

# **This publication is withdrawn**

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## **Section 5 – NINo Centre**

### **SS 01 Receipt of a National Insurance Number (NINo) application**

#### **Receipt of a National Insurance Number (NINo) application**

1. The Mail Opening Unit (MOU) will scan the CA5400 and supporting documentation. The Solution will then store the images in Document Repository System (DRS) and create Tasks in CAMLite enabling a user to view the images. The Tasks will be directed to appropriate NINo Centre (NC) workflow teams based on the CA5400 document types ticked in the DWP Official Use section on the CA5400.
2. A list of exempt items which cannot be workflowed via CAMLite as they will not be scanned can be found at Appendix 9. These items will be physically sent from the MOU to the Indexing Team at the NC via TNT Documented Service.
3. If the CA5400 does not have an LMS reference number, it will be routed to the Indexing team inbox to be dealt with.
4. If the CA5400 does have an LMS reference number Tasks relating to the NINo application will be workflowed via CAMLite to the appropriate team area and queued awaiting allocation by either the allocator or the team leader.
5. Tasks are created in CAMLite by the Solution which instructs and enables the user to view the documents retained in DRS.
6. The allocator/team leader can workflow 20 'Tasks' at a time to team members via CAMLite.

### **SS 02 Impostor applications referred direct to the National Identity Fraud Unit (NIFU) by interviewing site**

#### **Impostor applications referred direct to the National Identity Fraud Unit (NIFU) by interviewing site**

7. Interviewing sites will mark an application as 'NIFU Refusal', on the Interviewing Site official use page, and forward to the relevant NIFU team listed below if they have reason to suspect the applicant is not the person they are claiming to be (i.e. an impostor).
8. In these cases, NIFU will:
  - undertake intelligence gathering;
  - consider if a low level fraud referral is appropriate before taking LMS refusal action;
  - take LMS refusal action, including noting the LMS applicant record as received and issuing notification of the refusal letter and
  - mark the front of the application form 'NIFU Refused'.
9. Interviewing sites will complete a Doubt Notification Form and forward to NIFU with the CA5400 via the NINo Centre address for scanning by the MOU. LMS conversations must be marked NIFU refused.
10. In these cases, NIFU will:
  - note receipt of the application at the NC in the CAMLite notes field;
  - undertake intelligence gathering;

- corroborate the information provided and
  - advise the NC of their findings on the application or supporting evidence if provided, if not refusing a NINo, to enable the NC to make a decision as to whether the NINo should be allocated.
11. If the decision is to refuse the NINo, NIFU will take all appropriate action.

## **SS 03 Initial processing activity**

### **Initial processing activity**

12. NINo Applications will be workflowed to NC Processing Officers by Team Leaders using CAMLite tasks. On receipt of the NINo application, the NC Processing Officer must confirm receipt of the application by noting the LMS applicant record and checking LMS conversations for any relevant information.
13. The Processing officer must carry out an initial examination of the applications and evidence received via CAMLite and check LMS conversations.
14. All relevant documents supporting a NINo application should have been examined and validated at the interviewing site or by the Document Examination Team (DET), where appropriate.
15. There may only be one primary document included with the application for EU nationals which proves their identity and right to work (immigration status), i.e. a passport or ID card. All self-employment applications, doubt notifications and cases where suspicions are aroused are the exception.
16. Where the documents presented as evidence are on the document high risk list published by the DET or the intelligence high risk list published by the NIFU Intel team, the processing team must ensure that the interviewing site has checked any suspect documents with DET.
17. Where appropriate, if examination and validation of the evidence and/or the application form, has not taken place or the interviewing site has not previously checked the documents with the DET, the processing team must:
- Workflow the case to DET with a DET referral stencil for consideration;
  - note on LMS conversations that the documents have been referred to DET;
  - BF for return in 5 working days, noting LMS and
  - continue action on the application once returned from DET.

### **Check of the application form and supporting documentation**

18. The processing team must also ensure that they carry out an initial check of the application itself to confirm there are no inconsistencies between the details on the application form, the documentation provided by the applicant and those held on LMS. They must ensure:
- all documents provided are listed on LMS and that all the documents listed on LMS are provided – if the LMS address is incorrect, this must be changed before any letter is issued;
  - where bank details are included on the documents provided, the bank account, sort code number and any other sensitive information are made un-readable (blacked out);
  - the applicant's personal details are complete and recorded correctly eg:

- names on primary ID at questions 1 & 2, all other names at question 4;
  - date of birth;
  - gender at birth (if an applicant holds a formal gender recognition certificate, accept this as their acquired gender);
  - marital status, including former names;
  - addresses, including previous and correspondence addresses;
  - nationality/nationalities;
  - liability dates and
  - employment/self-employment.
  - the applicant has signed (or made their mark) at Part 6, and that the countersigning officer has signed at Part 7.
  - copies of all supporting documents are signed by the applicant or their mark made, signed by the interviewing officer and countersigning officer;
- NB:** Any form of fingerprint is not acceptable as a signature substitute.
- evidence of identity has been provided – in appointee cases, the identity of both the applicant and appointee must be satisfied;
  - evidence of RTW or immigration status has been provided where appropriate, and
  - tippex has not been used.
19. Where there are missing signatures from the applicant, interviewing or countersigning officer on either the copies of documents or the CA5400, the application signature page must be printed from DRS and returned to the originator for completion and receipted in the usual way.
20. If the applicant is unable to deal with their own affairs, the application form must be signed by their appointee/ Power of Attorney. In addition to the applicant's evidence the appointee/Power of Attorney must also provide evidence of their identity. Confirmation of the appointeeship (BF56 held by the DWP) or the Power of Attorney documents must also be provided.
21. There could be some applicants who may not be able to produce any form of documentary evidence and these types of applications must be considered on their own merits. These may be applicants who are:
- homeless;
  - of no fixed abode;
  - a traveller;
  - a victim of disaster or
  - fleeing domestic violence
22. On receipt of a completed application, LMS conversations should be checked to see if a DCI1 has been received at the NC (either electronically or by paper if from the Local Authority). If there is a paper copy, this should be scanned and uploaded to DRS to be linked with the application. If the DCI1 has been received by email, annotate the application form within the CAMLite notes field. The usual consideration must be made by the Processing Officer prior to a decision being made as to whether or not to allocate.
23. Each application should be considered on its own merits. Where any details on the application correspond with details on the NIFU intel list, the instructions given on the high risk list, or summary sheet if one is provided, must be followed. Refer the application to NIFU with a Doubt Notification

- form, by noting the reasons for doubt in LMS conversations. A previous NIFU refusal is not a reason for raising a DN.
24. If, after examination, NIFU advise that there is no reason to refuse the application, this should be noted in LMS conversations and the application processed.
  25. If, following the initial check of the application form or during processing, it is apparent that information has been missed or recorded incorrectly, record full details within the CAMLite notes field.
  26. If no concerns are identified, the initial examinations should be followed by trace actions detailed below.

## **SS 04 Other applications**

### **Republic of Ireland applications/checks**

27. A check must be made with the Department of Social Protection in the Republic of Ireland in cases where the NINo applicant has not been able to provide evidence of their identity at the EOI interview. This is only a check specifically to corroborate identity and not for benefit liaison. The check does not need to be done where identity documents have been provided. The check should be done in both RTW and benefit inspired NINo applications.
28. When contacting the Republic of Ireland, the Processing Officer must ensure the customer has signed the declaration part of the CA5400 in both benefit and RTW inspired applications. This provides permission for DWP and HMRC to contact third parties for information.
29. The Processing Officer must contact the Control Policy Unit by fax on xxxxx xx xxxxxxx and explain that corroboration of a customer's identity is required and confirm:
  - the correct spelling and order of the applicant's name;
  - the applicant's date of birth;
  - the applicant's Personal Public Services (PPS) number;
  - the applicant's last address in the Republic of Ireland;
  - the maiden name of the applicant's mother (can be established by telephoning the applicant if not obtained at the EOI); and
  - details of any benefit claimed whilst living in the Republic of Ireland.
30. The above information should have been obtained during the EOI interview and recorded on the CA5400. The Processing Officer must contact the applicant to obtain any missing information.

### **Isle of Man (IOM) applications**

31. Where an application is received from an applicant who already has an IOM NINo, the Processing Officer should note the CA5400 with 'IOM case' in the official use box on the first page. The NC must ensure they verify the applicant's identity by contacting the IoM Treasury Department. on telephone number xxxxx xxxxxx.
32. Once identity has been established, the Processing Officer will:
  - complete and issue form CIS2 to CIS Frontline Service;
  - note LMS conversations;
  - update and complete LMS with traced NINo;
  - send notification of their NINo to the applicant;
  - pass the case to the Authorising Officer for authorisation on LMS, and

- retain the application securely for 14 months.

## **Channel Island applications**

33. Applicants from the Channel Islands require a new UK NINo and therefore, any applications received should be processed as normal. A Jersey NINo has the pre-fix JY and a Guernsey NINo has the pre-fix GY.

## **SS 05 Tracing action**

### **Tracing action**

34. Tracing is essential to establish that a customer does not have an existing NINo before allocation action is taken. Refer to CIS Tracing guidance for further details on tracing action. Where a NINo is traced, ensure the CIS record relates to the identity documents provided.

### **Tracing in Customer Information System (CIS)**

35. Tracing an applicant in CIS will result in one of the following outcomes:

- no trace
- traced NINo – verified
- traced NINo – qualified or not verified (will need upgrading to ‘verified’)

### **No trace**

36. If the Processing Officer is **unable to trace** a NINo, they should consider whether to allocate a NINo and then note their actions in LMS.

37. If a NINo is allocated by the Processing Officer, the case must be passed to the Authorising Officer to authorise on LMS.

38. The role of the Processing Officer and the role of the Authorising Officer on LMS must be kept separate on each application.

### **Possible Traced NINo**

39. If a possible trace is found, it must be established whether or not the traced NINo belongs to the applicant by confirming that the following details match information provided by the applicant:

- Name history;
- Address history and
- Date of birth

40. If an NPS (ENIRS2) account exists, the Processing Officer must confirm whether or not the NINo belongs to the applicant by checking addresses, marriage details, contribution details and liability dates.

41. If there are insufficient details for a match, the Processing Officer must contact the customer for further information.

42. If a NINo was allocated by an NC within the last 3 years up to and including the 20<sup>th</sup> November 2013, a copy of the original CA5400 and documents can be requested from HMRC (by email) in order to compare the customers details. If a NINo was allocated by an NC after the 20<sup>th</sup> November 2013, a copy of the original CA5400 and documents can be requested from the DRS Portal in order to cross reference the details.

43. If the traced account was created before 1975, it may be necessary to request the clerical records from HMRC RF1 Team by completing form MF15.
44. If sufficient details match and the Processing Officer is confident that the NINo is the applicant's, they must:
- identify whether the NINo is verified, qualified or not verified by looking at the top right hand corner of the CIS 'account summary' page and
  - note within the CAMLite notes field whether or not the NINo is NPS maintained.

### **Discounted trace**

45. If the traced NINo does not belong to the applicant, the Processing Officer must take a screen print from CIS of the account summary page and other relevant pages, write "discounted" at the top, then write a clear explanation as to why they have discounted the trace. This must then be uploaded to the DRS portal to be linked with the CA5400.

### **Confirmed trace**

46. If the Processing Officer is **able to trace** a NINo and it belongs to the applicant who has made the application they should:
- take a screen print from CIS of the Account Summary page and any other relevant pages;
  - identify whether it requires upgrading;
  - highlight the matching personal details on the print and write "trace or "upgrade" at the top of the Account Summary page print;
  - if further information had to be obtained, write an explanation of how it was confirmed that the NINo belongs to the applicant on the Account Summary page print;
  - note whether the NINo is NPS maintained in and then upload to DRS Portal to be linked with the CA5400;
  - complete trace tab on LMS and
  - pass to the Authorising Officer for authorisation action on LMS.

### **Traced NINo verified**

47. If the traced NINo is already verified on CIS (meaning it is level 1), the Processing Officer must :
- note LMS by selecting 'traced', confirming 'yes' and selecting verification 'level 1' and input decision;
  - notify applicant of NINo using NINo Traced letter;
  - use CIS500 to notify any amendments to personal details;
  - if NPS maintained, cancel CA5400 and retain securely for 3 years;
  - if not NPS maintained the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set and
  - pass to the Authorising Officer for authorisation action on LMS.

### **Traced NINo not verified (requiring upgrading)**

48. If the traced NINo is not verified on CIS (meaning it is "qualified or "not verified"), it must be upgraded. The Processing Officer must:

- note LMS by selecting 'traced', confirming 'yes' and selecting verification 'level 3', input decision;
- if NPS maintained, cancel the CA5400 via CAMLItE notes and retain securely for 3 years;
- if not NPS maintained, the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set and
- pass to the Authorising Officer for authorisation action on LMS.

### Multiple use of a NINo

49. If the Processing Officer identifies that **two applicants** appear to be **using the same NINo** they must:
- complete a CIS 502 and refer to CIS Frontline Services at xxxx xxxx (xxxxxxxxxx) for continued investigation.
50. If the Processing Officer identifies that **one applicant** appears to relate to **more than one NINo** they must:
- confirm whether each of the NINos identified is NPS maintained;
  - confirm what dates each of the NINos were set up on CIS;
  - complete a CIS 501 and refer to CIS Frontline Services at xxxx xxxx (xxxxxxxxxx) for continued investigation and
  - copy and send to the NIFU Intel email in box listed below:  
xx  
xx  
xx
51. No action should be taken by the NC in these cases to:
- directly remove or amend the information held on CIS, or
  - contact the applicant.
52. Where there are possible confused or hijacked accounts, CIS Frontline Services will work with HMRC to correct the records. They will also inform the NCs and relevant benefit areas on form CIS26 of the correct NINo to be used for the applicant, or that a new NINo can now be allocated.
53. Where information is to be retained away from the NC site, the normal receipting process should be followed and all receipts retained securely for 3 years.

## SS 06 Corroborative process checks

### Corroborative process checks

54. Once tracing action is complete, checks may need to be conducted by the Processing Officer where further information is required in order to satisfy the Right to Work (RTW), self-employment or identity requirements. In order to corroborate, the applicant must have signed the CA5400 declaration at the interview.
55. These corroborative checks may include:
- in benefit inspired/tax credit cases:
    - obtaining a copy of the applicant's signature from original benefit/tax credits claim form, and/or
    - speaking to/e-mailing the benefit/tax credit section supervisor directly.





- raised. This information must be completed as soon as possible and before a decision is made on whether or not to allocate the NINo.
66. The original Doubt Notification form, application form and all supporting evidence (including original documents obtained from the NINo Centre SPOC where appropriate) must be workflowed to the NIFU team queue to be distributed accordingly.

### **Turkish Au-pairs**

67. Where presented with an application from a Turkish Au-pair, these should be refused as they are not eligible for a NINo. This is because they are engaged in placements under specific immigration rules for au-pairs and receive an allowance rather than a wage or salary.

## **SS 07 Error identified/further information required**

### **Error identified/further information required**

68. If, following the checking process or advice from DET, the Processing Officer identifies errors or areas requiring further information, the most appropriate course of action should be considered.
69. Where information is required from the applicant or third party, the initial course of action should be to try to resolve the issue over the telephone. If leaving a message for the customer on their answering machine, please follow the appropriate guidance. If this proves unsuccessful or the applicant/third party does not have a contact number, consider other options of contact ie. by fax or email, if details are held. If all options fail, a letter should be issued. Departmental interpreting services must be considered at all times.
70. The Processing Officer should write out, explaining what information is required, why and by what date, using the Open Letter template available on LMS. This should be noted in LMS conversations and BfD for return in 10 working days.
71. Once any issues are resolved it should be noted in LMS conversations and the application should then be processed in the usual way and referred to the Authorising Officer for authorisation action on LMS.

### **Re-work required**

72. The reasons for a rework may be:
- the form is not signed by the applicant or countersigning officer; or
  - the signature of the applicant, interviewing officer or countersigning officer is missing from copies of evidence.
- This list is not exhaustive.
73. Where an error cannot be resolved at the NC and the applicant needs to be recalled, the Processing Officer should return the application form to the interviewing site for continued action by printing the relevant pages of the scanned CA5400 image from the DRS portal, using a Clarification Request from LMS. This should be noted in LMS conversations as returned and receipted in the usual way.
74. The details of what information or clarification is required should always be recorded in LMS conversations by the Processing Officer.

75. The interviewing site will then be responsible for booking the re-work interview with the applicant at the original interviewing site and with the original interviewing officer where possible.

## **SS 08 Dispatch of CA5400 forms to interviewing sites**

### **Dispatch of CA5400 forms to interviewing sites**

76. 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.

77. 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 completion on the incomplete page, the page should be sent back to the NC by fully tracked courier following normal instructions.

78. NC managers should ensure they take the action outlined in the Risk Management guidance, if they suspect inappropriate use of CA5400s or the information contained within them.

79. If the applicant attends the interview and the interviewing site can provide the information or clarification required, or the applicant fails to attend (FTA) the interview, the interviewing site will record on LMS and return the application to the NC for continued action, receipting in the usual way.

## **SS 09 Change of applicant's details**

### **Change of applicant's details**

#### **NINo application has not had a decision made on it**

80. If a NINo applicant telephones and states they wish to inform us of a change in their circumstances e.g. they have changed address, but the application has **not** had a decision made on it yet (i.e. it has not been refused, traced, upgraded or allocated on LMS), the Processing Team should:

- Inform the applicant to send details of the change in writing to the NC.  
**Please Note: You must advise the customer to use the LMS reference number in all correspondence.**
- Note LMS conversations with details of the change and who notified it and
- Set a BF for 10 working days to await confirmation of the change in writing.

81. When the CA5400 is received, sift and trace as normal then hold in BF to await the written confirmation of the change, once received, update the new address on LMS and process as normal.

82. If the written confirmation arrives before the CA5400 is selected for processing it should be noted in LMS conversations as received and placed in the BF ready to link with the CA5400 when it reaches the processing stage.

83. If confirmation is not received after 10 working days, normal BF follow up action should be taken. Where no written confirmation is ever received, process as normal and issue the decision letter to the original address.

## **NINo application has had a decision made on it**

84. If a NINo applicant telephones and states they wish to inform us of a change in their circumstances e.g. they have changed address:
85. Where the application was Benefit Inspired, the applicant should be advised to contact the appropriate benefit team dealing with their claim.
86. Where the application was employment inspired and has had a refusal decision made on it, the Processing Team should not update the applicant's personal details in LMS. The applicant should be advised to telephone the Contact Centre if they wish to instigate a new application for a NINo. Standard processes will then apply.
87. Where the applicant has been allocated a NINo, had their NINo upgraded or a NINo has been traced and the application was Employment Inspired, then the Processing Team should check to see if an account exists on NPS.
88. If an account **does not** exist, the applicant should be asked to notify the NC of any changes in a signed statement (see paragraph 1). When the notification is received, an appropriate CIS form should be completed and referred to CIS Frontline Services to enable the details to be updated on CIS.
89. If a NPS account **does** exist, inform the applicant to notify HMRC of the changes in a signed statement addressed to NI Registrations for their action at:

HMRC  
NI Contributions Office  
Benton Park View  
Newcastle Upon Tyne  
NE98 1ZZ

No further action needs to be taken by NC officers.

## **SS 10 Self-employment**

### **Self-employment**

#### **General**

90. This guidance covers **all** self-employed applications, regardless of the applicant's nationality.
91. Once designated as a self-employed application, it must only be assessed as a self-employed application and no other, however see paragraph 13.
92. It is the responsibility of the Processing Officer to decide whether a NINo applicant is self-employed and therefore entitled to a NINo.
93. The burden of proof is on the applicant who is claiming to be self-employed. They must provide sufficient evidence to enable the Processing Officer to corroborate that self-employment is genuine.
94. The Processing Officer must consider all of the evidence presented to support the NINo application. This will include:
  - the answers provided on the application form;
  - the physical evidence presented at the interview;
  - the subsequent information gathered during the interview itself;
  - answers to the questions provided on the CA5400 SQ form;

- the corroborative information gathered by the Processing Officer;
95. The Processing Officer must corroborate this evidence to enable them to decide whether the applicant is self-employed. They must consider:
- the quality as well as the quantity of the evidence provided; and
  - the results of their corroborative checks – do they confirm, refute or give cause to doubt the evidence already gathered.

### **Employed or Self-Employed?**

96. 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, eg. 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 Processing Officer, that they are genuinely self-employed. Further information can be found on the HMRC website and in the joint statement between HMRC and DWP.
97. Individuals 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, ie. potentially exploiting the individual.
98. In these circumstances the responsibility remains with the Processing Officer to consider each case in order to be satisfied of genuine self-employment or not.
99. The Processing Officer must also bear in mind that there is no single definition of what is or is not self-employment nor is there a single indicator that proves, or by its absence, disproves, self-employment. In fact, there are many different elements that will build the picture of the applicants work and help the Processing Officer determine whether they are self-employed or not.
100. Whether someone is employed or self-employed depends upon both the documentary evidence provided and the individual circumstances of each applicant and the Processing Officer must consider all together to make their decision.
101. There is no documentation issued by a Government Agency that confirms an individual's status as self-employed.
102. A NINo can be allocated if the customer 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). Where there is suspicion or a doubt about the employment status, a Doubt notification form should be completed and sent to NIFU.
103. xxxxxxxxxxxxxxxxxxx xxxxxxx xxx xxxxxx xxxxxx xxxxxxxxxxx x xxxxxxxxxxx xx xxxxxxxxxxx xxxxxx xxxxxx xxxxxx xxxxxxxxxxx xx xx xxxxx-xxxxxxxx. xxxxx xx xx xxxxxx xxxxx xx xxx xxxxxxxxxxx xxxxxxxxxxx xxxxxxxxxxxxxx xxxxxxs (xxxxxxxx xxxxxxxxxxx xx xxxxxxxxxxx xxxxxxxxxxx xxx).
104. Following allocation of the NINo, NIFU will make a decision whether to send a referral to HMRC via NIDFID to allow for further potential investigation on Template 17.

## Sub-Contractors

105. The nature of the working relationship between an engager (the person who is receiving the service) and a worker is key when deciding the employment status of a sub-contractor. This is better explained by the way of an example:

106. An electrician sub-contracting his work to a contractor, who:

- xx xxxx xx xxxxxx/xxxx/xxxx/xxxx xxxx;
- xxx xx xxxxxxx xxxxxxx;
- xxxx xxx xxxxxxxxxxx'x xxxxxxx;
- xxxxx xxxxxxx xxxxxxxxxxx xxxxx xxx xx xxxxxxx x xxx xx xxxx;
- xx xxxx xxxxx xx xxxx xxxxxxxxxxx xxxxx xxx xxxxxxxxxxx'x xxxxx xxx;
- xxxxx'x xxx xxxx xx xx xxxxx'x xx xx xxxx xxx
- xxxxxx xxxxxx x xxxxxxxxxxx xx xxxxx xx x xxxxxx xx xxxxx xx xxxxxx xxx xxxxxxxxxxx.

has a working relationship that is similar to that of an employed person. He has xx xxxx xxxxxxxxxxx xxxxxxx xx xxx xx xxxxxxx xxx xxxx. xx xxx xx xxxxxx xx xxxx x xxxxxx, xxx xx xxxxxxx xx xxxx x xxxx. xx xxx xxxxxxxxxxx xxxxxx xx xx xxxxxxx.

107. Alternatively, an electrician sub-contracting his work to a contractor, who:

- xxx/xxxxxxx xxx xxx xxxx;
- xxx xx xxxxxxx xxx xxxx xx xxx xxx xxx xxxxxx xx xxx xxxxxxx xxx xxx xx xxxx;
- xxx xx xxx xxxxx xxx xxxxxxxxxxx xxx xx xxx xxx xxx xxx xx xxx xxx xxxx;
- xxxxxxxxxxx xxx xxx/xx xxx xxxxxxx xxxxxxx;
- xxxxxxx xxx xxxx xxx xxx xxxxxxxxxxx xxx
- xxx xxx xx xxxxxx xxx xxx x xxxxxxxxxxx xxxxxxxxxxx xx xx xx xxxxxx xx xxxxxxxxxxx xx xxxxxxxxxxx xxx xxx xxxxxxxxxxx xxx

has an employment status similar to someone who is self-employed. He demonstrates he has xx xxxxxxxxxxx xxxxxxx xx xxx xx xxxxxxx xxx xxxxxxx. xx xxx xxx xxxxxx xx xxxx x xxxxxx. xx xxx xxx x xxx xx xxxxxx x xxxx. xx xx xxxxxxxxxxx xxxxxxx. Although he is still a sub-contractor he has demonstrated the principles of self-employment.

108. Bear in mind, the above principle could also apply to other self-employment work types, however, sub-contracting is more likely to be seen in the construction industry but is not limited to this industry.

## Indicators of Self-Employment

109. There are four elements of the applicants work that the Processing Officer should 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

See Appendix 6a for an explanation of each of these elements.

110. It is unlikely that a person whose self-employed work is either obtained through an agency, or is for one person / company only, would be genuinely self-employed. Where this type of scenario is presented, the Processing Officer must still ensure they consider all of the available



task relating to the CA5400, LMS conversations must be checked to identify whether there is currently or has previously been any NIFU interest in respect of the applicant.

123. If there is interest noted, a DN should be completed and uploaded to DRS Portal, full details entered in the case notes and the application workflowed via CAMLite to NIFU for continued action and a decision on the NINo application to be made and the intelligence recorded.
124. If there is no interest noted in LMS conversations, the application and supporting documents should be checked against both the intelligence and document high risk lists.
125. Where there are issues picked up following the check against the high risk lists, a DN should be completed and uploaded to DRS Portal, full details entered in the case notes and the application workflowed via CAMLite to NIFU for continued action and a decision on the NINo application to be made and the intelligence recorded.
126. The Processing Officer should insert a conversation into LMS that a check has been done on the high risk list. Where the high risk list does not present any reasons for referral to NIFU, the Processing Officer must then undertake the corroborative action to enable a decision to be made on whether to allocate or refuse the NINo.

### **Corroboration action**

127. Once referred to them, the first step any NINo Processing Officer (core processing or NIFU) must undertake is to corroborate, in all cases, the evidence presented in support of an applicant's claim that they are self-employed.
128. The Processing Officer should corroborate the evidence presented by contacting people/companies named on the evidence provided, for example:
  - the companies/individuals the applicant says they do work for;
  - named individuals on a receipt, invoice or client list/database;
  - the applicant's accountant.
129. Where necessary, **as a minimum** two telephone calls for two days, at different times should be made when trying to make contact with named individuals when corroborating the evidence that has been provided. e.g. when the Processing Officer is informed that the named individual is not available, further attempts must be made.
130. The Processing Officer should consider the source of any corroboration and what weight this should be given. This should be considered when weighing up all the evidence that is presented by the NINo applicant. For example, corroboration from a neighbor or relative should be given a different weighting to that from a company, although the weighting will be dependant on the specifics of the application.
131. Any corroborative evidence gathered from named accountants will need to be considered along with all other evidence and not accepted on its own.
132. To corroborate that someone has simply registered with and is therefore a client of a particular named accountant does not prove that individual to be self-employed any more than anyone else. End of year records, although providing much more support to someone's self-employment status will be very rarely available in respect of work



undertaken by a NINo applicant, unless the applicant has been in the UK for a number of years, claiming to be self-employed.

133. Corroboration via a mobile phone contact should be accepted, unless the Processing Officer has a specific reason to doubt the authenticity of the contact on that phone number, eg. x xxxxx xx xxx xxx xxxxxxxx xxx xxxxxx xx xxxxxx xx xxxxxxxx xxx xxxxxxxx, xxx.
134. If corroborating by mobile phone, reference should be made to the Intel High Risk List which holds xxxxx xx xxxxxx xxxxx xxxxxxxx xxxxx xx xxxxxxxx xxxxxxxxxxxxxx.
135. If, after ensuring all corroborative checks have been carried out, the Processing Officer is not satisfied that the NINo applicant is genuinely self-employed then the application should be passed on to the Band C Decision Maker, without cancellation action being taken.
136. This will be the case, for example, where the Processing Officer decides that:
- the applicant fails to provide sufficient evidence of self-employment; or
  - after attempting to corroborate the evidence presented, there is a specific and reasonable doubt about the authenticity of the evidence provided. A DN referral should be considered in these circumstances.

### **Recording Corroboration action taken**

137. All details of corroboration, including the actions taken and the responses received must be recorded in LMS using the Employment tab and the Self-employed box ticked. More information about the Employment tab can be found in the LMS User Guide Chapter H, Part 6, Para 115

### **Application decision**

138. Where the Processing Officer considers that all corroborative checks have been undertaken and all available evidence considered, normal allocation and authorisation actions must be taken.
139. Where the Processing Officer considers refusal action to be appropriate (prior to actioning on LMS), they should workflow the application via CAMLite to a Band C Decision Maker to consider that the evidence and corroborative checks have been done and the correct considerations have been made. If the Band C Decision Maker agrees with recommendation to refuse, LMS should be noted, and the application workflowed via CAMLite back to the Processing Officer for the refusal process to continue (See Para 50 below).
140. The Band C Decision Maker could, however, decide that further evidence could be gathered and workflow the application via CAMLite back to the Processing Officer for further processing.
141. The Band C Decision Maker could also decide that there was sufficient documentary and corroborative evidence to allow a NINo to be allocated.

### **Self-employed NINo application refusal letter**

142. 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 should be issued to the customer.
- Option 1 – Use the SERL1 in cases where xxxx-xxxxxxxxxxx xxx xxx xxxxxxxxxxxxxxxx xx xxx xxxxxxxx xxxxxxxx xxxxxx.

- Option 2 - Use the SERL 2 in cases where xxx xxxxxxxx xxx xxxx  
xxxxxxxxxxxxx xxx xxx xx xx xxx xxxxxxxx xxxxxx xxx xxxxxxxxxx xx  
xxxxxxxx xxxxxx xxxxxx-xxxxxxx.
143. Choose the appropriate refusal option letter and complete the applicant's name and address, office address, telephone number and LMS reference number.
144. Print the letter and issue to the applicant.

### Referring a case to NIFU after the decision

145. Following refusal action in the NC, the reasons for refusal should be uploaded via CAMLite notes. The scanned CA5400 and relevant paperwork should then be referred to NIFU for intelligence purposes via workflow in CAMLite.

## SS 11 Benefit inspired NINo application - DCI1 Process

### Benefit inspired NINo application - DCI1 Process

146. A completed DCI1 form may be received from all DWP benefit centres, HMRC or Local Authorities. These types of applications must be dealt with more urgently than other applications.
147. A DCI1 may be received from an applicant who falls under the Destitute Domestic Violence (DDV) Concession. These cases need to be handled appropriately due to the circumstances of the benefit claim. They will annotated across the top of the DCI1 "Destitute Domestic Violence (DDV) Concession".
148. A DCI1 may be received and annotated "TC600 issued to Tax Credits". This means that the customer's Tax Credit claim has been fast tracked to HMRC at the point when benefit entitlement was established. The DCI1 should be processed as normal.
149. A DCI1 should only be completed for an **applicant** where:
- it has been established that they have entitlement to benefit/credits and a trace has been unsuccessful, or
  - if benefits/credits entitlement is established and they require their existing NINo upgrading (ie. a "qualified" or "not verified" is held on CIS)
150. The benefit section/HMRC/LA can only enter one NINo customer's details on the DCI1. A separate form must be used for each customer requiring a NINo.
151. HMRC DCI1s should be returned to either:  
xxxxxxxxxxxxxxxxxxxxxxxxxxxx for Tax Credits  
xxxxxxxxxxxxxxxxxxxxxxxxxxxx for Child Benefit

### HMRC DCI1 referrals

152. HMRC will send the DCI1 electronically to a single point of contact email inbox at the relevant NC:

xx  
xx

## Local Authority (LA) DCI1 referrals

153. The Local Authority will send the DCI1 where the applicant is entitled to Housing Benefit/Council Tax Reduction, either by paper or electronically to the relevant NC.
154. If completed manually by paper, the DCI1 is sent by courier to the NC.
155. If completed electronically, the DCI1 is sent to a single point of contact email inbox at the relevant NC:

XX  
XX

## NC action upon receipt of the DCI1

156. Once received at the NC, the signature on the LA DCI1 must be checked against the list of authorised signatories held by the NC. Where the signature matches, it must be processed as normal. Where there is any concern, it must be returned to the relevant LA with a covering note explaining the reason for return.
157. If the DCI1 is a DDV Concession case, the application must be fast tracked accordingly, following normal processes, whilst handling the case appropriately. Consideration should also be given to whether the applicant requires a home visit.
158. If the DCI1 has not been completed correctly, it must be returned to the originating office.
159. The DCI1 Admin Team must conduct a CIS trace for all applicants referred for a NINo on a DCI1 form.
160. Where this trace action is **successful**, NC staff must ensure the NINo is notified back to the benefit section using the appropriate section of the form and the correct DCI1 wording.
161. When processing a Tax Credits DCI1 and a possible trace is found on CIS, check the DCI1 to see whether AIS have already investigated the applicant/NINo.
162. If this is the case, the DCI1 will be annotated "AIS – NINo does not relate to customer".
163. If the DCI1 is annotated as such, disregard the possible trace and take action to allocate a new NINo to the customer.
164. When TCO receive the DCI1 back, they will liaise with AIS in order to correct the CIS/NPS records for both applicants.
165. The NC do not need to notify the applicant of their NINo in these cases.
166. Where the trace is **un-successful**:
  - an LMS wildcard search must be completed to ensure there is no existing LMS record before building a new record;
  - NC staff must contact the applicant directly by telephone in order to arrange an EOI at an available time and date that is convenient for them;
  - **two** attempts to contact the applicant **must** be made with at least 24 hours gap between attempts;
  - once agreed with the applicant, they must then book the EOI interview at the most appropriate interview site, using Postcode locator;
  - issue the appointment letter (see para 25. for action to take in appointee cases) and include the flyer, relevant to the NC, informing the applicant to phone one of the telephone numbers in the flyer if they cannot attend their appointment and

- record in LMS conversations “Benefit inspired application” and the number of attempts at contacting the applicant.
167. If the DCI1 is for an upgrade, issue the DCI1 UG letter. This letter informs the customer of the reason for the interview and the importance of attending. Do not issue the LMS generated appointment letter in these cases.
168. Where the application is a DDV Concession case, note LMS conversations “DDV Concession application” to alert the interview site.
169. Schedule an SMS text to be issued to the customer 3 **calendar** days before the interview using the Rapide system. Template 1A should be used by Glasgow NC and Template 1B should be used by the IOW NC. This enables the processor to schedule a reminder in addition to the appointment letter. This SMS reminder should be used for all benefit inspired NINo applicants. User Guidance can be accessed here. This outlines how to send, schedule and cancel a message if required.
170. Where there are no available and appropriate diary slots, the DCI1 Admin Team must send an LMS workflow to the relevant NINo Hub, including all appropriate customer information and specific requirements e.g. interpreter required, home visit etc. This will enable an appointment to be arranged by the NINo Hub as soon as possible.

**Please Note** – Customers that are workflowed to interview sites for an appointment will not be issued with an SMS text reminder.

171. Where a BF56 has been received with the DCI1, or another appointee has been identified, the appointee’s name, address and contact number must be recorded in LMS conversations when the appointment is booked. Issue the appointee appointment letter to the appointee. Do not send the LMS generated appointment letter.
172. Where the EOI interview is for the “Partner in a benefit claim”, LMS conversation/workflow must be noted as such.
173. The DCI1 and BF56 must be retained securely by the NC in order to link with the application once it is returned.

### **Applicant/partner Fails to Attend EOI**

174. Where the NC receive a workflow identifying an applicant/partner has FTA, they should BF the activity for 10 days and await the application or further notification from the interview site.
175. When notified that the applicant has failed to attend the second interview, the DCI1 Admin Team must record on the DCI1 the details of the two FTA appointments and return it to the originator.
176. If the DCI1 is marked “TC600 issued to Tax Credits”, whoever has dealt with the DCI1 should send the return email to:

xx

ensuring:

- the email subject line is annotated “RESTRICTED - TC600 case”
- the applicant’s name;
- date of birth and
- reason for refusal (FTA EOI)

is noted in the main body of the email.

## SS 12 Post EOI interview activity (DCI1 applications)

### Post EOI interview activity (DCI1 applications)

#### DCI1 action on receipt of a completed application

177. On receipt of a completed scanned application on CAMLite, the Processing Officer must check LMS conversations to see if a DCI1 (either electronically or by paper if a Local authority application) has been received at the NC and link it to the scanned CA5400 application form by uploading into DRS Portal.
178. The usual consideration must be made by the Processing Officer prior to a decision being made as to whether or not to allocate.
179. Where evidence presented at the EOI presents the Processing Officer with doubt as to the applicant's benefit entitlement, they should contact the originating office of the DCI1 before making a decision.
180. In addition to these considerations, where the application relates to a **partner** in a benefit claim, consideration must also be given to whether there is sufficient evidence to support the individual's immigration status.
181. A NINo can only be allocated after all the appropriate checks have been completed and the Processing Officer is satisfied that allocation is appropriate.
182. When a NINo has been allocated to an applicant or partner, the outcome must be noted on the DCI1 and returned to the originating office as soon as possible and using the correct DCI1 wording following the NINo decision. Notifications to both the applicant and HMRC/LAs must be carried out in the usual way.
183. If the DCI1 has been annotated "TC600 issued to Tax Credits", email the decision to the Tax Credits Fast Track Team mailbox at:  
XXX  
ensuring:
  - the email subject line is annotated "RESTRICTED - TC600 case"
  - the applicant's name, date of birth and:
    - NINo, if allocated or
    - reason for refusal if refusedis noted in the main body of the email.
184. If a DDV Concession case, ensure there are no delays in returning the DCI1 to the originating office.
185. When returning the DCI1 ensure this is returned to a secure gsi/gsx email address or couriered securely using TNT Documented Service to the originating office postal address.
186. Where the decision has been made to **refuse** a NINo (**applicant**) the Processing Officer must:
  - tick the refused box;
  - note reason for refusal in the comments box using the correct DCI1 wording following the NINo decision, and
  - sign and date the DCI1.
  - When returning the DCI1 ensure this is returned to a secure gsi/gsx email address or couriered securely using TNT Documented Service to the originating office postal address.
  - if the DCI1 is annotated with "TC600 issued to Tax Credits, email the decision to the Tax Credits Fast Track Team mailbox at:

XX

ensuring:

- the email subject line is annotated “RESTRICTED - TC600 case”
- the applicant’s name, date of birth and:
  - NINo, if allocated or
  - reason for refusal if refused

is noted in the main body of the email.

187. Where the decision has been made to **refuse** a NINo (**partner**) the Processing Officer must:

- tick the refused box;
- note reason for refusal in the comments box using the correct DCI1 wording following the NINo decision (in cases where the partner has been refused specifically because they do not have leave to remain in the UK, the comments box **MUST** be noted with “**Immigration Status Invalid**”),
- sign and date the DCI1, and
- When returning the DCI1 ensure this is returned to a secure gsi/gsx email address or couriered securely using TNT Documented Service to the originating office postal address.
- if the DCI1 is annotated “TC600 issued to Tax Credits”, email the decision to the Tax Credits Fast Track Team mailbox at:

XX

ensuring:

- the email subject line is annotated “RESTRICTED - TC600 case”
- the applicant’s name, date of birth and:
  - NINo, if allocated or
  - reason for refusal if refused

is noted in the main body of the email.

188. The standard applicant refusal notification must be used in all cases as appropriate, with the exception of partner cases where the refusal notification was due to ‘invalid immigration status’ – the applicant must then be notified using the specified Partner Refusal letter, not printed from LMS.

**DCI1 wording following NINo decision**

189. The DCI1 must be completed with the following words upon reaching a decision and returned to the originating office. In Tax Credit and Child Benefit cases, the DCI1 should be returned electronically to the following mailboxes:

Tax Credits - XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Child Benefit -XXXXXXXXXXXXXXXXXXXXXXXXXXXX

**Applicants**

- ‘NINo traced’;
- ‘NINo allocated’;
- ‘NINo allocated but no recourse to public funds’ (eg. passported entitlement to benefit);
- ‘NINo refused - ID not established’ – (this would include all cases where):
  - applicant FTA;
  - ID is unable to be verified from the evidence obtained;

- potential ID fraud cases (referred to DET/NIFU).
- ‘NINo refused (no RTW)’ – this would include:
  - all immigration issues that show the individual to not have a current RTW – JSA and Tax Credit cases only (referred to NIFU);
- ‘NINo refused - no recourse to public funds’.

### Partners

- ‘NINo traced’;
- ‘NINo allocated’;
- ‘NINo allocated but no recourse to public funds’ (eg. passported entitlement to benefit);
- ‘NINo refused – ID not established’ – (this would include all cases where):
  - applicant FTA;
  - ID is unable to be verified from the evidence obtained;
  - potential ID fraud cases (referred to DET/NIFU);
- ‘NINo refused – immigration status invalid – (all partners who have no right to be or remain in the UK).

190. As it is very important for benefit sections (inc. Tax Credits) to know whether someone has proven their ID, it is equally as important to ensure the wording on the DCI1 when returned is clear.

## SS 13 Allocation of all cases on the Customer Information System (CIS)

### Allocation of all cases on the Customer Information System (CIS)

191. A NINo can only be **allocated** after all the appropriate checks have been completed and the Processing Officer is satisfied that allocation of a NINo is appropriate. The following checks must have already been made by the Processing Officer prior to allocation. In **all** cases:

- the identity of the applicant and the appointee, where applicable, has been proven;
- the interview and initial checks have been completed at the interview site;
- the evidence of RTW/self-employment has been satisfied where appropriate;
- entitlement to benefit has been satisfied, where appropriate;
- the partner’s immigration status has been satisfied, where appropriate, and:

192. Additionally, in order to allocate a **new** NINo, the Processing Officer must be satisfied that:

- there is no existing account already held on CIS. However, if they are able to trace the applicant’s NINo they must check the status of the NINo on CIS and take upgrade action, if appropriate and
- ensure the original application source (ie. DCI1) is available for future audit purposes.

193. The role of the Processing and Allocation Officer can be performed by the same person, however the role of the Authorising Officer on LMS must be kept separate on each application.
194. The Processing Officer must:
- refer to the CIS trace allocation guide before allocation action takes place;
  - create a new CIS account on CIS;
  - when entering the applicant's name(s) on CIS:
    - ensure the names written in questions 1 & 2 of the CA5400 are entered at Name type 1 on CIS and the name(s) written in question 4 are entered as the historic name(s), where appropriate. See Appendix 5 for examples;
    - ensure the correct Date of Birth (DoB) is recorded;
    - ensure gender at birth is recorded (if an applicant holds a formal gender recognition certificate, accept this as their acquired gender);
  - note the allocation on LMS;
  - ensure a NINo allocation letter is issued to the applicant;
  - complete and return the appropriate notification to the originating office in DCI1 application cases;
- Reindex the NINo application on CAMLite by replacing the LMS reference number with the allocated NINo.
195. Where any errors in allocation have been identified, prior to issuing the to HMRC, a CIS500 form should be completed.
196. The Processing Officer may decide to allocate a NINo in some cases where the applicant's identity and RTW have been established but there are other issues that they feel need to be highlighted, e.g. if the applicant appears to be an immigration offender (i.e. student working over their 20 hours). In these cases the Processing Officer must ensure that:
- an account is created in CIS in the normal way;
  - the applicant is notified of their NINo in the normal way;
  - the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set;
  - a Task will be created in CAMLite that ensures all paperwork relating to the application is referred via CAMLite workflow to the National Identity Fraud Unit along with the scanned CA5400 image of the failed NINo Application form, and
  - all action noted in LMS conversations.
197. After allocation, the case must be workflowed to the Authorising Officer to authorise on LMS.

## SS 14 Refusing an application

### Refusing an application

198. The Processing Officer may decide to **refuse** an application because the applicant:
- has been unable to prove their identity;
  - has been unable to prove their RTW;
  - has failed to provide enough information, eg self-employment;
  - has provided evidence which has been identified by NIFU as not being genuine ie. NIFU advice, or



- has not replied to correspondence or failed to attend the office for interview and their evidence is therefore incomplete.
199. Where the NINo has been refused, the Processing Officer must:
- note on LMS;
  - ensure the appropriate NINo Refusal Letter (eg. SERL 1, SERL 2, standard no RTW, no ID etc) is issued to the applicant;
  - ensure the appropriate notification is completed and returned to the originating office in DC11 application cases, and
  - ensure a Doubt Notification form is workflowed to NIFU via CAMLite to enable referral of intelligence to other government departments, where appropriate.
200. Following refusal, the case must be workflowed to the Authorising Officer to authorise on LMS.

## SS 15 Authorisation of all cases on LMS

### Authorisation of all cases on LMS

201. The Authorising Officer role and the Processing/Allocation Officer role must be kept separate on each application.
202. The Authorising Officer will authorise the decision of the Processing Officer by confirming it on LMS.
203. If a NINo allocation is made, at any level, in error it must be removed from CIS as soon as possible. The Processing Officer or Authorising Officer must notify CIS front line services on form CIS7 as soon as possible.

## SS 16 Maintenance of a NINo

### Maintenance of a NINo

#### Upgrading a NINo

204. It is the Processing Officer's decision as to when a NINo level should be amended.
205. When a NINo is found to be "qualified" or "not verified" the Processing Officer **must** ensure that:
- the applicant's identity is fully established (this may require additional corroborative checks or a further EOI interview) to enable the NINo held on CIS to be upgraded to level 1 (verified). The applicant's right to work does not need to be verified;
  - LMS is updated;
  - the NINo Allocation letter **must not** be issued in cases where the verification level has been upgraded. The LMS open letter must be used; and
  - the case is passed to the Authorising Officer for authorisation on LMS
206. If, when viewing the account summary screen in CIS, there is either a:
- false identity flag or
  - Immigration and Nationality Directorate (IND) flag
    - the NINo **must not** be upgraded and action should be taken as detailed below:

### **False identity flag set**

207. Where the false identity flag is set on CIS, the Processing Officer must refer the case to the National Identity Fraud Intelligence Desk (NIDFID) by email to xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx via the NC gatekeeper.
208. NIDFID will provide the Processing Officer with advice also by email, based on the intelligence held as to whether the NINo should be upgraded.
209. Where NIDFID haven't identified any reason for not upgrading, the Processing Officer will continue to take appropriate action to upgrade.
210. Where NIDFID have provided a response identifying a reason(s) why the NINo should not be upgraded, the Processing Officer must refer the case to NIFU by email to the appropriate NIFU contact:  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx
211. NIFU will provide the Processing Officer with advice by email on next steps to take.

### **Immigration and Nationality Directorate (IND) flag set**

212. Where the IND flag is set, NIDFID will not be able to provide the Processing Officer with any advice on whether these cases can be upgraded because they do not hold the appropriate intelligence.
213. Upon identification of the IND flag, the Processing Officer must firstly refer a DCI100 to Home Office to establish the applicant's current status. If following the response the status is unclear, refer the case to NIFU by email to the appropriate NIFU contact:  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx  
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx
214. NIFU will make further checks with Home Office and provide the Processing Officer with advice by email on next steps to take.
215. In these cases, LMS conversations should be noted with action that has been taken, and for what reason.

## **SS 17 HMRC Account Investigation Service (AIS)**

### **Type 1 Referrals**

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

##### **Background**

216. 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.

##### **HMRC activities**

217. 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.

218. If AIS discover that two people are using the same NINo account, this is called a 'Standard Confused NINo Account'. These cases should be referred for a standard EOI interview.
219. AIS issue a letter (CA3223) to the customer advising them to complete with their details.
220. 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 awarded.
221. A referral is made to the NC from AIS on form AISTP1 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.

### **NC Process**

222. Upon receipt of the AISTP1 form, 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.
223. An EOI is booked for the customer through direct contact with the customer (warm booking) by the NC and marked as type 1 AIS case in LMS conversations.
224. Place the AISTP1 in BF to await completion of the interview.
225. Once the customer has attended the EOI, the Interviewing Officer will tick the "Benefit/AIS 1" box in the DWP Official Use reason for application section and also tick the relevant NC box on the CA5400. This will ensure that any tasks associated with the CA5400 scanned image will be routed correctly by the mail opening unit to the correct NC. When the scanned CA5400 image has been received at the appropriate team within the NC, reconcile with the AISTP1 and take action to allocate or refuse a NINo.
226. Upon checking the AISTP1 BF file, if the customer has failed to attend the EOI interview, the AISTP1 must be completed with details of the interview and use Reason Code C. The AISTP1 should then be returned electronically by secure email to AIS.
227. If the decision is to allocate a NINo:
- ensure the case is noted "AIS referral" in CAMLite notes;
  - attach the AISTP1 form to the scanned image of the CA5400 by uploading the AISTP1 form to DRS portal and
  - return AISTP1 with supporting documentation to AIS using secure email.
228. AIS will liaise with NI Regs to create the NPS record.
229. If the decision is to refuse a NINo:
- complete the AISTP1 with the reason for refusal and
  - return electronically by secure email to AIS.

### **Interviewing Site action**

230. A standard EOI interview is conducted by the Interviewing Site and a CA5400 form is completed at the interview. 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. The interviewing officer will also tick the "Benefit/AIS 1" box in the DWP Official Use reason for application section and also tick the relevant NC box on the CA5400. This will ensure that all

- tasks related to the scanned image are routed correctly by the mail opening unit to the correct NC. 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.
231. The customer should be given one opportunity to attend a standard EOI as per standard RTW FTA processes and a CA5400 should be completed in the normal way. No additional questions should be asked.
232. Upon completion of the standard EOI interview, normal processes should be followed.
233. LMS conversations must be updated to state that the application is an AIS case.

## SS 18 SMS Texting

### SMS Texting

234. SMS texting has a limited scope within NINo Provision. An SMS text reminder will be sent to two specific customer groups only. Benefit inspired DCI1 applications will be sent a notification of their appointment and Visa Postal customers will be sent a reminder to return the form. At the present time SMS texting will not be used for any other customers.

### SMS Superuser Checking

235. The Superuser function is a management function. Superusers are responsible for producing and reporting Management Information as required by their part of the business and performing reviews of messages sent by their users. This can be reported weekly and monthly and will show the volume of messages sent, delivery status of the message (sent, failed, error and pending), who sent the message and the actual text of the message sent. Using this Management Information Superusers should ensure that their users are sending out messages that comply with data standards. Guidance on how to carry out reviews can be found in the SMS Desk Aide – Reviewing Messages in the 'How to send a message' section.
236. Superuser's are also required to ensure that all licenses are live and in use. Any licenses that are not utilised must be re-assigned to new users.

## SS 19 Post allocation security checks

### Post allocation security checks

237. Following the allocation/amendment action on CIS, all scanned application forms and supporting material must be retained in DRS Portal pending the security checker's notification of the cases selected for checking. **(Please note that for the duration of the HMRC data sharing tactical solution all cases will have been transferred to HMRC within an agreed data set).**
238. Using a secure print issued by CIS, the Secure Print Operator (SPO) should ensure the cases required for checking are identified for each of the relevant checks:
- JCP00057
  - JCP00003

239. When the Secure Print Operator has identified the cases required for checking, they must retrieve the relevant application forms and accompanying documentation from the retained scanned authorised cases.
240. When the Checking Officer has undertaken their checks, see Appendix 1, the appropriate validation activity has taken place, see Appendix 2 and the applications are no longer required. Once the check has been performed, it must be registered on BCS under check type number (as appropriate) and noted in LMS.
241. If the Checking Officer has established that a NINo has been upgraded in error, a CIS3 must be completed and forwarded to CIS Frontline Services for the NINo account to be rectified.
242. Copies of the application and supporting evidence must be retained in DRS Portal for 3 years for audit purposes.

## **SS 20 Retention & referral of documents**

### **Retention & referral of documents**

243. Where the Processing Officer has refused the allocation of a NINo, and all appropriate notifications have been made to both the applicant and other colleagues, the NC must ensure the remaining application documents are retained securely for 3 years. This is a Benefit Document and Data Retention Policy requirement and must be adhered to.
244. Additionally, all cancelled applications and the supporting documents must be retained securely for 3 years in DRS Portal.
245. To cancel a CA5400 a note must be added to CAMLITE to state 'NINo Application cancelled'.

## **SS 21 Non EOI route fastpaths**

### **Non EOI route fastpaths**

246. The route by which evidence of identity and immigration status are established by another method other than interview can often mean by postal application to the applicant or by consultation with another Government Department. These are known as non EOI Fastpaths. These include:
- Home Office Visa Postal process
  - Retired Gurkha Resettlement process
  - Student Loan inspired application process
  - Trusted Employer (Work Permit Unit)
  - Her Majesty's Forces (HMF)
  - National Health Service (NHS)
  - Service Personnel & Veterans Agency (SPVA)
  - International Pensions Centre (IPC)
  - Centre for Non-Residents (CNR)
  - MOD Credits
  - Home Office Statement of Evidence (SEF)
  - Home Office Gateway Protection Programme (GPP)
247. Most of the above applications are made on form CA5400, however LMS requires certain applications to be recorded as CA5407 and CA5409.

## **All Fastpath Cases**

248. When any non EOI fastpath is received, normal trace, allocation and authorisation action should be undertaken by the Fastpath Team.
249. In all fastpath cases, when supporting documentary evidence is listed as high risk by NIFU or where there are any other concerns identified, the application should be workflowed via CAMLite to DET and noted in LMS conversations.
250. If DET cannot identify any concerns they should note in LMS conversations and refer the application back to the processing team via CAMLite workflow.
251. If doubt remains over authenticity DET should note in LMS conversations and workflow the case via CAMLite back to the Fastpath processing team for the original documentation to be obtained for further examination.

## **SS 22 Home Office Visa Postal Process**

### **Home Office Visa Postal Process**

#### **Contact Centre action**

252. At first point of contact, CCD will establish that the applicant is suitable for non EOI action. The applicant will be asked a number of Core Questions. For details of actions that must be taken next, please see SNAP; 02 Contact Centre & Appointment Booking Process; Reason for call; Non-EU/EEA National.

#### **NC Work Flow Management**

253. The 'Visa Application Team' LMS InTray must be checked at the start of the day and at regular intervals throughout the day by a designated officer to identify/monitor and Work Flow applicant application requests from the Contact Centre.
254. The Work Flows must then be distributed and managed as appropriate. Work Flows can be reassigned as required.
255. Once distributed the Work Flow needs to be accessed to obtain the applicant's details.

#### **NINo held in LMS Conversations**

256. If LMS Conversations shows the Contact Centre have traced an LMS record with a NINo matching the applicant's details, it should be established:
- if the NINo is verified in CIS and
  - if the NINo is maintained in NPS (ENIRS)
257. If the record relates to the person who has applied and requires maintenance/upgrade action see Maintenance of a NINo for further information.

#### **No NINo held in LMS Conversations**

258. Where there is no NINo noted in LMS Conversations, a specialist trace should be made on the Customer Information System (CIS) to ensure a NINo is not already allocated to the applicant.

259. The NC must input an LMS registration on a record created by the Contact Centre for an applicant's postal application by:

- clicking on the NINo hotspot;
- application type 'Fast Path';
- application source 'Miscellaneous – CA5409';
- and 'Save'.

**NB:** Any duplicate LMS Registrations encountered must be investigated and if appropriate 'Withdrawn'. Any duplicate LMS Records discovered must be investigated and, if appropriate, marked as such. If an application has been issued within the last 7 working days, a new application does not need to be issued by the NC.

### Issuing an application form

260. Before an application form can be posted to an applicant, the form must be 'linked' to the Registration via the LMS Forms tab. An appropriate reference should be entered for example CRS or Ghurkha. A 16 day return date must also be set for the return of the form.

261. As LMS will not allow a form to be linked until specialist trace details have been input in Trace tab; 'CCU' NINo trace, this must be done in all cases.

262. The NC should complete the following information on the front of the CA5400 in the DWP Official Use section:

- the LMS reference number in "our reference number" box;
- tick the appropriate NC box;
- tick the appropriate "reason for application" box which can be:
  - Other Postal (for use in CRS cases) or
  - Employer as partner (for use in 'Trusted Employer' cases).

**NB:** All sections that the applicant is not required to complete in the form must be scored through.

263. The covering page must also be completed either electronically or manually by writing in the DWP Official Use section:

- the LMS (our) reference number;
- Serial number of the CA5400;
- Full name of the applicant;
- date of application and
- appropriate NINo Centre address.

264. The application form and covering page should then be posted to the applicant along with:

- the visa postal letter advising the applicant:
  - how to complete the form
  - the return date, and
  - a return envelope.

265. The application form must be issued to the applicant at either the stated home or correspondence address in the UK.

**NB:** An application form must not be sent to any address which is not in the UK.

266. The covering page informs the applicant to post the application form and supporting documentation to the appropriate NC.

267. Schedule an SMS text reminder with Rapide system using Template 2A for Glasgow NC and Template 2B for the IOW NC to be issued 10 **working days** after the form has been posted to the customer. This

reminder should be sent to all non-EEA NINo applicants who have applied through the Visa Postal process. User Guidance can be accessed here.

This outlines how to send, schedule and cancel a message if required.

268. Where no UK address has been provided or the address is incomplete, the NC will firstly telephone the applicant to obtain the missing information or leave a message to make contact. If leaving a message for the customer on their answering machine, please follow the appropriate guidance.
269. If the address is considered unsafe, an EOI/RTW interview should be arranged in the usual way and the applicant informed by telephone. The existing EOI/RTW appointment booking process must be followed.

### **Application form returned to the NC**

270. The Mail Opening Unit will scan the CA5400 and supporting documentation and store the images in the Document Repository System (DRS). The MOU will recognise from the applicant's address and the boxes ticked in the DWP Official Use section of the CA5400, which location and team the images need to be workflowed to.
271. The NINo application scanned images will be workflowed to the appropriate team area and queued awaiting allocation by either the allocator or the team leader.
272. The allocator/team leader can workflow 20 'Tasks' at a time to team members via CAMLite. A task will relate to a NINo application and supporting documents held in DRS Portal.
273. After the Processing Officer has accessed CAMLite and viewed the scanned application they must:
- record it as returned on LMS via the Forms tab;
  - input a 'Sufficient Information Date' on the 'Forms' tab in LMS. This must take place before any postal process registered applications can be processed;
  - perform an initial check of the form, ensuring activities are carried out as at the initial processing stage; (eg. form has been signed by the applicant and/or employer);
  - undertake trace action;
  - if there is no trace of the applicant, enter the details in LMS along with any correspondence address and telephone numbers;
  - save the details in LMS and
274. After initial checks and trace action has taken place, the application will need to be either:
- refused;
  - withdrawn;
  - BF'd for further information, or
  - allocated.
275. If, following the initial document check concerns are identified by the Processing Officer, the application and supporting documents must be workflowed to DET and the action noted in LMS conversations.

### **Sufficient Information**

276. If there is sufficient documentation and/or information to establish their identity and allow a CIS Specialist Trace to be undertaken then LMS



'Sufficient Information Date' should be entered as appropriate, this may be on the date the scanned application arrives at the office or a subsequent date once the information has been received.

277. It is important to make sure that the correct date is input as it is used to calculate Key Management Information (KMI) dates.

### **Central Reference System (CRS)**

278. Using the information and documentation the applicant has provided, the Processing Officer must perform a check of all cases on the Home Office Central Reference System (CRS) to establish if a visa record is held on CRS by:

- entering the passport number of the applicant on their entry visa into the database;
- changing the reporting period on the database to 1998;
- interrogating the database to check if record exists;
- if a record is returned, clicking on the Visa Application Form number;
- checking that the visa details match those of the applicant and
- if details match then noting LMS conversations that 'Home Office database checked'.

279. The application should then be processed by the Processing Officer as standard by:

- recording the allocated NINo on the application via CAMLite notes;
- updating LMS with the NINo;
- printing the NINo decision letter and send to the applicant;
- entering the applicant's details into CIS
- ensuring information fundamentally required for HMRC staff to input onto NPS is sent to HMRC NI Registrations. (Please note from Wednesday 20<sup>th</sup> November '13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set).

280. Where the check indicates an out of date visa, untraceable passport/visa, Residence Permit, different details are showing or no record found on CRS, the Processing Officer will:

- note LMS Conversations with the findings - e.g. 'Out of Date Visa', 'Untraceable Passport/Visa on Home Office check', 'Different details shown on Home Office database';
- record decision in LMS 'refused – RTW not established'.
- cancel through the application via CAMLite notes;
- consider booking an EOI where appropriate;
- issue refusal letter to the applicant;
- note in LMS conversations that an 'EOI booked' where appropriate, and
- workflow via CAMLite to the Authorising Officer for authorisation on LMS.

### **Return of all application forms**

281. The following applications types require further information or evidence before they can be considered for processing.

282. Visa Postal applications need to be returned within 16 days, the rest of the fastpaths need to be returned within 28 days:

### **Application received within 16 or 28 days working days as appropriate, but not signed**

283. If the applicant/employer has not signed the application form, the Processing Officer will:

- record it as returned at the NC on LMS;
- return it to the applicant with the LMS Open Letter explaining what they need to do and by what date, enclosing a return envelope or
- re-issue the application through the company record held on LMS to the named contact at the employer;
- bf for 10 or 14 working days as appropriate, and
- note LMS conversations with the BF date and the reason for the return to the applicant/employer.

**NB:** If the application is returned within the bf period, the application should be processed as normal. If not, it should be processed as a refusal.

### **Application received within 16 or 28 days as appropriate, but with insufficient information**

284. If further information is required from the applicant/employer, the Processing Officer will:

- record the application as returned at NC on LMS;
- telephone the applicant/employer for the relevant information. If leaving a message for the customer on their answering machine, please follow the appropriate guidance and if obtained, process as normal;
- otherwise, write to the applicant/employer with the LMS Open Letter explaining what they need to provide and by what date, enclosing a return envelope;
- bf for 10 working days, and
- note LMS conversations with the bf date and the reason for writing to the applicant/employer.

**NB:** If the information is provided within the bf period, the application should be processed as normal. If not, it should be processed as a refusal. If there is no response from the employer, the Fastpath Team will: disallow the application on LMS and/or cancel the application form via CAMLite notes;

- issue a fresh application through the company record held on LMS, to the named contact at the employer.
- Issue the applicant/employer with a letter as to the reason why the previous application was cancelled.

### **Application received within 16 days, but with missing identity documents**

285. If further identity documents are required from the applicant, the Processing officer will:

- record the application as returned at NC on LMS;
- telephone the applicant to provide the identity documents by fax, email or Royal Mail;
- otherwise, write to the applicant with the LMS Open Letter explaining what they need to provide and by what date, enclosing a return envelope;

- bf for 10 working days, and
- note LMS conversations with the bf date and the reason for writing to the applicant.

**NB:** If the documents are provided within the bf period, the application should be processed as normal. If not, it should be processed as a refusal.

286. The following application types need to be refused/withdrawn without further consideration:

- application received back after more than 16 working days;
- correction fluid used (this will show up on the scanned image);
- undelivered form received;
- blank form received;
- residence permit only;

### **Application received after the 16 or 28 day time limit, as appropriate**

287. The UK Visa Admin team should already have withdrawn the application. However, if the form has not been withdrawn, the Processing Officer will:

- clear the outstanding action in LMS, noting late return;
- record form as 'unused and disallowed'.

cancel the application form via CAMLite notes;

- complete LMS with the decision 'Withdrawn'
- issue a fresh application through the company record held on LMS to the named contact at the employer, where appropriate and
- provide the applicant/employer with a letter as to the reason why the previous application was cancelled, where appropriate.

### **Application received, correction fluid/pencil used**

288. If the application has correction fluid/pencil on it, the Processing Officer will:

- record the application as returned at NC on LMS;
- note LMS conversations 'correction fluid'
- note page 1 of the application 'Correction fluid' or 'pencil used', and
- cancel the application form via CAMLite notes;
- complete LMS with the decision 'refused – not enough info'.
- issue a new application to the applicant.
- workflow the case via CAMLite to the Authorising Officer who will authorise on LMS.

**NB:** The LMS refusal letter must be printed but **not** sent to the applicant and a new form issued.

### **Undeliverable application received**

289. Where the application form has been returned as undeliverable by Royal Mail, the Processing Officer will:

- note LMS Conversations as such;
- record the application form on LMS as 'Returned Unused'
- complete LMS with the decision 'Withdrawn' and
- destroy the form via adding a note to CAMLite to advise 'Form Destroyed.'

### **Blank application received**

290. Where a blank application form has been received, the Processing Officer will:

- record the form on LMS as 'unused and disallowed';
- note LMS conversations 'blank form withdrawn'
- complete LMS with the decision 'Withdrawn' and
- destroy the form

### **Photocopied application received**

291. Where a photocopied application form has been identified by the MOU it will be stamped with 'Original not seen' on the CA5400. Where a photocopied application form has been identified by a processor resulting from the VOID strip appearing on the scanned CA5400 image, the Processing Officer will:

- check LMS conversations for any relevant information;
- contact the applicant to see if they have the original form;
- if the applicant has the original form, inform them to return it within 10 working days;
- if the applicant does not have the original, inform them to reapply through the Contact Centre;
- note LMS conversations 'photocopy of form received – applicant must reapply through the Contact Centre'.
- record the form on LMS as 'unused and disallowed';
- complete LMS with the decision 'Withdrawn' and
- cancel through the application via CAMLite notes.

### **Application received with a residence permit**

292. If the application is found to contain a residence permit, the Processing Officer must:

- book an EOI for the applicant and send the interview appointment letter;
- note LMS conversations 'EOI booked – residence permit'.
- cancel the application form via CAMLite notes;
- note, 'residence permit' in CAMLite notes.
- complete LMS with the decision 'refused – RTW not established' and
- workflow the case via CAMLite to Authorising Officer for them to authorise on LMS.

### **Trace Action**

293. Specialist trace action must be undertaken on CIS before the application is processed. If a NINo is traced, requires upgrading and/or requires NPS maintenance, the Processing Officer will:

- check the details found on CIS are those of the applicant;
- if a possible NINo is traced, select the appropriate decision on LMS 'NINo traced/upgraded';
- input the NINo into LMS;
- complete a CIS500 where necessary;
- send the NINo traced letter to the applicant with the NINo;
- send the application to NI Regs where the account requires NPS maintenance (Please note from Wednesday 20<sup>th</sup> November '13 the

information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set) or cancel through the application via CAMLite notes if the NINo is already NPS maintained and

- workflow the case via CAMLite to the Authorising Officer for authorisation on LMS.
294. If no trace is found then the application should continue to be processed as normal.

### **Allocating/Refusing the application**

295. If a decision is made to either allocate or refuse the NINo, standard allocation and authorisation action must be followed.

## **SS 23 Retired Gurkha Resettlement Postal Process**

### **Retired Gurkha Resettlement Postal Process**

296. The Ministry of Defence (MOD/Gurkhas Settlement Office (GSO)) will email an Excel spreadsheet direct to the dedicated generic email address at the IOW NC containing the applicant's:

- Title & Names (surname, first name & second name);
  - HMF service number;
  - Whether ex-HMF or not ie. to indicate if a dependant or not;
  - Date of birth;
  - UK address;
  - UK telephone number, and
  - Any relevant additional comments.
297. An LMS Client Search must be completed for each applicant listed on the spreadsheet and if no existing record is found, a LMS Client Record and NINo registration then created.

**NB:** Diligence should be applied on LMS Client Searches or creating LMS Client Records for retired Gurkhas and their dependants as Nepalese names can be the same or very similar, with the same or very similar dates of birth eg Gurung or Rai 1/1/19###.

298. The Processing Officer will:
- annotate the front of the application form with a red "G".
  - record the form on LMS as CA5409.
  - issue the application form to the individual and
  - bf for the return of the form.
299. Upon its return the Processing Officer will:
- take action as in application form returned to the NC.
  - check the applicant's details against the MOD/GSO Excel spreadsheet to ensure they match up.
  - undertake a check on the Central Reference System (CRS) and
  - process the application where the normal trace, allocation and authorisation action should be undertaken and
  - pass the case to the Authorising Officer for authorisation on LMS.

### **Possible trace of a NINo**

300. If, following a CIS Specialist Trace, a possible NINo is identified, further corroboration may need to be undertaken as Nepalese names can be the

same or very similar, with the same or very similar dates of birth eg Gurung or Rai 1/1/19##.

301. 'TheBigWord' should be used where appropriate when undertaking any corroboration action. See 02 Contact Centre & Appointment Booking Process; Using an interpreter.
302. All Gurkha applications should be passed back to the Admin team to record the outcome of the NINo application on the MOD/GSO spreadsheet.

### **Applicant contacts the NC and wishes to re-instantiate an application for a NINo**

303. Where an applicant contacts an NC and wishes to reapply for a NINo, then they should be advised to restart the process by getting in touch with the Gurkha Support Office who will liaise on their behalf via the agreed point of contact.

## **SS 24 Seasonal Agricultural Workers scheme (SAWs)**

### **Seasonal Agricultural Workers scheme (SAWs)**

The SAWs scheme ended on 31/12/2013. The scheme was a short term immigration category set operated by the Home Office open only to Bulgarian and Romanian Nationals (A2s). Workers restrictions on A2s have been lifted from 01/01/2014, therefore there is no longer a requirement for the scheme to continue.

From 01/01/2014, all agricultural workers who would have been part of the SAWs scheme will need to apply for a NINo under normal business rules.

## **SS 25 Student Loan (SL) Inspired Applications**

### **Student Loan (SL) Inspired Applications**

304. All NINo enquiries made by students who are planning to but have not yet applied for a student loan must be directed to the Student Loan Company (SLC) by the contact centres. An EOI appointment must not be booked.
305. NINo enquiries made by students who require a NINo for work/benefit purposes and are not planning to/have not applied for a student loan should be booked an EOI appointment in the usual way by the DWP Contact Centre.
306. The SLC will confirm an applicant's entitlement to a SL before any referral to DWP. They will then pass the information to DWP Data Matching Service (DMS) part of Information and Security Directorate for them to run traces against their databases and confirm the student's NINo. Jobcentre Plus will **only** be involved in cases where DMS could not trace the student's NINo.
307. DMS will issue an excel spreadsheet to the NC weekly, listing those students whose NINos could not be traced.
308. Specialist traces must then be undertaken by the Fastpath Team on cases received from DMS. Where this trace action is **successful**, the Fastpath Team must ensure the NINo is notified to DMS on the spreadsheet at the end of each week. DMS will then ensure SLC are

notified, who in turn will notify the applicant. The Fastpath Team does not need to notify the applicant of their NINo in these cases.

309. Where the applicant:

- is under 20 and
- has a Child Reference Number (CRN) recorded on Departmental computer systems, or
- has a low level NINo (either “not verified” or “qualified”) recorded on Departmental computer systems.

the Fastpath Team must upgrade the applicant’s NINo. There is no requirement for an Evidence of Identity (EOI) interview in these cases.

310. The Fastpath Team must ensure that:

- all upgraded NINos and any other NINos identified as not being NPS maintained are recorded on the spreadsheet and at the end of each week:
- the completed spreadsheet is returned to DMS
- the upgraded NINos extracted from the spreadsheet are notified to HMRC via secure GSI e-mail address.

311. The Fastpath Team must ensure, in cases where a NINo has been automatically upgraded, that the applicant **is not** notified using the NINo allocation letter. The applicant will receive notification direct from HMRC.

312. Where the trace is **un-successful**, the Fastpath Team must contact the applicant directly by telephone. **Two** attempts to contact the applicant **must** be made with at least 24 hours gap between attempts. If leaving a message for the customer on their answering machine, please follow the appropriate guidance.

313. If the applicant is not contactable by telephone they must:

- book the EOI interview at the most appropriate interviewing site using Postcode Locator;
- record in LMS conversations “Student Loan inspired application”,
- issue a EOI appointment letter issued and
- record all action on LMS.

314. If the applicant has language difficulties and requires support during a telephone call, the Fastpath Team must:

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

315. Following the issue of the initial appointment letter, where the need for a Big Word interpreter is identified, and in exceptional cases, where a face to face interpreter is required, the interviewing site at which the interview has been arranged must take all appropriate action to adjust the date of the interview, in agreement with the applicant, to allow time for the interpreter to be available and booked.

316. If, following NC staff contact with the applicant, the NINo can then be traced, the Fastpath Team should notify DMS. The information must be recorded on the spreadsheet and notified to DMS at the end of each week. DMS will then ensure SLC are notified, who in turn will notify the applicant.

317. The Fastpath Team does not need to notify the applicant of their NINo in these cases.

318. Where the NINo has been traced/requires upgrading, the LMS record needs to be created/located and a 'misc CA5409' record set up. The details of the traced NINo must be entered on the record and **unique** Form Reference (1 alpha & 7 numeric) and Reference for Misc Application (1 alpha & 5 numeric) entered. These references should be created and managed by each NC officer.
319. Where the Fastpath Team have been unable to trace, they must:
- book the EOI interview at the most appropriate interviewing site using Postcode Locator;
  - record in LMS conversations "Student Loan inspired application";
  - record the application on LMS as EOI (Type) and Student Loan (Source) and
  - **must** use the appointment letter from LMS and issue to the applicant's UK address.
320. If the applicant does not have a UK home or correspondence address, an EOI must not be booked. The information must be recorded on the spreadsheet and notified to DMS at the end of each week.
321. These applicants will be advised to contact SLC on their return to the UK as soon as possible to enable them to progress through the SL application process.
322. To ensure the Fastpath Team is aware of the progress of each SL case and can record accurate information, they must ensure all SL cases referred for EOI interviews are individually recorded and their progress tracked manually.
323. The information recorded and returned by NC to DMS must only include the following:
- an applicant has failed to attend (FTA) – this will be recorded on LMS by the interviewing site;
  - an applicant does not have a UK home or correspondence address;
  - an applicant has been refused a NINo, and
  - what the applicant's NINo is.
324. The "Student Loan" box on the front of the CA5400 will have been ticked at the EOI interview. The MOU will route the scanned application to the Student Loan team at IOW NC.
325. The NC Processing Officer on the Student Loan team at the IOW will be allocated the scanned NINo application by the team leader.

### **Processing a Student Loan inspired NINo application**

326. When processing this type of NINo application, the customer is only required to prove their identity – **having the Right to Work is not a requirement**. This means that Croatian students are **not** required to provide a Yellow Accession Registration Certificate as evidence that they are a student. The Student Loan Company is responsible for confirming the student's right to reside in the UK.
327. Student Loan inspired NINo applications can be identified on LMS by viewing the 'Registration' tab. The 'App Source' field will display 'Student Loan – DC11 (SL)'. There will also be a conversation that starts 'Student Loan Application'.
328. Applicants must make all direct enquires regarding their NINo application using the NC admin team's direct telephone number: xxxxx xxxxxx.



329. Teams within SLC, HMRC and JCP 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 JCP NINo & ID Management Programme Protection Team.

## **SS 26 Trusted Employer fastpath**

### **Trusted Employer fastpath**

330. The NC will be provided with information that prompts the issue of the application form for completion by employers on behalf of their employees. The Fastpath Team will:

- confirm that the employer listed is registered on the database by entering the Postcode and/or the Name of the Employer;
- confirm that the customer is currently resident in the UK;
- confirm the customer is currently in employment in the UK;
- issue forms through the company record held on LMS to the named contact at the employer;
- advise the employer by issuing the trusted employer fastpath letter, that they have 28 days to return forms.

**NB:** If the employer is not registered on the database, give them the Contact Centre telephone number to arrange an EOI or Postal Application for the individual.

331. Where the applicant is not from the EU/EEA, using the information and documentation provided, a check must be made in all cases on the Home Office Central Reference System (CRS) to establish if a visa record is held on CRS.

332. If a CRS record is found then an LMS Conversation must be input to state that.

333. If no record of the customer is found, no visa or the customer details differ, on the Home Office CRS database:

- note LMS conversations with the findings - e.g. 'Out of Date Visa', 'Untraceable Passport/Visa on Home Office check', 'Different details shown on UKBA database';
- note in LMS conversations that an 'EOI booked';
- record the decision in LMS - 'Refused RTW not established';
- cancel through the CA5400 by adding 'application cancelled' in CAMLite notes;
- annotate the scanned image of the CA5400 to state 'EOI booked' via CAMLite notes and
- workflow the application to the Authorising Officer for action on LMS.

334. An EOI should be booked for the applicant through LMS by creating a New Registration, at the nearest interviewing site using Postcode Locator. The applicant should be sent the interview appointment letter.

335. All CA5400 forms must be returned to the mail opening unit who will scan the documents and workflow the images on CAMLite and route them to the Trusted Employer team in Glasgow NC.

336. The NC Processing Officer on the Trusted Employer team at Glasgow NC will be allocated the scanned NINo application by the team leader. The Fastpath Team should:

- take action as in application form returned to the NC.
- record the form on LMS as CA5407

- process the application where the normal trace and allocation action should be undertaken and
  - workflow the case to the Authorising Officer for authorisation action on LMS.
337. **NB:** When considering whether to allocate, trace or refuse if the case falls out of scope for the Trusted Employer fastpath because the criteria have not been met then the NINo applicant must be notified by the Trusted Employer fastpath non qualifying refusal letter. This letter advises the customer to telephone the Contact Centre to make a fresh application.
338. Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

## **SS 27 Her Majesty's Forces (HMF) Fastpath**

### **Her Majesty's Forces (HMF) Fastpath**

339. The NC will be provided with information that prompts the issue of the application forms for completion by HMF on behalf of their employees. The Fastpath Team will:
- confirm that the customer is within 6 weeks of their start date;
  - record the form on LMS as a CA5407;
  - issue application forms and covering letter using the HMF personnel section details held on Work Permit Unit database;
  - advise they have 28 days to return forms;
  - set a bf date for the return of the application.
340. All CA5400 forms must be returned to the NC address. This will then be scanned by the mail opening unit who will scan the documents and workflow all tasks relating to the CA5400 images via CAMlite and route them to the HMF fastpath team in Glasgow NC.
341. The NC Processing Officer on the HMF Fastpath team at Glasgow NC will be allocated the scanned NINo application by the team leader.
342. Processing Officer should:
- take action as in application form returned to the NC.
  - process the application where the normal trace and allocation action should be undertaken and
  - workflow the case to the Authorising Officer for authorisation action on LMS.
  - Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

## **SS 28 National Health Service (NHS) Fastpath**

### **National Health Service (NHS) Fastpath**

343. The NC will be provided with information that prompts the issue of the application forms for completion by NHS on behalf of their employees. The Fastpath Team will:

- confirm with NHS that the customer is currently resident and employed with them in the UK;
  - record the form on LMS as a CA5407;
  - issue forms and covering letter using the NHS personnel section details held on Work Permit Unit database;
  - advise they have 28 days to return forms and
  - set a BF date for the return of the application.
344. All CA5400 forms must be returned to the NC address. The mail opening unit will scan the documents and workflow all tasks relating to the CA5400 via CAMlite and route them to the NHS Fastpath team in Glasgow NC.
345. The NC Processing Officer on the NHS Fastpath team at Glasgow NC will be allocated the scanned NINo application by the team leader.
346. Processing Officer should:
- take action as in application form returned to the NC;
  - process the application where the normal trace and allocation action should be undertaken, and
  - workflow the case to the Authorising Officer for authorisation action on LMS.
  - Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

## **SS 29 Service Personnel & Veterans Agency (SPVA)/International Pensions Centre (IPC)/Centre for Non-Residents (CNR) fastpaths**

### **Service Personnel & Veterans Agency (SPVA)/International Pensions Centre (IPC)/Centre for Non-Residents (CNR) fastpaths**

347. The NC will be contacted and application forms requested on behalf of an applicant by the relevant Government Department.
348. Forms issued following a request from SPVA should be recorded on LMS as a CA5407. Others should be recorded as a CA5409.
349. An application form and the covering page should then be posted by the NC to the individual applicant along with:
- the accompanying customer completion note;
  - the letter advising of the return date, and
  - a return envelope.
350. In SPVA cases, a clerical record of the forms to be issued should be kept and the forms themselves sent to the SPVA direct. The SPVA will work with the individual applicant to complete the application.
351. All CA5400 forms must be returned by the applicant to the NC address. The mail opening unit will scan the documents and workflow tasks relating to the CA5400 images on CAMlite and route them to the Fastpath team in Glasgow NC.
352. The NC Processing Officer on the Fastpath team at Glasgow NC will be allocated the scanned NINo application by the team leader.

353. the Processing Officer Team should:
- take action as in application form returned to the NC.
  - process the application where the normal trace and allocation action should be undertaken and
  - workflow the case via CAMLite to the Authorising Officer for authorisation action on LMS.
  - Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

**NB:** in SPVA cases a decision to refuse or allocate must be done within 24 hours of receipt.

## **SS 30 Ministry of Defence (MOD) Credit applications**

### **Ministry of Defence (MOD) Credit applications**

354. Applications for a NINo may be received from the spouse or civil partner of one of Her Majesty's forces when they are on an accompanied assignment outside the UK and require MOD credits to be applied.
355. The applicant will complete an MODCA1 which will be verified by the MOD Welfare Officer.
356. If the applicant does not have a NINo the MODCA1 will be returned to the applicant by the MOD with instruction to send to the NC.
357. Upon receipt of the MODCA1, normal trace activity must be undertaken by the Indexing Team
358. If a NINo is traced:
- return the MODCA1 to HM Revenue & Customs, National Insurance and Contributions Office, Benton Park View, Longbenton, Newcastle Upon Tyne, NE98 1ZZ and
  - inform the applicant of the NINo using the Traced NINo letter.
359. If no trace of a NINo, the Fastpath Team will:
- record the form on LMS as a CA5409;
  - issue the CA5400 form and covering page directly to the customer;
  - advise they have 28 days to return forms;
  - set a bf date for the return of the application.
360. All CA5400 forms must be returned to the NC address. The mail opening unit will scan the documents and workflow the tasks relating to the CA5400 images via CAMlite and route them to the MOD fastpath team in Glasgow NC.
361. The NC Processing Officer on the MOD Fastpath team at Glasgow NC will be allocated the scanned NINo application by the team leader.
362. The Processing Officer will:
- process the application where the normal trace and allocation action should be undertaken;
  - send the MODCA1 to HM Revenue & Customs, National Insurance and Contributions Office, xxxxxx xxxx xxxxx xxxxxxxxxxxx, xxxxxxxxxxx xxxxxx, xxxxxx xxx. (Please note that from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set) and

- workflow the case via CAMLite to the Authorising Officer for authorisation action on LMS.

## **SS 31 Home Office Statement of Evidence (SEF) applications**

### **Home Office Statement of Evidence (SEF) applications**

363. Statement of Evidence (SEF) completed applications are received in the NC following the applicant's entitlement to a NINo having already been established by Home Office.
364. SEF Application forms will be scanned and workflowed to the SEF Team via CAMLite.
365. When all the required information has been provided, the SEF Team will
- check if there is an existing record for the applicant in LMS by performing a 'wildcard' search.
  - if one does not exist:
    - create an LMS customer record and
    - record the SEF form on the LMS record and note the LMS number on the SEF form;
366. Upon receipt of the application, the Fastpath Team will:
- process the SEF form where normal trace and allocation action should be undertaken;
  - send the SEF form on to HMRC NI Registrations for processing and the NINo Decision letter returned to Home Office to enable them to issue with the Asylum decision (Please note that from Wednesday 20<sup>th</sup> November '13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set) and
  - workflow the case via CAMLite to the Authorising Officer for authorisation action on LMS.
  - Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

## **SS 32 Home Office Gateway Protection Programme Applications**

### **Home Office Gateway Protection Programme Applications**

367. The GPP single point of contact at Glasgow NC will receive notification of expected CA5400 applications by email.
368. The GPP EOI is undertaken by the mobile interviewing team at the nearest Jobcentre to the applicant in conjunction with Home Office. Copies of the applicant's residency permit will be included along with each application.
369. All CA5400 forms and supporting documentation must be returned to the NC address. The mail opening unit will scan the documents and

workflow the tasks related to the CA5400 images on CAMlite and route them to the GPP Fastpath team in Glasgow NC.

370. The NC Processing Officer on the GPP Fastpath team at Glasgow NC will be allocated the scanned NINo application by the team leader.

371. the Processing Officer will:

- record the scanned image as a CA5409 on LMS;
- process the application where normal trace and allocation action should be undertaken by the Fastpath Team and
- workflow the case via CAMLite to the Authorising Officer for authorisation action on LMS.
- Forward the application to HMRC using ONLY the agreed Documented Courier Service for registration on to the NPS using the NC dispatch process. (Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)

**NB:**A NINo decision must be recorded and where appropriate, allocated on CIS within 24 hours of receipt of the application.

372. See Gateway Protection Programme guidance for further information.

## **SS 33 Application for a NINo for the deceased partner of a Bereavement Benefit applicant**

### **Application for a NINo for the deceased partner of a Bereavement Benefit applicant**

373. Bereavement Benefit processing staff will make a decision on whether a deceased partner of a BB applicant requires a NINo.

374. Where appropriate they will complete a DCI1 and email it to the single point of contact in the NC and will attach scanned copies of all evidence provided.

375. Once received at the NC, standard trace, allocation and authorisation action should be undertaken by the Processing and Authorising Officers.

376. Once allocated, the CA5400, DCI1 and all supporting documents must be sent directly to the single point of contact in NI Registrations to enable them to identify the case and process as a priority.

377. Notify the date of death and refer to CIS Frontline Services on the appropriate CIS form.

## **SS 34 Request for a NINo to claim a tax refund**

### **Request for a NINo to claim a tax refund**

378. A NINo is not necessary for foreign nationals to claim a refund of tax.

379. Any enquiries relating to obtaining a NINo for tax refund purposes should be directed to HMRC Taxes Helpline on:

- 0845 300 0627 (from within the UK) or;
- +44 13 5535 9022 (outside the UK)

380. The telephone lines are open 8am to 8pm Monday to Friday and 8am to 4pm on Saturday. The contact numbers can also be found on the HMRC website under 'Contact Us; Income Tax enquiries for individuals and employees'.

381. Details of how to contact HMRC by post are also available for the applicant to use however applicants will not be able to contact HMRC via email with their queries.

## **SS 35 Dispatch of application forms to HMRC NINo Registration Team**

### **Dispatch of application forms to HMRC NINo Registration Team**

**(Please note from Wednesday 20<sup>th</sup> November 13 the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set.)**

382. Following the appropriate BCS checks, the application form and accompanying documentation should be transferred securely to HMRC National Insurance Registrations (NI Regs), annotating the EF413 receipt as appropriate (Please note the information fundamentally required for HMRC staff to input onto NPS should be sent to HMRC NI Regs as an agreed data set).
383. Where NI Regs need to return applications they will undertake the normal receipting process and:
- include the total number of forms being returned
  - attach a schedule listing all form serial numbers enclosed
  - and transfer the forms securely.
384. They will retain a copy of the receipt and schedule for their records. If the acknowledgement receipt has not been received within 10 working days, they will contact the relevant DWP office to follow up.
385. Upon receipt of returned applications from NI Regs, the application is returned to the area where the error was made for rework to be considered and carried out if necessary.
386. If rework is required, it is completed and returned to NI Regs under the cover of the original receipt (by reversing and stapling to the application).
387. These cases must be returned with a separate receipt as NI Regs will be awaiting the return of the application.
388. If no rework is required, the application is returned to NI Regs with a separate covering note and receipt.

## **SS 36 Appendices**

### **Appendix 1 – Agreed Error checks**

#### **JCP 0057 – NINo Allocated Agreed Errors – Resulting in a fail**

- 1 Evidence of identity missing or incomplete (eg: biometric page missing)
- 2 Unexplained inconsistency of personal information provided
- 3 Right to work:

incomplete documents  
inconsistent documents  
time limited  
specific prohibition

- 4 Source documentation/Application:
  - not signed by applicant/countersigner
  - amendments not initialled, dated or explained
  - not signed by benefits supervisor, where appropriate
  - un-used boxes at 1-6 not crossed through on NINo application form
- 5 Override:
  - no explanation attached for same applicant name and date of birth  
(eg: J. Smith (a) / J. Smith (b))
  - no explanation attached – failure (possible duplication)
- 6 Existing national insurance number found CIS/NIRS check
- 7 Incorrect input to CIS (name, gender, date of birth, NINo level)
- 8 Allocation based on name only

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

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

## **Appendix 2 – BCS Validation Officer's Desk Aid**

### **Definition of Validation**

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

### **Validation Plan**

Validation is undertaken in accordance with the requirements of a flexible Validation Plan developed, owned and reviewed by the Business Unit Manager.



## **Validation Officer**

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

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

## **Validation Process –**

### **The Validation Officer**

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

### **Selection of Cases**

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

### **Validation Records**

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

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

Optional additional records can be kept providing information on;

- name and location of Checking Officer
- applicant name and/or NINo of selected case
- date check was generated

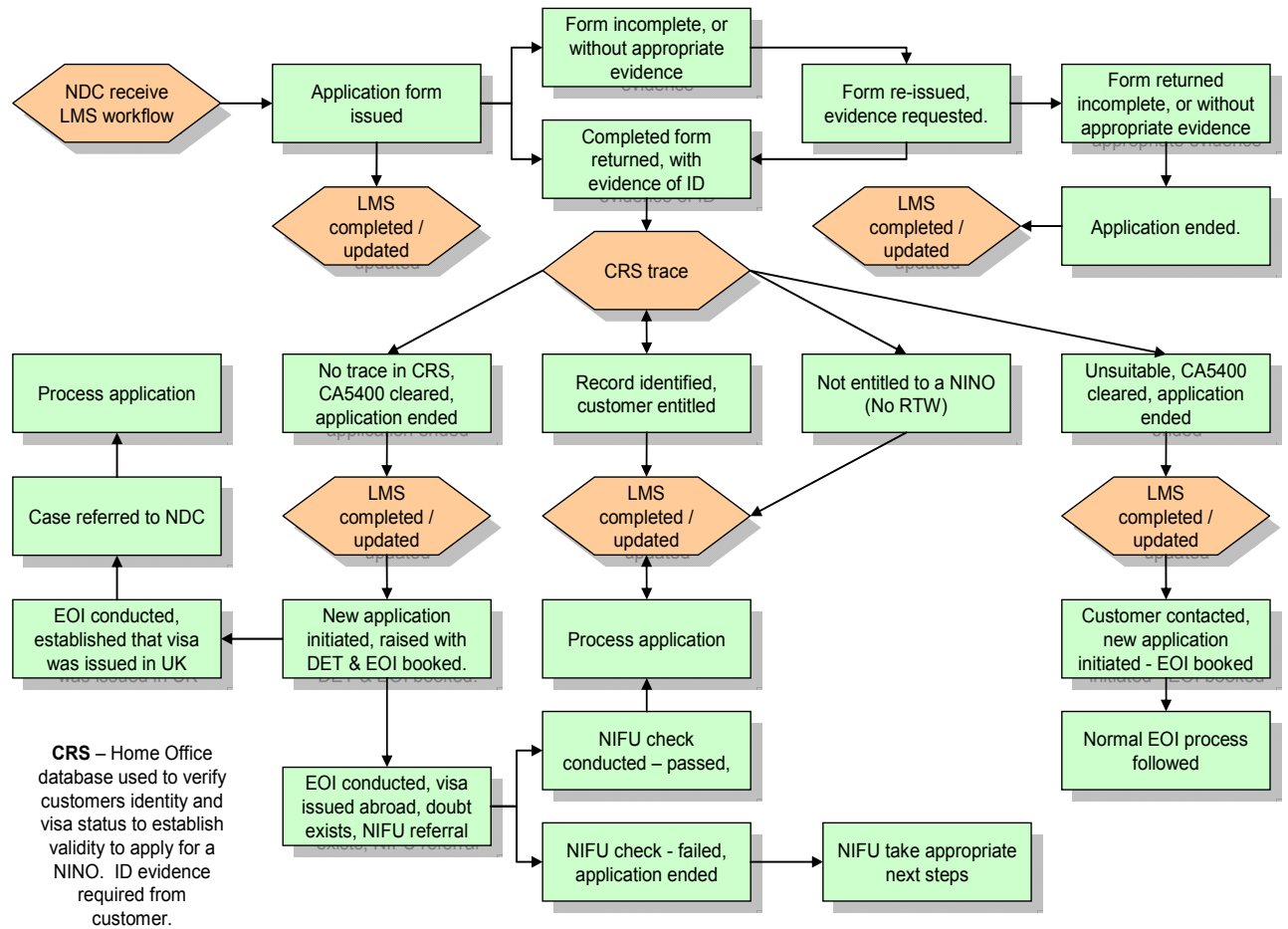
- date check was completed
- date of Validation
- whether check is satisfactory or not, and if not, any comments.

### **Validation Reports**

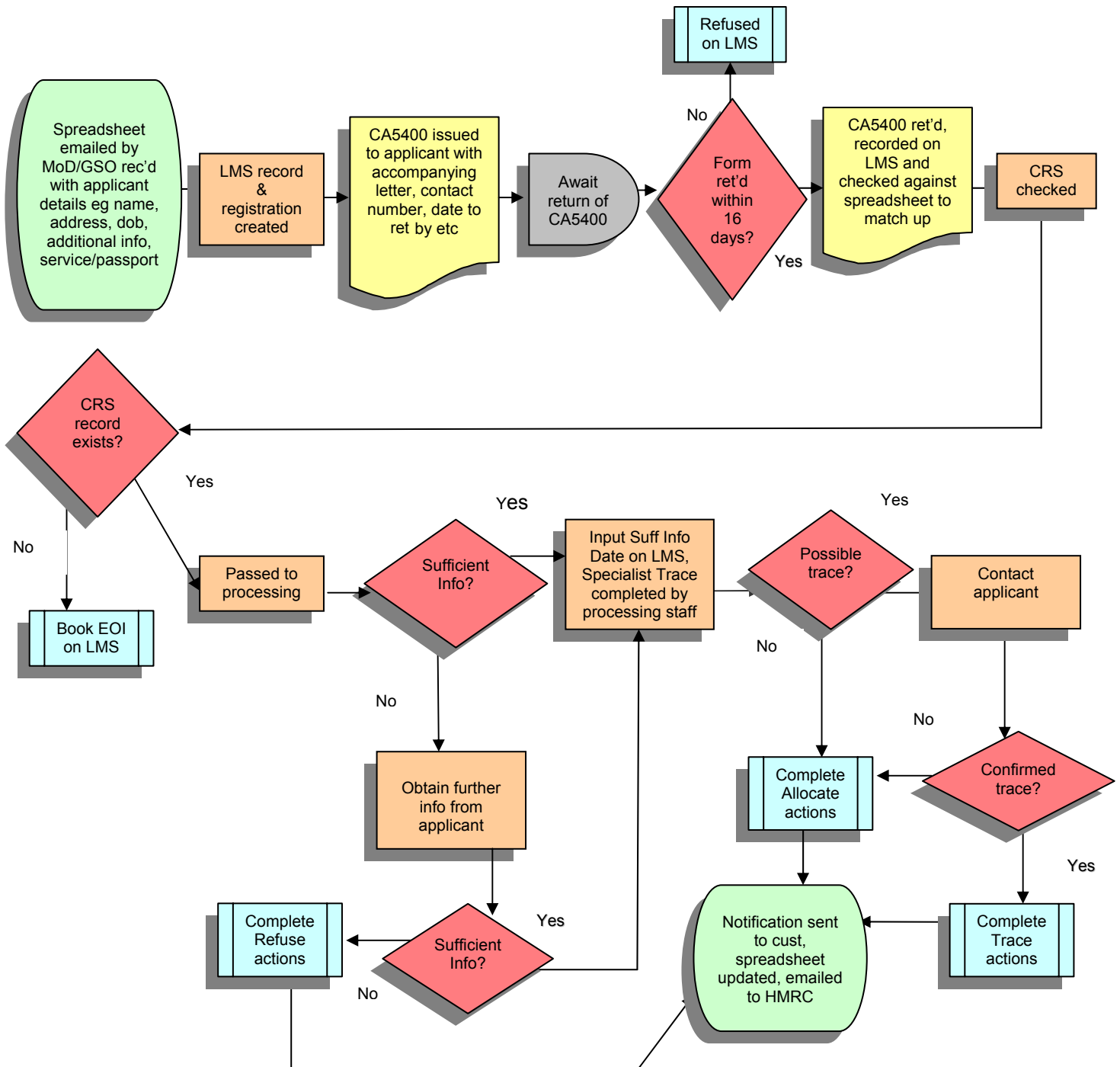
Consideration should be given to the production of a report detailing the Validation Officer's findings for use within the business. Contents could include:-

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

# Appendix 3: Home Office Visa Postal Application - NC Process Map



# Appendix 4: Ghurkha Resettlement Postal Application – NC Process Map



## Appendix 5: Recording Names on CIS

Scenario	Record on CA5400 at Q1 & 2	Record on CA5400 at Q4	Record on LMS	Record on CIS
1. Applicant states name is Masing BAWE but immigration document states surname MASING and forename BAWE	Forename: Bawe Surname: MASING	Forename: Masing Surname: BAWE	Forename: Masing Surname: BAWE	Name Type 1: Forename: Bawe Surname MASING  Historic name: Forename: Masing Surname: BAWE
2. Applicant has recently married and is using name Louise SMITH, However her passport still shows Louise JONES	Forename: Louise Surname: JONES	Forename: Louise Surname: SMITH	Forename: Louise Surname: SMITH	Name Type 1: Forename: Louise Surname: JONES  Historic Name: Forename: Louise Surname: SMITH
3. Applicant wants to use surname HARVEY-SMITH but passport states surname is HARVEY only	Surname: HARVEY	Surname: HARVEY-SMITH	Surname: HARVEY-SMITH	Name Type 1: Surname: HARVEY  Historic Name: Surname: HARVEY-SMITH
4. Applicant has used name Dinelle GRAHAM throughout her life, she doesn't have a passport but her birth certificate states name is Dinell GRAHAM	Forename: Dinell Surname: GRAHAM	Forename: Dinelle Surname: GRAHAM	Forename: Dinelle Surname: GRAHAM	Name Type 1: Forename: Dinell Surname: GRAHAM  Historic Name: Forename: Dinelle Surname: GRAHAM
5. Applicant uses only one name, Pinky and her passport states forename is Pinky and surname is blank	Forename: Pinky		Forename: Pinky Surname: PINKY	Name Type 1: Surname: PINKY (this will allow the

				record to be traced on CIS)
6. Applicant's ID card holds Michael Martin GREENE but the applicant wishes to be known as Michael GREENE	Forenames: Michael Martin Surname: GREENE		Forename: Michael Surname: GREENE	Name Type 1: Forename: Michael Martin Surname: GREENE  Historic Name: n/a dropping his 2 <sup>nd</sup> forename is irrelevant
7. Applicant has a French ID card which shows maiden surname DUBOIS and married surname LE BLANC. Applicant wishes to use maiden surname as she only used married surname in France.	Surname: DUBOIS	Surname: LE BLANC	Surname: DUBOIS	Name Type 1: Surname: DUBOIS  Historic Name: Surname: LE BLANC (as both surnames are shown on her ID card, we would follow her preference and enter her maiden name on CIS)
8. Applicant's name reads on data strip as KUMAR<RAJESH< and is not split into forename and surname, but applicant states forename is Rajesh and surname KUMAR	Forename: Rajesh Surname: KUMAR		Forename: Rajesh Surname: KUMAR	Name Type 1: Forename: Rajesh Surname: KUMAR
9. Applicant has a Romanian passport which shows her forenames as: Elena Adriana and her surname as MIHAILESCU She also presents a Romanian ID card showing her forename as Elena-Adriana and surname as MIHAILESCU	Forenames: Elena Adriana Surname: MIHAILESCU	Forename: Elena-Adriana Surname: MIHAILESCU	Forenames: Elena Adriana Surname: MIHAILESCU	Name Type 1: Forenames: Elena Adriana Surname: MIHAILESCU  Historic name: Forename: Elena-Adriana

## Appendix 6a - Indicators of Self-Employment

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

		<p>XX XXXXX XXXX XXXXXX XXX XXXXX, XXX XXXXXX XXXX XXX XX XXXXXXX XXXX XX XXXXXXXXX.</p>
<p>Lack of obligation to actually provide the service.</p>	<p>X XXXX-XXXXXXXX XXXXXX XX XXXXXXXXXXXX XX XXXXXXXX XXXXXXXXXX XX X XXXXXXXXXXXX XXX XXXXXXXX XXX XXXXXX XXXXX. XXXX XXXXX XXX XXXXXXXXXXXXX XXXX XXXX XXXX XXX XXXXXXXX XX XXXXXXX XX XXXXX XXX XXX XXXX XXXXXXXXXXXX. XXXX XXXXX XXXXXXXX XX XXXXXXXXXXXXX XXX XXXXXXXX XXX XXXXXXXX XX XXX XXXX XXXX XXXXXXXXXX XX XXX XXXXXXX XXXXXXXX XXXXXXXX. XXXX XXXXX XXXXXXXX XXX XXXXXXXX XX XXX XXXX XXXX XXX XXX XXXX XX XXXXX XX XXX XXXX XX XXXX XX XXXXXXXX XXXX XXX XXXXXX XXX XXXXXXXX XXX XXX XXXX XXX XXXX XXX XXXXXXX XX XXXXXXX XXXXXXXX XXX XXXXX.</p> <p>XX XX XXXXXXXX, X XXXXXXXX XXXXXXXXXXXX XX XXXXXXXX XX XXXXXXXXXX XXXX XXXXXXXX XXXXXXXX XX XXXXX XXXXXXXX XX XX X XXX. XXXX XXX XXXXXXXXXX XXXXXXXX XX XXXXX XXX XXX XXXXXXX XXXXXXXX XX XXXX XXX XXX XXXX XXXXXXX XXXX XX XXXXXXX XXX XXXX XXXX XX XX XX XXXXXXXX XX XXXXXXXXXXXX.</p>	<p>XXX XXXXX XXXXXXX X XXX XX XXX XXXXXXXXXXXX XXX XXXXXX XX?  <ul style="list-style-type: none"> <li>• XXX XXXXXXXXXXX XXXXXX XX XXX XXX XXXX XXXXXXXXXXX X XXXXXXXXXXXXX XXX XXXXXXXX XXXXX XXXXXXXX.</li> <li>• XXX XXXXXXXXXXX XXXXX XXXX XX XXXXXXXXXXXX XXX XXXXXXXX XXX XXXXXXXXXXXX'X XXXXXXXXXXX XXXXX XXX XXXXX XX XXXX XX XXX XX</li> <li>• XXX XXXXXXXXXXX XXXXXX XX XXX XXX XXX XXXXXXX XXX XX XXXXXXXXXXXXXX XXX XXXXXXXX XX XXX XXXXXXXXXXXX.</li> </ul> </p>
<p>Investment in business</p>	<p>XXX XXXXXXXXXXX XX X XXXXXXXX XXXX XXXX XXXXXXXXXX XX XXX XXXX XX XXXXXXXX. XXXXXXXXXX XXXXX XXXXXXXX XX XXXXXXXX XX XXXX XXXX XXXXXXXXXXXX XX XXXXX; XXXX XXXXX XXXXXXXX XXXXXX XX XXXXXXXXXXX XXX XXXXX XXXXXXXXXXXX. XXXXX XXXXX XX XXXXXXXXXXX XXX XXXX XX XXXXXXXXXXX XX XXX XXXXXXXXXXX XXX XXXXX XXX XX XXXX XX XXXXXXXXXXX XXXX- XXXXXXXXXXXX XXXXXX XXXXXXX XXXXX XXXXXXXXXXXX.</p>	<p>XXXX XXXXXXXXXXX XXXX XXX XXXXXXXXXXX XXXXXXX XXXX XX XX XXX XXXX XXXX XXX XXXXX XXXX XXX?</p> <ul style="list-style-type: none"> <li>• XXX XXXXXXXXXXX XXXXX XX XXXXXXXX XX XX XXXX XX XXXXXXXX XXXX XXXX XXXX XX XX XXX XXX XXX XXX XXXXXXXXXXXX XXXXXXX XXXX XXXXXXXXXXX XX XXXXX XXX XXX XXXXX XX XX XXXX.</li> </ul> <p>XXXXX XXXX XXX XXXXXXXXXXX XXXXXXX XXXXX XXXXXXXXXXX/ XXXXXXXX XXXX?</p> <ul style="list-style-type: none"> <li>• XXXX XXXXX XX XXXXXXXX XX XX XXXX XX XXXXXXX XXXXXXXXS XXXX XXXXX XXXXXXXXXXX XXX XXXXXXXXXXX XXX</li> </ul>



	<p>XXXXX XXXX XXX XX X XXXXX XXXXXXXXXXXXX          XXX XX XXXXXXXXXXXX XX XXXXXX XX XXXXX          XXXXX XXXX XX XXXXXX XXXXXXXXXXXX          XXXXXXXXXXXX XX XXXXXXXXXXXX XXXXXXXXXXXX XXX          XXXXXXXXXXXX</p>	<p>XXXX XX XXX XXXXXXXXXXXX. XXXX XXXXX XXXX XX          XXXXXXXXXXXX XX XXXXXXXX XXX XXXXXXXXXXXXXXX XXXXX XXXXXXXX          XX XXXX XXXX XXXX XXXXXXXXXXXX.</p> <p>XXXX XXX XXXXXXXXXXXX XXXXXXXXXXX XXXXXXXXXXXX XX          XXXXXXXXXXXXXXXXXXXX XX XXXXXXXX XXXX XX XXXXX XXX XXX XXXX?</p> <ul style="list-style-type: none"> <li>• XXXX XXXXX XX XXXXXXXXXXXX XX XX XXXX XX XXXXXXXXXXX XXXX          XXX XXXXXXXXXXXX XX XXXXXXXXXXXX XXX XXXX XXX XXXX XXX          XXXXXXXXXXX XXXXXXXXXXXXXXX XXX.</li> <li>• XXXX XXXXX XXXX XX XXXXXXXXXXXX XX XXXX XXXXXXXXXXXX XXX          XXXXXXXXXXXXXXXXXXXX XX XXXXXXXXXXX XXXXXXX XXXXXXXXXXX XX          XXX XXXX XXXX XXX XXXXXXXXXXX XXX.</li> </ul>
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### Appendix 6b - Self-employment Scenarios

Scenario	Evidence	Corroboration
Big Issue sellers	<ul style="list-style-type: none"> <li>• receipts for purchases of the 'Big Issue' from the Big Life Company including:               <ul style="list-style-type: none"> <li>○ number purchased</li> <li>○ date of purchase</li> <li>○ amount paid</li> </ul> </li> <li>• a clear account of sales including:               <ul style="list-style-type: none"> <li>○ number sold</li> <li>○ location sold</li> <li>○ profits realised</li> </ul> </li> <li>• evidence to show re-investment in subsequent purchases from Big Life Company</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XX XXXXXXXX XXXXXXXXXXX XXX XXXXX XX XXXXX          (X.X XXX XXXX XXXX XXX XXXX XXXX XXXXXXXXXXXX XX XXX          XXXXXXXXXXX XXXXXXXXXXX, XXX XXXXX XXX XXXX XXX XXXXX)</li> <li>• XXXXXXXXXXX XXXX XXX XXXXX XXXX XXXXXXXXXXX XX          XXXXXXXXXXX XXXXXXX XX XXXXX (XXXX XXXXX XXXXX XXXX          XX XXX XXXX XXXXX)</li> </ul>
Car washer/valeting	<ul style="list-style-type: none"> <li>• job invoices and subsequent remittance statements:               <ul style="list-style-type: none"> <li>○ labour costs</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXXX XXX XXXXXXXXXXX          XXX XXXX XX XXXX XXX XXX XXXXX/XXXXXXXX XXXXX XXX          XXX XXXX (X.X XXXXX XXX XXXX XXXXX XXX XXXX, XXX</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>○ equipment/material costs</li> <li>● public liability insurance</li> <li>● correspondence detailing the nature of the work</li> <li>● quotations submitted for jobs</li> <li>● Companies House registration</li> <li>● receipts for equipment or tools purchased</li> <li>● bank statements (business accounts)</li> <li>● Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<p>XXXXX XXXX XXXXXXXX XXX XXXXXXXX)</p> <ul style="list-style-type: none"> <li>● XXXXXXXX XXX XXXXXXX XXXXXXX XXXX XXXXXXX XXXX XXX XXXXXXXXXX XXXXXXXXXX (X.X XXXX XXX XXXX XXXXXXXXXX XX XXX XXXXX, XXX XXX XXXX XXXX XX XXXXXXX XXX XXXXXXX XXXXXXXXXX XXX XXX XXXX)</li> <li>● XXXXXXXXXX XXXX XXXX XXXXXXX XXXXX XXXX XXXXXXXXXX XXXXX XXXX XXX XXX XXXXXXXXXX/XXXXXXXX (X.X XX XXXX XXXX XX XX XXX XXXX XXXXX XXXX XXX)</li> <li>● XXXXXXXXXX XXXX XXXX XXXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX (X.X XXX XX XXXXXXXXXX XXX XXXXXXXXXX XXX XXXXXXXXXX XXXXXX XXX XXX XXXXXXXXXX XXXXXXXXXX)</li> <li>● XXXXXXXXXX XX XXXXXXX XXXXXXXS XX XXX XXXXXXXXXX XXX XXXXXXXXXX XXXXXXXXXX (X.X XXXX XXX XXXXXXX XX XXXX XXXX XXXX XX XXXX X XXXXXXXXXX XX XXXX XXXX XXX XXXX)</li> </ul>
<p>Childminder (someone looking after children in their <b>own</b> home/premises)</p> <p><i>Babysitting (attending an address that is not their own, to carry out babysitting duties) – not required to be registered</i></p>	<ul style="list-style-type: none"> <li>● quotations submitted for jobs</li> <li>● job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>● public liability insurance</li> <li>● correspondence detailing the nature of the work</li> <li>● receipts for equipment, food or toys purchased</li> <li>● bank statements (business accounts)</li> <li>● OFSTED registration (children under 8, 2hrs+)</li> <li>● Early Years registration (children under 5)</li> <li>● Childcare registration (children 5+)</li> <li>● NVQ or BTEC levels 1 or 2 (which allows you to work with children under supervision)</li> </ul>	<ul style="list-style-type: none"> <li>● XXXXXXXX XXXXXXX XXXXXX (XXX) XXXXXXX</li> <li>● XXXXXXXXXXXXXXXXXXXXXXXXXXXX(x)</li> <li>● XXXXXXXXXXXXXXXXXXX XXXXX XXXXXXXXXXXXXXXXXXX XXX XXX XXXXXXXXXXXXXXX</li> <li>● XXXXXXXXXX XXXX XXXX XXXXXXX XXXXX XXXX XXXXXXXXXX XXXXX XXXX XXX XXX XXXXXXXXXX XXXXXXXXXXXXXX XX XXXXXXX XXXXXXX.</li> <li>● XXXXXXXXXX XXXX XXXX XXXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX. (X.X XXXX XXX XXX XXXX X XXXXX, XXXXX XXXXXXX XXXX XXXX)</li> <li>● XXXXXXXXXX XX XXXXXXX XXXXXXX XX XXX XXXXXXXXXXX XXX XXXXXXXXXXX XXXXXXXXXX (X.X. XX XX XXXXXXX XXXXX XXXX XXX XXXXXXX XXX XXXXXXX XXXX XXXXXXXXXXX XXXXXXXXXXXXXX)</li> <li>● XXXXXXXX XXX XXXXXXX XXXXXXX XXXX XXXXXXX XXXX XXX XXXXXXX (X.X. XXXXXXXXXXXXXXXXXXX XXXX XXXX XXXXX XXXXXXX XXXXXXX X XXXXXXX)</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>• NVQ or BTEC level 3 (which allows you to work with children without supervision)</li> <li>• paediatric first aid certificate</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	
Construction workers (Builders, bricklayers, plasterers)	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> <li>• receipts for equipment or tools purchased</li> <li>• bank statements (business accounts)</li> <li>• Companies House registration</li> <li>• valid Construction Skills Certification Scheme (CSCS) Card – although variations are issued, in any form, this would only indicate a skill level</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXX XX XXXXX XXX XXXXXX XXXXXXXXXXXX XXXXXXXXXXXX XXXXX XXX XXXXX XXXXXXXXXXXX</li> <li>• XXXXX XX XXXXX XXXXXXXXXXXXXXXX XX XXXXXXXXXXXX XXX XXXX XX XXXXXXXXXXXX – XXXX XXX XX XXXXXXXXXXXX XX X XXXXXXXXXX XXXXXXXX XX XXXXXXXXXXXXXXXX XX X XXXX</li> <li>• XXXXXXXXXXXX XXXX XXXXXXXX XXXXX XXX XXXXXXXXXXXX, XXXX XX XXXX XXXXX XXXXXXXX XXX XXXXXXXXXXXX (X.X. XXXX XXXX XXXXXXXX X XXXXX XXX X XXX, XXXXXXX XXXXXXXXXXXX)</li> <li>• XXXXXXXXXXXX XXXX XXXXXXXX XXXXX XXXXX XXXXX XXXX XX XXXX XXXX XXX XXXXX (X.X XXXXXX XXX XXXX XXXXXX XXX XXXX, XXX XXXXX XXXX XXXXXXXXXXX XXX XXXXXXXX)</li> <li>• XXXXXXXXXXXX XXXX XXXX XXXXXXXX XXXXX XXXX XXXXXXXXXXXX XXXXX XXXX XXX XXX XXXXXXXX XXXXXXXXXXXXXXXX/XXXXXXXXXX</li> <li>• XXXXXXXXXXXX XXXX XXXX XXXXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX</li> <li>• XXXXXXXXXXXX XX XXXXXXXX XXXXXXXX XX XXX XXXXXXXXXXXXXXX XXX XXXXXXXXXXXXX XXXXXXXX</li> </ul>
Domestic Cleaner	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXXX XXX XXXXXXXX XXX XXXX XX XXXX XXX XXX XXXXX/XXXXXXXX XXXXX XXX XXX XXXX.</li> <li>• XXXXXXXXXXXX XXXX XXXX XXXXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX</li> <li>• XXXXXXXX XXXXXXXX XXXX (X.X. XXXXXXXXXXXXXXX XXXX X XX XXXX XXXXXXXX XXXXXXXXXXXXXXX XXX XXXXXXXXXXXXXXX XX XXX XXXXXXXX XXXX XXXX XXXXXXXXXXXX)</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>• Companies House registration</li> <li>• receipts for equipment or tools purchased</li> <li>• bank statements (business accounts)</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXX XXXX XXXXXXXXXXXX XXXXX XXXX, XX-XXX XXXX</li> <li>• XXXXXXXXXXX XX XXXXXXX XXXXXXXX XX XXX XXXXXXXXXXXXXX XXX XXXXXXXXXXXXXXXX XXXXXXXX (X.X.XXXXXXXXXXXXXXXXX XXXX X XX XXXX XXXXXXX XXXX XXX XXX, XXXX XXX XX XXXX XXXXX)</li> </ul>
Door Security/Bouncer	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• Security Industry Agency (SIA) licence</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXX XXX XXXXXXXX XXX XXXX XX XXXX XXX XXX XXXXX/XXXXXXXX XXXXX XXX XXX XXXX (X.X XXXXX XXXX XX XXXXXXXXXXXXXX XXX XXXXXXXXXX XXXXXXXXXXXX XX XXXXX XXX XXX XXXX XX XXXXX XXXXXXX)</li> <li>• XXXXXXX XXX XXXXXXX XXXXXXX XXXX XXXXXXX XXXX XXX XXXXXXXXX (X.X.XXXXXXXXXXXXXXXXX XXXX XXXX XXXXt XXXXXXXX XXXX XX XXX XXXXXXX XXXXXXX XXX XXXXXXXXXX XXXX)</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXXX XXXXX XXXX XXXXXXXXXXX XXXXX XXXX, XX-XXX XXXX</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX (X.X XXX XXXX XXXX XXXXXXXXXXXXXXXX XXXXXXX XX XXXX XXX XXXX XXXXX XXXX XXXX XX XX XXXXX)</li> <li>• XXXXXXXXXXX XX XXXXXXX XXXXXXXX XX XXX XXXXXXXXXXXXXX XXX XXXXXXXXXXXXXXXX XXXXXXXX (X.X XXXX XXX XXX XXXX XX XXXXXX XXXXXXX XX XXX XXX XX XXX XXXX XXX XXXX XXX XXXXXXXX XX XXXX XXXX XXXX XXXX XXXXX X XXXXXXXXXXX XX XXXX XXXX XXX XXXX)</li> </ul>
Gardener	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXX XXX XXXXXXXX XXX XXXX XX XXXX XXX XXX XXXXX/XXXXXXXX XXXXX XXX XXX XXXX (X.X XXXXX XXXX XX XXXXXXXXXXXXXX XXX XXXXXXXXXX X XXXXXXX XXXX XXXX XXX XXXXXXX)</li> <li>• XXXXXXX XXX XXXXXXX XXXXXXX XXXX XXXXXXX XXXX XXX XXXXXXXXX XXXXXXXX (X.X.XXXXXXXXXXXXXXXXX XXXX XXXX XXXXX XXXXXXX XXXX XX XXXXXXXXXXXXXX XXXXXXX XX XXX XXXX)</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>• Companies House registration</li> <li>• receipts for equipment or tools purchased</li> <li>• bank statements (business accounts)</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXX XXXX XXXXXXXXXXXX XXXXX, XX-XXX XXXX</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXX XXXX XXXX XX XXXX XXX XXX XXXX XXX XX-XXX XXXX (X.X XXX XXXX XXXX XXXX XXXX XX XXXX XX XXX XXXX XXX XXXXXX XX XX)</li> <li>• XXXXXXXXXXX XX XXXXXXX XXXXXXX XX XXX XXXXXXXXXXX XXX XXXXXXXXXXX XXXXXXX (X.X XXXX XXX XXXXXXX XX XXXX XXXX XXXX XX XXXX X XXXXXXXXXXX XX XXXX XXXX XXX XXXX)</li> </ul>
Industrial Cleaner	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> <li>• Companies House registration</li> <li>• receipts for equipment or tools purchased</li> <li>• bank statements (business accounts)</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXX XXX XXXXXXX XXX XXXX XX XXXX XXX XXX XXXXXX/XXXXXXXX XXXX XXX XXX XXXX (X.X XXXXX X XXXXX XXXXXXX XX XXXXXXX XX XXXXXXX, XXXXXXXXXXXXXX XXXX XXXXXXX XXXXXXX XXXX XXXXXXX XXXX XXX XXXX XXXXXXX XXX XXX XXXXXXX XXXXX XX XXXX XX XXXXX)</li> <li>• XXXXXXX XXX XXXXXX XXXXXX XXXX XXXXXXX XXXX XXX XXXXXXX XXXXXXX (X.X. XXXXXXXXXXXXXX XXXX XXXX XXXX XXXXXXX XXXXX XXXXXXXXXXX XXXX XX XXX XXXXXXX)</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXXX XXXX XXXXXXXXXXX XXXXX XXXX XXX XXX XXXXXX XXXXXXX/XXXXXXXX (X.X XXX XXXX XXXX XXXX XXXX XX XXXX XXX XX XXXX)</li> <li>• XXXXXXXXXXX XX XXXXXXX XXXXXXX XX XXX XXXXXXXXXXX XXX XXXXXXXXXXXXXX XXXXXXX (X.X. XXXXXXXXXXXXXX XXXX X XX XXXX XXXXXXX XXXX XXX XXX, XXXX XXX XX XXXX XXXXX)</li> </ul>
Painter & Decorator	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> <li>○ equipment/material costs</li> </ul> </li> <li>• public liability insurance</li> <li>• correspondence detailing the nature of the work</li> <li>• Companies House registration</li> </ul>	<ul style="list-style-type: none"> <li>• XXXXXXXXXXX XXXX XXXXXXX XXXXX XXX XXXXXXXXXXX, XXXX XX XXXX XXXXX XXXXXXX XXX XXXXXXXXXXX (X.X XXXX XXXX XXXXXXX X XXXXX XXX X XXX, XXXXXXX XXXXXXX)</li> <li>• XXXXXXXXXXX XXXX XXXX XXX XXXXXXXXXXXXXX XXX XXXXXXX XXX XXXX XX XXXX XXX XXX XXXXXX/XXXXXXXX XXXX XXX XXX XXXX.</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXXX XXXX XXXXXXXXXXX XXXXX XXXX, XX-XXX XXXX</li> <li>• XXXXXXXXXXX XXXX XXXX XXXXXX XXXX XXXX XXXX XX XXXX</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>• receipts for equipment or tools purchased</li> <li>• bank statements (business accounts)</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<p>xxx xxx xxxx xx-xxx xxxx</p> <ul style="list-style-type: none"> <li>• xxxxxxxxxxx xx xxxxxxx xxxxxxx xx xxx xxxxxxxxxxx xxx xxxxxxxxxxxx xxxxxxx (x.x. xx xx xxxxxx xxxxx xx xxx xxxxxxxxxxx xx xxx xxxx xxx xxxxxxx xxxx xxxxxxxx xxxxxxx)</li> </ul>
Scrap Metal Dealer	<ul style="list-style-type: none"> <li>• Local authority licence (England &amp; Wales only)</li> <li>• entry on the Local Authority register (England &amp; Wales only): <ul style="list-style-type: none"> <li>○ full name</li> <li>○ address of the individual</li> <li>○ addresses used for the scrap metal business</li> </ul> </li> <li>• details of premises where the scrap is stored (dealer/trader/merchant)</li> <li>• bank statements (business accounts)</li> <li>• individual's 'book' – containing details of metals acquired/purchases and then sold on along with financial details and relevant dates on transactions.</li> <li>• proof of registration of carriers of waste under Environmental Protection Act 1990</li> <li>• environmental permit or exemption held</li> <li>• Companies House registration</li> <li>• Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<ul style="list-style-type: none"> <li>• xxxxxxxxxxx xxxx xxx xxxxxxxxxxx xx xxxxxxx xxxx xxx xxxxxxxxxxxx xxxxx xxxxxxx</li> <li>• xxxxxxxxxxx xxxx xxx xxxxxx xxxxx xxxxx xxxxxxxxxxx xxxxx xxxx xxx xxx xxxxxxx xxxxxxxxxxx/xxxxxxxx</li> <li>• xxxxxxxxxxxxxxx xx xxx xxxx xx xxxxx xxxxx xxxxxxx xx xxxxxxxxxxx <ul style="list-style-type: none"> <li>○ xxxxxxxxxxx – xxxxxxxxxxx xxx xx xxx (xxx xxxxxxxxxx), xxx xxx xx.</li> <li>○ xxxxxx/xxxxxx/xxxxxxxx –xxx xxx xxx xxxxxxx xxx xxxxx xxxxx xxxxxxx xxxxxxx xxx/xx xxxxxxxx xxx xxxxx xxxxxxxxxxx</li> <li>○ xxxxxx - xxxxxx xxx xxxxxxx (xxxxxxxx xxxxx xxxxxxxxxx) xxx xxxxx xxx xxxxxxx xxxxxxx xx xxxxx xxx xxxxx.</li> </ul> </li> <li>• xxxxxxxxxxx xxxx xxx xxxxxxxxxxx xxxxxxxxxxx xxxxx xxxxxxxx xxx xxx xxx xxx xxxxxxx xxxxxxx xx.</li> </ul>
Waitress/waiter/bar staff	<ul style="list-style-type: none"> <li>• quotations submitted for jobs</li> <li>• job invoices and subsequent remittance statements: <ul style="list-style-type: none"> <li>○ labour costs</li> </ul> </li> <li>• public liability insurance</li> </ul>	<ul style="list-style-type: none"> <li>• xxxxxxxxxxx xxxx xxx xxx xxxxxxxxxxxxxx xxx xxxxxxx xxx xxx xx xxx xxx xxx xxxxx/xxxxxx xxxxx xxx xxx xxx (x.x xxxxx xxx xx xxxxxxxxxxxxxx xxx xxxxxxxx xxxxxxxxxxx xx xxxxx xxx xxx xxx xx xxxx xxxxx)</li> <li>• xxxxxxx xxx xxxxxx xxxxxx xxxx xxxxxx xxxx xxx</li> </ul>

Scenario	Evidence	Corroboration
	<ul style="list-style-type: none"> <li>correspondence detailing the nature of the work</li> <li>Self-Employment Yellow Accession Registration Certificate (Croatian Nationals)</li> </ul>	<p>XXXXXXXX (X.X. XXXXXXXXXXXXXXX XXXX XXXX XXXXX  XXXXXXXX XXXX XX XXX XXXXXXXXXXX XXXXXXXXXX XXX  XXXXXXXXXXXX XXXX)</p> <ul style="list-style-type: none"> <li>XXXXXXXXXXXX XXXX XXXX XXXXXXX XXXXX XXXX XXXXXXXXXXXXXXX  XXXXXXXX XXXX, XX-XXX XXXX</li> <li>XXXXXXXXXXXX XXXX XXXX XXXXXXX XXXX XXXX XXXX XX XXXX  XXX XXX XXXX XXX XX-XXX XXXX (X.X XXX XXXX XXXX  XXXXXXXXXXXXXXXX XXXXXX XX XXXX XXX XXXX XXXXX XXXX  XXXX XX XX XXXXX)</li> <li>XXXXXXXXXXXX XX XXXXXXX XXXXXXX XX XXX XXXXXXXXXXXXXXX XXX  XXXXXXXXXXXXXXXX XXXXXXX (X.X XXXX XXX XXX XXXX XX  XXXXXXXX XXXXXXX XX XXX XXX XX XXX XXXX XXX XXXX XXX  XXXXXXXX XX XXXX XXXX XXXX XXXX XXXXX X XXXXXXXXXXXXXXX  XX XXXX XXXX XXX XXXX)</li> </ul>

## Appendix 7 – Deleted)

## Appendix 8 – SMS Text Templates

Template	Why do we want to send SMS and will it replace current applicant contact	Title of Template within Rapide	SMS wording
1A	<p>National Insurance Number appointment Reminder for benefit inspired NINo interviews.</p> <p><b>Applicant Group</b> Benefit inspired NINo applicants</p> <p><b>NC Action</b> NC staff to schedule automated reminders at the point of booking NINo interview. Reminders will be issued by SMS System automatically 3 days prior to interview date.</p>	GNC Benefit	We recently wrote to you giving details of your National Insurance Number appointment. Please remember that this appointment is on<Date>. If you have any problems call xxxxxxxxxxxx. Please ignore this message if you have already rearranged your appointment.
1B	<p>National Insurance Number appointment Reminder for benefit inspired NINo interviews.</p> <p><b>Applicant Group</b> Benefit inspired NINo applicants</p> <p><b>NC Action</b> NC staff to schedule automated reminders at the point of booking NINo interview. Reminders will be issued by SMS System automatically 3 days prior to interview date.</p>	IOWNC Benefit	We recently wrote to you giving details of your National Insurance Number appointment. Please remember that this appointment is on<Date>. If you have any problems call xxxxxxxxxxxx. Please ignore this message if you have already rearranged your appointment.
2A	<p>UK Visa Postal NINo applications. Reminder for return of postal application form.</p> <p><b>Applicant Group</b> Non EEA NINo applicants with UK entry visas obtained in their home country.</p> <p><b>NC Action</b> NC staff to schedule automated reminders for the return UK Visa postal application form at the point of form issue. Reminder will be issued by</p>	GNC UK Visa	Please remember to complete and return your National Insurance Number application form by <Date>. If you have any problems call xxxxxxxxxxxx. Please ignore this message if you have already returned your form.



	SMS System automatically 10 days after the form is issued.		
2B	<p>UK Visa Postal NINo applications. Reminder for return of postal application form.</p> <p><b>Applicant Group</b> Non EEA NINo applicants with UK entry visas obtained in their home country.</p> <p><b>NC Action</b> NC staff to schedule automated reminders for the return UK Visa postal application form at the point of form issue. Reminder will be issued by SMS System automatically 10 days after the form is issued.</p>	IOWNC UK Visa	Please remember to complete and return your National Insurance Number application form by <b>&lt;Date&gt;</b> . If you have any problems call xxxxxxxxxx. Please ignore this message if you have already returned your form.

## Appendix 9 – Valuables Exempt from Scanning

The following items will be exempted from scanning by the Mail Opening Unit (MOU) and will be securely couriered to the NINo Centre.

- Birth Certificates
- Marriage Certificates
- Passports
- Death Certificates
- Bank/Building Society Books
- Post Office Card Account (POCA) Cards
- Premium Bonds
- Share Certificates
- Gender Recognition Certificates
- Immigration Papers/Forms
- Driving Licenses
- Power of Attorney
- **Certified copies of above (if certified by Solicitor)**
- Tenders
- Company/Business Accounts
- Wills
- Deeds
- Trust Deeds
- Adoption Papers
- Divorce Papers
- Form P60
- Form P45
- Form RD45

- Utility Bills
- National Insurance Cards
- Rent Books
- Insurance Documents
- Other Computer Output Forms (i.e. RD23/RD25)
- Certified copies of above (if certified by Solicitor)
- Bank Statements
- Pension Statements
- Rent Documents (inc Service Charge & Ground Rent Documents)
- Wage Slips