

DWP Department for
Work and Pensions



Home Office

**SUPPLEMENTARY MEMORANDUM OF
UNDERSTANDING:**

**Biometric Residence Permit (BRP) / National
Insurance Number (NINo) Alignment.**

In respect of:

- 1. Allocation - out of country process.**
- 2. Resettlement Refugees process.**
- 3. Verification – in country process.**

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1. Introduction

1.1 This Supplementary Memorandum of Understanding (SMoU) sets out the processes for introducing National Insurance Number (NINo) annotation onto Biometric Residence Permits (BRP) for:

- Allocation – out of country
- Resettlement refugee
- Verification – in country

1.2. This SMoU is between the following two parties:

THE SECRETARY OF STATE FOR THE HOME DEPARTMENT of [2 Marsham Street, London SW1P 4DF] referred to as '**Home Office**' throughout this document
And

THE SECRETARY OF STATE FOR THE DEPARTMENT FOR WORK AND PENSIONS of [Caxton House, Tothill Street, London SW1H 9NA] referred to as '**DWP**' throughout this document.

1.3. This SMoU also sets out the data sharing commitments agreed between the aforementioned parties in relation to the implementation and management of the various BRP / NINo alignment initiatives.

1.4 This SMoU is intended to be read alongside and not replace the current Umbrella MoU between DWP and Home Office.

1.5 The commencement date for this SMoU shall be 15 June 2017.

2. Legal Basis for Sharing Information

2.1 **Home Office to DWP:** The legal basis permitting disclosure of information from Home Office to DWP is Home Office Common Law powers.

2.2 **DWP to Home Office:** The information is requested under section 20 of the Immigration & Asylum Act 1999 as amended by Section 55 of the Immigration Act 2015.

3. National Insurance Numbers

3.1 For a Third Country National (TCN) to be issued with a NINo an individual has to be aged over 16 years and must have the right to live and work in the UK. It is expected that only those aged over 16 years issued with a BRP, as part of a successful immigration application, can apply to have a verified NINo as part of the BRP process.

4. Biometric Residence Permits (BRP)

4.1 The BRP is proof of the holder's right to stay, work or study in the UK. The BRP can also be used as a form of identification (for example, if they wish to open a bank account in the United Kingdom). The holder is not required to carry their permit at all

times, but they must show it at the border, together with their passport, when travelling outside of, and when returning to the UK.

5. Purpose of SMoU

5.1. The purpose of this exchange is for DWP and the Home Office to work in partnership to process applications for NINos for the following BRP / NINo alignment cohorts:

- Allocation – Tier 2 out of country applicants.
- Resettlement Refugees who are granted leave to enter the UK under a resettlement scheme.
- Verification – Tier 2 in country applicants.

6. Benefits of the exchange

6.1 Home Office will obtain a verified NINo that can be recorded as such, against the applicants' name on their permanent Home Office record and used in any future communications with Other Government Department (OGD) partners, including being physically recorded on the applicant's BRP.

6.2 The alignment of the issue of BRPs and NINos will make sharing information with OGDs more effective; improve customer service in terms of making their future interactions with OGD's swifter and easier and will assist in establishing a common form of identification across government.

7. Data to be shared by the Home Office

7.1 Please refer to Annex A which denotes the data set that will be provided by the Home Office and sent to DWP in relation to the out of country, Resettlement refugees, and In country cases.

8. Process and method

8.1 Appendixes located on pages 16 - 24 describe the structure / Process in which NiNos will be aligned to the BRP.

8.2 Allocation – Out of Country process and method set out in Appendix 1

8.3 Resettlement Refugee process and method set out to in Appendix 2

8.4 Verification – In Country process set out in Appendix 3.

9. Access to Central Reference System (CRS)

9.1 CRS is a Web - based system that contains entry clearance data from diplomatic missions overseas and is owned by the Foreign Commonwealth Office (FCO).

Access will be arranged through Local DWP CRS Supervisors who will liaise with the FCO to provide a link to the FCO website.

9.2 DWP will have access to CRS for the purposes of assisting with the tracing of NINo's. CRS has additional data (e.g. access to application forms and other address details) that can assist DWP to trace a current NINo, particularly for partial trace cases.

9.3 All new DWP designated users of CRS will have read the Security Operating Procedures (SOPS) before they start using CRS to acknowledge that they have read and understood their responsibilities. Link to SOPS for CRS provided below:
<http://horizon.gws.gsi.gov.uk/portal/site/horizon-intranet/menuitem.5e9fdfa5b28a104a43757f10466b8a0c/?vgnextoid=6c0d7d91ccd89210VgnVCM2000003cb1a8c0RCRD>

9.4 DWP NINo Operations designated users that are granted CRS read only access will be responsible for their User ID and must protect their CRS passwords.

9.5 The use of CRS data must not breach the requirements of the Data Protection Act 1998 and confidentiality must be maintained at all times.

9.6 The Computer misuse Act 1990 makes unauthorised and inappropriate access to a computer systems and information unlawful. This includes instances of staff accessing the CRS system for any purpose which is:

- Outside of the scope of their employment,
- Would breach the employer's duty of confidentiality,
- Would involve accessing CRS outside agreed working hours without prior obtained authority,
- Specifically includes accessing CRS for personal convenience and reasons other than for strictly genuine business purposes.

9.7 Inappropriate access or misuse of CRS data is classed as gross misconduct. The Home Office retains the right to log and audit CRS activity. Audits and Spot checks will be conducted by CRS administrators or local management to ensure the legitimacy of all users and their actions and appropriate action will be taken against those found to be in breach of the above.

9.8 Appropriate action may include immediate withdrawal and suspension of access to CRS data and the instigation of, disciplinary procedures which may ultimately lead to dismissal and referral to the police.

9.9 Home Office will monitor and accept responsibility for reviewing arrangements with DWP and notifying or applying to Home Office Corporate Security for any changes of access to CRS data.

9.10 DWP will only have access to the relevant data until such time as process changes make this provision obsolete and this function is no longer required. In the event that this process becomes obsolete this SMoU will automatically lapse and a new one will be required.

10. Roles of each party to the SMoU

10.1 The Role of the Home Office

- To ensure all aspects of the current Umbrella MoU and SMoU are adhered to.
- To provide daily spreadsheets of the successful Out of Country, Resettlement Refugee and In Country cases set out in Annex A of this document to DWP NINo Operations department by 10 am each day to allow DWP to take their appropriate action.
- Ensure that all data provided to DWP is both accurate and up to date.
- Any results to be sent via secure GSI email network to DWP secure GSI email network with the subject line marked as OFFICIAL – SENSITIVE.
- Ensure all NINos are bulk uploaded on to Home Office IPT system for onward processing to DVLA to print the BRP with a NINo.
- For the partial trace process, when returning the response from the applicant to the specific set of questions, HO BIDMU must send the response from HO BIDMU nominated email to the nominated DWP NINo Operations email account.

10.2 The Role of DWP

- To ensure all aspects of the current Umbrella MoU and SMoU are adhered to.
- In response, analyse the results received from the Home Office data file and process the NINo application appropriately.
- Once matched DWP to store results received from Home Office in a secure manner with appropriate restricted access and password protected.
- Ensure that the data is handled by designated users in line with the approved secure transfer method agreed by both departments.
- To return the results within 5 working days of receipt for all successfully traced / allocated cases with the subject line marked as OFFICIAL- SENSITIVE, for the partial traces, return the results to Home Office on the next available output file.
- Only store the information for as long as there is a business need and to delete/destroy in accordance with DWP Records Management Policy and retention period
- To only access the records on the CRS system for the purpose specified in the SMoU through designated users in accordance with the provisions of this SMoU.
- For the partial trace process, when providing Home Office BIDMU with the specific set of questions to ask the applicant, DWP must send the response from DWP NINo Operations to the Home Office BIDMU nominated email accounts.
- All designated users handling Home Office data must have the appropriate level of security clearance determined by their own department.

11. Retention and destruction

11.1 DWP will not use Home Office information for any purpose other than it was obtained for i.e. for the 'Out of Country', 'Resettlement Refugee' and 'In Country' BRP / NINo alignment Processes, or share it with any other party without first seeking and obtaining Home Office permission.

11.2 Any information received by the Home Office from DWP will be processed in line with Home Office retention, destruction and storage policies.

11.3 Any information received by DWP from the Home Office will be processed in line with DWP retention, destruction and storage policies.

12. Physical Security

12.1 When data checking is carried out by the Home Office and transferred to a designated DWP user in accordance with this SMoU, the result will be transferred to a DWP system whereupon the DWP becomes the data controller. The original email containing the data file received from the Home Office will then be destroyed but the original file will be securely kept for DWP audit purposes and retained as in 11.3. No further or additional data may be recorded or transferred without the specific agreement of the other party.

12.2 All Home Office data will be stored, moved and disposed of in accordance with the Government Security Classification Marking Scheme and in accordance with the Data Protection Act. Home Office records are protectively marked as OFFICIAL in line with the Government Security Classification Marking Scheme. Although individual records are not protectively marked, they must be treated as OFFICIAL.

13. Costs

13.1 For the 'Allocation' (out of country) and 'Resettlement Refugee' processes no charges will be made by either party in relation directly to this SMoU. For 'Verification' (in country) DWP will cover the identified (DWP) cost for 2017 / 2018.

14. Reviews

14.1 This agreement will be reviewed on a yearly basis or at the request of either of the parties to the agreement. The contact points for review of the SMoU for DWP and Home Office are provided at Annex B of this document.

15. Issues, Disputes and Resolution

15.1 Any issues regarding ongoing delivery aspects of the information supply, such as data integrity or quality, should be addressed through "business as usual" channels as detailed in Annex B.

15.2 Where a problem arises it should be reported as soon as possible. Should the problem be of an urgent nature, it must be reported by phone immediately to the designated business as usual contact (listed in Annex B) and followed up in writing the same day. If the problem is not of an urgent nature it can be reported in writing within 24 hours of the problem occurring. The designated contacts will endeavour to resolve the problem within 2 working days.

15.3 Where it is not possible to resolve the issue within 2 working days or the issue is of such severity that individual data subjects may be negatively affected (including financially impacted), the issue will be escalated to the senior management team for

each partner. They will be notified with an explanation of why the dispute has not been resolved so that they can take appropriate action for resolution or plan contingency arrangements.

15.4 Where the “business as usual” channels fail to reach agreement, the parties will attempt to negotiate a settlement in the spirit of joint resolution within 20 working days of a formal notification being received. Contacts detailed in Annex B.

15.5 Specific strands of activity that may affect this SMoU should be discussed at a “business as usual” level to consider the possible impact on the SMoU; once the potential changes have been identified then a formal change notification should be sent to the ‘SMoU Change Control’ contact detailed at Annex B.

16. Signatories

16.1 Signed on behalf of DWP

Name: Gail Adams

Title/ Role: CFCD Transition Director

Signed:

Date:

16.2 Signed on behalf of Home Office

Name: Simon Peachy

Title/ Role: Head of International Operations, UK Visa and Immigration

Signed:

Date:

16.3: Signed on behalf of Home Office

Name: Simon Hayes

Title/Role: SCS, UKVI Visa and Citizenship department

Signed:

Date:

Annex A

Data set for Allocation - Out- of Country, Resettlement Refugee and Verification - In Country processes.



Data set_out of country and resettler



NINo VA data set In Country Trace Allocat

Annex B Business Contacts

DWP – Business as Usual

Contact	E-mail	Responsibility
.....	Security Incidents
.....	Policy/Legal issues
.....	Data Exchange Co-ordinator

.....	Review, amendments, and MoU Change Control contact for SMoU
.....	Operational Issues

DWP – Escalation

Contact	E-mail	Responsibility
.....	Security Incidents
.....	Policy / Legal issues
.....	Data Exchange Co-ordinator
.....	Review, amendments, and MoU Change Control contact for SMoU
.....	Operational Issues

Home Office – Business as Usual

Contact	E-mail	Responsibility
.....	Security Incidents
.....	Legal issues
N/A in Home Office		Data Exchange Co-ordinator
.....	Review, amendments and MoU change Control contact for SMOU
.....	Operational Issues

Home Office – Escalation

Contact	E-mail	Responsibility
Giles Bosworth Director Home Office Security	Security Incidents
N/A in Home Office		Data Exchange Co-ordinator
.....	Review, amendments and MoU change Control contact for SMoU
Home Office Legal Advisors Bureau (HOLAB)	To contact in the first instance who will consider escalation to HOLAB	Legal issues

.....	Operational issues
.....		
.....		
.....		

Annex C

Version History

Version	Date	Summary of changes	Changes marked
0.01	15-06-2017	Initial draft of combined BRP / NINo alignment SMoU.	No
0.02	15-06-2017	Reflecting initial internal review comments.	No
0.03	19-06-2017	Reflecting Home Office final review comments.	No

1. Process and method of Out-of-Country NINo Allocation

1.1 The Out-of-Country Allocation process will be applied to all relevant Tier 2 Third Country Nationals (TCN: an individual from outside the EU/EEA) – see 1.2 below - who has successfully applied for leave to enter in the UK for more than 6 months.

1.2 Tier 2 includes the following categories of applicants:

- Tier 2 General Migrant,
- Tier 2 Minister of Religion,
- Tier 2 Sports person.

1.3 The NINo decision making process will be undertaken by DWP NINo Operations.

Process for collating the required personal data on the Tier 2 applicant

1.4 Prior to the NINo Decision Making Process, all TCN Tier 2 applicants, in the categories mentioned in 1.2 that have successfully applied for a Visa to enter the UK will be issued with a BRP letter and a 30-day travel vignette from the overseas caseworker. The BRP letter will inform the applicant that they have been granted with leave to enter the UK and that they are required to collect their BRP when they arrive in the UK. The applicant will be informed through the BRP “General information for overseas applicants” leaflet that their NINo will appear on the BRP card and that there will be no need for the applicant or applicant’s employer to make a separate application to the Department for Work and Pensions to obtain a NINo when they arrive in the UK.

1.5 Details of all Tier 2 applicants’ personal data who have successfully applied for a visa to enter the UK will be captured on the Home Office Immigration Platform Technology System (IPT) from CRS.

1.6 Home Office Managing Integrated Data Application Solutions (MIDAS) will download the personal data on the successful Tier 2 applicants from IPT Management Information (MI) user interface on a daily basis from Monday to Friday.

1.7 The specific data set that will be extracted by MIDAS from IPT is detailed in Annex A of this document.

NINo Allocation process

1.8 Home Office will send DWP NINo Operations a data file containing personal details of the Tier 2 applicants (as specified in Annex A) who have successfully applied for a Visa and the Home Office have confirmed that the applicant should be allocated a NINo by DWP NINo Operations.

1.9 The data file will be named “NINo Overseas Trace _DDMMYYYY_NNN” and will be sent in .CSV format to account from email account.

1.10 Upon receipt of the data file, DWP NINo Operations authorised staff will carry out an initial trace action against DWP Customer Information System (CIS) records to establish if a NINo exists for the applicant.

1.11 If a NINo is identified through the trace action process, the record for the applicant will be returned to Home Office with details of the traced NINo.

1.12 If there is no record of a NINo then NINo Operations will allocate a NINo.

1.13 An output data file will be returned to the Home Office by DWP NINo Operations to email account which will include all data columns sent by the Home Office (as specified in Annex A) with the addition of the following data item:

- their NINo

1.14 It is anticipated that the exported data file from Home Office to DWP Operations will contain in the region of 55 a day in total (any significant fluctuations in volumes will be discussed and agreed with DWP in advance).

1.15 The .CSV data file will be supplied to DWP Operations by 10.00 am on a daily basis.

1.16 DWP will return the results within 5 working days of receipt to Home Office.

Weekend Workflow Arrangements

1.17 The Home Office extract will continue to be sent on a daily basis from Monday to Friday. The Monday data file will contain the data transactions for Saturday and Sunday. In the region of 160 records will be sent in the Monday data file.

Partial Trace Process

1.18 In order for DWP to successfully establish if a NINo exists for the applicant through the NINo Decision making process the following three data sets must match a record on CIS to be a confirmed match:

- Name,
- Date of Birth,
- Address.

1.19 Where the first two elements (i.e. Name and Date of Birth) match what is held on DWP CIS records, but the 3rd element (i.e. the Address field) does not match what is held on CIS, this would be termed a 'Partial Trace' result.

1.20 A partial trace result is insufficiently conclusive to enable DWP NINo Operations to confirm that a NINo has been traced, therefore further manual trace action is required which allows the DWP NINo Operations to check it's data directly against CRS. Designated staff at DWP NINo Operations will be granted read-only access to the Central Reference System (CRS) to enable DWP NINo Operations to carry out further manual trace action on cases where Home Office have returned a partial trace result.

1.21 Where the partial trace process against CRS records is successful, DWP NINo Operations will update the same CSV data file received.

1.22 Where the manual trace action against CRS does not trace an address that matches the address held on the DWP CIS system, DWP NINo Operations will contact Home Office Biometric Immigration Document Management Unit (BIDMU) by email atto carry out an address verification check with the applicant. Details of these applicants will be sent to Home Office on the .CSV input file received by NINo Operations.

1.23 DWP will provide Home Office BIDMU with the exact address that DWP hold on CIS for the applicant and the year that they believe the applicant was living at the address. Home Office BIDMU will then arrange to contact the applicant by email with a specific set of questions adapted to the individual to ensure that DWP can obtain the correct address information they require from the applicant.

1.24 Home Office BIDMU will not disclose the exact address provided by DWP NINo Operations to the applicant, but will ask the applicant if they have ever lived in the geographical area of the address that DWP hold on CIS records and the time period that DWP believe the applicant lived in the area. Depending on their response this will confirm if the applicant has ever lived at the address held on DWP CIS records.

1.25 Home Office BIDMU will contact the applicant by email giving the applicant 3 working days to respond. The email will also inform the applicant that a NINo will not be allocated and that a BRP will not be produced until they reply.

1.26 Once the applicant has responded, Home Office BIDMU will send the response from the nominated Home Office BIDMU email account to the nominated DWP NINo Operations email account at

1.27 From the information provided by the applicant DWP NINo Operations will confirm if it's a 'trace' or 'no trace' case. If it's a 'trace' case the traced NINo will be entered on the .CSV output file for return to the HO. Where it's a 'no trace' case DWP NINo Operations will allocate a NINo for the applicant and enter it on the .CSV output file for return to the HO.

1.28 Where the Home Office BIDMU address verification process does not confirm a traced NINo, DWP will allocate a NINo to the applicant. DWP NINo Operations will update the next available excel output file with the allocated NINo against the record for the relevant applicant and return the following to the Home Office:

- Actual NINo allocated for that record

2. Process and method of Resettlement Refugee NINo Allocation

2.1 Resettlement Refugees includes migrants granted leave to enter under the:

- Gateway Protection Programme;
- Mandate Refugee Scheme;
- Syrian Vulnerable Persons Resettlement Scheme; or
- Vulnerable Children's Resettlement Scheme.

2.2 The NINo application decision making process will be undertaken by DWP NINo Operations.

Process for collating the required personal data on the Resettlement Refugee applicant

2.3 All relevant personal data will be included on the Home Office Case Information Database (CID) using the biographic details obtained from the United Nations High Commissioner for Refugees (UNHCR). Where leave to enter is approved the Home Office complete the Family Arrivals Information and email this to DWP's single points of contact.

2.4 A Central Reference System (CRS) data extract will be sent from the Home Office to DWP NINo Operations – the transfer will be facilitated by Home Office Managing Integrated Data Application Solutions (MIDAS).

2.5 The specific data set that will be extracted by MIDAS from CRS is detailed in **Annex A** of this document.

NINo Application Process

2.6 Home Office will send DWP NINo Operations a data file containing personal details of refugees granted leave to enter under a resettlement scheme (as specified in Annex A) and DWP NINo Operations will make a decision on the NINo accordingly.

2.7 The data file will be named "NINo Overseas Trace _DDMMYYYY_NNN" and will be sent in .CSV format to email account from

2.8 An output data file will be returned to the Home Office by DWP NINo Operations to email account which will include all data columns sent by the Home Office (as specified in Annex A) with the addition of the following data item:

- their NINo

2.9 It is anticipated that the exported data file from Home Office to DWP Operations will contain in the region of 22 cases a day (7 – 8,000 per year / 365) in total (any significant fluctuations in volumes will be discussed and agreed with DWP in advance). This data will be in advance of the refugee's arrival in the UK.

2.10 The .CSV data file will be supplied to DWP Operations by 10.00 am on a daily basis.

2.11 DWP will return the results within 5 working days of receipt to the Home Office.

Weekend Workflow Arrangements

2.12 The Home Office extract will continue to be sent on a daily basis from Monday to Friday. The Monday data file will contain the data transactions for Saturday and Sunday. In the region of 66 records will be sent in the Monday data file.

Partial Trace Process

2.13 Whilst the resettlement refugee process map (this is a separate document) includes (at step 10) a reference to partial trace cases, on the basis that there have been no partial trace cases for the resettlement refugees thus far we do not anticipate any partial trace cases being identified. If any are identified then reference should be made to Appendix 1 paragraph 1.18 et seq of this document.

3. Process and method of In Country NINo Verification

3.1 The In Country verification process will be applied to all Tier 2 main applicants (but see paragraph 3.3 below) who have applied for Leave to Remain (LTR) or Indefinite leave to remain (ILR) in the UK.

3.2 Tier 2 includes the following four categories of applicants:

- General Migrant (ILR & LTR)
- Minister of religion, (LTR)
- Sportsperson (LTR)
- Intra-Company Transfer (LTR).

3.3 Data on the first three Tier 2 categories of applicants will be provided to DWP as the first step of the In Country verification process followed by the last category (Tier 2 Intra Company Transfer) at a later stage.

3.4 The In Country verification process will be applied to the above four categories of applicants who:

- have applied for LTR/ILR under the above three Tier 2 categories and whose applications are under consideration by the Home Office.
- were granted LTR/ILR or are in the process of being granted LTR/ILR or have extant leave to remain in the UK under the above three Tier 2 categories.

3.5 The NINo verification process will be established through a 'Verification', and a Decision making process: The verification process will be undertaken by **DWP, Data & Analytics Services (formerly Information Exploitation and Security (IES))** and the NINo application decision making process will be undertaken by **DWP, NINo Operations**. Each of these processes are described under separate headings below and are additionally covered in more detail in the respective Detailed Business Requirements (DBR) for: a) data matching: IES in house data matching service AOBWR542 01; and for in country 'trace & allocate': b) the In Country – Trace and Allocate requirements.

Verification Process

3.6 The verification process applies to individuals that have applied under the Tier 2 category in instances where:

- The individual has provided a NINo on their tier 2 renewal application form or:
- A NINo is recorded on Home Office Casework Information Database (CID) for the individual.

3.7 The data set for these applicants will be sent to **DWP, Data & Analytics Services DAS (formerly IES)** to undergo a matching process to verify the NINo.

NINo Decision Making Process.

Tracing Process

3.8 Tier 2 applicants that do not have a NINo recorded on their tier 2 application form or CID or where DWP DAS have returned a 'no match' through the verification process will go through the 'Tracing' process to carry out detailed trace action to establish whether a NINo exists.

Allocation Process

3.9 Where tracing is unsuccessful and a NINo is not traced, the applicant will be allocated a NINo if DWP are requested to do so by the HO and DWP are satisfied there is no overriding reason why a NINo cannot be allocated to the individual. Home Office will carry out further checks on CID to determine that the individual was granted leave to remain in the UK and send a further file to DWP NINo Operations of the cases that require NINo allocation.

3.10 The data exchange with DWP will be facilitated through Home Office Management Information and Data Analysis Service (MIDAS)

3.11 MIDAS will extract the following three data files from CID and send to DWP: Further details of the specific data fields contained in each data file are detailed in the respective DBRs (see section 3.5)

Data File 1

MIDAS will send data file 1 to DWP DAS for the VERIFICATION only process. Data file 1 will contain data on all T2 cases created on CID during the previous day where applicant is **over 16** and a **NINo is present**.

Data File 2

MIDAS will send data file 2 to DWP NINo Operations for the TRACING only process. Data file 2 will contain all cases from the previous Extract/File 1 which failed VERIFICATION indicated by response sent from DWP IES and for those applicants who haven't provided their NINo on their application form. .

Data File 3

MIDAS will send data file 3 to DWP NINo Operations for the ALLOCATION PROCESS. Data file 3 will contain the following cases:

- Cases from a previous Extract/File 2 which failed TRACE indicated by the response sent from DWP NINo Operations.
- Cases that have been granted leave by a caseworker

3.12 Home Office MIDAS will send a pipe delimited text file for the VERIFICATION process and two Microsoft excel spreadsheets for the TRACING and ALLOCATION process to the two designated areas of DWP as specified in paragraphs 3.5 and 3.11.

3.13 It is anticipated that the exported data from Home Office to DWP will contain in the region of 145 cases a day in total (approximately 129 cases will go to DWP, DAS

and 16 cases will go to DWP, NINo Operations). Any significant fluctuations in volumes will be discussed and agreed with DWP in advance.

3.14 The pipe delimited text file and two Microsoft excel files will be supplied to the nominated official for the two designated areas of DWP by 10.00 am on a daily basis. The files will be sent by secure GSI email outlook account with the subject line marked as OFFICIAL SENSITIVE. This secure email account will only be accessed by designated DWP users.

3.15 On receipt of the data from MIDAS, DWP (DAS formerly IES) will for the VERIFICATION process:

- Match the inbound data against DWP records to check if a corresponding NINo is held on DWP systems.
- Where a NINo is matched DWP will conduct further matching against an agreed set of variables. DWP will provide Home Office with confirmation, agreed set of variables through a match score, to allow Home Office to decide if this match level meets their requirements to state the NINo has been verified.
- Return the results within 5 working days of receipt to Home Office
- DWP will send the return data in Microsoft Excel format transferred by secure GSI email from and to agreed contact points.

3.16 On receipt of the data from MIDAS DWP will, for the NINo Decision Making Process.

- For cases, where the NINo supplied with the other biographical information of an individual by the Home Office is not matched against that individual, but DWP have successfully traced a record of a NINo to that named individual and are satisfied it is an exact match; DWP will supply the Home Office with the correct 'traced' NINo for that applicant.
- Where a NINo is not traced through the process described above and DWP have been requested to allocate a NINo to the applicant by the Home Office, DWP to provide Home Office with details of that NINo.
- Return the results within 5 working days of receipt to Home Office.

DWP will send the return data in Microsoft Excel format transferred by secure GSI email from and to agreed contact points.

Partial Trace Process

3.17 In order for DWP to successfully establish if a NINo exists for the applicant through the NINo Decision Making process the following three data sets must match a record on DWP Customer Information System (CIS) to be a confirmed match:

- name,

- Date of Birth,
- Address.

3.18 Where the first two elements (i.e. Name and Date of Birth) match what is held on DWP CIS records, but the 3rd element (i.e. the Address field) does not match what is held on CIS, this would be termed as a 'Partial Trace' result.

3.19 Where the trace action process does not match an address provided by the HO with an address on the DWP CIS system, DWP NINo Operations will contact HO at the following two email addresses: and to carry out an address verification check with the applicant.

3.20 DWP NINo Operations will provide Home Office with a series of questions adapted to the applicant. Home Office will arrange to contact the applicant either by phone, e-mail or by post with the specific questions provided by DWP. Once the applicant has responded, Home Office will send the applicant's response to DWP NINo Operations at

3.21 From the information provided by the applicant, DWP NINo Operations will confirm whether a NINo was traced or not traced. If a NINo is successfully traced, the traced NINo will be entered on the next available excel output file against the record for the relevant applicant for return to the Home Office.

3.22 Where a NINo is not traced through the address verification process, DWP NINo Operations will allocate a NINo to the applicant. DWP NINo Operations will enter the allocated NINo against the record for the relevant applicant on the next available excel output file for return to the Home Office.

Weekend Workflow Arrangements

3.23 The Home Office extracts will continue to be sent on a daily basis including on Saturday and Sunday. DWP however, will only process the files on the following Monday, (working day 1) and in the order they were received, excluding Bank Holidays and office closures. Between 20-50 records will be sent on a Saturday and Sunday

3.24 Saturday and Sunday will not be counted as a working day within this SMoU for DWP purposes.