# CHAPTER H, - Customer Functions, Part 6 – NINo Allocation

## IMPORTANT Before reading this chapter please see the following links

NINo and Identity Management Team and the

Secure NINO Allocation Process (SNAP) Guide

## NINo Application Window

1. The ‘NINo Application’ window is accessible via the [NINo/RefNo] hotspot on the Client Record and the ‘NINo Application Summary List’ window.
2. The ‘NINo Application’ window consists of 11 areas, selectable by tab, comprising of the following sections, of which only one is displayed at any one time:
* Registration – registration and application status details;
* always available;
* Employment – employer details and applicant employment status and history;
* available after recording the initial registration details. Only available if ‘Application source’ is ‘Right to Work’;
* amend mode for a HUB or Satellite Officer is available if the ‘Process Stage’ is ‘Registration’, ‘At HUB’ or ‘Interview’;
* amend mode for CCU Officers is available if the ‘Process Stage’ is ‘In Process’ or ‘Completed’;
* Forms – form information, linking a form to an application;
* available after recording of initial registration details;
* Additional Addr – additional address details;
* available after recording of initial registration details;
* Clarification – to issue a ‘Clarification Request’;
* available after recording of initial registration details.
* Duplicate – duplicate application;
* available after recording of initial registration details;
* Trace – details of specialist NINo trace activity performed;
* available after recording of initial registration details;
* Interview – interview requirements and status details;
* available after recording of initial registration details;
* Documents – details of examined and retained EOI documents;
* available if ‘Process Stage’ is ‘Interview’, ‘In Transit’, ‘In Process’, ‘Rework Interview’ or ‘Completed’;
* Decisions – decisions made by NDC;
* available after completion of initial EOI interview;
* Letter – details of the latest letter issued or to be issued;
* available after recording of initial registration details;
* BF Action – details of the latest BF action issued or to be issued;
* available after recording of initial registration details;
1. Use the arrows to move the tabs across the window.
2. It’s not possible to switch between sections while in amend mode.
3. The ‘Application Summary’ bar shows the applicants current ‘Process Stage’ and the date on which the current ‘Process Stage’ was set
4. You can close the ‘NINo Application’ window ‘Registration‘ section at any time after opening. If you haven’t made changes, the window will close and the ‘Client Details’ window will be displayed
5. If you have made changes but they are incomplete and cannot be saved the following message will be given:

|  |
| --- |
| "You have started to register an application for a NINo. Do you want to finish the initial registration details before closing? |
| [Yes] [No]" |

1. Clicking on [Yes], the ‘Registration’ section will be displayed unchanged.
2. Clicking on [No], the ‘Client Details’ window will be displayed, and the incomplete registration details will be lost.
3. If you have entered sufficient details so that the amendments can be saved, on selecting [Close] the following message will be given;

|  |
| --- |
| "Data has changed.Do you want to save before closing? |
| [Yes] [No] [Cancel]" |

1. Clicking [Yes] will save the amended NINo Application details and return you to the ‘Client Details’ window
2. On clicking [No], the NINo Application amendments will be lost and you will be returned to the ‘Client Details’ window.
3. Clicking [Cancel] will leave the ‘NINo Application’ window unchanged in amend mode.

### NINo Application Summary list

1. The ‘NINo Application Summary List’ window is accessible through the [NINo/RefNo] hotspot on the ‘Client Details’ window and the [List] hotspot on the ‘Duplicate’ section of the ‘NINo Application’ window.
2. The registration date, process stage, interview status, interview location and interview date details are displayed for each application recorded for the applicant.

## NINo Allocation Users

NB For the purpose of this guide NINo Delivery Centre (NDC) is still referred to as Central Control Unit (CCU)

1. All NINo users should have the ‘NINo Allocation?’ indicator set in their Officer Record in LMS.

### NINo Officer

1. An Officer has an LMS user role ‘Team Member’ and can register applications for a NINo, book appointments for EOI interviews and record progress of an application.

### NINo Customer Adviser (NCA)

1. An NCA has an LMS user role ‘Team Member/Decision Maker’ and conducts EOI interviews and can also act as an Officer.

### NINo Supervisor

1. A Supervisor has an LMS user role ‘Manager/Team Leader’ and can record authorisations and can also act as an NCA or an Officer.
2. NCAs and NINo Supervisors cannot carry out CCU functions.

### Mobile NCA

1. As NCA but with the ‘Home Appointments Allowed?’ indicator set to ‘Yes’ in their Officer record in LMS and ABS skill settings for ‘mobile’ for EOI appointments.

### CCU Officer

1. As NINo Officer but located in a CCU (Glasgow or Isle of Wight). Can progress a Standard Fastpath application (but not a Non-Standard Fastpath) or any EOI application (except Home Office GPP).

### Specialist

1. Located in a CCU, a specialist has an LMS user role of ‘Team Member/Decision Maker’. As CCU Officer but also able to progress Non-Standard fastpath applications and Home Office applications.

### CCU Supervisor

1. As NINo Supervisor but located in a CCU.

## Register an Application for a NINo

1. When you receive an application for a NINo, or take an incoming call wanting to register an application, search LMS to determine if a customer record already exists. See Chapter H, Part 1
2. If no record exists then you will need to create a new record from details on the form or by calling the customer.

### Create New Customer Details

1. Details required to register an application for a NINo are:
* Forename, Surname, Title (which determines Sex), DoB, Employment Status;
* Primary Benefit;
* JP Details;
* DP details;
* Address and postcode (you will not be able to register an application for a NINo without recording an address and postcode);
* Contact telephone number (you will receive a message advising this must be recorded if it is not).
1. [Save] the client details. These will now be displayed in view mode. The [NINo/RefNo] hotspot, at the top left of the window, provides access to the NINo Allocation functionality. (This hotspot will always be visible to an Officer, but to a non-NINo user will appear only if an Officer has previously saved an application for a NINo for the customer).
2. Click on the [NINo/RefNo] hotspot to create a new application for a NINo.
3. If a NINo is already recorded then LMS will revalidate it. If the NINO is invalid (eg it is a temporary ‘TN’ value) then the following message will be given:

|  |
| --- |
| "An invalid NINo is recorded. You cannot register an application for a NINo if an invalid NINo is recorded for the customer. |
| [OK]” |

1. Click [OK]. The client details will be displayed again so that you can amend them.
2. With the client details in amend mode, blank out the characters in the ‘NINo/RefNo’ field and [Save]. A ‘RefNo’ will now appear in the field and you can try to register the application again.
3. If you [Save] the client details with no address and postcode recorded the following message will be given:

|  |
| --- |
| "You must record an address and postcode to register an application for a NINo |
| [OK]” |

1. Click [OK]. The client details will be displayed so that you can amend them before trying the [NINo/RefNo] hotspot again.
2. If the customer has no telephone number, or there is a valid NINo already present the following message will be given:

|  |
| --- |
| "Please note: (if a valid NINo is recorded) There is already a NINo recorded for this customer.(If no telephone number is recorded) There is no telephone number for appointment booking.Whether or not any of the above is displayed, the following is given:Do you wish to proceed to register an application for a NINo? |
| [Yes] [No]" |

1. Clicking [No] will display the client details so you can amend the details before trying the [NINo/RefNo] hotspot again.
2. Clicking [Yes] will open the ‘NINo Application’ window (Registration section) in create mode with the ‘Application Type’, ‘Application Source’ and ‘Related Benefits’ fields as ‘None Selected’.
3. In the ‘Application Type’ field you can choose from ‘EOI’ or ‘Fastpath
4. In the ‘Application Source’ field:
* If the ‘Application Type’ is ‘EOI’ you can choose from:
* Right to Work;
* Benefits – DCI1(B);
* Local Authority – DCI1(LA);
* Tax Credits – DCI1(TC);
* Student Loan;
* Home Office GPP (Gateway Protection Programme).

The above options will be available for initial registration by a NINo Officer outside a CCU.

* If the ‘Application Type’ is ‘Fastpath’ you can choose from:
* Standard – CA5407;
* CAR – CA5409; (Charity, Assets and Residents);
* VA – CA5409: (Veterans Agency);
* IPC – CA5409: (International Pensions Centre);
* HMF – CA5409: (Her Majesty’s Forces) NB Use this choice for HMF - CA5407;
* NTC – CA5409: (New Tax Credits);
* CB – CA5409: (Child Benefit);
* RoW – CA5409: (Rest of the World);
* Miscellaneous – CA5409;
* Home Office SEF (Statement of Evidence Form);
* Home Office CRE (Case Resolution Exercise).

The ‘Standard – CA5407’ option will be available for initial registration by a NINo Officer outside a CCU; the rest will be available to Specialists only.

1. The ‘Related Benefit’ field is non-amendable until an ‘Application Source’ has been selected.
2. If the ‘Application Source’ is:
* ‘Right to Work’ choose from the following related benefits:
* None
* Attendance Allowance;
* Bereavement;
* Child Benefit;
* Council Tax Benefit;
* Disability Living Allowance;
* Disabled Persons Working Tax Credit;
* Housing Benefit;
* Employment and Support Allowance;
* Incapacity Benefit;
* Income Support;
* Invalid care Allowance;
* Jobseeker’s Allowance;
* Maternity Allowance;
* New Tax Credit;
* Pension Credit;
* Retirement Pension;
* Severe Disablement Allowance;
* Social Fund;
* Tax Credits;
* War Disablement Pension;
* War Widow’s Pension;
* Widows Benefit;
* Working Family Tax Credit.
* ‘Benefits – DCI1(B)’ choose from:
* Attendance Allowance;
* Bereavement;
* Child Benefit;
* Disability Living Allowance;
* Employment and Support Allowance;
* Incapacity Benefit;
* Income Support;
* Invalid Care Allowance;
* Jobseeker’s Allowance;
* Maternity Allowance;
* Pension Credit;
* Retirement Pension;
* Severe Disablement Allowance;
* Social Fund;
* War Disablement Pension;
* War Widows Pension;
* Widows Benefit.
* ‘Local Authority – DCI1(LA)’ choose from:
* Council Tax Benefit;
* Housing Benefit.
* ‘Tax Credits – DCI1(TC)’ choose from:
* Disabled Persons Working Tax Credit;
* New Tax Credit;
* Tax Credits;
* Working Family Tax Credits.
1. In the case of ‘Right to Work’ and ‘Benefits’, ‘Jobseeker’s Allowance’ will not be an option if the ‘Employment Status’ is not ‘Unemployed, Claiming JSA Under 6 Months’ or ‘Unemployed, Claiming JSA Over 6 Months.
2. Once you have chosen a ‘Related Benefit’, LMS will check the value against the current settings of the ‘Primary Benefit’ and ‘Pension Credit’ fields on the Client Details.
3. If the Primary Benefit does not correspond to the chosen Related Benefit the following message is given:

|  |
| --- |
| "The Related Benefit for the Application does not correspond with the currently recorded Primary benefit |
| [OK]” |

1. Clicking [OK] will return you to the ‘Related Benefit’ field.
2. If you have chosen ‘Pension Credit’ and the ‘Pension Credit’ field on the ‘Client Details’ window is not set as ‘Yes’ the following message will be given:

|  |
| --- |
| "You have selected Pension Credit as the Related Benefit for the application, but the applicant is not recorded as on Pension Credit. Do you wish to set the Pension Credit indication and continue to register the application? |
| [Yes] [No]" |

1. Clicking on [Yes] will close the message and the ‘Related Benefit’ will remain ‘Pension Credit’.
2. Clicking [No] will return you to the ‘Related Benefit’ field.
3. If the ‘Application Source’ is ‘Right to Work’ or ‘Standard – CA5407’, LMS will display the ‘BIA’ field ( Border and Immigration Agency). This field has two options;
* Applicable (default for ‘Standard – CA5407’); and
* Not Applicable (default for ‘Right to Work’).
1. These are amendable by a NINo Officer if the ‘Process Stage ‘ is ‘Registration’ or ‘At Contact Centre’, otherwise they are amendable by a CCU Officer only.
2. If the ‘Application Source’ is ‘Right to Work’ and the BIA is changed from ‘Not Applicable’ to ‘Applicable’, then **LMS will change the ‘Application Type’ to ‘Fastpath’ and the ‘Application Source’ to ‘Standard – CA5407**’.
3. The ‘Related Benefit’ will remain unchanged, but if you wish to change it the only option available will be ‘None’.
4. If the ‘BIA’ field is ‘Applicable’, LMS will display a ‘BIA Reference’ field into which you can enter text, or leave blank until the BIA reference is available.
5. If you choose to [Amend] the BIA Reference the following message will be given:

|  |
| --- |
| "You have changed the BIA Reference.If you also wish to change the Application Type, then please use the EOI/Fastpath switch function |
| [OK]” |

1. If no exceptions have occurred [Save] the application. The ‘Process Stage’ field will be displayed with ‘Registration’ dated as the current date. The Officer name and initial, and the office mnemonic of the office to which the Officer is currently assigned will be displayed. If the ‘Related Benefit’ is Pension Credit, LMS will set the ‘Pension Credit’ indicator on the client record to ‘Yes’ if it was previously ‘No’
2. An ‘Application History’ record will be created and the following message will be given:

|  |
| --- |
| "Initial registration details have been successfully saved |
| [OK]” |

1. Clicking [OK] displays the ‘NINo Application’ window ‘Registration’ tab in view mode.
2. Note: An ‘Application History’ record is created each time the ‘Process Stage’ is updated.
3. The following message is given:

|  |
| --- |
| "If there are problems with the application request then you can record them now and print a Clarification Request.Do you wish to do this now? |
| [Yes] [No]" |

1. Clicking [No] will close the message and display the ‘NINo Application’ window unchanged.
2. Clicking [Yes] will close the message and display the ‘NINo Application’ window with the ‘Clarification’ section available in amend mode.

### Composing a Clarification Request

1. If you wish to issue a Clarification Request, display the ‘Clarification’ section of the ‘NINo Application’ window in amend mode. The text fields will be blank.
2. If the ‘Application Source’ is ‘Local Authority – DCI1(LA)’ the ‘Signatures’ field will be set at ‘Non Selected’ and you can change this to ‘Matched ‘ or ‘Not Matched’ as required.
3. You can enter free text for the ‘Addressee/Destination’ fields, or you can use the [NCA], [EMP], [CAR], [VA] [IPC] hotspots to populate the ‘Addressee/Address’ fields as follows:
* [NCA] (NINo Customer Adviser) – Name (initial and surname) and office address for the NCA from the latest EOI or EOI rework appointment for the applicant, if there is an appointment;
* [Emp] (Employer) – Name and office address for the NINo Employer Contact, if recorded against the application;
* [CAR] (Charity, Assets and Residents) - Address details from the NINo Allocation Agency Address database;
* [VA] (Veterans Agency) – Address details from the NINo Allocation Agency Address database;
* [IPC] (International Pensions Centre) – Address details from the NINo Allocation Agency Address database.
1. If you use the above hotspots to retrieve the Addressee/Destination you will be unable to amend these details.
2. Clicking on [Clear] will clear these fields and make them amendable again.
3. Enter free text for:
* Housing Benefit Ref (‘Application Source’ ‘Local Authority – DCI1(LA) only);
* Amendments Required;
* Additional Information.
1. Click on [Save]. The following message will be received:

|  |
| --- |
| "Record Successfully Saved |
| [OK]” |

1. Click [OK]. The Officer surname and initial, Office mnemonic and Request Date fields will be completed automatically.
2. Click on [Print] to print a Clarification Request.
3. Click on the ’BF Action’ section and queue a ‘BF Action’ with the reason ‘Awaiting reply to Clarification Request’.

### Switching Application Type

1. If you have an application with ‘Application Type’ ‘EOI’ and ‘Application Source’ ‘Right to Work’ or ‘Application Type’ ‘Fastpath’ and ‘Application source’ ‘Standard – CA5407’, you can switch to ‘Fastpath’ or ‘EOI’ respectively by clicking on the [Switch] toolbar button.
2. If the ‘Application Source’ is ‘Right to Work’ and the EOI appointment is less than 5 working days from today’s date, it is too late to switch to ‘Fastpath’, and the following message will be given:

|  |
| --- |
| "The EOI interview date for this application is within 5 working days from today.It is too late to switch to ‘Fastpath’. |
| [OK]” |

1. Clicking [OK] will close the message and return you to the registration view with no changes made.

#### ‘EOI’ to ‘Fastpath’

1. Otherwise if the ‘Application Source’ is ‘Right to Work’ the following message will be given:

|  |
| --- |
| "You have requested to switch Application Type from EOI to Fastpath. This will cancel any outstanding EOI appointment.Do you wish to continue? |
| [Yes] [No]” |

1. Clicking [No] will close the message with no further action.
2. Clicking [Yes] will close the message and set the ‘Application Type’ to ‘Fastpath’ and the ‘Application Source’ to ‘Standard – CA5407’.
3. If you are a NINo Officer outside a CCU the ‘Process Stage’ will be set to ’At Contact Centre’, otherwise it will be set to ‘Registration’.
4. The change will be recorded as a new record in the ‘Application History’.
5. If there is an outstanding EOI interview this will be automatically cancelled with the reason ‘EOI/Fastpath switch’.
6. If there is a NINo Employer Contact associated with the application and the ‘Fastpath’ indication in the NINo Employer is set to ‘No’, this will be set to ‘Yes’.
7. [Save] the changes.

####  ‘Fastpath’ to ‘EOI’

1. If the ‘Application Source’ is ‘Standard – CA5407’ the following message will be given:

|  |
| --- |
| "You have requested to switch Application Type from Fastpath to EOI. You should subsequently book an appointment for an EOI interview.Do you wish to continue? |
| [Yes] [No]” |

1. Clicking [No] will close the message with no further action.
2. Clicking [Yes] will close the message and set the ‘Application Type’ to ‘EOI’ and the ‘Application Source’ to ‘Right to Work.
3. The ‘Process Stage’ will be set to ‘Registration’.
4. The change will be recorded in a new record in the ‘Application History’.
5. [Save] the changes.
6. If you are a CCU Officer, LMS will send a ‘Book EOI Appointment’ workflow request, for immediate attention, to the HUB nearest the NINO Employer associated with the application and the following message will be given:

|  |
| --- |
| "A request to book an EOI appointment has been queued for the ‘NINo HUB Admin’ team at the <office name> office. |
| [OK]” |

1. Click [OK] to close the message.

### Informing the CCU of a Fastpath Application

1. If you are not based in a CCU and have registered an application for a NINo with an ‘Application Type’ of ‘Fastpath’ and ‘Application Source’ of ‘Standard – CA5407’, click on the [Inf CCU] button.
2. LMS will retrieve the postcode from the NINo Employer Address, determine the nearest NINo Allocation HUB office to the postcode and the chosen CCU will be the owning CCU for the located HUB.
3. LMS will send a workflow request with action type ‘NINo Allocation Standard Fastpath Registered’ for immediate attention, to the NINo Fastpath Admin Team at the chosen CCU to enable a CCU Officer to access the NINo application directly.
4. The following message will be given:

|  |
| --- |
| "A Standard Fastpath Application for a NINo has been registered, and the Fastpath Admin Team at <office name> has been notified. |
| [OK]”. |

1. Click [OK] to close the message.

### View/Amend Previous Applications

1. If the customer has at least one application for a NINo already recorded, clicking on the [NINo/RefNo] will open the ‘NINo Application Summary List’ window. Choosing an application will open the corresponding ‘NINo Application’ window.
2. If the application has an outstanding ’Awaiting reply to Clarification Request’ BF Action, identify the registering NINo Officer and pass the application details to that person (or person acting on their behalf).
3. On receipt of the application the registering NINo Officer should make any amendments as necessary to the recorded information and complete the BF Action.
4. For pre-LMS 28 applications, if the ‘Process Stage’ is ‘Error Correction’, completing the pre-LMS 28 BF Action ‘Awaiting Response from local authority’ will set the ‘Process Stage’ back to ‘Registration’ and record the change in the ‘Application History’.

### Record Duplicate Application

1. If the new application is on a paper form and an existing application is being processed, register a duplicate application by clicking on [New] in the ‘NINo Application’ window and creating new registration details.
2. Select the ‘Duplicate’ section for the newly registered application in amend mode. Click on the [List] hotspot to display the ‘NINo Applications Summary List’ window. Select an application and click the [Link] button. The ‘NINo Application Summary List’ window will close and the ‘Duplicate’ section will show non-amendable information from the original application, indicating the ‘Status’ at the time of linking.
3. Before the ‘Duplicate Application Notification’ can be printed, the initial EOI appointment for the original application must have been booked. If the ‘Process Stage’ is ‘Registration ‘ or ‘At HUB’ then LMS will not link to the selected application and the following message will be given to prompt you to book or request the booking of the required appointment before being able to complete the recording of the duplicate application and issue the ‘Duplicate Application Notification’:

|  |
| --- |
| "No EOI appointment booked for previous application |
| [OK]” |

1. Enter information in the ’Destination‘ fields and ‘Additional Information’ field and click [Save].
2. You can enter information in the ‘Destination’ fields by using the [Emp], [NCA], [CAR], [VA], [IPC] hotspots to extract name and address details from the system.
3. If you retrieve details using these functions you will not be able to amend them.
4. For free text information, choosing [Clear] will clear the fields and make them amendable again.
5. If no link to an earlier application has been made. The application ‘Process Stage’ will stay as ‘Registration and the following message will be given:

|  |
| --- |
| "Duplicate details have not been completed. The application has not yet been linked to a previously registered application. |
| [OK]” |

1. Clicking [OK] will display the ‘NINo Application’ window in view mode with the ‘Duplicate’ section showing.
2. If a link to an earlier application has been made, on the ‘Registration‘ section the ‘Process Stage’ will be set to ‘Duplicate’ and the change recorded in the ‘Application History’.
3. Click [Print] to print the ‘Duplicate Application Notification’ to send to the originator of the paper form that requested the duplicate application.
4. You cannot print the DCI 10R form at the ‘Duplicate’ process stage.

### Record Additional Address

1. From the ‘NINo Application’ window click on the ‘Additional Address’ section. Click on [Amend]. Enter the applicant’s additional address, postcode and telephone number as required. You can use the [Postcode] hotspot to identify and install the address.
2. If the additional address is to be used as the correspondence address for NINo allocation purposes, set the ‘Correspondence Address’ check box to ‘Yes’. Otherwise the address on the ‘Client Details’ window will be treated as the correspondence address.
3. Click on [Save].

### Record Employment Details

1. If the application is employment-inspired, after registering the application the ‘Employment ‘section will become available to record details of the applicant’s employer, and applicant’s employment status and history.
2. Select the ‘Employment’ section of the ‘NINo Application’ window in amend mode.
3. Amend mode for the ‘Employment’ section, for a HUB or Satellite Officer, will be available if the ‘Process Stage’ is ‘Registration’, ‘At HUB’, ‘Interview’, or ‘Rework Interview’. For a CCU officer, it will be available if the Process Stage is ‘In Process’. Or ‘Completed’.
4. Request and record on the system the following details:
* Employer’s name;
* Employer’s address;
* Employer’s contact telephone number;
* The applicant’s oCCUpation – free text;
* If the applicant is looking for work – ‘Yes/No’ check box;
* If the applicant is self-employed – ‘Yes/No’ check box;
* If the applicant has previously worked in the UK – ‘Yes/No’ check box.
1. Select the [Movements] hotspot to open the ‘Applicant Movements’ window.
2. Record whether or not the applicant is from an EU member state via the ‘Yes/No’ check box.
3. If the applicant is from an EU member state the ‘Permission from Home Office’ and ‘Home Office Visa Status’ fields will be disabled.

**NB**: Although applicants from Bulgaria and Romania are from an EU member state, in some circumstances they **must** have permission from the Home Office in order to work in the UK. Please see A2 nationals, in the SNAP guide for further information. For applicants from these countries, select ‘yes’ in the check box and record in conversations that documentation from the Home Office is required so that right to work can be establish.

1. Otherwise record, via the ‘Yes/No’ check box, whether the applicant has been granted permission from the Home Office to work and record the applicant’s ‘Home Office Visa Status’ from the following drop-down list:
* Holidaymaker;
* Work;
* Asylum seeker;
* Student/dependant;
* Returning UK citizen;
* Self employed;
* To join partner.
1. If you set the ‘From EU Member state’ to ‘Yes’, this will clear the ‘Permission from Home Office’ and ‘Visa Status’ fields and they will become blank.
2. Request and record:
* ‘The ‘Date of Entry to the UK’. If the current date is entered, an error message will be received. The date entered must be in the past. This field can be left blank if it’s not applicable.
* Whether or not the applicant has previously visited the UK via the ‘Yes/No’ check box. If you record ‘Yes’ enter the dates of the applicants previous visits in the ‘From’ and ‘To’ Date fields.
* Whether the applicant has left the UK for any periods of longer than 28 days in the last 2 years via the ‘Yes/No’ check box. If you record ‘Yes’ enter the dates of the applicants previous absences in the ‘From’ and ‘To’ Date fields.
1. If you subsequently clear the check box(es), then all the corresponding dates will be deleted and appear as blank fields.

Note: If the dates had previously been recorded in the database, they may be retrieved via the ‘Reset Field’ function of the ‘Edit’ menu item.

1. If either of the last 2 indicators above are set to ‘Yes’ the ‘Dates to be provided at interview’ ‘Yes/No’ check box will be enabled for you to record whether or not the applicant has agreed to provide or confirm the dates information at the EOI interview.
2. The ‘Dates to be provided at interview’ check box will be set to ‘No’ if both the ‘Previously Visited’ and ‘Left UK’ check boxes are set to ‘No’. You will not be able to amend this field until one or other of the check boxes is set to ‘Yes’.
3. Click [Save]. The following message will be given if any ‘From’ and ‘To’ date does not have a matching pair counterpart:

|  |
| --- |
| "’From’ and ‘To’ dates must be entered in pairs |
| [OK]” |

1. Clicking [OK] will close the message and leave the cursor set on the earliest blank date.
2. If any ‘From’ date is earlier than a corresponding ‘To’ date, or, from the second row onwards, any ‘From’ date is earlier than the ‘To’ date above the following message will be given:

|  |
| --- |
| "’From’ dates must be earlier than ‘To’ dates and date ranges must be in ascending order |
| [OK]” |

1. Clicking [OK] will close the message and leave the cursor set on the earliest date.
2. If any date range, between ‘From ‘ and ‘To’, in the ‘Left UK’ array is 28 days or less, the following message is given:

|  |
| --- |
| "Absences of 28 days or less cannot be recorded |
| [OK]” |

1. Clicking [OK] will close the message and leave the cursor set on the earliest ‘From’ date in the ‘Left UK’ array.
2. If the ‘Application Type’ is ‘EOI’ and either or both ‘Visited UK’ and ‘Left UK’ are ‘Yes’ then the ‘Dates to be provided at interview’ checkbox is available for you to adjust as necessary.
3. If you subsequently set both ‘Visited UK’ and ‘Left UK’ to ‘No’, LMS will set the ’Dates to be provided at interview to ‘No’ and it will not be available to view or amend until ‘Visited UK’ or ‘Left UK’ has been set to ‘Yes’.
4. Clicking the [Check] hotspot on the ‘Employment’ section opens the ‘Employer Check’ window for you to view, and in amend mode, update details of any pre-interview or CCU employer check.
5. Select [Hide] to close the ‘Employer Check’ window. If details have been entered and saved, the [Check] hotspot on the ‘Employment’ section will be re-named [Checked].

### Link a NINo Employer to an Application

1. In the ‘NINo Application For: name’ window, click on the ‘Employment’ tab. This view will only be available if the ‘Application Source’ is ‘Right to Work’, ‘Standard – CA5407’ or ‘HMF – CA5409’.
2. Click on the [Employer Link] hotspot to open the ‘Identify NINo Employer’ window to conduct a NINo Employer search.
3. Enter search criteria in:
* ‘Ref No’ – NINo Employer reference number, by itself, for a single employer search (This criteria is not allowed with other fields);
* ‘Name’ – Employer name. Free text with ‘wildcard’ searches allowed;
* ‘Postcode – full or partial. You can enter a postcode via the [Postcode] hotspot;
* ‘HMF’ – Indicates if NINo Employer is HMF (Her Majesty’s Forces);
* ‘Fastpath’ – Indicates if NINo Employer is appropriate for Fastpath Applications.
1. Click on [Srch]. If the combination of search criteria is not allowed, a message will be received to that effect.
2. If the criteria is valid the following will happen:
* If multiple records are found, the ‘NINo Employer List’ window will open;
* If a single record is found, the ‘View NINo Employer’ window will open;
* If no records are found and the search criteria was not for a full postcode, a message will be received informing you that no NINo Employer records were found;
* If no records are found and the search criteria was a full postcode (via the [Postcode] hotspot) the following message will be given:

|  |
| --- |
| "The postcode search failed to find an employer.Do you wish to create a new employer record? |
| [Yes] [No]” |

* Clicking [No] will close the message and you can search again.
* Clicking [Yes] will close the message and create a new NINo Employer record displaying default details. Complete the NINo Employer record and create at least one ‘Contact’ using the [NewCnt] button.
1. **Note**: Direct access to the ‘Identify NINo Employer’ window is available, for NINo Officers only, via a menu item ‘NINo Allocation’ on the main LMS Desktop.
2. In the ‘View NINo Employer’ window, open the ’View NINo Employer Contact’ window by highlighting the ‘Contact’ required and clicking on the [CntDets] button.
3. Click on the [Link] button in the ‘View NINo Employer Contact’ window (the ‘Employment’ section for the Application for a NINo should be displayed at the same time.).
4. The following message will be given:

|  |
| --- |
| "You have requested to link this employer contact to an application for a NINo for <initial> <surname>Do you wish to continue? |
| [Yes] [No]” |

1. Clicking [No] will close the message.
2. Clicking [Yes] will close the message and the following message will be given:

|  |
| --- |
| "Record Successfully Saved |
| [OK]” |

1. On clicking [OK], LMS will display the employer details and the contact details in the ‘Employment’ section. The [Employer Details] hotspot is now available. Clicking on this hotspot opens the ‘View NINo Employer’ window for the employer now associated with the application via a NINo Employer contact.
2. To link a different NINo Employer contact, repeat the above process.

## Withdraw Application

1. The ‘Withdraw’ function is available during ‘Process Stages’ ‘Registration’, ‘At Hub’, ‘Interview’, and ‘In Process’ only.

### Before an interview has been booked

1. To withdraw a NINo application before an interview has been booked, click on the [Wdraw] button on the ‘NINo Application’ window toolbar.
2. The following message will be given:

|  |
| --- |
| "Further processing of this application will not be allowed after you have withdrawn it.Do you wish to continue? |
| [Yes] [No]” |

1. Clicking [Yes] will set the ‘Process Stage’ to ‘Withdrawn’ and record this in the ‘Application History’. The ‘NINo Application ‘ window will remain in view mode
2. Clicking [No] will continue to display the ‘NINo Application’ window unchanged. The application is not withdrawn.

### After an interview has been booked

1. Before their initial EOI interview, an applicant may ask to withdraw their current NINo application. They may also inform you that they now know their existing NINo and the application can be withdrawn.
2. Select [Wdraw] on the ’NINo Application’ window.
3. The following message will be given:

|  |
| --- |
| "Further processing of this application will not be allowed after you have withdrawn it.Do you wish to continue? |
| [Yes] [No]” |

1. On clicking [Yes], LMS will prompt you to choose either interview action ‘NINo Application Withdrawn’ or ‘NINo already exists’. LMS will cancel the outstanding EOI interview (if one exists) and record an interview action of ‘NINo application withdrawn’ or ‘NINo already exists’, as appropriate, and also an ‘Interview Cancelled’ interview action.
2. If there is no outstanding interview, LMS will apply an interview action of ‘NINo application withdrawn’ or ‘NINo already exists’, as appropriate to the most recently completed EOI interview record.
3. The ‘Process Stage’ will be set to ‘Withdrawn’ and the change recorded in the ‘Application History’. From this point no further changes or operations can be made on the ‘NINo Application’ window.
4. The inhibit on amending the ‘NINo/RefNo’ field on the client record will be lifted.
5. A NINo application will be withdrawn automatically when a FTA occurs for any employment-inspired initial EOI interview, or a ‘2nd Chance’ FTA occurs for any benefits-inspired initial EOI interview.
6. If a ‘last chance’ FTA occurs for a rework EOI interview, the system will not withdraw the application. An Officer at the CCU will withdraw the application, if required, or enter a decision.

## Book an Evidence of Identity (EOI) Appointment

1. You can only book and rearrange an EOI appointment via the ‘NINo Application’ window.
2. Booking and rearranging EOI interviews is restricted to Officers, and starting, updating and ending EOI interviews is restricted to NINo Customer Advisers (NCAs).
3. When you have completed the ‘Registration’ section, the ‘Interview’ section will be enabled for you to record information needed for the EOI interview.
4. Fields at the side of the ‘Interview date’ and ‘Rework Int Dt’ fields show the status of the interview:
* ‘Outstanding’ (default value)
* ‘In Progress’
* ‘Completed’
* ‘Cancelled’
* ‘Fail to Attend’

### Record Special Needs

1. If you cannot make contact with the applicant select ‘No’ from the ‘Needs Identified’ dropdown list.
2. If contact has been made and the applicant has special needs select ‘Yes’ from the ‘Needs Identified’ dropdown list and record whether the applicant requires any special needs facilities at the interview site:
* Wheelchair access;
* A room fitted with an audio loop;
* A private room.

### Record Applicant’s Interpreter Requirements

1. Record whether the applicant requires interpreter facilities
* The applicant will bring their own interpreter;
* The applicant requires an interpreter to be provided;
* If an interpreter is to be provided, the language required.
1. Select [Save]. If the ‘Needs Identified’ is ‘None Selected’, the following message will be given:

|  |
| --- |
| "The ‘Needs Identified’ field must be Yes or No |
| [OK]” |

1. Click [OK]. The ‘NINo Application’ window will be displayed in amend mode so you can set the ‘Needs Identified’ field.

NB. An automatic workflow is not created for an interpreter need.

### Mobile Interview Required

1. If a mobile interview is required (ie ‘Mobile NCA’ check box set to ‘Yes’), in amend mode:
* You may select the [Postcode] hotspot to identify and install the address for the required interview location, or if the interview is required at:
* A Jobcentre Plus office, click on the [Office] hotspot to select the required office, and install the office address and telephone number;
* The applicant’s address, click on the [Client Addr] hotspot to install the applicant’s address and telephone number, as recorded in the ‘Client Details’ window;
* At the applicants additional address, click on the [Addl Addr] hotspot to install the additional address and telephone number, as recorded in the ‘Additional Address’ section;
* If the ‘Application Source’ is ‘Employment’, click on the [Emp Addr] hotspot to install the employer address and telephone number, as recorded via the ‘Employment’ section, if this is the required location for the interview.
1. If a mobile interview is required and you are not located in a NINo Allocation HUB, the [Book] function will be disabled. You must hand-off the booking of the EOI interview to an Officer in a NINo Allocation HUB.
2. Select the [Admin] function to generate a ‘Book EOI appointment’ workflow item for the ‘NINo HUB Admin’ team, at a HUB office identified via the postcode of the required interview location.
3. If no postcode is specified, the postcode of the applicant’s correspondence address will be used.
4. On selecting [Admin], the ‘Send Booking Request to HUB’ window will open. The identified HUB office will be shown.
5. If you want to, you can choose a different office from the dropdown list.
6. If no postcode is available for the interview location or correspondence address, the [Send] function is disabled. You must select a HUB office. Once selected the [Send] function is enabled.
7. Select [Send]. The following message will be given to confirm the workflow has been queued:

|  |
| --- |
| "A request to book an appointment for a mobile NCA has been queued for the ‘NINO HUB Admin’ team at (office name) office |
| [OK]” |

1. Clicking [OK] will return you to the ‘Interview’ section of the ‘NINo Application’ window
2. If a ‘NINo HUB Admin’ team has not been set up at the target HUB allocation or the workflow cannot be issued for any other reason, then the following message will be given:

|  |
| --- |
| "There is no ‘NINO HUB Admin’ team at (office name) office.Please notify this HUB to book the applicant’s mobile EOI interview |
| [OK]” |

1. Clicking [OK] will re-display the ‘Send Booking Request to HUB’ window.
2. You can choose an alternative HUB to send the request to, or you can [Close] without issuing the workflow request.
3. If you choose [Close], the following message will be given:

|  |
| --- |
| "An appointment for the applicant’s mobile EOI interview should be booked at a HUB.Do you wish to exit without sending the request? |
| [Yes] [No]” |

1. Clicking [Yes] will redisplay the ‘NINo Application’ window.
2. Clicking [No] will give the ‘Send Booking Request to HUB’ window.

#### Process Booking Request at HUB

1. When you receive a ‘Book EOI Appointment ‘ workflow relating to a mobile interview, access the ‘NINo Application’ window for the applicant.
2. Access the ‘Interview’ section and click on [Book].

### Booking an EOI Appointment

1. Access the ‘NINo Application’ window for the applicant. Access the ‘Interview’ section and click on [Book]. This will open the ‘Create Appointment’ window.
2. The ‘Appt Type’ field will be pre-populated with the appropriate appointment type according to whether or not the applicant requires a mobile interview, and according to the ‘Process Stage’ of the application.
3. The [Browse] hotspot is not available and it is not possible to change the system selected appointment type.
4. The postcode field will be pre-populated with the postcode details (if present) from the applicant’s correspondence address, or the interview location if a mobile NCA interview is required.
5. You can override the pre-populated postcode by overtyping or selecting a specific office by clicking the [Office] hotspot.
6. If no postcode details are available you must specify an appropriate postcode or specific office location.

Note: Only NINo Allocation HUBs and Satellite offices will be presented for selection via the [Office] hotspot.

1. You can view any special needs the applicant may have by clicking on the [Facilities] button.
2. Search for a suitable appointment date, time and NCA by clicking [Search].
3. Suitable appointments at up to 3 HUB/Satellite offices will be given if you have used the postcode search option. Choose one of these appointments and click [Book] or request a further search.
4. If the time from the booking date to the appointment exceeds 14 days a warning message will be given encouraging you to search for an earlier appointment.
5. On clicking [Book] the ‘Complete appointment‘ window will open.
6. Record the documentation the applicant has agreed to bring to the EOI interview as appointment pre-requisites.
7. Complete the appointment notes as appropriate, print the appointment letter by clicking [PrtLtr] and click [Save].
8. This will return you to the ‘NINo Application’ window with the ‘Process Stage’ set to ‘Interview’ or ‘Rework Interview’ as appropriate. The ‘Process Stage’ change will be reflected in the ‘Application History’.
9. The workflow item will be completed and the ‘Workflow Action Details’ window will be closed if you are a HUB officer responding to a ‘Book EOI Appointment’ workflow request.
10. If the interview is a rework interview the system will automatically amend the associated ‘BF Action Review Date’ and the ‘Awaiting rework interview’ workflow ‘Required Date’ to be the appointment date.
11. When an appointment has been booked via the [Book] button, the [ReArr] function becomes available on the ‘NINO Application’ window in place of [Book], to enable you to rearrange a previously booked appointment.

#### KMI Targets

1. Once an interview has been booked, LMS will immediately calculate the ‘Interview Site Target Date’ and the ‘KMI Target Date’.
2. The ‘Interview Site target Date’ is calculated by counting ‘Interview Site KMI’ working days from the ‘Registration Date’, using the office calendar where the EOI interview is booked.
3. The ‘KMI Target Date’ is calculated by counting ‘Completion KMI’ working days from the ‘Interview Site target Date’ using the office calendar for the CCU associated with the interviewing office.
4. The ‘Interview Site Target Date’ and ‘KMI Target Date’ are displayed on the ‘Registration’ section of the ‘NINo Application‘ window. These dates are not amendable and will not change, even if the appointment is rearranged.

### Notify HUB of Applicants Special Needs

1. On clicking [Close] on the ‘Complete Appointment’ window, if any special needs are recorded ie:
* Wheelchair access;
* A room fitted with an audio loop;
* A private room.
1. and a mobile interview is not required, an ‘Arrange NINo Applicant Needs’ workflow will be generated to notify the ‘NINo HUB Admin’ team, at the owning HUB, to prepare the necessary arrangements. The following message will be given:

|  |
| --- |
| "This Applicant has special needs for their EOI interview.The (office name) HUB Admin Team have been notified.  |
| [OK]” |

1. If the ‘NINo HUB Admin’ team has not been set up at the target HUB location or the workflow request cannot be issued for any other reason the following message will be given:

|  |
| --- |
| "There is no ‘NINo HUB Admin’ team at the (office name) office.Please notify this HUB of the applicant’s special needs.  |
| [OK]” |

### Failed to Attend (FTA) Interview

1. If the applicant fails to attend for the appointed time of the EOI interview, use the [NActn] button on the ‘Outstanding Interview’ window and record ‘Failed to attend interview’ action.

### Cancel EOI Interview

1. For employment- inspired interview types, when the FTA action is recorded, the EOI interview will be automatically cancelled and an interview action ‘Interview Cancelled’ recorded.
2. For benefit inspired interview types, when a second FTA interview action is recorded, the EOI interview will be automatically cancelled and an interview action ‘Interview Cancelled’ recorded.
3. If the interview is an initial interview, the application ‘Process Stage’ will be set to ‘Withdrawn’.

### Cancel EOI Re-work Interview

1. If the FTA interview is a re-work interview, the interview will be automatically cancelled and an interview action ‘Interview Cancelled’ recorded.

#### Pass Application to CCU

1. If the FTA interview is a re-work interview, a BF Action type ‘Awaiting rework interview’ will have been recorded, to be checked by an Officer in the CCU.
2. On completion of the BF Action, the applicant ‘Process Stage’ will be set to ‘In Process’, and the change will be recorded in the ‘Application History’.

### Re-Arrange FTA EOI Appointment

1. When the ‘FTA’ interview action is recorded for the first time for benefit inspired interview types, the ‘FTA’ window will be displayed.
2. Click on the [ReArr] button to rearrange the EOI appointment.
3. You can also choose interview actions ‘NINo already exists’ or ‘NINo Application withdrawn’. On [Save] LMS will cancel the appointment.

## Pre-Interview NINo Trace

1. When an EOI appointment has been booked, but before the interview takes place you may perform a NINo trace.
2. The ‘Trace’ section of the ‘NINo Application’ window will be available to a Supervisor in a HUB or Satellite, while the ‘Process Stage’ is ‘Interview’.
3. The Supervisor selects the ‘Trace’ section and selects [Amend]. LMS automatically inserts today’s date into the ‘Authorisation Date’ field in the ‘Pre-Interview’ box. No further changes can be made until the authorisation has been saved. Click on [Save]
4. After the authorisation has been saved you will be able to view the ‘Trace’ section. Click [Amend] and amend the fields within the ‘Pre-Interview’ box.
5. Select ‘Yes’ or ‘No’ for ‘Possible NINo found’. If you select ‘Yes’, enter the traced NINo. Select ‘Yes’ or ‘No’ for ‘Confirmed as correct’, as appropriate. Select the ‘Verification Level’ from the drop-down list, as appropriate.
6. If you select [No] it will not be possible to enter a NINo, or ‘Confirmed as correct’, or ‘Verification Level’.
7. Select [Save].
8. LMS will record the Officer’s name and office and the amendment date against whichever of the ‘Possible NINo found’, ‘Confirmed as correct’ or ‘Verification Level’ fields have been updated.
9. While the ‘Process Stage’ is ‘Interview’, if any of the fields are subsequently amended, the amending Officers identifier will be recorded against each amended field, as appropriate, and the amendment date will be updated.
10. Once the ‘Process Stage’ has moved on from ‘Interview’, the ‘Pre-Interview’ trace details will be non-amendable.

## Pre-Interview Employer Checks

1. Details of the applicant’s employer will have been recorded, if the application is employment-inspired. An Officer in a HUB or Satellite may perform and record a pre-interview employer check.
2. Select the ‘Employment’ section of the ‘NINo Application’ window, in amend mode. Amend mode is available if the ‘Process Stage’ is ‘Registration’, ‘At HUB’ or ‘Interview’.
3. Select the [Check] hotspot. The ‘Employer Check’ window will open in amend mode, with the fields in the ‘Pre-Interview’ box available for amendment.
4. Record whether or not the employer has confirmed their awareness of the applicant via the ‘Employer Confirmed’ ‘Yes/No’ check box.
5. You can record further details in the ‘Employer Check Details’ free text field, up to a maximum of 200 characters.
6. Click on [Save]. LMS will display Officer name and Office and the amendment date.
7. Select [Hide] to close the ‘Employer Check’ window. The ‘Employment ‘section will be re-displayed. If ‘Employer Check’ details have been entered and saved, the [Check] hotspot will be renamed [Checked].
8. An Officer in a HUB or Satellite may subsequently amend any of the amendable fields on the ‘Pre-Interview’ box whilst the ‘Process Stage’ is ‘Registration’, ‘At HUB’ or ‘Interview’.

## Record Evidence of Identity

### Link Form to EOI Application

1. Open the ‘Forms’ section of the ‘NINo Application’ window in amend mode. If no CA5400 or MF47 application form has been assigned, assign a CA5400 or MF47 application form to the applicant.
2. The ‘Required Application Form Type’ will default to ‘CA5400’.
3. If a MF47 is being used, select ‘MF47’ from the drop down list.
4. Link the form to the application.

### Start the EOI Interview

1. On the client record click on the [O/S Int] hotspot to access the ‘Outstanding Interview’ window for the applicant’s EOI interview. Click on [Start].
2. If the ‘Required Application Form Type’ is not ‘MF47’ and:
* There is no ‘NINo Form Action’ associated with the application, or
* The latest such ‘NINo Form Action’ does not have ‘Form Type’ ‘CA5400’ or ‘CA5407’, or
* The latest such ‘NINo Form Action’ does not have ‘Form Status’ ‘Linked’.

the following message will be given and the interview will not be started:

|  |
| --- |
| "No CA5400 reference or MF47 indication has been recorded for the current NINo application. This information must be entered before the EOI interview can start  |
| [OK]” |

1. Click [OK]. The message will close. The interview remains with status unchanged and the ‘Outstanding Interview’ window will be re-displayed.
2. Change the ‘Required Form Type’ to ‘MF47’ or link a new or ‘Unassigned CA5400 form to the application.
3. When you have started the interview enter the appropriate interview actions.
4. The [DActn] button is enabled when an interview action is highlighted, to allow you to delete any incorrectly recorded interview actions before ending the interview.
5. To end the interview click on the [End] button. All interview actions since starting the interview will be saved and cannot now be deleted.

### Record Papers sent to Central Control Unit (CCU)

1. Prepare the CA5400 or MF47 application form and copies of all supplied EOI documents for transfer to the appropriate CCU. Record the date sent in the ‘Sent to CCU’ field on the ‘Interview’ section of the ‘NINo Application’ window. This field is only available for amendment if the interview status (next to the ‘Interview Date’ field) is ‘Completed’.
2. [Save] the change. LMS will set the application ‘Process Stage’ to ‘In Transit’ and write an ‘Application History’ record. The following message will be given:

|  |
| --- |
| “’Papers sent to CCU’ has been recorded for the applicant’ |
| [OK]” |

1. Clicking [OK] will close the message and the ‘Interview’ section of the ‘NINo Application’ window will be redisplayed.

## Record EOI Document Examination

1. Once the ‘Interview’ process stage has been reached you can access the ‘Documents’ section of the ‘NINO Application’ window.
2. You can enter/amend a ‘Receipt Issued’ date to record retention of documents for ‘Application Type’ ‘EOI’ or ‘Registration Date’ for ‘Application Type’ ‘Fastpath’, by selecting the current date or an earlier date, but no earlier than the initial interview date. Your initial, surname and office mnemonic will be displayed against this date. If a ‘Documents Returned’ date has been saved previously, then you will not be able to amend the ‘Receipt Issued’ date
3. You can enter/amend a ‘Documents Examined’ date by selecting the current date or an earlier date, but no earlier than the interview date. Your initial, surname and office mnemonic will be displayed against this date.
4. If a ‘Receipt Issued’ date has been recorded and saved, you will be able to choose a ‘Documents Returned’ date. Only dates later than the ‘Receipt Issued’ date and no later than the current date will be available. Your initial, surname and office mnemonic will be displayed against this date.
5. If a ‘Documents Returned’ date is set, you can enter ‘How Returned’ from:
* Non selected
* By post;
* By hand.
1. You can enter one or two ‘Passport Numbers’, if available, and choose the ‘Country of Issue’ in each case, from the drop down list.
2. You can enter an ‘ID Card Number’, if available, and choose a ‘Country of Issue’ from the drop down list.
3. Click on [Save].

## Complete Fastpath Application Details

1. In the ‘Forms’ section of the ‘NINo Application’ window for a ‘Fastpath ‘application, LMS will set the ‘Required Application Form Type’ according to the ‘Application Source’.
2. Other fields presented, dependant on the ‘Application Source’, are:
* ‘VA –CA5409’ – ‘DCI1(B) Received Date;
* ‘IPC – CA5409’ – ‘CA8378 Receipt Date’;
* ‘RoW – CA5409’ – ‘CA8378 Receipt Date’
* ‘Miscellaneous – CA 5409’ – ‘Reference for Miscellaneous Application’;
* ‘Home Office SEF’ – ‘Home Office Site’ choose from;
* ‘None Selected’ (non – resettable default)
* ‘Cardiff’
* ‘Central London’
* ‘Croyden’
* ‘Glasgow’
* ‘Leeds’
* ‘Liverpool’
* ‘Oakington’
* ‘Solihull’
* ‘West London’
* ‘Yaris Wood’;
* ‘Home Office CRE’ – ‘Home Office Site’ choose from;
* ‘None Selected’ (non- resettable default)
* ‘Croyden’
* ‘Glasgow’
* ‘Liverpool’.
1. CCU Officers can amend the fields in the list above by clicking on [Amend], entering details and [Save].
2. If you have entered a ‘CA8378 Receipt Return Date’ then LMS will display the ‘Officer Name’ and ‘Mnemonic’.
3. The ‘Sufficient Information Date’ field will be available when:
* Information has been filled in all the required fields;
* An application form has been linked to the NINo application record at the appropriate point in the process; and
* The ‘Form Status’ for the currently linked form is ‘Linked’ or Returned Linked’.
1. Click on [Amend], enter the required date and [Save].
2. The following message will be given:

|  |
| --- |
| "Saving the Sufficient Information Date will move the Process Stage on to ‘In Process and calculate the KMI Target date for the application. This will be irreversible.Do you wish to continue? |
| [Yes] [No]” |

1. Clicking [No] will close the message and delete the entered date. You can either try again or close without saving changes.
2. Clicking [Yes] will close the message
3. LMS will display the KMI Target Date in the ‘Registration’ section of the ‘NINo Application’ window. This is non-amendable and once calculated will not change.

## Process an Application for a NINo

1. When the papers for an application for a NINo arrive at the CCU, locate the client details for the applicant using the ‘Ref/No’, or name and DoB quoted in the papers.
2. Or you can use the ‘Form Reference‘ on the application form to view the client details via the [Applicant] button on the ‘NINo Application Form’ window (opened from the ‘NINo Form Search’ window (menu option on the LMS Desktop)).
3. Click on the [NINo/RefNo] hotspot to open the ‘NINo Application’ window. The ‘Registration’ section will show the ‘Process Stage’ ‘In Transit’.
4. Click on the ’Interview’ Section to see the date the papers were sent to the CCU. The displayed CA5400 number, or MF47 indication, should agree with the paperwork sent from the interview site.
5. Click on the ‘Decision’ section, in amend mode, and enter a date in the ‘Received at CCU’ field. This date should not be in the future or earlier than the ‘Sent to CCU’ date.
6. The ‘Received at CCU’ date will not be available if the ‘Application Type’ is ‘Fastpath’.
7. Click [Save]. LMS will update the ‘Process Stage’ to ‘In Process’ and record the event in the ‘Application History’. The ‘Record Successfully Saved’ message will be received.
8. Clicking [OK] will close the message and display the ‘Decision’ section with the change completed. Also displayed are:
* ‘Decision’ - ‘None Selected’;
* ‘Information for NIFU’ – blank;
* ‘Immigration Case’ – ‘None Selected’;
* ‘NIFU Notification Date’ – blank;
* [Check] – ‘Not Checked’.
1. Click the [Print] button and choose the ‘Cover Sheet’ option to print a Cover Sheet to accompany the paperwork. (This option will be available in view mode if the ‘Process Stage’ has reached or passed ‘In Process’).
2. The Cover Sheet can contain the following:
* Applicant’s recorded surname, forename and DoB;
* Applicant’s RefNo (from Client Details);
* A mnemonic ‘Type’ indication, dependant on ‘Application Source’;
* ‘Right to Work’ – ‘RtW’
* ‘Benefits – DCI1(B) - ‘B’
* ‘Local Authority – DCI1(LA) - ‘LA’
* ‘Tax Credits – DCI1(TC) - ‘TC’
* ‘Student Loan’ - ‘SL’
* ‘Home Office GPP’ - ‘GPP’
* ‘Standard – CA5407’ - ‘Std’
* ‘CAR – CA5409’ - ‘CAR’
* ‘VA – CA5409’ - ‘VA’
* ‘IPC – CA5409’ - ‘IPC’
* ‘HMF – CA5409’ - ‘HMF’
* ‘NTC – CA5409’ - ‘NTC’
* ‘CB – CA5409’ - ‘CB’
* ‘RoW – CA5409’ - ‘RoW’
* ‘Miscellaneous – CA5409’ - ‘Misc’
* ‘Home Office SEF’ - ‘SEF’
* ‘Home Office CRE’ - CRE’
* Application Form Type and Form Reference;
* For ‘Application Type’ ‘EOI’ only:
* Date of the EOI interview
* Date papers received at CCU
* Name of interviewing office (ie a HUB or Satellite)
* Interview Target Date
* KMI Target Date;
* Applicant’s Correspondence Address and Postcode.

### Link a Form to an NINo Application Record

1. When a form is linked to a NINo application record, the status of any existing associated form is set to ‘Unassigned’ if the existing form is ‘CA5400’. Or ‘Returned Unused’ if the form is a ‘CA5409’ issued to an applicant.
2. Click on the ‘Forms’ section of the ‘NINo Application’ window. The ‘Required Application Form Type’ will have been set by LMS and is not amendable unless the ‘Application Type’ is ‘EOI’, when you can amend the default of CA5400 to MF47 using the drop-down list.
3. Click on the [Link Form] hotspot.

### CA5400, BIA/CA5407, SEF

1. If the ‘Required Application Form Type’ is ‘CA5400’, ‘BIA/CA5407’ or ‘SEF’ a ‘Form reference’ window will open to allow you to type in a ‘Form Reference’.
2. Click on [Save]. If no form reference’ has been entered or if it is incomplete, the following message will be given:

|  |
| --- |
| "’Please enter a valid form reference. |
| [OK]” |

1. Clicking [OK] will close the message and return you to the ‘Form Reference’ field.
2. If the form reference is the same as that for a NINo Application form of the current ‘Form Type’ already recorded in the system and which does not have the ‘Form Status’ ‘Unassigned’, the following message will be given:

|  |
| --- |
| "This form reference is already recorded in the system and cannot be linked to the application at this time |
| [OK]” |

1. Clicking [OK] will close the message and return you to the ‘Form Reference’ field.
2. Once you have successfully saved the ‘Form Reference’, LMS will record a new ‘NINo Form Action’. If no ‘NINo Application Form’ record exists then LMS will create a new one.
3. If a ‘NINo Employer Contact Reference‘ was set in the new ‘NINo Form Action’ then LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’. LMS will queue a workflow ‘NINo Allocation Fastpath Form Reminder’ to you, linked to the ‘NINo Application’ ‘Form’ section for the form, with a due date as the ‘Reminder Date’.

### CA5407

1. If the ’Required Application Form Type’ is ‘CA5407’, LMS will display a list of all those ‘CA5407’ forms with ‘Form Status’ ‘Returned Completed’, ‘Returned Transferred’ or ‘Unassigned’, where the latest ‘NINo Form Action’ was recorded by a user at your office. The list is in alphanumerical order and shows the ‘Form Status’.
2. Find and choose the appropriate previously issued form number from the list and [Save]. Linking the form, previously issued to the ‘NINo Employer Contact’, to the application will make the ‘Employer Details’ accessible via the ‘Employment’ section of the ‘NINo Application’ window.
3. If none of the displayed forms is the correct one, or none are listed, you may choose to cancel the function. You will not be able to enter a CA5407 ‘Form Reference‘ directly.
4. If there is a ‘NINo Employer Contact Reference’ on the ‘Application for a NINo’, and it does not match the ‘NINo Employer Contact Reference’ on the chosen ‘NINo Form Action’, then the following message will be given:

|  |
| --- |
| "The employer contact linked to the form does not match the link to the application.If you proceed, the link to the application will be overwritten with that to the form.Do you wish to proceed? |
| [Yes] [No]” |

1. Clicking [Yes] will close the message and link the form to the application.
2. LMS will record a new ‘NINo Form Action’. If no ‘NINo Application Form’ record exists then LMS will create a new one.
3. If a ‘NINo Employer Contact Reference‘ was set in the new ‘NINo Form Action’ then LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’. LMS will queue a workflow ‘NINo Allocation Fastpath Form Reminder’ to you , linked to the ‘NINo Application’ ‘Form’ section for the form, with a due date as the ‘Reminder Date’
4. Clicking [No] will close the message and return you to the ‘Form’ section of the ‘NINo Application’ window to make changes as required, or [Close].

### CA5409

1. If the ‘Application Source’ is not ‘VA – CA5409’ or ‘HMF – CA5409’:
* Is not ‘CAR – CA5409’ and a NINo trace has not been carried out (ie ‘Possible NINo Found CCU’ is ‘None Selected’) then the following message will be given:

|  |
| --- |
| ‘A NINo specialist trace must be recorded before a CA5409 form can be issued to this applicant |
| [OK]” |

Clicking [OK] will close the message and the process will end (until a trace has been recorded).

* Otherwise type a value directly into the ‘Required Application Form Type’ field. Click on [Save].
* If no form reference, or an incomplete form reference has been entered, the following message will be given:

|  |
| --- |
| "’Please enter a valid form reference. |
| [OK]” |

* If the form reference is the same as that for a CA5409 form already recorded in the system and which does not have ‘Form Status’ ‘Returned Unused’, the following message will be given:

|  |
| --- |
| ‘This form reference is already recorded in the system and cannot be linked to the application at this time. |
| [OK]” |

Clicking [OK] will close the message and return you to the ‘Required Application Form Type‘ field.

1. LMS will record a new ‘NINo Form Action’. If no ‘NINo Application Form’ record exists then LMS will create a new one.
2. If a ‘NINo Employer Contact Reference‘ was set in the new ‘NINo Form Action’ then LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’. LMS will queue a workflow ‘NINo Allocation Fastpath Form Reminder’ to you, linked to the ‘NINo Application’ ‘Form’ section for the form, with a due date as the ‘Reminder Date’.

#### VA – CA5409

1. If the ’Required Application Form Type’ is ‘CA5409’ and the ‘Application Source’ is ‘VA-CA5409’ (ie to link a form originally issued to the Veterans Agency and not the applicant), LMS will display a list of all CA5409 forms with agency reference ‘VA’ and ‘Form Status’ ‘Returned Completed’ or ‘Unassigned’, and where the latest ‘NINo Form Action’ was recorded at your office. The list is in alphanumerical order and shows the ‘Form Status’.
2. You cannot enter a CA5409 Form Reference directly. Choose the appropriate entry on the list and [Save].
3. LMS will record a new ‘NINo Form Action’. If no ‘NINo Application Form’ record exists then LMS will create a new one.
4. If a ‘NINo Employer Contact Reference‘ was set in the new ‘NINo Form Action’ then LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’. LMS will queue a workflow ‘NINo Allocation Fastpath Form Reminder’ to you , linked to the ‘NINo Application’ ‘Form’ section for the form, with a due date as the ‘Reminder Date’
5. If none of the displayed forms is the correct one, or none are listed, you may choose to cancel the function.

### Issue a Form to an NINo Employer Contact or an Agency

1. LMS will restrict the process for a CA5407 to a CCU Officer and for a CA5409 to a Specialist.
2. The ‘NINo Fastpath Form Issue’ window can be opened by a menu option on the LMS Desktop or by the [Issue Form] hotspot on the ‘View NINo Employer Contact’ window.
3. If you open the ‘View NINo Employer Contact’ window via the ‘View NINo Employer’ window and click on [Issue Form]:
* If the ‘HMF’ checkbox is ‘No’ the ‘Issue form to’ will be set to ‘Employer’ and the form type will be CA5407 on the ‘NINO Fastpath Form Issue’ window.
* If the ‘HMF’ checkbox is ‘Yes’ the ‘Issue form to’ will be set to ‘HMF Employer’ and the form type will be CA5409.
1. If you choose ‘Form Issue’ from the ‘NINo Application’ menu item on the LMS Desktop to open the ‘NINo Fastpath Form Issue’ window, the ‘Issue form to’ will be set to ‘VA’ and the form type will be CA5409.
2. Enter the ‘Form Reference’ directly. The ‘No’ field (number of forms) will default to 1. If the ‘Issue form to’ is ‘HMF Employer’ this field is non-amendable.
3. You can leave the number as 1 or, if amendable, enter a one or two digit number up to 50. LMS will automatically reset the number to 50 if you enter a number greater than this.
4. Click on [Issue].
5. If the ‘Form Reference’ is blank or incomplete the following message will be given:

|  |
| --- |
| ’Please enter a valid form reference. |
| [OK]’ |

1. Clicking [OK] will close the message and return you to the ‘Form Reference’ field.
2. If the ‘No’ field is 1 and the form reference is already in the system and does not have a ‘Form Status’ of ‘Returned Unused’ the following message will be given:

|  |
| --- |
| ’The form <form type> <form reference> is already recorded in the system as ‘<form status>’, and therefore cannot be issued. |
| [OK] |

1. If the ‘No’ field is greater than 1 and any form in the series of forms exists in the system and does not have a current ’Form Status’ of ‘Returned Unused’ the following message will be given:

|  |
| --- |
| ‘At least one of the forms in the series you have defined is already recorded in the system with a status that is not ‘Returned Unused’. Please try again with a series that can be issued. |
| [OK]’ |

1. Clicking [OK] will close the message and return you to the ‘Form Reference’ field.
2. If the ‘Form reference’ is already in the system and the ‘Form Status’ is ‘Returned Unused’ then LMS will locate the associated ‘NINo Application Form’ record and update it:
* ‘Status’ set to ‘Issued’;
* ‘Status Date/Time’ set to date and time now;
* ‘Return By Date’;
* Form ‘CA5407’ – today’s date put back by ‘CA5407 Return Days’ in business days on the Office Calendar;
* Form ‘CA5409’ - today’s date put back by ‘CA5409 Return Days’ in business days on the Office Calendar;
* ‘Reminder Date’ – set 5 business days earlier than ‘Return By Date’;
* ‘Extension 1 Reason’, ‘Extension 2 reason’ and ‘Transfer reason’ will be blank.
1. If there is no form recorded with the ‘Form Reference’, LMS will create a new ’NINo Application Form’ record and an associated ‘NINo Form Action’ record.
2. LMS will queue a ‘NINo Allocation Fastpath Form Reminder’ workflow to you, linked to the ‘NINo Application Form’ for the application, with the due date as the ‘Reminder Date’ just recorded.
3. If the ‘View NINo Employer’ to which the ‘View NINo Contact’ belongs has ‘Fastpath’ set to ‘No’, then LMS will set ‘Fastpath’ to ‘Yes’. This does not apply if ‘VA’ was chosen.
4. LMS will save the details and give the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Fastpath Form Issue’ window to allow you to issue another form or more forms.

### Receiving a Form

#### Receiving a Completed Form Before the Deadline

1. When a completed form is returned, and in the case of a CA5409 returned by the NINo Employer Contact to which it was initially issued, access the ‘NINo Application Form’ window via the ‘NINo Form Search’ window. The ‘NINo Form Search’ window can be opened from the ‘NINo Form’ menu item on the LMS desktop.
2. Click on [Return]. LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the ‘NINo Application Form’ record.
3. If there is an outstanding ’NINo Allocation Fastpath Form Reminder’ workflow queued for the returned form, LMS will update the due date to the current date and re-queue the workflow to the issuing officer immediately.
4. LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
5. Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
6. You can now disallow the form if necessary.
7. If the form is a CA5409 returned by an applicant, then it will already be linked to an application, otherwise link the form to the application

#### Receiving a Form from a Different Employer

1. Open the ‘NINo Employer Contact’ and the ‘NINo Application Form‘ windows, if you receive a completed form from an employer different to the one to whom it was originally issued and:
* the current ‘Form Status’ is ‘Issued’ and a ‘Return date’ is shown; or
* the ‘Form Status’ is, mistakenly, ‘Returned Completed’ or ‘Returned Transferred’, or
* the ‘Form Status’ is ‘Returned Late’ and you wish to set it to ‘Returned Transferred.
1. Click on [Transfer]. LMS will prompt you for a ‘Transfer Reason’. Enter an appropriate reason.
2. LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the parent ‘NINo Application Form’ record.
3. LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’.
4. If there is an outstanding ’NINo Allocation Fastpath Form Reminder’ workflow queued for the returned form, LMS will update the due date to the current date and re-queue the workflow to the issuing officer immediately.
5. LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
6. Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
7. You can now disallow the form if necessary.

#### Receiving an Unused Application Form

1. If an application form is returned blank and clean and you consider it to be reusable, click on [Unused].
2. LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the parent ‘NINo Application Form’ record.
3. If there is an outstanding ’NINo Allocation Fastpath Form Reminder’ workflow queued for the returned form, LMS will update the due date to the current date and re-queue the workflow to the issuing officer immediately.
4. LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
5. Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
6. The form is now available for reuse or you can disallow the form if necessary.

#### Disallow an Application Form

1. If you wish to disallow an application form: with the ‘NINo Application Form’ window open click on [Disallow].
2. LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the parent ‘NINo Application Form’ record.
3. If there is an outstanding ’NINo Allocation Fastpath Form Reminder’ workflow queued for the returned form, LMS will update the due date to the current date and re-queue the workflow to the issuing officer immediately.
4. LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
5. Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
6. No further changes will be allowed to the form, which will be retained for a minimum of 1 year from the ‘Form Status Date/Time’.

#### Extend the Deadline for Return

1. If an application form has not yet been returned, and you have ascertained that the applicant, employer contact or agency to which the form was issued is entitled to have the return of their form deadline extended, click on [Extend] on the ‘NINo Application Form’ window.
2. LMS will display a blank field for an ‘Extension Reason’. Enter text in the field and [Save].
3. LMS will add 10 business days for a CA5407, or 20 business days for a CA5409, to the ‘Return By Date’, and update the ‘Reminder Date’ to be 5 days before the new ‘Return By Date’.
4. The due date on the ‘NINo Allocation Fastpath Form Reminder’ workflow for the form, will be updated to the new ‘Reminder Date’.
5. LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
6. If this is the first extension, then another may be applied for any time before close of business on the ‘Return By Date’.

#### Setting a Form as Unreturned on the Deadline

1. A bulk process is run at the end of each office day to act on the ‘Return By Date’ on NINo Form Action records. The process locates the latest ‘NINo Form Action Records’ for all CA5407 and CA5409 forms with a ‘Form Status’ of ‘Issued’ and where the ‘Return By Date’ is the day immediately after the previous business day.
2. For each ‘NINo Form Action’ located, LMS will create a new ‘NINo Form Action’, update the ‘Form Status’ and ‘Form Status Date/Time’ in each ‘NINo Allocation Form Record’ accordingly and extend the ‘Return By Date’ to 5 business days following the current ‘Return By Date’.
3. If there is an outstanding ‘NINo Allocation Fastpath Form Reminder’ workflow for an unreturned form, LMS will complete the workflow so that it no longer appears in any workflow list.
4. A form may be returned late up to the new ‘Return By Date’. If it’s returned after this date the ‘Form Status’ is automatically set to disallowed.

#### Receiving a Late Returned Form

1. Click on [Return] when the completed form is returned.
2. If today’s date is later than the ‘Return By Date’ on the latest ‘NINo Form Action’ the following message will be given:

|  |
| --- |
| "This form has been returned late beyond the final deadline. If the form is reusable you may record ‘Returned Unused’, otherwise it will be ‘Disallowed’.Do you wish to record ‘Return Unused’? |
| [Yes] [No]” |

1. Clicking [Yes] LMS will close the message and record ‘Returned Unused’.
2. Clicking [No] LMS will close the message and record ‘Disallowed’.
3. If the form is returned by the new ‘Return By Date, LMS will create a new ‘NINo Form Action’ record, and update the ‘Form Status’ and ‘Form Status Date/Time’ in the ‘NINo Application Form’ record
4. LMS will queue a ‘NINo Allocation Fastpath Late Return’ workflow for immediate action to the NINo CCU Supervisor team for the office.

#### Authorising a Late Return (CCU Supervisor)

1. On receipt of the ‘NINo Allocation Fastpath Late Return’ workflow you can record ‘Disallowed’, ‘Returned Completed’, ‘Returned Linked’ or ‘Returned Transferred’ as necessary.
* If you wish to set the ‘Form Status’ to ‘Returned Completed’ or ‘Returned Linked click on [Return] in the ‘NINo Application Form’ window.
* LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the ‘NINo Application Form’ record.
* LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
* Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
* If the form is a CA5409 returned by an applicant, then it will already be linked to an application, otherwise link the form to the application.
* If you wish to set the ‘Form Status’ to ‘Returned Transferred’, click on [Transfer] in the ‘NINo Application Form’ window.
* LMS will prompt you for a ‘Transfer Reason’. Enter an appropriate reason.
* LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the parent ‘NINo Application Form’ record.
* LMS will also link the ‘Application for a NINo’ to the ‘NINo Employer Contact’ by setting the ‘NINo Employer Contact Reference’.
* LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
* Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
* If you wish to set the ‘Form Status’ to ‘Disallow’, click on [Disallow] in the ‘NINo Application’ window.
* LMS will create a new ‘NINo Form Action’ record and update ‘Form Status’ and ‘Form Status Date/Time’ in the parent ‘NINo Application Form’ record.
* LMS will save the changes and display the ‘Record Successfully Saved’ message. Clicking [OK] will close the message and display the ‘NINo Application Form’ window with the changes made.
* Any previously displayed ‘Return By Date’, ‘Reminder Date’ and ‘Extension Reason’ will no longer be visible.
* No further changes will be allowed to the form, which will be retained for a minimum of 1 year from the ‘Form Status Date/Time’.
1. On completion of the process you should complete the workflow if the form was disallowed or requeue the workflow to the Specialist or CCU Officer dealing with the application.

### Record CCU NINo Trace

1. An Officer at the CCU may record a NINo trace in the CCU box on the ‘Trace’ section of the ‘NINo Application’ window. This is in the same way as a ‘Pre-Interview NINo Trace’, except there is no Supervisor pre-authorisation.

### Record CCU Employer Check

1. An Officer in a CCU may record a CCU (post interview) employer check. Select the ‘Employment’ section of the ‘NINo Application’ window in amend mode. Amend mode is available if the ‘Process Stage’ is ‘In Process’, ‘Rework Interview’ or ‘Completed’.
2. Select the [Check] hotspot, to display the ‘Employer Check’ sub window with the fields in the CCU box available for amendment.
3. Enter details as in the ‘Pre –Interview Employer’ check and [Save].
4. Select [Hide] to close the ‘Employer Check’ window. The ‘Employment ‘section will be re-displayed. If ‘Employer Check’ details have been entered and saved, the [Check] hotspot will be renamed [Checked].

### Authorise an Application

1. Following receipt of the paper work at the CCU, a CCU Supervisor can check and authorise an application for a NINo.
2. Open the ‘Decision’ section and click on [Authorise].
3. Click on [Amend] and enter text in the ‘Corrective Actions Required’ field or leave blank if no actions required.
4. Click on [Save]. Click [OK] to close the ‘Record Successfully Saved’ message and LMS will display the ‘Authorisation’ sub window with the saved ‘Corrective Actions Required’, the ‘Date’ set as today’s date and the Supervisor’s initial and surname and office mnemonic. Click [Hide].
5. After the ‘Supervisor Check Date’ has been entered you can enter the ‘Authorisation Date’ by opening the ‘Authorisation’ sub window again and clicking [Amend]. Enter the ‘Authorisation Date’ and [Save].
6. The check indication on the ‘Decision’ section will be as follows:
* ‘Not Checked’ – if Supervisor Check ‘Date’ is blank;
* ‘Checked’ – if Supervisor Check ‘Date’ recorded but no ‘Corrective Actions Required’;
* ‘Action Required’ – if both Supervisor Check ‘Date’ and ‘Corrective Actions Required’ recorded;
* ‘Authorised’ – if ‘Authorisation Date’ recorded (this supersedes other conditions).

### Record a Decision

1. A CCU Officer/Specialist will be able to record a decision if there is no outstanding BF Action, or exit the basic process to await an outstanding BF Action.
2. No options will be available if the ‘Process Stage’ is other than ‘In Process’ or ‘Completed’, if the ‘Application Type’ is ‘Fastpath’ and the ‘Application Source’ is not one of ‘Home Office SEF’ or ‘Home Office CRE’ and ‘NINo Found CCU’ is ‘None Selected’.
3. Open the ‘‘Decision’ section in amend mode, and using the drop down list on the ‘Decision’ field, choose a ‘Decision’ from the following:
* ‘Traced’;
* ‘Upgraded’;
* ‘Allocated’ (not available if a traced NINo appears in the ‘NINo’ field);
* ‘Refused-EOI uncorroborated’;
* ‘Refused-NINo not required’;
* ’Refused-not enough info’;
* ‘Refused-RTW not established’;
* ‘Refused-NIFU advice’.
1. If a NINo has been previously traced it will already be displayed in the ‘NINo’ field.
2. If you select ‘Traced’, or ‘Upgraded’, or ‘Allocated’ as a decision, the ‘NINo’ field is displayed blank for you to enter the characters of the NINo. (If you go back to the ‘Decision’ field and change to one of the ‘Refused’ decisions, the ‘NINo’ field is blanked out and becomes non-amendable).
3. Click on [Save]. LMS will validate the contents of the ‘NINo’ field if the decision was ‘Traced’ or ‘Upgraded’ or ‘Allocated’.
4. The following message will be received if less than 9 characters are in the field:

|  |
| --- |
| "You must enter a NINo with 9 characters |
| [OK]” |

1. If the first two entered characters are ‘GB’, ‘NK’ or ‘TN’ the following message is given:

|  |
| --- |
| "Initial characters GB, NK or TN are invalid for a NINo |
| [OK]” |

1. If the entered NINo already exists on another customer record in the system, the following message is given:

|  |
| --- |
| "The entered NINo already exists for another customer. Please amend the NINo or [Close] and investigate. |
| [OK]” |

1. Clicking [OK] will close the message so that you can amend the NINo before trying again or closing.
2. If the decision (and associated NINo where relevant) are valid the ‘Process Stage’ will change to ‘Completed’ and this, together with the appropriate decision event type, will be recorded in the ‘Application History’. Your initial, surname, office mnemonic and the ‘Decision Date’ will be displayed in the ‘Decision’ section.
3. LMS will record an interview action that corresponds with the decision setting against the latest EOI/rework interview record for the applicant.
4. If a NINo was recorded, then the entered NINo will be copied to the ‘NINo/RefNo’ field on the ‘Client Details’ window (overwriting the Ref/No currently there.)
5. If a refusal decision has been made, the current contents of the ‘NINo/RefNo’ field will remain the same.
6. The ‘Decision’ and ‘NINo’ may be amended later in case a mistake has been made. If this happens, a repeat record will be recorded in ‘Application History’, repeat interview actions will be recorded, and if necessary, the ‘NINo/RefNo’ field will be updated on the ‘Client Details’ window. In the latter case, if the decision is changed to a refusal, the ‘NINo/RefNo’ will revert to the ‘RefNo’.
7. If a subsequent decision is made, and there is at least one NINo on the ‘Trace’ section of the ‘NINo Application’ window, then the traced NINo will be inserted in the ‘NINo’ field on the ‘Decision’ section (where it will be non-amendable). If two NINos appear on the ‘Trace’ section, then the one in the CCU box (ie from the specialist trace) will take precedence.
8. You may continue to set BF Actions and compose general letters after a decision has been made, in case further work is required later. However, the current ‘Decision Date’ remains the basis for the 14-month purge rule.

### Issue Notifications

1. At this stage, on the ‘Decision’ section click on [Print] to open the print option subwindow. Select the applicable option, then click on [Print]
2. For ‘Decisions’ ‘Allocated’, ‘Traced’ or ‘Upgraded, LMS will print the ‘Allocation Letter’. For refusal ‘Decisions’, LMS will print the ‘Refusal Letter’.
3. The ‘Allocation Letter’ and the ‘Refusal Letter’ are designed for printing on Jobcentre Plus headed notepaper.
4. Display the ‘Decision’ section in amend mode and record the ‘Application Completed Date’

Note: The print option sub window will not be available if ‘Decision was ‘Refused – NIFU decision’

1. Click on [Save] and the following message will be received:

|  |
| --- |
| "Processing has completed on the application for a NINo for <forename> <surname>.  |
| [OK]” |

1. Clicking [OK] will display your details next to the ‘Application Completion Date’.
2. You will be able to record another (different) interview action in future if the ‘Decision’ is amended.

### Book a Rework Appointment

1. Before booking an interview for a rework interview, set a ‘BF Action’ with reason ‘Awaiting rework interview’. Enter text in the ‘Action Note’ field, which will be used to populate the ‘Rework Reason’ field on the appointment letter to be issued.
2. Book an appointment for an EOI rework interview, which includes contacting an Officer at the appropriate HUB by workflow if the interview needs to be conducted by a mobile NCA.
3. When the rework appointment has been booked, LMS will automatically adjust the ‘Required date’ on the ‘BF Action’ workflow to the date booked for the interview.
4. The ‘BF Action’ workflow will then be available as a prompt for the NINo Officer at the CCU, dated as the interview date.
5. If the appointment is subsequently rearranged, then LMS will again readjust the workflow ‘Required date’ to the rearranged appointment date.

### Record a BF Action

#### Queue a BF Action Workflow

1. Click on the ‘BF Action’ section of the ‘NINo Application’ window in amend mode. If there is a previous BF Action that has been completed ie ‘Action Status’ is ‘Completed’, the [Clear] button will be available.

Note: The [Clear] button is only available in amend mode, and then only if there are details of a current completed BF Action. If there is still an outstanding BF Action, only the ‘Action Notes’ field can be amended

1. Click on [Clear] to set the ‘BF Action’ fields to their default values.
2. Choose an ‘Action Reason’ from the following list:
* Awaiting reply from accountant;
* Awaiting reply from applicant;
* Awaiting reply to from employer – only if ‘Applicant Source’ is;
* ‘Right to Work’
* ‘Standard – CA5407’
* ‘HMF – CA5409’
* Awaiting reply to Clarification Request;
* Suspended until BF date following refusal – only if ‘Decision’ is a ‘Refused’ value;
* Awaiting rework interview – only if ‘Application Type’ is ‘EOI’ and ‘Process Stage’ is ‘In Process’ or ‘Completed’. Not applicable to ‘Application Source’ ‘Home Office GPP’;
* Awaiting response from NIFU – only if ‘Process stage’ is ‘In Process’ or ‘Completed’;
* Awaiting reply from third party;
* Awaiting reply from Home Office – only if ‘Application Source’ is one of;
* ‘Home Office GPP’
* ‘Home Office SEF’
* ‘Home Office CRE’
* In these cases this will be the **only** option available
* Other.
1. If you choose ‘Other’, the ‘Action Other Reason’ field will be displayed for you to enter a short reason text.
2. Choose a ‘Review Date’ by scrolling to any future date or the current date.
3. You can enter text in the ‘Action Note’ field.
4. The [Queue] button is available in amend mode under the following conditions:
* ‘Review Date’ is the current date or a date in the future; and
* ‘Action Reason’ is not ‘None Selected’; and
* ‘Action Other Reason’ is not blank if ‘Action Reason’ is ‘Other’; and
1. Click on [Queue]. LMS will create a workflow with workflow action type ’NINo Allocation BF Action’ and insert the text of the ‘BF Action Reason’ (or the ‘Action Other reason’ if the ‘Action Reason’ is ‘Other’) into the ‘Workflow Description’ field.
2. The ‘workflow ‘Required date’ will be set to the ‘BF Review Date’ set by you and the workflow ‘Priority’ will be set to ‘Medium.
3. LMS will finally save all the details. The ‘BF Action’ section will be displayed in view mode with the ‘Action date’ as the current date and the ‘Action status’ as ‘Open’. Officer name and mnemonics will be displayed in the ‘BF Action’ section.

#### Complete a BF Action

1. From the ‘in tray’ on the LMS desktop access the ‘Outstanding Workflow Actions’ list and note the ‘NINo Allocation BF Action’. The ‘Outstanding Actions’ list window can also be accessed via the [Actns] button on the ‘View Client details’ window.
2. Click on [Updt] on the ‘Workflow Actions’ window and the associated application details will become available for display via the ‘NINo Application’ window.
3. Complete the work on the application and close the BF Action.
4. The ‘Workflow details’ window will still be open. The [Comp] button is available, unless any section of the ‘NINo Application ‘window is being viewed in amend mode.
5. Click on the [Comp] button on the ‘Workflow Actions’ window. LMS will set the ‘BF Action Status’ to ‘Completed’ and record any further information on completing BF Actions for the following ‘Action Reasons’:
* ‘Awaiting reply to Clarification Request’ - ie the requested application is on a DCI 1(LA) that has already been registered, but for which corrections were requested via a Clarification Request. Check the corrected form and identify the original registering Officer. Pass the revised application to the Officer to identify the associated BF action and proceed to complete it. LMS will set the ‘Process Stage’ back to ‘Registration’ and record the change in the ‘Application History’;
* ‘Awaiting rework interview’ – You will have checked the relevant rework interview record and communicated with the NCA. On completing the BF Action, LMS will set the ‘Process stage’ to ‘In Process’ and record the ‘Process stage’ change in the ‘Application History’;
* ‘Awaiting response from NIFU’ – You will have checked the relevant correspondence (outside of LMS) and established that a response has been received from NIFU.
1. LMS will complete the workflow with the Officer name and office mnemonic, updated if the current Officer’s details are different from those previously recorded, and close the ‘Workflow Details’ window.
2. If you switch to an empty folder and reopen the current ‘Outstanding Workflow Actions’, the completed action will no longer be displayed.

#### Save or Queue a Partial BF Action

1. If the ‘BF Action’ section of the ‘NINO Application ‘window shows that a BF Action has never been recorded or some fields are other than their default values but the BF Action has not yet been queued, the [Save] button is available
2. You can choose/enter/amend any or all of the ‘Action Reason’, ‘Action Other Reason (if ‘Action reason’ ‘Other’ was chosen), ‘Review date’ and ‘Action Note’ fields.
3. Click on [Save] to save the details as a ‘partial BF Action’.
4. The ‘BF Action’ section will be displayed in view mode, with ‘Action Status’ and ‘Action Date’ blank, but with the other details entered. Officer’s name and Office mnemonic will also be displayed.
5. The [Queue] button is available in amend mode under the following conditions:
* ‘Review Date’ is the current date or a date in the future; and
* ‘Action Reason’ is not ‘None Selected’; and
* ‘Action Other Reason’ is not blank if ‘Action Reason’ is ‘Other’; and
1. If the [Queue] button is available then continue to queue the workflow.

#### Amend a BF Action

1. The only user amendable field is ‘Action Notes’. Amend this as necessary and [Save].
2. The ‘Action Status’ will remain unchanged. The displayed Officer name and mnemonic will change, if the Officer making the amendments is different.

### Reconsider a Decision

1. A CCU Supervisor can change a ‘Decision’ or a recorded NINo after completing the application ie after the ‘Process Stage’ has been set to ‘Completed’.
2. Open the ’Decision’ section of the ‘NINo Application’ and click [Amend] and change either the NINo or the Decision, or both. Click on [Save]
3. The following message will be given:

|  |
| --- |
| "This will set the Process Stage back to ’In Process’ and remove the current authorisation.Do you wish to continue?  |
| [Yes] [No]” |

1. Clicking [No] will close the message and leave the ‘Decision’ section unchanged.
2. Clicking [Yes] will close the message. LMS will delete the ‘Application Completed Date’ and ‘Authorisation Date’, so these dates will need to be entered again to complete the application again.
3. LMS will set the ‘Process Stage’ back to ‘In Process’ and record this in the ‘Application History’.
4. You will need to print the ‘Allocation/Refusal’ letter again before the ‘Application Completed Date’ can be recorded again.
5. LMS will update the ‘NINo/RefNo’ field on the ‘View Client Details’ window accordingly if it has been changed or blanked out, and if the Decision has been changed to a refusal,or the NINo had been blanked out, then the ‘NINo/RefNo’ will be set to the ‘RefNo’, but the field will remain non-amendable in the ‘View Client Details’ window.

## Print Process

1. Documents and letters available for printing will depend upon the NINo Application section displayed and also upon the ‘Process Stage’ and other process details recorded for the application.
2. To print documents and letters use the [Print] button on the ‘NINo Application’ window. This will open a sub window. Select the document or documents you wish to print by using the appropriate checkbox(es), and if necessary adjust the ‘Copies’ field.
3. Select [Print] on the sub window to confirm the print request.
4. EOI appointment letters are printed using functionality within the booking process, and reprinted, if required, from the ‘Interview’ section, using the [Print] button on the ‘NINo Application’ window. The print sub window will not be displayed when reprinting appointment letters.

### Compose a Doubt Notification for NIFU

1. If you need to send information to NIFU open the ‘Decision’ section of the ‘NINo Application’ window, click [Amend] and choose ‘Yes’ or ‘No’ for the ‘Immigration Case’ field and enter text in ‘Information for NIFU’. Click [Save] and [OK] the ‘Record Successfully Saved’ message.
2. Click on [Print] and choose ‘Print Doubt Notification’
3. You are able to amend the details after printing the notification.
4. When you are satisfied with the printout, click [Amend] and record the ‘NIFU Notified‘ date. Click on [Save]

### Notify Home Office of SEF Allocations

1. A CCU Supervisor can print a list of SEF applications that were completed on a specified date.
2. Open the ‘Home Office SEF Notification’ window by clicking on the ‘SEF Print’ option on the ‘NINo Allocation’ menu item on the LMS Desktop.
3. Choose a ‘Notification Date’, either today or in the past. And click on [Search].
4. LMS will display a list of applications that have been completed for that date.
5. If no completed SEF applications were found for the chosen date, then ‘No SEF applications for the specified date’ will be displayed.
6. Click on [Print] to print the ‘Home Office SEF Notification’ for the chosen date.
7. On successful printing the following message will be received:

|  |
| --- |
| "SEF Notification printed successfully.  |
| [OK]” |

1. Click [OK] to close the message.

### Print a General Letter

#### Compose a Letter

1. You can compose and print a general-purpose letter related to an application anytime after the application has been registered. It is only possible to store the details of one letter at a time for each application.
2. Click on the ‘Letter’ section of the ‘NINo Application’ window. If a general letter has previously been composed, you can click [Amend]; make your amendments, [Save] the changes and [Print] the letter.
3. Or you can click [Amend], then click [Clear] to clear the letter fields to their default values, ready for you to compose the next letter.
4. Choose the ‘Letter Date’. Only the current date or dates in the future are available for selection.
5. Choose a ‘Respond By’ date, if required. Only dates no earlier than today and no earlier than the letter date, are available, or the date may be blanked out. If you enter a date, the ‘Response Request’ text field will be overwritten with:

 “I have enclosed an envelope for your use, and would appreciate a response before <date>. Please note failure to respond may result in the application being cancelled.”

1. You can amend the contents of this text field as required.
2. You can edit the ‘Salutation’ and ‘Valediction’ fields, if required.
3. Choose the ‘Addressee Type’ from the following dropdown list:
* Accountant;
* Applicant;
* Employer;
* Internal;
* Other.
1. If you choose applicant, the correspondent details of the applicant will be entered.
2. If you choose ‘Employer’, LMS will automatically set the address and salutation details of the ‘NINo Employer Contact’.
3. If you choose one of the other ‘Addressee Types’, you will be able to enter the details manually.
4. Clicking on the [Details] hotspot opens a sub-window, allowing you to enter text in the ‘Letter Heading’ and ‘Letter Body’ fields. The ‘Letter Heading’ field defaults to beginning with ‘Re:’. If you blank this field out, then no letter heading will be printed.
5. [Save] the letter details. If the ‘Addressee Type’ is ‘None Selected’ then the following message will be displayed:

|  |
| --- |
| "The General Letter details have been successfully saved.However you will not be able to print a letter until you have entered an Addressee Type.  |
| [OK]” |

1. With the ‘Letter’ section of the ‘NINo Application’ window in view mode, click on [Print] to print the letter.

## Maintain NINo Allocation Users

1. In the ‘View Officer Details’ window, the ‘NINo Allocation?’ check box enables an LMSA to choose whether an officer has the functionality associated with NINo allocation.
2. A mobile NCA is identified, by having the ‘Home Appointments Allowed?’ check box ticked as well. Skills settings will need to be updated too, so that Mobile EOI appointments can be booked for them
3. Access to the ‘NINo Application’ and ‘NINo Application Summary List’ windows are defined in the table below.

|  |  |
| --- | --- |
| User Role | Access |
| Supervisor (Manager/Team Leader – NINo) | Yes |
| NCA (Team Member/Decision Maker – NINo) | Yes |
| Officer (Team Member – NINo) | Yes |
| Manager/Team Leader (non-NINo) | View Only |
| Team Member/Decision Maker (non-NINo) | View Only |
| Team Member (non-NINo) | View Only |
| Vacancy Team | No Access |
| Enquiry Team | View Only |
| LMSA | No Access |
| Partner | No Access |
| None | No Access |

## Maintain Office Calendars

1. The ‘Office Calendar’ window is accessible via the ‘NINo Allocation Office Calendar’ list item in the ‘Management’ window at NINo Allocation Satellite, HUB and CCU offices only. The ‘NINo Allocation Office Calendar’ list item will only be displayed if the user is a NINo Allocation Supervisor, NCA or Officer.
2. Saturday and Sunday default to non-working days. All other non-working days eg fixed Bank Holidays will have to be added in advance by a Supervisor.
3. Only NINo Supervisors/CCU Supervisors are able to amend the working and non-working days on the calendar at their home office.
4. NCAs, Officers and Specialists have view only access.
5. Open the ‘Office Calendar’ window by selecting the ‘NINo Allocation Office Calendar’ list item in the ‘Management’ window.
6. Existing non-working weekdays or working Saturdays and Sundays for the current year for your home office are displayed in the appropriate lists.
7. To add a non-working weekday or working Saturday or Sunday, in the ‘Office Calendar’ window click [Amend], select the chosen date from the calendar and click on [Add>]. This will add the selected date to the appropriate list. Click on [Save].
8. To remove a non-working weekday or working Saturday or Sunday, in the ‘Office Calendar’ window click [Amend], select the chosen date from the appropriate list and click on [<Remove]. This will remove the selected date from the chosen list. Click on [Save].
9. The following message will be given

|  |
| --- |
| "Office calendar for <office> successfully updated.  |
| [OK]” |

1. Clicking OK displays the ‘Office Calendar’ window in view mode.

## Appendix 1 EOI Interview Pre-Requisites for NINo Allocation

|  |  |
| --- | --- |
| General Evidence | Valid Passport |
|  | Valid ID card |
|  | Two or more passports |
|  | Home Office documents |
|  | Work Permit |
|  | Letter from employer |
|  | Contract of employment |
|  | Evidence of seeking work |
|  | Payslips |
|  | Mortgage agreement |
|  | Rental Agreement |
|  | Letter confirming residence |
|  | Marriage or Civil Partnership certificate |
|  | Birth certificate |
|  | Deed poll |
|  | Driving licence |
|  | Police Registration Cert |
|  | Residence document or card |
|  | Certificate of application |
|  | Adoption certificate |
|  | Registration certificate |
| Company Director | Certificate of incorporation |
|  | Memorandum of association |
|  | Articles of association |
|  | Stock transfer form |
| Freelance/Self Employed | Letter from HMRC about your self-employment |
|  | Services contract |
|  | Invoices |
|  | Letter from accountant |
|  | Letter from client |
| Non EC/EEA Student | Relevant letter from college |
|  | Student ID card |
|  | Student Loan Notification |