • Interpreter address • Customer name • Employer name • Interpreter name
4	Complete Doubt Notification if a match is found.

LMS action

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

Step	Action
1	Check the applicant's name, title, address, telephone number and date of birth
2	Check the applicant's status (must 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.

	Any other documents copied must be entered in the notes box along with any serial numbers for example marriage certificates or residence cards. 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.

24. Consider asking further questions if LMS has revealed information other than that already supplied by the applicant.

Completing the interview

25. Ask the applicant to check the CA5400 form (or read back entries to the applicant to check), then ask them to sign the CA5400 and copies of evidence to support the application. Ask if the applicant has any questions.
26. 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.
27. Give the cover sheet to the applicant and explain what it is and what will happen next.
28. Put the CA5400, supporting documents and photocopies in the tray for countersigning action.

Countersigner

29. 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

Mail opening unit and Xerox

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

NC action to process the NINo application

31. All AISTP1 NINo applications are routed to, and processed by, the Benefit Inspired Team at Glasgow NINo Centre (NC).

Note: When conducting a trace on CIS, make sure that the incorrectly used NINo (stated on the AISTP1 and recorded in LMS Conversations), is discounted as being a possible trace.

NINo processing

NINo processing team leader

32. Team leader distributes work to team through CAMLite.

UK passport checks

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 view application details

Step	Action
1	Highlight case to be processed and select View Case
2	Copy Customer Reference Number (CRN)
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 Status is set to Inactive
9	Check details on CA5400 match 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.

33. Check that identity documents and supporting evidence matches details recorded on NINo application. Scrutinise to confirm the identity and RTW of the applicant.

34. 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.

Note: When conducting a trace on CIS, make sure that the incorrectly used NINo (stated on the AISTP1 and recorded in LMS Conversations), is discounted as being a possible trace.

To allocate or refuse a NINo

35. To allocate a NINo follow the instructions below. To refuse a NINo, follow refusing a NINo 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, use 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. You must complete the following fields: Address Notified Start Date – enter today's date Address End Date – enter the date stated on the CA5400 Address Notified End date – enter today's date **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. For example: Current address from 02/01/2016 Former address from 27/09/2015 to 02/01/2016 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

36. 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

	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 Country codes are: • 114 England • 115 Scotland • 116 Wales • 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’
33	Complete the Nationality box with the appropriate nationality. **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. • 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.

37. Customer Information transferred to HMRC National Insurance Pay as You Earn System (NPS) system.
38. When the NINo decision has been made, the decision maker will locate the original AISTP1 form in the DCI1 folder and complete the decision box at Section C. The AISTP1 must be returned to NI-ACT by secure email.