

# European Union/European Economic Area Right to Work Applications

## Background

1. These instructions apply to applications from European Union/European Economic Area (EU/EEA) nationals, completed at Evidence of Identity (EOI) interviewing sites only. The interviewing sites below will establish and confirm the applicant's Identity and right to work (RTW) at the EOI interview. When this is confirmed, the decision makers at the NINo Centre (NC) will not be required to complete corroborative checks.
2. Each of the EOI sites in the first list below has been assigned a unique three digit number which is a prefix to the LMS reference number. This forms part of the reference number the applicant would use if they phone the NC, see EOI Site Numeric ID List
  - Bedford
  - Birmingham
  - Brighton
  - Bristol
  - Cambridge
  - Camden
  - Chelmsford
  - Cityside
  - Coventry
  - Edinburgh
  - Glasgow
  - Hatfield
  - Kings Lynn
  - Leeds
  - Liverpool
  - Maidstone
  - Newcastle
  - Nottingham
  - Oxford
  - Rusholme
  - Sheffield
  - Slough
  - Southampton
  - Tooting
3. These instructions will also apply to EU/EEA applications received from sites listed below, however the NC decision maker will complete corroborative checks to confirm RTW before considering allocating a National Insurance Number (NINo).
  - Canterbury
  - Cheltenham
  - Hanley
  - Hull
  - Neath

- Norwich
  - Plymouth
  - Preston
  - Swindon
  - Taunton
  - Truro
  - Welshpool
  - Woking
  - Worcester
  - York
4. These instructions apply to straightforward European Union/European Economic Area (EU/EEA) Right to Work (RTW) applications. They do not include the following types of application:
- Benefit Inspired
  - Non EU EEA
  - Self-employment
  - Student Loan

For these applications you must refer to the instructions.

5. If at any point before, during or following an EOI interview there are any concerns with regard to the application itself or the circumstances under which the application was made, note the concerns on a Doubt Notification form and attached to the application. For further instructions see Doubt Notifications.

### Interviewing site instructions

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

Step	Action
1	Ask the applicant for their full name and date of birth.
2	Open LMS, click on Client from dropdown list at location select National, then SelAll and enter the first three letters of the applicant's surname followed by % (such as SMI%) and enter their date of birth.
3	Click Search
4	Identify the applicant from the client list and access the record. If a duplicate record is identified see LMS duplicate records.

5	Check Conversations for any notes that are relevant to the NINo application.
6	Access NINo Hotspot via NINo/Ref no
7	Check the Registration tab to ensure the interview has been booked as a Right to Work interview. If booked as a Benefit, follow instructions for Benefit Inspired applications
8	Ask the applicant whether this is their first application for a NINo. If No, establish what happened during/after their other application and check LMS for further information in Conversations or NINo hotspot.
9	Ask the applicant if they have dual nationality. For additional steps to follow refer to Dual Nationality instructions.
10	Ask the applicant if they are self-employed? If Yes follow Self-Employment instructions

### Conducting a CIS trace

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

### Check and copy documents

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

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

Step	Action
1	Advise them that you will copy their ID before the interview begins. <b>Note:</b> EU nationals only need to provide a primary document which proves their Identity and Right to Work. However, they may have other evidence that will be enable identity to be established during the EOI interview, for example, proof of their address or a letter from their employer. If this is provided during the EOI interview it can be noted on the back page such as 'Utility bill seen as proof of address but not copied'. Refer to Documentary Evidence for further details.
2	Examine relevant documents using XXX XXXXXXXX XXX XXXXX XXXXX XXXXX XX XXXXXXXXXXXX XXXXX, XX X XX XXXXXXXXXXX XXXXX see Examining relevant documents. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

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

### Completing the CA5400

15. See Completing the CA5400 instructions.

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

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

### LMS action

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

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

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

**Consequences:**

If you do not accurately record all information on LMS and ensure the necessary actions are taken at all stages this may mean:

- the potential for incorrect or duplicate LMS records
- a delay in arranging the interview appointment and the issue of any subsequent decision letters
- avoidable rework to correct and update the records
- inaccurate Actual Average Clearance Time (AACT) information if the case is not closed correctly

## Completing the interview

19. If you are in an EOI site where you must establish identity and right to work (RTW), consider whether you are satisfied that this has been achieved. Refer to the lists in the background section at the start of these instructions to ensure which processing sites require stamps to confirm ID and RTW. Identity and RTW cannot be confirmed by officers at the listed EOI sites for the following applications:

- Dual, Croatian or UK nationality
- Original Identity documents not provided or expired
- Upgrade or Possible NINo traced during interview
- NI-ACT referral or possible confused identity
- Doubt notification
- Documents retained for further checks

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

20. Ask the applicant if they have any questions. Thank the applicant and ask them to take a seat in the waiting area whilst the application is checked.

21. Complete the appropriate CA5400 Covering Page with the applicant's name, date of interview, LMS reference number (including prefix EOI office site numeric code where necessary) and CA5400 form reference number. In the 'What happens next' box, insert the earliest date the applicant can contact the NINo Centre, as per local agreement.

22. Give the cover sheet to the applicant and explain what it is and what will happen next.

23. Put the CA5400, supporting documents and photocopies in the tray for countersigning action.

## Countersigner

24. Follow Countersigner instructions.

## Despatching officer

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

Step	Action
1	Using the application form serial number put all the forms into numerical order
2	All form serial numbers to be listed on EF413
3	Physical check completed by another officer to confirm that all reference numbers listed on EF413 match those to be dispatched
4	EF413 printed and signed by both officers
5	TNT book completed in duplicate
6	TNT pouch labelled
7	Forms placed in TNT pouch ready for collection by TNT to be sent to MOU

## MOU and Xerox

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

## NINo decision maker

### NINo processing team leader

26. Team leaders distribute work to teams through CAMLite.

### UK passport checks

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

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

### Access CAMLite and go to cases view, open CA5400 and view application details, then access LMS

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

	on Save.
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28. Check that identity and right to work (RTW) have been established at interviewing site, see Official Use section of the CA5400. If this has not been confirmed, open supporting evidence, check that identity documents and supporting evidence matches details recorded on NINo application. Check to confirm the identity and RTW of the applicant.
29. For further information regarding initial checks and what to do if information is missing please refer to Rework.
30. Conduct CIS trace. If a NINo or possible NINo is found see Tracing action. Refer to CIS Trace and Allocation guide for further details on tracing action.

### To allocate or refuse a NINo

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

Step	Action
1	In CIS, select SA Create New CIS Account
2	Click on Title dropdown, select applicants title from dropdown
3	Enter Forenames of applicant in Forenames box
4	Enter surnames of applicant in Surname box
5	Click on Sex dropdown, select either M or F
6	Enter date of birth in Date of Birth box, format as DD/MM/YYYY
7	Click on Date of Birth Verification dropdown select correct Verification level from dropdown i.e. 'Verified to level 2'
8	Click on NINo Verification dropdown, select 'Verified' from dropdown
9	Click 'Next'
10	If applicant does not have historic name click Next and go to step 17. If applicant has historic name, click on Add Historic Names
11	In 1. Hist Name, enter historic name title from Title dropdown
12	Enter historic Forenames in Forenames box
13	Enter historic surname in Surname box
14	<b>Do not overwrite the system default name start and end dates</b> If applicant has another historic name, click on Add Historic Names button and repeat the process
15	Click Next
16	Name Type 2 is name being used concurrently, Historic name is name previously known by. Unadopted married names are used for tracing purposes only and must not be recorded in CIS or eNIRS.
17	On the Residential Address dropdown, click Add Address.
18	Enter postcode in Postcode box
19	Enter address building number in Building Name/Number box
20	Click Search
21	From Address Details- Search Results click on the hyperlink that



	corresponds to applicants address (if no/incorrect results found click on Address not listed to input address manually then go to step 23)
22	Enter any more details needed in Address Line 1 box, or leave blank if address is complete
23	Enter Address Start Date from CA5400 application form. If no date provided, use today's date.
24	<p>Click Next. If a previous address has been provided, repeat steps 17-23 selecting Former Residential Address from the dropdown menu.</p> <p>You need to complete the following fields:</p> <p>Address Notified Start Date – enter today's date</p> <p>Address End Date – enter the date stated on the CA5400</p> <p>Address Notified End date – enter today's date</p> <p><b>Note:</b> Only one former residential address can be recorded in CIS. There must not be a break between the end date of the former residence and the start date of the current residence.</p> <p>For example:</p> <p>Current address from 02/01/2016</p> <p>Former address from 27/09/2015 to 02/01/2016</p> <p>If there is a break, the former address will not be recorded in CIS.</p>
25	Click Next. If a correspondence address has been provided, repeat steps 17 – 23 selecting Correspondence Address from the dropdown menu.
26	To add phone contact details click on Add New Contact Detail
27	Click inbox for Preferred Method of Contact to add tick
28	Click on Select Contact Type dropdown tab
29	From dropdown tab select relevant phone type
30	Enter phone number in Contact Details tab
	If applicant has additional contact details then repeat steps 25-29 , if no extra contact details go to next step
31	Click Next
32	On Personal Details screen click on Marital/Civil Status dropdown
33	From dropdown tab select relevant marital/civil status of applicant
34	Click on Nationality dropdown
35	From dropdown select applicants nationality
36	Click on Create Account
37	Click OK on pop up if you want to create account, or click Cancel if you no longer want to create an account
38	Created NINo will then show. If needed to access applicants account click on NINo in the Account Successfully Created for box

**Consequences:**

If you do not accurately record all information after completing the appropriate

checks and tracing action this may mean:

- delays in tracing the applicant if all documentation does not match and contain the same information
- avoidable customer contact and rework required to correct the records
- poor customer service which may lead to complaints
- the NINo could be issued in error or duplicate
- the potential for fraud if the NINo is incorrect

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

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

### Register NINo on eNIRS

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

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

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

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

<b>Consequences:</b>
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If you do not follow the correct e-NIRS and NPR Registration Process to accurately record all details and register the NINo this may mean:

- contributions may be posted incorrectly or to the wrong account which may potentially impact on salaries and pensions
- HMRC has to undertake avoidable rework to correct the records which causes reputational damage to the Department
- poor customer service which may lead to complaints

### Update DRS and CAMLite

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

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