

Guidance for completing a GAIN Referral Form

Principles of intelligence sharing through the GAIN

- The principles of GAIN encourage agencies to lawfully share information and intelligence; confident in the knowledge that it will be handled responsibly and stored appropriately by all receiving organisations and agencies.
- Approved GAIN Agencies have undergone a rigorous induction process to ensure they meet the required standards for sharing intelligence in relation to Serious and Organised Crime.
- Any information shared within GAIN will only be disseminated to approved GAIN recipients and remains the property of the originating agency. No information shared will be further disseminated or acted upon without the authority of that agency.
- The GAIN referral form enables intelligence to be shared (by means of appropriate legislation) where there is a lawful purpose for the request and therefore all sections of the form need to be completed appropriately.
- Please read the guidance below to assist you in completing the form appropriately in order for you to achieve the most from your submission. Please view the list of GAIN Partners and their remits on page 4 and consider these when populating the form.
- Based upon the content of your referral, the GAIN Hub Evaluator will determine which partners/agencies are included in the circulation - referrals will NOT be routinely sent to ALL agencies.
- Should you require any assistance in populating the GAIN referral form, please do not hesitate to contact the GAIN Hub, NationalGAINreferrals@leics.police.uk or 0116 222 1541.

In-Scope Criteria

An investigation will be in-scope for GAIN assistance if it relates to serious organised crime. It may feature an OCG, a high-risk individual perpetuating SOC (e.g. priority individual), or vulnerabilities linked to SOC (e.g. modern slavery, human trafficking, child sexual exploitation and abuse or fraud). We will also accept tasked operations for referring partner agencies/organisations where they fulfil that agency's remit relating to SOC.

NB: We are not able to process wanted / locate / trace referrals; the sheer volume of these enquiries is, for both the GAIN Hub and partners, way beyond our capacity to process and manage.

GAIN Partners

The list contained at the end of this guidance contains details of the main GAIN partners; these are the agencies with which we are able to disseminate appropriate GAIN referrals to and who may be able to assist you in filling the gaps in your intelligence requirements. In order to ensure you achieve the most from the referral please review this list of agencies before completing the referral form.

NB: The DVLA and Land Registry are often assumed to be GAIN partners, but they are not onboarded to GAIN and requests should be sent to them directly. Police force FIBs have a DVLA SPoC who will be able to provide police referrers with DVLA forms and DVLA DPA forms are available to partners from the Hub on request.

Please include within your intelligence summary (section 3) and/or information required (section 5) any relevant links to specific areas of business for GAIN partners as this will ensure you achieve the most from the referral.

Step-by-Step guidance for form completion

Section 1: Confirmation of GAIN “in-scope” criteria

- Tick appropriate section as to how your request fits the in-scope criteria for a GAIN referral
- Include OCGM reference and/or Operation Name if appropriate.

Section 2: Details of referrer

- If referral is from a Regional Organised Crime Unit (ROCU) please state which department

Section 3: Summary of criminality & intelligence development already completed

- Please provide an overview of the criminality under investigation/subject to intelligence development. Specific intelligence reports are **not** required, rather it should provide a synopsis and explanation for how **each Subject** is linked to the criminality in order to provide sufficient justification and proportionality for the recipient to lawfully share personal sensitive information.

Please do not disclose graded intel, covert tactics or LE methodology - please note that the referral form is disseminated to the relevant partner agencies in its raw format and not sanitised.

- **3a** - To avoid duplication please list any of the GAIN agencies with which you have already liaised.
- **3b** - To avoid duplication please provide the reference number of any previous GAIN referrals (if known) pertaining to any or all of the subjects. Note, generally only one GAIN referral will be processed for the same subject within a 12 month period.
- **3c** - Please note it is mandatory for all referrals from the Police to have completed PND and PNC checks before submission. Where partner agencies have direct access to either or both systems it is the agencies' responsibility to carry out these checks themselves before submitting the GAIN referral
- **3e – EUROPOL (SIENA) Checks** - if any of the subjects are Foreign National Offenders and/or criminality has connections outside of the UK, an intelligence request can be considered to appropriate Europol countries. Any international connections must be stated within the referral.
 - Europol / SIENA checks will only be conducted where there is clear suspicion of foreign national involvement or international criminality; and at the discretion of the GAIN Hub, who will contact you for further information. **NOTE:** Full and accurate family name details and DoBs are required as a minimum for subjects of a SIENA check (some countries require place of birth and familial names before they can undertake a meaningful search).
 - **POLICE referrers** - please make request via your ROCU or (where applicable) your Forces International Liaison Officers. The GAIN Hub is able to provide the form and relevant ROCU email address on request.
 - **HOIE/HMRC/Border Forcer referrers** – The Europol National Unit ask that you please make requests internally via your organisations SIENA users.

Section 4: Subjects/Entities for searching

- The contents of this section are used by the receiving agency to search their systems so should be completed with as much information as possible.
- In order to manage demand placed upon the network, there is a **maximum of 5 subjects** per referral form **and in any one instance**. For more than one subject, copy and paste the subject POLE table and re-name as subject 2 etc. (up to a maximum of five).

If you have more than five subjects to check for the same operation, we ask you to submit your highest priority five first. You can then submit a further form two weeks later or as soon as the first referral is complete, whichever is sooner.

- The following are **compulsory fields** for all referrals:
 - ✓ Surname
 - ✓ Forename
 - ✓ Date of birth
 - ✓ Gender
 - ✓ Describe how the subject is linked to the criminality – for example, principal subject of OCG, suspect of fraud under investigation. It is not appropriate for victims or witnesses to be subjects of referrals.
- For referrals from Police and partners with PNC access, PNC ID and CRO numbers must be stated if they are recorded on PNC. If they are not on PNC please state 'not recorded on PNC'
- Place of birth – Wherever possible this field should be populated
- Vehicles & telephone numbers – only current/relevant details should be included
- Any linked companies- i.e. where the subject is current or former Director, where relevant. Include Registered Company Name and Number if possible.

Section 5: Information Required

- **5a** - Please indicate at the start of Section 5 the time period requested. Research undertaken by the Hub on PNC/PND for Partner Agencies will normally consider the preceding 2 year period.
- **5b** - What are your intelligence requirements and gaps? Enter missing intel that may be provided by several agencies e.g. address, phone number, photographs of the subject.
- **5c SPECIFIC AGENCY** Requests - Refer to list of GAIN partners to ensure you get the best from the referral.
- You need to be specific, "anything any other agency knows about the subjects" is not sufficient for a Data Protection form.
- For financial intelligence, it is advised you liaise with a Financial Investigator or Financial Intelligence Officer within your own organisation.

Sections 6, 7 & 8 – Policing purpose, or other statutory function, and legislation sections

- All sections must be populated as referenced on the form to comply with legislative requirements.

Section 9 – Applicant 'signature'

- To be completed by the named referrer on page one. Typed signatures and digital signatures are accepted, but the applicant **MUST complete** 'signed' box to constitute e-signature.
- **Secure Email must be provided to which responses can be sent.**

Section 10 – Supervisor's authorisation

- This is compulsory to confirm the policing purpose, or other statutory function, for submitting the referral. It is your responsibility to ensure written authority is obtained. Typed signatures and digital signatures are accepted, but the authoriser **MUST complete** 'signed' box to constitute e-signature.
- Supervisors must check the contents of form before authorising.
- For DWP/HMRC checks, the authorising officer must be an Inspector or above (or equivalent).

Once completed and authorised, the GAIN referral form should be sent as a Word document (please do not convert to PDF) to NationalGAINreferrals@leics.police.uk

Section 11 – GAIN referral result

GAIN partners are asked to populate their responses in this section and return the completed form to the GAIN Hub for onward dissemination to the referrer. Some GAIN partners have their own reporting templates with associate grading. Where possible/relevant, intelligence provided must be appropriately graded to facilitate retention and evaluation.

GAIN Partner Agency remits – for GAIN referrals

*Please note: This is not a static list of partners as new agencies are engaging all the time.
There are some private sector organisations / charities who are part of the GAIN network but referrals are not routinely sent to e.g. Federation Against Copyright Theft and the RSPCA; referrals can be sent to these partners at the discretion of the National GAIN Hub*

Refer to the National GAIN Hub for confirmation of partners if required:

E: NationalGAINreferrals@leics.police.uk / T: 0116 222 1541

GAIN Agency	Area of Business	Summary of responsibilities/powers, data sets
ACPO Criminal Records Office (ACRO)	Overseas convictions	The Operations and Intelligence teams are responsible for linking up and acting upon information that could help forces throughout the UK and further afield to fight crime. This includes recording the convictions of UK citizens committed abroad and a gateway for identifying convictions of foreign nationals in other countries. A GAIN request to ACRO does NOT provide foreign conviction data – this ACRO check MUST be done for all FNOs by the home force for audit purposes. GAIN responses will signpost referrer to previous ACRO submissions by Police or Partners.
Animal and Plant Health Agency (APHA)	Environment, Food and Rural Affairs	The Animal and Plant Health Agency (APHA) is an executive agency of the Department for Environment, Food & Rural Affairs, and also works on behalf of the Welsh Government. APHA work to safeguard the health and welfare of animals and plants, as well as the general public, from disease. This includes work areas such as Imports, Animal by-products, Products of Animal Origin, TB and CITES.
Care Quality Commission (CQC)	Health and Adult Social Care regulator	CQC is an independent regulator of health and adult social care in England. It has no powers of arrest but has warranted powers (civil and criminal) and some offences can be tried either way.
Charity Commission (CC)	UK charities	Registration and regulation of charities in England and Wales. Ensure charity trustees comply with their legal obligations in exercising control and management of the administration. They proactively identify and investigate abuse in charities and activities taken in the name of charities.
Companies House (CH)	Companies, Directors	Incorporate and dissolve limited companies (not sole traders or business trading names). Examine and store information delivered under the Companies Act 2006 & related legislation. They will expect their open-source checker to be used in the first instance to identify subjects linked to limited companies, more specific focused requests can be made requesting back office data. An IPA is required for comms data as CH are now designated as a telecommunications provider.
Competition & Markets Authority (CMA)	Strengthen business competition & consumer protection	Non-ministerial Government Dept responsible for strengthening business competition and reducing competitive activities. Civil and Criminal powers.
Department of Health and Social Care (DHSC)	Health and Social Care	Team of accredited counter fraud specialists and financial investigators who tackle fraud, bribery and corruption in the Dept and arms-length bodies. Departmental sponsor of NHS CFA. They will not provide GP information, this would require a request direct to the respective health trust.
Department for Work and Pensions (DWP)	Benefits system	*** POLICE SOC CHECKS ONLY *** Partner Agencies need to use own gateways into DWP/Police non-SOC checks via DPA form 1000 to Disclosure Unit. Central Criminal Investigations Team investigates organised and serious attacks on benefits system. Appropriate GAIN referrals are processed by Disclosure Unit, able to carry out checks to confirm names, date of births, addresses & whether someone is claiming benefits.

Disclosure & Barring Service (DBS)	Safeguarding	The DBS processes and issues DBS checks for England, Wales, the Channel Islands and the Isle of Man. It also maintains the adults' and children's Barred Lists and makes considered decisions as to whether an individual should be included on one or both of these lists and barred from engaging in regulated activity. DBS is an executive non-departmental public body, sponsored by the Home Office.
Driver & Vehicle Standards Agency (DVSA)	Vehicle and driver roadworthiness, enforcement and compliance	Enforcement of HGV & PSV drivers hours, roadworthiness and operator licensing; regulation of MOT scheme to ensure garages and testers are authorised to carry out MOTs on cars, motorcycles and light goods vehicles to correct standards; Carry out annual vehicle tests on lorries, coaches and buses; carry out theory and practical driving tests for all motor vehicles and learner drivers; maintain register of approved driving instructors and examiners. Was formerly VOSA and DSA. Routine driver license information should be sought from the DVLA who are not part of the GAIN process
Environment Agency (EA)	Waste industry	The main law enforcement part of the EA is the licensing, regulation and enforcement of the waste industry. Other areas of law enforcement are fishing and navigation. Check public register for licenses and permits – https://www.gov.uk/guidance/access-the-public-register-for-environmental-information
Food Standards Agency (FSA) inc National Food Crime Unit (NFCU)	NFCU - serious fraud and related criminality within the food supply chain.	Regulation and enforcement to ensure food law is applied throughout the food chain. This includes approving, auditing and regulating premises in the UK across all sectors, including catering and retail, manufacturers and farming. NFCU – deal with serious fraud and related criminality within the food supply chain.
Gambling Commission (GC)	Gambling	Regulates gambling industry (casinos, betting shops, bingo, online betting) in the UK – licensing, regulation and enforcement. All establishments have a duty of care to ensure their customers are gambling responsibly so when spending large amounts/visiting frequently that have a requirement to know who the customer is. Duty of care to report suspicious activity via SARs. The Gambling Commission does not hold membership/account details for any gambling establishment, but can provide details of Money Laundering Responsible Officers where companies/establishments of interest are detailed on the referral.
Gangmasters and Labour Abuse Authority (GLAA)	Labour providers, workers, labour exploitation	Licensing, regulation and enforcement to protect those working in the agriculture, horticulture, shellfish gathering and associated processing and packing industries. It is illegal to supply workers to these industries without a GLAA license.
His Majesty's Passport Office (HMPO)	Public Protection and Fraud Directorate	Hold details of all UK PP holders, including photographs, application details and counter signatory details. Make it clear within your referral if you are trying to establish current passport details to ensure no misunderstanding from HMPO regards the time frame stipulated within section 5a.
His Majesty's Revenue and Customs (HMRC)	Tax, importation of goods	*** Checks for partners with HMRC MOU only. Only referrals with a potential HMRC interest will be processed via the GAIN Hub, all others will be directed to submit a direct request for information to HMRC's National Coordination Unit*** <u>Revenue</u> – all types of tax & duties, including National Insurance, Income, VAT and tax credits. <u>Customs</u> – cash, drugs, firearms, counterfeit goods. Within both parts of the agency, there are investigation, detection, compliance, and intelligence teams.

Home Office Immigration Enforcement (HOIE)	Immigration status	Enforcement of immigration laws within the UK. Data sources are immigration status and records relating to foreign nationals visiting or living within the UK under various types of visa/leave to remain.
Home Office Intelligence (HOI) – Border Facing referrals	Customs controls, people & goods	<p>Referrals for UK Border Force are now handled by the HOI Immigration Intelligence Centre. Border Force secure the UK border by carrying out immigration and customs controls for people and goods entering the UK. It facilitates the legitimate movement of individuals and goods whilst preventing those that would cause harm from entering the UK. Home Office Intelligence (Border Facing teams) will process GAIN referrals that relate to:</p> <p>Air passengers, Eurostar passengers, airfreight, road trailers that are driven by an HGV, drop trailers or smaller lorries that are used to transport goods. Eurotunnel (car/foot/train passengers), containers, suspect parcels, outbound baggage/freight, maritime intel/crime or intellectual property rights e.g. vapes.</p> <p>Please note:</p> <ul style="list-style-type: none"> • Vehicle importation queries should be directed to HMRC not HOI-BF. • HOI will not provide details of a subject's movements entering / leaving the UK via GAIN, this will need a semaphore (UK Borders System) check within your force UK Border Systems gateway, ROCU or with the National Borders Targeting Centre team (all Partner referrals). NBTC can be contacted via NBTCMailbox@homeoffice.gov.uk or 0161 209 2973. NBTC forms can be obtained from the Hub.
Insolvency Service (IS)	Companies, bankrupt / disqualified directors	Investigations into misconduct within businesses and by people who are bankrupt or disqualified company directors.
Insurance Fraud Bureau (IFB)	Insurance Fraud	The Insurance Fraud Bureau will research the Shift Technology Fraud Detection Solution to provide responses to GAIN referrals. This system includes information from the Motor Insurance Database and Claims Underwriting Exchange. If your investigation relates to insurance fraud/serious crime/MSHT/CSE/a child concern, you can request data that would be contained on insurance policies from IFB. POLICE referrers - Please provide confirmation that PNC #VF checks have already been completed if you are making a request for IFB checks.
The Marine Management Organisation (MMO)	License, regulate and plan marine activities in the seas around England	The Marine Management Organisation (MMO) is an executive non departmental public body sponsored by DEFRA, established by the Marine and Coastal Access Act (MACAA) 2009. The MMO's general objective is to license, regulate and plan marine activities in the seas around England so that they are carried out in a sustainable way. In practical terms, the MMO has a wide remit and is responsible for delivering legal functions concerning the protection of the marine environment and protected species, marine spatial planning, the licensing of marine activities and development, sea fisheries monitoring, quota and effort management, and fisheries enforcement and controls. The MMO also exercises functions relating to Harbour authorities.
Medicines & Healthcare Products Regulatory Authority (MHRA)	Medicines and medical devices	Primary aim is to safeguard the health of the public by ensuring that medicines and medical devices work and are acceptably safe. It licenses and regulates medicines for human use whereby the supply and distribution of medicines is controlled within the European Community. They also license and inspect pharmaceutical manufacturers and distributors operating in the UK marketplace.

National Illegal Money Lending Team (NIMLT)	Unlicensed Money Lenders (Loan Sharks)	Aim is to tackle illegal money lenders (those without the appropriate authority from the FCA, i.e. Loan Sharks). They investigate and prosecute illegal money lenders through their enforcement teams made up of investigators and seconded police detectives. Their own specific legal department and can deal with associated offences accompanying illegal money lending such as blackmail, money laundering, violence, kidnap and rape, as well as POCA. The department also has a team that deals with victim support and provide information and advice to communities and local agencies and can provide free training to partner organisations.
National Investigation Service (NATIS)	Fraud	NATIS is a law enforcement organisation recognised as having a ‘policing purpose’ with a responsibility for investigating serious crime such as fraud, bribery and corruption affecting public finance, on behalf of government departments and local authorities. NATIS also provides supporting capabilities to department and authority investigations. NATIS conducts investigations across the UK and has intelligence, investigation, digital forensics and criminal finance departments in its operating model. NATIS is not able to confirm the existence of BBLs. Please direct your request to Counter Fraud Expert Services (CFES) at counterfraud@beis.gov.uk
National Wildlife Crime Unit	Wildlife Crime	The National Wildlife Crime Unit (NWCUC) is a dedicated Police unit that provides intelligence, analytical and investigative support functions to assist and advise law enforcement partners in the prevention and detection of wildlife crime, both in the UK and abroad.
NHS Counter Fraud (NHS CFA)	Internal NHS fraud	Identifying, investigating and preventing fraud and other economic crime within the NHS and wider health group and leads in protecting vital NHS resources by using intelligence to understand the nature of fraud risks, reduce its impact and drive improvements. The NHSCFA cannot provide GP details or sensitive patient information, however, it may hold details (role and workplace) of individuals directly employed by the NHS, and whether they have been subject of any previous investigations.
Nuclear Decommissioning Authority (NDA)	Responsibility for 12 businesses and 17 nuclear sites across England, Scotland and Wales.	Nuclear Decommissioning Authority (NDA), is a non-departmental public body created through the Energy Act 2004, sponsored by the Department for Business, Energy & Industrial Strategy (BEIS) and regulated by the Office for Nuclear Regulation (ONR). NDA is part of the UK Critical National Infrastructure. NDA has responsibility for 12 businesses and 17 nuclear sites across England, Scotland and Wales.
Office Of Immigration Services Commission (OISC)	Regulation of immigration advisors	The Office of the Immigration Services Commissioner (OISC) regulates immigration advisers, ensuring they are fit and competent and act in the best interest of their clients. Investigate complaints about immigration advisers and can prosecute those who operate illegally.
The Office for Product Safety and Standards (OPSS)	Enforcement authority for a range of goods-based and standards-based regulations.	The Office for Product Safety and Standards (OPSS) is part of the Department for Business, Energy, and Industrial Strategy (BEIS) and exercises the powers of the Secretary of State in relation to a range of regulations: including Product safety, Construction Products, and other environmental legislation. OPSS is the UK Government’s enforcement authority for a range of goods-based and standards-based regulations. Internationally, OPSS works with the Foreign, Commonwealth and Development Office and with the Department for International Trade to support opportunities for UK trade and investment and build global capability to tackle shared regulatory challenges. OPSS have market surveillance responsibility at the border which is yielding more organised criminality on a larger scale involving the importation and distribution of goods into the UK. OPSS are involved in joint operations with other agencies such as Trading Standards. https://www.gov.uk/government/organisations/office-for-product-safety-and-standards

Security Industry Authority (SIA)	Security guards, door staff, CCTV operatives	Licensing, regulation & enforcement of the private security industry. This includes those operating as security guards, CCTV operators, door staff and cash & valuables in transit. There is a public register showing registered licence holders. http://www.sia.homeoffice.gov.uk/pages/licensing-rolh.aspx . & registered approved contractors http://www.sia.homeoffice.gov.uk/pages/acs-roac.aspx?all
Solicitors Regulation Authority (SRA)	Legal service providers	The SRA is the regulator of solicitors and law firms in England and Wales. They regulate more than 130,000 solicitors in England and Wales. They may be able to offer advice in advance of any enforcement against a suspect solicitor or practice. https://www.sra.org.uk/consumers/register
The Pensions Regulator (TPR)	Protects workplace pensions.	A public body sponsored by the DWP. The Pensions Regulator (TPR) is the public body that protects workplace pensions in the UK. We work with employers and those running pensions so that people can save safely for their retirement.
Trading Standards (TS)	Quality of goods and services	Each Upper Tier Local Authority (all Unitary Councils and in 2 tier areas the County Council) has its own Trading Standards Service. They deliver consumer protection, business advice and support within their local authority areas. They enforce a wide range of legislation in relation to all goods and services that we buy, hire and sell. Key areas of work include fair trading, product safety, under-age sales, mass marketing scams, doorstep crime, illicit tobacco, intellectual property crime (trademarks and counterfeiting), animal health & welfare, food safety, feed hygiene, metrology, consumer credit, estate agency and lettings agency work etc.
National Trading Standards (NTS)	Strategic issues or specialist enquiries relating to Trading Standards issues	Established in 2012 National Trading Standards receives government funding to commission, from Local Authorities in England and Wales, specialist teams or specific grant funded work and serious consumer protection enforcement cases. It has a NTS eCrime Team, NTS Intelligence Team, NTS Scams Team, NTS Estate & Letting Agency Team and eight NTS Regional Investigation Teams, who are all based within Trading Standards Services.
UK Anti – Doping (UKAD)	Sport & competition	UKAD is the national organisation dedicated to protecting a culture of clean sport. They help athletes to understand and follow the rules, and prosecute offenders.
UK Border Force (UKBF)	Customs controls, people & goods	Please see ' Home Office Intelligence (HOI) – Border Facing referrals ' above.
The UK Research and Innovation (UKRI)	Comprehensive counter fraud service through the prevention, detection and investigation of fraud, theft, corruption and other irregularities against UKRI.	The UK Research and Innovation (UKRI) is the HM Government organisation responsible for awarding all public-funded research grants across all of the various UK research councils and Innovate UK. The UKRI Counter Fraud Team was established in January 2019 and working in partnership with the Risk and Assurance functions, their role is to provide UKRI with a comprehensive counter fraud service through the prevention, detection and investigation of fraud, theft, corruption and other irregularities against UKRI. With such vast sums of money being handed out to both the private sector and public sector, as well as academic institutions, there is always a very small minority of unscrupulous businesses and individuals that will make a determined and serious attempt to defraud UKRI and obtain public funds for dishonest purposes. The team currently consists of ten accredited counter fraud specialists and technicians with a wide range of backgrounds and experience from former CID/Fraud Squad Police Officers, HMRC Investigator and a RAF Police Special Investigation Branch.