

# **This publication is withdrawn**

This publication is no longer in use.

## **Section 03 – Interviewing Site**

### **SS 01 Reason for application**

#### **Reasons for application**

1. Although all National Insurance Number (NINo) applications, and subsequent decisions will be based on the applicant's entitlement and their business need for a NINo, they may still state that they actually need a NINo for a particular purpose. These may include:
  - Employment;
  - Benefit claims;
  - Student Loan applications;
  - Personal Equity Plans (PEP);
  - Individual Savings Accounts (ISA);
  - Payment of tax on bank and building society interest;
  - Stakeholder Pensions;
  - To enable them to pay voluntary contributions and should be noted on the application form.
2. Irrespective of the purpose of the NINo, the applicant's interview must take place, appropriate evidence must be gathered and the application submitted to the appropriate NINo Centre (NC), except where there is doubt about the application, when they should be sent direct to NIFU, to enable them to decide whether to allocate or refuse a NINo.

### **SS 02 Benefit inspired referrals (DCI1)**

#### **Benefit inspired referrals (DCI1)**

##### **Benefit Centre Action**

3. Where a DCI1 has been completed, the benefit sections must forward them all to the appropriate National Insurance Number Centre (NC).
4. The benefit section can only enter one NINo customer's details on the DCI1. A separate form must now be used for each customer requiring a NINo.

##### **NC action**

5. The NC will undertake specialist trace action in an attempt to identify a NINo. If there is no trace or an upgrade is required, an Evidence of Identity (EOI) interview will be booked. If the DCI1 indicates that the applicant has an appointee, issue the appointee appointment letter instead of the LMS generated letter. The DCI1 will remain in the NC and the appointment noted in Labour Market System (LMS) conversations.

### **Interview site action**

6. **All** DCI1 inspired interviews must be identified by interviewing sites using LMS conversations and/or LMS workflow management and once identified must be processed in the usual standard way.
7. If a DDV Concession case, LMS conversations will be noted as such by the NC. These applications must be processed as normal but handled appropriately due to the circumstances of the benefit claim.
8. Following the issue of the initial appointment letter, where the need for an interpreter is identified and they are not able to use Big Word, the interviewing site at which the interview has been arranged must take all appropriate action to adjust the date of the interview.
9. In exceptional cases where a need for a face to face interpreter, e.g. sign language, is identified, this must be done in agreement with the applicant and time allowed for the interpreter to be available and booked or any other special requirements to be arranged.

## **SS 03 Partners in benefit claims**

### **Partners in benefit claims**

#### **Benefit Centre action**

10. Where a benefit or tax credit application is received from a couple, and the partner requires either:
  - an upgrade to an existing NINo, or
  - a new NINo
11. A DCI1 form must always be completed and the:
  - partner's details entered in the NINo customer details section;
  - benefit applicant's details entered in the Additional Information box“;
  - “Yes” box under “Partner of a benefit customer” ticked;
  - “entitled to benefit” tickedand forwarded to the appropriate NC.

#### **NC action**

12. The NC will undertake specialist trace action in an attempt to identify a NINo. If there is no trace or an upgrade is required an EOI interview will be booked. The DCI1 will remain in the NC and the appointment and “Partner in a benefit claim” noted in LMS conversations.

### **Interview site action**

13. All DCI1 inspired interviews must be identified by interviewing sites using LMS conversations. Those relating to partners in benefit claims can be identified as LMS conversations will be noted as “Partner in a benefit claim”.
14. When undertaking the EOI, the NINo Customer Advisor (NCA) must ensure they obtain evidence of the partner's:
  - identity, and
  - immigration status.

## **SS 04 Applicant/partner fails to attend EOI interview**

### **Applicant/partner fails to attend EOI interview**

#### **Benefit inspired applications (DCI1 process)**

15. Where an applicant/partner has Failed To Attend (FTA) their first booked interview:
- a further interview should be booked by the National Insurance Number (NINo) interviewing site, wherever possible in agreement with the applicant themselves;
  - the action taken should be noted on Labour Market System (LMS) on the **same day** as the original appointment was due to take place;
  - the first interview must be cancelled on LMS and the reason recorded as 'NINo EOI – Ben 1<sup>st</sup> FTA' and
  - a workflow to the NC DCI1 Admin Team should be created on LMS, providing all relevant details of the progress of the application, including new appointment date.
16. Where an applicant/partner FTA the second Evidence of Identity (EOI) interview, the NINo application process ends. The NINo Customer Adviser (NCA) must ensure:
- the FTA is recorded on LMS on the **same day** as the 2nd appointment was due to take place;.
  - the interview is cancelled on LMS and the reason recorded as 'NINo EOI – Ben 2<sup>nd</sup> FTA'
  - that where the applicant/partner contacts the office, they must be informed that their current application has ended and they need to begin the application process again by contacting the relevant Benefit section.
  - LMS conversations are noted with detail of the applicant/partner contact;
  - the NC DCI1 Admin Team is notified by sending a workflow;
  - no further appointments are arranged.

#### **Right To Work (RTW) applications**

17. When an applicant has requested an EOI appointment and fails to attend, the applicant's application process has ended. Where they contact the office they must be informed that their current application has ended and they need to re-apply. LMS must be updated accordingly.

## **SS 05 Pre-interview trace activity**

### **Pre-interview trace activity**

18. Before the interview begins, basic trace action should, wherever possible, be undertaken on the Customer Information System (CIS) to ensure the applicant is not already recorded as having a National Insurance Number (NINo) allocated to them. Always consider alternative names and spellings and other information discrepancies including:

- changes of surname;
  - date of birth – xxxxxxxxxxxxxxxx xxxxx x.x. xxxx xxxxxxxxxxx xxxxxx  
xxxxxxxx xxx xxx xxxxxx xxxxxxxx;
  - xxx-xxxxxxxxxxx - xxxxxx xxxxxx xxxx xxxxxx xx xxxxxxxxxxx xxxxxx xxxx  
xxxxxxxx;
  - xxxxxxxxxxx xxxxxxxx – xxxx x xxxxx xxxxxxx xxxx xxxx xxxx xxxxx, xx
  - xxxxxxxxxxx xxxxxx – xxxx xxxxxx xxxx xxxxxxx.
19. If CIS indicates that the applicant has a NINo and the Verification Level is 'Not Verified' (check the 'Account Summary' tab – 'NINo' box in top right hand corner), consideration must be given to whether the applicant is a missed juvenile (ie. aged 20 or under). See Section 2 – Missed Juveniles. If a missed juvenile, the interview should be cancelled on LMS.
  20. If the applicant is not a missed juvenile (ie. aged 20 or over), continue with normal EOI interview action. Wherever a NINo is traced, ensure action taken and other relevant information is recorded at Part 4 of the CA5400.
  21. If a NINo is traced before the interview is confirmed as relating to the applicant, using standard identity checks, and does not require upgrading then:
    - a check must be made on CIS to determine whether the traced NINo is NPS maintained by viewing the 'Interests History Tab';
    - the interview should be cancelled on the Labour Market System (LMS) by:
      - selecting 'NINo Traced' as the reason for cancellation;
      - selecting 'NINo/Ref No: hotspot and
      - entering traced NINo by selecting 'amend' and removing LMS ref. no. and replacing it with the NINo.
    - the interviewing officer should issue the NINo Traced letter to the applicant,
    - the applicant should be notified of the cancellation of the interview and
    - in benefit cases, workflow the DC11 Admin Team at the NC.
  22. Where, during the EOI interview, information suggests the applicant may already have a NINo, and it does not require upgrading, then:
    - a further CIS trace activity must be carried out, any NINo found must be confirmed as relating to the applicant and identity must be confirmed with the documents provided.
    - a check must also be made on CIS to determine whether the traced NINo is NPS maintained by viewing the 'Interests History Tab';
    - the interviewing officer should:
      - withdraw the application on the Labour Market System (LMS);
      - cancel the CA5400;
      - issue the NINo Traced letter to the applicant, and
      - in benefit cases, workflow the DC11 Admin Team at the NC.
  23. If the NINo is maintained on NPS but held in a previous name, complete CIS500 and send to CIS Frontline Services for action to amend the NINo account.
  24. If the NINo is not NPS maintained, the standard EOI process must be followed, a CA5400 completed and details recorded at Part 4.
  25. All cancelled CA5400 forms must be retained for 3 years.

26. Where there are any concerns or questions as to whether the NINo does actually relate to the applicant, or it is clear that the NINo requires upgrading, normal Evidence of Identity (EOI) action should be taken and the application, along with all supporting evidence submitted to the NC for a decision.
27. If following completion of the EOI a NINo is traced, this should be noted in the official use pages and the application, along with all supporting documents issued to the NC for continued action. The interview must not be cancelled on LMS.
28. If the applicant states that they have an Isle of Man (IoM) NINo (ie. the prefix is MA) and it cannot be traced on CIS, a CA5400 must be completed and normal processes followed.

## **SS 06 Confused identity/multiple use of a National Insurance Number**

### **Confused identity/multiple use of a National Insurance Number**

29. Where the interviewing site has identified that there is **more than one** National Insurance Number (NINo) traced on the Customer Information System (CIS) relating to the same applicant, they must:
  - check whether there is a National Insurance Pay as You Earn System (NPS) account for the individual;
  - identify when and by whom the accounts were set up on CIS, and
  - complete a CIS 501 and refer to CIS Frontline Services for continued investigation.
30. Where the interviewing site identifies that two applicants appear to be using the same NINo they must complete a CIS 502 and refer to CIS Service Support for continued investigation and an FRF completed where appropriate.
31. The application along with all supporting evidence and copies of the CIS forms must then be forwarded to CIS Frontline Services for further investigation.
32. Where there are possible confused or hijacked accounts, CIS Frontline Services will work with Department for Work and Pensions (DWP) Fraud Investigation Service (FIS) and Her Majesty's Revenue and Customs (HMRC) Account Investigation Service (AIS) to correct the records. They will then inform the NCs of the correct NINo to be used for the applicant.

# SS 07 HMRC Account Investigation Service (AIS)

## Type 1 Referrals

### HMRC Account Investigation Service (AIS) Type 1 Referrals

#### Background

- 33. This is where two people are using the same NINo but there is no fraudulent activity, this could occur when two people who share similar identity details and have been incorrectly linked to one NINo.
- 34. This scenario would mainly involve UK nationals linked together, often due to one person being missed at registration age for a NINo, though there are other reasons and would also cover someone entering the UK who has been linked to an incorrect NINo.

#### HMRC activities

- 35. HMRC Account Investigation Service (AIS) would investigate to establish the correct owner of the NINo and then refer the 'intruder' for an EOI, after all possible avenues for tracing an alternative NINo have been exhausted.
- 36. If AIS discover that two people are using the same NINo account, this is called a 'Standard Confused NINo Account'.
- 37. AIS issue a letter (CA3223) to the customer advising them to complete with their details.
- 38. When the customer returns the form, AIS determine who the correct owner of the registered NINo account is. The other customer, the 'intruder' is referred to DWP for NINo allocation. These cases have no suspicion of fraud and require a standard EOI interview for a NINo to be allocated.
- 39. A referral is made to the NC from AIS on form AIS TP1 via GSI email. The referral is sent to the relevant DC11 Admin Team. The relevant team is selected by AIS through using the postcode locator on FIND.  
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#### DWP NC Process

- 40. An LMS account is then created for this customer. The case is marked as an HMRC AIS case within LMS conversations to highlight that this is a 'Confused NINo Account' application.
- 41. An EOI is booked for the customer through direct contact with the customer (warm booking) by the NC.
- 42. On receipt of the CA5400 and supporting documents, the NC will process and return to AIS.

#### DWP Interviewing Site action

- 43. A standard interview is conducted by the Interviewing Officer and a CA5400 form is completed at the interview. Tick the "Benefit/AIS 1" box in the DWP Official Use reason for application section and also tick the relevant NC box. This will ensure the scanned image is routed correctly by the mail opening unit. Mark the top of the first page with 'AIS Case' – this

is to ensure the application is correctly processed and not treated as a traced case. Standard checks are required including confirmation of identity and Right to Work (RtW). The customer's immigration status will be required to be checked as part of the RTW regulation. A NINo will not be allocated based purely on HMRC's request.

44. The customer should be given one opportunity to attend the EOI as per standard RTW FTA processes.
45. Upon completion of the EOI interview, normal processes should be followed, ie: CA5400 and supporting documents sent to the NC.

## **SS 08 Student Loan applications**

### **Student Loan applications**

46. Student Loan NINo appointments are arranged by the Isle of Wight (IOW) NC. The applicant's LMS record will contain a conversation that states 'Student Loan inspired application'.
47. When conducting the EOI interview in student loan inspired cases, the Interviewing Officer **must** ensure evidence is gathered of the applicant's identity. Some of the evidence provided may support their right to reside and/or their right to work and, although not required in these cases, should always be included with the application to assist the student loan team at the Isle of Wight NC in their decision making process.
48. The Interviewing Officer must tick the 'IOW NC' box and 'Student Loan' box in the 'DWP Official Use' section. This will ensure the application is routed correctly.
49. For further guidance, see:
  - Completion of form CA5400 and
  - Documentation to support an application
50. Following the interview the LMS record must be updated.

### **Failed To Attend**

51. If the applicant has failed to attend the EOI interview, the NINo application process is ended. Should the applicant later contact the interviewing office, they must be advised to contact the Student Loan Company (SLC) to request a further referral to the NC.

### **NC tracking of student loan cases**

52. The Student Loan Team at IOW NC monitor the progress of all SL cases. This action is undertaken by regularly checking the SL customer's LMS record, to determine the outcome of the application.
53. The information recorded and returned by NC to Information, Governance and Security Team must only include;
  - that the applicant has failed to attend;
  - that the applicant does not have a UK home or correspondence address;
  - that the applicant has been refused a NINo; and
  - what the applicant's NINo is.



## **Dispatch of CA5400 form to NC**

54. When all interviewing and checking activity has been undertaken at the interviewing site, the application forms and all supporting documentation must be dispatched to the mail opening unit for scanning.
55. For further guidance, see Completion of a National Insurance Number application form.

## **Student Loan enquiries**

56. All internal queries should be routed to the NC via the admin team's e-mail address:

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57. Where applicants have attended an EOI interview and wish to enquire about their application, they must contact NC admin team's direct telephone number: xxxxxxxxxxxxxx.
58. For all other student loan related enquiries, the applicant must be referred directly to the Student Loan Company on 0845 026 2019.

## **Exceptional handling**

59. Teams within the Student Loan Company, Her Majesty's Revenue and Customs (HMRC) and Jobcentre Plus (DWP) NC have been set up to handle exceptions. These teams should only be used for internal issues and contact details can be obtained from the DWP NINo Expert Domain Team.

## **SS 09 The National Insurance Number interview – Background**

### **The National Insurance Number interview – Background**

#### **Mobile Interviews**

60. Once identified as being required, a mobile or home interview should be carried out in the same way as an office interview, with a few additional considerations.

#### **Proof of an officer's identity**

61. All Jobcentre Plus (DWP) National Insurance Number (NINo) officers who undertake interview duties away from their office must ensure they have an official identity card issued by Finance, for more information see Payment Guide – Part 1 – Stockholders Duties, Section 8 Identity Cards and Fraud Investigator's Warrants.

#### **Health and Safety**

62. It is one of the responsibilities of all DWP Managers to ensure consideration is given to the Health & Safety of all staff on site.
63. DWP standard Health & Safety guidance must be followed when conducting business outside of a DWP office environment. This will include

off-site risk assessments, and on some occasions Lone Working risk assessments.

64. Managers must refer to The Working Away from the Office – A Health & Safety Framework for Managers This provides guidance, model risk assessments and prompt sheets where NINo interviews may be carried out in:

- the applicant's home or
- an employers premises or
- another Government Department site or
- another DWP site.

### **Document examination requirements**

65. Local arrangements should be made to ensure that checks can be made of documents, at the point of the interview, in the same way as they would be if the interview was taking place in the office.

### **Reimbursement of applicant expenses**

66. Applicants attending application interviews or collecting documents at the interviewing site are entitled to have their travelling expenses reimbursed.

67. Applicants should be asked to keep train / bus tickets, car parking and other receipts for expenses incurred for their journey and attach them to their claim form (FSF1).

68. For further information on reimbursement of applicant's travel expenses, see reimbursement of customers' travelling expenses

## **SS 10 Completion of a National Insurance Number application form**

### **Completion of a National Insurance Number application form**

#### **Security status of the form**

69. Interviewing sites should have an individual (for the purposes of this instruction known as the Nominated Officer) to receive stocks of CA5400s from Finance as supplies are reordered. This individual is not intended to replicate the role of the CA5400 Stockholder. There is also no specified grade for the Nominated Officer.

70. On receipt of the blank forms from Finance, the Nominated Officer must ensure they are retained in a suitable secure location enabling the Interviewing Officer to obtain stock when necessary. It is for individual sites to determine the most appropriate storage and stock distribution arrangements.

71. Interviewing Officers using the CA5400 should:

- keep blank CA5400s in a place where the public cannot access them and
- treat completed CA5400s securely as once filled in the CA5400 contains confidential applicant information.

## General

72. Form CA5400 is the application form used to register for a NINo.
73. The form must be completed by the Interviewing Officer, on behalf of the applicant, at the Evidence of Identity (EOI) interview unless the applicant specifically asks to complete it themselves.
74. This guidance applies to all circumstances in which an EOI is undertaken, for example, official interviewing site, employer's premises, or the applicant's home.
75. Where an applicant has an Isle of Man (IoM) NINo (ie. the prefix is MA) which is not recorded on CIS, a CA5400 must be completed and 'IOM case' noted at the top of the first page. The NINo must also be entered at Part 4 Other information. The NC will arrange for a CIS record to be created via a CIS2 form.
76. Note that form CA5400:
- must never be taken away from the office by the applicant for EOI/Right To Work (RTW) Interviews;
  - must never be left unattended;
  - should be completed in block capitals, in black ink and is written clearly/legibly;
  - must be signed by the applicant at Part 6 Your declaration;
  - must have unused boxes at questions 1 - 4 crossed through;
  - must display an LMS reference number in the DWP Official Use reference number box on page 1, and
  - must only be issued by post by NC officers dealing with non-EOI postal applications.
77. If any box(es) is/are crossed through in error or amended, the applicant must initial and date to agree the amendment.
78. Correction fluid or pencil must not be used.
79. All relevant information must be included with the correct and full spelling of names, addresses.
80. All documentary evidence serial numbers and references must be recorded in Labour Market System (LMS) on the Documents Tab.

## Covering page

81. The purpose of the covering page is to:
- assist the applicant in understanding the basic NINo application process;
  - explain to the applicant that it is a joint application form between the Department for Work and Pensions (DWP) and HMRC and
  - provide the applicant with information on how we collect and use information as specified by the Data Protection Act.
82. The covering page should be retained by the applicant for future reference to enable them to:
- notify a change of address whilst their application is being processed;
  - quote their reference number in any future contact with DWP or HMRC or;
  - prove to an employer that they have applied for a NINo.

83. The covering page can be completed electronically or manually. The Interviewing Officer must enter the:

- LMS (Our) reference number;
- serial number of the CA5400;
- full name of the applicant;
- date of the interview and
- appropriate Processing Office (NINo Centre) address

in the relevant official use boxes before printing. There is no requirement to enter the interviewing site address on the covering page. Give the applicant the covering page and ensure they read it before the interview commences.

## **DWP Official use (now located at bottom of page one)**

### **Reason for this application**

84. One of the following boxes with the reason for the application must always be ticked:

- EOI
- Benefit/AIS (1)
- Self-employed
- Student Loan
- Other Postal
- Employer as Partner

This is to allow the mail opening unit to route the application to the correct team and location.

### **NC name**

85. The Interviewing Officer must enter a tick in the relevant NC box at the bottom of the form:

- IOW (Isle of Wight)
- Glasgow

### **Our reference number**

86. The LMS reference number should be noted in “Our Reference Number” box at the bottom right of the first page of the application form to assist with matching the CA5400 with the correct LMS record and data input processes.

## **Part 1 – About you**

### **Surname or family name and other names**

87. The names entered at questions 1 and 2 must always be the surname or family name and other names that the applicant’s primary identification shows.

88. If a non-standard title is requested, for example Sir, Major, Rt. Hon, Lady, use the ‘Other’ box at question 3 to specify.

89. Question 4 must be completed with any other names the applicant had or has. This includes “known as” names as well as legal names (whether used or not). Also include variations of spelling/misspelling or

transcription errors of names on documentation used to prove identity.  
Examples of the above are:

- 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, ie 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.

90. The reason names other than the ones on primary identity documents are recorded is to ensure a full and complete record is held on CIS/NPS for this person so that any future trace is successful.

91. Ensure an appropriate explanation of the name recorded at Q4 is made in the reason box. Where further space is required, ensure all details are recorded at Part 4 - Other Information.

### **Date of Birth**

92. If the Date Of Birth (DOB) is known, state the full date in the following order:

- day
- month
- year

93. If the DOB stated by the applicant differs from that on their documents, including passport, birth certificates and Home Office documentation (note paragraph below), enter the date on the documentation. Provide an explanation, including the date of birth as stated by the applicant at Part 4 - Other Information.

94. Where the applicant does not know their DOB and has been provided with '01/01/??' by the Home Office, '31/12/??' must be entered. Provide an explanation at Part 4 - Other Information. Inform the applicant that this will be the DOB that is recorded on their computer records by DWP/HMRC.

95. Where the applicant does not know their DOB and there is no full DOB provided on documentation, enter '31/12/??' and a year agreed by the applicant. Provide an explanation at Part 4 - Other Information. Inform the applicant that this will be the DOB that is recorded on their computer records by DWP/HMRC.

96. If only part of the DOB is known, for example:

- the year, enter '31' in the day and '12' in the month field and then the year;
- the month and year, enter the last day of the month provided and the year;

Provide an explanation at Part 4 - Other Information. Inform the applicant that this will be the DOB this is recorded on their computer records by DWP/HMRC.

97. The DOB can be verified if:

- supported by an official birth certificate, on official paper, regardless of when it was issued or
- supported by a certified extract from the Register of Births or
- supported by a passport or document also containing a DOB e.g. identity card or UK driving licence, in the absence of an official birth certificate.

98. The applicant's DOB can be verified at any point during the application process. All relevant information must be noted at Part 4 - Other Information along with an agreement from the applicant for the DOB entered to be used for the application purposes.

### **Sex**

99. The appropriate box should be ticked specifying sex at birth. If an applicant holds a formal Gender Recognition Certificate (GRC) they will be accepted in their acquired gender. For further information, see the VOLE guidance.

### **Address in the United Kingdom (UK)**

100. Ensure the current address box is completed in all cases. Only addresses in the UK (either England, Scotland, Wales or Northern Ireland) should be entered. If the applicant has No Fixed Abode (NFA) enter 'None'.

101. Enter the date the applicant started living at this address.

102. The correspondence address box should be completed when:

- the applicant has requested correspondence to be sent to a different address;
- an appointee is acting on their behalf or
- if their home address is quoted as unsafe or NFA.

103. Consider a DN referral if the address differs from the LMS address provided when the EOI interview was booked.

An explanation should be provided at Part 4 - Other Information.

104. Record the applicant's UK contact/mobile telephone numbers at Questions 8 & 9 and indicate with a tick whether the number is a home or work number.

105. If the applicant changes address before the NINo is allocated they need to provide notification in writing to the relevant NC.

106. If the applicant wants the NINo Allocation decision letter to be delivered to the DWP office, for example; because they are NFA or their address is unsafe:

- record the DWP office address, where the EOI interview took place, in the correspondence address field;
- provide appropriate detail at Part 4 - Other Information and
- copy the declaration page and retain to compare the applicant's signature when they call to collect their notifications.

107. Previous addresses in the UK should only cover the last 2 years, with the most recent address shown first. Include the date of residence at each address. If further space is needed, record details at Part 4 – Other Information.

### **Marital or Civil Partnership status**

108. An entry at Question 11 must be made to show an applicant's current legally recognised (and previous) relationship status. If the partner's (or ex-partner's) NINo is known, complete the NINo box(es) and enter their personal details in the boxes beneath. Same sex couples who have entered into a legally recognised Civil Partnership must be treated in the same way as a married couple. For non-UK terms for civil partnership see Appendix 2 – Non UK terms for Civil Partnership.
109. As much information as possible should be entered regarding previous marriages/civil partnerships. If exact dates are not known, clearly state the day, month or year that is known, and note reasons at Part 4 - Other Information.
110. Use Part 4 - Other Information to record any additional information relevant to the questions in Part 1 - About You.

### **Part 2 – About your nationality and residence**

111. Question 12 must be completed in all cases. Both nationalities should be recorded where the applicant has dual nationality.
112. If the applicant has a social security membership number in their country of nationality, it should be recorded here. Record details of current and of any previous stays in the UK of 30 days or more at question 13.
113. If the applicant's exit from the UK is for less than 30 days, this information should not be recorded.
114. All visits should be listed in chronological order starting with the most recent.
115. If the applicant does not know the exact dates for stays in the UK, especially the arrival date for current stay, and this cannot be supported in their passport, establish 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'.

116. 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. All empty boxes should be crossed through and a note entered at Part 4 – Other Information as 'Applicant born in the UK'.
117. If an applicant was born in the UK but has never left the UK, all boxes should be crossed through and a note entered at Part 4 – Other Information as 'Applicant born in the UK and never left the UK'.
118. Questions 14 and 15 must only be completed for applicants who have current rights/valid passport within certain European Economic

Area (EEA) countries. Information recorded here is required to determine whether further action by HMRC or International Pension Centre (IPC) is required by them. HMRC or IPC only need an applicant's background details if they are from one of the 12 specific countries listed below:

- Belgium;
- Cyprus;
- Denmark;
- France;
- Germany;
- Greece;
- Italy;
- Luxemburg;
- Norway;
- Portugal;
- Spain;
- The Netherlands.

NB: When entering the applicant's last address, ensure it is their last address in the last EU country they lived in.

119. For a full list of EEA countries see Appendix 2 - Overview of European Economic Area.

120. Questions 16 & 17 must only be completed for applicants whose nationality is Spanish. The father's names should be current and not previously known as names. The mother's names recorded should be her surnames or family names at birth (maiden name).

121. Use Part 4 – Other information, to record any additional information relevant to the applicant's nationality, residence and, if Spanish, parents names.

### **Establishing the identity of an applicant from the Republic of Ireland (RoI)**

122. If the RoI applicant does not hold a passport, they may provide forms of 'secondary' documentation eg. birth certificate, driving licence etc.

123. These should be copied and the following additional background information **must** be requested and recorded on the CA5400 at Part 4 - Other information:-

- the applicant's last address in the RoI;
- the applicant's Personal Public Services Number (PPS No);
- the applicant's mother's maiden name and
- whether the applicant has ever claimed any social welfare benefits in the RoI – if so, state the benefit received and the office from which it was claimed.

124. The NINo Processing Officer at the NC will use the above information when contacting the Department of Social and Family Affairs in the RoI in order to corroborate the customer's identity.



## **Isle of Man applications**

125. The CA5400 application should still be completed in cases where the applicant has an Isle of Man (IOM) NINo (prefix MA) and it is not recorded on CIS. The interview should be conducted in the same way as with all other applications.
126. 'IOM case' must be noted at the top of the first page and their IOM NINo must be recorded at part 4 – Other Information.
127. These cases will be received and processed by the NC, although they will not be sent on to NI Regs for NPS registration and should be stored securely for 14 months.

## **Part 3 – About any work you do**

128. Part 3 must be completed as fully as possible in all applications where the applicant is working for an employer or is self-employed. If the applicant has indicated that they are self-employed or a sub-contractor, complete the relevant CA5400 SQ.

## **Company Directors and Director of a limited company**

129. If presented with a Company Director or Director of a Limited Company then they may present themselves as self employed or employed by the Company.
130. The Director may refer to themselves as self employed and may even have corroboration from HMRC with a document such as a letter with a self employment tax code identifier.
131. Where the applicant does present themselves as self employed each case must be judged on its own merits and the applicant must provide evidence of self employment indicators as outlined in Section 5 (NC) Appendix 6A.
132. Where the applicant presents themselves as employed then standard RTW rules will apply.

## **Self-employment**

133. The following guidance must be followed in all self-employed applications, regardless of nationality.
134. Where the applicant presents themselves as being self-employed, the appointment letter they received will have informed them of the type of evidence they are required to provide at the interview.
135. It must only be treated as a self employed application and no other.
136. The interviewing officer must ensure the applicant is reminded that:
  - it is their responsibility to provide sufficient evidence of their self-employment, and
  - that the evidence of their self-employment will be corroborated before a decision is made whether or not to allocate a NINo.
137. It is not sufficient that an individual aspires to be, or genuinely believes they are, self-employed. Self-employment is not determined by the individual, but by the relationship with their customers and

suppliers. Those who claim to be self-employed must be able to demonstrate that they are actually self-employed.

138. Examples of documents and other information that may be presented by the applicant at the interview can be found at Appendix 3.

139. A series of questions relevant to their self-employment type are listed on the CA5400 SQ and must be asked at the interview:

- xxx xxxxxxxx xxx xxx xxxx xxx?
- xxx xxxxxxxx xxxxx xxx xx xxx xxxx?
- xxx xxxxxxxx xxx xxx xxxx xxxx xx xxxx?
- xxx xxxx xxxxxxx xx xxx xxxx xxx? xxxx xx x xxxx xx xxxx xxxxxx xx xxxxxxxx;
- xxx xx xxx xxxxx xxx xxxx xxx xxxx xxxxxxx xxx xxx xxxx xxx xxx xx xxx xxxx xxxxxxx xxx xxxx xxx xxx xxxxxx xx xxxxxxx?
- xx xxx xxxxxxxx xxx xx xxxx, xxxxx xxx xxxxx xxxx? xxx xxxxxxx xx xxx xxxx xxxxxxx xx xxx? xxx xxxxx xxx xxxxx xx xx xxx xxxx?
- xxxx xxxxxxxxxxx xxx xxxxx xxx xxxx xx xx xxxx xxxx? Xxx xx xxx xxx xxxx xx xxx?
- xx xxxxxxxxxxx xxx xxxxx, xxx xx xxxxxxxxxxx xxx xxxxxxx xxx xxxx xxxxxx?
- xx xxxxxxxx xxxxxx xx xxxxxxxx xxxxx xxxx xxxx, xxx xxxxxxx xxx xxxx xxx xxxxxxxxxxx xx?

140. None of the questions are designed to catch the applicant out, if a person is genuinely self-employed, these questions should not pose a challenge and be easily answered. Even if the applicant provides vague or limited answers, they shouldn't be dismissed, this is a piece of evidence which can be used by the NC to build up a picture of the applicant's circumstances and ability to answer these questions.

141. If the applicant has indicated that they are not self-employed at question 19 but go on to indicate that they are working as a sub-contractor at question 20, ask the applicant all the questions on the CA5400 SQ for sub-contractors, as the answers to these questions will be important when establishing their relationship with the contractor.

142. If, after completion of the self-employed questions, the applicant informs the interviewing officer that they have more than one self-employment work type, gather as much relevant information as possible for each work type and complete the individual CA5400 SQ for each.

143. If it is apparent from the interview that the applicant either cannot speak English at all or speaks very little English, they should be asked xxx xxxx xxxxx xxx xxxxx xxx xx xxxx xxxx xxxxxxxxxxxxxx xxxxxxxx (xx. xx xxxx xxxxx xxxx xxx x xxxx-xxxxxxxx xxxxxxxxxxx xxxxxxx, xxxxx xxxxx xx xxxxxx x xxxxxx xxxxxx xx xxx xxxxxxxxxxxxxx xxxx, xxx).

144. The supplementary questions forms are listed at Appendix 4. they must be completed by the interviewing officer only and **not** the applicant or representative:

- locate the appropriate CA5400 SQ form;
- complete the applicant's full name and serial number of the CA5400 by either:

- typing the answers to the questions electronically onto the CA5400 SQ, the fields will expand as you type, and print out, or
  - printing the CA5400 SQ form and completing the answers manually.
  - if further room is required, complete the CA5400 SQ Continuation Sheet.
  - ensure the applicant signs and dates the CA5400 SQ, as well as the CA5400, and
  - attach the completed CA5400 SQ to the CA5400.
145. Use Part 4 – Other information, to record any additional information relevant to the applicant’s employment or self-employment that hasn’t already been recorded at Part 3 on the CA5400 and CA5400 SQ, ie, what the applicant perceives their self-employment work to be, accountants name etc.
146. If the applicant states they are self employed as a Scrap Metal Dealer, they must provide xxxxxxxx xx xxxxx xxxxxxxx xx xxxxxxxx. xxx xxxxx(x) xxxxx xxxxxxxx xxxxxxxx xx xxx xxxxx xxxxx xxxxxxxxxx xxx xxx xx xxx xxxxxxxx xx xxxxx xxxxxxxx. xxx xxxxx xxxxxxxx, xxx xxx xxxxx xxxxx xxxxxxxx xxx xxxxx xxxxxxxx x.
147. Interviewing officers should bear in mind that having all documents or answering all questions may still mean the applicant has not proven their self-employment status.
148. Wherever possible, the Interviewing Officer must provide the applicant with the opportunity to return to the office with the required documentation or information and should retain the CA5400 at the interviewing site until the application is completed.
149. The NC will need to corroborate the evidence before making their decision. The more relevant information and evidence provided with the application the more effective and efficient the NC decision maker can be in determining whether or not the applicant should be allocated a NINo.

#### Part 4 – Other information

150. Use this section to record the following only if relevant to the application, this could include:
- details of doctor/dentist including National Health Service number if known;
  - hospital/prisons admissions in the UK;
  - bank/building societies name and branch only, **do not** record bank account numbers;
  - if the applicant has not changed their name because of marriage, record full details, including the spouse’s surname (for tracing purposes);
  - details confirming the trace when upgrade action is required, and information to corroborate the identity of an applicant from the Republic of Ireland.

This list is not exhaustive.

## Part 5 – About your interpreter

151. This section must be completed if a third party has attended the interview to assist the applicant in any way. This could be a friend, relative or an interpreter. Their full name must be recorded.
152. If the applicant or interpreter, does not want to provide this information, the reasons should be noted at Part 4 – Other information and consideration given as to whether a DN should be raised.
153. If Departmental interpreting services are used, for example 'thebigword' ensure all details are recorded, including obtaining the interpreter's name and ID number. For information regarding DWP Policy on face-to-face interpreters, see DWP HR Interpreting Services.

## Part 6 – Your declaration

154. This part must be completed in all cases.
155. Ensure that the applicant has read/had read to them and understood the details on the form and the declaration itself.
156. If anything is crossed through in error or amended, the applicant must initial and date to agree the amendment.
157. Correction fluid or pencil must not be used.
158. The applicant must be asked to:
  - sign, using current signature and
  - date the application.
159. If the applicant's current signature differs from that on the documents provided, ensure a specimen is recorded at Part 4 – other information.
160. Interviewing officers needs to consider the age of the documents presented and therefore whether xxx xxxxxxxxxxx xxxxxxxxxxx xxxxx xxxxx xxxxxxx xxxxx xxxxx xx xxxxxx xxx xxxxxxxxxxxs xxxxx xxxxx xxxxxxx xxxxx xxxxxxxxxxx xxx xxxxx xxxxx xx xxx xxxxxx, a note should be made on the application and in LMS Conversations as such. If there is any doubt about the application consideration should be given to completing a Doubt Notification (DN) or taking further DET advice.

## Applicant unable to sign their application

161. Where an applicant is unable to sign their application they must be asked to make their mark and a note included within the other information section of the application.
162. **This mark must not be any form of a fingerprint.**
163. If the mark made has not been previously witnessed or verified, the NC, as part of the decision making process will need to establish whether it is the normal method of signing with the interviewing officer/countersigning officer or with the applicant.
164. Where the applicant is unable to sign or make their mark, appointee action should be considered.

## Examining & copying evidence

165. The interviewing officer must check all documents/evidence presented at the EOI interview by the applicant, **including those**

**documents which do not appear on the high risk list.** However, only copy relevant documents unless suspicions are aroused, in which case, follow the Doubt Notification Process or the Document Retention Process. Contact DET for advice on checking security safeguards and also see Section 4 – Documentation to support a NINo application.

166. In the event of an applicant's passport or identity card being considered suspect, the applicant should be asked to provide any supporting documentation in their possession which can also be examined for authenticity. If the applicant is unable to provide any other supporting evidence, the reason(s) should be noted on the application form at Part 4 - Other information.
167. EU nationals need only provide a primary document which proves their identity and right to work (immigration status), for example a passport or an ID card proves both identity and RTW and this document should be photocopied. However, if both the passport and ID card are produced, both should be checked for authenticity using the relevant document examination equipment but only one needs to be copied.
168. The exceptions to this are **all** self-employment applications, doubt notifications and cases where suspicions are aroused. In these instances all documents should be photocopied.
169. If the applicant is subject to the Destitute Domestic Violence (DDV) Concession as highlighted on LMS, due to the urgency of the situation, some individuals may not have any personal information/documentation. However, they should present the letter(s) given to them by UKBA.
170. The DET will confirm the Interviewing/Countersigning Officer's identity.
171. The DET will then use all tools and techniques available to them to ascertain the authenticity of the document(s) presented at the EOI as the primary evidence of the applicant's identity.
172. The DET will also ask the interviewing officer questions in an effort to satisfy themselves that the document queried is genuine, which are individual to each document, for example:
- xxxx xx xxx xxx xxxxxx xxx xx xxxxxx xx xxx xxx xxxxxx xxx xxxxxx xxxxxx?
  - xxxx xx xxx xxxxxxxxxxx xxx xxx xxx xxx xx xxxxxx xxx xx xxxxxx?
  - xx xxxxxx xxx xxxxxx xx xxx xxxxxxxxxxx?
  - xxx xxxxxxxxxxx xxxxxx xxxxxx xxx xxxxxx?
173. They will complete a lost and stolen check on documents which are referred to them
174. DET will provide a DET reference number, to be noted on the CA5400 or advise the interviewing site to try to retain the document for further examination.

## **Recording evidence**

175. Details of all documents examined and copied must be entered on LMS in Documents Tab Notes Box.
176. Where a document has serial or reference numbers these must be recorded in LMS Documents Tab.

177. Where a document has not been able to be copied, the “notes” box within the “Documents” tab must be noted clearly that the document was ‘provided’ but ‘not copied’ using the appropriate explanation, e.g. bank card/statement details.
178. Each document must only be recorded once.
179. All documents with security features provided/copied must be checked. The countersigning officer must ensure that all checks have been carried out.
180. If no documentary evidence is provided, this should be explained in full at Part 4 – Other Information.

### **Part 7 - Countersigning action**

181. In all cases, the countersigning officer should, prior to the National Insurance Number (NINo) applicant leaving the office:

- see the applicant;
- examine the documents provided;
- check all application forms to ensure correct completion and
- ensure Labour Market System (LMS) is complete and accurate.

182. The officer who has carried out all of the countersigning actions, must complete the relevant section at Part 7 of the form with:

- their signature;
- their full name;
- the date and
- contact number.

183. In self employment cases, the countersigning officer must also sign and date the CA5400 SQ and attach it to the CA5400.

### **Part 8 – Employer’s declaration**

184. This part must be completed by the employer in all employer fastpath cases.

185. The instructions on the required completion of this part should be included in the notes issued with the application.

186. This section must not be completed by the interviewing officer.

### **Interviewing site official use**

187. This section should be used to note any information relating to the application, following the applicant having signed the application, including any amendments to or omissions from the form.

188. Where the Document Examination Teams (DET) have been contacted for advice, the date should be noted against the appropriate documents and the reference number noted on LMS and the DWP official use section for reference.

189. If there are any passport/visa restrictions e.g. when the applicant’s passport has been stamped:

- no recourse to public funds;
- the applicant has leave to remain but cannot engage in any employment; or
- illegal overstays in the UK have occurred

# SS 11 Self-employment

## Self-employment

190. The following guidance must be followed in all self-employed applications, regardless of nationality.
191. Where the applicant presents themselves as being self-employed, the appointment letter they received will have informed them of the type of evidence they are required to provide at the interview.
192. It must only be treated as a self employed application and no other.
193. The interviewing officer must ensure the applicant is reminded that:
- it is their responsibility to provide sufficient evidence of their self-employment, and
  - that the evidence of their self-employment will be corroborated before a decision is made whether or not to allocate a NINo.
194. It is not sufficient that an individual aspires to be, or genuinely believes they are, self-employed. Self-employment is not determined by the individual, but by the relationship with their customers and suppliers. Those who claim to be self-employed must be able to demonstrate that they are actually self-employed.
195. Examples of documents and other information that may be presented by the applicant at the interview can be found at Appendix 3.
196. A series of questions relevant to their self-employed type are listed on the CA5400 SQ and must be asked at the interview:
- xxx xxxxxxxx xxx xxx xxxx xxx?
  - xxx xxxxxxxx xxxxx xxx xx xxx xxxx?
  - xxx xxxxxxxx xxx xxx xxxx xxxx xx xxxx?
  - xxx xxxx xxxxxx xx xxx xxxx xxx? xxxx xx x xxxx xx xxxx xxxxxxxx xx xxxxxxxx;
  - xxx xx xxx xxxxxxx xxx xxxx xxx xxxx xxxxxxx xxx xxx xxxx xxx xxx xx xxx xxxx xxxxxxx xxx xxxx xxx xxx xxxxxxx xx xxxxxxx?
  - xx xxx xxxxxxxx xxx xx xxxx, xxxxx xxx xxxxx xxx xxxx? xxx xxxxx xx xxx xxxx xxxxxxx xx xxx? xxx xxxxx xxx xxxx xx xx xxx xxxx?
  - xxx xxxxxxxxxx xxx xxxxx xxx xxxx xx xx xxxx xxxx? xxx xx xxx xxx xxxx xx xxx?
  - xx xxxxxxxxxx xxx xxxxx, xxx xx xxxxxxxxxxxxxx xxx xxxxxxx xxx xxxx xxxxx?
  - xx xxxxxxx xxxxxx xx xxxxxxx xxxxx xxxx xxxx, xxx xxxxx xxxx xxxx xxx xxxxxxxxx xx?
197. None of the questions are designed to catch the applicant out, if a person is genuinely self-employed, these questions should not pose a challenge and be easily answered. Even if the applicant provides vague or limited answers, they shouldn't be dismissed, this is a piece of evidence which can be used by the NC to build up a picture of the applicant's circumstances and ability to answer these questions.
198. If the applicant has indicated that they are not self-employed at question 19 but go on to indicate that they are working as a sub-contractor at question 20, ask the applicant the questions on the CA5400 SQ for sub-

contractors, as the answers to these questions will be important when establishing their relationship with the contractor.

199. If, after completion of the self-employed questions, the applicant informs the interviewing officer that they have more than one self-employment work type, gather as much relevant information as possible for each work type and complete the individual CA5400 SQ for each.
200. If it is apparent from the interview that the applicant either cannot speak English at all or speaks very little English, they should be asked xxx xxxx xxxxxx xxx xxxxx xxx xx xxxx xxxx xxxxxxxxxxxxxxx xxxxxxxxxxx (xx. xx xxxx xxxxxx xxxx xxx x xxxx-xxxxxxxx xxxxxxxxxxxxxxx xxxxxx, xxxxx xxxxx xx xxxxxx x xxxxxx xxxxxx xx xxx xxxxxxxxxxxxxxx xxxx, xxx).
201. The supplementary questions forms are listed at Appendix 4. They must be completed by the interviewing officer only and **not** the applicant or representative:
  - locate the appropriate CA5400 SQ form;
  - complete the applicant's full name and serial number of the CA5400 by either:
    - typing the answers to the questions electronically onto the CA5400 SQ, the fields will expand as you type, and print out; or
    - printing the CA5400 SQ form and completing the answers manually.
    - if further room is required, complete the CA5400 SQ Continuation Sheet.
  - ensure the applicant signs and dates the CA5400 SQ, as well as the CA5400 and
  - attach the completed CA5400 SQ to the CA5400.
202. Use Part 4 – Other information, to record any additional information relevant to the applicant's employment or self-employment that hasn't already been recorded at Part 3 on the CA5400 and CA5400 SQ, ie, what the applicant perceives their self-employment work to be, accountants name etc.
203. If the applicant states they are self employed as a Scrap Metal Dealer, they must provide xxxxxx xx xxxxx xxxxxxx xx xxxxxxx. xxx xxxx(x) xxx xxxxxxx xxxxxxx xx xxx xxxxx xxxxx xxxxxxxxxxx xxx xxxx xx xxx xxxxxx xx xxxxxx xxxxxxx. xxx xxxx xxxxxxx, xxx xxx xxxx xxxxx xxxxxxx xxx xxxx xxxxxxx x.
204. Interviewing officers should bear in mind that having all documents or answering all questions may still mean the applicant has not proven their self-employment status.
205. Wherever possible, the Interviewing Officer must provide the applicant with the opportunity to return to the office with the required documentation or information and should retain the CA5400 at the interviewing site until the application is completed.
206. The NC will need to corroborate the evidence before making their decision. The more relevant information and evidence provided with the application the more effective and efficient the NC decision maker can be in determining whether or not the applicant should be allocated a NINo.



## SS 12 Documentary evidence

### Documentary evidence

#### Recording the documentary evidence

1. The interviewing officer must:
  - take clear photocopies of all relevant original documentation;
  - stamp the copies with the official document stamp and
  - sign the copies as a true copy.
2. The interviewing officer need only photocopy a primary document which proves the identity and right to work (immigration status) of an EU national, eg. passport or ID card.
3. The exception to this are **all** self-employed applications, doubt notifications and cases where suspicions are aroused;
4. The copies must be signed by the:
  - interviewing officer;
  - applicant, and
  - countersigning officer.
5. Where a photocopy of the original document has been provided because the original is unavailable, this should be copied and the copy annotated “copy of copy” in capital letters or with a stamp. It must also be signed and dated by all parties. The copy of the copy should not be stamped to indicate that it is a certified copy.
6. All documents must be returned to the applicant, except when required for further document examination, before leaving the office. When documents are required for further examination, follow guidance for retaining documents.

#### Query documentation

7. Any doubts surrounding a document’s authenticity should be queried with your Document Examination Team (DET). If found to be genuine, the document should be returned to the interviewing officer for normal processes to be followed.
8. The DET will then use all tools and techniques available to them to ascertain the authenticity of the document(s) presented at the EOI as the primary evidence of the applicant’s identity.
9. Depending on the document presented, DET must give full consideration to using the “xxxxxxx” guides, accessing xxxxx or xxxxx as well as undertaking xxx checks.
10. If the DET is contacted about an item that is not contained within the current high risk list, they must undertake a full check, since a suspicion may have prompted the call.
11. The DET will also ask you questions in an effort to satisfy themselves that the document queried is genuine, which are individual to each document, for example:
  - xxxx xx xxx xxx xxxxx xxx xx xxxxx xx xxx xxx xxxxx xxx xxxxx xxxxx?
  - xxxx xx xxx xxxxxxxxxxx xxx xxx xxx xxx xx xxxxx xxx xx xxxxx?
  - xx xxxxx xxx xxxxxx xx xxx xxxxxxxx?

- xxx xxxxxxxxxxxx xxxxxxxx xxxx xxx xxxxxx?
12. They will also complete a lost and stolen check on documents which are referred to them.
  13. If DET confirm the suspicions, the Interviewing Officer will be requested to retain the identity document and must:
    - conduct a more in-depth non standard interview without alerting suspicion.
  14. The DET will confirm a reference number to be written on the CA5400 once all checks have been completed and a decision made.
  15. Where documents are presented in a foreign language do not accept the applicant's own translation of a document.
  16. For identity verification purposes only, colleagues may be able to assist with the translation of a document but if not, try to obtain assistance from:
    - support groups;
    - official organisations, or
    - the relevant embassy.
  17. Do not contact embassies of asylum seekers or refugees. Refer to PDCS International Pension Centre guidance regarding the provision of a translation service that is available in any language, this should be used to confirm right to work.

## **SS 13 Dispatch of form CA5400 to the NINo Centre (NC)**

### **Dispatch of form CA5400 to the NINo Centre (NC)**

18. At the end of the day, the completed CA5400 forms must be sent to the NC by fully tracked courier service.

## **SS 14 Rejection of form CA5400**

### **Rejection of form CA5400**

19. Illegible and/or incomplete forms CA5400 will be returned by the National Insurance Number Centre (NC) to the interviewing site.
20. The most common reason for them being returned are:
  - corrections are not initialled/signed and dated by the applicant;
  - the applicant's documentation shows discrepancies, for example misspelling of name or omission of a middle name and justification of the discrepancy is not noted on the form;
  - incorrect applicant details entered on Labour Market System (LMS) or
  - countersignatory details not complete in Part 7 Countersigning Officer section.
21. The NC will print the appropriate, incomplete page(s) of the form from DRS and send them back by normal methods to the originating office for completion.
22. On receipt of the incomplete page(s) from the NC, the interviewing site must confirm receipt in the usual way and, where necessary, book a re-work interview with the applicant in order to clarify any anomalies. Upon

## **Re-work required – contacting the applicant**

23. Wherever possible the re-work interview should be booked at the original interviewing site and with the original interviewing officer.
24. In re-work cases, the initial course of action by the interviewing site should be to try to contact the applicant over the telephone. Two attempts must be made within one working day. If leaving a message for the customer on their answering machine, please follow the appropriate guidance.
25. If this proves unsuccessful or the applicant does not have a contact number, the interviewing site should book a re-work interview on LMS without contacting the applicant, and issue the appointment letter direct to the applicant's address.

## **SS 15 Appointee action**

### **Appointee action**

#### **Benefit inspired applications**

26. In cases where an applicant is unable to act on their own behalf an appointee may have responsibility for conducting their affairs. If this is the case the benefit team should have a completed BF56 (appointee form).
27. Appointee cases will follow the standard DCI1 process. Details from the BF56 should be included in LMS conversations. The BF56 itself will be retained by the NC together with the eDCI1.

### **Interview**

28. If the appointee contacts the interviewing site, i.e. when the Benefits Centre have not advised the NC that the claimant has an appointee, ask the appointee if they have form BF57 (Confirmation of Appointeeship) or any other appointee status documents, e.g. Power of Attorney.
29. The appointee should confirm that they can attend the EOI and, if so, be advised to bring evidence of both their own identity as well as for the claimant and any appointeeship documentation.
30. If the appointee does not have a BF57, contact the Benefits Centre to request a copy of the BF56.
31. If the appointee cannot attend the EOI, establish whether a home visit is required. Reasonable judgement should be made as to how both identities are established before the CA5400 is dispatched to the MOU. If BF56 information is not available, an e-mail confirmation from the benefit section will need to be requested. On receipt the confirmation e-mail should be placed with the documentation to be sent to the NC.
32. The interview should proceed as normal but the appointee must provide evidence of their identity as well as the identity of the applicant they are acting for.
33. Details of the appointee should be recorded at Part 4 – Other information on the application.

34. The appointee must sign the application and then the form annotated "Appointee" in capital letters below the signature and on the front of the application. The annotation will then alert the NC to the fact that the application has been made by an Appointee.
35. The NC will note LMS with full details of appointee cases.

### **Other appointee applications**

36. For all applications the appointee should provide evidence of the appointee status e.g. legal "power of attorney" document.
37. 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.

## **SS 16 Labour Market System (LMS) action**

### **Labour Market System (LMS) action**

38. Once an interview is completed the applicant's Labour Market System (LMS) record must be fully updated/completed prior to the application being forwarded to the NC for processing. See recording names on CIS Appendix 5 for guidance on how to record names in LMS.
39. For more information about how to complete LMS records, see LMS User Guide – NINo Allocation.

## **SS 17 High Risk Lists**

### **High Risk Lists**

40. The Intelligence High Risk List is issued each month by the National Identify Fraud Unit (NIFU) Intelligence Team. The list is compiled using intelligence gathered from within the NINo process as well as from colleagues in the Fraud Investigation Service (FIS). Sources such as the Home Office, Her Majesty's Revenue and Customs (HMRC) and Police forces also help NIFU identify the highest risks to the NINo process.
41. The Document High Risk List is issued by the NIFU Document Examination Team (DET).
42. Both High Risk Lists must be referred to and instructions must be complied with prior to all interviews to assist in identification of suspicious NINo applications.
43. The lists should never be in view of the public or non-civil service staff working within our offices.
44. Where the Intel High Risk list requests that the application be referred to NIFU, a Doubt Notification (DN) should be completed and the High Risk reference number included on the form.
45. The CA5400 should be despatched with the DN to the MOU via standard receipting processes, who will then route the CA5400 and DN by CAMLite to NIFU Intelligence Team following normal scanning and indexing processes.

46. Where the Intel High Risk list states that a summary report has been issued, the interviewing officer is required to read the summary report and to comply with the instructions contained in it.
47. Where the summary report requests additional questions be asked, the question and the applicant's response should be recorded in Part 4 of the CA5400.
48. Where the interviewing officer has a suspicion or a doubt about the authenticity of an application, and there is no relevant information on the Intel High Risk list, a Doubt Notification should be completed, ensuring the information contained on the DN is:
  - factual;
  - relevant, and
  - checkable.

## SS 18 Doubt about the application

### Doubt about the application

49. If at any point before, during or following an Evidence Of Identity (EOI) interview there are any concerns with regard to the application itself or the circumstances under which the application was made, the concerns should be noted carefully in the Interviewing Site Official Use section of the application form. Consideration should always be given to Legislative standards when recording applicant's data.
50. Some examples of evidence and circumstances that might cause suspicion are:
  - xxxxxxxxxxx xxxxxxxx xx xxxxxxx xx xx xxxxxxxxxxxxxx, xxxx xx xxx xxxxxxxxxxxxxx xxxxxxxx xx xxxxxxx xxxxxxxx (xx) xx xxxxx xx xxxxx (xxx), xx: xxxxxxx xx xxxxxxxxxxx xxxxx xxx xxxxxxx xx xxxxx xxx xx xxxxx, xx xx xxxxxxx xxxxx xxxxxxxxxxxxxx xx xxxxxxxxxxxxxx xxxxxx xx xxxxxxxxxxxxxx xx xxx xxxxx xxxxxxx;
  - xxxxxxx xx xxxx-xxxxxxxxxxx, xx: xxxx xxxxxxx xxxxxxx xx xxxx xxxx, xxx xxxx xxxxxxx xxxxxxx xxxxx xxxxxxxxxx xxx xxxxxxxxxx xx xxxxxxx xxxxxxxxxxxxxx xx
  - xxxxxxxxxxxxxx xx, xx xxxxxx xxxxxxx xx xxx xxxxxxxxxxx xxxxxx, x.x. xxxxxxxxxxxxxx, xxxxxxx xxxxxxxxxxxxxx xx xxxxxxxxxx xxx xxxxxxxxxx xxx xxxxxx xx xx xxxxxx xxx xxxxxxxxxxxxxx xxx xxxxxxxxxxxxxx. xxx xxxx xx xxxxxx xxx xxxxxx xxxxxxxxxxx xxxxxx xxxxxx xx xxxxxxxxxx xxxxx xxxxxxxxxx, xxxx xx xxxx xxxxxx xxx xxxxxxxxxx xx xxx xxxxxxxxxxxxxx (xxxxx xxxx xxxxxx xx xx xxx xxxxxxxxxx xx xxxxx).
51. A NINO Doubt Notification (DN) form must be completed, including specific details of how and why suspicion or doubt has been raised. This form must be completed as soon as possible following the interview by the interviewing, countersigning or local Document Checking Officer (DCO). All available supporting evidence provided by that specific applicant/interpreter/agent should be copied and verified.
52. The original Doubt Notification form, application form and all supporting evidence (including original documents where appropriate) must be forwarded directly to the MOU by fully tracked courier service who will



61. Once received by the NIFU DET team, they will:
- check all interview site LMS action has been completed;
  - collate all relevant intelligence and
  - undertake refusal action.

## **SS 19 Document retention**

### **Document retention**

62. Where any documents presented by the applicant either:
- have been requested to be retained by Document Examination Team (DET) / National Identity Fraud Unit (NIFU), or
  - provide an interviewing officer with suspicion that they are lost, stolen, counterfeit or forged,
- all attempts must be made to retain the original document, always ensuring that the applicant agrees and then receives an official receipt.
63. If the applicant does not agree to the retention of the document, it must be copied, the original returned immediately and the circumstances noted on the application form within the Interviewing Site Official Use pages.
64. When the document has been retained successfully, the applicant should be advised verbally, not in writing, that:
- it will need to be retained for additional security checks as part of their overall application for a NINo;
  - if they have any questions, to contact the number detailed on the receipt and
  - someone will be in touch regarding the return of the document.
65. xx xx xxxxx xxxxxx xxx xxxxxxxxxxx xx xxxxxxxxxxx xxxx xxxxx xxx xxxxxxxxxxxx  
xxxxx xxxxx xxxxxxxxxxx xxxxxxxxxxx.
66. Even where the document has not been successfully retained, the application must still be sent to the MOU for scanning and routing by CAMLite to NIFU DET following normal scanning and indexing processes. Upon receipt at NIFU DET, they will examine the photocopies to determine if a low level FIS referral is appropriate.

## **SS 20 Tracing a NINo upon applicant's request**

### **Tracing a NINo upon applicant's request**

#### **Enquiries received from applicant in relation to their NI number card (RD3)**

67. HMRC no longer issue plastic cards. New adult NINo applicants will continue to receive notification of their NINo in their decision letter.
68. If the applicant thinks they already have a NI number but cannot remember it or request a replacement card, they should contact the HMRC NI Registration helpline on 0845 915 7006 and ask for a "letter of confirmation" of their NI number or a form CA5403 to complete. For more information see the DWP Customer Service National Insurance Number webpage.

### **Applicant enquiry face to face**

69. If the applicant enquiry requesting a confirmation of their NI number is made by attending any Jobcentre Plus (DWP) office they should be advised they need to complete form CA5403 application form available from HMRC on [www.hmrc.gov.uk](http://www.hmrc.gov.uk).
70. In very exceptional circumstance where the applicant either requires the NINo as a matter of urgency, Customer Information System (CIS) should be used 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.
71. 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**

72. 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**

73. 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.
74. 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.
75. 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.

## **SS 21 Providing Witness Statements**

### **Providing Witness Statements**

76. Occasionally interviewing sites will be required to provide witness statements for the Fraud Investigation Service.
77. Assistance will be provided by the Fraud Investigator in the case but examples of the types of statement that may be required can be found in the Fraud Guide – Specimen Witness Statements.



## SS 22 Appendices

### Appendix 1 - Ethnic minority naming systems for common cases

1. The following list of nationalities'/religions' naming system is not exhaustive, but these are the cases you are most likely to come across:
  - Chinese;
  - Eritrean and Ethiopian;
  - Filipino;
  - Ghanaian;
  - Greek and Greek Cypriot;
  - Hindu;
  - Gujarat Hindu;
  - Iranian;
  - Muslim;
  - Nigerian;
  - Polish;
  - Portuguese;
  - Sikh;
  - Spanish;
  - Turkish;
  - Turkish Cypriot;
  - Vietnamese.

#### Chinese

##### Sequence of names

2. Traditionally, the sequence of names for people of Chinese origin is surname, followed by personal name.
3. The personal name may be made up of one or two characters, each of which would appear as a separate word in English.
4. Women may change their name following marriage, but this is not universal. They may:
  - keep their surname;
  - adopt their husband's surname; or
  - use their joint surname, along with their husband.

For example:

<b>Wife's name</b> Lou Shook Ching	<b>Married name</b> Lou Shook Ching, or Kwong Shook Ching, or Kwong Lou Shook Ching
<b>Husband's name</b> Kwong Kim Meng	<b>Married name</b> Kwong Kim Meng, or Kwong Lou Kim Meng

##### Children from the marriage

5. Children from the marriage may take their:
  - father's name; or

- parents' combined name.
6. If a couple had a son, Kwok Yuen, he would be known as either:
    - Kwong Kwok Yuen; or
    - Kwong Lou Kwok Yuen.
  7. If a couple has a daughter, Sow Leng, she would be known as either:
    - Kwong Sow Leng; or
    - Kwong Lou Sow Leng.

### **Adoption to the United Kingdom system**

8. Some Chinese in the United Kingdom (UK) have adapted their names to the UK system and put their surnames last, for example, Kim Meng Kwong. Similarly wives may refer to themselves by their maiden name.
9. The following are examples of possible combinations and variations of surnames.

#### **Females**

Ali Ling  
See La  
Soh Choo  
Han Tze Jung  
Teck Lee

#### **Surnames**

Tan  
Goh  
Wong  
Lee Choo  
Seng

### **Eritrean and Ethiopian**

#### **Sequence of names**

10. Eritrean and Ethiopians, whether Muslim or Christian, generally follow similar systems of naming.
11. Names usually have two parts:
  - Personal name; followed by
  - Their father's, or grandfather's personal name, used as a surname.

#### **Adoption to the UK system**

12. Following UK procedure, some Eritrean and Ethiopians have adopted a surname that does not change with each generation.
13. Women do not usually change their name on marriage, although some women have adopted this custom.
14. The following are examples of possible combinations and variations of names:

#### **Female**

Mariam  
Marta  
Zowditu  
Almaz  
Bereket

#### **Male**

Yohannes  
Lucas  
Testfai  
Woldermariam

### **Filipino**

#### **Sequence of names**

15. Filipinos usually take their:
  - Father's surname as their surname; and
  - Mother's surname as their middle name.

16. When Filipino women marry, they give up their middle name, which is their mother's name. Their surname becomes their middle name, and they take their husband's surname as their own surname.

For example:

<b>Wife's previous name</b>	<b>Husband's name</b>	<b>Wife's married name</b>
Juana Soriano Tecson	Pedro Navarro Chavez	Juana Tecson Chavez

### **Children from the marriage**

17. The children from this marriage take the surname Tecson Chavez.

## **Ghanaian**

### **Sequence of names**

18. Ghanaians, irrespective of religion, will typically have:

- their own personal name;
- a middle name, which is:
  - Tribal;
  - Customary; or
  - Religious; and
- a surname, which is a family name.

19. They may have, whether as their sole personal name or as a middle name, a name that will depend on the day of the week they were born.

20. Women adopt their husband's surname if they were married by church or civil ceremony. They generally, although not always, adopt their husband's surname if they are married by customary law.

21. Children generally take their father's surname, but they may also, as in the United Kingdom, add their mother's surname if the parents so decide.

The following are examples of possible combinations and variations of names:

<b>Personal female names</b>	<b>Personal male names</b>	<b>Surnames</b>
Adjuah	Lante	Allotey
Korkor	Niiaddy	Appiah
Dede	Kofi	Nartey

## **Greek and Greek Cypriot**

### **Sequence of names**

22. In the traditional Greek system of naming, a person's name is made up of:

A personal name

A middle name, which is optional and

Their father's, or grandfather's name, used as a surname.

For example:

<b>Personal name</b>	<b>Middle name</b>	<b>Surname</b>
Stelios	Theodoros	Kleanthous
Helen	Lacovos	Lacovidou

23. In the first example, Theodoros is Stelios' father's personal name. This would usually be abbreviated to Th. Kleanthous is his father's surname, that is his grandfather's personal name. He might also call himself Stelios Theodorou, using a different version of his father's name.

24. In the second example, Lacovos, usually abbreviated to L, is Helen's father's personal name. Lacovidou is her grandfather's personal name. She could also call herself Helen Lacovovou, based on her father's personal name.
25. Helen's brother is called Andreas I Lacovides. The ending of the surname is not the same because some names have different endings according to the person's sex.
26. Following marriage, only the wife changes her name. She takes:
  - Her husband's personal name as her middle name; and
  - His father's name as her surname; or exceptionally
  - His grandfather's personal name as her surname.
27. If Helen were to marry Stelios, she could call herself:
  - Helen S Theodorou;
  - Helen S Theodorou; or exceptionally
  - Helen S Kleanthous.
28. If she chose the third option, Helen would have a different surname from her husband.

### **Children from the marriage**

29. If Helen and Stelios had a son John, he would have a different surname from his father. He would be called either:
  - John Stelios, using his father's personal name as his surname; or
  - John S Theodorou.

## **Hindu**

### **Sequence of names**

30. Hindu names usually have three parts, like the UK system.

For example:

<b>Personal name</b>	<b>Middle name</b>	<b>Surname</b>
Lalita	Devi	Sharma
Raj	Kumar	Vasai

31. The first or personal name is used on its own by family and friends, in much the same way as the British first, or Christian name.
32. The ending ji may be added to the personal name to show respect, as in Lalitaji. This form of the name is used alone, in informal conversation.
33. The first and middle names are used together as a sign of formality or respect, for example Lalitadevi or Rajkumar. This is the form of address used in normal everyday conversation, with people other than close friends or family.
34. Middle names are never used on their own, or as surnames. They should be regarded as a second given name. There are only a few Hindu middle names:

For example:

<b>Men's middle names</b>	<b>Women's middle names</b>
Bhai	Behn
Dev	Devi
Lal	Lakasmi

35. Of these, Dev, Lal and Lakasmi are sometimes used as first names.

36. Kumar can occasionally be used as a family name. The wife and children use the same surname as the head of the family. It is usually the family name but also may be subcaste name that indicates the family's traditional status and occupation.
37. An example of this type of surname is Patel. There are variations, however, as the characteristics of Hindu names and titles also depend upon the language a person speaks and where they live.
38. All members of one division of a caste in a particular area share the same surname. Because of this, there are fewer Hindu surnames than there are English ones.

### **Common Problems**

39. There are some common problems with Hindu names. For example, a few people have dropped the family name to indicate a rejection of the caste system. They will use their middle name as a surname.
40. When this happens, each member of the family has a different surname, for example Mrs Devi may be the wife of Mr Lal. Occasionally, the middle name may have been wrongly given as a surname. This is because many Indians are not accustomed to giving their surnames in official situations. If you think this may have happened, ask the applicant for their family name.
41. Always address a Hindu family formally by title and full name, for example Mrs Lalitadevi Sharma. When addressing a Hindu informally, use the first name for example, Lalita.

Examples of possible name combinations and variations:

#### **Middle names**

##### **Female**

Behn  
Devi Gowri  
Kumari  
Lakshmi  
Rani

##### **Male**

Bhai  
Chand  
Das  
Dev  
Kant

Kumar  
Chand Lal  
Nath  
Pal

#### **Personal names**

##### **Female**

Ansuya  
Bimla  
Kamla  
Leela  
Pushpa  
Rama  
Rupa  
Vanita

##### **Male**

Anand  
Anil  
Ganesh  
Nirmala  
Krishna  
Naresh  
Ram  
Vijay

Virendra  
Bhasker  
Magan  
Kishore

#### **Surnames**

Chopra  
Gupta  
Patel

## **Gujarat Hindu**

### **Sequence of names**

42. Gujarati Hindu names consist of:
- A personal name;
  - The father's first name, and
  - A surname.
43. When women marry, they add their husband's first name and surname to their personal name.
44. In familiar use, the suffix bai, meaning brother, may be added to men's personal names used alone, and bai or ben to women's names. These suffixes may be included in the name on the passport.

## Iranian

### Sequence of names

45. All Iranians, irrespective of their religion, use the same naming system. They have:
- one or more personal names, and
  - a surname.
46. Iranian women do not change their surname on marriage. Children take their father's family name. Although most parts Iranian names are Muslim in origin, some are found only in Iran.
- For example:

<b>Non-Muslim men's personal names</b>	<b>Women's names</b>
Abbas	Giti
Darius	Simin
Koorush	Nooshin
<b>Surnames</b>	
Jafarzaden	
Sadegei	
Fazli	

## Muslim

### Sequence of names

47. Islam is the religion of people from very many countries and different cultures. Because of this, there are names and name patterns which, although basically Muslim, also reflect other local, sometimes pre-Islamic cultures.
48. Virtually all Pakistanis and most Bangladeshis are Muslims. There are a substantial Muslim minority in India. Many Muslim East African Asians emigrated from Western India.
49. The range of nationalities and cultures that have adopted Islam is such that the summary given here can only provide general guidance. If there is any doubt, always ask the applicant what they:
- Use as their personal name;
  - Use as their surname in the United Kingdom (UK), and
  - Want to be called.
50. Muslim names are the most difficult to fit into the British recording systems, particularly as their order is not fixed or significant.

51. Muslims from some countries may add certain titles, showing respect to their names. These include Bibi and Begum for women. Men who are especially devout may have extra religious titles added.
52. One of the most important differences to the UK system is that the last name is not a shared family surname. In most Muslim families each member has a totally different name.

For example:

<b>Husband</b>	<b>Wife</b>
Mohammed Hafiz	Jameela Khatoon
<b>Sons</b>	<b>Daughter</b>
Mohammed Sharif	Fatima Jan
Liaquat Ali	

53. The difference in surnames can cause difficulties, but there is no easy solution. Since most claims will be recorded under the husband's name, it will usually be necessary to ask for the husband's name, irrespective of who comes into the office.
54. Do not assume, for example, that Liaquat Ali's father is Mr Ali. Male Muslim names usually consist of a personal name and a religious name. The personal name may come first.

For example:

<b>Personal name</b>	<b>Surname</b>
Gulam	Mohamed
Yusef	Ali

55. The personal name may also come second, for example:

<b>Surname</b>	<b>Personal name</b>
Mohammed	Hafiz
Allah	Dittah

### Religious names

56. The religious name is considered to be the most important. Mohammed is always a religious name and can be used on it's own. Ahmed, Ali and Hussein can also be religious names and can also be used on their own. Allah is not a religious name as it cannot be used as a name on it's own.

### Male names

57. Avoid referring to men as, for example, Mr Mohammed or Mr Ali. If doing so informally, use the full name, for example Yusef Ali.
58. It is impossible for a non-Muslim to tell which is a religious name, so always use both names in full to avoid giving offence.

### Female names

59. Female Muslims also have a two-part name, though neither of these has any religious significance. The first name is always a personal name, as in the British system. The second can be a title. For example:

- Bano
- Bagnum
- Bi
- Bibi
- Khanum
- Khatoon

- Sultana
60. It can also be another personal name, for example:
- Akhtar
  - Jan
  - Nesa
  - Kausar
61. If a married woman is claiming benefit in her own right, accept the second name as a surname for departmental purposes. It is quite normal for the husband's name to be different, so cross-referencing may be appropriate, for example Anima Begum wife of Mohammed Aslam.
62. When addressing a female Muslim, never use Mrs Begum as this is like saying Mrs Lady. Always use the title and full name.

For example:

Mrs Amina Begum

Mrs Fatima Jan

63. If speaking informally, use the first name for example, Amina or Fatima.

64. The following are examples of possible combinations and variations of names:

**Female**

Alia

Khadija

Mariam

Amirali

Anima

Almas

Ausha

Fatima

Nasreen

Rubina

Parveen

Amna

Fauzia

Yasmin

Jamila

Zohra

Parin

Gulshan

Latifa

Naseem

Razia

**Male**

Akbar

Yaqub

Zainab

Youssef

Bashir

Zaid

Hussain

Amin

Nabih

Ibrahim

Mahmood

Malik

Mansoor

Mustafa

Nasir

Omar

Saliq

Sadrudin

Suleiman

Talat

Hassan

Aziz

**Nigerian**

65. Nigerian names operate in a similar way to the [Ghanaian](#) system of naming, although the names of Muslims from northern Nigeria may vary slightly in form.

66. The following are examples of possible combinations and variations of names:

**Personal female Names**

Yetunde – Yoruba tribe

Ngozi – Igbo tribe

Amina – Hausa tribe

**Surnames**

Adebiyi – Yoruba tribe

Okoro – Igbo tribe

Yusuf – Hausa tribe

**Personal male names**

Babatunde – Yoruba tribe

Chukwuma – Igbo tribe

Ibrahim – Hausa tribe

**Personal unisex Names**

Damilola – Yoruba tribe

Chinyere – Hausa tribe

Musa – Hausa tribe



## Polish

### Sequence of names

67. The Polish system is basically the same as that used in Britain. However, women may have a different ending to the family name, compared with their male relatives. Some people permanently settled in the United Kingdom have dropped this usage.

For example:

<b>Father's name or husband's name</b>	<b>Wife's or daughter's name</b>
Piotr Malinowski	Krystyna Malinowska

68. The following are examples of possible combinations and variations of names:

<b>Personal female names</b>	<b>Personal male names</b>
Danuta	Wladislaw
Halina	Karol
Jadwiga	Wanda Zbigniew
Tadeusz	
Piotr	
<b>Surnames</b>	
Czachraowski	
Astachonowicz	
Wojtkow	
Michatowski	

## Portuguese

### Sequence of names

69. All Portuguese people have two surnames, The:

- First is their mother's surname; and
- Second is their father's surname.

70. They may use both, or only their father's surname.

71. A Portuguese woman can take her husband's surname on marriage by permission of the registrar. Traditionally, women did not do so and many older women from rural areas still do not.

72. The custom is changing however, and many women now adopt their husband's surname(s) adding it, or them, to their own.

73. The following are examples of possible combinations and variations of names:

<b>Personal female names</b>	<b>Personal male names</b>
Maria de Conceicao	Joao
Maria de Fatima	Carlos
Sofia	Manoel
Teresa	Alfonso
Isabel	
<b>Surnames</b>	
Ferieira	Ramalho
Carvalho	Almeida
Rodrigues	Pereira de Souza

## **Sikh**

### **Sequence of names**

74. The Sikh religion originated in the Punjab. There are now Sikhs living in many parts of India and in many other countries.

75. The basic naming pattern is that there are three parts, like the British system.

For example:

#### **Female**

Baljit Kaur Gill

#### **Male**

Ravinder Singh Sahota

76. Family and friends use the first or personal name, in much the same way as a United Kingdom (UK) Christian name. Usually it is used together with the middle, religious name. The ending ji may be added to the personal name. This will then be used alone, in an informal context, to denote respect. Most Sikh names do not indicate sex so can be either male or female.

### **Children**

77. When a child is named, the Sikh holy book is opened at random. The first letter of the first word on the page opened is the letter with which the child's name must start.

### **Religious names**

78. The middle name Singh for men and Kaur for women, are religious names, indicating that the person is a Sikh. Boys and men have the name Singh meaning Lion, while girls and women have Kaur meaning Princess.

79. You should address a Sikh man by his personal name, followed by Singh and a woman by her personal name, followed by Kaur.

For example:

Davinder Singh

Davinder Kaur

80. On marriage, a woman takes her husband's surname only if he uses it, otherwise she will call herself Kaur. There are also some cases in the UK of married Sikh women calling themselves Singh.

81. There are some problems with Sikh names. For example, it is not unknown for Mrs Kaur to be married to Mr Singh.

82. Some Sikh families have reverted to using a family name. Their original records may be held under the name Singh or Kaur.

83. Always address a Sikh formally by using their title, then their first and middle names, for example Mrs Baljit Kaur. When addressing a Sikh informally, use the first name, for example Baljit.

84. Never use the form Mrs Gill, as this may be offensive to devout Sikhs who regard Kaur as the most important part of their name. Also, Mrs Kaur is likely to cause great confusion in the reception area, as there may well be more than one person of that name waiting.

### **Family name**

85. The family name, or surname, is a sub-caste name which indicates:

- Position;
- Occupation; and
- Place of origin.

86. The family name has its origins in Hindu cast grouping. The Sikh religion is anti-caste, so Sikhs traditionally do not use the family name. Occasionally, the whole family will adopt Singh as the family surname.

87. The following are examples of possible combinations and variations of names:

**Personal names**

Ajit  
Baldir  
Gurdip  
Inderjit  
Ravinder  
Joginder  
Ghana

**Surnames**

Gill  
Paneaser  
Amarjit  
Davinder  
Kuldip

## Spanish

### Sequence of names

88. All Spanish people have two surnames. In order of use these are their:

- Father's surname and
- Mother's surname.

89. Before they marry, Spanish men and women may use both their surnames or only the first name. This may cause confusion, because in the United Kingdom (UK) a person's last name is taken to be their surname.

90. Official records in the UK may use both surnames or either, despite what the person themselves uses. After they marry, Spanish women sometimes drop their second surname. In its place they take their husband's first surname. They may use both names or only the second.

91. Spanish married women in the UK sometimes use only their husband's surname, omitting the de, for example Maria Arroyo de Gonzales becomes simply Maria Gonzales.

More examples are:

**Personal name**

Maria  
Miguel

**Father's name**

Arroyo  
Gonzales

**Mother's name**

Garica  
Morales

92. If Miguel and Maria marry, Miguel would keep his name, but Maria would stop using her mother's name and add her husband's first surname in the form de Gonzales Arroyo. Their son, Manuel, would be called Manuel Gonzales Arroyo.

93. The following are examples of possible combinations and variations of names:

**Personal female names**

Maria del Carmen  
Maria del Pilar  
Maria de las Mercedes  
Maria de los Delores  
Maria Jesus  
Josefa Jimena

**Personal male names**

Jesus Maria  
Miguel Angel  
Jose Juan  
Pedro Francisco  
Javiar Carlos  
Andres

**Surnames**

Perez

Rodriguez  
Garcia Soto  
Maldonado

## Turkish

94. Since 1923 Turks have had surnames. Before then they had a personal name and a pet name. Now, the Turkish naming system is the same as the British system, a personal name and a surname.

95. The following are examples of possible combinations and variations of names:

### Personal female names

Necla  
Aley  
Meltem  
Hayal  
Banu

### Personal male names

Bore  
Erkan  
Ergin  
Serkan

### Surnames

Aydin  
Basoglu  
Giinseven  
Kuzuou  
Uzunlar

## Turkish Cypriot

96. Turkish Cypriots usually have just two names, a:

- Personal name by which they are addressed; and
- Second name or surname.

97. This second name is not usually a surname in the United Kingdom sense.

98. Children customarily adopt their father's personal name as their surname, and wives adopt their husband's personal name.

99. Therefore, most men living in this country do not have the same surname as their wives and children.

## Vietnamese

### Sequence of names

100. Vietnamese of non-Chinese origin have three names. Traditionally, the basic pattern is:

- Surname; followed by
- Middle names; followed by
- Personal name.

101. An example of this is:

### Surname

Nguyen

### Middle name

Ngoc

### Personal name

Minh

102. Some Vietnamese in the United Kingdom (UK) have adopted the UK system and put their surname last. Most people who have done this put their personal name first, then their middle name and then their surname.

103. There are variations on this, so remember to ask the NINo applicant which name is which.

104. When a woman marries, she traditionally keeps her own name. Any children will be known by their father's surname.

For example:

**Wife's name**  
Loc Sin Kiu

**Husband's name**  
Chang Soi Nam

**Children's names**  
Chang Senh Phong  
Chang Heng Phong

105. The following are examples of possible combinations and variations of names:

**Female personal names**  
Tuyet  
Hoa  
Hue

**Unisex personal names**  
Minh  
Trung

**Middle female names**  
Thi

**Middle male names**  
Van

**Middle unisex names**  
Ngoc  
Kim

**Surnames**  
Tran  
Le  
Lam Tang

## Appendix 2 - Non-UK terms for Civil Partnerships

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	stadfesta 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

### Appendix 3 - Documentary evidence of self-employment

106. Examples of evidence that a genuinely self-employed person should be able to provide are:

- contracts or confirmations of contracts to confirm services;
- quotations/estimates;
- letters/references/recommendations/testimonials;
- invoices for services rendered with a breakdown of costs e.g. paint ceiling £100 + wallpapering £75;
- receipts showing payment made by the applicant's client(s) for work undertaken. It is important that a variety of receipts are obtained as they will assist in establishing that the applicant has a number of clients. If the applicant has a number of clients try to obtain at least one receipt for each client. If the applicant only has one client then at least two receipts from this client will be sufficient;
- self-employed accounts;
- details/invoices of expenses incurred in connection with the business (tools, materials etc)/remittance statements;
- details of premises;
- client lists;
- details of how the business is advertised;
- public liability insurance documents;
- bank statements;
- self-employment certificate (A2 nationals);
- outcomes from HMRC Employment Status Indicator

This list is not exhaustive

### Appendix 4 – Self-employed Supplementary Questions

107. The following links will take you to the supplementary questions for self-employed people.

108. You must ensure you complete these self-employed questions when completing the CA5400. If you need more space, use the continuation sheet.

109. You can either:

- print off the form and complete manually, or
- complete the form on screen and then print off the form.



	Wales
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