
REPORTS FROM THE EXECUTIVE AND COMMITTEES TO COUNCIL

1 REPORT OF THE APPEALS COMMITTEE

Amendments to the Hackney Carriage and Private Hire, Driver and Operator Licence Conditions

- 1.1 This item of business was referred by the Appeals Committee on 29 September 2017 to Full Council with a recommendation relating to the introduction of a penalty points system.
- 1.2 An extract of the key elements of the report of the Assistant Director, Legal Services to the Appeals Committee is attached at Appendix 1, together with a copy of the proposed new penalty points scheme.
- 1.3 The Appeals Committee noted that this was a new scheme that was aimed at addressing minor taxi licensing issues; where a number of minor issues occurred, thus building up penalty points, the issue could be referred to the Appeals Committee.
- 1.4 It is proposed that Council **RESOLVES** that the new Penalty Points Scheme, as set out in Appendix 1, be implemented with effect from 18 October 2017.

2 REPORT OF THE REVIEW COMMITTEE

Regulation of Investigatory Powers Act 2000 (RIPA)

- 2.1 This item of business was referred by the Review Committee on 3 October 2017 to Full Council with a recommendation relating to approval of a revised RIPA Policy.
- 2.2 The role of the Review Committee is to provide a strategic overview of the Council's use of RIPA powers in terms of reviewing policy and considering quarterly and annual statistical reports. The existing policy needs to be revised due to recent changes. An extract of the key elements of the report of the Assistant Director Community & Housing Services to the Committee, together with a copy of the proposed amended Policy, is attached at Appendix 2.
- 2.3 It is proposed that Council **RESOLVES** that the proposed changes to the Council's 'Covert Surveillance Policy and Procedure Manual' (RIPA Policy be approved), subject to the inclusion of a statement that the Council will not use young or vulnerable people as Covert Human Intelligence Sources (CHIS) in its investigations..

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AMENDMENTS TO THE HACKNEY CARRIAGE AND PRIVATE HIRE, DRIVER AND OPERATOR LICENCE CONDITIONS

1 PURPOSE OF REPORT

- 1.1 A review of the hackney carriage and private hire conditions have highlighted a number of areas where improvements could be made to the service and public safety. This report details the changes being recommended. These changes ensure the service continues to be delivered to a high standard and that the Council complies with any changes in legislation.

2 INTRODUCTION

- 2.1 The Council's licence conditions were last amended in 2012 and since that date there have been various changes in legislation and operating procedures. The conditions therefore need to be updated to take account of these changes.

3 THE PROPOSED AMENDMENTS

Wheelchair Accessible Vehicles

- 3.1 The Council has an obligation to promote public safety when licensing drivers and vehicles. The Equality Act 2010 has requirements which affect the licensing of drivers and wheelchair accessible vehicles.
- 3.2 The Equality Act 2010 sections 165 -167 was implemented on 6 April 2017. The key components of section 165 are as follows:-
- Taxi drivers cannot refuse hires from wheelchair users.
 - Taxis are prohibited from charging wheelchair users an additional fare for a journey.
 - Drivers will be required to carry the passenger's wheelchair if the wheelchair user chooses to sit in a passenger seat during the journey.
 - Drivers will be obliged to take such steps as are necessary to ensure that the wheelchair user is carried in safe and reasonable comfort.
 - Drivers must provide reasonable levels of mobility assistance to the disabled passenger.
- 3.3 It is proposed that all drivers be required to take Disability Awareness training and refresher training, as set out in the Department of Transport Taxi and Private Hire Vehicle Licensing Best Practice Guidance for initial licensing and

renewal of drivers' licences. This is considered best practice and has been adopted by many licensing authorities.

- 3.4 The Disability Equality Training (Taxi and Private Hire Vehicle Drivers) Bill 2016 – 2017 received its second reading in the House of Commons on 2 December 2016. The new legislation requires that all drivers undertake Disability Awareness training and any refresher training. This Bill is expected to receive Royal Assent in 2017.
- 3.5 It is proposed that from 1 October 2017 the Council only licenses side loading wheelchair accessible vehicles unless they have a mechanical lift fitted as standard. Rear loading vehicles that are currently licensed will be replaced with a side loading vehicle once the vehicle has reached 12 years of age or when a vehicle is replacing a currently licensed rear loading vehicle.
- 3.6 Rochford District Council is one of the few authorities that license rear loading vehicles. There are currently 22 hackney carriages and 1 private hire rear loading vehicles licensed within the district.
- 3.7 The Spinal Injuries association (SIA) produced a report in 2010 championing changes to ensure safety measures are adopted. It is important to recognise that the SIA has no legal status and has not been formally adopted by the Council. However, it may be considered to be an authoritative source and Members therefore may find the advice influential in interpreting the Council's own suitability criteria.
- 3.8 There are a number of public safety reasons for this proposal:-
- It is safer to keep wheelchair users on the pavement than to place them in the road ready to load them into the vehicle, particularly facing away from on coming traffic.
 - Taxi drivers may not be familiar with lowering a wheelchair over a kerb to access the rear doors which can present dangers to the passenger. Similarly, passengers using electric wheelchairs may find it impossible to go down over a kerb. If access is from the pavement then these issues do not arise.
 - Being seated in the centre of a taxi is likely to be safer than being seated at the rear of the vehicle. The majority of accessible taxis have centre divisions which would provide passenger protection in the event of a side impact. However, most rear loading taxis leave the wheelchair passenger at the back of the vehicle in the rear impact zone.
 - The need to have an alternative exit in the event of an accident is paramount. In an emergency a side loading vehicle will offer the passenger the opportunity to exit the vehicle from an alternative exit. In the

case of a rear loading vehicle where the rear doors or tailgate are damaged, this would be impossible.

- In case of an emergency, the wheelchair user would be able to access a door handle easier from a side loading vehicle.
- 3.9 Rear loading vehicles have a limited cubic area to accommodate a wheelchair user. To accommodate the wheelchair the rear passenger seats have to be folded twice, which means the floor mechanism for these seats is exposed to the front of the wheelchair user.
- 3.10 Health and Safety Executive Guidance on the Safe Transportation of Wheelchairs Medical Devices Agency states that there should be sufficient free space around the wheelchair and user to avoid the user making contact with other vehicle occupants, unpadded parts of the vehicle, wheelchair accessories or wheelchair tiedown and occupant restraint systems anchor points.
- 3.11 The photograph at Appendix A is of the rear of a Peugeot Partner, showing the set up to accommodate a wheelchair.

Vehicle Safety Audits

- 3.12 It is proposed that safety audits on Wheelchair Accessible Vehicles will be carried out on initial and renewal applications by the inspecting officer followed by a written report to the vehicle proprietor. The report shall include any recommendation that may be required to meet the standards required by the regulating bodies and the Councils conditions of licensing for a vehicle licence to be issued.
- 3.13 Mini buses are required to meet the minimum standard of The Road Vehicles (construction and use) Regulations 1986. All vehicles may be required to make reasonable adjustments to bring the vehicles safety up to the standard required to comply with Taxi and Private Hire Vehicle Licensing: best practice and the Equality Act 2010.

Penalty Point Scheme

- 3.14 The introduction of a Penalty Point Scheme is proposed for breaches of minor offences under the Town and Police Clause 1847, the Local Government (Miscellaneous Provisions) Act 1976 and the Council's hackney carriage and private hire conditions. Offences may also be committed under other legislation, bylaws or conditions. Appendix B shows a copy of the points proposed. Members are asked to approve the inclusion of this proposed scheme as an appendix to the licence conditions.
- 3.15 Under the proposed scheme that is before Members, points will be imposed on driver's licences by either Licensing Officers for minor breaches or by the

Appeals Committee for more serious breaches regarding public safety. It is proposed that if a driver acquires more than 12 penalty points in two years, the Appeals Committee will determine whether the driver is a fit and proper person to hold a driver's licence.

- 3.16 There is no financial penalty associated with the Penalty Point Scheme, and the licensee may continue to work unless the Appeals Committee determines otherwise.
- 3.17 The Council reserves the statutory right to suspend or revoke the licence at any time if the particular circumstances of the case warrant such action, notwithstanding that less than 12 penalty points have been incurred.

IMMIGRATION AND RIGHT TO WORK

- 3.18 It is proposed that immigration and right to work checks are carried out by Licensing Officers prior to issuing new or renewing existing licences in accordance with the requirements of the Immigration Act 2016. This is to avoid issuing licences to individuals who are unlawfully present and are not permitted to work in the UK. Checks will be carried out on original documentation submitted in person, upon application.

4 RISK IMPLICATIONS

- 4.1 If the Council's licence conditions are not up to date or consistent with current legislation there is a risk that the conditions will be challenged in the Magistrates Courts. In addition, the conditions will ensure that public safety and safeguarding risks are minimised.

5 RESOURCE IMPLICATIONS

- 5.1 There are no resource implications, other than officer time.

6 LEGAL IMPLICATIONS

- 6.1 The amendments to the conditions are to protect public safety and ensure that the Council is compliant with the Equality Act 2010 and the Immigration Act 2016.
- 6.2 Drivers, vehicle proprietors and operators have a right of appeal against the Council's licence condition within 21 days of the date of the notice of the condition being served to the Magistrates Court.

7 EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 The amendments will have a positive impact for users with disabilities by placing responsibilities on drivers and proprietors.

Appendix A



Appendix B

**PENALTY POINTS SYSTEM
HACKNEY CARRIAGE/PRIVATE HIRE - VEHICLES, PROPRIETORS,
OPERATORS**

The penalty points system for recording non compliance with Hackney Carriage or Private Hire requirements will operate as follows:-

1. Rochford District Council's Enforcement Policies will be fully considered by the enforcing officer when determining the manner in which any breach of the legislation or the requirements of this policy are dealt with. Where it is decided that the use of penalty points is appropriate they will be issued in accordance with the rate in the attached schedule.
2. Before penalty points are issued there must be sufficient evidence to prove the offence or breach of conditions.
3. Each case will be considered on its merits.
4. When points are issued the proprietor or driver will be sent written confirmation within 10 working days. There is a right of appeal to the Assistant Director for Legal Services.
5. Points issued remain live for a period of 2 years from date of issue. Points will be deleted after this two year period.
6. The Appeals committee may take into account previous penalty points if a trend is identified or considered relevant by the members.
7. Any driver, proprietor or operator accumulating 12 points in a two year period will be required to appear before a panel of the Appeals Committee to consider whether they are still fit and proper to hold the licence.
8. When a driver, proprietor or operator is brought before the appeals committee, the panel may exercise one of the following options:-
 - a. Suspend the licence
 - b. Revoke the licence;
 - c. Issue written warning;
 - d. Extend the two year period in which points remain live;
 - e. Take no further action.

Appendix B

- f. Any other action the panel feels appropriate (including Penalty Points)
- 9. Any driver, operator or proprietor required to appear before the Appeals Committee having accumulated 12 points shall be entitled to make representations to the panel or be legally represented at the hearing.
- 10. Nothing in this penalty points system will stop the council from taking action under any appropriate legislation.
- 11. This penalty points system will be reviewed two years after implementation and as necessary thereafter.

**PENALTY POINTS SYSTEM
HACKNEY CARRIAGE/PRIVATE HIRE - VEHICLES, PROPRIETORS, OPERATORS**

Appendix B

LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
LEG1	LO / CTTE	GIVING FALSE INFORMATION ON A HACKNEY CARRIAGE LICENCE APPLICATION.	6 – 12*		✓	✓
LEG2	LO	FAILURE TO NOTIFY CHANGE OF ADDRESS ON A HACKNEY CARRIAGE LICENCE.	2		✓	✓
LEG3	CTTE	PLYING FOR HIRE WITHOUT A HACKNEY CARRIAGE LICENCE.	12			✓
LEG4	CTTE	DRIVING A HACKNEY CARRIAGE WITHOUT A HACKNEY CARRIAGE DRIVER'S LICENCE.	12			✓
LEG5	CTTE	LENDING OR PARTING WITH A HACKNEY CARRIAGE DRIVER'S LICENCE.	12			✓
LEG6	LO	FAILURE OF A PROPRIETOR TO RETAIN IN HIS/HER POSSESSION COPIES OF ANY HACKNEY CARRIAGE DRIVER'S LICENCE THAT PERMITS THEM TO DRIVE THEIR VEHICLE.	3		✓	
LEG7	LO	FAILURE OF A PROPRIETOR TO PRODUCE ON REQUEST BY AN AUTHORISED OFFICER ANY HACKNEY CARRIAGE DRIVER'S LICENCE FOR WHOM HE HAS PERMITTED TO DRIVE HIS/HER VEHICLE.	3		✓	
LEG8	LO / CTTE	REFUSAL TO TAKE A FARE WITHOUT A REASONABLE EXCUSE.	8 – 12*			✓
LEG9	CTTE	FAILURE TO WAIT AFTER A DEPOSIT TO WAIT HAS BEEN PAID.	12			✓
LEG10	LO	CARRYING PERSONS OTHER THAN WITH THE CONSENT OF THE HIRER.	6			✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
LEG11	LO	DRIVER LEAVING A HACKNEY CARRIAGE UNATTENDED.	2			✓
LEG12	LO	HACKNEY CARRIAGE DRIVER OBSTRUCTING OTHER HACKNEY CARRIAGES.	2			✓
LEG13	LO / CTTE	BREECH OF BYELAWS	3 - 6		✓	✓
LEG14	CTTE	A LICENSED DRIVER USING AN UNLICENSED VEHICLE FOR PRIVATE HIRE PURPOSES.	12			✓
LEG15	CTTE	DRIVING A PRIVATE HIRE VEHICLE WITHOUT A PRIVATE HIRE DRIVER'S LICENCE.	12			✓
LEG16	CTTE	OPERATOR / PROPRIETOR OF A VEHICLE PERMITTING OR EMPLOYING AN UNLICENSED DRIVER TO DRIVE A VEHICLE.	8-12		✓	
LEG17	LO / CTTE	OPERATING A PRIVATE HIRE VEHICLE WITHOUT A PRIVATE HIRE OPERATORS' LICENCE.	8-12	✓		
LEG18	LO	FAILURE TO NOTIFY THE TRANSFER OF A VEHICLE LICENCE.	4		✓	✓
LEG19	LO	FAILURE TO PRESENT A HACKNEY CARRIAGE OR PRIVATE HIRE VEHICLE FOR INSPECTION UPON REQUEST.	3		✓	
LEG20	LO	FAILURE TO INFORM THE LICENSING AUTHORITY WHERE A HACKNEY CARRIAGE OR PRIVATE HIRE VEHICLE IS STORED, IF REQUESTED.	6		✓	
LEG21	LO	FAILURE TO PRODUCE THE VEHICLE AND/OR INSURANCE UPON REQUEST.	6		✓	✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
LEG22	LO	FAILURE TO WEAR A PRIVATE HIRE DRIVER'S BADGE.	3-6*			✓
LEG23	LO / CTTE	FAILURE OF A PRIVATE HIRE OPERATOR TO KEEP PROPER RECORDS, OR FAILURE TO PRODUCE THEM UPON REQUEST OF AN AUTHORISED OFFICER OF THE LICENSING AUTHORITY OR A POLICE OFFICER WITHIN REASONABLE TIME / OR TIME SPECIFIED.	3-8*	✓		
LEG24	CTTE	MAKING A FALSE STATEMENT OR WITHHOLDING INFORMATION TO OBTAIN A HACKNEY CARRIAGE/PRIVATE HIRE DRIVER'S LICENCE.	12			✓
LEG25	CTTE	FAILURE TO RETURN A PLATE / LICENCE AFTER NOTICE HAS BEEN GIVEN FOLLOWING EXPIRY, REVOCATION, OR SUSPENSION OF A HACKNEY CARRIAGE OR PRIVATE HIRE VEHICLE LICENCE.	6-12*		✓	
LEG26	CTTE	PERMITTING A PRIVATE HIRE VEHICLE TO WAIT ON A HACKNEY CARRIAGE RANK.	6-12*			✓
LEG27	LO / CTTE	CHARGING MORE THAN THE METER FARE FOR A JOURNEY ENDING OUTSIDE THE DISTRICT, WITHOUT PRIOR AGREEMENT.	8			✓
LEG28	LO / CTTE	UNNECESSARILY PROLONGING A JOURNEY.	8			✓
LEG29	CTTE	INTERFERING WITH A TAXIMETER WITH INTENT TO MISLEAD.	12		✓	✓
LEG30	CTTE	OBSTRUCTION OF AN AUTHORISED OFFICER OF THE LICENSING AUTHORITY OR A POLICE OFFICER.	6-12*	✓	✓	✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
LEG31	LO / CTTE	FAILURE TO COMPLY WITH A REQUIREMENT OF AN AUTHORISED OFFICER OF THE LICENSING AUTHORITY OR A POLICE OFFICER.	3-12*	✓	✓	✓
LEG32	LO / CTTE	FAILURE TO GIVE INFORMATION OR ASSISTANCE TO AN AUTHORISED OFFICER OF THE LICENSING AUTHORITY OR POLICE OFFICER.	3-12*	✓	✓	✓
POL 1	LO / CTTE	FAILURE TO ENSURE THE SAFETY OF PASSENGERS.	3-12*	✓	✓	✓
POL2	LO / CTTE	CONCEALING OR DEFACING A VEHICLE LICENCE PLATE.	6	✓	✓	✓
POL3	LO	FAILURE TO ATTEND ON TIME FOR A PREARRANGED APPOINTMENT AT THE REQUEST OF THE LICENSING AUTHORITY FOR INTERVIEW WITHOUT REASONABLE CAUSE.	2	✓	✓	✓
POL4	LO	CONVEYING A GREATER NUMBER OF PASSENGERS THAN PERMITTED.	6-12*			✓
POL5	LO	FAILURE TO GIVE REASONABLE ASSISTANCE WITH PASSENGER'S LUGGAGE.	2			✓
POL6	LO / CTTE	PRIVATE HIRE SOLICITING FOR HIRE OR ACCEPTING A FARE THAT IS NOT PRE-BOOKED.	6			✓
POL7	LO	OPERATING/USING A VEHICLE THAT IS NOT CLEAN AND TIDY INTERNALLY OR EXTERNALLY.	2-4		✓	✓
POL8	LO / CTTE	OPERATING/USING A VEHICLE THAT IS NOT IN A SAFE CONDITION INTERNALLY OR EXTERNALLY.	6-12*		✓	✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
POL9	CTTE	DRIVING WITHOUT THE CONSENT OF THE PROPRIETOR.	12			✓
POL10	LO	DRINKING OR EATING IN THE VEHICLE WHILST CARRYING PASSENGERS.	2			✓
POL11	LO	SMOKING IN THE VEHICLE AT ANY TIME.	4-8*			✓
POL12	LO	CAUSING EXCESSIVE NOISE FROM ANY RADIO OR SOUND-REPRODUCING EQUIPMENT.	2			✓
POL13	LO	SOUNDING THE HORN TO SIGNAL THAT THE VEHICLE HAS ARRIVED. DISTURBING RESIDENTS	2			✓
POL14	LO	ALLOWING A PRIVATE HIRE VEHICLE TO STAND IN SUCH A POSITION AS TO SUGGEST THAT IT IS PLYING FOR HIRE OR USING A HACKNEY CARRIAGE STAND.	6			✓
POL15	LO	ALLOWING A HACKNEY CARRIAGE VEHICLE TO STAND IN A POSITION, NOT BEING A HACKNEY CARRIAGE STAND, TO SUGGEST THAT IS PLYING FOR HIRE.	6			✓
POL16	LO	PARKING A HACKNEY CARRIAGE VEHICLE OR PRIVATE HIRE VEHICLE ILLEGALLY SO AS TO CAUSE AN OBSTRUCTION TO OTHER ROAD USERS.	3			✓
POL17	LO / CTTE	USING A NON-HANDS FREE MOBILE TELEPHONE WHILST DRIVING/ENGINE RUNNING.	6-12*			✓
POL18	CTTE	FAILURE TO ADVISE OF A RELEVANT MEDICAL CONDITION.	12			✓
POL19	LO	FAILURE TO PROVIDE A RECEIPT FOR A FARE WHEN REQUESTED.	2			✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
POL20	LO / CTTE	FAILURE TO OPERATE THE METER FROM THE COMMENCEMENT OF THE JOURNEY AND /OR CHARGING MORE THAT THE FIXED CHARGE FOR HIRE OF A HACKNEY CARRIAGE.	8 – 12*			✓
POL21	LO	FAILURE TO NOTIFY THE LICENSING AUTHORITY OF RELEVANT CHANGE TO LICENCE DETAILS WITHIN THE TIME SPECIFIED IN THE ASSOCIATED LICENCE CONDITIONS.	2	✓	✓	✓
POL22	LO	FAILURE TO PRODUCE A HACKNEY CARRIAGE OR PRIVATE HIRE LICENCE UPON REQUEST.	3	✓	✓	✓
POL23	LO	FAILURE TO SHOW A PRIVATE HIRE DRIVER'S LICENCE TO THE PRIVATE HIRE OPERATOR AT THE COMMENCEMENT OF EMPLOYMENT.	2			✓
POL24	LO	FAILURE OF A PRIVATE HIRE OPERATOR TO REQUEST AND KEEP A COPY ALL DRIVER'S LICENCE IN HIS EMPLOY AT THE BEGINNING OF EMPLOYMENT.	2	✓		
POL25	CTTE	FAILURE OF A LICENCE HOLDER TO DISCLOSE CONVICTIONS WITHIN SEVEN DAYS OF CONVICTION.	12	✓	✓	✓
POL26	CTTE	DRIVER OR PROPRIETOR OF HACKNEY CARRIAGE REFUSING TO CONVEY AN ASSISTANCE DOG FOR THE DISABLED OR VISUALLY IMPAIRED WHEN REQUESTED BY THE DOG'S OWNER. (DISABILITY DISCRIMINATION ACT)	12			✓
POL27	LO	FAILURE TO SEARCH A VEHICLE AFTER A JOURNEY OR FAILURE TO TAKE FOUND PROPERTY TO THE POLICE WITHIN FORTY EIGHT HOURS OF FINDING.	3			✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
POL28	LO	FAILURE TO REPORT AN ACCIDENT WITHIN SEVENTY TWO HOURS.	6			✓
POL29	LO / CTTE	FAILURE TO COMPLY WITH REQUIREMENTS FOR THE SAFE CARRYING OF A WHEELCHAIR (DISABILITY DISCRIMINATION ACT)	6-12*		✓	✓
POL30	LO / CTTE	OPERATING A VEHICLE THAT DOES NOT COMPLY WITH THE LICENSING AUTHORITY'S LICENSING POLICY OR RELEVANT LEGISLATION WHERE SUCH A BREACH OF POLICY/LEGISLATION IS NOT OTHERWISE SPECIFIED HEREIN.	3-12*		✓	✓
POL31	CTTE	A PRIVATE HIRE DRIVER USING A HACKNEY CARRIAGE VEHICLE WITHOUT A HACKNEY CARRIAGE DRIVER LICENCE.	12			✓
POL32	LO	FAILURE TO CARRY AN APPROVED FIRE EXTINGUISHER.	2-4		✓	✓
POL33	LO / CTTE	MODIFYING A LICENSED VEHICLE WITHOUT THE CONSENT OF THE LICENSING AUTHORITY.	6-12*		✓	✓
POL34	LO	FAILURE TO DISPLAY OR MAINTAIN EXTERNAL PLATES AS ISSUED BY THE LICENSING AUTHORITY OR DISPLAYING THEM INCORRECTLY E.G. IN THE WINDOW OF A VEHICLE.	4		✓	✓
POL35	LO	AFFIXING OR DISPLAYING A ROOF SIGN ON A PRIVATE HIRE VEHICLE OR FAILURE TO AFFIX A ROOF SIGN TO A HACKNEY CARRIAGE VEHICLE.	4-6		✓	✓

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
POL36	LO	DISPLAYING A SIGN OR ADVERTISEMENT ON A LICENSED VEHICLE THAT DOES NOT SATISFY THE POLICY REQUIREMENTS OR HAS NOT BEEN APPROVED BY THE LICENSING AUTHORITY.	2-4		✓	✓
POL37	LO / CTTE	USING A TAXI-METER THAT DOES NOT CONFORM TO LICENSING AUTHORITY REQUIREMENTS.	6-12*	✓	✓	✓
POL38	CTTE	DRIVING WITH NO INSURANCE OR INADEQUATE INSURANCE FOR THE VEHICLE.	12		✓	✓
POL39	CTTE	PERMITTING THE VEHICLE TO BE USED FOR ANY ILLEGAL OR IMMORAL PURPOSES.	12	✓	✓	✓
POL40	LO	FAILURE OF A PRIVATE HIRE OPERATOR TO ENSURE THAT OFFICE STAFF ACT IN A CIVIL AND COURTEOUS MANNER AT ALL TIMES.	2	✓		
POL41	LO / CTTE	FAILURE OF A PRIVATE HIRE OPERATOR TO KEEP THE OPERATING PREMISES IN ACCORDANCE WITH LICENSING AUTHORITY REQUIREMENTS.	3-12*	✓		
POL42	CTTE	FAILURE OF A PRIVATE HIRE OPERATOR TO ENSURE THAT ALL VEHICLES OPERATED BY HIM ARE ADEQUATELY INSURED.	12	✓		
POL43	LO / CTTE	FAILURE OF A PRIVATE HIRE OPERATOR TO OBTAIN PUBLIC LIABILITY INSURANCE FOR THE OPERATING PREMISES IF THE PUBLIC ARE ALLOWED ACCESS.	6	✓		

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LEGISLATION						
Code	Imposition of points by LO or Ctte	Section and Offence	Penalty Points or Action	Operator	Proprietor	Drivers
POL44	LO	DRIVING OR ALLOWING A HACKNEY CARRIAGE VEHICLE TO BE DRIVEN WITH TINTED WINDOWS WHICH DO NOT CONFORM TO LICENCE CONDITIONS.	2		✓	✓
POL45	LO / CTTE	DRIVING OR ALLOWING A HACKNEY CARRIAGE OR PRIVATE HIRE VEHICLE TO BE DRIVEN WITHOUT DISPLAYING THE DOOR SIGNS OR ATTACHING THE SIGNS OTHER THAN IN ACCORDANCE WITH THE COUNCILS POLICY.	2		✓	✓
POL46	LO	ALLOWING A HACKNEY CARRIAGE VEHICLE TO BE DRIVEN WITH A TOP SIGN THAT IS IN BREACH OF THE LICENCE CONDITIONS.	2		✓	

REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA)

1 SUMMARY

- 1.1 The purpose of this report is to update Members on the use of RIPA over the past year and to allow for the review of the Council's RIPA policy. It also makes some recommendations to amend certain aspects of the policy which have arisen due to staff changes during the year.

2 INTRODUCTION

- 2.1 On 8 March 2011, Members of the Review Committee agreed to provide a strategic overview of the Council's use of RIPA powers in terms of reviewing the policy and considering quarterly and annual statistical reports on usage.
- 2.2 On 12 July 2011 the Committee agreed that in the interests of saving resources, it would consider statistics and review the Council's RIPA policy on an annual rather than quarterly basis.
- 2.3 The last report to this Committee regarding RIPA usage was on 4 October 2016 which also proposed changes to the Council's RIPA policy.
- 2.4 Members and officers received RIPA training on 29 January 2016.

3 ANNUAL STATISTICS ON THE COUNCIL'S USE OF RIPA POWERS

18 September 2016 – 17 September 2017

Authorisation Date	Nature of Authorisation	Expiry date / Review Date(s)/ Cancellation Date
NIL		

- 3.1 Members will note that the Council is a sparing user of RIPA powers, the last authorisation having been made on 8 February 2011.

4 ANNUAL POLICY REVIEW

- 4.1 The Council's RIPA policy was updated on 18 October 2016 and took account of various developments within the Council's structure.
- 4.2 On the 1st September 2017, The Office of Surveillance Commissioners, The Intelligence Services Commissioner's Office and The Interception of Communications Commissioner's Office were abolished by the Investigatory Powers Act 2016. The Investigatory Powers Commissioner's Office (IPCO) is

now responsible for the judicial oversight of the use of covert surveillance by public authorities throughout the United Kingdom. References to the Office of Surveillance Commissioners in the policy are therefore required to be amended.

- 4.3 Some further minor amendments are required to be made to the policy as follows:

Page 7.4 replace “Nicholas Khan, Executive Director” with “Louisa Moss, Assistant Director, Community & Housing Services”.

Page 7.16 change reference to “Executive Director” to “Assistant Director, Community & Housing Services”

Page 7.17 change reference to “Executive Director” to “Assistant Director, Community & Housing Services”

Page 7.18 & 7.19 replace references to “Office for Surveillance Commissioners” to “Investigatory Powers Commissioners Office”

Page 7.19 replace references to “Chief Surveillance Commissioner” with “Chief Investigatory Powers Commissioner”.

Page 7.19 replace “Nicholas Khan, Executive Director” with “Louisa Moss, Assistant Director, Community & Housing Services” etc.

Page 7.20 replace “Nicholas Khan, Executive Director” with “Louisa Moss, Assistant Director, Community & Housing Services”.

Page 7.20 add “Marcus Hotten (Assistant Director Environmental Services) and Matthew Thomas (Planning & Regeneration Services) to the list of Authorising Officers.

Page 7.21 Delete “Ivor Chapman” from the table

Page 7.21 Add Adrian Hills to the table

Page 7.21 Add Talent Masuku to the table

Page 7.21 Add Tara Miller to the table

Page 7.21 Add Siobhan Sheridan to the table

Page 7.21 Add Angela Brown to the table

Page 7.21 Add Patricia Christie to the table

- 4.4 An amended version of the policy is attached as an appendix to this report.

5 RISK IMPLICATIONS

- 5.1 The improper or disproportionate use of RIPA powers could lead to adverse publicity in the media and serious reputational damage.

6 CRIME AND DISORDER IMPLICATIONS

- 6.1 The use of RIPA powers when necessary and proportionate may assist in the prevention and detection of crime.

7 LEGAL IMPLICATIONS

- 7.1 Failure to comply with RIPA legislation may mean that covert investigatory evidence will not be accepted in court and there may be issues of privacy/human rights contraventions, as well as a claim for damages.

Appendix



ROCHFORD DISTRICT COUNCIL

COVERT SURVEILLANCE POLICY AND PROCEDURE
MANUAL

PURSUANT TO THE
REGULATION OF INVESTIGATORY POWERS ACT
2000

This manual has been prepared to assist officers who undertake covert surveillance but is not intended to be an exhaustive guide

Louisa Moss

Assistant Director Community & Housing Services
RIPA Senior Responsible Officer

GUIDANCE

1 PURPOSE

- 1.1 The Council's officers in the course of investigating frauds, regulatory criminal offences and in the interests of the safety and well being of the district may be required to undertake covert monitoring operations to gather evidence to present to a court. In doing so those officers must comply with the relevant legislation i.e, the Regulation of Investigatory Powers Act 2000 (RIPA) and the associated regulations and codes of practice. Evidence collected without complying with the statutory procedures may become inadmissible and prejudice the outcome of the investigation and may be the subject of a claim for damages under the Human Rights Act 1998.

2 SCOPE

- 2.1 This guidance applies to the planned deployment of directed covert surveillance or the use of Covert Human Intelligence Sources (CHIS) against specified individuals in such a manner as is likely to result in obtaining private information about the person. The following provisions relate therefore to the observation of specified individuals from a vehicle, foot surveillance, the setting up of covert observation positions, the use of equipment for the monitoring of specified individuals and the use of informants or undercover officers.
- 2.2 The Council's policy does not contemplate the monitoring of internet use, telephone use or portal use (communications data) other than in exceptional circumstances as this is unnecessary and disproportionate in most if not all local authority criminal investigations. Guidance regarding the acquisition of communications data is beyond the scope of this document and separate advice from the RIPA Senior Responsible Officer, Monitoring Officer should be obtained.

3 BACKGROUND

- 3.1 Part II of the Regulation of Investigatory Powers Act 2000 (RIPA) provides a mechanism for public authorities to undertake certain investigative techniques in compliance with the Human Rights Act 1998. In particular it allows lawful interference with Article 6 (right to a fair trial) and Article 8 (right to respect for private and family life) rights.
- 3.2 The Home Office has issued revised Codes of Practice to provide guidance to public authorities on the use of RIPA to authorise covert surveillance that is likely to result in the obtaining of private information. The revised Codes of Practice are titled "Covert Surveillance and Property Interference" and "Covert Human Intelligence Sources".

- 3.3 All Codes of Practice issued pursuant to section 71 of RIPA are admissible as evidence in criminal and civil proceedings. If any provision of the Codes appear to be relevant to a court or tribunal considering any such proceedings, or to the Investigatory Powers Tribunal established under RIPA, or to one of the Commissioners responsible for overseeing the powers conferred by RIPA, they must be taken into account.
- 3.4 This Procedure sets out the procedures that must be followed when the Council undertakes authorised covert surveillance and brings into effect a number of changes that have been implemented by the revised Codes as well as recent changes to the law in this area. It is intended to be a best practice guide. This Manual is not intended to replace the Home Office Codes.
- 3.5 Those officers that intend to apply for an authorisation under RIPA must familiarise themselves with the appropriate Code of Practice as well as this Procedure. The Codes of Practice are available online and in the G/Shared/RIPA/Code of Practice area.
- 3.6 The covert surveillance regulated by RIPA and covered by the above Codes of Practice is in three categories; intrusive surveillance, directed surveillance and covert human intelligence. The Act and Codes set up procedures for the authorisation of these activities.
- 3.7 The authorising officer should first satisfy themselves that the authorisation is necessary for the purpose of investigating crimes which carry a custodial sentence of 6 months or more (see paragraph 10.1 below) and that the surveillance is proportionate to what it seeks to achieve. Authorising and requesting officers (See Annex 1 and 2 for lists of named officers) should have regard to the Code of Practice "Covert Surveillance and Property Interference", paragraphs 3.3 - 3.6. This states that obtaining an authorisation will only ensure that there is a justifiable interference with an individual's Article 8 Rights if it is necessary and proportionate for these activities to take place.
- 3.8 It first requires authorising officers to believe that the authorisation is necessary in the circumstances of the particular case which further to changes to the law, means for the purpose of investigating crimes which carry a custodial sentence of 6 months or more (see paragraph 10.1) Authorising officers should ask themselves if the evidence could be obtained in any other way? Is the surveillance operation really necessary to what the requesting officer is seeking to achieve? Should there be a less intrusive means of obtaining the information, then the authorisation should not be granted. Judicial approval of the authorisation will also be required before the surveillance takes place which is set out further at paragraph 9

- 3.9 If the activities are considered necessary, the authorising officer must then satisfy himself that they are proportionate to what is sought to be achieved by carrying them out. He should consider the four elements of proportionality:
- i) balancing the size and scope of the operation against the gravity and extent of the perceived mischief,
 - ii) explaining how and why the methods to be adopted will cause the least possible intrusion on the target and others,
 - iii) considering whether the activity is an appropriate use of the legislation and the only reasonable way, having considered all others, of obtaining the necessary result, and
 - iv) evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.

4 COVERT SURVEILLANCE

- 4.1 Covert surveillance means 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. There are two categories of covert surveillance defined in RIPA: intrusive surveillance and directed surveillance.

Intrusive Surveillance

- 4.2 Covert surveillance is “intrusive surveillance” if it:-
- Is covert;
 - Relates to residential premises and private vehicles; and
 - Involves the presence of a person in the premises or **in** the vehicle or is carried out by a surveillance device in the premises or the vehicle. Surveillance equipment mounted outside the premises will not be intrusive, unless the device consistently provides information of the same quality and detail as might be expected if they were in the premises or vehicle. This is unlikely in the case of equipment such as a DAT recorder when used to assess noise nuisance but care must be taken in setting up of equipment and locating the microphone.
- 4.3 This form of surveillance can therefore only be carried out by the police and other law enforcement agencies. Council Officers **must not** carry out intrusive surveillance.

Directed Surveillance

- 4.4 Directed surveillance, as defined in RIPA Section 26, as surveillance which is covert, but not intrusive, and undertaken:
- (a) For the purpose of a specific investigation or operation; and
 - (b) In such a manner as is likely to result in obtaining private information about a person (whether or not one 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 under this part to be sought for the carrying out of the surveillance.

5 COVERT HUMAN INTELLIGENCE SOURCES (“CHIS”)

- 5.1 Use of a CHIS will not be authorised by the Council other than in exceptional cases due to the adverse risk to the health and safety of officers.
- 5.2 If use of a CHIS is contemplated officers must familiarise themselves with the Code of Practice on Covert Human Intelligence Sources and advice should be sought from the RIPA Senior Responsible Officer and RIPA Monitoring Officer.
- 5.3 A CHIS is defined as a person who establishes or maintains a personal or other relationship with another person for the covert purpose of facilitating anything that:
- (a) Covertly uses such a relationship to obtain information or to provide access to any information to another person; or
 - (b) Covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.
- 5.4 A relationship is used covertly if, and only if, it is conducted in a manner calculated to ensure that the person is unaware of its purpose. This relationship is established or maintained specifically to obtain or provide access covertly to information about private or family life of another person. It also covers those activities where the relationship itself can be construed as an infringement of a person’s private or family life.
- 5.5 There is a risk that a member of the public covertly providing information to the Council may in reality be a CHIS if he is obtaining it

in the course of, or as a result of the existence of, a personal or other relationship. A duty of care would be owed to such a person, who may be at risk of reprisals if the information is acted on. What matters is not whether the informant has been tasked to obtain information for the Council (which should not arise), but the manner in which he has obtained the information which he covertly passes on.

6 AUTHORISATIONS

- 6.1 An authorisation for directed surveillance or the use or conduct of a CHIS, may only be authorised by the council on the following ground:

for the purpose of investigating crimes which carry a custodial sentence of 6 months or more or for offences relating to the sale of alcohol or tobacco to children and those under 18 (see paragraph 10.1)

The authorising officer must believe that:

- (a) The action is necessary on the ground set out above; and
- (b) The surveillance is proportionate to what it seeks to achieve.

The Authorising Officer will be responsible for considering all applications for covert surveillance and for granting or refusing authorisations as appropriate. The Authorising Officer will also be responsible for carrying out reviews and ensuring that authorisations are renewed or cancelled where necessary.

- 6.2 The minimum office, rank or position of an Authorising Officer has been designated by the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010. For a local authority the Authorising Officer must be the Director, Head of Service, Service Manager or equivalent.
- 6.3 The Council should also have in place a back-up system for situations where the Authorising Officer is unavailable to grant a written authorisation and the situation becomes urgent. This will enable officers to identify the person who is able to give authorisations in the Authorising Officer's absence.
- 6.4 Wherever knowledge of confidential information, such as a doctor's report, is likely to be acquired through the directed surveillance, a higher level of authorisation is needed. In the Council, this would be the Head or Paid Service (the Chief Executive) or the person acting as Head of Paid Service in his absence.
- 6.5 A list of those officers who have been nominated as Authorising Officers is given below at Annex 1.

- 6.6 It is also now recommended best practice that there should be a Senior Responsible Officer (SRO) in each public authority who is responsible for :
- The integrity of the processes in place to authorise directed surveillance
 - Compliance with RIPA and with the Codes of Practice
 - Engagement with the Commissioners and inspectors when they conduct their inspections, and
 - Where necessary, overseeing the implementation of any post-inspection action plans recommended or approved by a Commissioner.
- 6.7 As the SRO for a local authority has to be a member of the corporate leadership team, the Senior Responsible Officer for this Council will be the person named in Annex 1(b). He will also be responsible for ensuring that all authorising officers are of an appropriate standard in light of the recommendations or concerns raised in the inspection reports prepared by the Office of Surveillance Commissioners following their routine inspections.
- 6.8 The SRO will also undertake an annual audit of records and will be responsible for the day-to day quality control.
- 6.9 There is also now a requirement for elected members of the Council to review the use of RIPA and to set the policy on covert surveillance at least once a year. Therefore, the Review Committee will review this Policy every 12 months and will report to Full Council, should they be of the opinion that it is not fit for purpose or requires amendment.
- 6.10 The Review Committee will also consider the Council's use of RIPA every 12 months to ensure that it is being used consistently with the Council's Policy.
- 6.11 The Committee should not, and will not, be involved in making decisions on specific authorisations.
- 6.12 RIPA Monitoring Officer (RMO) will be the person named in Annex 1(c). The role of the RMO is as follows:
- Maintaining the Central Record of authorisations and collating the original applications/authorisations, reviews, renewals and cancellations.
 - Oversight of submitted RIPA documentation.
 - Organising and maintain a RIPA training programme.
 - Raising RIPA awareness within the Council.
 - Appointment of investigating officers as authorised applicants by their inclusion in annex 2.

AUTHORISATION PROCEDURE

7 STAGE 1 - Internal Authorisation

- 7.1 Any of the Council's authorised applicants(Annex 2) (who will invariably also be the investigating officer) may make an application for authorisation under RIPA to conduct a covert operation to an authorised officer (Annex 1). Any application for permission to conduct a covert operation must be in writing on the appropriate form. The forms listed below are standard forms for use by all public authorities that are listed in Schedule 1 of RIPA. The forms are an indication of the information required before an authorisation can be granted and are consistent with the requirements in the codes of practice. The Home Office recommends that all users of the form should add any information that is relevant to their organisation but avoid taking any information out of the forms.
- 7.2 Forms for the application, review, renewal or cancellation of authorisations are available in the Council's G/shared/RIPA/RIPA forms file.

Directed Surveillance

- DIRECT1 – Authorisation Directed Surveillance
- DIRECT2 – Review of a Directed Surveillance Authorisation
- DIRECT3 – Renewal of a Directed Surveillance Authorisation
- DIRECT4 – Cancellation of a Directed Surveillance Authorisation
- JUDICIAL1 – application for judicial approval for authorisation to conduct directed surveillance

Covert Human Intelligence Source

- CHIS1 – Application for Authorisation for the use or conduct of a Covert Human Intelligence Source
 - CHIS2 – Review of a Covert Human Intelligence Source Authorisation
 - CHIS3 – Application for Renewal of a Covert Human Intelligence Source Authorisation
 - CHIS4 – Cancellation of a Covert Human Intelligence Source Authorisation
 - JUDICIAL1 – application for judicial approval for authorisation to use CHIS
- 7.3 A written application for authorisation must record:
- (a) The action to be authorised, including any premises or vehicles involved

- (b) The identities, where known, of those to be the subject of surveillance;
- (c) A full account of the investigation or operation;
- (d) Justifying that the authorisation is sought for investigating a crime which carries a custodial sentence of 6 months or more (see paragraph 10.1)
- (e) How and why the investigation is both necessary and proportionate.
- (f) Authorising Officer should state in his own words why the investigation is necessary and proportionate.

7.4 It is considered good practice for a simple sketch map of the immediate area of investigation, detailing specific observation points, location of monitoring equipment etc, to be appended to the application for authorisation. Further details on completing a written application for authorisation are contained in the Codes of Practice.

8 CONSIDERATION

- 8.1 The investigating officer will keep notes during the initial stages of gathering intelligence. Such records will be held on the case file.
- 8.2 Requests to the authorising officer for authorisation to mount a covert operation will be subject to and based on, the intelligence gathered and recorded on the investigator's notes. The officer will consider if such an operation would assist in investigating crimes which carry a custodial sentence of 6 months or more (see paragraph 10.1)
- 8.3 Responsibility for authorisation for a covert operation will be considered on the grounds that any operation is likely to be of value in connection with;
- investigating crimes which carry a custodial sentence of 6 months or more (see paragraph 10.1)
 - and that the proposed covert operation is a reasonable means of achieving the desired result. This must be balanced with the individual's rights under the Human Rights Act 1998.
- 8.4 Any authorisation must be on the basis that the activity is both necessary and proportionate. The Authorising Officer must also take into consideration the risk of intrusion into the privacy of persons other than those directly implicated in the operation or investigation (collateral intrusion)
- 8.5 Additional considerations with respect to the use of a CHIS are
- their likely value as a source of information
 - assessment of any risks to them
 - the use of vulnerable individuals

- juvenile sources i.e. under 18 years
- 8.6 For further guidance on these issues please see the Home Office code of practice on the use of Covert Human Intelligence Source. The use of CHIS will only be in exceptional circumstances (See paragraph 5.1 above), and prior advice should be sought from the SRO or RMO.
- 8.7 If in doubt, ask the SRO or RMO Officer BEFORE any directed surveillance and/or CHIS is authorised, rejected, renewed or cancelled.

9 SERIOUSNESS THRESHOLD

- 9.1 No officer may make an authorisation under this policy unless it concerns conduct which constitutes one or more criminal offences (or would do if it all took place in England and Wales) and either the criminal offence (or one of the criminal offences):
- Is or would be an offence which is punishable by a maximum term of at least 6 months of imprisonment; or
 - Is an offence under:
 - i. Section 146 of the Licencing Act 2003(3) (sale of alcohol to children);
 - ii. Section 147 of the Licencing Act 2003 (allowing the sale of alcohol to children);
 - iii. Section 147A of the Licencing Act 2003(4) (persistently selling alcohol to children);
 - iv. Section 7 of the Children and Young Persons Act 1933(5) (sale of tobacco, etc., to persons under eighteen).
- 9.2 In exceptional circumstances, where no named authorising officer is available, any Service Manager or more senior appointment is prescribed within legislation as an authorising officer. They would not however be permitted to authorise unless they have previously received relevant RIPA training.
- 9.3 Officers should not authorise their own activities except as a matter of urgency.

10 DURATION OF AUTHORISATIONS

- 10.1 Authorisations for directed surveillance will cease to have effect three months from the day of issue and for the use of covert human intelligence sources, twelve months. The expiry date and time on the authorisation form will therefore always be three/twelve months from the date of authorisation, controlled by review and cancellation. Authorisations should be reviewed on a regular basis, using the

appropriate form, to ensure that they are still necessary and proportionate.

- 10.2 Authorisations can be renewed prior to their expiry providing the criteria in paragraph 3.9 and the Code of Conduct is met. Applications for renewal must be in writing and the application and the decision, detailing the grounds for the renewal or refusal to renew or withdrawal of the authorisation.
- 10.3 When the case is closed prior to the authorisation expiring or covert surveillance is no longer required or meets the criteria for authorisation, which ever is the sooner, the authorisation must be cancelled by the authorising officer using the appropriate form.

11 STAGE 2 - Judicial Oversight and Approval

- 11.1 The *Protection of Freedoms Act* brought into law the Judicial oversight of all RIPA approvals by Local Authorities. It inserts sections into the 2000 Act which mean that authorisations whilst still given by Council staff, do not take effect until a Magistrate has approved them. The Judicial oversight does not take the place of the current authorisation process – it is an oversight function and not an authorisation function. **The Authority may not undertake the regulated activity until Judicial Approval has been given.**
- 11.2 The Authority has appointed all investigation officers and managers to make applications under this part (Annex 2) (in accordance with s.223(1) of the Local Government Act 1972), subject to their inclusion in the approved list at annex 2 by the *RMO*. The Authority has authorised the *RMO* to appoint as many investigation officers and managers to make applications under this part as he sees fit. Those officers must be listed at annex 2 and any decisions to or deletions from that list must be notified to Members as part of the regular reporting protocols.
- 11.3 Once the application has been approved by an officer listed in Annex 1, the Authority must apply to the Magistrates Court for an order confirming that:
- a. The person who granted or renewed the authorisation, or the notice, was entitled to do so;
 - b. The grant or renewal met the relevant restrictions or conditions;
 - c. There were reasonable grounds for believing (at the time it was made or renewed) that obtaining the information described in the form was both necessary and proportionate; and
 - d. It is still (at the time the court considers it) reasonable to believe the grant/renewal to be both necessary and proportionate.

- 11.4 The oversight will be determined at a hearing in front of a single Magistrate or District Judge. An officer appointed to do so (and listed at Annex 2 i.e. also the authorised applicant) must approach the court office to arrange the hearing.
- 11.5 There is a form held in G/Shared/RIPA/RIPA forms/JUDICIAL1 that must accompany all applications. The authorised applicant (normally the *Officer in Charge* of the case) must complete this form electronically, once the *Authorising Officer* has approved the application. (This also applies to requests for renewals of authorisations.)
- 11.6 Once the form has been completed, the authorised applicant must submit this, along with electronic copies of any accompanying documents (set out below) to the *Authorising Officer for checking*. Once satisfied with the standard of the form and any attachments, the *Authorising Officer* must submit the bundle electronically to the *RMO* for onward transmission to the courts.
- 11.7 The bundle for submission to the courts must include:
- a. The application for the order approving the authorisation;
 - b. The authorised application or renewal form;
 - c. Any supporting information, that exceptionally, does not form part of the form;
 - d. Any information you have that might show a reason to refuse the application;
 - e. An extract from the relevant legislation showing the offence being investigated and that it carries the relevant maximum sentence (unless it is one of the offences provided for in 7A(3)(b) of the 2010 regulations (see 10.1 below) and
 - f. A copy of the Annexes 1 and 2 to this policy, showing that the *Authorising Officer* and the authorised applicant are both persons duly approved to carry out those functions by the Authority.
- 11.8 The form requires that the authorised applicant makes a declaration of truth and disclosure, as part of the application for Judicial approval. **It is important that this is not signed lightly**; check that all material facts have been disclosed within the bundle and that the contents are accurate and true.

- 11.9 The authorised applicant must attend the hearing and assert the accuracy of the application. They must also be prepared to answer any questions about the application and the investigation which the Magistrate may have. At the end of the application, the magistrate will give the Court's decision.
- 11.10 Once the bundle has been submitted the *RMO* will note this in the central record. Within 24 hours of receiving the Court's decision, the applicant must notify the *RMO* and the *Authorising Officer* by sending them an email. Both parties must also be sent copies of any court order. The original must be retained on the investigation file. The *RMO* will note the record of the outcome.
- 11.11 In the event that the Court refuses the application, the authorised applicant, the *Authorising Officer* and the *RMO* will review the decision within 24 hours and decide if they wish to make representations to the Court before a *Quashing Order* is made.
- 11.12 If the Authority decides to make representations about a refused application, the *Authorising Officer and RMO* will immediately notify the court officer of this and request a hearing.
- 11.13 Grounds for the submission should be set out in writing and notified to the court before the hearing. It must be drafted by the applicant and approved by the *Authorising Officer and RMO*. It must contain the standard declaration as set out above.
- 11.14 If the Authority elects to seek a hearing, the applicant, *Authorising Officer* and *RMO* will attend the hearing.
- 11.15 At the conclusion of the hearing, the *RMO* will note the outcome in the central record.

12 CENTRAL RECORD OF ALL AUTHORISATIONS

- 12.1 The SRO, Assistant Director Community & Housing Services will maintain a central record of all authorisations granted, renewed or cancelled by the council. These records to be made available to the relevant Commissioner or an Inspector from the Office of Surveillance Commissioners, upon request.

- 12.2 Within one week of the relevant date, a copy of the application, review, renewal, court order and cancellation form is to be placed in the RIPA Records File kept secure by the Leadership support team.
- 12.3 All records shall be retained for a minimum of three years to ensure that they are available for inspection by the Commissioner. Where there is a belief that the material relating to an investigation could be relevant to pending or future criminal or civil proceedings, it should be retained in accordance with the Criminal Procedure and Investigations Act 1996 and kept a period of at least five years.

13 CONFIDENTIAL INFORMATION

- 13.1 There are no special provisions under RIPA for the protection of “confidential information”. Nevertheless, special care needs to be taken where the subject of the investigation or operation might reasonably expect a high degree of privacy or where confidential information is involved.
- 13.2 Confidential Information can include matters that are subject to legal privilege, confidential personal information or confidential journalistic material.
- 13.3 In practice, it is likely that most of the surveillance authorised and carried out by the Council would not involve confidential information. However, where there is a possibility that the use of surveillance will enable knowledge of confidential information to be acquired e.g. conversations between a doctor and patient, a higher level of authority for such surveillance is required.
- 13.4 In cases where it is likely that knowledge of confidential information will be acquired, the use of covert surveillance is subject to a higher level of authorisation, namely by the Head of Paid Service (Chief Executive) or, in his/her absence, the Chief Officer acting as Head of Paid Service.
- 13.5 The authorised applicant should complete the application for authorisation of directed surveillance in the usual way, but with sufficient indication of the likelihood that confidential information will be acquired.
- 13.6 At all times during any operation officers are to conduct themselves in a manner that will not breach
- The Human Rights Act 1998
 - Regulation of Investigatory Powers Act 2000
 - Data Protection Act 1998
 - The Council’s Enforcement Concordat
 - This Guidance & Working Code of Practice
 - Any code of practice issued by the Home Office

14 COMPLAINTS

- 14.1 There is provision under RIPA for the establishment of an independent Tribunal. This Tribunal will be made up of senior members of the legal profession or judiciary and will be independent of the Government.
- 14.2 The Tribunal has full powers to investigate and decide upon complaints made to them within its jurisdiction, including complaints made by a person who is aggrieved by any conduct to which Part II of RIPA applies, where he believes such conduct to have taken place in "challengeable circumstances" or to have been carried out by or on behalf of any of the intelligence services.
- 14.3 Conduct takes place in "challengeable circumstances" if it takes place:
- (i) with the authority or purported authority of an authorisation under Part II of the Act; or
 - (ii) the circumstances are such that it would not have been appropriate for the conduct to take place without authority; or at least without proper consideration having been given to whether such authority should be sought.
- 14.4 Further information on the exercise of the Tribunal's functions and details of the relevant complaints procedure can be obtained from:

Investigatory Powers Tribunal

PO Box 33220

London

SW1H 9ZQ

020 7273 4514

- 14.5 Notwithstanding the above, members of the public will still be able to avail themselves of the Council's internal complaints procedure, where appropriate, which ultimately comes to the attention of the Local Government Ombudsman.

15 THE INVESTIGATORY POWERS COMMISSIONERS OFFICE

- 15.1 The Act also provides for the independent oversight and review of the use of the powers contained within Part II of RIPA, by a duly appointed Chief Investigatory Powers Commissioner.
- 15.2 The Investigatory Powers Commissioners Office (IPCO) was established to oversee covert surveillance carried out by public authorities and within this Office an Inspectorate has been formed, to assist the Chief Investigatory Powers Commissioner in the discharge of his review responsibilities.

- 15.3 One of the duties of the IPCO is to carry out planned inspections of those public authorities who carry out surveillance as specified in RIPA, to ensure compliance with the statutory authorisation procedures. At these inspections, policies and procedures in relation to directed surveillance and CHIS operations will be examined and there will be some random sampling of selected operations. The central record of authorisations will also be inspected. Chief Officers will be given at least two weeks notice of any such planned inspection.
- 15.4 An inspection report will be presented to the Chief Officer, which should highlight any significant issues, draw conclusions and make appropriate recommendations. The aim of inspections is to be helpful rather than to measure or assess operational performance.
- 15.5 In addition to routine inspections, spot checks may be carried out from time to time.
- 15.6 There is a duty on every person who uses the powers provided by Part II of RIPA, which governs the use of covert surveillance or covert human intelligence sources, to disclose or provide to the Chief Commissioner (or his duly appointed Inspectors) all such documents and information that he may require for the purposes of enabling him to carry out his functions.

IMPORTANT NOTE

This Procedure Manual has been produced as a guide only and is primarily based on the revised Codes of Practice on Covert Surveillance and Covert Human Intelligence Sources published by the Home Office. These Codes can be found at www.homeoffice.gov.uk.

For further information please contact:

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Louisa.moss@rochford.gov.uk

Angela Law – Assistant Director (Legal) Monitoring Officer, RIPA Monitoring

Officer– 01702 318131, EXT 3701 angela.law@rochford.gov.uk

ANNEX 1

Appointment of Authorised Officers

The following officers have been appointed by the Council as Authorising Officers for the purposes of RIPA:

Martin Howlett (Environmental Health Team Leader)

Paul Gowers (Overview & Scrutiny Officer)

Marcus Hotten (Assistant Director Environmental Services)

Matthew Thomas (Assistant Director Planning & Regeneration Services)

Shaun Scrutton (Managing Director and Head of Paid Service)

1(b) Senior Responsible Officer

Louisa Moss, Assistant Director Community & Housing Services

1(c) RIPA Monitoring Officer

Angela Law, Assistant Director (Legal) Monitoring Officer

ANNEX 2

Council's Authorised Applicants

In order for the Authority's RIPA authorisations to take effect, they must be approved by a Magistrate. That process requires applicants in person to appear for the Authority and the official court service guidance makes it clear that these should be investigators not lawyers.

Any person from this Authority wishing to make an application must be named in this annex and must take to court a copy of this annex and their official identification.

I certify that the following have been appointed under section 223(1) of the Local Government Act 1972 to appear for the Authority and are approved applicants in accordance with paragraph 9.2 of this policy:

Name	Section	Appointed from	Appointment terminated
Caroline Bell	Street Scene	15/04/14	
Jane Spink	Environmental Health	15/04/14	
Lesley Athey	Street Scene	15/04/14	
Yvonne Dunn	Planning Enforcement	15/04/14	
Graham Browne	Anti social behaviour	15/04/14	
Martin Howlett	Environmental Health	15/04/14	
Janette Fowler	Licensing	15/04/14	
Andrew Paddon	Environmental Health	15/04/14	
Steven Greener	Licensing		
Adrian Hills	Street Scene		
Talent Masuku	Planning Enforcement		
Tara Miller	Environmental Health		
Siobhan Sheridan	Environmental Health		
Angela Brown	Environmental Health		
Patricia Christie	Environmental Health		

Signed.....
Angela Law
RIPA Monitoring Officer