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Appendix Z

The URN must be completed on each page

Accountant in Bankruptcy

APPLICATION FOR DIRECTED SURVEILLANCE AUTHORISATION

Regulation of Investigatory Powers (Scotland) Act 2000

1.1 Applicant <small>(should reflect box 12)</small>		Operation Name	
1.2 Case Ref.		URN No.	
Expiry date and time of current authorisation		Date:	Time:

1. Authorisation required from:

Accountant in Bankruptcy

Depute Accountant in Bankruptcy

2. Details of surveillance activity for which authorisation is sought

3. Particulars (or description) of surveillance subject(s) against whom this application is directed.

*

NB. You must explain in your intelligence case how the subject has demonstrated a propensity to commit crime.

Name:	Name:
Address:	Address:
DOB:	DOB:

* If it is thought that other persons may become subjects at a later stage, they cannot be added at review or renewal unless some phrase such as "and other criminal associates whose identity is not yet known" is included in the original authorisation

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4. Intelligence case

a) Give a description of the investigation/operation

b) Detail the roles of specific subject(s) where known

5. Detail why the action is necessary under one or more of the following grounds:

Preventing or detecting crime or preventing disorder
 In the interests of public safety
 For the purpose of protecting public health

6. Information expected to be obtained from this activity, and why it is necessary for the purpose(s) indicated

7. Detail any sensitivities in the local community or similar activities by other public authorities which could impact on the action applied for

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b) Plan to minimise collateral intrusion.

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11. Risk Assessment

a) Ethical Low/Medium/High (explain rationale for classification)

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b) Personal Low/Medium/High (explain rationale for classification)

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c) Operational Low/Medium/High (explain rationale for classification)

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2. d. Risk Management Plan

12. Applicant. (must be a member of the same organisation as the Authorising Officer).

Name (Print)	2.1 Rank	R
Signature	Telephone no.
Date:			

13. Operational Policy Unit (OPU) comments

Name (Print)	Rank
Signature			Date

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Appendix Z1

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Accountant in Bankruptcy

APPLICATION FOR RENEWAL OF DIRECTED SURVEILLANCE AUTHORISATION

2.2 (This renewal must be considered with the original application)

Regulation of Investigatory Powers (Scotland) Act 2000

2.3 Applicant (should reflect box 13)		Operation Name	
2.4 Case Ref.		URN No.	
Expiry date and time of current authorisation		Date:	Time:

1. Authorisation required from:

Accountant in Bankruptcy

Depute Accountant in Bankruptcy

2. Details of the activity for which renewed authorisation is sought

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3. Is this the first renewal of this authorisation? If no, give details of any previous renewals.		(Yes/No)
2.5 Renewal Numbers	3. Dates of renewals	

4. Particulars of all subject(s) against whom the authorisation is directed (subjects can only be added where the terms of the original authorisation permit this) *
NB. You must explain in your intelligence case how the subject has demonstrated a propensity to commit crime.

Name:	Name:
Address:	Address:
DOB:	DOB:
ID code:	ID code:

Name:	Name:
Address:	Address:
DOB:	DOB:
ID code:	ID code:

* If it is thought that other persons may become subjects at a later stage, they cannot be added at review or renewal unless some phrase such as “and other criminal associates whose identity is not yet known” is included in the original authorisation

5. Intelligence update
a) Give details of intelligence/information gained since the current authorisation was granted, including the reason for adding/removing subjects (where appropriate)

b) Detail any variation in the role of the subject(s) in the offence(s) under investigation

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c) Indicate the extent to which the objectives in the original application are being met (including by means other than the surveillance activity) and explain why it is expected that the surveillance will continue to meet these aims

d) If no product has been obtained since the current authorisation was granted, the reason for this must be given. Explain why it is believed that continuation will now obtain the information sought

6. Date and time surveillance originally commenced		hrs
a) Provide details of surveillance that has taken place since the most recent authorisation		
4. Date	4.1 Details of surveillance activity	4.2 Product obtained

7. Variation in plan of action
a) State any variation in your plan of action

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b) Detail why the action remains necessary under one or more of the following grounds:

- Preventing or detecting crime or of preventing disorder
- In the interests of public safety
- For the purpose of protecting public health

8. State whether this authorisation has resulted in, or is likely to result in, the acquisition of confidential information.

- | | | |
|---|------------------------------|-----------------------------|
| Matters subject to legal privilege | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Confidential journalistic Material | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Confidential personal information | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

b) If appropriate, specify the material/information and give details of how it will be handled

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9. Proportionality

a) How does the activity remain proportionate to what it seeks to achieve?

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b) What information is sought from continuation of the surveillance and why can this not reasonably be achieved by less intrusive means?

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10. Collateral intrusion

a) Detail any incidents of collateral intrusion/interference since the most recent authorisation.

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b) Describe how those events have been managed.

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c) State any variations in the likelihood of collateral intrusion arising from continuation. If known, either name individuals or give categories of people likely to be affected.

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d) Plans to minimise the collateral intrusion indicated above

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11. Give details of the results of any reviews by the Authorising Officer.

5. Date of review	6. Name of authorising officer	7. Outcome of review

12. Risk Assessment

a) Ethical **Low/Medium/High (explain rationale for classification)**

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b) Personal	Low/Medium/High (explain rationale for classification)
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c) Operational	Low/Medium/High (explain rationale for classification)
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8.

9. Risk Management Plan

Having identified the risks, what action will be taken to remove them? If risks are unavoidable, detail steps taken to reduce them.

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13. Applicant (must be a member or agent of the Accountant in Bankruptcy).

Name (Print): _____	9.1 G
	Grade: _____
Signature: _____	Telephone No. _____
Date: _____	

14. Operational Policy Unit's comments

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Name (Print): _____	Grade: _____
Signature: _____	Date: _____

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Appendix Z2

The URN must be completed on each page

Accountant in Bankruptcy

CANCELLATION OF DIRECTED SURVEILLANCE AUTHORISATION

Regulation of Investigatory Powers (Scotland) Act 2000

9.2 Applicant (Should reflect box 9)		Operation Name	
9.3 Case Ref.		URN No.	
Expiry date and time of current authorisation		Date:	Time:

1. Cancellation to be completed by:
Accountant in Bankruptcy <input type="checkbox"/> Depute Accountant in Bankruptcy <input type="checkbox"/>

9.4 2. Particulars (or description) of subject(s) against whom the authorisation was directed	
Name: Address: DOB:	Name: Address: DOB:

3. Date and time surveillance originally commenced		hrs
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b) Provide details of surveillance that has taken place since the most recent authorisation

10. Date	10.1 Details of surveillance	10.2 Product obtained

4. Outcome of Investigation

Intelligence
 Seizure
 Disruption
 Other
 None

a) Detail of actions instituted or intended to be instituted

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c) Reason for cancellation

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5. Give details on how the surveillance contributed to the investigation/outcome.

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6. Was the technique or equipment compromised?	10.3 (Yes/No)
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a) If yes, has the National Compromise Database been notified? If not, give reasons:	10.4 (Yes/No)
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b) Has an intelligence report for compromise been completed, if applicable?	10.5 (Yes/No)
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7. If the authorisation was not used, used infrequently or continued after arrest, the reason for this must be given

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8. Material

a) Arrangements for the storage of material obtained as a result of the surveillance.

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b) Arrangements for its review and destruction when no longer of use.

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11. NOTIFICATION OF CANCELLATION		
<i>Time and date instructions given by Authorising Officer to Cease Surveillance</i>	Time:	Date:
Authorising Officer Name (Print)	Title:	
Signature	Date:	

<i>AVO's Initials</i>	
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