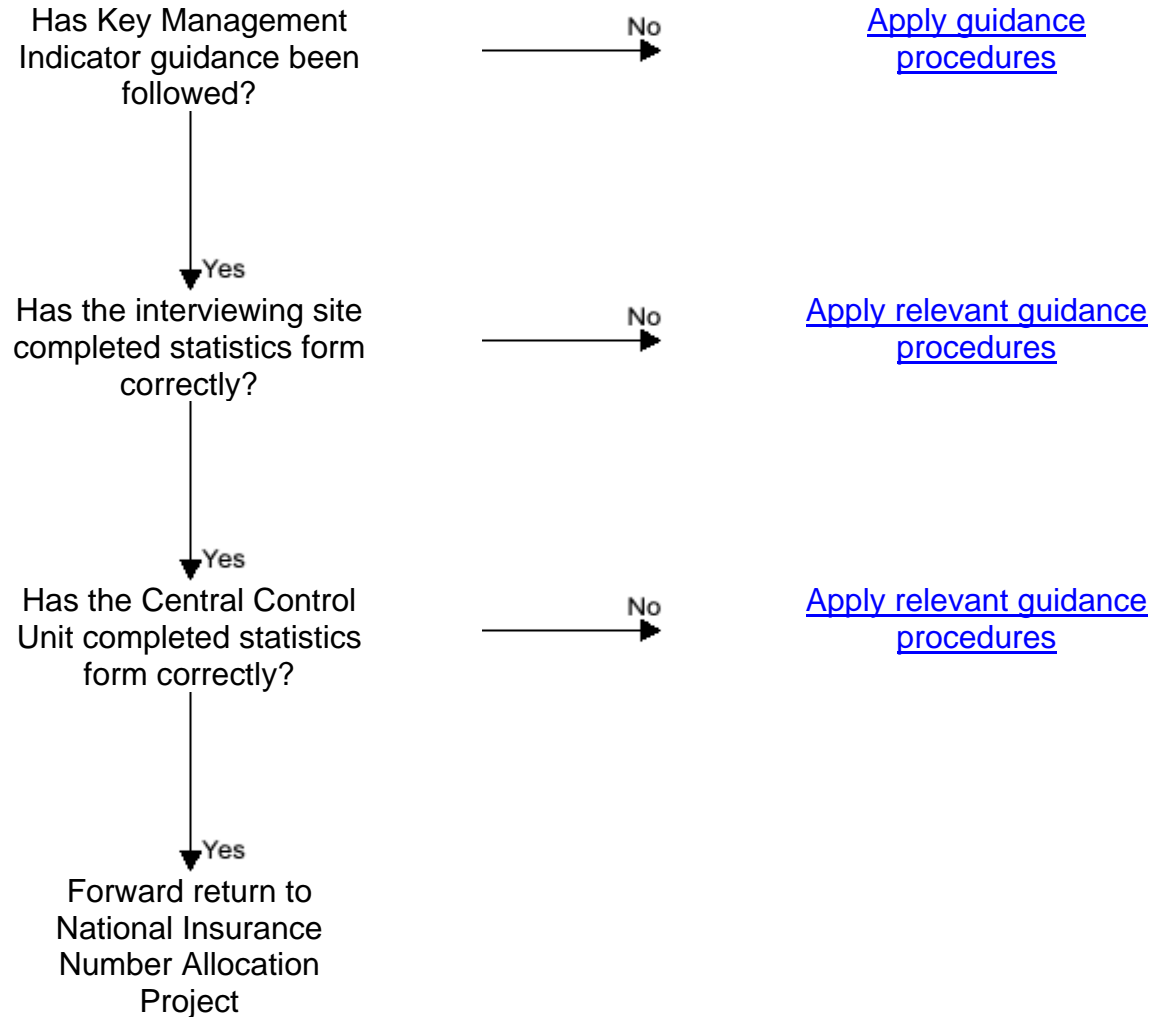


SNAP Guidance

Essential Actions

Statistics



Supporting Information

Statistics

National Insurance Number application statistics

1. The collection of National Insurance Number (NINO) application statistics is the responsibility of all NINO interviewing sites.
2. The collation of NINO application statistics is the responsibility of the Central Control Unit (CCU).

Key Management Indicator information

3. The Key Management Indicator (KMI) for the enhanced NINO process is as follows:
 - 86% of NINO applications to be processed within 30 working days of first contact.
4. KMIs are not additional targets but have been developed to be used as management tools in monitoring performance.
5. Any queries about the collection or collation of KMI statistics should be referred to the [National Insurance Number Allocation Project \(NAP\)](#).

What does processed mean?

6. Processed means:
 - NINO allocated;
 - NINO refused;
 - customer failed to attend (twice for benefit cases, once for employment cases);
 - application cancelled/withdrawn;
 - NINO traced pre/post interview;
 - NINO upgraded.

What does first contact mean?

7. This is the date that the application is treated as initiated.
8. An application is treated as initiated:
 - for employment inspired applications, the day a customer makes first contact with the interviewing site either by telephone, in person or by mail;
 - for benefit inspired applications, the day the DCI1 (B, CB or TC) is received at the interviewing site;
 - for local authority inspired applications, the day the DCI1LA is initially received at the Central Control Unit (CCU) for trace action prior to forwarding to the interviewing site.

Recording of Key Management Indicator

9. Revised clerical statistics sheets have been available since April 2003.
Note: All statistics are now published on the Management Information Portal on the Intranet.

Guidance for interviewing sites

10. The clerical statistics pro forma, Appendix 1 of DCI Bulletin 01/03, must be returned to the Central Control Unit (CCU) by the close of play of the first working day of each month.
11. A manager's signature is required and should be at least Band C. The second signatory must check the calculations.
12. The figure outstanding at the end of each month must be an accurate reflection of the work outstanding at the interviewing site.
13. If you are unsure how to complete the clerical statistics proforma, full details follow.

Line 1 – applications Brought Forward

14. This is the number of applications outstanding, excluding rework, at the end of the previous month and must match the previously recorded Carried Forward (C/F) figure.

15. CCUs will now not accept any variances in the Carried Forward/Brought Forward figures.

Line 2 – applications initiated this month

16. This figure is how many applications were initiated at your site during the month, excluding rework.

Note: Ensure this data is gathered and recorded accurately.

17. If on first contact the completion of a DCI1E is delayed, for example details only taken for completion later, then the application is still initiated.

18. Sites that have regional variations, for example Call Centres, should liaise to ensure an accurate figure.

19. If you are unsure of an initiated date, please contact your CCU for advice.

20. This figure will not include rework sent back from the CCUs.

Line 3 – number of all applications cleared as Failed to Attend

21. A Failed to Attend (FTA) is recorded when a customer has:

- failed to attend two interviews for a benefit inspired application;
- failed to attend one interview for an employment inspired application.

22. If a customer has only FTA once for a benefit inspired application, do not record as an FTA.

23. Again, do not include any rework.

24. All FTAs, irrespective of date initiated, should be recorded on this line.

Line 4 – applications cleared as Failed to Attend

25. Leave blank.

Line 5 – applications cleared as Failed to Attend within 30 working days

26. Leave blank

Line 6 – applications cleared to the Central Control Unit (standard interview)

27. Record the total number of applications, excluding rework, where the site has completed all action following a standard interview and the application has been referred on to the CCU.

Line 7 – applications cleared to the Central Control Unit (non standard interview)

28. Record the total number of applications, excluding rework, where the site has completed all action following a non standard interview and the application has been referred on to the CCU.

Note: An application where the site has already conducted the [Evidence of Identity/Right to Work \(EOI/RTW\) Interview](#) but is still awaiting further information from the customer, should not be recorded at lines 6 or 7 until such time as it is forwarded to the CCU.

Line 8 – applications cleared to the Central Control Unit (no interview required)

29. Record the total number of applications, excluding rework, where the site has completed all action but no interview was required, for example cancelled or withdrawn applications, and the application has been referred on to the CCU.

Note: It is important that all applications that are cancelled or withdrawn are forwarded on to the CCU for recording (towards the Key Management Indicator information).

30. Where an application is referred on to the CCU for possible pre-interview trace, a certain amount of communication with the CCU will be required. An application should only be recorded on this line if the pre-interview trace is successful. It must not be recorded if the pre-interview trace is unsuccessful.

Line 9 – total number of applications cleared to the Central Control Unit

31. Line 9 is the sum of lines 6, 7 and 8 (line 9 = line 6 + line 7 + line 8).

Line 10 – applications Carried Forward

32. This is the number of applications outstanding, excluding rework, at your site at the end of each month. All sites are encouraged to regularly corroborate this figure by carrying out a site count. This figure will include work that was initiated at any time.

33. Calculate the figure to be recorded here as follows:

- line 1 + line 2 minus line 3 + line 9 = line 10.

Note: The figures recorded must tally with this equation. Line 10 cannot contain any minus figures.

Line 11 – applications cleared to the Central Control Unit within Local Indicator

34. The Key Management Indicator (KMI) is a regional indicator as opposed to a district indicator, that is the 30 working days covers the interviewing site and the CCU. Field Directors and/or Regional Performance Managers may benchmark the process between the two sites and introduce a local indicator.

35. If the process is benchmarked, then line 11 may be used to assist management with measurement.

36. If the process is not benchmarked in your region, line 11 may be left blank.

Line 12 – applications outstanding (initiated prior to 01.04.03)

37. Leave blank.

Line 13 – applications outstanding

38. Record the total number of applications, excluding rework, that are outstanding in your site.

Note: Figure in line 13 must equal the figure in line 10.

Line 14 – applications outstanding more than 30 working days old

39. Record the total number of applications, excluding rework, that are outstanding on your site which are more than 30 working days old.

Note: If your site was achieving any local indicator set, then this figure would not be expected to be rising significantly.

Line 15 – total number of re-work appointments outstanding

40. At the end of each month, you must do a count of all applications, returned by the CCU for rework, which have not been cleared.

41. An application where the site has already conducted the [Evidence of Identity/Right to Work \(EOI/RTW\) interview](#) but is still waiting on further information from the customer, not previously sent to the CCU, is not rework.

Guidance for Central Control Units

42. Sites will be completing the clerical statistics sheet which they must fax to the Central Control Unit (CCU) by close of play of the first working day of each month.

43. If CCUs are having difficulty obtaining a completed sheet from a site, please contact the site manager/supervisor. If a sheet is still not forthcoming, please contact your regional National Insurance Number Action Group (NAG) member or Regional Performance Manager to obtain assistance.

44. CCUs must then return their statistics sheet to the [National Insurance Number Allocation Project \(NAP\)](#) by close of play on the fourth working day of each month along with a copy of all sites statistics sheets.

45. This can be done by either faxing [NAP](#) or in the form of a spreadsheet. If CCUs prefer to use a spreadsheet, they must still retain a copy of all the original site returns.

46. A manager's signature is required and this must be at least Band D.

47. CCUs collating the stats for the region must not accept any pro formas from sites which have a variance in the brought forward/carried forward figure from the previous month. The pro forma should be returned to the site manager for immediate correction and if the CCU then experience any difficulty, they should contact their regional NAG member or Regional Performance Manager to obtain assistance.

48. The figure outstanding at the end of each month must be an accurate reflection of the work outstanding at the CCU.

49. If you are unsure how to complete [Appendix 2](#), full details follow.

Line 1 – applications Brought Forward

50. This is the number of applications outstanding at the CCU at the end of the previous month and must match the previously reported Carried Forward (C/F) figure. It should include work in your brought forward (B/F) or database, however you count your rework at sites, which is pre allocation, that is rework. NAP will not accept variances in the C/F or B/F figures.

Line 2 – applications received this month from sites

51. This will be the total number of applications received from sites but will exclude rework received back from sites.
52. Applications referred for a pre-interview trace should only be included in this line where the trace has been successful.

Line 3 – applications not processed

53. Record the total number of applications not processed because existing National Insurance Numbers (NINOs) were traced and confirmed prior to the [Evidence of Identity/Right to Work \(EOI/RTW\) interview](#) taking place.

Line 4a – applications refused/identity not corroborated

54. Record the total number of applications refused because the customer's identity was not corroborated at the EOI interview.

Line 4b - applications refused/false documentation

55. Record the total number of applications refused because the customer's identity documentation was found to be false.

Line 4c – applications refused/National Insurance Number not required

56. Record the total number of applications refused because it was established that a new NINO was not required.

Line 4d – applications refused/application withdrawn

57. Record the total number of applications refused because the customer withdrew the application ([post interview](#)).

[Line 4e – applications refused/application withdrawn](#)

[58. Record the total number of applications refused because the customer withdrew the application \(pre- interview, LA applicants only\).](#)

[Line 4f – Right to Work not established](#)

[59. Record the total number of applications refused because Right to Work not established](#)

Line 5 – National Insurance Number traced (post interview)

60. Record the total number of applications not processed because an existing NINO was traced and confirmed following the EOI interview.

Line 6 – National Insurance Numbers upgraded

61. Record the total number of NINOs upgraded in the month.

Line 7 – National Insurance Numbers allocated

62. Record the total number of NINOs allocated during the month.

Line 8 – applications Carried Forward

63. This must be the number of applications outstanding at the CCU at the end of each month. It should include work in your B/F or database, however you count your rework at sites, which is pre allocation, that is rework.

64. All CCUs are encouraged to regularly corroborate this figure by carrying out a site count. This figure will include work initiated at any time.

65. Calculate the figure to be recorded here as follows:

- line 1 + line 2 minus lines 3 + 4e + 5 + 6 + 7 = line 8.

Line 9 – applications processed as Failed to Attend

66. Leave blank.

Line 10 – applications processed as Failed to Attend within 30 working days

67. Leave blank

Line 11 – applications processed at the Central Control Unit

68. Record the total number of applications processed.

Line 12 – applications processed within 30 working days

69. Record the total number of applications processed within 30 working days.

Line 13 – percentage of applications cleared within 30 working days (region)

70. This will reflect how the region did towards meeting the Key Management Indicator (KMI). For those regions that have more than one CCU, the CCU should complete this line as a reflection of the CCU and the sites for which the CCU is responsible for statistics collation.

71. The figure should be calculated using the following equation:

- lines 10 + 12 divided by lines 9 + 11 multiplied by 100.

Line 14 – applications outstanding at the Central Control Unit (pre April 2003)

72. Leave blank.

Line 15 – applications outstanding at the Central Control Unit

73. Record the total number of applications that are outstanding at the CCU. It must also include work in your B/F or database, however you count your rework, which is pre allocation, that is rework.

Line 16 – applications outstanding which is rework more than 30 working days old

74. Record the total number of applications that are in the CCU B/F or database, however you count your rework, which is pre allocation, that is rework, and is more than 30 working days old.

Line 17 – applications outstanding at the Central Control Unit

75. Record the total number of applications, including work in the CCU B/F or database, however rework is counted, which is pre allocation, that is rework, that are outstanding in the CCU which are more than 30 working days old.

Note: If the CCU are contributing towards the achieving of the KMI within the region, this figure would not be expected to be rising significantly.

Line 18 – applications outstanding in region

76. Record the total work outstanding in the region, that is:

- total outstanding at CCU + total outstanding at all sites.

77. For those regions operating more than one CCU, the CCU should complete this line as a reflection of the CCU and the sites for which the CCU is responsible for statistics collation.

78. This line will include work that has been initiated at any time. The figure must be the sum of the statistics provided by the sites and the CCU figure.

79. The [National Insurance Number Allocation Project](#) recognise that this figure will not include work in transit.

Useful addresses

NINO Allocation Project

- Room 12, Holborn House, 1 Caxton Road, Fulwood, Preston, PR2 9ZZ.
01772 234149. FAX 01772 234031.