Essential Actions

Is the customer calling the Contact Centre?

Yes

Take Contact Centre action

No

Has form DCI1(B) or (TC) been received?

Yes

Take Benefit Inspired action

No

Has form DCI1(LA) been received?

Yes

Take Local Authority action

Does a National Insurance number appointment need to be booked for the customer?

Yes

Take action to book an appointment

Has an interview been booked for the customer?

Yes

Take Hub/Satellite interviewing process action

No

Is a call received at the Hub/Satellite?

Yes

Take Hub/Satellite admin process action

Is a new/duplicate National Insurance Number application received at the Central Control Unit?

Yes

Take Central Control Unit action

Has an error been identified in the National Insurance Number process?

Yes

Take error handling action

Contact Centre

Customer calls the Contact Centre

Is use of Language Line required? → Yes → Contact Language Line

No

Establish reason for call

Is call to rearrange an existing NINO interview? → Yes → Take appropriate action to rearrange interview

Is call a general enquiry or to cancel or withdraw interview? → Yes → Take appropriate action

No

Is call for Fastpath, to confirm National Insurance Number or a wrong number? → Yes → Give customer correct number and end call

No

Is a National Insurance Number upgrade required for a benefit inspired case?

Yes

Advise customer to contact the appropriate benefit section and end call

No

Is a National Insurance Number upgrade required for an employment inspired case?

Yes

Check for existing client record on Labour Market System

No

Is the enquiry benefit inspired?

Yes

Tell the customer to contact their local office and end call

No

Is the enquiry employment inspired?

Yes

Take appropriate action and complete form DCI 1(E) Part A

No

Is there an existing record on Labour Market System?

Yes

Verify and amend client record if required

No

Create a new record on Labour Market System and book appointment

Benefit inspired

Benefit inspired application – no National Insurance Number traced

Has the relevant form been correctly completed and initial Departmental Central Index trace action taken?

No → Take appropriate action

Yes

Is existing client record held on Labour Market System?

No → Create new client record on Labour Market System, contact customer and book appointment

Yes

Consider verifying and amending existing client record

Has an Evidence of Identity/Right to Work interview been booked/conducted recently?

No → Take action to contact customer and book appointment

Yes

Check Labour Market System and take the necessary action

Local Authority - Housing Benefit/Council Tax Benefit

Housing Benefit/Council Tax Benefit application - no National Insurance Number traced

Completed DCI 1(LA) received at Central Control Unit

Has the form been correctly completed and initial action taken?

No → Take appropriate action

Yes

Conduct a Departmental Central Index trace from customer details

Is existing client record held on Labour Market System?

No → Create new client record, contact customer and book appointment

Yes

Verify and amend client record as necessary

Does Labour Market System show interview booked or recently conducted?

No → Create new client record, contact customer and book appointment

Yes → Take relevant action

Appointment booking process

Select appointment type

Does customer have any specific needs?

Yes

Take relevant action if specific needs identified

No

Determine interview length based on customer's documentation

Search for appointment by Postcode

Does search result identify suitable appointment?

Yes

Book appointment and take action if appointment is more than 26 days ahead

No

Can reason for unsuitable appointment be established and new postcode search made?

Yes

Book appointment

No

HUB/Satellite Admin Team to consider arranging mobile interview

Agree interview pre requisites with customer and liase with Hub/Satellite team if required

Follow call wrap and printed output process

HUB/Satellite admin process

Establish reason for call

Is call a general enquiry only?

Yes → Deal with call and note Labour Market System as required

No

Is caller a Financial Advisor, Personal Advisor or Benefit Processing Officer contact?

Yes → Check Labour Market System and take appropriate action

No

Does caller wish to rearrange appointment?

Yes → Access Labour Market System and rearrange appointment

No

Does caller wish to cancel appointment or withdraw application?

Yes → Check Labour Market System, take appropriate action and refer to Central Control Unit

No

Does caller need to access Mobile Provision?

Yes → Take appropriate action, note LMS, book appointment

No

Redirect the customer

Supporting information

The National Insurance Number system

1. A National Insurance Number (NINO) is a unique reference number used during a person's life to:

- record National Insurance paid and credits awarded; and
- administer National Insurance benefits.

It consists of a two-letter prefix, six numbers between nought and nine and a one-letter suffix, for example **AB123456C.**

2. A customer must apply for a NINO when they start work or claim benefit. The customer has a legal obligation to do this.

3. Policy changes were implemented from 31 July 2006 introducing a pre condition to a National Insurance Number application of the "right to work" for employment inspired applications.

Juvenile Registration

4. When a claim to Child Benefit (CHB) is made, information is sent automatically from the CHB computer system to Departmental Central Index (DCI) to:

- Allocate a Child Reference number (CRN); and
- Set up a DCI record.

5. Most young people, for whom CHB is payable, are issued with a National Insurance number (NINO) card (RD3) at age 15 years 9 months. This is called juvenile registration

Exclusions from juvenile registration

6. Young people who have missed the juvenile registration process and who have not been issued with an RD3 must be advised to contact the HM Revenue and Customs.

7. NI Registrations will send form CA3499 to the customer for completion and return. NI Registrations will:

- check the CHB computer system for a match to a DCI record;
- create a National Insurance Recording System 2 (NIRS2) record if there is a match; and
- issue an RD3 to the customer.

8. If there is no match, normal adult registration procedures must be followed.

Note: Information is removed from the CHB computer system on the child's 20th birthday. If the enquiry is made when the child is 20 years of age or over, the application should be processed as an adult application.

Children of Her Majesty's forces Personnel serving abroad

9. Children of Her Majesty's (HM) forces Personnel serving abroad, where CHB is in payment through their HM Forces paymaster, may also miss the automatic juvenile registration process.
10. If a child or parent contacts a Department for Work and Pensions office to enquire about a NINO, direct them to the HM Revenue and Customs for further advice.

Students

11. Where a student applying for a National Insurance Number fulfils the following "right to work" criteria Jobcentre Plus is satisfied that they have a "right to work". Their application is then processed in line with remaining evidence of identity requirements.

Work permits for non European Economic Area students - courses of more than six months duration

11. Students who are non European Economic Area (EEA) nationals who:
- study in the United Kingdom (UK);
- have a passport stamp stating they cannot work without the consent of the Secretary of State; and
- attend courses of more than six months duration

are no longer required to obtain permission to:
- take spare time or vacation work;
- undertake placements which are part of their study, that is sandwich courses; or
- undertake internship placements with an employer while studying in the UK.

12. This applies to all non EEA students who are attending courses of more than six months duration whether they are currently working or due to start work. It means that they do not have to apply to the:
- Department for Work and Pensions (DWP);
- Overseas Labour Service; or
- Work Permits Section of the Training and Employment Agency

to undertake work or placements.

Work permits for non European Economic Area students - courses of less than six months duration

13. Students who are non European Economic Area (EEA) nationals who:
- study in the United Kingdom (UK);
- have a passport stamp stating they cannot work without the consent of the Secretary of State; and
- attend courses of less than six months duration

are required to obtain permission to:

- take spare time or vacation work;
- undertake placements which are part of their study, that is sandwich courses; or
- undertake internship placements with an employer while studying in the UK.

Work restrictions

14. The following conditions apply to the hours and type of work students may undertake. They should not:

- work more than 20 hours per week during term time except where a work placement is a necessary part of their studies as agreed by the education institution;
- engage in:
  - business;
  - self-employment; or
  - the provision of services as a professional entertainer or sports person; or
- pursue a career by filling a permanent full time vacancy.

15. Responsibility for ensuring that these restrictions are adhered to rests with the employer and the Home Office. DQ: What action do we take if these restrictions are exceeded?

Work permits for European Economic Area students

16. Students from within the EEA do not require a work permit due to EEA legislation allowing free movement of labour.

European Economic Area countries

17. The following countries make up the EEA:

- Austria;
- Belgium;
- Cyprus;
- Czech Republic;
- Denmark;
- Estonia;
- Finland;
- France;
- Germany;
- Greece;
- Hungary;
- Iceland;
- Ireland;
- Italy;
- Latvia;
- Liechtenstein;
- Lithuania;

- Luxembourg;
- Malta;
- Netherlands;
- Norway;
- Poland;
- Portugal;
- Slovakia;
- Slovenia;
- Spain;
- Sweden; and
- United Kingdom.

British University North America Club students

18. British University North America Club (BUNAC) organises a Government sponsored exchange programme each year. This allows up to 4000 American students aged 18 and over to widen their experiences by:
    - coming to the UK; and
    - working for up to six months with the permission of the DWP.
19. Applications for work permits are processed by BUNAC and students are issued with a blue registration card and OSS1 (BUNAC).
20. Where students are not registered with BUNAC, they should be treated as non-EEA students for the purpose of National Insurance registration.
21. There is no restriction on the number of hours a BUNAC student can work for an employer, but self-employment is not allowed.
22. To check if a customer is registered with BUNAC and for more information, contact BUNAC.

Student loans

23. Any student who approaches DWP requesting confirmation of their NINO in connection with the Student Loan Company (SLC) verification, should be advised to refer to the letter they will have received from the SLC. The letter provides further information for those students who are required to confirm their NINO and personal details.

Note: A student cannot apply for a NINO solely for student loan purposes.

Registration of children in/leaving Local Authority care

24. **This procedure must be followed in all cases**.
25. Children in Local Authority (LA) care who are approaching age 15 years and 9 months can be registered for a NINO. This procedure was introduced in order to prevent children in care, for whom Child Benefit (CHB) cannot be claimed, being treated differently from children who would be registered automatically under the Juvenile Registration system.
26. Under this procedure the Social Worker must:
    - write to or fax NI Registrations, Children in Care Section on LA headed paper authenticated with an LA stamp to obtain form CA3530U

- complete form CA3530U
- return form CA3530U together with a photocopy of the:
  - birth certificate,
  - care order,
  - passport, or
  - Home Office (HO) letter

  To HM Revenue and Customs NI Registrations Children in Care Section who are responsible for allocating the NINO.

27. However, because this process is not always successful, the Department for Work and Pensions (DWP) has given a commitment that staff will be proactive in making contact with the Social Worker on behalf of the child and explain procedures that need to be followed.
28. If a child is not registered by this process, DWP must undertake normal adult NINO application procedures.
29. If the customer has recently left care;
    - obtain the name of the child's Social Worker, and
    - encourage the Social Worker to follow the procedures in para 70

    this advice should also be given if a Social Worker accompanies a customer to a DWP office.
30. If an **Evidence of Identity/Right to Work (EOI/RTW) Interview** is required, it must be conducted in a sensitive manner. It is likely the customer has;
    - come from an environment where someone else will have dealt with their day to day affairs
    - little documentary evidence available to support their identity
31. If the customer has recently left care, their identity should be established by corroborating the information provided at the interview with the Social Worker.

New National Insurance Number application

32. If the customer wishes to make a new NINO application, take the appropriate action for benefit inspired applications or employment inspired applications as appropriate.

National Insurance Number - Verification levels

33. It is the responsibility of the Authorising Officer to decide the verification level of a National Insurance Number (NINO). The verification level is an indicator of the amount and quality of evidence produced when an application for a NINO is made.

National Insurance Number upgrade

34. Usually the customer will have been referred by the HM Revenue and Customs Contact Centre confirming an existing NINO that now requires an upgrade

Amending a verification level

35. Any amendment to a NINO verification level must be documented on form DCI3. Form DCI3 is completed by a Specialist Trace Officer.

Customer Contact

36. If a customer contacts the Department for Work and Pensions or the Local Authority (LA) and asks for a National Insurance Number (NINO), the designated officer at the benefit processing site, Hub/Satellite Admin site or LA site must complete the appropriate:

- Part A of form DCI1(E) for employment inspired applications;
- Part A of form DCI1(B) for benefit inspired applications;
- Part A of form DCI1(LA) for Housing Benefit/Council Tax Benefit applications; or
- Part A of form DCI1(TC) for Child Tax Credit/Working Tax Credit applications.

37. NINO registration is not appropriate if it is solely for:

- Personal Equity Plans;
- Individual Savings Accounts;
- Tax On Bank and Building Society Interest;
- Stakeholder Pensions; and
- Student Loans.

Voluntary Class 3 contributions

38. If a customer wants to pay voluntary Class 3 contributions, direct them to the HM Revenue and Customs (HMRC) to check if it would be beneficial for them to pay voluntary contributions. The written response from HMRC should be brought to any subsequent interview.

Evidence of Identity/Right to Work Interview

In most adult applications for a National Insurance Number, the customer will be required to attend an Evidence of Identity/Right to Work (EOI/RTW) interview.

39. At the interview, the customer will be expected to prove their "right to work" (for employment inspired applications) by providing appropriate "right to work" documentary evidence. They will also need to prove their identity (benefit and employment inspired applications) through a process of answering probing questions to allow a picture of their background and circumstances to be built up. This can be supported by production of appropriate documentary evidence of identity, as long as it is relevant to the customer and is genuine.

Fastpath applications

General

40. Certain National Insurance Number (NINO) applications have different processing arrangements. Fastpath applications are processed without the need for Evidence **of Identity/ Right to Work (EOI/ RTW)** interviews. **When the application is employment inspired, verification of an applicants "right to work" is still a requirement where the applicant will actually be working in the UK.**

41. The Fastpath categories are:
- Asylum Seekers;
- National Health Service professional staff; and
- employees who hold a Tier 1 or 2 Business and Commercial Work Permit, for example, Company Chief Executives.

42. If the caller requires a NINO and meets the criteria for a Fastpath application, they should be advised to tell their employer to ring Glasgow Central Control Unit.

43. Form CA5407 is completed for these types of applications for a NINO.

Asylum seekers

44. When an asylum application is made, the application is screened by the Home Office (HO). The asylum seeker's personal details are recorded and their fingerprints and a photograph are taken.

45. The details are recorded on an Application Registration Card (ARC) and issued to the customer. The ARC will eventually replace the current Standard Acknowledgement Letter now used for this purpose.

46. The asylum seeker will then be required to attend a full asylum interview with the HO who will complete application form AS NINO 1 requesting a NINO. A copy of form AS NINO 1 is given to the asylum seeker at the interview.

47. Completed NINO applications are forwarded to Glasgow Central Control Unit (CCU) if the asylum seeker is granted:
- Indefinite Leave to Remain; or
- Humanitarian Protection; or
- Discretionary Leave to Remain.

Asylum seeker's dependants

48. The asylum seeker's spouse/dependants are not included in the application process and should apply for a NINO in the normal way.

National Health Service professionals

49. National Health Service (NHS) Trusts recruit:
- doctors;
- consultants; and
- registered nurses

from abroad to fill vacancies in the NHS.

50. The NHS complete a considerable amount of checks during the recruitment process which include:

- police checks in keeping with the applicant's country's system and requirements in the United Kingdom (UK);
- references from current and previous employers and/or education providers;
- work permit checks;
- checks that doctors are registered with the General Medical Council and nurses with the Nursing and Midwifery Council; and
- occupational health clearance.

51. Due to the amount of checks the NHS undertake, there is no need for NHS professionals to attend an **Evidence of Identity/ Right to Work (EOI/RTW) interview.**

Initial contact from National Health Service

52. NHS Trusts contact Glasgow CCU to:

- obtain general information regarding the NINO allocation process for NHS professionals; and
- request form CA5407.

53. NHS Trusts requesting form CA5407 must confirm:

- their full contact details; and
- the number of application forms they require.

Employees with a work permit in the Business and Commercial category

54. Work permit arrangements allow employers based in the UK to employ people who are not nationals of a European Economic Area (EEA) country and who are not entitled to work in the UK.

55. Customers who hold a work permit in the Business and Commercial Tier 1 and Tier 2 category are eligible to access the fastpath procedures.

56. The types of employment groups included in the Business and Commercial category are:

- intra company transfers;
- board level posts;
- inward investments;
- shortage occupations; and
- highly skilled migrant programme.

Successful applications

57. A list of all successful work permit applications issued to employers the previous week is sent electronically by the Work Permit Unit to Glasgow CCU. This list is sent on a weekly basis.

58. Glasgow CCU then contacts these employers confirming details of the fastpath arrangements.

Language Line

59. If you decide that you need an interpreting service, and there are no staff available with the necessary language skills, you may need to use Language Line. Language Line provides the Departmental telephone interpreting services contract. Keep the customer on the telephone while you contact Language Line. Contact Language Line by telephone and visit their website at http://intralink/corp/people/dwpcl/langline/index.htm

60. If you are unable to get through to Language Line straight away, tell the customer someone will ring them back when Language Line is contacted.

61. When using Language Line:

Step	Action
1	ask the interpreter to introduce themselves;
2	introduce yourself;
3	ask your lead question;
4	break up your questions or information into concise points;
5	ask one question at a time;
6	behave as you would at a normal interview and observe normal courtesies;
7	use direct speech;
8	avoid jargon and technical terms;
9	double check if you think there may have been a misunderstanding.

Contact Centre Telephony

62. Automated telephony software will identify any call routing. The software will automatically:

- divert the call to the appropriate Contact Centre contact for Welsh speaking customers;
- advise the caller of the appropriate number to ring if the:
  - customer wants to confirm their existing National Insurance Number – refer them to the HM Revenue and Customs contact centre
  - customer/Employer requests Fastpath refer them to Glasgow Central Control Unit.

63. Once the transfer is complete, the call should be automatically ended.

64. If the caller does not select any of the automated options, the call will be put through to the First Contact Officer.

Reason for call

Enquiry about a lost or forgotten National Insurance number

65. If a customer requires confirmation of their National Insurance number (NINO), or requests a replacement NINO card, the action taken will depend on how the customer's enquiry is made, that is by:

- telephone;
- written communication;

- face to face; or
- as a result of a referral from the HM Revenue and Customs (HMRC).

66. A customer is limited to one original and one replacement NINO card.

Customer enquiry by telephone

67. If the customer telephones the Department for Work and Pensions (DWP) requesting confirmation of their NINO or a replacement NINO card, refer them to the HM Revenue and Customs Contact Centre.

Written communication

68. If the enquiry requesting confirmation of a NINO or replacement NINO card is received by the DWP in writing, refer the correspondence to the HM Revenue and Customs Additional Business Workstream 1 section.

Customer enquiry face to face

69. If the customer attends a DWP office in person requesting confirmation of their NINO or a replacement NINO card, completion of form CA5403 is required. This can either be completed at the DWP office or the blank form CA5403 can be issued to the customer for completion.
70. if the customer urgently requires confirmation of their NINO, DCI Dialogues DCI003 and DCI004 can be used to trace the NINO and if the customer's identity can be confirmed, confirmation of the NINO can be issued to the customer.
71. If the customer's identity cannot be confirmed, or there is any doubt surrounding the customer's identity, the NINO must not be disclosed. The customer should be asked to provide additional information in order to confirm their identity.

Referrals from the HM Revenue and Customs

72. HM Revenue and Customs Contact Centre will not be able to deal with a customer's enquiry for a replacement NINO card or confirmation of their NINO if the customer:

- cannot satisfy HMRC with regard to the identity;
- has an unsafe address;
- does not have a NINO; or
- has a NINO which is not National Insurance Recording System (NIRS) maintained

HM Revenue and Customs cannot confirm the customer's identity

73. If a customer has provided information to HMRC which does not match the information held on NIRS, the customer will be advised to attend their nearest DWP office with documentary evidence as proof of identity.

74. When a customer arrives with a letter from HMRC and the documentary evidence as proof of identity, try to confirm the customer's details against DCI.
75. If any information differs the customer should be asked to explain these differences and the reasons should be documented on form MF47 statement.
76. If the customer has proved their identity and they require confirmation of the NINO, this can be provided over the counter.
If the customer requires a replacement NINO card they should be asked to complete form CA5403, and this should be sent with form MF47 statement to HM Revenue and Customs Additional Business Workstream 1 section – need to get correct details

Customer has an unsafe address

77. If HMRC decide the customer has an unsafe address, they will issue the customer with form CA5415 and ask them to attend their nearest DWP office.
78. If the customer requires confirmation of their NINO only, take the required action.
79. If the customer requires a replacement NINO card, take the following action:

Step	Action
1	ask the customer to provide an alternative address, which could be a DWP address;
2	record details of the new address of form MF47 statement;
3	if the NINO card is to be sent to the DWP office, note form MF47 with the following statement: • I am happy that my NINO card is sent to the DWP office and is opened for me to collect.

4	if the NINO card is to be sent to the DWP office, note the form MF47 statement with:
	• the address of the DWP office;
	• the customer's:
	  ○ name;
	  ○ NINO; and
	  ○ date of birth.

5	send the form MF47 to HMRC Alternative Business Workstream 1 section;
6	advise the customer that DWP will contact them when the NINO card arrives which could be in six to eight weeks;
7	if the customer does not provide a contact number, advise the customer to call into the DWP office in approximately eight weeks to check if their NINO card has arrived for collection.

Customer does not have a National Insurance number

80. If the customer has requested confirmation of their NINO or a replacement NINO card, they will be issued with form CA5411 and are advised to contact their local DWP office to register for a NINO.

81. Take action to arrange an evidence of **identity/right to work (EOI/RTW) interview.**

The National Insurance number is not NIRS maintained

82. If the NINO traced is not NIRS maintained and the customer is aged 20 or over, they will be issued with form CA5412 and are advised to contact their local DWP office to register for a NINO.
83. Take action to upgrade the NINO.

General

84. If the customer wishes to:
    - rearrange an existing NINO appointment;
    - cancel an existing NINO application; or
    - withdraw an existing NINO application

ask the customer where their Evidence of Identity/Right to Work (EOI/RTW) interview is booked for or took place.

85. If the customer can supply this information, establish which Hub/Satellite Admin Team the customer needs contact. Refer to the desk aide produced by the National Insurance Number Allocation Project and give the customer the correct number to ring..
86. If the customer cannot supply this information, retrieve client record on Labour Market System (LMS).
87. If the call is a general enquiry, take appropriate action.

Benefit inspired applications

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK. Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

88. A request for a National Insurance Number (NINO) is treated as a benefit inspired application if the customer has made a claim to any of the following benefits or Tax Credits;

- Attendance Allowance (AA);
- Bereavement Benefit (BB);
- Child Benefit (CHB);
- Council Tax Benefit (CTB);
- Child Tax Credit (CTC);
- Disability Living Allowance (DLA) [except DLA special rules cases];
- Housing Benefit (HB);
- Incapacity Benefit (IB);
- Income Support (IS);
- Carers Allowance (CA);
- Jobseekers Allowance (JSA);
- Pension Credit (PC);
- Retirement Pension (RP);
- Working Tax Credit (WTC).

Note: this list is not exhaustive.

89. Benefit entitlement, including credits only cases, will be established before referral to the Contact Centre. In Customer Management System (CMS) cases the customer's ***eligibility*** to benefit will have been determined by CMS prior to referral to the Contact Centre.

90. Benefit and Tax Credit related applications on forms DCI1(B) or form DCI1(TC) will be sent to the Contact Centre and Local Authority related applications on form DCI1(LA) will be sent to the Central Control Unit (CCU) for processing.

Basic Departmental Central Index trace

91. When a claim to benefit is received, the benefit processing section conduct a basic Departmental Central Index (DCI) trace to:

- confirm the NINO, or
- trace an existing NINO for the customer.

Note: In Housing Benefit/Council Tax cases a basic DCI trace will not have been conducted

Additional information

92. Where available, copies of the personal details and signature page of the personal benefit claim form must accompany form DCI1(B) or DCI1(LA). This is to help the Interviewing Officer ensure that the person who attends the Evidence of Identity/ Right to Work interview (EOI/RTW) is the person who made the claim to benefit.
Note: Copies of the claim form will not be available in Tax Credit or Customer Management System generated applications

Benefit customers over state pension age

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK. Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

There is no requirement for a benefit customer who is over state pension age to be registered onto NIRS2. State pension age is currently 65 for a man and 60 for a woman.

93. In this type of case, completion of form CA5400 is not required, however the Evidence of Identity/ Right to Work (EOI/RTW) interview is required and form MF47 statement is completed.

Widow/widowers

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

94. If a claim to Bereavement Benefit is received from a customer who does not have a National Insurance Number, normal evidence of identity procedures must be followed and forms relevant to the age of the customer should be completed.

95. Due to the circumstances surrounding this type of claim, any interview should be conducted sympathetically.

Gurkhas who claim Tax Credits or Child Benefit

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK. Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

96. Gurkhas:
- are exempt from paying National Insurance contributions;
- can voluntarily pay United Kingdom (UK) income tax;
- are entitled to receive Child Benefit (CHB) whilst serving with Her Majesty's Forces in the UK;
- satisfy the residency and income entitlement conditions to Tax Credits (TC);
- need a National Insurance Number (NINO) to claim CHB/TC;
- need to satisfy:
  - conditions of entitlement rules for the benefit claimed; and
  - Section 19 evidence of identity requirements

before a NINO can be allocated.

97. There is no need to complete form CA5400 as this type of case will not be registered on National Insurance Recording System 2, however form MF47 statement should be used to record details of the Evidence of Identity/Right to Work (EOI/RTW) interview.

Tax credits

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

98. If a case is referred for National Insurance Number allocation, all entitlement conditions for Child Tax Credit and Working Tax Credit will have been satisfied as far as possible.

99. Action these referrals as benefit inspired applications.

Receipt of form DCI1 (B)/(TC) in Contact Centre

100. When form DCI1(B)/(TC) is received at the Contact Centre by courier, the following action must be taken:

Step	Action
1	forms DCI1(B)/(TC) should be checked for accuracy of completion;
2	incorrectly completed or unsigned forms should be returned to the originating office for amendment;
3	If the form DCI1(B)/(TC) is in order, note the date of receipt of the form in the date received box part of the form header;
4	pass the form to the First Contact Officer for continued action.

Home visit requested

101. If Part A of form DCI1(B)/(TC) indicates that the customer has requested a home visit, fax the form to the appropriate Hub/Satellite Admin Team. Refer to the relevant desk aide to determine the correct Hub/Satellite Admin Team.

Labour Market System activity

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

102. Access the Labour Market System (LMS) to establish whether an existing client record is held for the customer. Verify and amend if required or create a new client record as appropriate.

103. Check LMS to see whether or not an **Evidence of Identity/Right to Work (EOI/RTW) interview has already been booked or recently conducted** for the customer. Liaise with the interviewing site/Hub or CCU as required

104. Contact the customer to book an EOI/RTW interview or create a new client record if required and book an appointment without customer contact.

Employment inspired applications

General

Policy changes were implemented from 31 July 2006 introducing a pre condition to a National Insurance Number application of the "right to work" for employment inspired applications, in addition to the EOI interview.

Applicants who require a National Insurance Number for employment purposes will first and foremost have to prove they have "right to work" in the UK. Once the "right to work" has been established Jobcentre Plus then considers the application against the remaining National Insurance Number criteria.

105. A request for a National Insurance Number (NINO) is treated as an employment inspired application if the customer:

- has started work;
- is due to start work;
- is looking for work;
- is self-employed; or
- wants to and would benefit from paying NI contributions for example Class 3 voluntary contributions.

106. The caller to the Contact Centre will have identified that their NINO application is employment inspired. Access the Labour Market System (LMS) to check for an existing client record. Verify and amend the record if required or create a new client record as appropriate.

Evidence required from a customer looking for work

107. Customers who are actively seeking work should be asked for evidence where they have:

- applied for jobs, for example interview confirmation letters or job refusals;
- obtained information about job vacancies, from, for example:
  - advertisements;
  - job centres;
  - employment agencies; and
  - employers.

108. Customers who register with the Department for Work and Pensions (DWP) should be able to provide; :

- evidence of a claim for Jobseekers Allowance; or
- Jobseekers Allowance and Getting Back to Work booklet ES40.

Employed customer over state pension age

Where an employed customer has a need for a National Insurance Number they are still required to satisfy the “right to work “condition.

109. If a customer over state pension age is working, they are not liable to pay National Insurance contributions. However, there is a secondary liability for the employer if the employee’s earnings reach or exceed the lower earnings limit.

110. In this type of case, registration onto NIRS2 is required to ensure that contributions paid by the employer are recorded.

111. If the customer is over state pension age and self-employed, there is no requirement for them to register for a NINO.

Customer living or likely to be living abroad

People who live outside the UK sometimes need National Insurance Numbers for benefit purposes or in order to register to pay UK National Insurance contributions.

This group may include:

- people who live and work outside the UK but are subject to UK Social Security legislation under the provisions of the EC Treaty, a Reciprocal Agreement or a Double Contribution Convention.

- people who live outside the UK but who come each day to work in the UK

You do not need to decide whether a person is in one of these groups:-

If the customer is not resident in the United Kingdom (UK) at the time they apply for their National Insurance number, the Centre for non Residents (CNR) at Longbenton will provide advice on whether the person can have a National Insurance Number.

CNR Contact Details

Callers in the UK – 0845 915 4811
Callers from Abroad - +44 191 203 7010
Non Resident oil rig workers in UK sector of continental shelf – 0131 222 6827

CNR give advice about UK National Insurance contributions for customers who are living or moving abroad. CNR have three specialist sections depending on the country involved. The sections are:

- European Economic Area countries;
- Reciprocal Agreement countries; and
- Rest of the world countries.

If the customer does not reside in the UK but works for a UK based employer; for example, Club Med, Eurocamp and Eurosites, application for a National Insurance number (NINO) must be processed as an employment inspired application and a UK NINO must be allocated.

If a NINO is required CNR will refer the case to Glasgow CCU for application and allocation action.

Mariners, Fishermen and Share Fishermen

Certain Foreign mariners, fishermen and share fishermen who are resident overseas can be subject to UK Social Security legislation under the provisions of the EC Treaty, a Reciprocal Agreement or a Double Contribution Convention.

If a seafarer who is resident outside the UK applies for a National Insurance number, seek advice from CNR as above.

Application from a customer from the Isle of Man

112. If a customer arrives from the Isle of Man (IOM) with an IOM NINO which has an MA prefix, this is valid for use in the UK.

Note: It is possible that a customer resident in the IOM, originated in the UK and transferred to the IOM, and will therefore have a UK NINO.

113. If a customer contacts the office and:

- does not know their IOM NINO; or
- quotes an IOM NINO which is not held on Departmental Central Index (DCI)

their identity must be established_ Contact the Isle of Man Department of Health and Social Security.

Application by a customer from the Channel Islands

If a customer arrives from the Channel Islands with a Channel Islands NINO that has a JY or GY prefix, this is not valid for use in the UK.

Note: It is possible that a customer resident in the Channel Islands, originated in the UK and transferred to the Channel Islands, and will therefore have a UK NINO.

114. If the customer contacts the office with a UK NINO which is:

- held on DCI; and
- National Insurance Recording System 2 (NIRS2) maintained

advise the customer to use the UK NINO.

115. If the UK NINO is:

- held on DCI; and
- not NIRS2 maintained

the customer's identity must be established.

Application by a customer from a country with a reciprocal agreement

116. If the customer is from a country with which the UK has a reciprocal agreement, contact Centre for Non Residents for advice.

Countries with reciprocal agreements

117. The UK has reciprocal agreements with the following countries:

- Barbados;
- Bermuda;
- Canada*;
- Cyprus;

- Israel;
- Jamaica;
- Japan*;
- Jersey and Guernsey;
- South Korea*;
- Malta;
- Mauritius;
- New Zealand;
- Philippines;
- Switzerland;
- Turkey;
- United States of America; and
- Yugoslavia**

*a Double Contribution Convention exists for Canada, South Korea and Japan. This convention only covers social security contributions liability and does not include benefits.

**applies to the Federal Republic of Yugoslavia (Serbia and Montenegro), Bosnia Herzegovina, Croatia, Slovenia and the former Yugoslav Republic of Macedonia.

European Union nationals who are fishermen

If any European Union nationals who are fishermen contact the Department for Work and Pensions to apply for a United Kingdom National Insurance Number, contact Centre for Non Residents for advice.

European Union nationals who are self-employed construction workers

General

118. The European Union (EU) has Association Agreements with several Eastern European states, which permit nationals of these states to become self-employed within the building/construction industry.

119. This has led to a number of nationals of those states setting themselves up as self-employed in the United Kingdom construction industry.

Registration Card

120. The Construction Industry Scheme requires people to obtain a Registration Card from HM Revenue and Customs (HMRC) so that the contractor who has engaged them can pay them.

121. The Registration Card usually show's the user's National Insurance Number (NINO). However a temporary Registration Card is available without a NINO and this is valid for three months.

122. HMRC can subsequently issue a permanent Registration Card that uses a system identifier instead of NINO, but this will be withdrawn and a new card showing the NINO will be issued when the customer receives their NINO.

Construction Industry Scheme countries

123. The countries involved in the Construction Industry Scheme are:

- Bulgaria
- Czech Republic
- Estonia
- Hungary
- Latvia
- Lithuania
- Poland
- Romania
- Slovakia
- Slovenia

Completion of form DCI1(E)

124. Access word and retrieve the file which holds form DCI1(E). Do this as follows:

Step	Action
1	if Word is already open, either select Word from the toolbar at the bottom of the screen or press ALT+TAB and cycle through any open applications;
2	if Word is not already open, select Word from the desktop;
3	alternatively select from Start menu (start>Programs>Microsoft>Microsoft Word);
4	complete form DCI1(E) Part A sections 1 – 5 with as much information as possible from the customer on the phone; **Employment Inspired applications only** **If an employment inspired applicant states they have no Right to Work at Part A section 3 of form DCI1(E), advise applicant that a NINO cannot be issued without Right to Work, end call, issue Contact Centre letter to applicant and send the DCI1(E) to NIFU. Note LMS conversations "RTW – customer has stated they do not have "Right to Work". "** **End the appointment booking process at this point – do not continue to steps 5 -7**
5	Return to LMS to continue with the booking of the appointment;
6	access LMS by either clicking on LMS from toolbar at bottom of screen or use ALT+TAB to cycle through the open applications;
7	continue with appointment booking process.

Local Authority benefits applications

There is a legal requirement to apply for a National Insurance Number to claim certain state benefits. Benefit Inspired applications do not have to satisfy the "right to work condition".

Note: These applicants do need to have the right to reside in the UK. Separate checks are made in the benefit application process to establish an individual's entitlement to benefit.

General

125. If a customer applies to a Local Authority (LA) for Housing Benefit (HB) or Council Tax Benefit (CTB), and does not have a National Insurance Number (NINO) or the NINO evidence for HB/CTB is insufficient, the LA will complete form DCI1(LA) once entitlement to benefit is confirmed.
126. The LA will send the completed form DCI1(LA) to a NINO allocation Central Control Unit (CCU).

Initial action at Central Control Unit

127. The DCI1(LA) will be received at the CCU via courier from the LA. Take initial action as follows:

Step	Action
1	Locate the specimen signature list within the CCU;
2	compare the signatures on the DCI1(LA) at Part A section 4 with that list;
3	Check that DCI1(LA) Part A has been correctly completed by the LA.

Problem with form or specimen signature

128. If the form is completed incorrectly or the signature does not match, the DCI1(LA) must be returned to the LA as follows:

Step	Action
1	complete the Return to LA form DCI10W proforma stating why form DCI1(LA) is being returned, for example amendments required or signature does not match specimen list;
2	return, by courier, form DCI1(LA) with the DCI10W to the originating LA to request rework and for them to re-submit to the CCU.

Form/specimen signature in order

129. If no problems are found with the DCI1(LA) and the signature matches the specimen list, record the date form DCI1(LA) is received at the CCU by completing Part B item 1. Pass form DCI1(LA) to the Process Team for further action.

Departmental Central Index trace

130. The Process Team should conduct a Departmental Central Index (DCI) trace. Use dialogues DCI003, DCI004 and DCI005 using the details recorded on the DCI1(LA) at Part A.

National Insurance Number traced

131. If a NINO is traced and this can be confirmed as the person at Part A of the DCI1(LA), complete Part B item 2 of the DCI1(LA). Then take action to update Labour Market System (LMS) as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

Step	Action
1	access LMS by selecting the 'Client' Icon to the right on the LMS Desk Top;
2	after a new record has been created, or a record found, A NINO EOI – LA appointment needs to be booked;
3	click 'NewInt' hotspot. The 'Create Appointment' window displays;
4	click on the 'Browse' Hotspot to the right of 'Appt Type'. The 'Appointment Type Browser' window displays;
5	scroll down list to find 'NINO Allocation Evidence of Identity to open the list of EOI/ Appointment Types;
6	highlight 'NINO EOI Local Authority' and click on the 'Select' button;
7	step 7 closes the 'Appointment Type Browser' window and returns to the revised 'Create Appointment' window;
8	click 'Search' button and the 'Search Results' window displays with the next available appointments found;
9	highlight the earliest EOI interview slot from those displayed. **Note:** This might not necessarily be the first of the 3 results displayed;
10	suppress the EOI letter by clicking on the drop down menu in the 'Letter Type' field and select 'No Invitation Letter';
11	click on 'Book' button, message displays 'Appointment has been made and the interview record created'. Now complete the remainder of the booking process' click OK. The 'Complete Appointment' window displays;
12	record a note in the 'Notes' field 'Existing NINO traced'. Click the 'Save' button. Message displays 'Appointment booking complete. Use close to return to LMS'. Click 'OK';
13	click the 'Close' button to close 'Complete Appointment' window and return to the 'View Client Details' window;
14	click the 'O/S Int' hotspot the 'Outstanding Interview' window displays;
15	click the 'Cancel' button, message displays 'You must record a reason for cancelling the interview. Are you sure you want to cancel this

	interview?' Click YES. A sub-window displays;
16	highlight 'NINO already exists' and click the 'Select' button and return to the 'Outstanding Interview' window. A new action will be added to show the cancelled interview;
17	in the 'Notes' field, record the reason for the cancellation as 'Existing NINO traced'. Click on the 'Save' button and a message displays 'Interview record has been updated successfully.' Click 'OK';
18	click on the 'Close' button to return to the 'View Client Details' window;
19	click on the 'Amnd' button. Enter the traced NINO in the NINO field and click on the 'Save' button. A message displays to show client details have been successfully updated. Click 'OK'; **Note:** If LMS Temporary NINO recorded, overtype this with new NINO;
20	click close button to close View Client Details window.

Notify customer and Local Authority

132. The customer and the LA must be notified that a NINO has been traced and confirmed. Proceed as follows:

133.

Step	Action
1	complete tear-off section Part E item 1 of form DCI1(LA) with the traced NINO and personal details;
2	sign form DCI1(LA) at Part E item 6;
3	send the tear-off to the originating LA by courier/post;
4	complete from DCI10A;
5	ensure form DCI10A and trace details are checked by another member of the process team;
6	issue form DCI10A to the customer;
7	Retain form DCI1(LA) Parts A – D for 14 months.

National Insurance Number not traced

134. If there is no trace of a NINO or trace results cannot confirm the customer's NINO, do not complete any section of form DCI1(LA). Part C item 1 is only completed following the mandatory post interview specialist trace.

135. Take action to search LMS for a client record for the customer. Verify/amend any record as required or create a new record if appropriate.

Evidence of Identity interview outstanding or recently conducted

136. Check whether an Evidence of Identity/ Right to Work (EOI/RTW) interview has already been booked or recently conducted for the customer.

137. Inform interviewing site/Hub or CCU as appropriate.

138. Contact customer to book an appointment or book an appointment without speaking to the customer.

Appointment booking process

Appointment type

139. The Labour Market System (LMS) must be used to book all National Insurance Number (NINO) Evidence of Identity/Right to Work **(EOI)/RTW** interviews irrespective of where they are to take place.

140. Whether or not the customer is on the phone, the first step in the process is to select the appointment type and this should be done as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

141.

Step	Action
1	from 'View Client Details' window, click on 'NewInt' hotspot;
2	'Create Appointment' window displays. Click on 'Browse' hotspot to the right of 'Appt Type';
3	'Appointment Type Bowser' window displays. Scroll down list to find 'NINO Allocation Evidence of Identity';
4	to open the list of EOI appointment types, select the plus (+) next to 'NINO EOI Evidence of Identity';
5	highlight specific EOI appointment type. If the customer: • is working/seeking to pay voluntary class 3 contributions, highlight the appointment type 'NINO EOI Employment'; • has claimed one of the following benefits: ○ Disability Living Allowance; ○ Attendance Allowance; ○ Carer's Allowance; ○ Child Benefit; ○ Winter Fuel Payments, highlight the appointment type 'NINO EOI Centralised Bfts'; • has claimed one of the following benefits: ○ Income Support; ○ Jobseeker's Allowance; ○ Incapacity Benefit; ○ Retirement Pension; ○ Bereavement Benefit; ○ Pension Credit; ○ Industrial Injuries Disablement Benefit; highlight the appointment type 'NINO EOI Benefits'; • has claimed Council Tax Benefit or Housing Benefit (to be booked by the CCU), highlight the appointment type 'NINO EOI Local Authority'

	• has claimed Child Tax Credit or Working Tax Credit, highlight the appointment type ‘NINO EOI Tax Credits’;
6	click the ‘Select’ button’. This closes the ‘Appointment Type Browser’ and returns to the revised ‘Create Appointment’ window;
7	if required, enter the earliest date and time the customer can attend an interview and the latest finish time they require.

Consider specific needs

142. Establish if the customer has any specific needs to enable attendance at the interview site/Hub and ensure identified needs are recorded on LMS. Discuss with the customer if there are any specific needs, for example:

- wheelchair access;
- Audio loop; or
- private room

before searching for an appointment.

Specific needs identified

143. If specific needs are identified, proceed as follows:

Step	Action
1	if the customer requires any additional assistance in the interview, click on the faclts button. The Facilities sub window is used to identify what must be available at the interview site/Hub in order to enable the customer to attend the interview and there are three options available;
2	select the check boxes to the right of the required option. Click the ‘Save’ button, click ‘Close’ button;
3	if customer requires an interpreter click on ‘Notes’ button and record ‘Interpreter required’. State language and dialect as appropriate. **Note:** Any text recorded in this field will be printed on outputs to the customer;
4	click ‘Save’ button, click ‘Close’ button to ‘Create Appointment’ window.

Standard or non standard interview

144. During discussion with the customer determine if the interview slot is standard or non standard, extending from 30 minutes if required.

145. If the customer requires an interpreter or has no or limited documentation the interview length will be 50 minutes and LMS is noted as follows:

Step	Action
1	click on the > button next to the time allocated to the right of the interview type;
2	change the default 30 minutes.

146. If no interpreter is required and acceptable documentation is available a standard interview is applicable.

Postcode search

General

147. Search for an appointment at the nearest location to the customer's requested postcode. The LMS default postcode is taken from the address on the customer's record. It can be overtyped with a valid postcode in correct format, for example the customer's place of work.

Invalid postcode

148. It is not possible to search for appointments using an invalid postcode. A warning message will be displayed: 'The postcode does not exist. Please edit the postcode directly or abandon the appointment search, correct the client's postcode and start booking the appointment again'.

149. If a valid postcode is not available continue the search for an appointment using the office location as follows:

Step	Action
1	click 'OK' to clear the warning message;
2	if required, enter the earliest date and time the customer can attend an interview and the latest finish time they require;
3	click 'Office' hotspot, the 'Office/Loc' browser displays. Identify the required region and click 'plus' symbol (+) to the left of the region to display the list of districts. **Note:** Check the desk aide for details of office region and district;
4	identify the required district and click 'plus' symbol (+) to the left of the district to display the list of offices;
5	highlight the required office and click the 'Select' button. 'Create Appointment' window is re-displayed with the office selected entered in the 'office/loc' field;
6	click the 'Search' button. 'Search Results' window displays with the next available appointment at that location;
7	consider if this appointment is suitable.

View search results

150. To view search results, take the following action:

Step	Action
1	Select Search button from Create Appointment window;
2	the Search Results window opens with the next available appointments: • at the three interview sites/Hubs nearest to the postcode used in the search; and • after the earliest start date and time used in the search;
3	Office/Location gives the name of the office. This is limited to 25 characters.
4	Check office/location desk aide to confirm the full address of each location;

5	considering the Key Management Indicator, discuss with the customer which appointment displayed is suitable;
6	the Distance column shows the distance in miles from the postcode used in the search to the interview office and is used as a guide only. The distance can be displayed in kilometres if preferred;
7	click preferences, and then click 'distance in kilometres'.

Selection of appointment

Suitable appointment identified

151. Check if any of the appointments displayed on LMS are suitable to be booked for the customer. If there is an acceptable appointment, proceed as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only, however, for employment inspired applications this interview is also used for evidence of "right to work"

152.

Step	Action
1	highlight the appointment slot in the NINO EOI Appointment 'Search Results' window;
2	suppress printing letter if required, because for example; • Mobile interview applies; • DCI1(LA) application traced pre interview by the Central Control Unit; or • customer requires letter in large print, Braille or Welsh Language. **Note:** Letter must always be suppressed in mobile interview cases.
3	on 'Search Results' window, select from the drop-down menu 'No invitation letter required' for the appropriate reason;
4	if required, change letter date defaulted today to date required;
5	click on 'Book' button to book the appointment.
6	if the warning message 'The selected appointment is more than 26 calendar days ahead of the booking date. If you still wish to book this appointment click the continue button. Otherwise click Cancel' is displayed take the necessary action.

Unsuitable appointments

153. If all of the appointments shown are unsuitable, proceed as follows:

Step	Action
1	if the date or time is unsuitable, select the next available appointment(s) in the same location(s) shown on LMS. Do this by clicking the 'Next' button;
2	the 'Search Results' window re-displays with the next appointment(s) in the same location(s) but moved on in time by at least the interview duration;

3	if the appointment is unsuitable due to location/distance because: • the customer will need to travel for more than one hour; or • the customer will be absent from home for over four hours; confirm if an alternative postcode is appropriate, for example, place of work in an employment application;
4	click 'Close' button on the 'Search Results' window. Message displays 'This action will abandon the search results and return to the previous screen. Do you wish to continue?' Click 'Yes'. 'Create Appointment' window is re-displayed;
5	overtype the old postcode with a new valid postcode in the Postcode Field and search again;
6	if postcode entered is invalid, take appropriate action.

Note: For employment inspired applications, in exceptional cases only, where the customer cannot agree to any of the six appointments identified, consider asking the customer to call back when their availability is known. Cancel and destroy form DCI1(E) and note details of the call in LMS Conversations.

154. If the customer still feels that the appointments displayed are unsuitable due to distance/travel problems, warm transfer the customer to the Hub/Satellite Admin Team to consider if a mobile interview will be appropriate.

LMS Conversations

Creating a Conversation

155. To create an entry in LMS Conversations take the following action:

156.

1	click on the 'Conv' button. If no conversations have been recorded previously a message displays 'No conversations recorded. Would you like to record a new one? Click 'Yes';
2	if there are existing conversations recorded the List of Conversations With Client window opens. Click on 'New' button;
3	the Open/Create Conversation With Client window displays. Click in Details field and record the information. **Note:** Always start the message with **'NINO EOI'/RTW**
4	click 'Save' button and message displays 'New conversation details saved'. Click 'OK';
5	click 'Close' button to close the window.

Viewing a Conversation

157. To view an entry in LMS Conversations take the following action:

Step	Action
1	click on the 'Conv' button. The Open/Create Conversation window displays;
2	highlight the required conversation and click 'Detail' button;
3	the View Conversation With Client window displays;
4	to amend a conversation, click the 'Amnd' button. The text can then be

	amended. Click ‘Save’ button and a message displays ‘Amended conversation detail saved’. Click ‘OK’.
5	click the ‘Close’ button to close the window;
6	to create a new conversation, click the ‘New’ button.

Liaison with Hub/Satellite Admin Team

Selected appointment more than 26 days ahead

158. If a selected appointment is more than 26 calendar days ahead from the date on which you are booking, a warning message is displayed on LMS. Take the following action:

Step	Action
1	Check the desk aide to identify the appropriate Hub/Satellite admin team;
2	telephone the appropriate Hub/Satellite admin team to advise them that the appointment to be booked is in excess of 26 calendar days ahead;
3	the admin team will either take the call to arrange a suitable interview with the customer or advise that the interview should be booked anyway.

Admin team advise appointment should be booked

159. If the admin team advise that the appointment should be booked anyway, proceed as follows:

Step	Action
1	click on Continue to confirm the warning message;
2	this will book the appointment and display the Complete Appointment window;
3	discuss evidence/interview pre-requisites with the customer if possible;
4	enter Notes in LMS to explain why the call is transferred to the Hub/Satellite admin Team
5	click Close on Search Results Form;
6	click Close on Create Appointment Form;
7	send from DCI1 to admin Team.

Admin team advise appointment should not be booked

160. Transfer the customer’s call to the Hub/Satellite admin team if possible. If not, end the call advising the customer that someone will ring them back and then contact the Hub/Satellite admin team.

161. The Hub/Satellite admin team will advise where to send form DCI1. Cancel the booking by taking the following action:

Step	Action
1	click the ‘Cancel’ button on the displayed warning message;
2	click on the ‘Close’ button on ‘Search Results’ window. Message displays ‘This action will abandon the search results and return to the previous

	screen. Do you wish to continue?' Click 'Yes';
3	click 'Close' button on the 'Create Appointment' window. Message displays 'This action will abandon the search for an appointment slot and return to the previous screen. Do you wish to continue?' Click 'Yes';
4	click 'Close' on the 'View Client Details' window.

Confirm booked appointment

162. A screen message will be displayed 'Appointment has been made and the interview Record created. Now complete the remainder of the booking process.' Proceed as follows:

163.

Step	Action
1	click on OK to clear the screen message;
2	the Complete appointment window displays. Discuss and agree with the customer the recommended items of evidence that they can bring to their EOI/RTW interview.
3	select the items that the customer has agreed to bring with them from the list of 26 pre-requisites by clicking on the checkbox next to each item. **Note**: You must either select at least one pre-requisite or enter text in the notes box;
4	make a note of any other documents or evidence, **including those that prove "right to work",** that the customer has agreed to bring in the notes box or note otherwise. Remember whatever is written within this box will be printed out along with the appointment letter. **Note:** If a mobile appointment is booked, enter in Notes 'clerical DCI10 mobile interview letter issued to customer';
5	click on the Save button to complete the booking process.
6	a message displays 'appointment booking complete. Use close to return to LMS'. Click 'OK'.

Note: The actions relating to evidence/pre-requisites must be completed regardless of whether or not the customer is spoken to.

Right to Work Documents

These are the acceptable documents for verifying "right to work"

N.B. Nationals from European Union (EU), European Economic Area (EEA) countries and Switzerland can enter and work in the UK without restrictions just like British citizens. The same is also the case for the family member of a named national from the EEA or Switzerland who is resident in the UK. Nationals should be asked to produce proof of their

nationality. Nationals from the A8 Accession countries are to be treated in the same way as any other EU national[1].

PASSPORTS

1) A passport describing the holder as a British citizen or having a right of abode in UK.

2) A national passport or national identity card issued by an EU or EEA country or Switzerland which confirms that the holder is a national of an EU or EEA country or Switzerland.

3) A United Kingdom Residence Permit, registration certificate or document certifying permanent residence issued to a national of an EU or EEA country or Switzerland.

4) A passport which has a UK endorsement stating that the holder has a current right of residence in the UK as the family member of a named national from an EU or EEA country or Switzerland who is resident in the UK.

5) A residence document, certificate of application, residence card or permanent residence card or other document issued by the Home Office which has an endorsement stating that the holder has a current right of residence in the UK as the family member of a named national from an EU or EEA country or Switzerland who is resident in the UK.

6) A passport or other travel document endorsed to show that the holder is exempt from UK immigration control, has indefinite leave to enter or remain in the UK or has no time limit on their stay in the UK.

7) A passport or other travel document endorsed to show that the holder has subsisting leave to enter or remain in the UK and is permitted to take the employment in question, provided that it does not require the issue of a work permit.

BIRTH CERTIFICATES

8) A full birth certificate issued in the UK, which specifies the names of the holder's parents.

9) A birth certificate issued in the Channel Islands, the Isle of Man or Ireland.

[1] A full list of EU and EEA countries is attached.

10) A full adoption certificate issued in the UK, which contains details of the adoption.

11) An adoption certificate issued in the Channel Islands, the Isle of Man or Ireland.

REGISTRATION CERTIFICATE
12) A certificate of registration or naturalisation as a British citizen

HOME OFFICE DOCUMENTS
13) A letter issued by the Home Office, to the holder, which indicates that the person named in it has been granted indefinite leave to enter or remain in the UK.

14) A letter issued by the Home Office, to the holder which indicates that the person named in it has subsisting leave to enter, or remain in, the UK and is entitled to take the employment in question in the UK.

15) An Immigration Status Document issued by the Home Office, to the holder, endorsed with a UK Residence Permit, which indicates that the holder has subsisting leave to enter or remain in the UK and is entitled to take the employment in question.

16) An Immigration Status Document issued by the Home Office, to the holder, which indicates that the holder has been granted indefinite leave to enter or remain in the UK.

17) An application registration card issued by the Home Office, which indicates that the holder is permitted to take employment in the UK.

WORK PERMITS
18) A work permit or other approval to take employment issued by Work Permits UK indicating that the holder is entitled to take the employment in question and a passport or other travel document endorsed to show that the holder is able to stay in the UK and is able to work.

19) A work permit or other approval to take employment issued by Work Permits UK indicating that the holder is entitled to take the employment in question and a letter or Immigration Status Document from the Home Office to the holder confirming that the person named in it is able to stay in the UK and is able to work.

List of European Union (EU) & European Economic Area (EEA)

European Union:

Austria
Belgium
Cyprus
Denmark
Finland
France
Germany
Greece
Ireland
Italy
Luxembourg
Malta
Netherlands
Portugal
Spain
Sweden
United Kingdom

European Union A8 Countries:

Czech Republic
Estonia
Hungary
Latvia
Lithuania
Poland
Slovakia
Slovenia

European Economic Area (EEA):

Iceland
Lichenstein
Norway

These countries – and Switzerland - benefit from the same free movement rights as EU nationals.

Note: These are the only documents Jobcentre Plus can accept as proof of right to work. Any doubts on whether a document is acceptable or not should be queried with your Document Examination Team (DET). Documents used to prove "right to work" that are also used as evidence of

identity should be very carefully scrutinised to ensure both conditions are met.

If at any time a member of JCP staff is uncertain whether the document provided is suitable or authentic advice should be sought from the relevant Document Examination Team

Identity Documents

These are the acceptable identity documents as listed in the pre-requisites box on LMS:

- *Valid Passport
- *Valid ID card
- *Two or more passports if of Dual/multi nationality
- *Home Office documents
- Work Permit
- Letter from employer
- Contract of employment
- Pay Slips
- Mortgage agreement
- Rental agreement
- Letter confirming residence
- Marriage certificate
- Birth certificate
- Deed poll
- Driving licence
- Police Registration Cert

Note: * these items can be considered Primary Evidence in order to decide if a standard or non standard interview is booked

Company Director

- Certificate of incorporation
- Memorandum of association
- Articles of association
- Stock transfer form

Freelance / Self Employed

- Schedule D Tax form
- Services contract
- Invoices
- Letter from accountant
- Letter from client

Non EC / EEA Student

- Relevant letter from college including details of type and length of course and weekly hours
- Student ID card

.
Note: This list is not exhaustive
If at any time a member of JCP staff is uncertain whether the document provided is suitable or authentic advice should be sought from the relevant Document Examination Team

Rework interview required

164. If customer needs to be recalled to the office and interviewed again, use LMS to record what re-work is required and book a rework interview:

Call wrap and Printed Outputs Process

Appointment letter and pre-requisites

Print the appropriate appointment letter, together with the list of documents that the customer has said they will bring to support their application, as follows:

Step	Action
1	from the Labour Market System (LMS) Complete Appointment window used when selecting the pre-requisites, and click on the PrtLtr button. The appropriate form DCI10 will be printed along with the document list that the customer has said that they can bring along to support their application. **If the application is employment inspired remind the applicant of the requirement to supply proof of “right to work” at the interview.** Message displays ‘Notification letter print submitted’ click ‘OK’;

2	click on Close button and return to the View Client Details window. LMS will automatically select the appropriate DCI10 based on the selected appointment type: • form DCI10(C) for employment inspired applications; • form DCI10(B) for benefit inspired applications; or • form DCI10(TC) for Tax Credit applications;
3	if the letter is required in large print and this was suppressed during the booking process: • access Word and select the appropriate form DCI10 and • copy: ○ the customer name and address; ○ appointment location including phone numbers; and ○ time details as shown in the desk aide to the appointment letter and complete appropriate pre-requisites page and print;
4	click on close button to close the client record and return to Identity Client window.

Workflow

165. Workflow is a feature of LMS that allows you to record items of work that require action immediately or at a later date.

Creating a new Workflow

166. To send a Workflow message, for example to request an interpreter, take the following action:

Step	Action
1	Ensure that the View Client Details window is open;
2	from the LMS desktop, click on the Queue button. The Create New Workflow Queue Action window will display;
3	select Contact Client from the Action Type drop down menu;
4	enter details of the Workflow in the description. As only the first few words will show later, it is good practise to type brief details at the start of your message. For example, if the workflow is to book an interpreter, ensure the text reads ‘ Interpreter req’d – language/dialect’;
5	from the Queue To drop down menu, select either Officer or Team. For example, for an interpreter, select Team and click the Select button;
6	this opens the Officer Search window or the Team Search window depending on the selection at step 5. If you know how the name of the Officer or Team is held on LMS, input it to the Description/Name field and click on the Srch Button. (Refer to desk aide) **See, LMS User Guide, Part K, Workflow and Part L, LMS Searches**
7	complete the required date field to today’s date;
8	click on the Priority drop down menu and change the priority to High;
9	click on the Queue button. A message displays ‘The Workflow action

	has been queued successfully.' Click OK.

Viewing a Workflow

167. Check your InTray regularly throughout the day to see if you have been sent any Workflows and to prevent any becoming overdue. The InTray icon will have a red marker around it when Workflow is overdue. To check for any outstanding Workflows take the following action:

Step	Action
1	click on the InTray icon on the LMS desktop. If there are no Workflows to view, a message displays 'There are no Workflow actions. The window will now close' click OK;
2	if there are any Workflows outstanding, the Outstanding Workflow Actions window will display;
3	to view details of the Workflow, highlight the required Workflow from the list and click the Detail button;
4	the View Workflow Action Details window displays showing full details of the Workflow.

Actioning a Workflow

168. To action a Workflow take the following action:

Step	Action
1	click on the Updt button and the window changes its name to Complete/ReQueue Workflow Action. The window that was open when the Workflow was originally created i.e. View Client Details window, will display as an icon at the bottom of the workfolder. **Note:** If there were no windows open when the Workflow was created, a message displays 'No windows are associated with this action details. You can close, complete or re-queue the action'.
2	click on the icon in the workfolder to view the relevant window(s) i.e. View Client Details window;
3	take appropriate action as per the Workflow i.e. book an interpreter;
4	click on the Comp button. A message displays 'Action details have been completed successfully. Window now closing.' Click OK.

See, LMS User Guide, Part K, Workflow

169. Complete form DCI1 as follows:

Step	Action
1	Record the following details on form DCI1: • appointment date, • contact date, • time;

	• location and; • LMS Customer Reference Number
2	in employment inspired applications, toggle to Word, enter details in the header section of the form and print the DCI1(E);
3	in benefit inspired applications, note clerically the details in the header of the DCI(B)/(LA)/(TC);
4	pass all the outputs – DCI1, DCI10, GL25, Envelope – to the supervisor to consider any quality checks.

Supervisor check

170. The supervisor will decide if the case is to be checked. If no check is to be conducted, pass back to Band B form DCI10 and leaflet **NICA5JP** to be posted to the customer and form DCI1 to be sent by Courier to the interviewing site/Hub.

171. The supervisor will check:

- accurate completion of Part A of form DCI1; and
- that outputs match the appointment details held on LMS.

172. If any errors are identified, they will be discussed and any remedial action taken.

173. If no errors are found, all documents will be referred back for issue of form DCI10 and leaflet **NICA5JP** to the customer and for form DCI1 to be sent to the interviewing site/Hub.

Despatch DCI1 form to Interviewing Site

174. Despatch DCI1 form to the correct interviewing site e.g. Hub, Satellite. Consult desk aide for details.

Client records on Labour Market System

Check for existing client record

175. If a customer calls about an employment inspired National Insurance Number (NINO) application, check for an existing client record on the Labour Market System (LMS). Complete parts 1 – 5 of form DCI1(E) with as much information as possible from the customer on the phone before returning to LMS to continue with the appointment booking process.

176. If dealing with a benefit inspired NINO application, note date of receipt of DCI1(B)/(TC) and forward to First Contact Officer for action. Check for an existing record on LMS.

177. LMS needs to be checked to see if there is an existing record for the customer. Do this by taking action as follows:

Step	Action
1	access LMS by selecting the 'Client' Icon to the right on the LMS Desk Top;
2	the Identify Client window will open;
3	in the 'Location' drop down, click on 'National' then click on 'select all';

4	the Identity Client window will display showing the location as National;
5	enter the customer's Surname and Date of Birth;
6	click 'Srch' button to start the search.

Existing record found

178. If only one record on LMS matches the search criteria, LMS will display the client record for the person. If this is the case, take action to verify and amend the record if required and check the desk aide for the appropriate Hub/Satellite Admin Team to transfer customer to.

179. If a list of clients is returned check to see if the client is on that list. If so proceed as follows:

Step	Action
1	highlight the client entry and click the 'Detail' button to open the record. LMS will display the 'View Client Details' window for that person;
2	take action to verify and amend the record, if required;
3	if re-selection is required, click on the 'Close' button. LMS will re-display the 'Identify Client' window to start the search again.

Note: If a NINO exists and is recorded on the client record and this record is definitely for this customer, **DO NOT GIVE THE NINO TO THE CUSTOMER**. This customer must be referred to the HM Revenue and Customs Contact Centre for verification.

No existing record found

180. If the client is not on the list, click 'New' button to create a new client record.

181. If no matching client can be found, a message will display asking if you want to create a new client record. Click 'Yes' button to create a new client record.

Verify and amend Labour Market System record if required

182. To ensure that the existing customer details recorded on LMS are correct, take action as follows:

Step	Action
1	check the details held are correct;
2	if any changes need to be made, click on the 'Amnd' button;
3	make the necessary changes;
4	click 'Save' button to update the changes. A message displays to confirm client details have been successfully updated. Click 'OK'.

Creating a new Client Record

183. Create a new record for the customer on the Labour Market System as follows:

Step	Action
1	on the ‘Create New Client’ window record information in the white fields only by discussing this information with the customer. **Note**: Blue coloured fields cannot be updated;
2	select Title from the drop-down list. The Sex field will automatically update if the title is recorded as Mr, Mrs, or Miss;
3	Enter the customer’s forename. The Surname and Date of Birth fields will have already been populated with the information captured for the client record search. the Age and YP fields should automatically update;
4	click on the Address/Tel No hotspot. A sub-window will be displayed over the client record;
5	on the new window click on the Postcode hotspot. This opens Postcode Search window. Enter the customer’s home postcode and click ‘Search’ button;
6	address details for the postcode will be displayed. Select the house/flat number/name from the drop-down lists then click on ‘Select’ button. A message is displayed ‘do you wish to overwrite the address details currently held?’ click ‘Yes’;
7	record the Tel No and Oth No where known;
8	click on the Hide button to return to the ‘Create New Client’ window. This updates the Tel No on the main client record;
9	click on the JP hotspot if displayed, and select No from the drop-down list, click on ‘Save’ button;
10	from the Emp Status field, select None from the drop-down list and leave the Status set to Active;
11	the Create PWD Details window will be displayed to record any disabilities. If there are no disabilities click in the ‘None’ checkbox and click on ‘Save’ button;
12	if there are disabilities, click in the appropriate check boxes and use free-text boxes to record more detail as necessary. Click on ‘Save’ button;
13	message displays ‘Client PWD details saved successfully’. Click ‘OK’;
14	click on ‘Close’ button to close the PWD Details window to return to View Clients Details window;
15	click on ‘Close’ button and message will display to say that the Client record has been successfully created. Click ‘OK’.
16	click on ‘Amnd’ button;
17	amend status from active to inactive;
18	click on ‘Save’ button and message will display to say that the client record has been successfully updated.

Evidence interview outstanding/recently conducted

General

184. Check the Labour Market System (LMS) to see whether a National Insurance Number (NINO) Evidence of Identity/Right to Work (EOI/RTW) interview has already been booked or recently conducted for the customer. Do this by taking the following action:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

185.

Step	Action
1	if displayed, click on O/S Int hotspot to view any outstanding appointments for the customer;
2	check to see if a NINO Evidence of Identity (EOI) interview is outstanding;
3	if yes, take action to note LMS, inform • interviewing site/Hub; • CCU; • benefit office; or • Local Authortity (LA) that there is another DCI1. Pass the form DCI1 to interviewing site/Hub/CCU or the DCI1 tear-off to the benefit office/LA.
4	if the O/S Int hotspot is not displayed, click on the IntHist button to view earlier appointments that may have been conducted;
5	if the IntHist shows that a NINO EOI appointment was conducted recently, the new DCI1(B)/(TC)/(LA) needs to go to where the other submitted DCI1 and completed form CA5400 is held. If this is the case, click Close to close the IntHist screen, take action to note LMS, inform interviewing site/Hub/CCU/LA and send DCI1/DCI1 tear-off;
6	if the IntHist shows that a NINO was recently allocated/refused: • complete DCI1(B)/(TC)/(LA) tear-off confirming allocated/refused and return by Courier to originating benefit office/LA; and • take action to note LMS, inform interviewing site/Hub/CCU/LA and send DCI1 tear-off to originating benefit office/LA;
7	if there are no NINO EOI appointments outstanding and an interview has not been conducted recently, take action to contact customer.

186. Ensure that DCI1(B)/(TC)/(LA) is sent for linking with the other DCI1 (NINO EOI appointment already booked) or tear-off is sent (NINO recently allocated/refused) and that LMS is noted.

Alert interviewing site/Hub

187. To ensure the Interviewing Officer is alerted to the receipt of a DCI1 before they conduct their interview, or send the case to their CCU following the interview, take the following action:

Step	Action
1	phone, fax, email or send a workflow to the interviewing site/Hub;
2	send form DCI (B)/(TC)/(LA) to the interviewing site/Hub by courier/fax along with completed proforma DCI10V.;
3	close the interview record by clicking the Close button.

Alert Central Control Unit

188. If it is identified that the case is now with the CCU, before they conduct their CCU action to allocate/refuse the application, take the following action:

Step	Action
1	phone, fax, email or send workflow to the CCU to advise them another DCI1 is to be sent;
2	send the DCI1(B)/(TC)/(LA) to the CCU by Courier along with completed proforma DCI10V;
3	close the interview record by clicking the Close button.

Advise benefit office/Local Authority

189. If a NINO has already been allocated or refused at the CCU, take the following action:

Step	Action
1	send the DCI1(B)/(TC)/(LA) tear-off back to the originating benefit section/LA by courier;
2	send the remainder of the DCI1(B)/(TC)/(LA) to the CCU for document retention.

Contacting the customer

Customer has a phone number

If the customer has a phone number recorded on either form DCI1 or Labour Market System (LMS), try and contact the customer. Make two attempts to contact the customer within one working day. If Language Line is required to support the customer during the call, and there are no staff within the Contact Centre with the required language skills, contact Language Line while the customer is on the phone or call back as advised by Language Line if they are not immediately available. Take action to create a client record on LMS, if required, whilst you have customer on the phone.

Note: If attempts to contact the customer are unsuccessful, record in LMS Conversations.

Customer does not have a phone number

190. If customer does not have a phone number recorded on the DCI1/LMS or the customer cannot be contacted after the two attempts, take action to create a client record on LMS, if required, from the information held on the DCI1(B)/(TC).

Hub/Satellite Admin process

Establish reason for call

191. If call is from a customer, establish reason for call as follows:

192.

Step	Action
1	if request is for directions to interview site/Hub – as per instructions from their DCI10 – provide customer with directions either over the phone, fax or post as appropriate;
2	if the customer wants to confirm their existing National Insurance Number (NINO), refer them to the HM Revenue and Customs Contact Centre;
3	if request is to check progress of their NINO application: • access Labour Market System (LMS) and retrieve View Client Details frame; and • amend any customer details if required;
3	check the status of the application using IntHist and advise the customer accordingly;
4	enter Notes on LMS if required;

193. If call is from a caller other than a customer, clear call by reference to appropriate contact as required.

Language Line required

194. If Language Line is required to support the customer during the call, and there are no staff within the Admin team with the required language skills, contact Language Line.

Customer wants to cancel appointment or withdraw application

195. A customer may request their application for a NINO to be withdrawn at any time throughout the process.

Cancel appointment

196. If the **Evidence of Identity/Right to Work (EOI/RTW)** interview has not been conducted and the customer no longer requires this appointment, but still wishes to continue with their application for a NINO, the customer should be encouraged to rearrange their appointment.
197. If the customer cannot or will not rearrange their appointment they should be made aware of the following options that are available to them:

- the customer may withdraw their current application and will have to re-apply at a later date when they know their availability; or
- they can leave this appointment outstanding and unless they call back prior to the appointment time/date with details of when this appointment can be rearranged for, and should the customer not keep the appointment, the application will be treated as a Failed To Attend and will end.

198. If the call is to cancel the appointment and no appointment is shown as outstanding, advise customer and end the call.

Withdraw application

199. A customer may withdraw their application for a NINO prior to an EOI interview being conducted. In this case, the customer's EOI interview appointment must be cancelled to allow the slot to become free for someone else.

Withdraw application – no interview conducted

200. If the application is withdrawn without the EOI interview being conducted, take action as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

201.

Step	Action
1	access LMS and retrieve the customer's record;
2	on the View Client Details window, click on the O/S Int hotspot. **Note:** if there is no O/S Int hotspot, or the outstanding interview is for an interview that is not an EOI, then click on the IntHist button to see when an EOI interview took place. As the interview has been conducted, the customer will have to withdraw their application in writing;

3	if one interview is outstanding, the Outstanding Interview window will display. Check that this is for a NINO EOI interview;
4	if there are two interviews outstanding (one NINO EOI and one other), the Outstanding Interviews window will display. Highlight the NINO EOI interview and click on the Detail button to display the Outstanding Interview window;
5	cancel the appointment by clicking on the Cancel button. A message displays, 'You must record a reason for cancelling the interview. Are you sure you want to cancel the interview?' Click Yes. Clicking No will cancel the cancellation process;
6	after clicking Yes, a sub window will display;
7	highlight the reason for cancelling the interview as 'NINO application withdrawn' and click on the Select button;
8	the action of Interview Cancelled will display in the window and the cursor will move to the notes field to record the full reason for the cancellation. Enter the reason here and click on the Save button;
9	click on Close button to close the Cancelled Interview window and return to the View Client Details window;
10	if the interview was due to be held at another site, ensure that the site is notified and that any support services, for example interpreter, are cancelled also;
11	create a Conversation to advise that the customer has requested to withdraw their application;

202. If the interview was due to take place on site, take action as follows to cancel the DCI1:

Step	**Action**
1	complete the relevant boxes of the DCI1, Tick Part D item 1 and state reason: • application withdrawn by customer – customer has withdrawn their NINO application, sign and date;
2	if DCI1 (B)/(LA)/(TC) form, complete Part E tear-off. Tick and state reason as indicated above. Send the tear-off to the relevant benefit section/LA;
3	forward form DCI1 to the Central Control Unit (CCU) by courier for retention for 14 months.

Withdraw application – interview has been conducted

203. If the EOI interview has been conducted, the customer must request, in writing, that their application is withdrawn. The customer must then be advised where to send the written request to. Take action as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

204.

Step	Action
1	access LMS and retrieve the customer's record;
2	on the View Client Details window, click on the IntHist hotspot;
3	highlight the NINO EOI interview and click on the Detail button;
4	the Completed Interview window will display. Check the actions recorded to establish the location of the application, whether that's the interviewing site or the CCU;
5	there are actions available which record when the papers have been sent to and received by the CCU;
6	advise the customer to put their request for withdrawing the NINO application in writing and to provide a reason;
7	provide the customer with the full address of the CCU to write to (refer to desk aide if required) and end the call;
8	click Close to close the Completed Interview window and return to the View Client Details window;
9	create a Conversation to advise that the customer has requested to withdraw their application;
10	contact the appropriate CCU by phone and advise that the customer wishes to withdraw their application for a NINO;
11	advise the CCU: • the current status of the application from step 4 above; • the customer has been requested to put this in writing with a reason for their decision; • to BF the case for confirmation in writing or if no confirmation received, for a decision to be made on the existing evidence. No time is specified for BF but ensure Key Management Indicator is impacted. The BF could be by local filing or by LMS workflow and that LMS has been noted.

Customer wants to rearrange appointment

205. To rearrange a previously booked appointment, access LMS and retrieve the client record for the customer. Continue action as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

206.

Step	Action
1	from the View Client Details' window click the' NewInt' hotspot;
2	when one interview is outstanding a message displays indicating that an interview is currently outstanding and asks whether a new interview is to be booked or the current interview rearranged. Click the 'ReArr' button;

3	if there are two appointments outstanding (one EOI and one other), the 'Outstanding Interviews' window will display. Highlight the 'NINO EOI appointment and click the 'ReArr' button;
4	the 'rearrange/amend appointment' window is displayed;
5	record the reason for the rearrangement in the 'reason' field;
6	click on the 'ReArr' button;
7	complete book appointment action. **Note:** When booking appointment, the window names displayed will show 'rearrange appointment' rather than 'create appointment'.

New appointment in same location

207. If rearranged appointment is in the same location as the original appointment, notify the interviewing site using the most appropriate method e.g. telephone, fax, e-mail, workflow to request they:

- locate the original DCI1 form, ***and***:
- amend the DCI1 header with the new appointment date, time and interviewing officer (if different) ***and***
- re-file the DCI1 (if required) to retrieve for interview day

New appointment in different location

208. If rearranged appointment is booked for a different location, contact the interviewing site/Hub where DCI1 is currently held. Advise the site of full details of the rearranged appointment.
209. The interviewing site will retrieve the DCI1 from file and amend the DCI1 header with the new information – new interviewing site/Hub, appointment date/time/interviewing officer (if different).
210. The site will forward the amended DCI1 to the new interviewing site/Hub in time for the new arranged appointment to be conducted. The DCI1 should be sent by courier or fax (with original to follow) as appropriate.

Notification of customer non-entitlement to benefit

211. If a call is from a Financial Assessor (FA), Personal Advisor (PA) or Benefit Processing Officer (BPO) to advise of non-entitlement / withdrawal of benefit, access LMS and retrieve the customer's record.

National Insurance Number Evidence of Identity/ Right to Work interview outstanding

212. If there is an outstanding interview and there is sufficient time to advise the customer that the NINO EOI interview has been cancelled, take action as follows:

Note: LMS refers to Evidence of Identity (EOI) interviews only however, for employment inspired applications this interview is also used for evidence of "right to work"

213.

Step	Action
1	cancel the appointment on LMS;
2	create a Conversation to record the conversation from the FA, PA / BPO of why the benefit application has been cancelled;
3	after cancelling the interview, contact the customer by phone, where possible, and advise them of the cancelled NINO EOI interview. If the decision to cancel the interview is because the benefit claim has been refused, do not enter into conversation with the customer regarding the decision, but explain that they will need to await the decision by post, or they could contact the JCP office dealing with the benefit claim for further explanation;
4	if the customer cannot be contacted by phone, a letter should be sent provided there is sufficient time for the letter to arrive, to advise the customer of the cancelled appointment;
5	if there is insufficient time available to advise the customer, do not cancel the interview. The customer will still have to be interviewed. However, create a Conversation to record that contact has been made from the FA, PA / BPO informing that the NINO EOI interview was no longer required but timescales could not permit the interview being cancelled;
6	take action to cancel the DCI1.

National Insurance Number Evidence of Identity/Right to Work interview has already been conducted

214. If the NINO EOI interview has already been conducted, take action as follows:

215.

Step	Action
1	request the reason for the non-entitlement and confirmation of this;
2	if a call is from a FA or PA, confirmation is acceptable as noted on LMS;
3	if a call is from a BPO, confirmation is required in writing, for example A6, to the appropriate CCU. Provide the full address (refer to desk aide if required). Advise the BPO that this action is urgent;
4	create a Conversation to record the conversation from the FA, PA / BPO of why the application has been cancelled;
5	contact the appropriate CCU by phone and advise that the FA, PA or BPO has advised that the customer is not entitled to benefit;
6	advise the CCU: • the FA / PA has noted this confirmation on LMS • the BPO confirmation has been requested in writing. They should therefore BF the case for confirmation but, if none is received, a decision is to be made on the existing evidence. BF could be by local filing or by LMS workflow.

Mobile provision

216. If a call is a transferred call to consider mobile interview, access LMS and retrieve client record. Continue action as follows:

217.

1	complete steps 1-7 of the appointment booking process;
2	identify if interpreter required;
3	consider if standard/non standard interview required;
4	click 'Office' hotspot. The office/location browser displays;
5	select 'plus' symbol (+) to identify own office, click 'Select' button, 'Create Appointment' window is re-displayed;
6	click on 'Browse' hotspot to the right of the 'Team/Adviser' field. 'Adviser/Team' browser is displayed;
7	to open the list select 'plus' symbol (+) next to team name. Click 'Select' button;
8	highlight the team or particular adviser and click 'Select' button;
9	the selected team/adviser will be displayed on the 'Create Appointment' window;
10	click the 'Home' checkbox. A message displays, 'By selecting this option the search will only be undertaken against advisers who are authorised to conduct Home visits. Do you wish to continue?' Click 'Yes';
11	click on 'T/Time' button and 'Travel Time' window displays. Enter appropriate travel time required for both journeys to and from the interview. Click 'Save' button, click 'Close' button;
12	click 'Search' button, 'Search Results' window displays;
13	discuss appointment result with customer, use 'Next' button if appropriate and agree suitable appointment. In 'letter type' field drop down menu select 'no invitation letter';
14	click on 'Book' button to book appointment;
15	complete and issue clerical DCI10 mobile appointment letter to customer.

Note: Due to the requirement of the countersigning officer role, two people will need to be booked for mobile appointments. Ensure this is undertaken.

Search diary

218. Follow the initial steps of the appointment booking process. However, if search required for an appointment for a team/advisor, instead of search by postcode, take action as follows:

219.

Step	Action
1	from Create Appointment window when Postcode search is presented, click Office button;
2	when window displayed, select Office/Loc and Team/Advisor;
3	the Office/Loc will state Hub/Admin site name, click Browse to the right of Team/Advisor for LMS to list all the teams set up for that office;
4	appointment Type Browser window opens. Scroll down list to find team

	required;
5	to open the list, select the plus (+) icon next to team name;
6	highlight the team or particular advisor and click Select button;
7	this team/advisor will then be displayed on Create Appointment window, complete the Earliest Start/Date, Elst Start/Time and Ltst Fn/Time;
8	click the Home toggle box to indicate a home visit required and a message will appear;
9	click Yes to this and then click T/Time and enter appropriate travel time required for both journeys to and from the interview;
10	click on Search button. **Note:** Continue with appointment booking process as required.

Note: Due to the requirement of the Countersigning Officer role, two people will need to be booked out for mobile appointments. Ensure this is arranged.

Forms and letters

Form A6

220. Form A6 is used to record additional/general information obtained from a customer that does not have to be specifically recorded elsewhere.

Form CA5407

221. Form CA5407 is the application form for a Fastpath customer to be registered for a United Kingdom NINO

Form DCI1(B)

222. Form DCI1(B) is the form used to request a National Insurance Number (NINO) in benefit inspired applications.

Form DCI1(E)

223. Form DCI1(E) is the form used to request a National Insurance Number in employment inspired applications.

Form DCI1(LA)

224. Form DCI1(LA) is the form used to request a National Insurance Number in Local Authority (LA) inspired applications.

Form DCI1(TC)

225. Form DCI1(TC) is the form used to request a National Insurance Number in Tax Credits inspired applications.

Form DCI3

226. Form DCI3 is the form used to action the upgrade of a National insurance Number from level 3 to level 1.

Form DCI10A

227. Form DCI10A is the letter issued to a customer to advise them of their National Insurance Number.

Form DCI10B Mobile

228. Form DCI10B Mobile is the revised appointment letter for benefit inspired applications where a mobile interview is required. This includes a list of pre-requisites.

Form DCI10B

229. Form DCI10B is the revised appointment letter for benefit inspired applications – Labour Market System (LMS) generated. This includes a list of pre-requisites.

Form DCI10C Mobile

230. Form DCI10C Mobile is the revised appointment letter for employment inspired applications where a mobile interview is required. This includes a list of pre-requisites.

Form DCI10C

231. Form DCI10C is the revised appointment letter for employment inspired applications – LMS generated. This includes a list of pre-requisites.

Form DCI10J

232. Form DCI10J is the form used to notify the customer that their application for a National Insurance Number has been refused.

Form DCI10TC Mobile

233. Form DCI10TC Mobile is the revised appointment letter for Tax Credits applications where a mobile interview is required. This includes a list of pre-requisites.

Form DCI10TC

234. Form DCI10TC is the revised appointment letter for Tax Credits applications – LMS generated. This includes a list of pre-requisites.

Form DCI10V

235. Form DCI10V is the form used to notify an interviewing site/Hub/Central Control Unit advising them of a duplicate National Insurance Number application.

Form DCI10W

236. Form DCI10W is the form issued to LAs when a form DCI1(LA) requires amendment.

Contact Centre Letter

237. Contact Centre Letter is the letter issued by the Contact Centre to customers who state they have no right to work.

Hub/Satellite desk aide

238. Desk aide detailing Operational Business Model locations with relevant admin team and Central Control Unit.

National Insurance Number Customer Advisor Data Protection Act proforma

239. Proforma issued to a customer to advise them of the Data Protection Act and to record documents taken for examination and copying.

Useful addresses and contact numbers

HM Revenue and Customs Contact Centre – Confirmation of an existing National Insurance Number

- Telephone enquiries 0845 9157006.
- Written enquiries – HM Revenue and Customs, Alternative Business Workstream 1, Room BP1201, Benton Park View, Longbenton, Newcastle upon Tyne, NE98 1ZZ.

HM Revenue and Customs - Employers helpline

- established employers, 0845 7143143
- new employers, 0845 6070143

HM Revenue and Customs - National Insurance Registrations

- 0845 9157006

HM Revenue and Customs - Centre for non residents

- **Callers in the UK – 0845 915 4811**
- **Callers from Abroad - +44 191 203 7010**
- **Non Resident oil rig workers in UK sector of continental shelf – 0131 222 6827**

HM Revenue and Customs - Self-employed helpline

- established self-employed, 08459 154655
- newly self-employed, 08459 154515

HM Revenue and Customs - Tax and Benefits Confidential

- 0845 6086000

Isle of Man Department Of Social Security

- Markwell House, Market Street, Douglas, Isle of Man, IM1 2RZ. Tel: 01624 685685

Child Support Agency

- 08457 133133

Jobseeker Direct

- 0845 6060234

Employer Direct

- 0845 6012001

Disability Living Allowance/Attendance Allowance Helpline

- 08457 123456

Child Benefit Centre

- 0845 3021444

Tax Credits

- 0845 3003900

Pension Credit Application Line

- 0800 991234

Winter Fuels

- 08459 151515

State Pension Forecasting Team

- State Pension Forecasting Team, The Pension Service, Room TB001, Tyneview Park, Whitley Road, Newcastle upon Tyne, NE98 1BA

State Pensions tele-claims

- 0845 3001084

National Benefit Fraud hotline

- 0800 854440

Glasgow Central Control Unit

- Glasgow CCU, Glasgow Benefits Centre, Portcullis House, 21 India Street, Glasgow, G2 4PH. 0845 6415049

Departmental Central Index Frontline Services

- DCI Frontline Services, Room BP9102, BPV Longbenton, Newcastle-upon-Tyne.

Language Line

- Language Line, Swallow House, 11 - 21 North Down Street, London N1 9BN. 0800 9703456
- DWP Intranet site Language Line

Policy

Registration for National Insurance (NI) purposes

240. The circumstances under which a person must apply for a National Insurance number (NINO) are set out in Regulation 9 of the Social Security (Crediting and Treatment of Contributions, and National Insurance Numbers) Regulations 2001.

Who must register for NI purposes

A customer must register for a NINO if they:

- have never registered before, **and;**
- are aged 16 or over, **and**;
- are **either**;
  - resident in the United Kingdom, **and**;
    - are employed and/or self employed, or:
    - are non-employed but wish to and would benefit from paying Class 3 voluntary contributions
- **or**
  - are not resident in the UK, **and**;
    - are liable or entitled to pay Class 1 or Class 2 contributions, **or**;
    - wish to and would benefit from paying Class 3 voluntary contributions

241. A customer **may** register for a NINO is they;

- have never registered before, **and**;
- are aged 16 or over, **and**;
- are resident in the UK, **and**;
  - are likely to have some NI involvement in the near future e.g. pay or be credited with NI contributions
  - are aged 18 or over and undertaking a course of training which has been approved by the Secretary of State e.g. New Deal courses, Work Based Learning for Adults, Work Based Learning in Wales, courses arranged by Local Enterprise Councils (LECs) in Scotland
  - have claimed or are a partner in a claim to:

- Attendance Allowance
- Bereavement Benefit
- Carer's Allowance
- Child Benefit
- Council Tax Benefit
- Child Tax Credit
- Disability Living Allowance (except special rules cases)
- Disabled Persons Tax Credit
- Housing Benefit
- Incapacity Benefit
- Income Support
- Jobseekers Allowance
- Retirement Pension
- Working Tax Credit

Note: This list is not exhaustive

Background to the NINO system

The National Insurance (NI) Scheme was introduced in 1948, NINOs were created to allow individual identification for NI purposes.

242. A NINO is a unique reference number used during a person's working life to record:

- National Insurance Contributions (NICs) paid, **and**
- credits awarded

243. The NINO is also an administrative identifier used throughout the Social Security system to administer the NI and benefit systems.

244. A NINO consists of a two-letter prefix followed by six numbers between 0 and 9 and a one-letter suffix, e.g. AB123456C.

245. There is no particular reason for the format of a NINO, nor does it convey any particular meaning. A NINO is allocated entirely in random sequence and carries no regional or personal significance.

246. The Social Security Administration (Fraud) Act 1997 – Section 19 introduced benefit conditionality linked to a National Insurance Number. For further information see The Social Security Administration (Fraud) Act 1997 – Section 19

The most recent change in policy was to introduce a "right to work" precondition in July 2006.

247. It is essential that a NINO is not:

- assigned to, **or**
- used by

more than one person and that staff employed in all areas of NINO work:

- are trained to detect and prevent identity fraud, **and**

- ensure NINOs are allocated securely

Note: Ensuring NINOs are allocated securely prevents fraudulent entry into the benefits and NI systems.

The Social Security Administration (Fraud) Act 1997 – Section 19

248. The Social Security Administration (Fraud) Act 1997 – Section 19 amended the Social Security Administration Act 1992 and made entitlement to benefit conditional on the production of information or evidence to enable a NINO to be either:
- traced;
- confirmed;
- allocated

for the customer or their partner.

249. It gives authority to Decision Makers (DMs) to disallow a claim to benefit where insufficient information or evidence is provided.

250. This means that a person is not entitled to benefit until the Department is satisfied the person in question:
- Is who they say they are, **and**
  - can either be linked to the appropriate NINO account, **or**
  - can provide sufficient information to allow a NINO to be allocated.

Establishing Identity

251. In all aspects of Departmental business it is essential the right person is linked to the right NI record. If an NI record does not exist and before a NINO is allocated it is important:
- thorough checks are made;
- the person is interviewed,
- the person's identity is established

252. A person's identity can be confirmed by:
- Gathering information regarding the person's circumstances and background to build up a picture of them. This, together with any documentary evidence produced to support their story, can establish identity
- Examining the documentary evidence to ensure it is:
  - genuine, **and;**
  - relevant to that person

253. The extent and detail of questioning should depend on the individual person’s circumstances with emphasis on:

- Relevant areas of their background
- Information that can be checked and corroborated

254. It should be possible to make a decision using the information gained, documents produces and the corroboration undertaken to determine whether identity has been fully established for Departmental purposes.

255. Some cases are difficult to decide upon, especially if there is little or no evidence to go on, e.g. homeless people or victims of a disaster such as a house fire. In these situations is should be considered whether the person’s circumstances support the information provided. Corroborate the information provided by the customer where possible with other Government Departments and third parties. Each case should be decided on its own merits.