

APPENDIX B

2013 RIPA Inspection Report - Recommendations and Implementation Actions Table/Log

Recommendations	Report Details	Implementation Actions	Progress Update
Previous Recommendations: 2011 Report Recommendations			
<p>(i) Establish robust internal management and oversight regime</p> <p><i>Recommendation discharged</i></p>	<p>2011 Report:</p> <p>Establish a suitably robust internal management and oversight regime for RIPA</p> <p>SRO in line with Code of Practice for Covert Surveillance and Property Interference revised Code of Practice, should ensure that Authorising Officers are now suitably trained or this important responsibility, and that such training is refreshed at regular intervals.</p> <p>There should be a system of internal quality assurance established to ensure that compliance standards are set up and maintained</p>	<p>RIPA Policy updated in 2011 and 2012</p> <p>Quarterly Audit process implemented</p> <p>Training and Training Log implemented</p> <p>Annual reporting to Audit and Standards Committee</p>	<p>2013 Report – Inspector has confirmed that this recommendation has now been discharged</p>
<p>(ii) RIPA policy document to be revised regularly</p>	<p>2011 Report:</p> <p>RIPA policy document should be revised regularly, and immediate</p>	<p>RIPA Policy updated in 2011 and 2012/13 to incorporate the new Magistrates approval process</p>	<p>2013 Report – Inspector has confirmed that this recommendation has now been discharged</p>

Recommendation discharged	guidance should be enhanced on the matter of necessity , proportionality and the management of any surveillance product		
(iii) CHIS Risk assessments to be carried out if used Recommendation discharged	2011 Report: If the Council uses CHIS in the future, there should be an appropriate bespoke risk assessment undertaken for the person so used. Generic risk assessment forms are unlikely to be suitable for the purpose.	Note – No CHIS use in this period therefore no risk assessments were required	2013 Report – Inspector has confirmed that this recommendation has now been discharged
(iv) Standard of Authorisations This recommendation has not been discharged	2011 Report: All authorisations must be authorised clearly for the relevant statutory durations, and this must be reflected correctly on the Central Record. Review dates must be set by Authorising Officers and adhered to. Cancellations must be prompt, and include suitable detail of the activity undertaken and surveillance product resulting. Authorising Officers must give their directions as to the future use and management of this.	Authorisation forms drafted as part of RIPA Policy Authorisation forms were completed for all RIPA applications. Copies of authorizations were maintained on RIPA central register file and entries placed on RIPA central register <i>Post-report - New Implementation Actions:</i> <i>(i) Further Practical Training to be scheduled</i> <i>(ii) SRO to review each authorization prior to it proceeding to Magistrates Ct for approval, and if necessary authorisation is to be returned to AO</i>	2013 Report – Inspector has confirmed that this recommendation has not been discharged Inspector noted that the Central Register of Authorisations matrix is maintained in a spreadsheet format compliant with the requirements of the Codes of Practice, and that copies of applications/authorizations, renewals and cancellations are collated in a file by the SRO and RIPA Co-ordinating officer. However Inspector (Para 10-14 of Report) when reviewing the authorizations prepared and signed by AOs, identified shortcomings in all the remaining elements of this recommendation. <i>Post-report - New Implementation</i>

		<p>(iii) <i>RIPA Policy (and Forms) to be updated and brought to Audit and Standards Committee</i></p> <p><i>SEE BELOW</i></p>	<p><i>Actions:</i></p> <p>(i) <i>Practical Training has been Scheduled for march 2014</i></p> <p>(ii) <i>RIPA Policy has been amended to include further internal stage of SRO counter-sign off</i></p> <p>(iii) <i>RIPA Policy (and Forms) to be brought to Audit and Standards Committee</i></p>
<p>(v) RIPA training on authorizations, reviews, renewals and cancellations; such issues to be borne in mind by applicants and Authorising Officers for future cases</p> <p>This recommendation has been partially discharged</p>	<p>Issues around Applications, authorizations, reviews, renewals and cancellations should be used as a basis for future RIPA training and borne in mind by both applicants and Authorising Officers for future cases.</p> <p>Of particular importance is explanation by Authorizing Officers of their personal considerations regarding necessity and proportionality, and the clarity of their authorization statements.</p>	<p>Training provided as per Training Log</p> <p><i>Post-report - New Implementation Actions:</i></p> <p>(i) <i>Further Practical Training to be scheduled</i></p> <p>(ii) <i>SRO to review each authorization prior to it proceeding to Magistrates Ct for approval, and if necessary authorisation is to be returned to AO</i></p> <p><i>SEE BELOW</i></p>	<p>2013 Report – Inspector has confirmed that this recommendation has been partially discharged</p> <p>Inspector noted:</p> <p><i>“Whilst these issues were addressed during training there is little evidence that Authorising Officers have adopted the criticisms.”</i></p>

New Recommendations; 2013 Report Recommendations			
I. Further training on Authorisations and CHIS management	Address the issues raised in this report by further training preferably by an external professional trainer especially the quality of authorizations and the management of CHIS. (para 13, 14, 15(v), 21 to 23 and 25)	(i) Further Practical Training to be scheduled	Details of external professional trainers awaited from Fraud Team
II. (Quality control system to rectify below-standard authorizations	Adopt a system of robust quality control to timeously identify and rectify below-standard authorizations (paragraph 18)	(i) SRO to review each authorization prior to it proceeding to Magistrates Ct for approval, and if necessary authorisation is to be returned to AO (i) RIPA Policy (and Forms) to be updated (ii) RIPA Policy amendments to be approved by Audit and Standards Committee	First Draft Amended RIPA Policy complete – includes the extra SRO counter sign off stage Further comments to be compiled Report for Audit and Standards Committee 6 February 2014
III. Reduce the Number of Nominated Authorising Officers	Reduce the Number of Nominated Authorising Officers	(iii) RIPA Policy (and Forms) to be updated (iv) RIPA Policy amendments to be approved by Audit and Standards Committee	First Draft Amended RIPA Policy complete – includes reduced AO list of only four AOs, being Lucy Magill, Sean Clarke, Graham Farrant, Fiona Taylor Further comments to be compiled

			Report for Audit and Standards Committee 6 February 2014
IV. Amend and update RIPA Corporate Policy	Amend and update RIPA Corporate Policy	(v) RIPA Policy (and Forms) to be updated (vi) RIPA Policy amendments to be approved by Audit and Standards Committee -	First Draft Amended RIPA Policy completed Further comments to be compiled Report for Audit and Standards Committee 6 February 2014