# NINo Integrity Unit

1. The NINo Integrity Unit (NIU) is a specialist team. Their role includes:
   - Investigating concerns raised regarding evidence supplied in connection with NINo applications
   - Creating intelligence reports from the information gained and
   - Building the Intelligence High Risk list to share with colleagues
   - Issuing Alerts to colleagues to make them aware of suspect activities
   - Providing other government departments with the intelligence gained from their investigations.

## Doubt Notifications

2. A Doubt Notification (DN) may be raised at any stage during the NINo application. All DN referrals should be thoroughly investigated and all aspects considered once a referral has been received.

### Doubt Notification – Contact Centre Referrals

3. The Contact Centre may identify a doubt at the initial point of contact with the applicant. If this happens they will complete a Doubt Notification and email it to the NIU for further investigation.

| Step | Action |
|------|--------|
| 1 | Doubt Notification (DN) received into the DWP NINo Integrity Unit mailbox from DWP Contact Centre |
| 2 | NIU officer moves email into their personal mailbox sub-folder |
| 3 | Email is opened and threat evaluated |
| 4 | Access LMS through Desktop icon |
| 5 | Input LMS number from the DN into the 'NINo/Refno' field |
| 6 | Click 'Srch' button |
| 7 | A grey 'Client Details' message will display |
| 8 | Click 'OK' |
| 9 | LMS record will display |
| 10 | Click 'Conv' button |
| 11 | List of Conversations With Client will display |
| 12 | Highlight any entry needing to be viewed in full and click 'Detail' button |
| 13 | When all necessary entries read, select 'Close' button |
| 14 | Click 'IntHist' button |
| 15 | An 'Intervention History' box will display – full screen view may be needed to see the box |
| 16 | If not automatically defaulted, highlight NINo interview |
| 17 | Click 'Detail' button |
| 18 | Details of booked interview will appear |
| 19 | Make note of date, time, location and interviewing officer |

| 20 | If more than one NINo application held, select 'Close' button |
|----|----|
| 21 | LMS record will display |
| 22 | Click on red 'NINo/Refno' red button |
| 23 | Highlight application you wish to view and click on the 'Detail' button |
| 24 | View will default to 'Decision' tab. Navigate across tabs as appropriate |
| 25 | XX XXXXXX XXXXXXXX XXX XXXXXXX, XXX XXXXXX XXX XXXXXXXX XX XXXXXXXX XXX XX XXXXXX XX XXX XXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 26 | XXXXXXXX XXXXXX XXXXX XXXXX XXXX XXXXXX XXXXXX XXXX XXX XXXX XX XXXX XX XXXXX XXXX XXX XXXXXXXX XX XXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 27 | The Intelligence Database is checked to determine if precedent set |
| 28 | XX XXXXXX XXXXXXXX X XXXXX XXXXX XXXXX XXX XXXXXX XXX XXXXXXXXX XX XXXX XXX XXXXXXXXX XXXXXX XX XXXXXXXXX XXX XXXXXXXX XXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 29 | The Intelligence Database is checked to determine if precedent set |
| 30 | Analysing all data, determine if threat is still of concern |
| 31 | **Checks conducted – no concern** |
| 32 | Feed back to the referring Contact Centre agent explaining how suspected threat has been investigated and dismissed |
| 33 | Add suffix "dealt with by (name) on (date)" to original email title and save changes |
| 34 | Move email from DWP NINo Integrity Unit mailbox Inbox to the sub-folder 'CC DNs' |
| 35 | Action finished |
| 36 | **Checks conducted – concerns confirmed** |
| 37 | Consider where and when interview is being conducted - Step 15 |
| 38 | If interview is at an office with NIU presence, forward DN by email to the NIU officer who will then decide what interview intervention is needed |
| 39 | If no NIU presence at the interview site access LMS record and select 'Conv' button |
| 40 | Select 'New' |
| 41 | Based on findings from searches, list advice for what the interviewing officer needs to record at the interview (if appropriate) and request a Doubt Notification is attached to the application |
| 42 | Send the interviewing officer an email or telephone explaining the situation and what extra action needs to be taken at the interview. This could include information not appropriate to LMS Conversations. If interview is less than 24 hours away, this action should be conducted by telephone |
| 43 | Feed back to the referring Contact Centre agent explaining how |

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| | suspected threat has been investigated and what is happening with the application |
| 44 | Add suffix "interview (date). Site advised. Dealt with by (name) on (date)" to original email title and save changes |
| 45 | Move email from DWP NINo Integrity Unit mailbox Inbox to the sub-folder 'CC DNs' |
| 46 | The mailbox may be reviewed to ensure application is correctly routed via the DN process |

## Doubt Notification – XXXXXXX XXXXXXX

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

| Step | Action |
|---|---|
| 1 | Doubt Notification received in CAMLite queue |
| 2 | NIU officer moves CAMLite case into their own personal queue |
| 3 | In 'Customer Details – click 'View Documents' |
| 4 | Select by tick box all documents |
| 5 | Use information to create database record |
| 6 | XXXXX XXXXXXXXXXXX XXXXXXXX XXXXXXX XXXXXXX. XX XXXXXXXX XXXXXX XXX XXXXX XXXXXXXXXXXX XX XXXXXX XXXXXXXX XXXXX XXXXXXXXXX, XXXXXXXXXXXX XX XXXXXXXXXXXX XXX XXXXXXXXXXX XXXXXX XX XXXXXXXX XXXXXXXXXXX  <br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 7 | XXXXX XXXXXXX XXXXXXX XXXX XXXXX XX XXX  <br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 8 | Check the details against the Intelligence Reference Log and Intelligence High Risk List |
| 9 | **Intelligence Reference Log / Intelligence High Risk List** |
| 10 | Check what intelligence is already held about the address and how up-to-date the information is. Take note of and act on of any advised actions. |
| 11 | If it is an ongoing investigation started within the last year the Doubt Notification should be queued on CAMLite to the NIU officer who made the entry on the Intelligence Reference Log for continuity |
| 12 | If intelligence is current and the advice is to refuse applications, take refusal action |
| 13 | **Intelligence Database** |
| 14 | XXXXXXXXXXX XXXXXXXXXXXX XXXXXXXX XX XXX XX XXXXXXX XXX XXXX XXXX XXXXXX  <br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 15 | Open the database to main screen |
| 16 | Take cursor to 'File' in top left corner |
| 17 | Click and select 'Close' (not 'Exit') |
| 18 | From the grey column to the left of the screen headed 'Objects' |

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|---|---|
| | select 'Tables' |
| 19 | Double click on 'Customer' and an Excel spreadsheet will appear |
| 20 | Highlight 'Post Code' column and click on 'AZ↓' |
| 21 | Scroll down the alphabetised list and note the reference numbers of all cases attached to the address |
| 22 | Select 'No' when asked if you wish to save the changes you have made |
| 23 | Click on the grey 'x' at the top of the screen (not the red one) |
| 24 | The screen from step 18 will display |
| 25 | Select 'Forms' from the grey 'Objects' column |
| 26 | Select 'Main Input Form' |
| 27 | Click in 'Ref' field |
| 28 | Click on binocular icon |
| 29 | Type in reference number |
| 30 | Required case will display |
| 31 | Select 'Customer Details' tab and click on each of the buttons to the right of the screen to access all information regarding the application |
| 32 | Check 'Result' tab |
| 33 | Repeat for each reference number resulting from Step 21 |
| 34 | Analyse results |
| 35 | XXXXXXX XXX XXXXXX XX XXX XXXXXXXX<br><br>• XXXX XXX XXXXXXX XXXXXX<br><br>• XX XX XXXXX-XXXXXXXXXX<br><br>• XXX XXXXX X XXX XX XXXXXXXXXXXXXX XXXXX XX XXX XXXXXXXX<br><br>• XXXX XXXXXXX XXXX XXX XXXXXXXXXXXXX XXXXXXX XXXXX XXXXXXXXXXXX<br><br>• XXXX XXX XXXXXXX XXXXXX X XXX XX XXXX XXXXXXXX XXXXXX XX XXXXXX<br><br>• XX XXXXX X XXX XX XXXXXX XXXXXX XXXXXXX XXXXXXXy XXXXXX XX XXXX XXXXXXXX XX XXX XXXXXXXX<br><br>XXX XXXXXX XXXX XX XXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXXX.<br><br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 36 | XXXXXXX XXXXXXXX XXXXXX XXXXXXXXX:<br><br>• XXXX XXXX XXX XXXXXXX XXXX XXXX XX XXXXXX XXXXXX XXXXX XXXX XXX XXX XXXX XXXX XXXXXXXXXXX XXX XXXXXXXX XX XXX XXXX XXXXXX XXXX XXX XXXXXXXX XXXXXX<br><br>• XX XX XXXXXXXXXX XX XXXXXXXXXX<br><br>• XX XX X XXXX XXXXX X XXXXXXXX XXXXX XXX XXXXXX XXX XX XXXXXXXX<br><br>• XXXX XX XXXXXX XXXXX XXXXXX XXX XXX XXXXXXXXX XXXXXXX XX XXXX |

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| | • XX XXX XXXXXXX XXXXXXXXX XX XXX XXXXX XX XXXXXXXX XXXXXXXXXX XXXXXXXXXXX<br>• XX XX XX XXXXXXXXXX XXXX<br>XXX XXXXXX XXXX XX XXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 37 | XXXX XXX XXXXXXXXXXX XXXX XXXX XXX XXXXXXXX XX XXX XXXXXXXX XX XX X XXXXXXXX XXXX, XXXXXXXXXX XXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 38 | XXXXXXXX XXXXXXX X XXX XX XXX XXXXX XXXXXXXXX XX XXXXXXXXX XXXXX XXXX XX XXX XXXXXXXXXXXXX XX XXX XXXXXXXX, XX XX XXXXXXXXXX XX XXXXX, XXX XXXX XXXXXXXXX XXX XXXXXXXX XX XXX XXXXXXXX XXX. X XXX XXX XX XXXX XX XXX XXXXX XX XXX XXXXXXXXXXXXX XXX XXXXXX XX XXXX XX XXXX XX XXXXXXXX XX XXX XXXXXXXXX XX XXXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 39 | **If there are no concerns:** |
| 40 | If investigations conclude that there is no concern the case can be cleared to the NINo Centre for a decision |
| 41 | Update Intel Reference Log if appropriate |
| 42 | Update and complete Intelligence Database |
| 43 | The case can now be cleared to the NINo Centre (NC) |
| 44 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 45 | Queue to Processing Big Box |
| 46 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 47 | Deliver feedback to the interviewing officer |
| 48 | **If concerns exist:** |
| 49 | If further evidence/testimony is needed, a letter may be sent or a re-interview booked. |
| 50 | **Further information to be secured by letter** |
| 51 | A letter should be sent requesting information needed to conclude the investigation such as a XXXXXXX XXXXXXXXXXX XXXXXXX XX XXX XXXX XXXXX XX XXX XXXXXXX, XXXXXX XX XXXXXXX XXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 52 | Give applicant 10 working days to reply and note the letter to this effect |
| 53 | Print two copies of the letter |

| 54 | Complete reply paid envelope with red dot on the front of the envelope and LMS number and the phrase "Only to be opened by…(officer's name)" on the reverse |
|---|---|
| 55 | Send one copy of letter and reply paid envelope to applicant |
| 56 | Write database number and your name on the copy of the letter next to the LMS number eg. 012345678 /1234/Anne, highlight the B/F date and file in B/F file |
| 57 | Annotate the notes box on CAMLite showing that the case is in B/F and noting the reason with your name and date |
| 58 | Access LMS |
| 59 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 60 | Note conversations to show application is with NIU |
| 61 | Complete Letter tab (copy and paste contents of letter sent if possible) so that reason for letter is evident to anyone answering queries and enter B/F date |
| 62 | Complete B/F Action Tab showing Action Reason "Awaiting reply from applicant" |
| 63 | Show review date as the date after the B/F expires |
| 64 | Select 'Queue' |
| 65 | Click 'OK' when prompted |
| 66 | Select 'Close' |
| 67 | Update Intelligence Database |
| 68 | **Further information to be secured by interview** |
| 69 | Telephone applicant and arrange for them to attend the office, telling them what they need to bring with them |
| 70 | Confirm appointment details by letter unless appointment is within 72 hours |
| 71 | If unable to make telephone contact, send interview invitation letter detailing what the applicant needs to bring with them |
| 72 | Annotate the notes box on CAMLite showing that the case is with NIU and state appointment details |
| 73 | Access LMS |
| 74 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 75 | Note conversations to show application is with NIU |
| 76 | Complete B/F Action Tab showing Action Reason "Awaiting rework interview" |
| 77 | Show review date as the date after the interview date |
| 78 | Select 'Queue' |
| 79 | Click 'OK' when prompted |
| 80 | Select 'Close' |
| 81 | **Applicant responds to enquiries/attends interview** |
| 82 | Review new information |
| 83 | **Information allays concerns – no threat identified** |
| 84 | Update Intelligence Database |
| 85 | Update Intelligence Reference Log/Intelligence High Risk List if applicable |
| 86 | Complete CAMLite notes "DN seen. NIU action completed. Queued |

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| | to Big Box". |
| 87 | Queue to Processing Big Box |
| 88 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 89 | Deliver feedback to the interviewing officer |
| 90 | **Concerns remain** |
| 91 | XXXXXXX XX XXX XXXXXXX XXXXX XX XX XXXXX XX XXX XXXXXXXXXXXX XXXXXXXXX XXX XXX XXXXXXXXXXXX XXXX XXXX XXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 92 | Consider if an Intelligence Alert needs to be issued to the Interviewing Sites with recommended questions to be asked at interviews and actions. |
| 93 | XXXXXXX XX XX XXXXXXXXXXX XXXXX XXXXX XX XX XXXXXXX XXX XXXXXXXXXXX XX XXXXX XXX XXXXX XXXXXXX XXXXX. XX XXXXXXXXXXXXXXXXXXXXXX XX XXXXXXXX XX XXXXX XXXXXXXXXXX XXXX XXXXXX XX XXXXX XX XXX XXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 94 | If investigations conclude that the XXXXXXXXX XX XXXXXX XX XXX XXXXXXX XX XXXX XXXXX XXX XXXX XX XX X XXXXX XXXXX XXXX XX XXXXXXX XXXXXXXX, the rest of the application should be reviewed. If  there are no further concerns NIU systems should be updated and the case should be referred to the NINo Centre for a decision, following steps 83-90<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 95 | Deliver feedback to the interviewing officer |
| 96 | **Applicant fails to respond to enquiries/invitation to interview** |
| 97 | Take refusal action on CAMLite |
| 98 | Take refusal action on LMS |
| 99 | Note LMS conversations with "If applicant reapplies please complete a Doubt Notification" |
| 100 | Complete Decision tab on Intelligence Database |
| 101 | Remove letter from B/F folder |
| 102 | Deliver feedback to the interviewing officer |

## Doubt Notification – XXXXXXX XXXXXXXXXXXXXXXXXXX

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

| Step | Action |
|---|---|
| 1 | Doubt Notification received in CAMLite queue |
| 2 | NIU officer moves CAMLite case into their own personal queue |
| 3 | In 'Customer Details – click 'View Documents' |
| 4 | Select by tick box all documents |
| 5 | Use information to create database record |

| | |
|---|---|
| 6 | XXXXX XXXXXXXXXXXX XXXXXXXX XXXXXXX XXXXXXXXXXXXXXXXXXX XX XXXXXXXX XXXXXX XXX XXXXX XXXXXXXXXXX XX XXXXXX XXXXXXXX XXXXX XXXXXXXXXXX XXXXXXXXXXX XX XXXXXXXXXXXXXXX XXXXXXXXXXX XXXXXX XX XXXXXXX XXXXXXXXXXX [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 7 | XXXXXXX XXXX XXXXXXXX XXXXXXX XXX XXXXXXXX XX XXX XXXXXX [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 8 | Check the details against the Intelligence Reference Log and Intelligence High Risk List |
| 9 | **Intelligence Reference Log / Intelligence High Risk List** |
| 10 | XXXXX XXXX XXXXXXXXXXXX XX XXXXXXX XXXX XXXXX XXX XXXXXXXX XXX XXX XXXXXXXXX XXX XXXXXXXXXXX XX. XXXX XXXX XX XXX XXX XX XX XXX XXXXXXX XXXXXXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 11 | If it is an ongoing investigation started within the last year the Doubt Notification should be queued on CAMLite to the NIU officer who made the entry on the Intelligence Reference Log for continuity |
| 12 | If intelligence is current and the advice is to refuse applications, take refusal action |
| 13 | If intelligence suggests extra information is needed go to investigative step 36 |
| 14 | **Employer not on Intelligence Reference Log** |
| 15 | Interrogate Intelligence Database to see if XXXXXXXX has been seen before [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 16 | Open the database to main screen |
| 17 | Take cursor to 'File' in top left corner |
| 18 | Click and select 'Close' (not 'Exit') |
| 19 | From the grey column to the left of the screen headed 'Objects' select 'Tables' |
| 20 | Double click on XXXXXXXXX and an Excel spreadsheet will appear [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 21 | Highlight XXXXXXXX name' column and click on 'AZ↓' [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 22 | Scroll down the alphabetised list and note the reference numbers of all cases attached to the XXXXXXXX [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 23 | Select 'No' when asked if you wish to save the changes you have made |
| 24 | Click on the grey 'x' at the top of the screen (not the red one) |

| | |
|---|---|
| 25 | The screen described from step 19 will display |
| 26 | Select 'Forms' from the grey 'Objects' column |
| 27 | Select 'Main Input Form' |
| 28 | Click in 'Ref' field |
| 29 | Click on binocular icon |
| 30 | Type in reference number |
| 31 | Required case will display |
| 32 | Select 'Customer Details' tab and click on each of the buttons to the right of the screen to access all information regarding the application |
| 33 | Check 'Result' tab |
| 34 | Repeat for each reference number resulting from Step 22 |
| 35 | Analyse results |
| 36 | XXXXXXX XXXXXXXX XXXXXX XXXXXX XXXXXXXXXX<br><br>• XXXXXXXXX XXXXX XXX X XXXXXXX XXXXXXXX<br>• XXXXXXXX<br>• XXXXXX<br>• XXXXXX XXXXXX XXXX<br><br>XX XXXX XXXXX XXXXXXXXXX XXXXX XXX XXXXXXX XXX XX XXXXXXXX XX XXXXX XXX XX XXXXXXXX XXXXXXX. XXX XXX XXXX XXXXXXXX XXXXXXX XX XXXXXXX XX XXX XXXXXXX XX XXXXXXXX XXXXXX. XXXXX XXXX XXXXXXX XXXX XXX XXXXXXX XXXXX. XXX XXX XXXX XXX XXXXXXX XXXXXX XX XXXXXX XX XXXXXXXXXXXXX XX XXXXX XXXX XX XXX XXXX. XXXX XXX XXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXSXX XXXXX XX XXX XXXXXXXXXXXX<br>XXX XXXXXX XXXX XX XXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 37 | XXXXXXX XXX XXXXXX XX XXX XXXXXXX XXXXXXX XXX XXXXXXX XXXXXX. XXX XXXX XXXXX XX XXX XXXXXXXX XXXX XXX XXXXXXXX XXX XXXXXX XX XXX XXXXXXX XXXXXXX XXX XXXXXX XXXX XX XXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 38 | XXXXXXX XXX XXX XXXX XXXXXX XX XXX XXXXXXX XXXXXXXXX XXX XXXXXXXXXXXX. XXX XXX XXXXXXXX XX XXXXXXXX XXX XXXX XXXXX XX XXX XXXXX XXXXXXXXXX XXX XXXX XXXXXX XXXXXXXX XXXXXXXXX XXXXXXXXXXXXX XXX XXXXX XX XXXXXXXXXXX XXXXXXX XXXXX XX XXX?<br>Any search must be supported by a business need and be appropriate to the application.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 39 | XXX XXXXXXXXX XX XXX XXXXXXX XXX XXXXXXXX XX XX XXXXXXXXX XXXXXXX XXXXXX XX XXXXXXXX. XX XX XX XXXXXXX XX XXXX XX. XX XXX, XXXXXXX XX XXXX XX. |

| | [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
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| 40 | XX XXXXXXX XXXXXXX XXXXXX XXX XXXX XXXXXXXXXXXXX XXXXXX XXX XXXXXXXXXX XXXXXX XX XXXXXXXXX XX XXXXXXXXX. XX XXX, XXXXXXXX XXXXXXX XXXX XXXX XX XX XX. <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 41 | XXXXXXXXX XXXXXXXX XX XXXXXXXXX XXXXXX. <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 42 | **XXXXXXXXX XXXXXXXXX XX XXXXXXXXX** <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 43 | Update Intel Reference Log if appropriate |
| 44 | Update and complete Intelligence Database |
| 45 | The case can now be cleared to the NINo Centre (NC) |
| 46 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 47 | Queue to Processing Big Box |
| 48 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 49 | Deliver feedback to the interviewing officer |
| 50 | **XXXXXXXXX XXX XXXXXXXXX XX XXXXXXXXX** <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 51 | XX XXXXXXXXXX XXXXXXXX XXXX XX XXXXXXXXX XX XXXXXXX XXX XXXXXXXXX XX XXXX, XXXXXXXX XXXXXXX XX XXXXX XX XXX XXXX XXXXXXXXXXX XXXXX XXX XXXXXX XXX XXXXXXXX XX XXX XXXXXXXXXXX XXXXXXXXX XXX XXX XXXXXXXXXXX XXXX XXXX XXXX XX XX XXXX XXXXXXXX XX XX XXX XXXXXXXXXX XXXXXXXX XXXXXX XXXX XXX XXXXXXX XXXXXX XXXX XX X XXXX |
| 52 | XX XX XXXXXXXXXX XXXXXXXX XXXXXXXX XXX XXXXXXXX XXXXX XX XXXXXXX XXXXXXXXXX XXXXXXXX XX XXXXXXXX XXXXXXXXXX XXXXXXXX XXX XXXXX XXXXXXXX <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 53 | Take refusal action on CAMLite |
| 54 | Take refusal action on LMS |
| 55 | Complete Intelligence Database |
| 56 | Deliver feedback to the interviewing officer |
| 57 | **Further information to be secured by letter** |
| 58 | XX XXX XXXXXXXX XXXXXX XX XXXXXXXXXXXXX XXXXXXXXX XXX XXXXXXXXX XXXXXX XX XXXXXXXXX, XXXXX XX XXXXXXXXX XXXXXXXXXX XXXXX XX XXXXXXXXX, XXXXXXXX XXXXXXXXXXXXXX XXX XXXXXXX XX XXXXXXX XXXXX XXXX XXXX XXX XXXX XXXX XX. XX XXXXXXXX, XXXX XXXX XXXX XXXX XXXXXXXXXX XX XXXXXXXX XXXXXXX XXXXXXXX |

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| | [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 59 | Give applicant 10 working days to reply and note the letter to this effect |
| 60 | Print two copies of the letter |
| 61 | Complete reply paid envelope with red dot on the front of the envelope and LMS number and the phrase "Only to be opened by…(officer's name)" on the reverse |
| 62 | Send one copy of letter and reply paid envelope to applicant |
| 63 | Write database number and your name on the copy of the letter next to the LMS number eg. 012345678 /1234/Anne, highlight the B/F date and file in B/F file |
| 64 | Annotate the notes box on CAMLite showing that the case is in B/F and noting the reason with your name and date |
| 65 | Access LMS |
| 66 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 67 | Note conversations to show application is with NIU |
| 68 | Complete Letter tab (copy and paste contents of letter sent if possible) so that reason for letter is evident to anyone answering queries and enter B/F date |
| 69 | Complete B/F Action Tab showing Action Reason "Awaiting reply from applicant" |
| 70 | Show review date as the date after the B/F expires |
| 71 | Select 'Queue' |
| 72 | Click 'OK' when prompted |
| 73 | Select 'Close' |
| 74 | Update Intelligence Database |
| 75 | **Further information to be secured by interview** |
| 76 | Telephone applicant and arrange for them to attend the office, telling them what they need to bring with them |
| 77 | Confirm appointment details by letter unless appointment is within 72 hours |
| 78 | If unable to make telephone contact, send interview invitation letter detailing what the applicant needs to bring with them |
| 79 | Annotate the notes box on CAMLite showing that the case is with NIU and state appointment details |
| 80 | Access LMS |
| 81 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 82 | Note conversations to show application is with NIU |
| 83 | Complete B/F Action Tab showing Action Reason "Awaiting rework interview" |
| 84 | Show review date as the date after the interview date |
| 85 | Select 'Queue' |
| 86 | Click 'OK' when prompted |
| 87 | Select 'Close' |
| 88 | **Applicant responds to enquiries/attends interview** |
| 89 | Review new information |

| 90 | **Information allays concerns – no threat identified** |
|-----|---------------------------------------|
| 91 | Update Intelligence Database |
| 92 | Update Intelligence Reference Log/Intelligence High Risk List if applicable |
| 93 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 94 | Queue to Processing Big Box |
| 95 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 96 | Deliver feedback to the interviewing officer |
| 97 | **XXXXXXXX XXXXXX XX XXXXXX**<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 98 | XX XXXXXXXX XXXXXXXX XXXX XX XXXXXXX XXXXXXXX XXXXXXX XXXXXXXX XXXXXX XXXXXXXXXXXX XXXX XXX XXXXX XXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 99 | If reply to letter from applicant or interview does not allow XXXXXXXXX XX XXXXXXX XX XX XXXXXXXXX XXXXXXXX XXXXXXX XXXXXX. XXX XXXX XXXX XX XXXXXXXX XX XXX XXXXXXXXX XX XXXXXXXX XX XXXXXXX XXXXXXXXXX XX XX XXXXXXXXX XXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 100 | Consider if XXXXXXXX needs to be added to the Intelligence Reference Log and Intelligence High Risk List. |
| 101 | Consider if an Intelligence Alert needs to be issued to the Interviewing Sites with recommended questions to be asked at interviews and actions. |
| 102 | XXXXXXXX XX XX XXXXXXXXXXXX XXXXXX XXXXX XX XX XXXXXXX XXX XXXXXXXXXXXXX XX XXXXX XXX XXXXX XXXXXXX XXXXX. XX XXXXXXXXXXXXXXXXXXXXXXXX XX XXXXXXXXX XX XXXXX XXXXXXXXXXX XXXX XXXXXX XX XXXXX XX XXX XXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 103 | **Applicant fails to respond to enquiries/invitation to interview** |
| 104 | Take refusal action on CAMLite |
| 105 | Take refusal action on LMS |
| 106 | Note LMS conversations with "If customer reapplies please complete a Doubt Notification" |
| 107 | Complete Decision tab on Intelligence Database |
| 108 | Remove letter from B/F folder |
| 109 | Deliver feedback to the interviewing officer |

## Doubt Notification – XXXXXXX XXXXXXXXXXX

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

| Step | Action |
|---|---|
| 1 | Doubt Notification received in CAMLite queue |
| 2 | NIU officer moves CAMLite case into their own personal queue |
| 3 | In 'Customer Details – click 'View Documents' |
| 4 | Select by tick box all documents |
| 5 | Use information to create database record |
| 6 | XXXXX XXXXXXXXXXXX XXXXXXX XXXXXX XXXXXXXXXXX. XXXXXXXXXXX XXXXXX XXX XXXXX XXXXXXXXXXX XX XXXXXX XXXXXXXX XXXXX XXXXXXXXXXX, XXXXXXXXXXXX XX XXXXXXXXXX XXX XXXXXXXXXXX XXXXXX XX XXXXXXXX XXXXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 7 | XXXXXXX XXXX XXXXXXXXXX XXXXXX XXX XXXXXXXX XX XXX XXXXXX XXX XX XXX XXXX XXX XXXXXXXXXXXX XXXXXXX, XX XXXXX XXXXXXX XX XXX XXXXX XXXXXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 8 | Check the details against the Intelligence Reference Log and Intelligence High Risk List |
| 9 | **Intelligence Reference Log / Intelligence High Risk List** |
| 10 | Check what intelligence is already held about the XXXXXXXXXXX and how up-to-date the information is. Take note of and act on of any advised actions. |
| 11 | If it is an ongoing investigation started within the last year the Doubt Notification should be queued on CAMLite to the NIU officer who made the entry on the Intelligence Reference Log for continuity |
| 12 | If intelligence is current and the advice is to refuse applications, take refusal action |
| 13 | **Intelligence Database** |
| 14 | Interrogate Intelligence Database to see if XXXXXXXXXXX has been seen before<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 15 | Open the database to main screen |
| 16 | Take cursor to 'File' in top left corner |
| 17 | Click and select 'Close' (not 'Exit') |
| 18 | From the grey column to the left of the screen headed 'Objects' select 'Tables' |
| 19 | Double click on XXXXXXXXXXXX and an Excel spreadsheet will appear<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 20 | Highlight 'Last name' column and click on 'AZ↓' |
| 21 | Scroll down the alphabetised list and note the reference numbers of all cases attached to the XXXXXXXXXXX XXXXXX XXXX XXXX XXXXXX XXXXXXXXX XXXX XXXX XX XXXXXX XXXXXXX |

| | |
|---|---|
| | XXXXXXXXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 22 | Select 'No' when asked if you wish to save the changes you have made |
| 23 | Click on the grey 'x' at the top of the screen (not the red one) |
| 24 | The screen as at 15d will display |
| 25 | Select 'Forms' from the grey 'Objects' column |
| 26 | Select 'Main Input Form' |
| 27 | Click in 'Ref' field |
| 28 | Click on binocular icon |
| 29 | Type in reference number |
| 30 | Required case will display |
| 31 | Select 'Customer Details' tab and click on each of the buttons to the right of the screen to access all information regarding the application |
| 32 | Check 'Result' tab |
| 33 | Repeat for each reference number resulting from Step 18 |
| 34 | Analyse results |
| 35 | XXXXXXX XXX XXXXXX XX XXXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXXXX XXXXXXXXXX<br><br>• XXXX X XXXX XXXXX XX XXXX XXXXXXXXX<br>• XX XXXXX X XXXXXXX XXXXXXXXX<br>• XX XXXXX XXXXXXX XXXXXX XXXXX XX XXXXX XXX XXXXXXXXX XXX XXXXXXX XXXXXXX XX XXXXX XXXXXXXX XXXXX XX XXXXXXXX XX XXXXXXXXX XXX XXXXXXXXXXXX XX XXX XXXXXXXXX XX XXXXX XXXX XXXXXXX.<br>• XXX XXXXX XXXXXX XXXXXX XX XXX XXXXXXXXXXXX XXXXXXXX<br>• XXX XXXXX XXXX XXXXXXXXXXX XX XXXXXXXX XXX XXXX XXXXXXXXXX XXXXXXXXX XX XXXXXXX XXXX XXX XXXX XXXXXXX XXXXXXX<br>• XXXX XXXXXXXXXX XX XXXXXXXX XXXXXXX XXX XXXXXXXXX XXX XXXXXXXXXXX XXXX XX XXXXXX XXXXXXX XXXXXXXXXXX XXXX XXX XXXXXXX XXXXXXXXXXX XXXXXXXXXXX XXXXXXXXX<br>XXX XXXXXX XXXX XX XXXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 36 | XXXXXXX XXXXXXXX XXXXX XXXX XX XXXXXX XXXXXXX XX XXXX XXX XXXXX XXXXXXXXXX XXXXX XXX XXXXXXXXXXX.<br>• XXXX XXX XXXX XXXX XXXXXXXX XX XXXXXXXXXXX XX XXXXXXX XXXXX XX XXXXX XXXXXXXXX XXXXXX XXX XX XXXXXX XX XXXXXXXXXXXX XX XXXXX XXXX XX XXXXXXX. XXXX XXX XXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXXX XXXXX XX XXX XXXXXXXXXXXX |

| | |
|---|---|
| | • XXXX XX XXX XXXXXXXXXXXX XXX XXXXX XXX XXXXXXXXXXXX XXXXXX XXXXXXXXX XXX XXXX XX XX XXXX. XXX XXXXXX XXXX XX XXXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 37 | XXXXXXX X XXXX XXXXX XX XXXXXXXXX XXXX XXXXXXXX XXXXX XX XX XXX XXXXXXXXXXXXX XXXXXXX. • XXXX XXXXXXXX XXXXXXX X XXXXXXXXXXXX XXXXXXXXXXX XXXXXXXX • XX XXXXX XXXX XXX XXX XXXX XXXXXXX XX XXX XXXXXXXXXX XXX XXXXXX XXXX XX XXXXXXXXX XX X XXXXXXXX XXXX XXX XX XXXXXXXXXX XX XXX XXXXXXXXXXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 38 | **No concerns** |
| 39 | If investigations conclude that there is no concern the case can be cleared to the NINo Centre for a decision |
| 40 | Update Intel Reference Log if appropriate |
| 41 | Update and complete Intelligence Database |
| 42 | The case can now be cleared to the NINo Centre (NC) |
| 43 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 44 | Queue to Processing Big Box |
| 45 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 46 | Deliver feedback to the interviewing officer. XX XXX XXXX XXX XXXX XXXXXXX XX XXXXXXXXXXX XXX XXXXXXXXXXXXX XXXXXXX XXXXXX XX XXXXXXX XXXXXXXX XXXXXXXXXXXXX XXXXXXX XXXXXXXX XXXXXX XXXXXXX XXXXXX XXXX XXXXXXXXXXXX XXXXXXX XXX XXXXXXX XXXXXX XXX XXXX XX XXXX XX XXXXXX XXX XXXX XXX XXXXXXXXX XX XXXXX XXX XXXX XXXX XXX XXXXXXXXXXX XXXX XXXX XXXX XXXX XXXX XX, XXX XXXX XXX XXX XXX XXXXXXXX XXX. [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 47 | **Concerns exist** |
| 48 | Investigations may not be sufficient to reach a conclusion |
| 49 | If further evidence/testimony is needed, a letter may be sent or a re-interview booked. XXXX XXXXXX XX XXXXX XXXX XXX XXXXXXXXX XX XXX XXXXXX XXXXXXX XX XXX XXXXXXXX XXX XXXXXXX XX XXXXXXXXX XXXXXX XX XXXXXXXXX XXXXXX [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 50 | **Further information to be secured by letter** |
| 51 | If further information is needed to establish the XXXXXXXXXXXX |

| | |
|---|---|
| | XXXXXXXXXXXXXXXXXX XXXXXXX X XXXXXX XX XXXXXX XXX XXXXX XXXXXXXXXXX XXXXXXXX. XXX XXXXXXXXX XXXX XX XXX XXXX XXXX XX XXX XXX XXXXXXXXXX XX XXX XXX XXXXXXXXXX XXXXXX XXXXXXXX XXXX XXX XXX XXXXXXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 52 | Give applicant 10 working days to reply and note the letter to this effect |
| 53 | Print two copies of the letter |
| 54 | Complete reply paid envelope with red dot on the front of the envelope and LMS number and the phrase "Only to be opened by…(officer's name)" on the reverse |
| 55 | Send one copy of letter and reply paid envelope to customer |
| 56 | Write database number and your name on the copy of the letter next to the LMS number eg. 012345678 /1234/Anne, highlight the B/F date and file in B/F file |
| 57 | Annotate the notes box on CAMLite showing that the case is in B/F and noting the reason with your name and date |
| 58 | Access LMS |
| 59 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 60 | Note conversations to show application is with NIU |
| 61 | Complete Letter tab (copy and paste contents of letter sent if possible) so that reason for letter is evident to anyone answering queries and enter B/F date |
| 62 | Complete B/F Action Tab showing Action Reason "Awaiting reply from applicant" |
| 63 | Show review date as the date after the B/F expires |
| 64 | Select 'Queue' |
| 65 | Click 'OK' when prompted |
| 66 | Select 'Close' |
| 67 | Update Intelligence Database |
| 68 | **Further information to be secured by interview** |
| 69 | Telephone applicant and arrange for them to attend the office, telling them what they need to bring with them |
| 70 | Confirm appointment details by letter unless appointment is within 72 hours |
| 71 | If unable to make telephone contact, send interview invitation letter detailing what the applicant needs to bring with them |
| 72 | Annotate the notes box on CAMLite showing that the case is with NIU and state appointment details |
| 73 | Access LMS |
| 74 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 75 | Note conversations to show application is with NIU |
| 76 | Complete B/F Action Tab showing Action Reason "Awaiting rework interview" |
| 77 | Show review date as the date after the interview date |

| 78 | Select 'Queue' |
|-----|------------------------------------------------------------------------------------------------------------------|
| 79 | Click 'OK' when prompted |
| 80 | Select 'Close' |
| 81 | **Applicant responds to enquiries/attends interview** |
| 82 | Review new information |
| 83 | **Information allays concerns – no threat identified** |
| 84 | Update Intelligence Database |
| 85 | Update Intelligence Reference Log/Intelligence High Risk List if applicable |
| 86 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 87 | Queue to Processing Big Box |
| 88 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 89 | Deliver feedback to the interviewing officer |
| 90 | **Concerns remain** |
| 91 | Consider if XXXXXXXXXX needs to be added to the Intelligence Reference Log and Intelligence High Risk List. |
| 92 | Consider if an Intelligence Alert needs to be issued to the Interviewing Sites with recommended questions to be asked at interviews and actions. |
| 93 | XXXXXXXX XX XX XXXXXXXXXXX XXXXXX XXXXX XX XX XXXXXXX XXX XXXXXXXXXXXX XX XXXXX XXX XXXXX XXXXXXX XXXXX. XX XXXXXXXXXXXXXXXXXXXXXXX XX XXXXXXXXX XX XXXXX XXXXXXXXXXXX XXXX XXXXXX XX XXXXX XX XXX XXXXXXXX <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 94 | If the concerns solely concern the XXXXXXXXXX XX XXX XXXXXXXXXXX and the rest of the application causes no concerns NIU systems should be updated and the case should be referred to the NINo Centre for a decision – Step 91 to 95 <br> [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 95 | Deliver feedback to the interviewing officer |
| 96 | **Applicant fails to respond to enquiries/invitation to interview** |
| 97 | Take refusal action on CAMLite |
| 98 | Take refusal action on LMS |
| 99 | Note LMS conversations with "If applicant reapplies please complete a Doubt Notification" |
| 100 | Complete Decision tab on Intelligence Database |
| 101 | Remove letter from B/F folder |
| 102 | Deliver feedback to the interviewing officer |

## Doubt Notification – XXXX XXXXXXXX

4. XXXX XXXXXXXX XXXXXXXXXX XXXXX XXXX XX XXX XXXXXXXXXXX

- XXXXXXXX XXXXXXXXXX XXXXX XX XXXXXXXX XX XXX XXXXXXXX
- XXXXX XXXXXXX XXXXXXX XXXXX XXXXXXXXXX XX XXX XX XXXX XXXXX XXX
- XXXXXXX XXXXXX XX XXXXXXXX XX XXX XXXXXXXX XXX XXXX XXX XXXXX XXX XXXX XXXXXXX XX XXX XXXXXXX
- XXXXXXX XXXXX XXX XXXXXXXXX
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- XXXXXXXXXXX XXXX XXXXXX XX XXXX XXX XXX XXXXXXXXX XXXXXXXXX XX XXXXXXXX XXXXXX XX XXXXXXXXX XXXXXXXXX
- XXXXXXXX XXXXX XXXX XXX XX XXXXXXXX, XX XXX XXXXXXXX XX XX X XXXXXXXXX XXXXXX
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- XXXXXX XXXXXX XXXXX XXX XXXXXXXX XX XXXXX XXXXXXX XX XXXXXX

**XX XXXXXXXX XXXXXX XXX XXXXX XXXXXXXXXXXX XX XXXXXX XXXXXXXX XXXXX XXXXXXXXXXX, XXXXXXXXXXXX XX XXXXXXXXXXXX XXX XXXXXXXXXX XXXXXX XX XXXXXXXX XXXXXXXXXXX**

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

| Step | Action |
|---|---|
| 1 | Doubt Notification received in CAMLite queue |
| 2 | NIU officer moves CAMLite case into their own personal queue |
| 3 | In CAMLite select 'Customers' tab |
| 4 | Enter the CRN in the CRN field under 'Person Trace Search' and click 'Go' |
| 5 | CAMLite View will open in 'Contact History' |
| 6 | Click 'Cases' tab next to 'Contact History' tab for correct view |
| 7 | In 'Customer Details – click 'View Documents' |
| 8 | Select by tick box all documents |
| 9 | Review all documents. Do they cause concern? If not, clear the case to Big Box (Step 69). If there is an ongoing concern proceed to Step 10 |
| 10 | Create a record on the Intelligence Database |
| 11 | XX XXXXX XXXXXXXXXX XXXXXXXXXXX XX XXXXXXXX X XXXX XXXX XXXXXXXX XXXXXX XX XXXX XXXXXXX XX XXXXXX, XXXXXXXX XXXXXXXXXX, XXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXX. XX XXXXX XXXX XXXXXX XXXX XX XXXXXXX XXX XXXXXXX XXX XXXXXX XXXX XXXXX XXXX XX XXX XX XXX XXXXXXXXX XXXX XXXX XX XXXXXXX |

| | |
|---|---|
| | [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 12 | If there is insufficient information within the application you will need to request more information. You may do this by letter – Steps 15 to 35 – or by interview – Steps 36 to 51 |
| 13 | XX XXX XXXXXXXX XXXXXXXXXX XXXXXX XX XXX XXXXXXXXX, X XXX XXXXX XXXXXX XXXXXX XXXXXX XX XXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 14 | Consider if further information would be best secured by letter or interview |
| 15 | **Further information to be secured by letter** |
| 16 | X XXXXXX XXXXXX XX XXXX XXX X XXXX XX XXX XXXXXXXX XXXXXXXXXXXXXX XX XXXXXXXX XXXXXXXXXXXXXX XX XXX XXX XXXXXX XXX XXX XXXXXXX XX XXXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 17 | Locate blank XXXX XXXXXXXX XXXXXX template and save a copy in applicant's in the 'Letters Awaiting Replies' folder |
| 18 | XXXXXXXX XXX XXXXXX XXXXXXXX XX XX XXX XXXXXXXXXXXX XX XXX XXXXX XXXX<br>• XXXXXXX XXXXXXX XX XXX XXXX XXX XXXXX XXXXXX<br>• XXXXXXX XXXXXXX XX XXXXX XXXXX XX XX<br>• XXXXXXX XXXXXX XX XXXXXX XXXXXXXXXX XXX XXXXXXXXXXX XXXXXX<br>• XXXXXXX XXXXXX XX XXXXXX XX XXXXX XXXXXXXXX XX XXXXXXXXXXXX XXXXXXXXXXXX<br>XXX XX XXX XX XXX XXXXX XXX XX XXXXXXX XX XXXXX XX XXXXXXXX XX XXX XXXXXXXXXX XXXXXX XXXXXXXXX XXXXXX XXX XXXXXXXXXX. XXX XXXXXXXXX XXXXXX XXXXXX XX XXX XXX XXXXXX XXXXX.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 19 | Give applicant 10 working days to reply and note the letter to this effect |
| 20 | Print two copies of the letter |
| 21 | Complete reply paid envelope with red dot on the front of the envelope and LMS number and the phrase "Only to be opened by…(officer's name)" on the reverse |
| 22 | Send one copy of letter and reply paid envelope to customer |
| 23 | Write database number and your name on the copy of the letter next to the LMS number eg. 012345678 /1234/Anne, highlight the B/F date and file in B/F file |
| 24 | Annotate the notes box on Camlite showing that the case is in B/F and noting the reason with your name and date |
| 25 | Access LMS |
| 26 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |

| | |
|---|---|
| 27 | Note conversations to show application is with NIU |
| 28 | Complete Letter tab (copy and paste contents of letter sent if possible) so that reason for letter is evident to anyone answering queries and enter B/F date |
| 29 | Complete B/F Action Tab showing Action Reason "Awaiting reply from applicant" |
| 29 | Show review date as the date after the B/F expires |
| 30 | Select 'Queue' |
| 31 | Click 'OK' when prompted |
| 32 | Select 'Close' |
| 33 | Access Intelligence Database record |
| 34 | Enter Investigating Officer's number on Originating Details tab |
| 35 | Input reason for letter in notes box on Decision tab, including officer's name and date letter sent. Go to step 52 or 59 |
| 36 | **Further information to be secured by interview** |
| 37 | XXXXXXXXX XXXXXXXXX XXX XXXXXXX XXX XXXX XX XXXXXX XXX XXXXXX, XXXXXXX XXXX XXXX XXXX XXXX XX XXXXX XXXX XXXX XXX XXXX XX XXX XXXXXXXX<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 38 | Confirm appointment details by letter unless appointment is within 72 hours |
| 39 | If unable to make telephone contact, send interview invitation letter detailing what the applicant needs to bring with them |
| 40 | Annotate the notes box on Camlite showing that the case is with NIU and state appointment details |
| 41 | Access LMS |
| 42 | Complete 'case received at CCU' box on the 'Decision' tab with the date the CAMLite record was created |
| 43 | Note conversations to show application is with NIU |
| 44 | Complete B/F Action Tab showing Action Reason "Awaiting rework interview" |
| 45 | Show review date as the date after the interview date |
| 46 | Select 'Queue' |
| 47 | Click 'OK' when prompted |
| 48 | Select 'Close' |
| 49 | Access Intelligence Database record |
| 50 | Enter Investigating Officer's number on Originating Details tab |
| 51 | Input details of interview in notes box on Decision tab, including officer's name. |
| 52 | **Applicant fails to respond to enquiries/invitation to interview** |
| 53 | Take refusal action on CAMLite |
| 54 | Take refusal action on LMS |
| 55 | Note LMS conversations with "If applicant reapplies please complete a Doubt Notification" |
| 56 | Complete Decision tab on Intelligence Database |
| 57 | Remove letter from B/F folder |
| 58 | XXXXXXXX XXXX XXXXXXXXX XXXXXX XXXXX XX XXXXXXXX XXXXX XXXXX XXXXXXXXXXX XX XXXXXXXXXXX |

| | |
|---|---|
| | [Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 59 | **Applicant responds to enquiries/attends interview** |
| 60 | Review new information |
| 61 | **No concerns** |
| 62 | Clear case to the NINo Centre using step 69 onwards |
| 63 | **Concerns exist** |
| 64 | Create a new sub-folder for the applicant in the Intelligence Officer's XXXXX XXXXXXXXX folder<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |
| 65 | Move the customer enquiry letter into the folder |
| 66 | Access the Report Template, save the blank template using the applicant's name and put into the applicant's folder |
| 67 | Complete the Intelligence Report Template using the information available. It may be necessary to add, alter or remove some of the stock phrases and information in the template – every report is different |
| 68 | Save the completed report |
| 69 | The case can now be cleared to the NIU |
| 70 | Complete CAMLite notes "DN seen. NIU action completed. Queued to Big Box". |
| 71 | Queue to Processing Big Box or Self-Employed Team as appropriate |
| 72 | Access LMS, click on 'Actions' button and complete action |
| 73 | Complete LMS Conversations "DN seen. NIU action completed. Queued to Big Box". |
| 74 | Complete Intelligence Database with updated information/result and 'Cleared on' date |
| 75 | Inform Team Leader a report has been completed |
| 76 | Team Leader sends the reports to both the XXXXXXXX XXXXXXXXXXX XXXX - XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX – and the XXX XXXXXXXX XXXXX XXXX - XXX XXXXXXXX XXXXX XXXXXXX XXXXX or XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.<br>Reports to be sent singly as XXXXXXXX XXXXXXXXXXX XXXX will not accept bulk referrals.<br>[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs] |

## The Intelligence Reference Log and Intelligence High Risk List

5. XXX XXXXXXXXXXXX XXXX XXXX XXXX XX XXXXXXXX XXXXX XXX XXXXXX XXXXXXXXXXXX XXXX XXXXXXXXXX XXXXXXXX XXXXX XXXXXXXXXXXX

- XXXXXX XX XXXXXXXX
- XXXXXXXXXXX
- XXXXXXXXX
- XXXXXXXXXXXXXXXXXX

- XXXXXXXXXXX XXX XXXXXXXXXXXX
- XXXXXXXXX

XXXX XXXX XX XXX XXXXXXXXXX.

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

## Intelligence Gathering

6. When a DN is received by the NIU, the Integrity Officer must decide if;
   - the doubt needs to be considered as new intelligence or
   - whether it is already known to the NIU

7. All appropriate new intelligence should be communicated to NINo processing and interviewing staff to enable them to take appropriate actions.

8. If necessary, an alert or direct contact to specific interviewing sites may be needed to ensure information can be gathered and coordinated.

The direct contact may include asking specific questions relating to the doubt.

9. All information is initially analysed by the NIU and an Alert issued if necessary. Information then referred to the Identity Team for further analysis and they will revise the Intelligence High Risk List if appropriate.

10. The intelligence must be referred to the NIU Manager for them to ensure all information is complete and confirmed.

11. Once the NIU Manager is happy that all of the information is there, they will produce an intelligence report.

12. If there is valid but limited information or intelligence available following the NIU Manager's consideration, a report will not be compiled but an Alert may be issued to NINo staff highlighting the new concerns.

## Updating Intelligence Log and Intelligence High Risk List

| Step | Action |
|---|---|
| 1 | **New entries** (for revised entries go to step 25) |
| 2 | The NINo Integrity Unit (NIU) has established a threat that is either proven and/or requires further applications to determine the nature and extent of the threat. |
| 3 | Access the folder '**Intelligence Reference Log**' and the file 'Intel Reference Log 2012' |
| 4 | Tabbed spreadsheets will display |
| 5 | Select tab appropriate to the area of threat such as XXXXXXXXXXXX |
| 6 | Click on 'Find & Select' binoculars icon at top of screen |
| 7 | Click on 'Find' |
| 8 | Enter word(s) or numbers in the 'Find what:' field to detect if the threat already features on the Log. |
| 9 | If no matching entry is found, scroll down to first unpopulated line |
| 10 | Click in column A and input next sequential reference number following the same format as all other entries |

| 11 | Save your entry (the document is shared) |
|----|------------------------------------------|
| 12 | Once saved, populate the rest of the fields in that line with information that is concise and factual. |
| 13 | Ensure you then save the entire entry. |
| 14 | If threat is a new or re-emerging one, the Intelligence High Risk List (IHRL) need to be amended |
| 15 | Access 'Intelligence High Risk List' folder |
| 16 | Access Microsoft Word file 'IHRL Master ---- (year)' |
| 17 | Ensure it is opened in 'Compatibility Mode' and not 'Read Only' mode |
| 18 | XXX XXXXXXX XXX XXXXXXXXXXX X XXXXXXXXXXX XX XXXXXXX, XXXXXXXXXXXXXXXXXXXX XX XXXX XXX XXXXXXXXX XX XXXX XXXX, XXXXXXXX XX XXXXXX XXX XXXXXXXXX |
| 19 | Locate where, alphabetically, the new entry sits |
| 20 | Right click in the line either above or below where the entry will sit |
| 21 | Go to 'Insert' and then select 'Insert Rows Above' or 'Insert Rows Below' as appropriate |
| 22 | A blank line will appear |
| 23 | Insert new entry |
| 24 | Save the entry |
| 25 | **Revised/deleted entries** |
| 26 | Access the folder 'Intelligence Reference Log' and the file 'Intel Reference Log 2012' |
| 27 | Select tab appropriate to threat such as XXXXXXXXXXXX |
| 28 | Locate Log entry needing to be updated |
| 29 | If the threat no longer exists or is inactive, change the entry in the 'Active Entry' column from 'Y' to 'N'. If it is still active, make no changes to this column |
| 30 | Update all entries as appropriate. If new intelligence is known this should be added to the existing narrative with the name of the officer and the date of the entry. |
| 31 | Save the revised entry |
| 32 | If the threat has been established as no longer existing/inactive the entry will need to be removed from IHRL |
| 33 | Access 'Intelligence High Risk List' folder |
| 34 | Access Microsoft Word file 'IHRL Master ---- (year)' |
| 35 | Ensure it is opened in 'Compatibility Mode' and not 'Read Only' mode |
| 36 | Right click on entry no longer required and select 'Delete Rows' |
| 37 | Click on option 'Delete Rows' |
| 39 | The Intelligence High Risk List should be distributed at the beginning of each month |
| 40 | Go to the DWP NINo Integrity Unit mailbox and select 'Contacts' (if Contacts folder is not showing, click on Folder List icon at the bottom of the side bar and it will display) |
| 41 | Double-click on IHRL distribution list' group |
| 42 | The distribution list members will display |
| 43 | Double-click on 'E-mail' icon on toolbar |
| 44 | A blank email will display |
| 45 | Insert text and a copy of the latest IHRL and send |

[Information redacted – Section 36 applies: Prejudice to effective conduct of public affairs]

## Intelligence Sharing

13. The Intelligence High Risk List is updated every month by the NIU. Alerts and good practices for NINo frontline/processing sites are issued by the NIU as and when necessary by e-mail

14. Relevant feedback on all NIU investigations will be provided where necessary. This may be in the form of meetings, presentations or group and one-to-one feedback by telephone, email or post.

15. The Intelligence Manager will forward all Intelligence Reports to the National Identity Fraud Intelligence Desk (NIDFID), the agreed gateway for onward dissemination. This will vary according to the nature of the intelligence and could include:

- DWP Fraud and Error Service (FES)
- Local Authorities
- Her Majesty's Revenue & Customs (HMRC)
- National Crime Agency (NCA)
- Home Office (HO)

16. The Intelligence Manager will also ensure Operational Management Team is updated on progress of ongoing risks, issues and potential threats.

17. Any impacts on business process, guidance, products and/or Policy, will be escalated by the Intelligence Manager to PPT & NINo Policy.

## Data Validation Application (DVA) checks

18. If a customer has provided their UK passport as evidence to support their application for a NINo the processing officer will send a copy to NIU for further checks before NINo allocation is considered.

| Step | Action |
|---|---|
| 1 | Opens United Kingdom passport check received in NIU shared mailbox |
| 2 | NIU officer moves the relevant checks into personal NIU mailbox sub-folder |
| 3 | In CAMLite select 'Customers' tab |
| 4 | Enter the CRN in the CRN field under 'Person Trace Search' and click 'Go' |
| 5 | If CRN does not bring up a Camlite record return the email to the Processing Officer and ask them to check the CRN |
| 6 | Check that the surname matches your case - if so click 'Yes' – if not, click 'No' and return by email to Processing Officer to check details and re-refer |
| 7 | CAMLite View will open in 'Contact History' |
| 8 | Click 'Cases' tab next to 'Contact History' tab for correct view |
| 9 | In 'Customer Details – click 'View Documents' |

| | |
|---|---|
| 10 | Select by tick box all documents required for check (if more than one 'White Mail Unstructured' document present) and click 'View Documents' |
| 11 | Check document is a UK Passport – if it is not, email the Processing Officer by advising them document is unable to be checked |
| 12 | Check UK passport scan |
| 13 | Ensure the quality of the scan meets the required standard to enable a full DVA check |
| 14 | If Scan is not an acceptable quality then follow the process for "Requesting a hard copy" |
| 15 | Open personal DVA audit record excel sheet |
| 16 | Input Date |
| 17 | Input Surname |
| 18 | Input Forenames |
| 19 | Input Passport number |
| 20 | Input Date of Birth |
| 21 | Input Originating Office Reference |
| 22 | Input reason for document check |
| 23 | Log on to DVA |
| 24 | Input Passport number |
| 25 | Check personal details 100% match the DVA screen |
| 26 | Check passport photograph 100% matches the photograph on DVA screen |
| 27 | Complete all other checks as covered in the DVA E-Learning |
| 28 | Click on 'Application Details' for previous names |
| 29 | If previous names found then check CA5400 to ensure previous names have been entered on the form |
| 30 | If previous name found but not recorded on CA5400 take action to trace name in CIS:<br>If no NINo found in this name note name in 'Notes' box of CAMlite<br>&bull; Reply to email advising Processing Officer to clarify previous name with customer before processing case to ensure created CIS record reflects the previous name<br>If a NINO is traced in this name put relevant information in the 'Notes' box of CAMLite<br>&bull; Queue case via CAMLite to FES Identity Fraud Team - Team Leader<br>&bull; Reply to email referral explaining to Processing Officer that case has been referred to Identity Fraud Team<br>&bull; Update LMS Conversations to show "Do not allocate Document Checks on going" |
| 31 | **Check causes no concerns** |
| 32 | Input result onto DVA audit record excel sheet and 'save' |
| 33 | Close all images in DRS |
| 34 | Close DRS |
| 35 | In CAMLite 'Case Details' scroll down to 'Notes' box, type a reference number in format NIU Location > DVA audit record excel sheet line number > Initials eg IOW123SC |

| 36 | Return to 'Customers' tab to conduct next search |
|---|---|
| 37 | **Check causes concerns** |
| 38 | If DVA shows customer record has a STOP file you must complete and send a DPA request to Her Majesty's Passport Office (HMPO) |
| 39 | Complete DPA form |
| 40 | Save an electronic copy of the DPA |
| 41 | Email to NIU HEO for onward dissemination to HMPO |
| 42 | Close all images in CAMLite |
| 43 | Close DRS |
| 44 | In CAMLite 'Notes' box type "DO NOT ALLOCATE – DOCUMENT CHECKS ONGOING" |
| 45 | Close CAMLite |
| 46 | Access LMS record |
| 47 | In 'Conversations' type "DO NOT ALLOCATE – DOCUMENT CHECKS ONGOING" |
| 48 | Access NINo hotspot |
| 49 | Select 'BF Action' tab |
| 50 | Select 'Amend' |
| 51 | Select 'Action Reason' |
| 52 | Select 'Reply from 3rd party' from the dropdown |
| 53 | Set a review date 20 working days in the future to monitor the response from HMPO |
| 54 | Select 'Queue' |
| 55 | Close LMS record |
| 56 | **DPA result received – authenticity confirmed** |
| 57 | Follow process for 'no concerns' as at 31 et seq |
| 58 | **DPA result received – continuing concerns** |
| 59 | In CAMLite queue case to FES Identity Fraud Team - Team Leader |
| 60 | Email FES Identity Fraud Team - Team Leader advising reasons for referral |
| 61 | Close CAMLite record |
| 62 | Reply to email referral explaining to Processing Officer that case has been referred to ID Team |