

## Self-employed applications

### Background

1. Where the applicant presents themselves as being self-employed at the interview, the application must be progressed on that basis, however a NINo can be allocated if the applicant has an underlying entitlement to work in the UK (RTW) but appears to be in an employed relationship rather than self-employed as stated in the NINo application.
2. The burden of proof is on the applicant who is claiming to be self-employed.
3. Where there is suspicion or a doubt about the employment status, a doubt notification form should be completed and sent to NIU.

### Interviewing site instructions

4. The CA5400 application form must be completed by the interviewing officer, on behalf of the applicant, at the evidence of identity (EOI) interview.
5. Call applicant, introduce yourself, explain EOI interview and ask for identity (ID) and supporting documents. Check photo ID matches applicant using instructions from Documentary evidence and checks.
6. The interviewing officer must make sure the applicant is reminded that:
  - it is their responsibility to provide sufficient evidence of their self-employment, and
  - the evidence of their self-employment will be corroborated to check that it is genuine before a decision is made whether or not to allocate a NINo.
7. 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 clients and suppliers. Those who claim to be self-employed must be able to demonstrate that they are actually self-employed.
8. If the photo on the ID provided does not match the applicant, see Impostor instructions before continuing.
9. Identify whether applicant will require an interpreter, if so consider using thebigword or applicant's own interpreter. Explain to the applicant's own interpreter that their name and contact details must be recorded on the CA5400 if they accompany them during the EOI interview.
10. If applicant is accompanied by their appointee refer to appointee instructions before continuing
11. Complete a wildcard search on LMS to check for duplicate records. Take the following action:

Step	Action
1	Ask the applicant for their full name and date of birth.
2	Open LMS, click on Client from dropdown list at location select National, then SelAll and enter the first three letters of the applicant's surname followed by % (such as SMI%) and enter their date of birth.

3	Click Search
4	Identify the applicant from the client list and access the record. If a duplicate record is identified see LMS duplicate records.
5	Check Conversations for any notes that are relevant to the NINo application.
6	Access NINo Hotspot via NINo/Ref no
7	Check the Registration tab to make sure the interview has been booked as a Right to Work interview. If booked as a Benefit, follow instructions for Benefit Inspired applications
8	Ask the applicant whether this is their first application for a NINo. If no, establish what happened during/after their other application and check LMS for further information (in Conversations or NINo hotspot).
9	Ask the applicant if they have dual nationality. For additional steps to follow refer to Dual Nationality instructions.

### Conducting a CIS Trace

12. Conduct a CIS trace if it seems that the applicant may have a NINo already. The applicant may have previously worked in UK, lived in the UK as a child and therefore parents may have claimed Child Benefit for them. Also, their parents may have claimed Child Benefit for them, even though the applicant was not living in the UK at the time.
13. Refer to Tracing Action for further advice if a NINo or possible NINo is found. If a NINo is traced, record the NINo and details of how the record has been confirmed as relating to the applicant at Part 4 Other information on the CA5400.

### Check and copy documents

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

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

Step	Action
1	Tell them that you will copy their ID before the interview begins. Note: EU nationals only need to provide a primary document which proves their Identity and Right to Work. However, they may have other evidence that will be enable identity to be established during the EOI interview, for example, proof of their address or a letter from their employer. If this is provided during the EOI interview it can be noted on the back page such as 'Utility bill seen as proof of address but not copied'. Refer to Documentary Evidence for further details.
2	Examine relevant documents using XXX XXXXXXXX XXX XXXXX XXXXX XXXX XX XXXXXXXXXXXX XXXXX, XX X XX XXXXXXXXXXX XXX. See Examining relevant documents.

	[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]
3	If there are any concerns with the documents provided or they are listed on the Document High Risk List, telephone the Identity Fraud Team (IFT) on XXXX XXXXXXXX for further assistance, and record the IFT reference number. If the document needs to be retained for further examination refer to the Retaining a Document instructions. [Telephone number redacted – Exclusion 40 applied – Personal Information]
4	Photocopy the ID and relevant evidence. If an identity card is provided ensure both sides are copied on one page. When photocopying a passport, make sure you have copies of: <ul style="list-style-type: none"> <li>• Photo and personal details page(s)</li> <li>• Bearer’s signature if not on the photo page</li> <li>• Both sides of Identity card / biometric residence permit</li> <li>• Any observations or amendments (recorded in passport)</li> </ul> The applicant may not have their passport and state that it has been sent to the Home Office. In this instance they must provide their acknowledgement letter from the Home Office and a copy of their passport. You will need to photocopy all of these documents.
5	Stamp copies of the ID and evidence (triple signature stamp) as a certified copy. If applicant only has a copy of the original, make a note by the stamp to say “original not seen, this is a copy of a copy”. Explain where the original document is, on the CA5400 at Part 4, Other information.
6	Sign and date the copy

### **Documentary evidence of self-employment**

15. Examples of evidence that a self-employed person must be able to provide are:

- Contracts or confirmations of contracts to confirm services.
- Quotations and estimates
- Letters, references, recommendations and testimonials
- Invoices for services rendered with a breakdown of costs for example, 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 like invoices of expenses incurred in connection with the business, such as tools or materials. Remittance statements can also be used
- Details of premises

- Client lists
- Details of how the business is advertised
- Public liability insurance documents
- Evidence of a bank loan taken out for business reasons
- Bank statements
- Self-employment certificate (Croatian nationals).
- Outcomes from HMRC Employment Status Indicator Receipts for expenditure on business.
- Evidence of advertising for work.

## Completing the CA5400

16. See Completing the CA5400 instructions on how to complete the rest of the form.
17. A series of questions relevant to their self-employed type are listed on the CA5400SQ and must be asked at the interview:
18. The interviewing officer must consider that the amount of evidence may not be as important as the type of evidence. XXXXXXXX XXXX XX XXXXX XXXXX X XXXXXXXXX XX XXXXXXXXXXXXXXXXXXXX XX XXXXXXXXX XX XXXXXXXX XX XX XXXXXXXXXXXXX. XXXXX XXXXXXXXXXXX XXX XXXXXXXXXXXX XXX XXXXXX XXXXXXXXXXXX XXXX XXX XXXXXXXXXXXX XXX XXX XXX XXXXXXXXXXXX XXXXXX XXXXX XX XXXXXXXXXXXX.

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19. 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 subcontractor at question 20, ask the applicant the questions on the CA5400SQ for subcontractors, as the answers to these questions will be important when establishing their relationship with the contractor.
20. 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 CA5400SQ for each.
21. If it is apparent from the interview that the applicant either cannot speak English at all or speaks very little English, XXXX XXXX XX XXXXX XXX XXXX XXXXX XXX XXXXX XXX XX XXXX XXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX. If they state they are a self-employed construction worker, there could be health & safety issues on the construction site.

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

22. 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 CA5400SQ. This may include what the applicant perceives their self-employment work to be, accountants name.
23. Wherever possible, the interviewing officer must provide the applicant with the opportunity to return to the office within a short period of time with the

required documentation or information and must retain the CA5400 at the interviewing site until the application is completed.

24. Check supporting evidence and applicant information against Intelligence High Risk Lists (IHRL). Take the following action and consider whether to raise a Doubt Notification (DN).

Step	Action
1	Open IHRL
2	Ctrl+F
3	Type in search box: <ul style="list-style-type: none"> <li>• Customer address</li> <li>• Employer address</li> <li>• Interpreter address</li> <li>• Customer name</li> <li>• Employer name</li> <li>• Interpreter name</li> </ul>
4	Complete Doubt Notification if a match is found.

### LMS action

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

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

	Any other relevant documents seen but not copied must be entered in the Notes box.
15	Click on O/S Int hotspot
16	Click on Start, then Yes
17	Select AO Int Attended, then select OK and OK
18	End Yes, then OK and Close

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

### Completing the interview

27. Ask applicant to check form and SQ or read back entries to applicant to check. The applicant will sign the CA5400, SQ and copies of evidence to support the application.
28. Decision makers are required to complete corroborative checks for these types of application
29. Ask the applicant if they have any questions. Thank the applicant and ask them to take a seat in the waiting area whilst the application is checked.
30. Complete the appropriate CA5400 Covering Page with the applicant's name, date of interview, LMS reference number (including prefix EOI office site numeric code where necessary) and CA5400 form reference number. In the 'What happens next' box, insert the earliest date the applicant can contact the NINo Centre, as per local agreement.
31. Give the cover sheet to the applicant and explain what it is and what will happen next.

Step	Action
1	Put the CA5400, SQ, supporting documents and photocopies in the tray for countersigning action.

### Countersigner

32. Follow Countersigner instructions. In addition to these instructions the countersigner must check the SQ form is fully completed, sign and date it.

### Despatching officer

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

Step	Action
1	Using the Application form serial number put all the forms into numerical order
2	All form serial numbers to be listed on EF413
3	Physical check completed by another officer to confirm that all reference numbers listed on EF413 match those to be dispatched
4	EF413 printed and signed by both officers
5	TNT book completed in duplicate

6	TNT pouch labelled
7	Forms placed in TNT pouch ready for collection by TNT to be sent to MOU

34. Where there are suspicions on the self-employed application, a Doubt Notification form must be completed and all available supporting evidence provided by that specific NINo applicant, interpreter or agent must be copied.

#### **Mail opening unit and Xerox**

35. The mail opening unit (MOU) will scan the CA5400 and any supporting evidence; which will then be indexed and uploaded into CAMLite and Document Repository System (DRS)

#### **Form returned to the NINo centre**

36. The allocator will send the application to the self-employed team to be processed.

#### **Processing a self-employed NINo application**

37. Self-employed applications are sifted by the allocator from other types of applications. They are then directed to the specialised self-employed team for processing.

#### **NINo processing team leader**

38. Team leaders distribute work to teams through CAMLite.

#### **NINo decision maker to access CAMLite and go to cases view, open CA5400 and view application details:**

<b>Step</b>	<b>Action</b>
1	Highlight case to be processed and select View Case
2	Copy Customer Reference Number (CRN).
3	View tasks at bottom of screen
4	At top of screen select View Documents
5	Open CA5400 and documents, and then resize
6	Access LMS and click on the Client icon. This opens the Identity Client window. Paste the CRN into the NINo/Ref No box and click on the Srch button. The applicant's LMS record will open.
7	Check Conversations for any notes that are relevant to the NINo application
8	Check Status is set to Inactive
9	Check details on CA5400 match details on LMS – Name, Address, Title, Tel and DOB.
10	Continue to check all other details on CA5400
11	Click on NINo/Ref No button, Decision tab, click on Amend and enter receipt date (found on CAMLite) in the Received at CCU box, click on Save.

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

### **UK passport checks**

40. If an applicant provides their UK passport as evidence to support their application for a NINo, the decision maker must send a copy to National Identity Unit (NIU) for further checks before NINo allocation is considered.
41. Check that identity documents and supporting evidence matches details recorded on NINo application. Scrutinise these to confirm the identity and RTW of the applicant.
42. Conduct CIS trace. If a NINo or possible NINo is found see Tracing Action. Refer to CIS Trace and Allocation guide for further details on tracing action.

### **IFT referral process**

43. If there is any doubt on the identity of the applicant, refer to the IFT:

<b>Step</b>	<b>Action</b>
1	Click Customers tab
2	Type in the CRN including 66 prefix
3	Click Go and Yes
4	Click Tasks
5	Click Status tab and Select Closed from the dropdown menu
6	Click Cases
7	Click Create New Task at the bottom of the screen
8	Select Outbound Correspondence from the dropdown menu
9	Click Sub Type tab and select Additional Information from the dropdown menu
10	Click the notes tab and click New
11	Type IFT Check including the applicant's nationality, processing team leaders name and staff number.
12	Copy the note you have just input
13	Click the Tasks tab
14	Click the notes tab and Click New
15	Paste the note from step 11
16	Click Cases
17	Click Assigned To tab
18	Select the NIFU DET Team
19	Click Assign

### **NINo traced**

44. For NINo traced, see tracing action.

### **NINo upgraded**

45. For NINo upgrade, see upgrading a NINo.

### **Issue a CIS500.**

46. For CIS500 action, see issue a CIS500.



## Consider self-employed evidence

### Employed or self-employed?

47. 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, even where they are paying their own tax and contributions. It can only be determined by examination of the facts, such as the relationship between the individual and their suppliers. Those who claim to be self-employed must, when challenged, be able to demonstrate, to the satisfaction of the decision maker, that they are genuinely self-employed. See Gov.uk for further information.
48. Applicants may state they are self-employed but are in fact employed. This type of disguised employment can be purposeful, in order to avoid some employment restrictions or simply at the request of those requiring the work to be done, in order to minimise their involvement, for example, potentially exploiting the individual.
49. There is no documentation issued by a government agency that confirms an individual's status as self-employed.
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51. Following allocation of the NINo, NIU will make a decision whether to send a referral to HMRC through NIDFID to allow for further potential investigation on Template 17.

### Initial processing

Step	Action
1	Check LMS Convs for information held on possible previous applications. This may be taken into account when making a decision.
2	If a eDCI1 is noted as received, process as per the eDCI1 instructions
3	If NIU interest is noted on LMS, a DN must be completed

52. If there is no interest noted in LMS conversations, the application and supporting documents must be checked against both the intelligence and document high risk lists.

### Indicators of self-employment

53. There are four elements of the applicants work that the decision maker must consider when examining their circumstances and the evidence they present in support of their claim to be self-employed:
- Financial risk
  - Lack of control
  - Genuine lack of obligation for personal service, and

- Investment in business

Indicator	Characteristics	What to look for
Financial risk	<p>XXXXX X XXXXXX XXXX            XXX XXXXX XXX XX            XXXX XXX XXXX XXXXX            XXXX XXX XXXXXXXXXXXX            XXXXX XX XXXXXXXXXXXX            XXXX XXX XXX            XXXXXXXXXXXX.</p> <p>XX XX XXXXXXXXXXXX            XXXXXXXXXXXXXXXXXXXX XXX            XXXX, XXXX XX            XXXXXXXXXXXX, XXXX XX            XXXXXXX XXXXXXXX XX            XXXXX XXX XXX XXXX,            XXXX XXXXX XXXX X            XXXXXXXXXXXX            XXXXXXXXXXXX XXXX XXX            XXX XXXXXXXXXXXX.</p> <p>XXXXXX XXXX XX XX            XXXXXXXXXXXXXXX XXXX            XXXX XXX XX            XXXXXXXXXXXX XX X            XXXXXXXXXXXX            XXXXXXXXXXXX XX XXXXXXX            X XXXXXXXXXXXX            XXXXXXXXXXXX. XXXXX            XXXXX XXXXXXXXXXXX XXX            XXX XXX XXXXXXXX XX            XXXXXXX XX XX            XXXXXXXXXXX XXXXX XXX            XXXXXXX XXXXXXXXXXXX            XXX XXXX XX XXXXX            XXX XXXX XX XXXXX            XXX XXXX.</p>	<p>XXX XXXXXXXX XXX XXXX XXX            XXXX XXX XXXXXXXXXXXX XXXX            XXXX XXX X XXXX</p> <ul style="list-style-type: none"> <li>• XX XXX XXXX XX XXXXXXX              XXXXX XXXX XXXX XXX              XXXXXXXXXXXX              XXXXXXXXXXXX, XXXX              XXXXXXX XX XXX XXX              XXXXXXXXXXXXXXX XXXXX              XXXXXXX.</li> </ul> <p>XXX XXXXXXXX XXX            XXXXXXXXXXXX XXXXXXXX XXX            XXXXX</p> <ul style="list-style-type: none"> <li>• XX XXX XXXXXXXXXXXXXXX XX              XX XX XXXX XX              XXXXXXXX XXXXXXXXXXXX,              XXXX XXXXXXX XX              XXXXXXXXXXXX XXXX XXX              XXXXXXXXXXXXXXX XXX              XXXXXXX XX XXX XX              XXXX XX XXXXXXXX XXX              XXXXXXX XXXXXXX,              XXXXXXX XXXX              XXXXXXXXXXXX              XXXXXXXXXXXXXXX XX XXXX              XXX.</li> </ul> <p>XXX XXXX XXXX XXX            XXXXXXXXXXXXXXX XXXX XX XX            XXXXX</p> <ul style="list-style-type: none"> <li>• XXX XXXXX XX XXXXXXXX              XXX XXXXXXXXXXXX              XXXXXXXXXXXXXXX XXXXX XXX              XXX XXXXXXXXXXXXXXX              XXXXXXXXXXXXXXX XXXXX              XXXXXXXXXXXXXXX XXXXX              XXXX XX XXX XX XXXX              XXXX</li> </ul>
Lack of control	XXX XXXXX XX XXX	XXX XXXX XXX XXXXXXXXXXXXXXX

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<p>Lack of obligation to actually provide the service.</p>	<p>X XXXXXXXXXXXXXXXX  XXXXXXXX XX  XXXXXXXXXXXX XX  XXXXXX XXXXXXXXXXXX  XX X XXXXXXXXXXX XXX  XXXXXX XXX XXXXXX  XXXXX. XXXX XXXXX  XXX XXXXXXXXXXXX  XXXX XXXX XXXX XXX  XXXXXXXXXX XX XXXXXXX  XX XXXXX XXX XXX  XXXX XXXXXXXXXXXX.  XXXX XXXXX XXXXXXX  XX XXXXXXXXXXXXXX XXX  XXXXXXXXXX XXX  XXXXXXXX XX XXX XXXX</p>	<p>XXX XXXXX XXXXXXX X XXX XX  XXX XXXXXXXXXXX XXX  XXXXXXXX XXX</p> <ul style="list-style-type: none"> <li>• XXX XXXXXXXXXXX  XXXXXXXX XX XXX XXX  XXXX XXXXXXXXXXX X  XXXXXXXXXXXX XXX  XXXXXXXXXX XXXXX  XXXXXXXXXX</li> <li>• XXX XXXXXXXXXXX XXXXX  XXXX XX XXXXXXXXXXXX  XXX XXXXXXXXXXX XXX  XXXXXXXXXXXXXXXX  XXXXXXXXXXXXXXXX XXXXXX  XXX XXXXX XX XXXX XX</li> </ul>

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<p>Investment in        business</p>	<p>XXX XXXXXXXXXXXX XX X        XXXXXXXXXXX XXXX XXXX        XXXXXXXXXXX XX XXX        XXXX XX XXXXXXXXXXX.        XXXXXXXXXXX XXXXX        XXXXXXXXXXX XX        XXXXXXXXXXX XX XXXX        XXXX XXXXXXXXXXX XX        XXXXXX XXXX XXXXX        XXXXXXXXXXX XXX XXXXX        XXXXXXXXXXX. XXXXX        XXXXX XX XXXXXXXXXXX        XXX XXXX XX        XXXXXXXXXXX XX XXX        XXXXXXXXXXX XXX        XXXXX XXX XX XXXX XX        XXXXXXXXXXX</p>	<p>XXXX XXXXXXXXXXX XXXX XXX        XXXXXXXXXXX XXXXXXX XXXX        XX XX XXX XXXX XXXX XXX        XXXXX XXXX XXXX</p> <ul style="list-style-type: none"> <li>• XXX XXXXXXXXXXX XXXXX        XX XXXXXXXXXXX XX XX        XXXX XX XXXXXXX XXXX        XXXX XXXX XX XX XXX        XXX XXX XXX XXXX        XXXXXXXXXXX XXXXXXX        XXXX XXXXXXXXXXX XX        XXXXX XXX XXX XXXX        XX XX XXXXX</li> </ul> <p>XXXXX XXXX XXX        XXXXXXXXXXX XXXXXXX        XXXXX XXXXXXXXXXX</p>

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54. It is unlikely that a person whose self-employed work is either obtained through an agency, or is for one person or company only, would be genuinely self-employed. Where a Croatian Yellow Accession Registration Certificate is presented in support of self-employment, the decision maker must make sure they consider that this only confirms that at the time of applying for the certificate the individual was exercising their Treaty Right as a self-employed person.

55. If an applicant presents themselves as a director of their own company, the same considerations must be given as with other forms of self-employment. They may be paying themselves a wage but still be considered self-employed.

### Corroboration action

56. The NINo processor must consider the quality and quantity of the evidence provided. If they consider that there is sufficient evidence to confirm the applicant is genuinely and currently self-employed then a NINo can be allocated. However if there is insufficient evidence to conduct a corroborative check then the application must be refused.

57. The processor can corroborate the evidence in various ways:

Step	Action
1	Phone calls to clients, companies and accountants
2	Checks against internet sites such as Companies House, Yell.com or a check on the applicant's own business
3	CIS traces on phone numbers or addresses
4	Social media

### Phone calls

Step	Action
1	Where necessary a minimum of 2 phone calls must be made to named individuals.
2	If the initial call is unsuccessful a further call must be made at a different time on the next day.
3	Do not leave messages for a call back.

### Accountant's evidence

Step	Action
1	Such evidence must not be considered on its own.
2	Evidence that the applicant is registered with an accountant. This does not in itself prove that individual is self-employed.
3	End of year records.

### Weight

Step	Action
1	Consideration must be given to the type of supporting information provided. If the evidence is from X XXXXXXXXXXXX XX XXXXXXXXXXXX

	XXXX XXXX XX XXXXX X XXXXXXXXXXX XXXXXXXXXXX XX XXXX XXXX X XXXXXXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]
2	A shop owner would be expected to have evidence of a lease for premises, business rate Council tax bills or perhaps business bank statements showing income and expenditure.
3	Corroboration via a mobile phone contact can be accepted, XXXXXXXX XXX XXXXXXXXXXX XXXXXXX XXX X XXXXXXXXXXX XXXXXXXX XX XXXXX XXX XXXXXXXXXXXXXXXX XX XXX XXXXXXX XX XXXX XXXXX XXXXXXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]
4	A check on CIS could reveal X XXXXX XXXXXXX XX XXXXXXX XX XXXXXXXX XXX XXXXXXX. XX XXX, XXX XXXXXXX, XXXXXXXXXXXXXXXX XXXXX XX XX XXXXX XX XXXXXXX XXX XXXXXXXX XXX XXXXXXX XX XXX XXXX XXXXXXX XX XXXXXXX XXXXXXXX XXXX XXXX XXXXXXX XXXXXXX [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

### To allocate or refuse a NINo

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

Step	Action
1	In CIS, select SA Create New CIS Account
2	Click on Title dropdown, select applicants title from dropdown
3	Enter Forenames of applicant in Forenames box
4	Enter surnames of applicant in Surname box
5	Click on Sex dropdown, select either M or F
6	Enter date of birth in Date of Birth box, format as DD/MM/YYYY
7	Click on Date of Birth Verification dropdown select correct Verification level from dropdown i.e. 'Verified to level 2'
8	Click on NINo Verification dropdown, select 'Verified' from dropdown
9	Click 'Next'
10	If applicant does not have historic name click Next and go to step 17. If applicant has historic name, click on Add Historic Names
11	In 1. Hist Name, enter historic name title from Title dropdown
12	Enter historic Forenames in Forenames box
13	Enter historic surname in Surname box
14	<b>Do not overwrite the system default name start and end dates</b> If applicant has another historic name, click on Add Historic Names

	button and repeat the process
15	Click Next
16	Name Type 2 is name being used concurrently, Historic name is name previously known by. Unadopted married names are used for tracing purposes only and must not be recorded in CIS or eNIRS.
17	On the Residential Address dropdown, click Add Address.
18	Enter postcode in Postcode box
19	Enter address building number in Building Name/Number box
20	Click Search
21	From Address Details- Search Results click on the hyperlink that corresponds to applicants address (if no/incorrect results found click on Address not listed to input address manually then go to step 23)
22	Enter any more details needed in Address Line 1 box, or leave blank if address is complete
23	Enter Address Start Date from CA5400 application form. If none provided, use today's date.
24	<p>Click Next. If a previous address has been provided repeat steps 17-23 selecting Former Residential Address from the dropdown menu.</p> <p>You need to complete the following fields:</p> <p>Address Notified Start Date – enter today's date</p> <p>Address End Date – enter the date stated on the CA5400</p> <p>Address Notified End Date – enter today's date</p> <p><b>Note:</b> Only one former residential address can be recorded in CIS. There must not be a break between the end date of the former residence and the start date of the current residence.</p> <p>For example:</p> <p>Current address from 02/01/2016</p> <p>Former address from 27/09/2015 to 02/01/2016</p> <p>If there is a break, the former address will not be recorded in CIS.</p>
25	Click Next. If a correspondence address has been provided repeat steps 17-23 selecting Correspondence Address from the dropdown menu.
26	To add phone contact details click on Add New Contact Detail
27	Click inbox for Preferred Method of Contact to add tick
28	Click on Select Contact Type dropdown tab
29	From dropdown tab select relevant phone type
30	Enter phone number in Contact Details tab
	If applicant has additional contact details then repeat steps 25-29 , if no extra contact details go to next step
31	Click Next
32	On Personal Details screen click on Marital/Civil Status dropdown
33	From dropdown tab select relevant marital/civil status of applicant
34	Click on Nationality dropdown



35	From dropdown select applicants nationality
36	Click on Create Account
37	Click OK on pop up if you want to create account, or click Cancel if you no longer want to create an account
38	Created NINo will then show. If needed to access applicants account click on NINo in the Account Successfully Created for box

### Update and authorise LMS, print decision letter and send to applicant

Step	Action
1	In LMS, select Decision tab
2	From drop down list select Allocated
3	Enter NINo in NINo field
4	Save and OK
5	Select Print tab
6	Select Allocation letter and Print then click OK
7	Select Not Checked hotspot
8	Select Amend tab
9	Enter today's date in the Authorisation Date field
10	Save and OK (then Hide)
11	Select Amend tab
12	Enter today's date in the Completion Date field
13	Save and OK
14	Close Decision screen
15	Close View Clients Details screen
16	Send NINo Allocation letter to applicant

### Register NINo on eNIRS

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

Step	Action
1	Access eNIRS, enter the Adult Registration Application, then click OK
2	Enter NINo in Adult Registration screen and Submit
3	Check Name, DOB, Sex and NINo have pulled through correctly from CIS
4	If OK click registration and move to step 5
	If the wrong person appears, cancel out and check NINo
	If the wrong DOB appears, this can be changed in Adult Registration page
5	Enter Date of Entry, which is the applicant's first ever entry into the UK. Unless date of entry is before 16th birthday, then enter 16th

	birthday as date of entry
6	Click Complete Registration, then OK and Yes
7	Access Adult Registration Update screen, enter NINo and click OK
	No need to take action in the General Details screen
8	If dealing with a single name case go to step 14 Note: Unadopted married names are used for tracing purposes only and must not be recorded in CIS or eNIRS.
9	Access Name screen and update
10	Click Name tab. For applicants who have used more than one name, the additional names must be entered onto the system on separate days. See second day name action
11	Click on any of the blue hyperlinks
12	Overtyping the name details as appropriate using the oldest historic name held on CIS
13	Click Update and OK
14	Access Address screen and update Country codes are: <ul style="list-style-type: none"> <li>• 114 England</li> <li>• 115 Scotland</li> <li>• 116 Wales</li> <li>• 008 Northern Ireland</li> </ul>
15	Click Update and OK
	If no correspondence address, go to step 20
16	Click Insert
17	Change address type to Correspondence – DWP office care of addresses must never be recorded in eNIRS
18	Complete address boxes – the start date is always today's date
19	Click Update and OK
20	If partner/ex-partner NINo is provided on the CA5400, access the marriage/civil partnership screen and enter all details. If partner/ex-partner NINo is not provided, go to step 30.
21	Click Insert
22	Complete Start date of marriage or civil partnership
23	Select appropriate marriage/civil partnership status from dropdown
24	In last box enter the spouse's/civil partner's NINo
25	Click Update
26	Check the spouse's or civil partner's details shown. These must match
27	If they do match click Confirm
28	Click OK
29	If they do not match click Cancel
30	Access Migrant Worker screen

31	In Surname box enter surname at birth
32	If the applicant <b>is</b> a national of one of the 12 EU/EEA specific countries – enter Town/Commune and Province/Department/County of birth (even if this is not an EU/EEA country), then complete the 'Country' box
	If the applicant <b>is not</b> a national of one of the 12 EU/EEA specific countries – complete the Country box with '249 – not yet recorded'
33	Complete the Nationality box with the appropriate nationality. <b>Note:</b> If the customer is Palestinian, use '250', for any other Nationality not on the list, use '249 – not yet recorded'
34	For all nationalities, input the full social security number. If the full social security number is not known, do not complete.
	Maiden name box- Do not complete this box
35	If the applicant is Spanish, also enter their parents names
36	If the applicant is a national of one of the 12 EU/EEA specific countries input their last address in the EU/EEA
37	Click Update and OK
	Liability details for 16th Birthday Cases <ul style="list-style-type: none"> <li>• Where the date of entry is the 16th birthday and there has been a single entry into the UK, then staff must record migrant worker details but no liability dates, regardless of nationality.</li> <li>• Where the date of entry is the 16th birthday and there are multiple UK entry and exit dates after the 16th birthday, then staff must record migrant worker details and all valid liability dates, regardless of nationality.</li> </ul>
38	Access Liability Details screen
39	Click on Liability tab
40	Click on Add liability
41	In Liability Details enter the first date that applicant arrived in UK in the End Date box
42	In Office no. box enter <b>2106</b> for Isle of Wight NC or <b>4061</b> for Glasgow NC
43	Click Submit
44	Click OK and OK. If only one liability date to input, go to Step 46
45	For next liabilities enter Date left UK in the 'start date' box
46	Enter next Date Arrived in UK in 'end date' box
47	In Office no. box enter <b>2106</b> for IOW NC or <b>4061</b> for Glasgow NC
48	Click OK and OK
49	Repeat until all liabilities are entered
50	Click black cross at top right hand side to close eNIRS
51	Close eNIRS browser

## Update DRS and CAMLite

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

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

## Self-employed NINo application refusal letter

61. In cases where a NINo application has been refused on self-employment grounds, the LMS Refused – not enough info letter must be printed and destroyed and the appropriate self-employment refusal letter must be sent to the customer.

- Option 1 – Use the SERL1 XX XXXXX XXXXX **XXXXXXXXXXXXXXXXXX**  
XXX XXX XXXX XXXXXXXXXXXXXXXX XX XXX XXXXXXXXXXX XXXXXXXX  
XXXXX.
- Option 2 – Use the SERL1A XX XXXXX XXXXX **XXXXXXXXXXXXXXXXXX**  
XXX XXX XXXX XXXXXXXXXXXXXXXX XX XXX XXXXXXXXXXX XXXXXXXX  
XXXXX.
- Option 3 - Use the SERL2 XX XXXXX XXXXX **XXX** XXXXXXXXXXX XXX  
XXXX XXXXXXXXXXXXXXXX XXX XXX XX XX XXX XXXXXXXX XXXX  
XXX XXXXXXXXXXX XX XXXXXXXXXXX XXXXXXX XXXX  
XXXXXXXXXXXXXXXX.

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

## Referring a case to NIU after the decision

Step	Action
1	Enter NINo in Client screen and click detail.
2	Select Queue from bottom right of screen.
3	Select Follow up Opportunity from the Action Type drop down menu.
4	Enter brief description in the Description free text field to explain the reason for referral.
5	Select Team from Queue to drop down menu.
6	Click Select and then Search
7	Select DET NIFU
8	Click Queue to send.

