

## APPENDIX 4a

**Part II of the Regulation of Investigatory Powers Act 2000****Authorisation Directed Surveillance**

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

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<b>DETAILS OF APPLICATION</b>
<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>
<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>
<b>4. The identities, where known, of those to be subject of the directed surveillance.</b>
<ul style="list-style-type: none"><li>• Name:</li><li>• Address:</li><li>• DOB:</li><li>• Other information as appropriate:</li></ul>
<b>5. Explain the information that it is desired to obtain as a result of the directed surveillance.</b>

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

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**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.**

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**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]?**

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**10. Confidential information [Code paragraphs 4.1 to 4.31].**  
INDICATE THE LIKELIHOOD OF ACQUIRING ANY CONFIDENTIAL INFORMATION:

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<b>14. (Confidential Information Authorisation.) Supply detail demonstrating compliance with Code paragraphs 4.1 to 4.31.</b>
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<b>Date of first review</b>	
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<b>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.</b>
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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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**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>		
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<b>Signature</b>		<b>Date and Time</b>		
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<b>Urgent authorisation Expiry date:</b>		<b>Expiry time:</b>	
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<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		
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