

## SNAP Guidance

### Essential Actions

#### Processing a National Insurance Number application

Application received and initial action completed

↓  
Conduct Document examination checks

↓  
Query over documents?

Yes

→ Take appropriate action

No

↓  
Conduct post interview tracing and corroboration

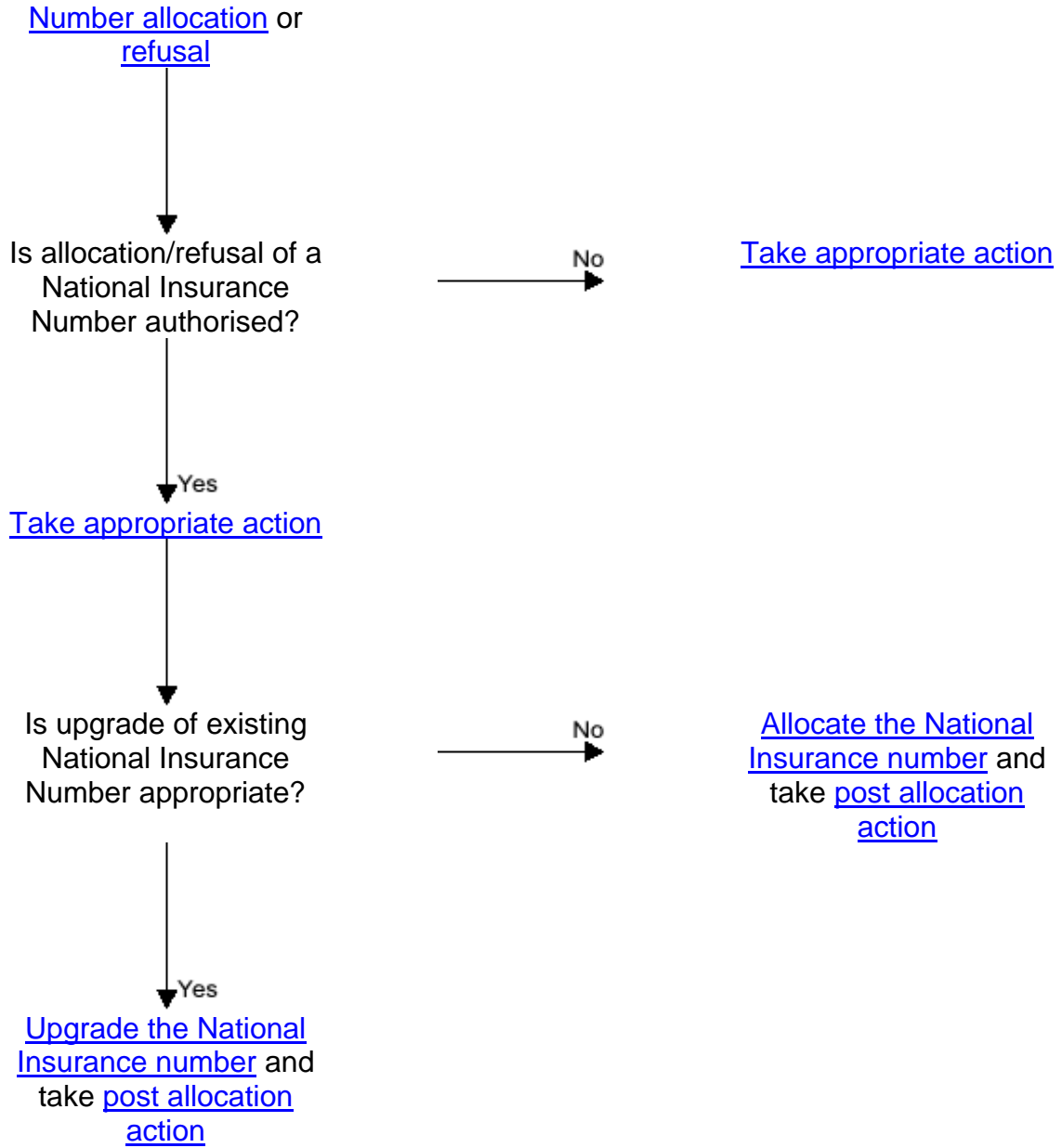
↓  
Is a National Insurance Number traced during specialist trace action?

Yes

→ Take appropriate action

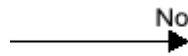
No

↓  
Pass to Authorising Officer to consider National Insurance



**Post Allocation action**

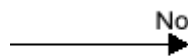
Have the relevant forms been completed correctly after allocation/upgrade of the National Insurance Number?



[Take appropriate action](#)



Have the personal details been recorded correctly in benefit inspired cases?



[Take appropriate action](#)



Has the allocation been made correctly?



Take appropriate action



Conduct post allocation VAT2000 checks



[Take action to dispatch form CA5400](#)

## Supporting Information

### Central Control Unit – processing of National Insurance Number application

#### Confirm receipt of the application

1. On receipt of a new National Insurance number (NINO) application at the Central Control Unit (CCU), confirm receipt of the application. To do this:

Step	Action
1	Open the blue security pouch after removing the security tag;
2	Acknowledge receipt of <a href="#">form CA5400</a> on <a href="#">form EF413</a> ;
3	Send one copy of <a href="#">form EF413</a> to the originating Stockholder.

2. Confirm receipt of the application on the 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 and click in ‘Client’ icon;
2	<a href="#">retrieve client record</a> ;
3	from ‘View Client Details’ window, click ‘IntHist’ button. Click Detail button, if more than one interview is listed detail each interview until NINO EOI interview is shown in the App Type box. Select the ‘Evidence of Identity (EOI)interview’, ensure the correct NINO EOI interview is accessed;
4	click on the NActn button;
5	highlight and select ‘Papers received at Central Control Unit’ (CCU);
6	‘completed Interview’ window re-displays with action added;
7	click Save button and then click Close button to close the ‘Completed Interview’ window;
8	click Close button to close ‘Intervention History’ window;
9	click Close button to close ‘View Client Details’ window.

#### Document examination checks

3. If the [evidence of identity/right to work interview](#) was conducted at a HUB site with a Document Examination Team (DET), pass the application to the CCU Process Team for specialist trace action.

4. If the interview was conducted at a site with no DET, pass the application to CCU DET for document examination.
5. Withheld

### Specialist Trace action

6. Following completion of the evidence of identity interview specialist trace action must be conducted in the CCU. The specialist trace officer must ensure that a trace is conducted using any new information provided at the interview.
7. Use [DCI dialogue DCI005](#) to undertake specialist trace action.

### No trace of a National Insurance Number

8. In all cases where there is no trace of a NINO, providing identity has been satisfied following [corroboration](#), the papers should be passed to the Authorising Officer for NINO allocation to be considered.

### National Insurance Number traced

9. If there is a trace and this is confirmed as being the person who has made the National Insurance Number (NINO) application, take the appropriate action depending on whether the application was employment inspired or benefit inspired
10. In all cases, both employment and benefit inspired, note the Labour Market System (LMS) as follows:

Step	Action
1	access LMS and <a href="#">retrieve 'client record'</a> ;
2	from 'View Client Details' window, click on IntHist button;
3	highlight the 'Evidence Of Identity interview' and click Detail button. 'Completed Interview' window will display;
4	click on NActn button and highlight 'existing NINO traced'. Click Select button;
5	click on NActn button and highlight ' <a href="#">DCI10A</a> (duplicate) issued'. Click Select button;
6	click Save button. A message displays Interview record saved successfully, click OK;
7	click Close button to close 'Completed Interview' window;
8	click Close button to close 'Intervention History' window and return to 'View Client Details' window;
9	click on Amnd button;
10	enter the NINO in the NINO field <b>Note:</b> If LMS Temporary NINO recorded, overtype this with new NINO;
11	click Save button. A message displays advising that client details have

	been successfully updated. Click OK;
12	click Close button to close 'View Client Details' window;
13	complete form <a href="#">CA5400</a> by entering the NINO traced at page 1 and completing part I;
14	retain form DCI1 and supporting documents for 14 months;
15	if appropriate, cancel <a href="#">CA5400</a> and return to originating stockholder.

11. Complete action as required in employment inspired cases and benefit inspired cases

## Conduct corroborative checks

### General

12. This activity must be conducted at the Central Control Unit (CCU), by the CCU Process Team Officer.

13. To assist in fully establishing the customer's identity, there must be corroboration of the information supplied by the customer but only the information obtained during the [EOI/RTW interview](#).

14. Some form of corroboration must take place in every case where there are doubts about the application. What can be corroborated will be specific to each application and will depend on the background and circumstances of the customer.

15. Different circumstances will dictate what third party checks are required. In any event, a minimum of 10% of all cases per day must be corroborated. This is in addition to the [pre-interview employer check](#) and the [100% employment check](#) required in employment inspired applications.

16. In order to corroborate information, third parties need to be contacted. The customer's consent must have been obtained, during the [EOI/RTW interview](#), at Part G of form [CA5400](#), prior to any corroboration being done.

17. A record of any further action must be made and retained with forms [DCI1\(B\)](#), [DCI1\(E\)](#), [DCI1\(LA\)](#) or [DCI1\(TC\)](#).

18. Each case should be assessed individually and different circumstances will dictate which third party checks are required.

19. Following corroboration, providing identity has been satisfied, the papers should be passed to the Authorising Officer for NINO allocation to be considered

### Local immigration links

20. One of the areas to consider for third party corroboration is liaison with the [Immigration and Nationality Directorate \(IND\)](#). Local Immigration Service offices are listed in the telephone directory. A copy of the Immigration Service directory should also be held in every interviewing site.

**Note:** The corroborative checks performed should be restricted to confirming the information provided by the customer, and not performing further checks on the immigration status of the individual.

## Benefit inspired applications

### Customer is the benefit customer

21. The personal details and signature from the copy of the benefit claim form, where available, must be checked against those provided at the EOI interview. This is required to ensure that the person who is being interviewed is the same person who made the benefit claim.

**Note:** In Tax Credit applications, copies of the claim form will not be available.

### Partner is the customer

22. The personal details and signature from the copy of the benefit claim form, where available, must be checked against those provided at the EOI interview. This is required to ensure that the person who is being interviewed is the same person who made the benefit claim.

**Note:** In Tax Credit applications, copies of the claim form will not be available.

### Customers with a nomadic way of life

23. If the customer has little or no documentation, it may be necessary to contact a third party to corroborate information given in form [CA5400](#), for example:

- hospital in-patient records;
- school/university records;
- previous employers; or
- previous landlords.

## Employment inspired applications

### Customer has an employer/works for an agency

24. In addition to the [pre-interview check](#), after the interview either of the following should be undertaken in 100% of employment inspired applications to confirm the existence of the employer and the employment, or offer of employment:

- telephone the employer/agency;
- write to the employer/agency; or
- fax the employer/agency.

25. Do not use the telephone number, fax number or address quoted in the employment letter. Obtain these details from other sources, for example:

- [GB Accelerator](#);
- [the internet](#); or
- directory enquiries.

These details should already be available following the [pre-interview check](#).

26. This list is not exhaustive and any reasonable method should be used to establish the employer's existence and/or offer of employment once the interview has taken place.

### Strong evidence provided

27. In certain cases it may be deemed appropriate not to perform a corroborative check of employment. This must only be in cases where:

- the applicant has provided strong evidence to support that they are employed; and
- the [pre-interview checks](#) ; and
- the [EO/RTW](#) interview including document examination and Countersigning Officer scrutiny

have been successfully completed without any discrepancies.

28. The decision not to perform this corroborative check must be taken in consultation with the Authorising Officer. However some [corroborative checks](#) must still be completed. If it is decided not to perform this check, a note should be retained with form [DCI1\(E\)](#) detailing what evidence led to the decision not to perform the check.

29. Strong evidence should consist of at least:

- computerised wage slips; or
- letter from employer/contact as confirmation of employment.

### **Customer is self-employed.**

30. If the application is from a self-employed person, take steps to corroborate their self-employment by checking:

- with their accountant, if they have one;
- if they are a sub-contractor, with the companies they are sub-contracting to;
- company adverts;
- client lists/databases;
- premises;
- invoices; or
- receipt books.

### **No trace of any employment**

31. Details of any suspected false employment/employers should be notified to [National Identity Fraud Unit \(NIFU\)](#) using form [DCI10K](#). It is also good practice to keep records locally to maintain local intelligence.

32. If it is identified that the customer is not employed or self-employed, details of this should be referred to the Authorising Officer to consider refusing the application. If the [application is refused](#), issue form [DCI10J](#) to the customer.

### **The role of NIFU**

33. Withheld

- 

34. Withheld

### **Authorising Officer checks**

35. The Authorising Officer must ensure that the identity of the customer has been proven without a doubt.

36. In a minimum of 10% of cases, the Authorising Officer must also:

Step	Action
1	check: <ul style="list-style-type: none"> <li>form CA5400 is completed to the appropriate standards ensuring the form is legible and all uncompleted boxes are crossed through;</li> <li>copies of any documentation;</li> </ul>
2	check all relevant action has been taken, ensuring any discrepancies are fully resolved and the documentation is genuine;
3	check the customer has: <ul style="list-style-type: none"> <li>signed form <a href="#">CA5400</a> at Part G;</li> <li>signed/initialled and dated all amendments made to form <a href="#">CA5400</a>;</li> </ul>
4	ensure the NINO Customer Adviser (NCA) has signed form <a href="#">CA5400</a> at Part I Official Use section;
5	check that form <a href="#">CA5400</a> was not issued to or returned from the forwarding office ensuring that it: <ul style="list-style-type: none"> <li>has not been folded;</li> <li>does not show a date received stamp;</li> </ul>
6	ensure the Countersigning Officer has: <ul style="list-style-type: none"> <li>performed the appropriate checks;</li> <li>correctly countersigned:               <ul style="list-style-type: none"> <li>copies of any documentation</li> <li>form <a href="#">CA5400</a>;</li> </ul> </li> </ul>
7	check enquiries needed to corroborate information have been: <ul style="list-style-type: none"> <li>carried out correctly;</li> <li>recorded correctly;</li> </ul>
8	ensure, where a decision has been made not to issue a National Insurance Number (NINO) card <a href="#">RD3</a> , that this has been: <ul style="list-style-type: none"> <li>discussed with the customer and documented at Part A10 of form <a href="#">CA5400</a>;</li> <li>confirmed at Part A6 of form <a href="#">CA5400</a> by ticking the DWP Official Use box '<a href="#">RD3</a> not to be issued';</li> </ul>
9	complete Part I Official Use section.

37. The Authorising Officer must also:

Step	Action
1	<a href="#">decide the level of NINO to be allocated</a> ;
2	be satisfied that a thorough Specialist Trace has been carried out;
3	be satisfied that there is no existing account already held on Departmental Central Index (DCI) before authorising allocation of a NINO or re-performing DCI traces.

**Note:** National Insurance Recording System 2 (NIRS2) will not register a NINO other than a level 1 NINO.

## Authorising an allocation

38. If it is confirmed that:

- the customer does not have a National Insurance Number (NINO); and
- identity has been established;

the case should be referred to the Authorising Officer for consideration of NINO allocation.

39. A NINO can only be allocated after all the appropriate checks have been completed and the Authorising Officer is satisfied that allocation of a NINO is appropriate.

40. Authorisation of a NINO must only be considered where forms [DCI1\(B\)](#), [DCI1\(E\)](#), [DCI1\(LA\)](#) or [DCI1\(TC\)](#) and form [CA5400](#), if appropriate, are available. Faxed copies of forms must not be accepted.

## NINO card (RD3) not to be issued

41. The Authorising Officer must also consider not issuing form [RD3](#). This will occur if the form [CA5400](#) indicates:

- that the customer may not be living at the address quoted for the next three months when the [RD3](#) would be issued; and
- that the customer consents to/has been told that the [RD3](#) will not be issued.

42. If the [RD3](#) card is not to be issued due to an unsafe or no fixed abode address, the DWP Official Use at Part A6 of form CA5400 must be completed..

## Deciding the verification level of the National Insurance Number

43. It is the responsibility of the Authorising Officer to decide the verification level of the 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.

### Verification level 1 –

44. A NINO should be authorised using verification level 1 when the identity of the customer has been fully established at the Evidence of Identity (EOI) interview.

### Verification level 2

45. A level 2 qualifying NINO (QNINO) must only be authorised in benefit inspired cases where the customer has:

- attended an EOI interview;
- provided all the necessary information which confirms they do not have an existing NINO;
- established their identity to an acceptable level at that time, but further checks are required; and
- a payment of benefit is due.

**Note:** Any level 2 QNINO must be upgraded to level 1 within six weeks. It is only acceptable to authorise a QNINO using verification level 2 in exceptional circumstances. The QNINO supports [Section 19 of the Social Security](#)

[Administration \(Fraud\) Act](#) and only applies when an application for benefit has been made and payment of benefit is due.

### Verification level 3

46. In some cases, allocation is appropriate without an EOI interview. It is only acceptable for The Pension Service Tyneview Park, Disability Benefit Centres (DBC) and the Veterans Agency (VA) to authorise verification level 3 in the following circumstances:

- The Pension Service Tyneview Park when the customer is resident overseas;
- DBCs in Disability Living Allowance (DLA), Attendance Allowance Special Rules cases and DLA Child Reference Number (CRN) cases;
- VA when the customer is resident overseas.

**Note:** Child Benefit Office also authorise verification level 3 for the allocation of CRNs and this becomes level 1 when the child reaches age 15 years 9 months.

### Allocation authorised

47. When the Authorising Officer has decided to authorise allocation of a National Insurance Number (NINO), they must:

Step	Action
1	Complete Part D item 3 of:: <ul style="list-style-type: none"> <li>• form <a href="#">DC11(B)</a> in benefit inspired cases;</li> <li>• form <a href="#">DC11(E)</a> in employment inspired cases;</li> <li>• form <a href="#">DC11(LA)</a> in Local Authority cases;</li> <li>• form <a href="#">DC11(TC)</a> in Tax Credit cases;</li> </ul>
2	pass form <a href="#">DC11(B)</a> , <a href="#">DC11(E)</a> , <a href="#">DC11(LA)</a> or <a href="#">DC11(TC)</a> to the Allocating Officer

### When the allocation can be refused

48. The Authorising Officer can consider the refusal of a National Insurance Number (NINO) allocation when a customer has:

- not replied to correspondence;
- failed to attend the office for interview;
- produced evidence of identity documents that are not genuine;
- been unable to prove their identity;
- failed to complete; form [DC10D](#)
- failed to meet the business requirements for a NINO.

### Allocation refused – benefit inspired cases

49. If any of the refusal circumstances above apply, and the Authorising Officer refuses the allocation of a NINO, the Authorising Officer and Specialist Trace Officer must:

Step	Action
1	complete Part C item 1 of form <a href="#">DCI1(B)</a> ;
2	retain Parts A-C of form <a href="#">DCI1(B)</a> for 14 months for audit purposes;
3	complete Part E item 4 of form <a href="#">DCI1(B)</a> , detach and return to originating office;

### Allocation refused - employment inspired cases

50. If any of the refusal circumstances above apply, and the Authorising Officer refuses the allocation of a NINO, the Authorising Officer and Specialist Trace Officer must:

Step	Action
1	complete Part C item 1 of form <a href="#">DCI1(E)</a> ;
2	retain form <a href="#">DCI1(E)</a> for 14 months for audit purposes;
3	complete a <a href="#">DCI10J</a> and issue it to the customer.

51. For employment inspired applications, the [DCI10J](#) should be issued to the customer by the Central Control Unit (CCU).

### Allocation refused - Local Authority cases

52. If any of the refusal circumstances above apply, and the Authorising Officer refuses the allocation of a NINO, the Authorising Officer and Specialist Trace Officer must:

Step	Action
1	complete Part B item 5 of form <a href="#">DCI1(LA)</a> ;
2	retain Parts A-B of form <a href="#">DCI1(LA)</a> for 14 months for audit purposes;
3	complete Part C item 3 of form <a href="#">DCI1(LA)</a> , detach and return to originating office;

### Allocation refused - Tax Credit cases

53. If any of the refusal circumstances above apply, and the Authorising Officer refuses the allocation of a NINO, the Authorising Officer and Specialist Trace Officer must:

Step	Action
1	complete Part C item 1 of form <a href="#">DCI1(TC)</a> ;
2	retain Parts A-C of form <a href="#">DCI1(TC)</a> for 14 months for audit purposes;
3	complete Part E item 4 of form <a href="#">DCI1(TC)</a> , detach and return to originating office;

**Note:** In ALL cases, form [CA5400](#) should be returned to the Stockholder.

## General

### If an application is refused because the customer:

- has been unable to prove their identity;
- **has been unable to prove their “right to work”**;
- has not replied to correspondence;
- is an immigration offender;
- has produced evidence of identity documents that are not genuine;
- has produced what is believed to be suspect proof of employment

the CCU must arrange for all paperwork relating to the application to be copied and referred to the [National Insurance Number Allocation Project \(NAP\)](#) along with form [DCI10K](#).

### Allocation refused – LMS 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”**

54. In addition, undertake Labour Market System (LMS) action as follows:

Step	Action
1	access LMS and click on the Client icon. ‘Identify Client’ window opens;
2	<a href="#">retrieve Client record</a> by clicking Detail button;
3	from ‘View Client Details’ window, click IntHist button to open ‘Interventions History’ window;
4	Click Detail button from Intervention History window and if more than one interview is listed, detail each interview until NINO EOI interview is shown in the App type. Ensure the correct NINO EOI interview is accessed;
5	click NActn button to open sub window with list of Nactns;
6	highlight the required reason for NINO refusal: <ul style="list-style-type: none"> <li>• refused – EOI uncorroborated</li> <li>• refused – NINO not required</li> <li>• refused – <a href="#">NIFU</a> decision</li> <li>• <b><u>record NINO Refusal - no proof of right to work in LMS conversations</u></b></li> </ul> and click Select button;
7	‘Completed Interview’ window is re-displayed showing the NActn added as a description;
8	for employment inspired applications only, repeat steps 5, 6 and 7. Highlight <a href="#">DCI10J</a> issued and click Select button;
9	if <a href="#">DCI10K</a> action has been taken, repeat steps 5, 6 and 7. Highlight Refer to <a href="#">NIFU</a> and click Select button;

10	click Save button. Message displays Interview record saved successfully. Click OK;
11	click Close button to close the 'Completed Interview' window. The 'Intervention History' window is redisplayed;
12	click Close button to close the 'Intervention History' window and return to the 'View Client Details' window;
13	<a href="#">create Conversation</a> and record reason for NINO refusal <b>Note:</b> Remember that any recorded conversations are available to the customer under the Data Protection Act.

### Allocating a National Insurance Number

55. If the Authorising Officer decides to allocate a National Insurance Number (NINO), take all normal Departmental Central Index (DCI) [dialogue DCI006 action](#).

56. Enter information in all relevant fields of form\_CA5400 and any supporting documents if appropriate.

57. Record the newly allocated NINO on the appropriate DCI1 form.

58. Note the Labour Market System (LMS) as follows:

Step	Action
1	access LMS and click in the Client icon;
2	retrieve 'Client Record' by clicking Detail;
3	from 'View Client Details' window, click IntHist button, click Detail button. If more than one interview is listed detail each interview until NINO EOI Interview is shown in the App type box., ensure the correct NINO EOI Interview is accessed;
4	'Completed Interview' window displays. Click on NActn button, highlight 'New NINO Allocated' and click on select button;
5	click on NActn button, highlight ' <a href="#">DCI10A</a> issued' and click on select button;
6	actions are displayed on the 'Completed Interview' window. Click on save button;
7	message displays Interview record saved successfully, click ok;
8	click on close button to close 'Completed Interview' window;
9	message displays Interview record saved successfully, click ok;
10	click on close button to close the 'Intervention History' window and return to the 'View client details' window;
11	click on Amnd button on the 'View Client Details' window;
12	'Amend client details' window displays. Enter the NINO in the NINO field <b>Note:</b> If LMS Temporary NINO/ LMS Customer Record, recorded, overtype this with new NINO;
13	click Save button to update the changes to the client record;
14	a message will display to show client details have been successfully

	updated. Click ok;
15	click Close button to close 'View Client Details' window;
59. Complete action as follows:	
Step	Action
1	record NINO on form <a href="#">CA5400</a> at page1;
2	for employment inspired applications: <ul style="list-style-type: none"> <li>• complete and issue <a href="#">DCI10A</a> to the customer; and</li> <li>• complete form <a href="#">DCI1(E)</a> Part D items 5 and 7;</li> </ul>
3	for benefit inspired applications: <ul style="list-style-type: none"> <li>• complete and issue <a href="#">DCI10A</a> to the customer;</li> <li>• complete form <a href="#">DCI1(B)</a> Part D items 5, 7 and Part E; or</li> <li>• complete form <a href="#">DCI1(LA)</a> Part D items 5, 7 and Part E; or</li> <li>• complete form <a href="#">DCI1(TC)</a> Part D items 5, 7 and Part E;</li> </ul>
4	return Part E of the DCI1 form to the originating office via courier/post/e-mail, as appropriate..
5	complete form <a href="#">DCI7</a> : <ul style="list-style-type: none"> <li>• in an employment inspired case;</li> <li>• in a Centralised Benefits case;</li> <li>• if the applicant is a partner of a benefit claimant;</li> <li>• in a Housing Benefit/Council Tax Benefit case</li> </ul> and retain with form DCI1;
6	pass to Checking Officer for Post allocation checks as appropriate.

### Use of dialogue DCI006 – creating a Departmental Central Index record

60. The Allocation Officer should allocate the National Insurance Number (NINO) using dialogue DCI006.

61. Dialogue DCI006 is only available to the Allocation Officer at the Central Control Unit (CCU).

62. Use dialogue DCI006 to allocate a NINO online.

**Note:** Users must record the details held on the documentary evidence when allocating a NINO.

### Departmental Central Index Front Line Services

63. [Departmental Central Index \(DCI\) Front Line Services](#) are a specialist section based at Longbenton, Newcastle upon Tyne. They are responsible for maintaining the integrity of data on the DCI system.

64. [DCI Front Line Services](#) are responsible for Personal Details and DCI Advice Line who monitor the total amount of users with access to dialogue DCI006.

## How to use dialogue DCI006

### Surname/family name

65. Input the surname/family name of Name 1 if this name is supported by the documentary evidence of identity. If Name 1 is not supported by documentary evidence, input the name that is shown on the documentation. Completion of this field is mandatory.

### First/other forename(s)

66. Input the forename(s) of Name 1 if they are supported by the documentary evidence of identity. If Name 1 is not supported by the documentary evidence, input the forename(s) that are shown on the documentation. Completion of this field is mandatory.

67. If the first/other forename is longer than 58 characters, input [>] as the last character. This will allow the full name to be input.

### Customer is using two names at the same time

68. If the customer wishes to use two names at the same time, both must be recorded on DCI.

### Customer is now using a different name

69. The customer may hold documentary evidence in one name but is now using another name. Providing you are satisfied that the customer is who they say they are, ask the benefit section to record the new name on their system when the benefit claim is registered.

### Title

70. Completion of this field is mandatory. Enter the following titles:

- Mr;
- Mrs;
- Miss;
- Ms;
- Dr;
- Rev.

### Requested name

71. This field should only be completed if the customer wishes to use a title other than Mr, Mrs, Miss, Ms, Dr, or Rev, or wants official correspondence to show any honours or decorations. For example:

[SMITH]

[JANE]

[ ]

[MISS]

[ LADY JANE SMITH]

[JONES]

[ROBERT]

[ ]

[SMITH]

[JOHN]

[ ]

[MR JOHN SMITH MBE]

[MR]

[LORD BENTON]

72. If the requested title is longer than 58 characters, input [>] as the last character.

### **Century indicator**

73. This field is mandatory. The century of birth is determined by the century indicator. Input:

- [8] for 19<sup>th</sup> century;
- [9] for 20<sup>th</sup> century;
- [0] for 21<sup>st</sup> century.

### **Date of birth and verification**

74. This field is mandatory. Input the date held.

75. Record the date of birth as verified only when the original birth certificate has been produced or a Decision Maker has decided that the date is verified.

76. Some customers, usually a Person From Abroad, may not be able to provide evidence to confirm their date of birth. They may only be able to provide the year of birth. Record the date as follows:

- date given by customer [??/??/74], input as [31/12/74].

77. If the customer supplies the month and year, use the last date of the month as follows:

- date given by customer [??/06/74], input as [30/06/74].

### **Sex**

78. The field is mandatory. Input either:

- [M]ale; or
- [F]emale

**Note:** Under the Gender Recognition Act 2004, transsexual people who apply for and are granted a Gender Recognition Certificate will be recognised in law as being of the opposite gender to his or her birth gender.

### **No fixed address**

79. This field is mandatory. If the customer does not have a fixed address, input [Y] and tab through the address field.

80. If an address is held, input [N] then input the customer's current residential address.

### **Address**

81. When a [N] is input in the NFA field, completion of this field is mandatory.

82. Do not input non residential addresses, for example:

- jobcentre plus;
- post offices;
- prisons.

83. This type of address should be input as a correspondence address on the benefit paying system.

**Postcode**

84. Completion of this field is optional but every effort should be made to input the correct postcode. Input the code in two parts separated by a space.

**Information input**

85. When the information has been input:

Step	Action
1	press Enter;
2	input complete names if the [>] symbol has been used as the last character in any of the name fields. The system will automatically go to screen DCI006 018;
3	press Enter again.

**Automatic tracing**

86. Before a NINO is allocated on line, DCI checks for any records already held which match the input details.

87. After the Enter key has been pressed, if there are any matching records the automatic trace results screen will be displayed.

**Automatic trace results**

88. Up to six matching DCI records can be displayed together with the following message:

- the above records match details input – press End if you wish to continue with allocation.

**More than six matching records**

89. The six matching DCI records will be displayed as well as the following screen message:

- the above records, and others, match details input – press End if you wish to continue with allocation.

**No matching records**

90. If there are no matching DCI records, the following screen message will be displayed:

- no records match details input – press End if you wish to continue with allocation.

**Viewing a matching record**

91. Any matching DCI records identified at this stage should have been checked during the trace. To double check this:

- if six or less matching DCI records, note the NINOs and view in dialogue DCI001; or
- if more than six matching DCI records, use [dialogue DCI003](#) to trace these matching records and view using dialogue DCI001.

**Note:** Viewing matching DCI records at this stage will involve the cancellation of the NINIO allocation.

92. It is imperative that any records displayed on the Automatic Trace Results screen are checked to ensure they do not belong to the customer. Failure to do so may result in a duplicate NINO being allocated.

**Note:** A 100% check takes place on all allocations where DCI offers possible traces.

### **Completing the allocation**

93. If there is no need to view the matching DCI records or there are none, complete the allocation by pressing the End key. The NINO allocated screen DCI006 019 will appear with the NINO allocated.

94. A newly allocated NINO will not appear on DCI until the next day. The new NINO must be noted on form [DCI1\(B\)](#), [DCI1\(E\)](#), [DCI1\(LA\)](#) or [DCI1\(TC\)](#) before leaving the screen showing the new NINO. However, if the user misses the NINO screen, they can contact the [DCI Adviceline](#) who will confirm the NINO. This will prevent the allocation of two NINOs for the same person on the same day.

### **Dialogue DCI006 - best practices**

95. Use the following best practices before/when using dialogue DCI006:

- ensure all customer information is recorded in the same way. For example, if form [CA5400](#) has been completed, ensure that the identity details match the information held on the allocated NINO;
- if during the allocation process the system fails, it is advisable to check the case the next day before consideration is given to repeating the allocation. In urgent cases, the [DCI Adviceline](#) can confirm whether the NINO allocation was successful.

### **Surname/family name**

96. It is important that the surname or family name is recorded correctly.

### **Title**

97. There are six standard titles on DCI. If a title is to be input other than Mr, Mrs, Miss, Ms, Dr or Rev, the Requested Title field in addition to the Title field will need to be used.

### **Requested name**

98. Use when customers have non-standard titles, honours, decorations etc. They may have asked to be addressed using their full title. If a standard title is input in this field, the field is being used incorrectly.

### **Date of birth**

99. This is the key to fast and accurate tracing. It is essential that it is recorded accurately.

### **Allocation made in error**

100. If a National Insurance Number (NINO) has been allocated in error because:

- the customer has no entitlement to benefit; or

- has no employment: and
- no other NINO exists for the customer; and
- no form [CA5400](#) has been completed

101. the NINO must be removed from Departmental Central Index (DCI). Notify [DCI Frontline Services](#) using form [DCI7](#)

### Upgrading an existing National Insurance Number

102. If the decision is to upgrade an existing National Insurance Number (NINO) held on the Departmental Central Index (DCI) system, [take all normal action using dialogue DCI007](#).

103. Complete form [DCI3](#).

104. Undertake Labour Market System (LMS) activity as follows:

Step	Action
1	access LMS and click in the Client icon;
2	<a href="#">retrieve 'Client Record'</a> by clicking Detail;
3	from the 'View Client Details' window, click the IntHist button, select the 'Evidence of Identity interview' and click the Detail button, ensure the correct NINO EOI Interview is accessed;
4	the 'Completed Interview' window displays. Click on NActn button, highlight Existing NINO Upgraded and click on Select button;
5	click on NActn button, highlight <a href="#">DCI10A</a> issued and click on Select button;
6	new actions are displayed on the 'Completed Interview' window. Click on Save button, message displays Interview record saved successfully. Click OK;
7	click on Close button to close 'Completed Interview' window. Message displays Interview record saved successfully, click OK;
8	click on Close button to close the 'Intervention History' window and return to the 'View Client Details' window;
9	click on Amnd button, Amend 'client details' window displays;
10	enter the NINO in the NINO field <b>Note:</b> If LMS Temporary NINO recorded, overtype this with new NINO;
11	click Save button, a message will display to show client details have been successfully updated. Click OK;
12	click Close button to close 'View Client Details' window.

105. Complete action as follows:

Step	Action
1	record NINO on form <a href="#">CA5400</a> at page1;
2	for employment inspired applications: <ul style="list-style-type: none"> <li>• complete and issue <a href="#">DCI10A</a> to the customer; and</li> <li>• complete form <a href="#">DCI1(E)</a> Part D items 6 and 7;</li> </ul>
3	for benefit inspired applications: <ul style="list-style-type: none"> <li>• complete and issue <a href="#">DCI10A</a> to the customer;</li> </ul>

	<ul style="list-style-type: none"> <li>• complete form <a href="#">DCI1(B)</a> Part D items 6, 7 and Part E; or</li> <li>• complete form <a href="#">DCI1(LA)</a> Part D items 6, 7 and Part E; or</li> <li>• complete form <a href="#">DCI1(TC)</a> Part D items 6, 7 and Part E;</li> </ul>
4	return Part E of the DCI1 form to the originating office via courier/post/ e-mail as appropriate;
5	pass to Checking Officer for Post allocation checks as appropriate.

### Creating a Conversation

106. To create a conversation record in LMS, take the following action:

Step	Action
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. Always start the message with NINO EOI;
4	click Save button, message displays New conversation details saved. Click OK;
5	click Close button to close the window.

### Viewing a Conversation

107. To view a conversation record in LMS, take action as follows:

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.

### Post allocation action

#### Dispatch of form CA5400 to Inland Revenue National Insurance Registrations

108. Once the National Insurance Number (NINO) has been allocated, form [CA5400](#) and accompanying documentation must be locked away securely by the Allocating Officer until any post-allocation checks have been carried out.

109. When the Checking Officer has identified the cases required for checking, they must obtain the relevant form [CA5400](#) and accompanying documentation from the Allocating Officer, ensuring the form [CA5400](#) local control record, or similar system, is completed.

110. After the post-allocation check, form [CA5400](#) and accompanying documentation must be transferred securely to [HM Revenue and Customs National Insurance Registrations \(NI Regs\)](#) using a blue security pouch.

111. The method of despatch of form [CA5400](#) must be noted on the CA5400 local movement record or similar. All movements of form [CA5400](#) between offices should be accompanied by an [EF413](#) receipt in duplicate.

### **Action by Inland Revenue National Insurance Registrations**

112. On receipt in [HMRC NI Regs](#) section:

- the pouch containing form [CA5400](#) and supporting documentation will be opened;
- details of form [CA5400](#) will be entered on the logging database;
- one copy of the [EF413](#) receipt will be completed and returned to the Central Control Unit (CCU).

113. Where there are queries regarding whether a form [CA5400](#) has been received by [NI Regs](#), the [NI Regs Call Centre](#) must be contacted.

### **Return of form CA5400 from Inland Revenue National Insurance Registrations**

114. If [NI Regs](#) need to return any form [CA5400](#) to the CCU for further enquiries, the form must be returned using a blue chequered security pouch and numbered security tag. The form must be returned to the CCU that referred it and acknowledgement slip [EF413](#) should be completed and included in the pouch.

115. [NI Regs](#) will complete an [EF413](#) receipt in triplicate with details of the:

- total number of [CA5400](#) forms contained in the pouch;
- CCU/Local Office (LO) name and number that the pouch is being sent to; and
- contact details for [NI Regs](#).

[NI Regs](#) will attach a schedule listing all form [CA5400](#) serial numbers which are enclosed within the pouch together with two copies of the [EF413](#) receipt.

116. The original [EF413](#) receipt and a copy of the schedule are retained by [NI Regs](#). If the acknowledgement [EF413](#) receipt has not been received by [NI Regs](#) within 10 working days, they will contact the relevant CCU/LO.

## **Forms and letters**

### **Form CA5400**

117. Form CA5400 is the application form to be registered for a National Insurance Number (NINO).

**Form DCI1(B)**

118. Form DCI1(B) is the form used to request a NINO in benefit inspired applications.

**Form DCI1(E)**

119. Form DCI1(E) is the form used to request a NINO in employment inspired applications.

**Form DCI1(LA)**

120. Form DCI1(LA) is the form used to request a NINO in Local Authority inspired applications.

**Form DCI1(TC)**

121. Form DCI1(TC) is the form used to request a NINO in Tax Credit applications.

**Form DCI3**

122. Form DCI3 is the form used to action the upgrade of a NINO from level 3 to level 1.

**Form DCI7**

123. Form DCI7 is the form used to request a NINO be retained/removed from Departmental Central Index.

**Form DCI10A**

124. Form DCI10A is the letter issued to a customer to advise them of their NINO.

**Form DCI10D**

125. Form completed by the customer to declare that third parties can be contacted for corroborative purposes

**Form DCI10J**

126. Form DCI10J is the letter issued to a customer refusing their application for a NINO where they have not been able to fully prove their identity.

**Form DCI10K**

127. Form DCI10K is the form issued to National Identity Fraud Unit to notify them that a customer's application for a NINO has failed.

**Form EF413**

128. Form EF413 is the receipt form used to accompany documents being transferred between sites.

### **RD3**

129. A card issued to the customer advising them of their National Insurance Number

### **Useful addresses and contact numbers**

#### **DCI Adviceline**

- Room BP9102 Benton Park View, Longbenton, Newcastle upon Tyne, NE98 1YX. Tel: 0191 225 4343. Fax 191 225 5511.

#### **DCI Frontline Services**

- Room BP9102 Benton Park View, Longbenton, Newcastle upon Tyne, NE98 1YX. Tel: 0191 225 9164. Fax: 0191 225 5511

#### **HM Revenue and Customs, National Insurance Registrations**

- HM Revenue and Customs, National Insurance Registrations, Room BP1002 Benton Park View, Longbenton, Newcastle upon Tyne, NE98 1ZZ. Tel: 0845 815 7006

#### **National Identity Fraud Unit Advice Line**

- Room 410, Newcroft House, Market Street, Newcastle upon Tyne, NE1 6ND. Tel: 0191 215 2828. Fax 0191 225 7560.

#### **NINO Allocation Project**

- Room 12, Holborn House, Caxton Road, Fulwood, Preston, PR2 9ZZ Tel: 01772 234044, Fax 01772 234031