

**COVERT SURVEILLANCE**

**COUNCIL PROCEDURES**

September 2017

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## **Section 1 – Introduction**

1. Local Authorities powers to conduct covert surveillance come from the provisions of the Local Government Act 1972. The main restrictions on the use of those powers can be found in the Human Rights Act 1998, and in particular Article 8 of the European Convention on Human Rights (The right to respect for a person’s private and family life).
2. The Regulation of Investigatory Powers Act 2000 (RIPA) (as amended) regulates covert investigations by a number of bodies, including local authorities. It was introduced to ensure that individuals’ rights are protected whilst also ensuring that law enforcement and security agencies can still exercise the powers they need to do their job effectively. The Act only applies to covert surveillance carried out by a local authority for the purposes of investigating qualifying criminal offences.
3. Covert surveillance carried out for reasons other than the investigation of qualifying criminal offences falls outside the scope of RIPA. Such surveillance can still be lawful, but extra care is needed to ensure such surveillance does not breach an individual’s Human Rights. The purpose of this document is to set out the circumstances where RIPA applies, and the procedures to be followed when conducting covert surveillance
4. Regard has been had to the Codes of Practice issued by the Home Office, and Guidance and Practice notes issued by the Office of the Surveillance Commissioner (OSC) in preparing these procedures.
5. Subject to the provisions of Section 6 of this document, any covert surveillance activity carried out by or on behalf of the Council **MUST** be authorised one of the properly trained Authorising Officers listed in Appendix 1, and dealt with in accordance with Sections 5 or 10 of this document.
6. Individual Investigating Officers and Authorising Officers should familiarise themselves with this procedure document, the Codes of Practice issued by the Home Office, and such Guidance as is issued by the OSC from time to time.
7. Deciding when an authorisation is required is a question of judgement. However, if an investigating officer is in any doubt, he/she should immediately seek legal advice. **As a basic rule however, it is always safer to seek the appropriate authorisation.**
8. The Senior Officer within the Council with strategic responsibility for RIPA issues is Linda Rees-Jones, Head of Administration & Law.
9. The ‘Gate-keeping’ Officer, with responsibility for vetting all RIPA applications and maintaining the Central register is Robert Edgecombe, Legal Services Manager.
10. The elected member responsible for reviewing the authority’s use of RIPA and setting the authority’s RIPA policy each year is Councillor P.M. Hughes.
11. **ALL OFFICERS MUST NOTE THAT THE COUNCIL MAY ONLY AUTHORISE COVERT SURVEILLANCE UNDER THE REGULATION OF INVESTIGATORY POWERS ACT FOR THE PURPOSE OF PREVENTING OR DETECTING A CRIMINAL OFFENCE PUNISHABLE BY AT LEAST 6 MONTHS IMPRISONMENT.**
12. **THE ONLY EXCEPTION TO THIS IS FOR TEST PURCHASING OPERATIONS IN RELATION TO THE SALE OF ALCOHOL OR CIGARETTES TO CHILDREN.**

## **SECTION 2 - BENEFITS OF OBTAINING AUTHORISATION UNDER RIPA**

1. RIPA states that where an authorisation is obtained, and the covert surveillance activity is conducted in accordance with that authorisation, then the activity will be lawful for all purposes.
2. Where an authorisation is not obtained, there is a risk that any evidence obtained as a result could be ruled as inadmissible in subsequent legal proceedings.
3. Furthermore, unauthorised covert surveillance activity is more likely to result in a breach of an individual's human rights, leading to a compensation claim against the Council.

## **SECTION 3 - DIRECTED SURVEILLANCE**

1. Directed Surveillance includes;
  - The monitoring, observing or listening to persons, their movements, their conversations or their other activities or communication.
  - The recording of anything so monitored observed or listened to in the course of surveillance.
  - The surveillance by or with the assistance of a surveillance device.
2. Directed Surveillance does NOT occur where covert recording of suspected noise nuisance takes place and the recording device is calibrated to record only excessive noise levels.
3. Surveillance is 'Directed' for the purposes of RIPA if it is covert (but not intrusive) and is undertaken;
  - For the purposes of a specific investigation into a criminal offence punishable by a 6 month custodial sentence.
  - 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
  - Otherwise than by 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.

## **OFFICERS SHOULD NOTE THAT THE SURVEILLANCE OF AN INDIVIDUAL'S ACTIVITIES AND/OR CONVERSATIONS IN A PUBLIC PLACE MAY STILL AMOUNT TO THE OBTAINING OF PRIVATE INFORMATION**

4. Surveillance is 'covert' if it is carried out in a manner calculated to ensure that the target is unaware it is or may be taking place. Therefore surveillance of an individual using city centre CCTV cameras could still require RIPA authorisations if the cameras are targeted on that individual and he/she is unaware that they are being watched.

5. Covert surveillance becomes 'intrusive' if;

- It 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 on the premises/vehicle, or
- Is carried out by means of a surveillance device in relation to anything taking place on any residential premises or in any private vehicle but is carried out without that device being on the premises or vehicle, where the device is such that it consistently provides information of the same quality and detail as might be expected to be obtained from a device actually present on the premises or vehicle.

**THE COUNCIL HAS NO POWER TO AUTHORISE INTRUSIVE SURVEILLANCE UNDER THE ACT. IF INVESTIGATING OFFICERS HAVE ANY CONCERNS REGARDING THIS THEY SHOULD IMMEDIATELY SEEK LEGAL ADVICE.**

6. Surveillance is for the purposes of a specific investigation or operation if it is targeted in a pre-planned way at an individual or group of individuals, or a particular location or series of locations.
7. Surveillance will not require authorisation if it is by way of an immediate response to an event or circumstances where it is not reasonably practicable to get an authorisation.

**SECTION 4 - COVERT HUMAN INTELLIGENCE SOURCES (CHIS)**

1. A person is a CHIS if;

- He/she establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within the paragraphs immediately below.
- He/she covertly uses such a relationship to obtain information or provide access to any information to another person, or
- He/she covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

2. A purpose is covert in this context if the relationship is conducted in a manner that is calculated to ensure that one of the parties is unaware of that purpose.

3. Council policy is to treat all such activities as being in need of authorisation whether or not the information sought is private information.

4. When considering whether to make use of CHIS, investigating officers ***MUST*** consult with the gate-keeping officer before taking any action, in order to ensure that the relevant Home Office Code of Practice is complied with. Where use is made of CHIS, his/her designated handler must be a properly trained officer, who may not necessarily be based within the same department/section as the investigating officer.

**ONLY THE CHIEF EXECUTIVE MAY AUTHORISE THE USE OF A JUVENILE CHIS.**

## **SECTION 5 - AUTHORISATION PROCESS**

1. Applications must be in writing, using the standard forms
2. Although it is possible to combine two or more applications in the same form, this practice is generally to be avoided. One situation where it may be appropriate is during a covert test purchase exercise involving more than one premise. In such cases investigating officers should contact the gate-keeping officer to discuss the operation before completing the forms.
3. The application form must set out in detail:
  - (a) What information it is hoped the surveillance will obtain
  - (b) Why that information is essential to the investigation
  - (c) What steps have already been taken to obtain that information

A sample application is attached to this document at Appendix 3

4. Once the appropriate application forms are completed, they should be submitted by email to the gate-keeping officer.
5. The gate-keeping officer will then vet the application, enter it onto the Central Register and allocate a unique central reference number.
6. The gate-keeping officer may recommend changes to the application, or agree to it being submitted unaltered to a designated authorising officer.
7. Where an application must be authorised by the Chief Executive (ie in cases of a juvenile CHIS or confidential information), the gate-keeping officer will arrange a meeting between the investigating officer, gate-keeping officer and Chief Executive.
8. In all other cases the investigating officer shall arrange to meet one of the authorising officers to discuss the application.
9. When determining whether or not to grant an authorisation, Authorising Officers must have regard to;
  - Whether what is proposed is necessary for preventing/detecting criminal offences that meet the requirements in Section 1 paragraphs 11 and 12 above.
  - Whether what is proposed is proportionate to the aim of the action
  - Whether the proposed action is likely to result in collateral intrusion into the private lives of third parties, and if it is, whether all reasonable steps are being taken to minimise that risk.
  - In the case of applications to authorise the use of a CHIS, whether all the requirements of the Code of Practice relating to the authorisation of a CHIS issued by the Home Office are complied with.
10. If an application is refused, the reasons for refusal shall be endorsed on the application
11. If an application is granted, the authorising officer must specify;
  - The scope of the authorisation
  - The duration of the authorisation
  - The date (not more than 28 days) for review of the authorisation.

12. Irrespective of the outcome of the application, the investigating officer must immediately forward a copy of the authorisation or refused application, to the gate-keeping officer, who will make the appropriate entries in the Central Register, and place the copy application or authorisation in the Central Record.
13. The gate – keeping officer will then arrange for an application to be made to the Magistrates Court for the judicial approval of the authorisation.

**ALL OFFICERS MUST NOTE THAT THE AUTHORISATION WILL NOT TAKE EFFECT UNTIL IT HAS BEEN JUDICIALLY APPROVED.**

14. If, upon initial review of the authorisation, the authorising officer determines that it should remain in effect, reviews must take place every 28 days during the life of the authorisation. The investigating officer must keep a record the results of any review and communicate them to the gate-keeping officer for entry in the Central Register.
15. Once an authorising officer determines that an authorisation is no longer necessary it must be cancelled immediately.
16. Once the operation to which the authorisation relates is concluded, or the activity authorised ceases, then the investigating officer must immediately meet the authorising officer to cancel the authorisation.
17. Whenever an authorisation is cancelled, the authorising officer must endorse the cancellation with his/her views as to the value of the authorised activity.
18. Whenever an authorisation is cancelled, a copy of that cancellation must be sent to the gate-keeping officer for it to be placed in the Central Record, and appropriate entries to be made in the Central Register.
19. Unless previously cancelled, an authorisation will last as follows;
  - Written authorisation for Directed Surveillance – **3 months**
  - Written authorisation for use of a CHIS – **12 months**
20. If shortly before an authorisation ceases to have effect, the authorising officer is satisfied that the grounds for renewing the authorisation are met, then he/she may renew the authorisation. *(Before renewing an authorisation, authorising officers must have regard to the appropriate sections of the relevant code of practice issued by the Home Office)*
21. An authorisation may be renewed for;
  - In the case of a written renewal of a Directed Surveillance authorisation - **3 Months**.
  - In the case of a written renewal of a CHIS authorisation – **12 months**.
22. An authorisation may be renewed more than once.
23. Applications for renewal of an authorisation must record all matters required by the relevant Code of Practice issued by the Home Office

24. Where an authorisation is renewed, it must continue to be reviewed in accordance with the requirements set out above.
25. Where an authorisation is renewed, a copy of the renewal must be sent to the gate-keeping officer and placed in the Central Record and appropriate entries made in the Central Register.
26. The gate-keeping officer will then arrange for an application to be made to the local magistrates' court for the judicial approval of the renewal.

**ALL OFFICERS MUST NOTE THAT THE RENEWAL WILL NOT TAKE EFFECT UNTIL IT HAS BEEN JUDICIALLY APPROVED.**

**WHERE AN APPLICATION IS GRANTED OR RENEWED THE INVESTIGATING OFFICER MUST ENSURE THAT ALL OFFICERS TAKING PART IN THE COVERT SURVEILLANCE ACTIVITY HAVE AN OPPORTUNITY TO READ THE AUTHORISATION AND FAMILIARISE THEMSELVES WITH ITS TERMS AND RESTRICTIONS BEFORE THE OPERATION COMMENCES.**

#### **SECTION 6 - COVERT SURVEILLANCE AUTHORISED OUTSIDE RIPA**

1. Certain instances of covert surveillance that may be carried out by public authorities are incapable of being authorised under RIPA. Examples of these include;
  - The investigation of criminal offences punishable by less than 6 months imprisonment.
  - The investigation of general disorder or anti-social behaviour.
  - Surveillance carried out as part of a planning investigation prior to issuing an enforcement notice
  - Surveillance carried out as part of a public health investigation prior to issuing an abatement notice.
  - Surveillance carried out as part of an internal disciplinary, child protection or POVA investigation.
  - Surveillance carried out in support of the defence of a personal injury claim
  - The use of surveillance devices to monitor a person living in a residential care setting where it is considered to be in their 'best interests' to do so.
2. None of these examples can be authorised as directed surveillance under RIPA, although all are capable of being justifiable cases of interference with an individual's human rights on the grounds that they are necessary in a democratic society in the interests of public safety, the economic well-being of the country, for the protection of health or morals or for the protection of rights and freedoms of others. In these cases, although the authority cannot rely upon RIPA to authorise surveillance, such surveillance can still be carried out provided steps are undertaken to ensure any interference with an individual's human rights complies with the requirements set out in Article 8 of the European Convention on Human rights..
3. Wherever an officer wishes to consider carrying out directed surveillance, which cannot be justified on the grounds in RIPA, but which may fall within the scope of paragraphs 1 and 2 above, he/she must contact the gate-keeping officer for advice.

4. Where it is considered that the proposed surveillance activity could be justifiable under paragraph 2 above, the officer will submit a written request to the gate-keeping officer. This request must be accompanied by a detailed Privacy Impact Assessment. The Gate-Keeping officer will vet the application, enter it into the Central Register and consult with the Council's Head of Administration and Law/Monitoring Officer before advising further.
5. **NO SURVEILLANCE ACTIVITY OF THE SORT OUTLINED IN PARAGRAPH 1 ABOVE MAY TAKE PLACE UNLESS IT HAS BEEN EXPRESSLY APPROVED IN WRITING BY THE HEAD OF ADMINISTRATION AND LAW OR HER APPOINTED DEPUTY OR BY A COURT ORDER.**

#### **SECTION 7 - CONFIDENTIAL MATERIAL**

1. Confidential material such as personal medical or spiritual information, confidential journalistic information or information subject to legal privilege is particularly sensitive and is subject to additional safeguards.
2. In cases where such information may be obtained, an investigator must seek immediate legal advice.
3. **Only the Chief Executive may authorise surveillance activity which may result in confidential information being obtained.**
4. Any application for an authorisation, which is likely to result in the acquisition of confidential material MUST include an assessment of how likely it is that confidential material will be acquired.
5. Special care should be taken where the target of the investigation is likely to be involved in handling confidential material. Such applications should only be considered in exceptional and compelling circumstances and with full regard to the proportionality issues this raises.
6. The following general principles apply to confidential material acquired under such authorisations;
  - Officers handling material from such operations should be alert to anything that may fall within the definition of confidential material. Where there is any doubt, immediate legal advice should be sought.
  - Confidential material should not be retained or copied unless it is necessary for a specified purpose.
  - Confidential material should only be disseminated, after legal advice has been sought, where it is necessary for a specified purpose.
  - The retention and/or dissemination of confidential material should be accompanied by a clear warning of its confidential nature.
  - Confidential material should be destroyed as soon as it is no longer necessary to retain it for a specified purpose.

## **SECTION 8 - JOINT OPERATIONS**

1. Where officers are engaged in operations with other public authorities, any covert activity must be authorised either in accordance with this document, or by an appropriate officer employed by the other authority.
2. Officers should always ensure that when operating under an authorisation issued by another authority, that the authorising officer has the power to issue that authorisation, and that the authorisation covers the scope of the proposed activity.
3. Officers are advised to request a copy of the relevant authorisation, or at least obtain a written note of the scope, duration and conditions of the authorised activity.
4. Officers should also have regard to any other protocols specifically dealing with joint operations.

## **SECTION 9 – COMMUNICATIONS DATA**

1. Local authorities have no power to covertly intercept communications between third parties such as letters, text messages and telephone calls.
2. However, local authorities do have the power to give notice or seek authorisation to obtain certain types of postal and communications data such as who a particular telephone number is registered to or whether someone has asked for their mail to be diverted to another address.
3. The process for seeking such authorisations is set out in paragraphs 3.85 to 3.87 of the Code of Practice for the Acquisition and Disclosure of Communications Data published by the Home Office.
4. In summary, this process is similar to that for the authorisation of Directed Surveillance but, prior to sending an application to the authorising officer (known as a ‘designated person’ for the purposes of communications data) it must first be sent to the National Anti-Fraud Network (NAFN) to be scrutinised and approved.
5. If an application is approved by NAFN it must still be authorised by an authorising officer/designated person and judicial approval sought from the Magistrates Court in the usual way before any communications data is acquired.
6. For the purposes of Chapter 2 of Part 1 of the Regulation of Investigatory Powers Act 2000 the authorising officers identified in Appendix 1 below are also appointed as designated persons for the purposes of authorising the acquisition of communications data **save that such an officer must not give a notice or grant an authorisation in relation to an investigation in which they are directly involved.**
7. **Officers wishing to acquire communications data under this procedure should discuss their plans with the the ‘Gate-Keeping’ officer before approaching NAFN.**

## **SECTION 10 - HANDLING & DISCLOSURE OF PRODUCT**

1. Officers are reminded of the rules relating to the retention and destruction of confidential material set out in section 7 above.
2. Authorising Officers must ensure compliance with the appropriate data protection requirements and the relevant codes of practice in the handling and storage of material.
3. Where material is obtained by surveillance, which is wholly unrelated to a criminal or other investigation or to any person who is the subject of such an investigation, and there is no reason to believe it will be relevant to future criminal or civil proceedings, it should be destroyed immediately.
4. Consideration as to whether or not unrelated material should be destroyed is the responsibility of the Authorising Officer.
5. RIPA does not prevent material properly obtained in one investigation being used in another investigation. **However, the use of any covertly obtained material for purposes other than that for which the surveillance was authorised should only be sanctioned in exceptional cases and only after seeking legal advice.**

## **SECTION 11 - USE OF SURVEILLANCE DEVICES**

1. Surveillance devices include, static and mobile CCTV cameras, covert surveillance cameras, noise monitoring/recording devices, and any other mechanical and/or recording devices used for surveillance purposes.
2. Static CCTV cameras include 'Town Centre' cameras operated from Police Stations under the control of Council staff, as well as fixed security cameras located in council buildings.
3. Fixed security cameras, which are incapable of being remotely controlled, do not require RIPA authorisation ***provided*** their existence and purpose is made clear to the public through appropriate signage.
4. 'Town Centre' and mobile CCTV cameras will not ordinarily require authorisation where their existence and use is also made clear by signage. However, where camera operators are requested to control the cameras so as to target specific individuals or locations, then the following rules apply;
  - Where the request is made by way of an immediate response to an incident or intelligence received, no authorisation is required, subject to the requirements below.
  - Where a request is made in accordance with the paragraph above and the surveillance lasts, or is likely to last for 30minutes or more, authorisation must be obtained.
  - Where the request is made as part of a pre-planned operation or investigation, authorisation must be obtained.
5. Camera operators should normally refuse to comply with any requests for surveillance activity unless they are satisfied;
  - That an authorisation is unnecessary, or

- That an authorisation has been obtained and the scope, duration and limitations of the permitted activity have been confirmed in writing.
6. It is recognised that many departments maintain conventional cameras and mobile phone cameras for use by staff on a regular basis. Staff must be reminded;
    - That the covert use of such cameras (ie where the ‘target’ is not aware that he/she is being photographed) may require authorisation.
    - As a general rule, unless the photograph is being taken as an immediate response to an unexpected incident, authorisation should be sought.
  7. Use of noise monitoring/recording equipment may also require authorisation, where the equipment records actual noise, as opposed to just noise levels. Much will depend upon what noise it is intended, or likely, to record.
  8. Where a target is made aware in writing that noise monitoring will be taking place, then authorisation is not required.

## **SECTION 12 – COVERT SURVEILLANCE OF SOCIAL NETWORKING SITES**

1. Care must be taken when using or monitoring a social networking site for work purposes. Even though a site may seem to be an open source of publically available information, the author may have expectations of privacy, especially if they apply at least some access controls.
2. The use of a false identity on a social networking site for this purpose is permissible, but is likely to require authorisation under the terms of this document.
3. If the monitoring of a social networking site is proposed which involves getting past access or privacy controls without the author of the site knowing that it is a public authority that is trying to gain access, then it is likely that covert surveillance is taking place which interferes with that persons human rights and authorisation will be required.
4. Any use of a Social Networking site for these purposes must also comply with Council policies on Internet and Social Media Usage. Links to these policies can be found in Appendix 2

## **SECTION 13 - CODES OF PRACTICE**

1. The Home Office has issued Codes of Practice relating both to Directed Surveillance and the use of CHIS. Copies of these codes are available via the Home Office, or Office of the Surveillance Commissioner (OSC) websites, or can be obtained from the gate-keeping officer.
2. Whilst these codes do not have the force of law, they represent best practice, and adherence to them will give the authority a better chance of opposing any allegation that RIPA and/or the Human Rights Act has been breached.
3. Investigating and Authorising Officers should ensure that when dealing with applications, regard is had to these codes.
4. The Office of the Surveillance Commissioner has also publishes useful guidance, copies of which can be obtained from his website or the gate-keeping officer.

## **SECTION 14 - SCRUNTINY AND TRIBUNAL**

The council will be subject to an inspection by an OSC inspector roughly every 2 years. The inspector will;

- Examine the Central Register
- Examine authorisations, renewals and cancellations
- Question officers regarding their implementation of the legislation.
- Report to the Chief Executive regarding his/her findings

A Tribunal has also been set up to deal with complaints made under RIPA. The tribunal may quash or cancel any authorisation and order the destruction of any record or information obtained as a result of such an authorisation.

Courts and Tribunals may exclude evidence obtained in breach of an individual's human rights. Failure to follow the procedures set out in this document increases the risk of this happening.

This document will be kept under annual review by the relevant Executive Board Member, who will also receive regular reports as to its implementation.

## **APPENDIX 1 – List of Authorising Officers Under the Regulation of Investigating Powers Act**

Name	Post
Mark James	Chief Executive
Ainsley Williams	Head of Waste and Environmental Services
Roger Edmunds	Trading Standards Services Manager
Sue E Watts	Public Health Services Manager

## **APPENDIX 2 – Use Of Social Media Sites**

Email Usage and Monitoring Policy:-

<http://intranet/media/491190/email-usage-and-monitoring-policy-v21.pdf>

Internet Usage and Monitoring Policy:-

<http://intranet/media/496059/internet-usage-and-monitoring-policy-v20.pdf>

Use of Social Media Guidance:-

<http://intranet/media/325848/use-of-social-media-guidance.pdf>

## APPENDIX 3 – Mock Application

Unique Reference Number

### Part II of the Regulation of Investigatory Powers Act 2000

#### Authorisation Directed Surveillance

<b>Public Authority</b> <i>(including full address)</i>	Carmarthenshire County Council County Hall Carmarthen, SA31 1JP		
<b>Name of Applicant</b>	A N Other	<b>Unit/Branch /Division</b>	Fraud Investigation Team
<b>Full Address</b>	County Hall Carmarthen SA31 1JP		
<b>Contact Details</b>	Telephone : 01267 224xxx  Email: ANOther@carmarthenshire.gov.uk		
<b>Investigation/Operation Name (if applicable)</b>	Mr Davies		
<b>Investigating Officer (if a person other than the applicant)</b>			

DETAILS OF APPLICATION	
<b>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. <sup>1</sup></b>	
<b>2 Describe the purpose of the specific operation or investigation.</b>	
<p>The purpose of the investigation is to gather evidence of alleged offences under section 111 of the Social Security Administration Act 1992 and the Fraud Act which it is believed are being committed by Mr Davies. In particular the purpose of the proposed surveillance operation is to gather evidence to show that Mr Davies is residing with a Mrs Jones at no.82 High Street.</p>	
<b>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.</b>	
<p>The surveillance will take the following form;</p> <ol style="list-style-type: none"> <li>1. Direct observation by between 1 and 4 officers located in 1 or 2 unmarked vehicles parked in High Street on week day mornings</li> <li>2. Surveillance will take place between 08.00 and 09.00 each day or until Mr Davies is seen leaving the property, upon which surveillance will cease.</li> <li>3. The officers engaged in the surveillance will record any observations in written surveillance logs and will not make use of any cameras or other surveillance or recording devices.</li> <li>4. Officers will not follow the target after he has left the premises.</li> </ol>	
<b>4 The identities, where known, of those to be subject of the directed surveillance.</b>	
<ul style="list-style-type: none"> <li>• Name: Mr A Davies</li> <li>• Address:82 High Street</li> <li>• DOB:</li> <li>• Other information as appropriate:</li> </ul>	

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

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

1. Whether Mr Davies leaves the target property for work each day
2. Whether his vehicle is at the property each weekday morning

**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**

- For the purpose of preventing or detecting crime or of preventing disorder

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

Information has been received from another Council department that Mr Davies is residing at the target address with Mrs Jones. If this information is correct the Mr Davies (and possibly Mrs Jones) is likely to have committed fraud in respect of a variety of applications and claims submitted to the Council, all of which have resulted in substantial sums of money being paid to Mr Davies over a number of years.

To date investigating officers have taken the following steps to obtain the required information;

- (a) Searched council records for information suggesting Mr Davies lives at the target address and that Mr Davies and Mrs Jones are cohabiting
- (b) Searched DVLA records which show a vehicle registered in Mr Davies's name at the target address
- (c) Undertaken a credit search which shows Mr Davies has obtained credit on the basis he lives at the target address
- (d) Checked marriage records, which show that Mr Davies and Mrs Jones married in 2012
- (e) Mr Davies is the father of Mrs Jones daughter, born in 2014.

However this information is insufficient to prove that Mr Davies lives at the target address to the criminal standard of proof. Without further evidence that he is actually living at the property it will not be possible to progress the case further.

**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.**

Officers conducting the surveillance will be instructed not to record anything in the surveillance logs which does not directly relate to the actions of Mr Davies. Any references to Mrs Jones and/or her daughter are to be kept to solely those which relate to their interaction with Mr Davies.

Officers should not record the activities of any other persons unless it is appropriate to do so as evidence of the commission of a crime by that person

**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]?**

Steps taken to date as outlined in box 7 above do not provide sufficient evidence to progress this investigation to conclusion. Without the additional information it is hoped to obtain by surveillance, the investigation will have to be abandoned.

The degree of intrusion into Mr Davies's family life is minimal. Only activities which can take place in full public view (i.e Mr Davies leaving the target property) will be recorded. No surveillance will take place of activities inside the property.

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

INDICATE THE LIKELIHOOD OF ACQUIRING ANY CONFIDENTIAL INFORMATION:

NONE

<b>Unique Reference Number</b>	
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**11. Applicant's Details**

<b>Name (print)</b>		<b>Tel No:</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

**12. 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?*]

**13. 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 it out [Code paragraphs 3.4 to 3.7].**

Unique Reference Number	
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**14. (Confidential Information Authorisation.) Supply detail demonstrating compliance with Code paragraphs 4.1 to 4.31.**

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<b>Date of first review</b>	
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**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.**

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<b>Name (Print)</b>		<b>Grade / Rank</b>	
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<b>Signature</b>		<b>Date and time</b>	
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<b>Expiry date and time [ e.g.: authorisation granted on 1 April 2005 - expires on 30 June 2005, 23.59 ]</b>	
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Unique Reference Number	
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**15. 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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**16. 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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<b>Name (Print)</b>		<b>Grade/ Rank</b>		
<b>Signature</b>		<b>Date and Time</b>		
<b>Urgent authorisation Expiry date:</b>		<b>Expiry time:</b>		
<i>Remember the 72 hour Rule for urgent authorities – check Code of Practice.</i>	e.g. authorisation granted at 5pm on June 1 <sup>st</sup> expires 4.59pm on 4 <sup>th</sup> June			