

SLOUGH BOROUGH COUNCIL

REGULATION OF INVESTIGATORY POWERS ACT 2000

(RIPA)

COVERT SURVEILLANCE POLICY AND PROCEDURAL GUIDANCE

July 2013
(Updated Jan 14 to reflect new organisational structure)

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Note

This Policy has been updated as a result of The Protection of Freedoms Act 2012 and amendments to the Regulation of Investigatory Powers (Directed Surveillance and Covery Human Intelligence Sources) Order 2012

1. Introduction to RIPA

1.1 RIPA is an acronym for the Regulation of Investigatory Powers Act 2000. RIPA was introduced to ensure that Surveillance and certain other intelligence gathering complies with the European Convention of Human Rights and Fundamental Freedoms (ECHR), importantly Article 8 which provides:-

i) Everyone has the right to respect for his private and family life, his home and his correspondence

ii) There shall be no interference by a public authority with the exercise of this right except such as is in accordance with the law and is necessary in a democratic society in the interests of national security, public safety or the economic wellbeing of the country, for the prevention of disorder or crime, for the protection of health or morals, or for the protection of the rights and freedoms of others.

1.2 It should be noted that Article 8 is a qualified right. If the right to respect for one's home private and family life is interfered with it has to be proportionate and in accordance with the exceptions in paragraph (ii).

1.3 Part 2 of RIPA provides a statutory framework that is compliant with the ECHR and provides guidance when using specified Surveillance techniques. It also introduces standards that apply to the police and other law enforcement agencies. Local authorities are classified as public bodies as their functions include the investigation of certain crimes. For example, the Council as a local authority investigate and prosecute:

- (a) housing benefit fraud;
- (b) consumer protection offences (such as the sale of counterfeit and unsafe goods);
- (c) noise nuisance; and
- (d) non-compliance with planning enforcement notices.

These are just some examples of the myriad areas of enforcement the Council undertakes.

1.4 The Council can only use the provisions of RIPA in three areas - the acquisition and disclosure of communications data, the use of Directed Surveillance and covert human intelligence sources - for:-

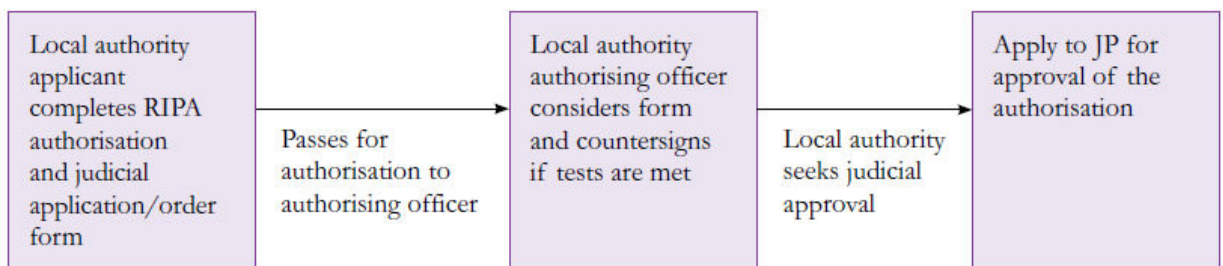
'the purpose of preventing and detecting crime or preventing disorder'

1.5 The purpose of this policy is to provide guidance with regard to the use of Directed Surveillance and covert human intelligence sources under RIPA. Covert Surveillance requires internal authorisation as well as Court approval to reduce the risk of the information gathered being found to be inadmissible in court and/or

compensation being payable for a breach of an individual's human rights (see paragraph 15 below).

- 1.6 The oversight provisions by the Office of Surveillance Commissioners (OSC) should also be noted - <http://Surveillancecommissioners.independent.gov.uk/>
- 1.7 Codes of practice have been drawn up by the Home Office and these are referred to at Appendix 1 but are not reproduced. They can be inspected at the Home Office website: <http://www.homeoffice.gov.uk/counter-terrorism/regulation-investigatory-powers/ripa-codes-of-practice/>.
- 1.8 Advice may also be obtained from the OSC Procedures and Guidance which was published on 27 September 2010.
- 1.9 This document applies to all Council staff and workers and to all contractors employed by the Council (all relevant Council contracts will include a term that this Policy and Guidance are to be observed by any contractor operating on behalf of the Council).
- 1.10 From 1 November 2012 all authorisations and renewals under RIPA need court approval before they can come into effect. Such approval must be sought from a Justice of the Peace in the Magistrates' Court. The overall process is outlined below:

DIRECTED SURVEILLANCE / CHIS (COVERT HUMAN INTELLIGENCE SOURCE)



2. Key Terms

Key terms are defined and expanded upon here. These terms are capitalised throughout the document to indicate they have been defined in this paragraph.

“Authorising Officers”

Persons who have been trained to the appropriate level should be nominated as Authorising Officers. It will be the responsibility of these officers to consider all RIPA applications and to grant or refuse authorisations, as appropriate.

Under the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 the prescribed officers are "Directors, Heads of Service, Service Managers or equivalent". Appendix 2 sets out the Authorising Officers for the Council.

However, when knowledge of Confidential Information is likely to be acquired or when a vulnerable individual or juvenile is to be used as a CHIS only the Head of Paid Service can authorise the relevant activity (or, in his or her absence, the person acting as the Head of Paid Service).

Authorisations (and renewals of authorisations) only come into effect if and when approved by an order of the Magistrates' Court (see Appendix 3).

Amendments to the list in Appendix 2 are to be agreed by the **RIPA Monitoring and Coordinating Officer** (also defined in Appendix 2).

“Crime Threshold Test”

Directed Surveillance can only be used to prevent or detect criminal offences that are either:

- punishable, whether on summary conviction or indictment, by a maximum term of at least 6 months' imprisonment or
- an offence under:
 - section 146 of the Licensing Act 2003 (sale of alcohol to children);
 - section 147 of the Licensing Act 2003 (allowing the sale of alcohol to children);
 - section 147A of the Licensing Act 2003 (persistently selling alcohol to children);
 - section 7 of the Children and Young Persons Act 1933 (sale of tobacco, etc, to persons under eighteen).

This means, at the start of an investigation, Council officers will need to satisfy themselves that what they are investigating is a criminal offence falling into one of the above categories.

“Collateral Intrusion”

Collateral Intrusion is where the investigation is likely to unexpectedly interfere with the privacy of individuals who are not covered by the authorisation. Applications for authorisation should include an assessment of the risk of any Collateral Intrusion.

“Confidential Information”

This has the same meaning as is given to it in sections 98 to 100 of the Police Act 1997.

It consists of matters subject to legal privilege, confidential personal information, or confidential journalistic material:

- Legal Privilege - includes both oral and written communications between a professional legal adviser and his or her client or any person representing his or her client, made in connection with the giving of legal advice to the client or in contemplation of legal proceedings and for the purposes of such

proceedings, as well as items enclosed within or referenced to in such communications.

Communication and items held with the intention to further a criminal purpose are not matters subject to legal privilege.

- Confidential Personal Information

"Personal information" means information concerning an individual (whether living or dead) who can be identified from it and relating--

- (a) to his physical or mental health, or
- (b) to spiritual counselling or assistance given or to be given to him.

"Confidential Personal Information" means personal information (as defined directly above):

- (a) which a person has acquired or created in the course of any trade, business, profession or other occupation or for the purposes of any paid or unpaid office, and which he holds in confidence, and
- (b) communications as a result of which personal information--
 - (i) is acquired or created as mentioned in paragraph (a), and
 - (ii) is held in confidence.

- Confidential Journalistic Material - includes material acquired or credited for the purposes of journalism and held subject to an undertaking to hold it in confidence, as well as communications resulting in information being acquired for the purposes of journalism and held subject to such an undertaking.

Extra care should be taken in cases where the subject of the investigation might expect a degree of privacy or where Confidential Information is involved.

Officers should be aware of the requirement for authorisation of such Confidential Information.

"Covert Human Intelligence Sources (CHIS)"

Under section 26(8) of RIPA a person is a covert human intelligence source if s/he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating:

- (a) obtaining information;
- (b) providing access to information to another person; or
- (c) disclosing information obtained by the use of or as a consequence of such a relationship.

Surveillance by a human intelligence source is covert if:

- it is carried out in a manner calculated to ensure that persons who are subject to Surveillance are unaware that it is or may be taking place;

- if a relationship is established or maintained and then conducted in a manner calculated to ensure that one of the parties is unaware of the purpose; or
- any information obtained and disclosed is disclosed in a manner calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question.

“Covert Surveillance”

Covert Surveillance is defined as “Surveillance which is carried out in a manner calculated to ensure that the persons subject to the Surveillance are unaware that it is or may be taking place”, and is categorised as either Intrusive or Directed.

“Directed Surveillance”

Directed Surveillance is defined in section 26(2) of RIPA as Surveillance which is covert, but not intrusive, and undertaken:

- (a) for the purposes of a specific investigation or operation;
- (b) in such a manner as is likely to result in the obtaining of Private Information about a person (whether or not one is specifically identified for the purposes of the investigation or operation); and
- (c) otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation to be sought for the carrying out of the Surveillance.

Directed Surveillance involves the observation of a person or persons with the intention of gathering Private Information to produce a detailed picture of a person’s life, activities or associations. It does not include entry on or interference with property or wireless telegraphy (which the Council cannot do under RIPA), but may include the use of photographic and video equipment (including the use of CCTV).

“Intrusive Surveillance”

Intrusive Surveillance is defined in section 26(3) of RIPA as covert Surveillance that:-

is carried out in relation to anything taking place on any residential premises or in any private vehicle; and involves the presence of an individual on the premises or in the vehicle or is carried out by means of a Surveillance device BUT Surveillance is not intrusive if it:-

- (a) is carried out by a vehicle tracking device; or
- (b) involves the consensual interception of mail or telecommunications for which there is no interception warrant; or

- (c) involves a Surveillance device observing residential premises or a private vehicle, which device is not fitted in the premises or vehicle and which device does not consistently provide information of the quality and detail that would be obtained if the device was actually present on the premises or in the vehicle.

A local authority officer cannot be authorised to conduct Intrusive Surveillance.

“Judicial Approval”

The approval of Local Authority Authorisations under RIPA by a Justice of the Peace sitting in the Magistrates’ Court (see Appendix 3)

“Private Information”

This includes, “in relation to a person”, any information relating to his or her private or family life.

Aspects such as gender identification, name, sexual orientation and sexual life are important elements of the personal sphere protected by Article 8. The Article also protects a right to identity and personal development, and the right to establish and develop relationships with other human beings and the outside world and it may include activities of a professional or business nature. There is, therefore, a zone of interaction of a person with others, even in a public context, which may fall within the scope of “private life”. It may be the case, therefore, that a person’s private life may be concerned in measures affected outside a person’s home or private premises. A person’s reasonable expectations as to privacy are a significant though not necessarily conclusive factor.

”Surveillance”

Includes:

- (a) monitoring, observing or listening to persons, their movements, their conversations or their other activities or communications;
- (b) recording anything monitored, observed or listened to in the course of Surveillance; and
- (c) Surveillance by or with the assistance of a device.

3. Directed Surveillance

3.1 General

- 3.1.1 In general terms, Directed Surveillance is planned covert Surveillance which could not be classed as Intrusive Surveillance. To fall into the category of Directed Surveillance, the Surveillance must be undertaken for the purpose of a specific investigation or operation in a way likely to obtain Private Information about a person (otherwise than by immediate response to events). If Surveillance takes place as an immediate response to an event, no authorisation is required. Directed Surveillance is essentially Surveillance carried out in a manner calculated to ensure that the person who is the subject of the Surveillance is unaware that it is, or may be, taking place.
- 3.1.2 Directed Surveillance can only be used if authorised in accordance with this Policy and only then after the authorisation has been approved by an order of the Magistrates' Court
- 3.1.3 Directed Surveillance can only be used to prevent or detect criminal offences that meet the Crime Threshold Test
- 3.1.4 During the course of an investigation the type and seriousness of offences may change. The option of authorising Directed Surveillance is dependent on the offence under investigation meeting the Crime Threshold Test. Providing this is the case, an application for authorisation or approval can be made. However, if during the investigation it becomes clear that the activity being investigated does not amount to a criminal offence or that it would be a less serious offence that does not meet the threshold the use of Directed Surveillance should cease. If a Directed Surveillance authorisation is already in force it should be cancelled.
- 3.1.5 Directed Surveillance will be authorised against a specific offence which meets the threshold, and the type and the timing of the deployment of the Surveillance will always reflect this. There may be cases where it is possible, with the same evidence obtained by the same deployment, to substantiate a variety of different charges, some of which fall below the threshold, it will be for the courts to decide whether to admit – and what weight to attach to – the evidence obtained in the lesser charges.

3.2 Further points on Directed Surveillance

- 3.2.1 A dog warden, who *happens* to see a dog fouling offence being committed, would not be said to be undertaking Directed Surveillance in the RIPA sense. To be planned Surveillance, there needs to be a specific purpose or investigation. (It's also unlikely this offence would meet the Crime Threshold Test.)
- 3.2.2 If an investigating officer responds to an immediate event this would not be Directed Surveillance. If the officer subsequently planned a follow-up visit for the specific purpose of carrying out observations this would be classified as Directed Surveillance and would require authorisation.
- 3.2.3 Directed Surveillance is usually undertaken by means of an individual officer watching or recording the person while they undertake or are suspected of undertaking the prohibited activity. It can also include an officer making a test purchase from a person when the transaction is captured on a recording device that may be worn by the officer. It is not necessary for the recording to be visual; an audio recording only would also be classed as Directed Surveillance. Evidence can also be gained by way of photography.

- 3.2.4 Hidden cameras in a public place or targeted CCTV also constitute covert Surveillance. In such circumstances a CCTV camera is trained on a specific person or a spot at a particular time in order to observe the activities of a particular person or group of persons. That being said, where CCTV is used in the monitoring of public areas in an overt way and just happen to catch a criminal act, this would **not** be classified as covert Surveillance.
- 3.2.5 RIPA covers local authorities; therefore any contractor, employee or worker of the Council is covered. It does not include local authorities acting on information that is received from members of the public acting on their own volition. For example, neighbours filming nuisance activities across the road behind their net curtains and then giving the tape to Environmental Health for action or as evidence without being actively recruited to do so does not require authorisation.
- 3.2.6 A public authority may only engage RIPA when in performance of its ‘core functions’ – i.e. the ‘specific public functions’, undertaken by a particular authority, in contrast to the ‘ordinary functions’ which are those undertaken by all authorities (e.g. employment issues, contractual arrangements etc) see *C v The Police and the Secretary of State for the Home Office – IPT/03/32/H*). The disciplining of an employee is not a ‘core function’, although related criminal investigations may be.
- 3.2.7 More details are set out in the Council’s relevant employment policies.

Examples of Directed Surveillance by local authority investigators

- (a) a recorded test purchase such as a suspected pirate DVD or counterfeit goods being purchased from a market trader.
- (b) the training of a CCTV camera onto a particular trading premises to establish who opens and closes the premises each day.
- (c) observing of persons suspected of serious or serial housing benefit fraud to see if they are going to and from a place of work
- (d) following of a person suspected of dangerous waste dumping.
- (e) the taping of nuisance tenants by Housing Officers or contractors engaged by them for the purposes set out in the Anti-Social Behaviour Act 2003.

This list is not exhaustive. It is illustrative of the types of activities that local authority investigators engage in and which would be classed as Directed Surveillance. Activities such as the test purchasing of alcohol and cigarettes by underage persons need to be considered on a case-by-case basis.

3.2.8 Examples of what does **not** constitute Directed Surveillance:

- “Hot spot targeting” e.g. licensing officers standing on a street to monitor private hire cars plying for hire illegally where this is not part of a planned operation, or Surveillance on a fly-tipping or a dog-fouling clear up.

- Overt CCTV or incidental Surveillance.
- Overt investigations, e.g. a Benefits Officer visiting a person to make enquiries and declaring their status and intention or Environmental Health Officers declaring their status and intention.

4. Covert Human Intelligent Sources (CHIS)

- 4.1 A CHIS is a person who establishes or maintains a personal relationship or other relationship with a person in order to covertly obtain or disclose information (Section 26 (8) (a) to (c) of RIPA). The code of practice recognises CHIS as agents, informants or officers working under cover. In the case of a local authority a CHIS would normally be an informant or an officer working under cover.
- 4.2 As with covert Surveillance, a CHIS would not be a member of the public who volunteers information to the local authority, such as a person who complains that they purchased food past its use-by date from their local supermarket. In this case the relationship between customer and provider is too remote. It should also be considered that the information may well be given secretly and may not be revealed to the defendant as it may be deemed to be sensitive in accordance with the Criminal Procedure and Investigations Act 1996. It should also be borne in mind that an informant may well be providing regular information during an investigation, whereas a member of the public complaining is usually a one-off.
- 4.3 The rules of evidence permit investigators to use ruses to gain information provided that the person is not persuaded into committing an unlawful act that they otherwise would not have committed. For example trading standards officers may masquerade as members of the public when visiting a car dealer and may pose questions that a prospective customer might well ask and in doing so may well gain information. In such cases this officer would be a CHIS as they would be deemed to be an officer working under cover and could be seen to be seeking to gain a person's trust. An officer who merely goes into a shop and purchases an item without engaging in dialogue except for, 'how much?' and 'thank you', would not be a CHIS. Although in this circumstance the officer is working under cover, they are not seeking information from that person or intending to gain that person's trust. In extreme situations, trading standards officers and police have gone under cover and worked in establishments to gain information.
- 4.4 It should be noted that an officer who attends a premises and identifies him/herself and then either carries out a statutory inspection or has entered in pursuance of a warrant of entry issued by a court, is not a CHIS. There is nothing covert about their visit.
- 4.5 The use and/or conduct of a CHIS must be authorised internally (see paragraph 7 below). Further, such an authorisation can only come into effect once approved by an order of the Magistrates' Court (see Appendix 3).

Additional Considerations when using a CHIS

- 4.6 If a CHIS is a juvenile or a vulnerable person the authorisation can only be given by the Chief Executive (see Appendix 2).

- 4.7 If a CHIS is a juvenile or a vulnerable person the authorisation can only be given by the Chief Executive (see Appendix 2).
- 4.8 Furthermore, the Council must have arrangements in place for ensuring that there will be at all times a person holding a position or office within the Council who will have day to day responsibility for dealing with the CHIS on behalf of the Authority. This will include the CHIS's security and welfare. In addition to this person, the Council must also ensure that there will be at all times another person who will have general oversight of the use made of the CHIS. It is suggested that the former is the officer having responsibility for the general management of the case and the latter is the appropriate Authorising Officer.
- 4.9 The officer in charge of maintaining a record of the use of a CHIS must also, at all times, record the following particulars as specified by the Secretary of State:
- (a) The identity of the CHIS.
 - (b) The identity, where known, used by the CHIS.
 - (c) Any relevant investigating authority other than the authority maintaining the records.
 - (d) The means by which the source was referred to within each relevant investigating authority.
 - (e) Any other significant information connected with the security and welfare of the CHIS.
 - (f) Any confirmation made by the Authorising Officer for the conduct or use of a CHIS that the information in paragraph 5 above has been considered and that any identified risks to the security and welfare of the CHIS have, where appropriate, been explained to and understood by the CHIS.
 - (g) The date when and the circumstances in which the CHIS was recruited.
 - (h) The identities of the Authorising Officer and the officer who applied for the use of the CHIS.
 - (i) The periods during which those persons have discharged those responsibilities.
 - (j) The tasks given to the CHIS and the demands made of him/her in relation to his/her activities as a CHIS.
 - (k) All contacts or communications between the CHIS and a person acting on behalf of any relevant investigating authority.
 - (l) The information obtained by each relevant investigating authority by the conduct or use of the CHIS.
 - (m) Any dissemination by that authority of information in that way.

- (n) In the case of a CHIS who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the CHIS's activities for the benefit of that or any other relevant investigating authority.

4.10 The intention is that adequate records must be kept in such a way that the CHIS is safe from discovery by the subject(s) of the investigation and safe from any harm which could result from a disclosure of information. Further, it is meant to keep in the open any money or benefits paid to the CHIS who is not employed by the Council. See paragraph 11.6 for further requirements in relation the use of a CHIS.

5. Necessity and Proportionality

5.1 When engaging in covert Surveillance the most likely Article of the ECHR to be breached is Article 8 referred to in paragraph 1.1 above. This is a qualified right and can be interfered with, if:

- (a) the aim of such interference is necessary for the purpose of preventing and the detection of crime or preventing disorder (see paragraph 7.2 below); and
- (b) the covert activities are proportionate in the circumstances of the particular case.

5.2 If the activities are necessary, the person granting the authorisation must believe that they are proportionate to what is sought to be achieved by carrying them out. This involves balancing the intrusiveness of the activity on the target and others who might be affected by it against the need for the activity in operational terms. The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means.

5.3 Covert Surveillance should therefore be used as a last resort.

6. General Provisions about Authorisations

6.1 Where an investigating officer of the Council wishes to engage in covert Surveillance, or wishes to either operate as or use a CHIS, RIPA sets out procedures for who can authorise and what the evidence obtained is to be used for. In order to perform covert Surveillance or to operate/use a CHIS, the officer who wishes to do so must obtain:

Step 1: **authorisation** by the appropriate nominated officer ('Authorising Officer') (See [Appendix 2](#)),

Step 2: **approval** of the authorisation by the Magistrates (See Appendix 3)

6.2 Surveillance must only be authorised where it is believed that the Surveillance is necessary under the ground set out in paragraph 7 and is proportionate to what it seeks to achieve. To protect privacy, and comply with the HRA, all Council

services will need to demonstrate that any intrusion into an individual's privacy is essential to an investigation.

- 6.3 Where Surveillance is considered appropriate it must still be authorised and then approved by an order of the Magistrates' Court before it can commence.
- 6.4 Authorising Officers will need to satisfy themselves that a defensible case can be made for Surveillance activity. The matters which the Authorising Officer must consider are set out in Section 8 below. Obtaining an authorisation and Magistrates' approval will ensure that the action is carried out in accordance with the law and subject to stringent safeguards against abuse. It will also make the action less vulnerable to challenge under the HRA.
- 6.5 Where an authorisation is approved for Directed Surveillance then it must only be carried out in accordance with the authorisation and only for the purposes of the investigation specified or described.
- 6.6 In an extreme situation where it is not possible for the investigating officer to complete the form, the Authorising Officer must still be consulted. Oral Authorisation can be granted for a maximum of 72 hours in an emergency situation. As soon as possible following the Oral Authorisation, the written application for authorisation must be completed. A case is not normally regarded as urgent unless the time that would elapse before the Authorising Officer was available to grant the authorisation would, in the judgement of the person giving the authorisation, be likely to endanger life or jeopardise the investigation or operation for which the authorisation was being given. An authorisation is not to be regarded as urgent where the need has been neglected or the urgency is of the Authorising Officer's own making. Judicial approval is still required, even in urgent cases (see Appendix 3).
- 6.7 In no circumstance must any Covert Surveillance operation be given backdated authorisation after it has commenced. Embarking upon Directed Surveillance or the use of a CHIS without court-approved authorisation or conducting Covert Surveillance outside the scope of the authorisation will mean that the 'protective umbrella' of RIPA is unavailable and so any evidence obtained is likely to be inadmissible in court. This may also result in disciplinary action being taken against the officer/officers concerned within the Council's Human Resources policies and procedures.

7. Grounds for Authorisation

- 7.1 Authorisation for Directed Surveillance or the use of a CHIS may be granted by an Authorising Officer where and only where s/he believes:-
 - (a) that the authorisation is necessary for the purpose of preventing and detecting crime or preventing disorder; and
 - (b) that the authorised Surveillance is proportionate to that which is sought to be achieved (see paragraph 5).
- 7.2 Authorisation for using a CHIS can only be given for preventing or detecting crime or of preventing disorder.

- 7.3 Authorisation for Directed Surveillance can only be given for preventing or detecting criminal offences that meet the Crime Threshold Test. Directed Surveillance **cannot** be used for offences below that threshold or to prevent disorder.
- 7.4 Detecting crime includes establishing by whom, for what purpose, by what means and generally in what circumstances any crime was committed, the gathering of evidence for use in any legal proceedings and the apprehension of the person (or persons) by whom any crime was committed. Preventing or detecting crime goes beyond the prosecution of offenders and includes actions taken to avert, end or disrupt the commission of criminal offences.
- 7.5 In the case of crime when the investigator comes to the Authorising Officer the latter will be hard pressed, in many cases, to know whether s/he is satisfied that the investigation will follow the criminal route. If the concern is disorder this problem is greatly reduced since the evidence is being gathered to be presented for a wide range of remedies. Thus use of a CHIS under RIPA can be used in cases where disorder is being alleged under the Anti-Social Behaviour Act 2003.

8 Completing the Forms for Authorisation

8.1 The investigating officer seeking authorisation does this by completing the necessary form. Examples of the forms to be used by the Council are shown at Appendices 4 and 5. However, to ensure that the current forms are being used, they should be downloaded from the Home Office Website each time a new Authorisation is being sought. When completing these forms for authorisation, they should provide:

- Name(s) (where known) or description(s) of the person(s) who is/are to be the subject of the Surveillance as well as any known history and character of that/those person(s).
- The location of the person who is the subject of the Surveillance or where such Surveillance is to take place and (if relevant) the place where the CHIS is to be located.
- The type of Surveillance device or equipment to be used (if any).
- The type of activities, numbers and names of officers who will be CHIS's (if relevant).
- The purpose of which the Surveillance is to be undertaken or CHIS used. As stated above, it also has to be demonstrated why it is necessary to use covert Surveillance or a CHIS.
- It must specify why the Surveillance to be undertaken or CHIS used is proportionate and in this context specifying:
 - (a) The objectives of the Surveillance or the use of the CHIS
 - (b) The crime or wrong being investigated

(c) Why the Surveillance or the use of a CHIS should be used in preference to other methods of investigation

(d) Why it would be more practicable

- For Directed Surveillance, confirmation that the criminal offence(s) meet the Crime Threshold Test, and brief details in support of this confirmation.
- The objectives of the activities.
- The name and nature of the investigation or operation and what makes the Authorising Officer believe Surveillance or the use of the CHIS will achieve the objectives.
- The risk of information relating to third parties' private and family lives being obtained i.e. Collateral Intrusion.
- The likelihood of acquiring any confidential/religious material.

9. Duration of Authorisations

(a) Time Limits

9.1 Authorisations have a duration as follows:

- | | |
|---|---|
| • Directed Surveillance | 3 months from grant of judicial approval |
| • Covert human intelligence source (where CHIS 18 or older) | 12 months from grant of judicial approval |
| • Covert human intelligence source (where CHIS under 18) | 1 month from grant of judicial approval |

and will cease to have effect after these periods. However, the authorisations will continue to exist until cancelled. The process of controlling RIPA authorisations should be by review and cancellation. If they are no longer required they should be cancelled (see paragraph 9.9).

(b) Review

9.2 Once granted, an authorisation should be reviewed regularly by the officer managing the case to assess whether or not the activity authorised continues to be **necessary** and **proportionate**. The Authorising Officer should be notified of any instances where these criteria are no longer met. Reviews should be more frequent when access to Confidential Information or Collateral Intrusion is involved. Review frequency should be as often as the Authorising Officer deems practicable. Judicial approval is not required for an internal review.

9.3 The Authorisation forms set out in Appendices 4 and 5 should be used in conducting a review of Covert Surveillance or a CHIS.

(c) Renewal

- 9.4 If at any time before an authorisation would cease to have effect the Authorising Officer considers it necessary for the authorisation to continue for the purpose for which it was given, they may renew it in writing for a further period not exceeding the relevant time limits in paragraph 9.1. Once authorised, renewals must also be approved by the Magistrates' as with initial authorisations (see Appendix 3).
- 9.5 A renewal takes effect at the time at which, or day on which the authorisation would have ceased to have effect but for the renewal. An application for renewal should not be made until shortly before the authorisation period is drawing to an end. Any person who would be entitled to grant a new authorisation can renew an authorisation. Authorisations may be renewed more than once, provided they continue to meet the criteria for authorisation.
- 9.6 An application for renewal should be made to the officer who granted the original authorisation unless there is a very good reason not to do so (e.g. because the original Authorising Officer is on annual leave/ has left the Council).
- 9.7 Applications for renewal should be made using the forms contained in Appendices 4 and 5.
- 9.8 Authorisations may be renewed more than once, if necessary, and the renewal should be kept/recorded as part of the central record of authorisations.

(d) Cancellation

- 9.9 Finally with regards to authorisations, an authorisation must be cancelled by the person who granted or renewed it if that person is satisfied that the authorisation is no longer necessary on the ground under which it was granted or renewed or it is no longer proportionate to what is sought to be achieved by carrying it out. Alternatively, in the case of the authorisation of a CHIS, that person is satisfied that arrangements for the CHIS's case that satisfy the requirements as set out above no longer exist. When cancelling, the forms contained in Appendices 4 and 5 should be used. Judicial approval is not needed for a cancellation.

10 RIPA Monitoring and Coordinating Officer and Record Keeping

- 10.1 The RIPA Monitoring and Coordinating Officer will keep this Policy and Guidance document under review and will amend it to accord with best practice. He will also hold a centrally retrievable record of all authorisations and regularly update it whenever an authorization is granted, renewed or cancelled. The record will be made available to an Inspector from the Office of Surveillance Commissioners, upon request. The record will be retained for a period of at least three years from the ending of the authorisation and will contain the following information:
- the type of authorisation;
 - the date the authorisation was given;

- name of the Authorising Officer;
- the unique reference number (URN) of the investigation or operation;
- the title of the investigation or operation, including a brief description and names of subjects, if known;
- whether the urgency provisions were used, and if so why.
- if the authorisation is renewed, when it was renewed and who authorised the renewal, including the name of the Authorising Officer;
- whether the investigation or operation is likely to result in obtaining Confidential Information as defined in this code of practice;
- the details and outcome of applications to the Magistrates' for judicial approval
- the date the authorisation was cancelled.

10.2 All original authorisations, renewals and cancellations shall be held by the RIPA Monitoring and Coordinating Officer with copies held by the Authorising Officer. These will include:

- a copy of the application and a copy of the authorisation together with any supplementary documentation and notification of the approval given by the Authorising Officer;
- a copy of the court order approving the authorisation
- a record of the period over which the Surveillance has taken place;
- the frequency of reviews prescribed by the Authorising Officer;
- a record of the result of each review of the authorisation;
- a copy of any renewal of an authorisation, together with the supporting documentation submitted when the renewal was requested;
- the date and time when any instruction was given by the Authorising Officer.

11 Record Keeping – Generally

11.1 Copies of all written authorisations and reviews should be kept for a period of three years after the conclusion of any court proceedings in which the Surveillance or the use of the CHIS was relevant.

11.2 Oral authorisations must be recorded in writing as soon as reasonably practicable after having been granted.

- 11.3 All information that is obtained during Surveillance undertaken for the purpose of a criminal investigation is recorded by means of a Surveillance log. This log should give an account of the events observed and conversations heard and the time and date of such events or conversations. As it is unlikely that such a log would be completed contemporaneously, the date and time that the entry is made should also be noted as well as the name of the person making the entry.
- 11.4 Where an authorisation is reviewed and either granted, withdrawn or refused then the review must be recorded in writing.
- 11.5 At no time must any of the recorded information be disclosed or used, except for the purposes for which it was gathered at that time or for use in any future criminal or civil proceedings involving the Council, or if disclosure is required by law.
- 11.6 All of the information obtained by a CHIS and by the officer responsible for recording the use of the CHIS is to be recorded in a daily log similar to that referred to above for Surveillance. Where such a log also reveals the name of the CHIS this should only be disclosed if either legally necessary or if required by a Court. See paragraphs 4.6 to 4.10 for further requirements in relation to the use of a CHIS.
- 11.7 The Freedom of Information Act 2000 (FOIA) provides for the general rights of access to recorded information held by public authorities and specifies the conditions before a request has to be complied with. The advice of the RIPA Monitoring and Coordinating Officer should be sought for any requests to see the authorisation documents under the FOIA.

12 Use of Covert Surveillance equipment, data security and data sharing

- 12.1 Covert Surveillance equipment will only be installed with the necessary authorisation of the Council's Authorising Officers and only then when that authorisation has been approved by the Magistrates'. It will only be installed in residential premises if a member of the public has requested help or referred a complaint to the Council and such matter can only be investigated with the aid of Covert Surveillance techniques. Any permission to locate Surveillance equipment on residential premises must be obtained in writing from the householder or tenant.
- 12.2 Any request by a Council officer to a resident to keep a video/audio/written diary as part of a covert evidence-gathering exercise will be regarded as a Covert Surveillance exercise conducted on behalf of the Council and must be authorised and judicially approved in accordance with this policy.
- 12.3 During a covert operation, recorded material or information collected will be stored and transported securely. It will be reviewed daily and access to it will be restricted to the investigating officers and the Authorising Officer concerned. The RIPA Monitoring and Coordinating Officer will decide whether to allow requests for access by third parties including other Council officers. Access will generally only be allowed to limited and prescribed parties, including law enforcement agencies, prosecution agencies, legal representatives and the people subject to the Surveillance (unless disclosure would prejudice any criminal enquiries or proceedings). Requests for access will be dealt with in accordance with the Data Protection Act 1998.

- 12.4 A register will be maintained by the Authorising Officers of all reviews of material recorded and collected covertly.
- 12.5 Only high-quality video and audiotapes will be used and for a maximum number of twelve times. All video and audiotapes will be identified uniquely and erased prior to re-use. A register will be kept of all tapes used to control the period of time they are retained (31 days) if not required for evidential purposes and the number of times they are re-used before being destroyed.

13 Closed Circuit Television (CCTV)

- 13.1 Slough Borough Council has used and employed CCTV cameras in the town centre, car parks and other areas within the Borough for many years. The CCTV equipment can record all cameras simultaneously throughout every 24-hour period. Since its inception, the CCTV monitoring scheme has been subject to a Code of Practice. The Code applies to CCTV systems overtly in public places to reduce, detect and prevent crime. It takes account of the Data Protection Act 1998 and the Human Rights Act 1998. It remains unchanged by this document when used for overt Surveillance. Reference should be made to the Council's "Code of Practice on CCTV".
- 13.2 As mentioned previously, Surveillance can also be carried out by way of hidden cameras in a public place or by targeted CCTV. In circumstances where CCTV is used in the monitoring of public areas in an overt way and just happens to catch a criminal act, then this would not be classified as Covert Surveillance. However, there may be occasions where a covert CCTV System is used for the purposes of a specific investigation or operation, in which case, authorisation and approval for Directed Surveillance may be required. The advice of the RIPA Monitoring and Coordinating Officer should be sought in such circumstances.
- 13.3 Where use of CCTV is requested by the Police, they will be required to follow Police procedure for obtaining appropriate authorisation. Confirmation and evidence of this should be made available prior to them installing any cameras in any of the Council's operations.
- 13.4 The latter systems, if overt, generally fall outside RIPA unless used for a specific investigation where the other criteria for Directed Surveillance are established. It should be recalled that to comply with fair processing aspects of the Data Protection Act 1998 there should be proper signage to indicate the use of CCTV Surveillance, what the purpose is and who controls it in the vicinity of CCTV cameras.

14 The "Policing" of RIPA

- 14.1 RIPA is overseen by Surveillance Commissioners. They are tasked with ensuring that RIPA is being applied properly. Inspections can be carried out at regular intervals.
- 14.2 In addition, any person aggrieved by the way a local authority carries out covert Surveillance can apply to a Tribunal for redress, within a year of the act complained of or any longer period that the Tribunal thinks it just and equitable to allow. This Tribunal can quash any authorisation and can order the destruction of

information held or obtained in pursuit of it. It can award compensation, but its findings may be of use in a Human Rights case challenge or as a defence to a case brought by the Council or in a referral to the Local Government Ombudsman or a complaint to the Information Commissioner, from where compensation awards can flow.

15 Consequences of Non Compliance

15.1 Where covert Surveillance work is being proposed, this Policy and Procedural Guidance should be strictly adhered to in order to protect both the Council and individual officers from the following:

- (a) **Inadmissible Evidence** - there is a risk that, if Covert Surveillance and Covert Human Intelligence Sources (both defined at paragraph 2) are not handled properly, the evidence obtained may be held to be inadmissible.
- (b) **Legal Challenge** – as a potential breach of Article 8 of the European Convention on Human Rights, which establishes a “right to respect private and family life, home and correspondence”, incorporated into English Law by the HRA. This could not only cause embarrassment to the Council but any person aggrieved by the way it has carried out Covert Surveillance can apply to a Tribunal under RIPA for redress within a year of the act complained of or any longer period that the Tribunal thinks it just and equitable to allow. This Tribunal can quash any authorisation and can order the destruction of information held or obtained in pursuit of it. It cannot, as yet, award compensation but its findings may be of use in a Human Rights case challenge, as a defence to a case brought by the Council, in a referral to the Local Government Ombudsman or a complaint to the Information Commissioner from where compensation awards can flow.
- (c) **Censure** – the OSC conduct regular audits on how local authorities implement RIPA. If it is found that a local authority is not implementing RIPA properly then this could result in censure.
- (d) **Disciplinary Action** – failure of officers to comply with this Policy and Procedural Guidance may be regarded as a disciplinary offence under the Council’s Disciplinary Policies and Procedures.

16. Complaints Procedures

16.1 The Council’s Complaints Procedure may be used for any complaint, regarding breach of this Policy and Guidance.

16.2 Contravention of the Data Protection Act 1998 may be reported to the Information Commissioner.

17. The Role of Elected Members

Elected members of a local authority have the following responsibilities with regard to RIPA:

They:

- should review the authority's use of RIPA;
- should set the policy at least once a year;
- should consider internal reports on the use of RIPA on at least a quarterly basis to ensure that it is being used consistently with the local authority's policy and that the policy remains fit for purpose;
- should not be involved in making decisions on specific authorisations.

18. RIPA Monitoring and Coordinating Officer

The RIPA Monitoring and Coordinating Officer (referred to in the Code of Practice as the 'Senior Officer') will be a person holding the office, rank or position of an Authorising Officer and should be a member of the corporate leadership team. Appendix 2 sets out how is the Council's current RIPA and Coordinating Officer.

The RIPA Monitoring and Coordinating Officer has responsibilities for -

- ensuring that all Authorising Officers are of an appropriate standard;
- addressing any concerns about the standards of Authorising Officers;
- the integrity of the processes in place for the management of CHIS and Directed Surveillance authorisations;
- compliance with RIPA and with the Codes;
- oversight of the reporting of errors to the OSC etc;
- engagement with the OSC when they conduct their inspections;
- where necessary, oversight of the implementation of post-inspection action plans approved by the OSC

APPENDIX 1

All codes of practice are available using the following link:

<http://www.homeoffice.gov.uk/counter-terrorism/regulation-investigatory-powers/ripa-codes-of-practice/>

Further useful information for Local Authorities can also be found on the website of the Office of Surveillance Commissioners website:

http://Surveillancecommissioners.independent.gov.uk/advice_guidance.html

Also see the Home Office guidance to local authorities in England and Wales on the judicial approval process for RIPA and the crime threshold for Directed Surveillance. This is available on:

<http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/>

APPENDIX 2

DESIGNATION OF AUTHORISING OFFICERS

The following officers are designated by the Council to authorise, renew and cancel Directed Surveillance or the use of covert human information sources (CHIS).

Title of Officer	Service Area
Strategic Director Customer & Community Services	Enforcement of housing and council tax benefits including the investigation of fraud in connection therewith
Strategic Director Regeneration, Housing & Resources	Planning and building control, environmental health and trading standards. Planning and building control, environmental health and trading standards.
Strategic Director Regeneration, Housing & Resources	All matters involving (1) financial irregularity (excluding housing and council tax benefits) and (2) issues relating to employees and workers.
Head of Legal Services	All other service areas
Chief Executive - Head of Paid Service (or in absence chief officer)	Authorisation of a juvenile or vulnerable person as a CHIS and where the obtaining of Confidential Information is likely.

The above officers are appointed and designated **Authorising Officers** under the Regulation of Investigatory Powers (Directed Surveillance & Covert Human Intelligence Sources) Order 2010.

The RIPA Monitoring and Coordinating Officer is the current Assistant Director of Professional Services.

The Council also designate the named officers' successors where they are responsible for the service area and have received Council training in the use of RIPA.

Judicial Approval

- a) Officers wishing use Directed Surveillance or a CHIS first need to obtain internal authorisation in accordance with this Policy. However **an authorisation does not take effect unless and until it has been approved by a Justice of the Peace (JP)** (i.e. a District Judge or lay magistrate). If at the hearing the JP is satisfied that the statutory tests have been met and that the use of the technique is necessary and proportionate he/she will issue an order approving the grant or renewal for the use of the technique as described in the application.
- b) The hearing will not be in open court, and no press, public, the subject of the investigation or the subject's legal representative will be present. In order to maintain privacy, notice of the application is not required to the person whom the authorisation concerns or that person's legal representatives.

Making the Application

- c) The flowchart below outlines the procedure for applying for judicial approval. Following approval by the Authorising Officer the first stage of the process is for the Council to contact Her Majesty's Courts and Tribunals Service (HMCTS) administration team at the magistrates' court to arrange a hearing.
- d) The Council will provide the JP with a copy of the original RIPA authorisation or notice and the supporting documents setting out the case. This forms the basis of the application to the JP and **should contain all information that is relied upon**.
- e) The original RIPA authorisation or notice should be shown to the JP but will be retained by the Council so that it is available for inspection by the Commissioners' offices and in the event of any legal challenge or investigations by the Investigatory Powers Tribunal (IPT). The court may wish to take a copy.
- f) In addition, the Council will provide the JP with a partially completed judicial application/order form (see Appendix 6)).
- g) Although the Council is required to provide a brief summary of the circumstances of the case on the judicial application form, this is supplementary to and does not replace the need to supply the original RIPA authorisation as well.
- h) The order section of the form in Appendix 6 will be completed by the JP and will be the official record of the JP's decision. The Council will need to obtain judicial approval for all initial RIPA authorisations/applications and renewals and the Council will need to retain a copy of the judicial application/order form after it has been signed by the JP. There is no requirement for the JP to consider either cancellations or internal reviews.

Arranging a Hearing

- i) Officers should establish contact with HMCTS administration at the magistrates' court. HMCTS administration will be the first point of contact for the Council when

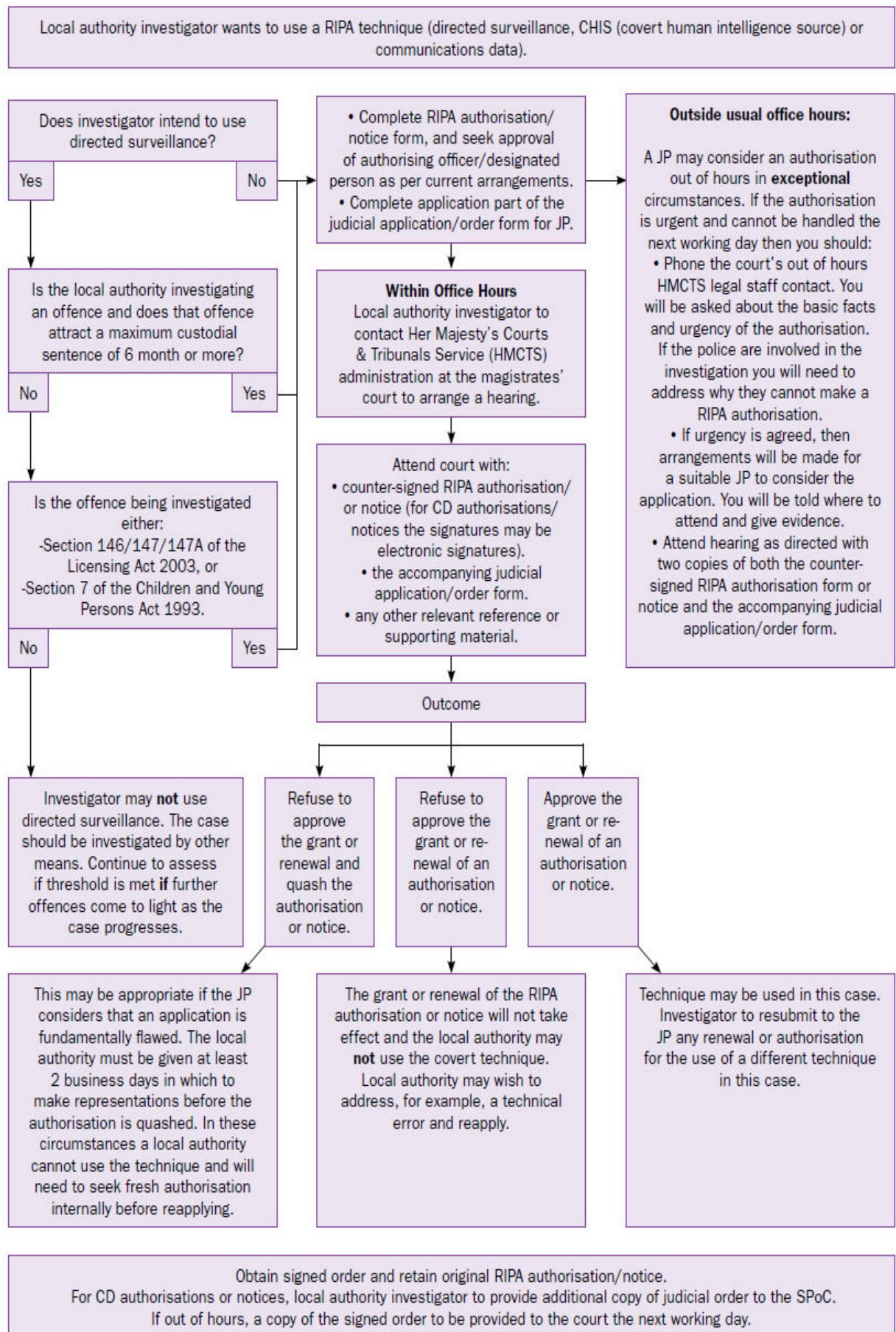
seeking a JP approval. The Council will inform HMCTS administration as soon as possible to request a hearing.

- j) **Urgent cases.** On the rare occasions where out of hours access to a JP is required then it will be for the Council to make local arrangements with the relevant HMCTS legal staff. In these cases the Council will need to provide two partially completed judicial application/order forms so that one can be retained by the JP. The Council should provide the court with a copy of the signed judicial application/order form the next working day.
- k) In most emergency situations where the police have power to act, then they are able to authorise activity under RIPA without prior JP approval. No RIPA authority is required in immediate response to events or situations where it is not reasonably practicable to obtain it (for instance when criminal activity is observed during routine duties and officers conceal themselves to observe what is happening).
- l) Where renewals are timetabled to fall outside of court hours, for example during a holiday period, it is the Council's responsibility to ensure that the renewal is completed ahead of the deadline. Out of hours procedures are for emergencies and should not be used because a renewal has not been processed in time.

Attending a Hearing

- m) The hearing is a 'legal proceeding' and therefore Council officers need to be formally designated to appear under its Constitution (see paragraph g below), be sworn in and present evidence or provide information as required by the JP.
- n) The hearing will be in private and heard by a single JP who will read and consider the RIPA authorisation or notice and the judicial application/order form. He/she may have questions to clarify points or require additional reassurance on particular matters.
- o) The Council will want to consider who is best able to answer the JP's questions on the policy and practice of conducting covert operations and detail of the case itself. It is envisaged that the case investigator will be able to fulfil this role. The investigator will know the most about the investigation and will have determined that use of a covert technique is required in order to progress a particular case. This does not, however, remove or reduce in any way the duty of the Authorising Officer to determine whether the tests of necessity and proportionality have been met. Similarly, it does not remove or reduce the need for the forms and supporting papers that the Authorising Officer has considered and which are provided to the JP to make the case.
- p) It is not envisaged that the skills of legally trained personnel will be required to make the case to the JP and this would be likely to, unnecessarily, increase the costs of Council applications.
- q) **Officers who are not solicitors** can appear in the Magistrates' on behalf of the Council under section 223 of the Local Government Act 1972, so long as they have been properly authorised to do so in accordance with the Council's Constitution. Such officers should take to court a copy of any such authorisation in case it is asked for by a JP or the Court Clerk.

LOCAL AUTHORITY PROCEDURE: APPLICATION TO A JUSTICE OF THE PEACE SEEKING AN ORDER TO APPROVE THE GRANT OF A RIPA AUTHORISATION OR NOTICE



APPENDIX 4

INTERNAL FORMS: DIRECTED SURVEILLANCE

The following forms are included in this Appendix:

- **Authorisation** Directed Surveillance
- **Review** of a Directed Surveillance authorisation
- **Renewal** of a Directed Surveillance authorisation
- **Cancellation** of a Directed Surveillance authorisation

These forms all relate to the Council's *internal* authorisations. See Appendix 7 for the correct form when seeking *judicial approval* of authorisations/renewals.

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Part II of the Regulation of Investigatory Powers Act 2000

Authorisation Directed Surveillance

Public Authority <i>(including full address)</i>			
Name of Applicant		Unit/Branch / Division	
Full Address			
Contact Details			
Investigation/Operation Name (if applicable)			
Investigating Officer (if a person other than the applicant)			

DETAILS OF APPLICATION
1. Give rank or position of authorising officer in accordance with the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 No. 521.¹
2. Describe the purpose of the specific operation or investigation.

¹ For local authorities: The exact position of the authorising officer should be given. For example, Head of Trading Standards.

3. Describe in detail the surveillance operation to be authorised and expected duration, including any premises, vehicles or equipment (e.g. camera, binoculars, recorder) that may be used.

4. The identities, where known, of those to be subject of the directed surveillance.

- Name:
- Address:
- DOB:
- Other information as appropriate:

5. Explain the information that it is desired to obtain as a result of the directed surveillance.

6. Identify on which grounds the directed surveillance is necessary under Section 28(3) of RIPA. *Delete those that are inapplicable. Ensure that you know which of these grounds you are entitled to rely on (SI 2010 No.521).*

- ~~• In the interests of national security;~~
- For the purpose of preventing or detecting crime or of preventing disorder;
- ~~• In the interests of the economic well-being of the United Kingdom;~~
- ~~• In the interests of public safety;~~
- ~~• for the purpose of protecting public health;~~
- ~~• for the purpose of assessing or collecting any tax, duty, levy or other imposition, contribution or charge payable to a government department;~~

7. Explain why this directed surveillance is necessary on the grounds you have identified [Code paragraph 3.3].

8. Supply details of any potential collateral intrusion and why the intrusion is unavoidable. [Bear in mind Code paragraphs 3.8 to 3.11.]

Describe precautions you will take to minimise collateral intrusion.

9. Explain why this directed surveillance is proportionate to what it seeks to achieve. How intrusive might it be on the subject of surveillance or on others? And why is this intrusion outweighed by the need for surveillance in operational terms or can the evidence be obtained by any other means [Code paragraphs 3.4 to 3.7]?

10. Confidential information [Code paragraphs 4.1 to 4.31].

INDICATE THE LIKELIHOOD OF ACQUIRING ANY CONFIDENTIAL INFORMATION:

11. Crime Threshold Test

INDICATE, WITH REASONS, WHY THE CRIME THRESHOLD TEST IS MET (Where relevant, list offences being investigated and their respective maximum penalties. If this test is not met, authorisation must not be granted.)

12. Applicant's Details

Name (print)		Tel No:	
Grade/Rank		Date	

Signature		
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13. Authorising Officer's Statement. [Spell out the "5 Ws" – Who; What; Where; When; Why and HOW– in this and the following box.]

I hereby authorise directed surveillance defined as follows: [*Why is the surveillance necessary, whom is the surveillance directed against, Where and When will it take place, What surveillance activity/equipment is sanctioned, How is it to be achieved?*]

**14. Explain why you believe the directed surveillance is necessary [Code paragraph 3.3].
Explain why you believe the directed surveillance to be proportionate to what is sought to be achieved by carrying it out [Code paragraphs 3.4 to 3.7].**

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15. (Confidential Information Authorisation.) Supply detail demonstrating compliance with Code paragraphs 4.1 to 4.31.

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Date of first review			
Programme for subsequent reviews of this authorisation: [Code paragraph 3.23]. Only complete this box if review dates after first review are known. If not or inappropriate to set additional review dates then leave blank.			
Name (Print)		Grade / Rank	
Signature		Date and time	
Expiry date and time [e.g.: authorisation granted on 1 April 2005 - expires on 30 June 2005, 23.59]			

16. Urgent Authorisation [Code paragraph 5.9]: Authorising officer: explain why you considered the case so urgent that an oral instead of a written authorisation was given.

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17. If you are only entitled to act in urgent cases: explain why it was not reasonably practicable for the application to be considered by a fully qualified authorising officer.

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Name (Print)		Grade/ Rank		
Signature		Date and Time		
Urgent authorisation Expiry date:		Expiry time:		

<i>Remember the 72 hour rule for urgent authorities – check Code of Practice.</i>	e.g. authorisation granted at 5pm on June 1 st expires 4.59pm on 4 th June		
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Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act 2000

Review of a Directed Surveillance authorisation

Public Authority <i>(including address)</i>	
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Applicant		Unit/Branch /Division	
Full Address			
Contact Details			
Operation Name		Operation Number* <small>*Filing Ref</small>	
Date of authorisation or last renewal		Expiry date of authorisation or last renewal	
		Review Number	

Details of review:

1. Review number and dates of any previous reviews.	
Review Number	Date

2. Summary of the investigation/operation to date, including what private information has been obtained and the value of the information so far obtained.

3. Detail the reasons why it is necessary to continue with the directed surveillance.
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4. Explain how the proposed activity is still proportionate to what it seeks to achieve.

5. Detail any incidents of collateral intrusion and the likelihood of any further incidents of collateral intrusions occurring.

6. Give details of any confidential information acquired or accessed and the likelihood of acquiring confidential information.

7. Crime Threshold Test INDICATE, WITH REASONS, WHY THE CRIME THRESHOLD TEST IS MET (Where relevant, list offences being investigated and their respective maximum penalties. If this test is not met, authorisation must not be granted.)

8. Applicant's Details			
Name (Print)		Tel No	
Grade/Rank		Date	
Signature			

9. Review Officer's Comments, including whether or not the directed surveillance should continue.
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10. Authorising Officer's Statement.

I, [insert name], hereby agree that the directed surveillance investigation/operation as detailed above [should/should not] continue [until its next review/renewal][it should be cancelled immediately].

Name (Print)	Grade / Rank
Signature	Date

11. Date of next review.	
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Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act 2000

Renewal of a Directed Surveillance Authorisation

Public Authority <i>(including full address)</i>	
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Name of Applicant		Unit/Branch /Division	
Full Address			
Contact Details			
Investigation/Operation Name (if applicable)			
Renewal Number			

Details of renewal:

1. Renewal numbers and dates of any previous renewals.	
Renewal Number	Date

2. Detail any significant changes to the information as listed in the original authorisation as it applies at the time of the renewal.

--

3. Detail the reasons why it is necessary to continue with the directed surveillance.

--

4. Detail why the directed surveillance is still proportionate to what it seeks to achieve.

--

5. Indicate the content and value to the investigation or operation of the information so far obtained by the directed surveillance.

--

6. Give details of the results of the regular reviews of the investigation or operation.

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7. Crime Threshold Test INDICATE, WITH REASONS, WHY THE CRIME THRESHOLD TEST IS MET (Where relevant, list offences being investigated and their respective maximum penalties. If this test is not met, authorisation must not be granted.)

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8. Applicant's Details			
Name (Print)		Tel No	
Grade/Rank		Date	
Signature			

9. Authorising Officer's Comments. <u>This box must be completed.</u>

10. Authorising Officer's Statement.			
<p>I, [insert name], hereby authorise the renewal of the directed surveillance operation as detailed above. The renewal of this authorisation will last for 3 months unless renewed in writing.</p> <p>This authorisation will be reviewed frequently to assess the need for the authorisation to continue.</p>			
Name (Print)	Grade / Rank
Signature	Date
Renewal From:	Time:	Date:	

Date of first review.	
Date of subsequent reviews of this authorisation.	

Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act 2000

Cancellation of a Directed Surveillance authorisation

Public Authority <i>(including full address)</i>	
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Name of Applicant		Unit/Branch /Division	
Full Address			
Contact Details			
Investigation/Operation Name (if applicable)			

Details of cancellation:

1. Explain the reason(s) for the cancellation of the authorisation:
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2. Explain the value of surveillance in the operation:

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3. Authorising officer's statement.
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I, [insert name], hereby authorise the cancellation of the directed surveillance investigation/operation as detailed above.

Name (Print)	_____	Grade	_____
Signature	_____	Date	_____

4. Time and Date of when the authorising officer instructed the surveillance to cease.

Date:		Time:	
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5. Authorisation cancelled.	Date:	Time:
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APPENDIX 5

INTERNAL FORMS: CHIS

The following forms are included in this Appendix:

- Application for **authorisation** of the conduct or use of a CHIS
- **Review** of a CHIS authorisation
- Application for **renewal** of a CHIS authorisation
- Cancellation of an authorisation for the use or conduct of a CHIS

These forms all relate to the Council's *internal* authorisations. See Appendix 7 for the correct form when seeking *judicial approval* of authorisations/renewals.

Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act (RIPA) 2000

Application for authorisation of the conduct or use of a Covert Human Intelligence Source (CHIS)

Public Authority <i>(including full address)</i>			
Name of Applicant		Service/Department /Branch	
How will the source be referred to (i.e. what will be his/her pseudonym or reference number)?			
What is the name, rank or position of the person within the relevant investigating authority who will have day to day responsibility for dealing with the source, including the source's security and welfare (often referred to as the Handler)?			
What is the name, rank or position of another person within the relevant investigating authority who will have general oversight of the use made of the source (often referred to as the Controller)?			
Who will be responsible for retaining (in secure, strictly controlled conditions, with need-to-know access) the source's true identity, a record of the use made of the source and the particulars required under RIP (Source Records) Regulations 2000 (SI 2000/2725)?			
Investigation/Operation Name (if applicable)			

DETAILS OF APPLICATION

1. Give rank or position of authorising officer in accordance with the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 No. 521. ² Where appropriate throughout amend references to the Order relevant to your authority.

2. Describe the purpose of the specific operation or investigation.

3. Describe in detail the purpose for which the source will be tasked or used.

4. Describe in detail the proposed covert conduct of the source or how the source is to be used.

5. Identify on which grounds the conduct or the use of the source is necessary under Section 29(3) of RIPA. Delete those that are inapplicable. Ensure that you know which of these grounds you are entitled to rely on (eg. SI 2010 No.521).

- ~~• In the interests of national security;~~
- For the purpose of preventing or detecting crime or of preventing disorder;
- ~~• In the interests of the economic well-being of the United Kingdom;~~
- ~~• In the interests of public safety;~~

² For local authorities: The formal position of the authorising officer should be given. For example, Head of Trading Standards.

- ~~for the purpose of protecting public health;~~
- ~~for the purpose of assessing or collecting any tax, duty, levy or other imposition, contribution or charge payable to a government department.~~

6. Explain why this conduct or use of the source is necessary on the grounds you have identified [Code paragraph 3.2].

7. Supply details of any potential collateral intrusion and why the intrusion is unavoidable. [Bear in mind Code paragraphs 3.8 to 3.11.]

Describe precautions you will take to minimise collateral intrusion and how any will be managed.

8. Are there any particular sensitivities in the local community where the source is to be used? Are similar activities being undertaken by other public authorities that could impact on the deployment of the source (see Code paragraphs 3.17 to 3.18)?

9. Provide an assessment of the risk to the source in carrying out the proposed conduct (see Code paragraph 6.14).

10. Explain why this conduct or use of the source is proportionate to what it seeks to achieve.

How intrusive might it be on the subject(s) of surveillance or on others? How is this intrusion outweighed by the need for a source in operational terms, and could the evidence be obtained by any other means [Code paragraphs 3.3 to 3.5]?

11. Confidential information [Code paragraphs 4.1 to 4.21]

Indicate the likelihood of acquiring any confidential information.

References for any other linked authorisations:

12. Applicant's Details.

Name (print)		Grade/Rank/Position	
Signature		Tel No:	
Date			

13. Authorising Officer's Statement. [Spell out the "5 Ws" – Who; What; Where; When; Why and HOW – in this and the following box.] THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE, NOT THE TRUE IDENTITY.

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**14. Explain why you believe the conduct or use of the source is necessary [Code paragraph 3.2]
Explain why you believe the conduct or use of the source to be proportionate to what is sought to be achieved by their engagement [Code paragraphs 3.3 to 3.5].**

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15. Confidential Information Authorisation. Supply details demonstrating compliance with Code paragraphs 4.1 to 4.21

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16. Date of first review:	
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**17. Programme for subsequent reviews of this authorisation [Code paragraphs 5.15 and 5.16].
Only complete this box if review dates after first review are known. If not, or inappropriate to set additional review dates, then leave blank.**

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18. Authorising Officer's Details

Name (Print)		Grade/Rank/Position	
Signature		Time and date granted* Time and date authorisation ends	

** Remember, an authorisation must be granted for a 12 month period, i.e. 1700 hrs 4th June 2006 to 2359hrs 3 June 2007*

19. Urgent Authorisation [Code paragraphs 5.13 and 5.14]: Authorising Officer: explain why you considered the case so urgent that an oral instead of a written authorisation was given.

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20. If you are entitled to act only in urgent cases: explain why it was not reasonably practicable for the application to be considered by a fully designated Authorising Officer

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21. Authorising Officer of urgent authorisation

Name (Print)		Grade/Rank/Position	
Signature		Date and Time	
Urgent authorisation expiry date:		Expiry time:	

Remember the 72 hour rule for urgent authorisations – check Code of Practice [Code Paragraph 5.14]. e.g. authorisation granted at 1700 on 1st June 2006 expires 1659 on 4th June 2006

Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act (RIPA) 2000

Review of a Covert Human Intelligence Source (CHIS) Authorisation

Public Authority <i>(including full address)</i>	
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Applicant		Unit/Branch	
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Full Address			
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Contact Details			
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Pseudonym or reference number of source			
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Operation Name		Operation Number * <small>*Filing Ref</small>	
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Date of authorisation or last renewal		Expiry date of authorisation or last renewal	
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Review Number	
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Details of review:

11. Review number and dates of any previous reviews.	
Review Number	<u>Date</u>

12. Summary of the investigation/operation to date, including what information has been obtained and the value of the information so far obtained.

13. Detail the reasons why it is necessary to continue using a Covert Human Intelligence Source.

14. Explain how the proposed activity is still proportionate to what it seeks to achieve.

15. Detail any incidents of collateral intrusion and the likelihood of any further incidents of collateral intrusions occurring.

16. Give details of any confidential information acquired or accessed and the likelihood of acquiring confidential information.

17. Give details of the review of the risk assessment on the security and welfare of using the source.

18. Applicant's Details			
Name (Print)		Tel No	
Grade/Rank		Date	
Signature			

19. Review Officer's Comments, including whether or not the use or conduct of the source should continue.

10. Authorising Officer's Statement. THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE, NOT THE TRUE IDENTITY.						
<table style="width: 100%; border: none;"> <tr> <td style="width: 35%;">Name (Print)</td> <td style="width: 30%; text-align: center;">.....</td> <td style="width: 35%;">Grade / Rank</td> </tr> <tr> <td>Signature</td> <td style="text-align: center;">.....</td> <td>Date</td> </tr> </table>	Name (Print)	Grade / Rank	Signature	Date
Name (Print)	Grade / Rank				
Signature	Date				

Date of next review:	
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Unique Reference Number	
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Part II of the Regulation of Investigatory Powers Act (RIPA) 2000

Application for renewal of a Covert Human Intelligence Source (CHIS) Authorisation

(Please attach the original authorisation)

Public Authority <i>(including full address)</i>	
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Name of Applicant		Unit/Branch	
Full Address			
Contact Details			
Pseudonym or reference number of source			
Investigation/Operation Name (if applicable)			
Renewal Number			

Details of renewal:

20. Renewal numbers and dates of any previous renewals.	
Renewal Number	<u>Date</u>

21. Detail any significant changes to the information as listed in the original authorisation as it applies at the time of the renewal.
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22. Detail why it is necessary to continue with the authorisation, including details of any tasking given to the source.

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23. Detail why the use or conduct of the source is still proportionate to what it seeks to achieve.

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24. Detail the use made of the source in the period since the grant of authorisation or, as the case may be, latest renewal of the authorisation.

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25. List the tasks given to the source during that period and the information obtained from the conduct or use of the source.

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26. Detail the results of regular reviews of the use of the source.

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27. Give details of the review of the risk assessment on the security and welfare of using the source.

28. Applicant's Details			
Name (Print)		Tel No	
Grade/Rank		Date	
Signature			

29. Authorising Officer's Comments. <u>This box must be completed.</u>

30. Authorising Officer's Statement. THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE NOT THE TRUE IDENTITY.		
Name (Print)	Grade / Rank
Signature		Date
Renewal From:	Time:	Date:
		End date/time of the authorisation

NB. Renewal takes effect at the time/date of the original authorisation would have ceased but for the renewal

Date of first review:	
Date of subsequent reviews of this authorisation:	

Unique Reference Number	
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**Part II of the Regulation of Investigatory Powers
Act (RIPA) 2000**

**Cancellation of an authorisation for the use or conduct of a
Covert Human Intelligence Source**

Public Authority <i>(including full address)</i>	
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Name of Applicant		Unit/Branch	
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Full Address	
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Contact Details	
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Pseudonym or reference number of source	
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Investigation/Operation Name (if applicable)	
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Details of cancellation:

6. Explain the reason(s) for the cancellation of the authorisation:
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7. Explain the value of the source in the operation:

Empty rectangular box at the top of the page.

8. Authorising officer's statement. THIS SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE NOT THE TRUE IDENTITY.

Empty rectangular box for the authorising officer's statement.

Name (Print)	_____	Grade	_____
Signature	_____	Date	_____

9. Time and Date of when the authorising officer instructed the use of the source to cease.

Date:		Time:	
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APPENDIX 6

JUDICIAL APPROVAL FORM: DIRECTED SURVEILLANCE & CHIS

The following forms are included in this Appendix:

- Application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 sections 23A, 23B, 32A, 32B.

This form should be used for seeking *judicial approval* of Council authorisations and renewals. See Appendices 5 & 6 for the forms to use for the Council's *internal* authorisations etc.

Application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 sections 23A, 23B, 32A, 32B.

Local authority:.....
.....

Local authority department:.....

Offence under investigation:.....

Address of premises or identity of subject:.....
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.....

Covert technique requested: (tick one and specify details)

- Communications Data
- Covert Human Intelligence Source
- Directed Surveillance

Summary of details
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Note: this application should be read in conjunction with the attached RIPA authorisation/RIPA application or notice.

Investigating Officer:.....

Authorising Officer/Designated Person:.....

Officer(s) appearing before JP:.....

Address of applicant department:.....

.....
.....
Contact telephone
number:.....
Contact email address
(optional):.....
Local authority
reference:.....
Number of
pages:.....
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Order made on an application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 sections 23A, 23B, 32A, 32B.

Magistrates' court:.....

Having considered the application, I (tick one):

- am satisfied that there are reasonable grounds for believing that the requirements of the Act were satisfied and remain satisfied, and that the relevant conditions are satisfied and I therefore approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal and quash the authorisation/notice.

Notes

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Reasons

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Signed:

Date:

Time:

Full name:

Address of magistrates' court: