Victoria Police Manual		
General Category – Operations		
Topic – Aids to Investigation		
VPM Instruction		
111-3 Human Sources	Originally Issued Last Updated Update History	**07/05/07** **03/11/08**

1. Policy

This policy has been developed as a result of national and international research into human source "best practice". In addition to policy, critical aspects of human source management are methodology and operational security. Guidelines for the use and management of human sources are found in the Human Source Practice Guide. The Human Source Policy and Practice Guide should be read in conjunction with each other.

The following Human Source principles must always be adhered to:

- Human Sources (informers) must only be used for the purposes of intelligence collection and investigative support in a manner in which the integrity of sources, the community, police members and Victoria Police is protected. Where it is intended to task them in circumstances where they would be criminally responsible for their conduct authority must be obtained under the Crimes (Controlled Operations) Act 2004. See CCI 11/08 for further details.

- Human Sources must always be registered. Any interaction with a Human Source whether active or inactive must be documented by way of a Contact Report.

- Human Sources must be properly supervised and clear about the legal and ethical boundaries of their activity. They must not be recruited if there are insufficient Handlers, Controllers or other resources available to manage them safely.

- Community Contacts may be registered in order to protect their confidentiality and ultimately the safety of those persons who assist the police.

2. References

- Human Source Forms – available from HSMU.
- Human Source Practice Guide and Human Source Risk Assessment Manual – available from HSMU.
- CCI 11/08 – Controlled Operations

3. Definitions

Central Source Registrar – is the Superintendent, State Intelligence Division, Intelligence & Covert Support Department, who has responsibility for policy, training and central approval of all source registrations.

Co-Handler – is a police member who may assist a handler or assume management of a source where the Handler is unavailable.

Community Contact – is an identified person who, through the course of their day to day activities provides information to Victoria Police with an expectation that their identity will be protected. Community Contacts must not be requested or tasked to actively gather intelligence nor should be considered for reward or benefit. They are generally community minded citizens.

Controller – a Sergeant or above, who has direct supervision of a Handler.

Expense Payment – a reimbursement given to a Human Source resulting from expenses incurred because of direct tasking requests from police.

Handler – member who has primary responsibility for contact with the Human Source and for the initial evaluation of information supplied by that source.

Human Source – an identified person, who develops or maintains a relationship with another person/s for the purpose of providing information to Victoria Police with an expectation that their identity will be protected, and:
- actively seek out further intelligence or information on direction, request or tasking of police;
- may receive reward, reimbursement or any other benefit;
- there exists a threat or potential of danger or harm to a person as a result of the relationship between the Human Source and Victoria Police or,

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Human Source Management Unit (HSMU) – Central Source Registry, located within the State Intelligence Division, Intelligence and Covert Support Department.

Human Source Rewards Committee – a standing committee formed to consider all human source reward applications that consists of at least three of the following:

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The constitution of the committee must ensure representation of Regions and Crime Department.

Juvenile Source – a Human Source who is a 'child' as defined in the *Children Youth and Families Act* 2005.

Letter of assistance – a document informing a court about assistance provided to Victoria Police by a Human Source. A letter of assistance is a reward and must be approved by the Human Source Rewards Committee.

(Letters for strictly witnesses who have been charged with unrelated matters to their testimony are not governed by this policy)

Local Source Management File – a secure file held by the Local Source Registrar containing:
- Copy of Source Registration/Reactivation application.
- Copy of Risk Assessment.
- Activity Log documenting management decisions/directions and audits of Source Management File including any expense payments.

Local Source Registrar – Superintendents nominated by Department Managers to have responsibility for the approval of Human Source registrations at a local level and supervision of Source related operations.

Reward – any cash, goods, judicial assistance or other like benefit given to a Human Source as reward for information provided to police.

Source Development Unit (SDU), Intelligence & Covert Support Department - a covert unit comprised of source handlers and controllers dedicated solely to the tasks of:
- Managing designated 'high risk' human sources for Victoria Police.
- Targeted recruitment of 'potential' human sources in the organised crime or national security environments.

Source Management File – a secure file held by the Controller containing:
- Activity Log documenting all source interaction, reporting and reviews.
- Copy of Risk Assessment/s.
- Copies of all Contact reports.

Also refer to the general VPM Dictionary for definitions and acronyms.

4. Application

This policy does not apply to source management procedures within Crime Stoppers, or to internal sources who are employees of Victoria Police providing information alleging corruption, criminality or serious misconduct (see VPM 210-3).

In the case of ESD, Human Sources and source records will be managed internally by ESD in line with the requirements of this policy.

5. Registration

5.1 Juvenile Sources

- Juvenile Sources must only be used where circumstances specifically warrant it. If a Juvenile Source is to be used:
  - authorisation of the juvenile Source must be limited to one month and subsequent renewals restricted to one month
  - the Local Source Registrar must review the authorisation to register and use the Juvenile Source within 72 hours
  - a parent and or guardian must give consent unless exceptional circumstances exist. If consent is not obtained, the grounds for not doing so must be properly established and reported to the Local Source Registrar.

- Juvenile Sources should only be used to supply information about members of their immediate family in exceptional circumstances.

5.2 Community Contacts

Where a member believes it is necessary to protect the identity of a Community Contact they may submit a Source registration application to their OIC/Supervisor, however it is not necessary to complete a Risk Assessment or Acknowledgement of Responsibilities Form. When dealing with a Community Contact, all information must still be recorded on a Human Source Contact Report.

On receipt of the Source Registration/Reactivation Application the OIC/Supervisor will:

- assess and approve or reject the application. If the status meets the definition of a Human Source, ensure the proper registration process is initiated (see section 5.3).

- forward the approved application to the HSMU and a copy to the Local Source Registrar for recording

- allocate a suitable Handler and Co-Handler

- ensure a Confidential Code is allocated.

- ensure all future documentation refers to the person by the code

- monitor the relationship and ensure the status of the Community Contact does not change to a Human Source. If a Community Contact is to be tasked or receive reward or benefit, they would be considered a Human Source and therefore a full Risk Assessment and Acknowledgment of Responsibilities must be completed.

5.3 Human Sources

After establishing that a person is suitable and meets the requirements of registration, the identifying member must submit a Source Registration application to their OIC/Supervisor. A Risk Assessment must also be completed within [PII] This will provide sufficient opportunity for completion of Acknowledgment of Responsibilities provisions and veracity testing of source information. Where it is decided that a source will not be used [PII] only a de-activation form outlining the reasons is required.

5.3.1 OIC/Supervisor's responsibilities

On receipt of the Source Registration/Reactivation Application the OIC/Supervisor will:

- assess the suitability of the Human Source and allocate a Controller, Handler and Co-Handler

- evaluate any risks identified in the initial preliminary risk assessment and consider risk management strategies

- consider operational priorities and duty of care issues

- forward completed Registration/Reactivation Application and identity documents to the Local Source Registrar.

5.3.2 Local Source Registrar Responsibilities

- On receipt of the Registration/Reactivation Application Form, the Local Source Registrar will:
  - create a local source management file
  - assess the suitability of the Source
  - evaluate potential and identified risks and ensure management strategies are in place
  - ensure that the allocated Handler, Controller and OIC/Supervisor are appropriate
  - approve or reject the application.

- If an application is rejected the Local Source Registrar will:
  - advise HSMU
  - record the reason for rejection and action taken by the Handler, Controller and Supervisor on the local source management file
  - forward advice of the application and rejection to HSMU.

- If an application is approved the Local Source Registrar will:
  - authorise the Source Registration/Reactivation Application and the allocation of Handler, Co-Handler and Controller
  - contact the HSMU for allocation of a Source code, notify the OIC/Supervisor, Controller and Handler of the code and record it on the Source Registration Form

> – forward the Source Registration/Reactivation Application Form to HSMU
> – Ensure the completed the Risk Assessment and Acknowledgement of Responsibilities documents are forwarded to HSMU PII ███████████

5.3.3 Responsibilities of Controller on approval of registration

Once registration has been approved and a source code allocated, the Controller must:

- create a source management file and record the code in the file

- PII ██ensure the Acknowledgement of Responsibilities requirements are completed and that the Source clearly understands their responsibilities. The Source should not be tasked until this occurs.

- ensure the Acknowledgement of Responsibilities Form and any recordings are forwarded to the HSMU PII ███████████ of the meeting, unless exceptional circumstances exist.

5.3.4 Responsibilities of HSMU

When a request for a source code is received from the Local Source Registrar, the HSMU must:

- ensure there is no duplication of registration. If duplication is detected and confirmed HSMU will:
  - advise the Local Source Registrar responsible for the first registration and provide the contact details of the Local Source Registrar attempting the secondary registration
  - advise the Local Source Registrar attempting to register regarding any previous assessments of the Source
  - record details of the registration attempt in the Central Source Database

- generate a code and record it along with the name of the Source in the Central Source Database

6. Risk assessment

6.1 Overview

- A risk assessment must be completed by the Handler or Controller for all Human Sources in line with the Human Source Risk Assessment Manual.

- If a risk assessment identifies a Source as high risk, the SDU must be contacted for operational advice and assistance.

6.2 Human Sources

- A full risk assessment must be provided to the Local Source Registrar for approval and must be forwarded to the HSMU PII ███████████

- Controllers must review the risk assessment monthly

- Where it is decided that a source will not be used PII ███████████ a de-activation form outlining the reasons may be submitted.

6.3 Community Contacts

A full Risk Assessment is not required, however the member must consider the risks involved and notify the OIC/Supervisor of all identified risks.
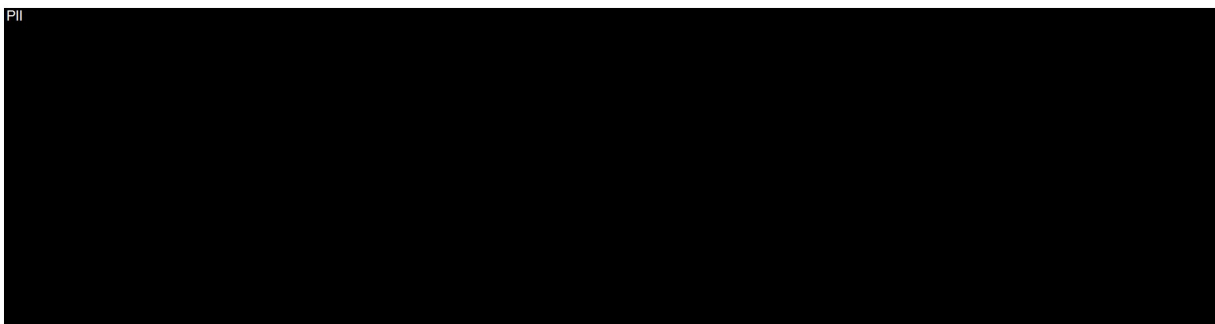
7. Contact with Sources

7.1 Operational security

Members responsible for handling any information from Human Sources must make every effort to ensure that the identity of the Source is not compromised. The Human Source must not have any knowledge of, or contact with the home address or private life of any member involved in the handling or managing of the Source.

7.2 Planned meetings

7.2.1 Approval

The OIC/Supervisor and/or Controller must approve any planned meeting between a Handler and a Human Source.

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7.3 Recording contact

7.3.1 Record of contact

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- If a chance meeting occurs the Handler or Co-handler must advise the Controller and/or supervisor as soon as practicable.

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7.3.2 Briefing Controller

As soon as practicable after contact with a Source, and completion of the Contact Report, the Handler or Co-handler must brief the Controller on the report. Following this briefing the Controller must:

- attach the report to the Source Management File and complete the Activity Log

- forward an electronic copy of the report to the HSMU

- circulate the sanitised Information Report, ensuring it does not contain any information that could identify the Source, and forward an electronic copy to HSMU.

# 8. Confidentiality, disclosure and protection of Human Sources

8.1 Document security

- All Human Source documentation must be kept securely in lockable storage facilities with restricted access. Local Source Registrars are responsible for providing and maintaining secure lockable storage facilities for keeping local source management files. Lockable storage facilities must be provided by OIC/Supervisors to Handlers/Controllers who are managing a Source.

- Documents must be managed in accordance with VPM 206-2.

8.2 Disclosure of information supplied by a Human Source

- Local Source Registrars and the HSMU must oversee any disclosure to ensure that the information obtained from a Source is disseminated in a timely manner and in accordance with operational needs. Details of how information is disseminated must be recorded on the Activity Log and Contact Report.

- The Handler and Controller must ensure that the identity of the source cannot be deduced from the information disseminated. This means Information Reports must be accurately sanitised.

- In instances where disclosure for the purposes of investigation may place the Source at risk, a record of this must be made on the Activity Log including a clear outline of the reasons for non-disclosure.

- If there is any dispute over the dissemination of information from a Source the Central Source Registrar will make the final decision.

8.3 Protection of Human Source's identity

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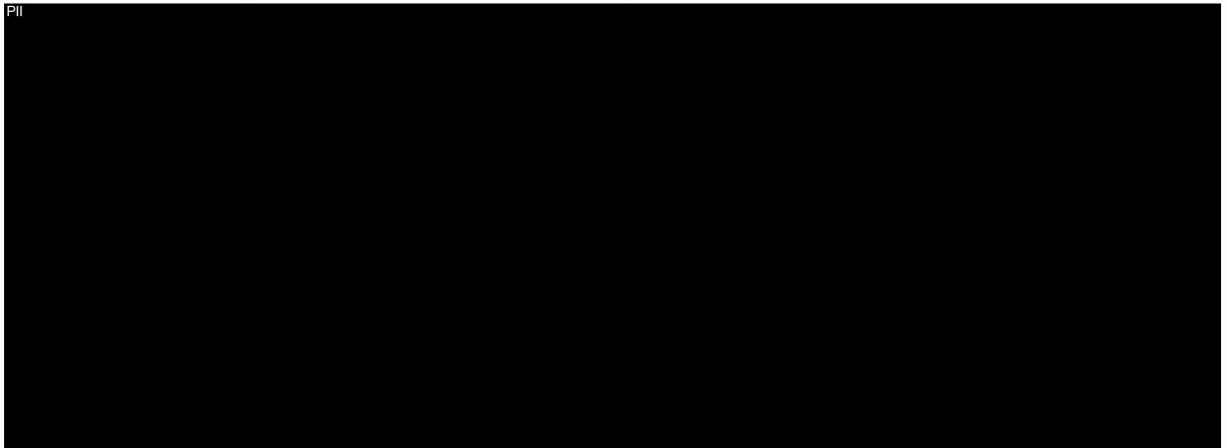
8.3.2 Service of process or FOI applications

- HSMU and the Legal Adviser's Office must be notified immediately if legal process is served to produce any record that may directly or indirectly identify a Source.

- Employees who are requested to provide information in response to an FOI application or subpoena and who become aware that such information may contain intelligence from a Source must contact HSMU immediately.

9.   Payments

9.1   Requirements

- Payments for expenses or reward must only be given to a Source that is registered, and then only where they provide important information or assistance.

- The Human Source Rewards Committee must approve all reward payments.

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- Members must not give any undertaking to a Source about a proposed reward prior to Committee approval.

9.2   Applications for payment

9.2.1   Process

- The Request for Source Reward Form must be completed by the Handler and submitted to the Controller. The Controller must update the source management file and forward the request to the OIC/Supervisor.

- The OIC/Supervisor must assess the request, provide a written recommendation and forward all documentation to the Local Source Registrar.

- The Local Source Registrar must forward the request and supporting documentation to the HSMU for consideration by the Human Source Rewards Committee.

- The HSMU is responsible for coordinating all requests to the Human Source Rewards Committee. All letters of Assistance will be prepared by the HSMU from the information provided in the reward application.

9.2.2   Human Source Rewards Committee

The Human Source Rewards Committee is responsible for the evaluation and authorisation of all Human Source reward requests. When a reward is authorised the committee will nominate the source of the funds and the payment method, and will then refer authorised requests to the relevant Local Source Registrar for funding and payment. If a reward is not authorised the committee will provide written explanation to the requesting Local Source Registrar.

9.3   Making reward payments

9.3.1   Method of payment

All reward payments to Sources must be made as directed by the Human Source Rewards Committee.

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10. Reassigning Handlers, Controllers or Supervisors

10.1 Circumstances

Circumstances may arise where a Local Source Registrar, OIC/Supervisor or Controller may consider it necessary to re-assign the OIC/Supervisor, Controller, Handler or Co-Handler. This may include instances where:

- advice to re-assign the OIC/Supervisor , Controller, Handler or Co-Handler has been received from the Central Source Registrar

- the member is –
    – on leave
    – no longer in the service of Victoria Police
    – assigned duties that preclude contact with the Source
    – found to be unsuitable
    – transferred to another work location
    – upgraded within their own office (i.e. cannot become Controller if also Handler)

10.2 Responsibilities of Local Source Registrar

In deciding to re-assign a member or receiving advice from the Central Source Registrar, the Local Source Registrar must:

- direct the responsibility for managing the source to a nominated new OIC/Supervisor, Controller, Handler or Co-Handler, where the member is to be re-assigned immediately

- personally inform both the existing Controller, Handler and Co-Handler and new Controller, Handler and Co-Handler of the re-assignment

- notify HSMU of the change.

Where the reason for the re-assignment relates to deficiencies in the member's skills, the Local Source Registrar must inform the HSMU, who may assist with remedial training to correct the deficiencies.

10.3 Transfer of Source management to another work unit

- Where the responsibility for management of a source has transferred to another unit such as the Source Development Unit (or visa versa), current Registration/Reactivation and Risk Assessment documents must be completed and forwarded to the HSMU.

- Completed files from the previous handling unit must be provided to the HSMU upon handover.

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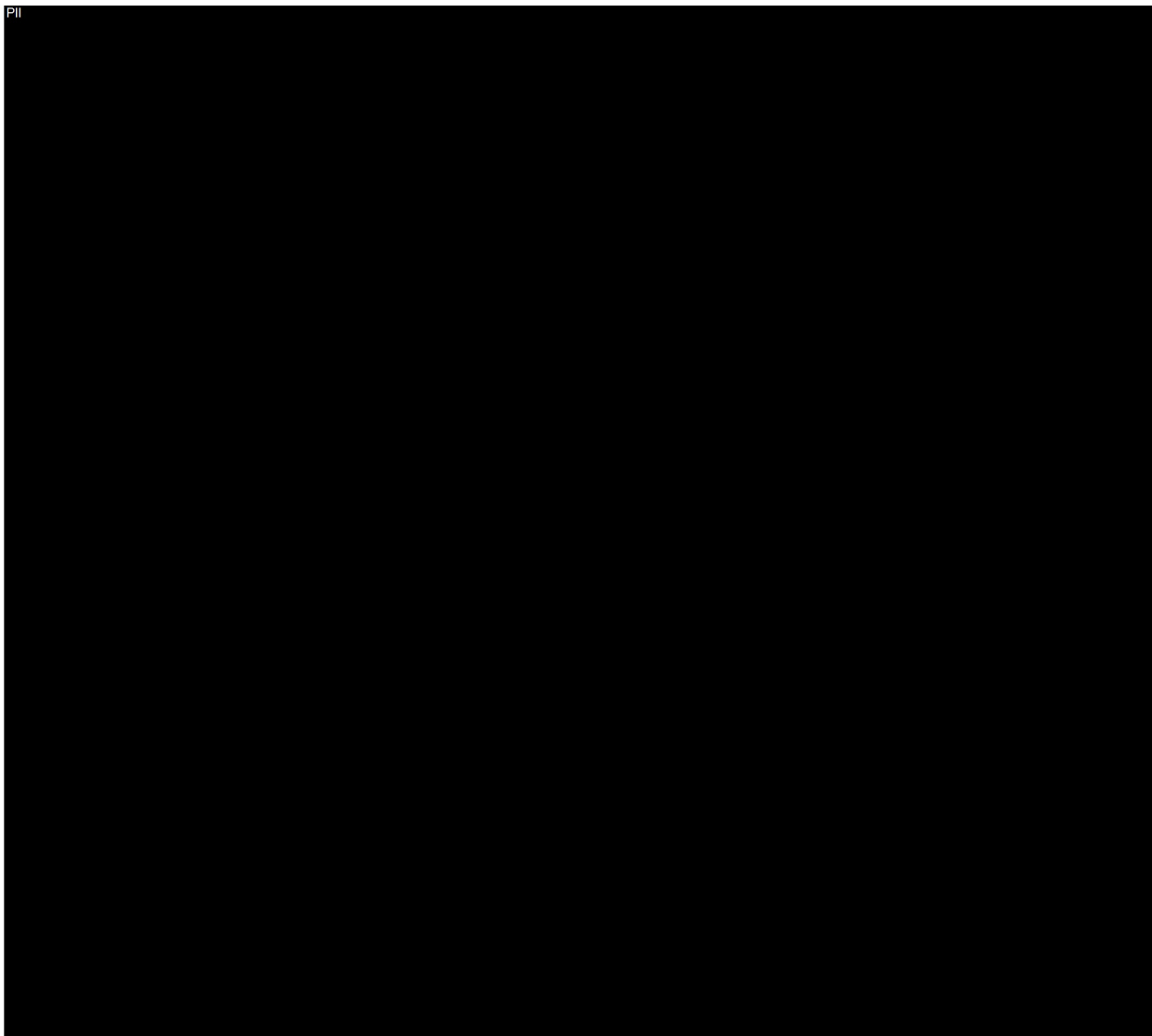
12. Status of Human Sources and deactivation

12.1 Classifications

There are three Source classifications:

- active - currently providing reliable operational information

- inactive - currently not providing reliable operational information, however is able to resume doing so at any given point in time

- unsuitable - has in the past provided operational information, however, they have been assessed unusable. A source may be classified as unsuitable if they have become dangerous, unreliable, or an unacceptable high risk to themselves, Victoria Police or the public.

12.2 Deactivation of Human Sources

12.2.1 Criteria

- A Source must be de-activated if they have become unsuitable.

- A Source must be de-activated to the status of 'inactive' if:
    - there is no current operational need for the Source
    - the Source moves out of the jurisdiction; or
    - the Source has not provided operationally reliable information for a period of at least three months

- If the HSMU does not receive any contact reports from the Handler/Controller for a period of six months, a report will be forwarded to the Local Source Registrar advising that the Source status is 'inactive'. Further use of the Source will require a reactivation application.

12.2.2 Requesting deactivation

Any member involved in the operational management of a Source may recommend the de-activation of a source to the Local Source Registrar. Members requesting de-activation of a Source must:

- consult the Handler, Controller and OIC/Supervisor

- complete a Source Deactivation Form and forward to Local Source Registrar for approval.

12.2.3 Approval

Once deactivation is approved the Controller must:

- ensure that the source management file is delivered to the Local Source Registrar

- attend the final meeting, to ensure the Source is fully de-briefed. If the Source is unavailable for a final meeting, make notation on the de-activation report for approval and forwarding to HSMU.

12.2.4 Updating of records and filing of documentation

Local Source Registrar responsibilities

On receipt of the source management file and Source De-activation Form the Local Source Registrar must:

- update the Local Source Registry

- ensure the safe delivery of the source management file, local source management file, deactivation interview, audio recordings and any other documents to the HSMU.

- ensure that no documents relating to the management of the Source are retained outside HSMU (SDU exempt).

13. Audit and compliance

- Controllers must complete a:
    - monthly review of the Source relationship, risk assessment and information gained and record it in the local source management file

- The Local Source Registrar must conduct:

  – yearly audits of source management files

  – procedural, ethical and value audits for all active Sources they have registration responsibility for

- Refer to the *Workplace Inspections Manual* for further details about conducting inspections and audits.