

VICTORIA POLICE

Chief Commissioner's Office

Victoria Police Centre
 637 Flinders Street
 Docklands 3008
 Victoria Australia
 Telephone (61 3) [REDACTED]
 Facsimile (61 3) [REDACTED]

PO Box 913
 Melbourne 3001
 Victoria Australia

Commissioner Stephen O'Bryan QC
 Independent Broad-based Anti-Corruption Commission
 GPO Box 24234
 Melbourne Vic 3001

Dear Commissioner O'Bryan, *Stephen*

I write to you in response to the Honourable Murray Kellam's report regarding the handling of Human Source 3838. Mr Kellam recommended, under Section 161 of the IBAC Act, that I advise you which of his recommendations have been implemented by Victoria Police.

I confirm that all of Mr Kellam's recommendations relating to Victoria Police have been adopted, and that there have been a number of changes made to Victoria Police's policy on Human Sources along with other supporting documents, such as risk assessments.

The attached document titled 'Response to Recommendations from IBAC Report' outlines how the recommendations have been adopted.

A copy of the revised policy and risk assessments has also been attached for your information. The policy is in the draft format so as to show what has been marked for removal from policy (red highlight) and what has been added to the policy (yellow highlight). These policy amendments have now been approved.

If you have any further related queries, please contact Assistant Commissioner Tracy Linford of the Intelligence & Covert Support Command on (03) [REDACTED]

Yours sincerely,

[Signature]
 Tim Cartwright APM
 Acting Chief Commissioner

26/6/2015

FOR OFFICIAL USE ONLY

Victoria Police Response to Recommendations from IBAC Report

	Recommendation	Action Already Taken	Proposed Further Action
1	<p>That all VicPol human source policies, associated instructions and practice guidelines be revised to clearly reflect:</p> <p>(a) That special consideration applies to the obtaining, usage and management of information that may be subject to legal professional privilege and/or the subject of confidential information.</p>	<p>This aspect now covered under current human source policy at sections 4.5 and 4.6 Victoria Police Manual Policy Rules (VPM).</p>	
	<p>(b) That the utmost caution ought to be exercised before engaging a human source who may have conflicting professional duties (eg lawyers, doctors, parliamentarians, court officials, journalists and priests etc).</p>	<p>This recommendation is also addressed under current human source policy at sections 4.5 and 4.6 VPM. These sections require that where a human source is occupationally bound by confidentiality provisions that the HSMU must seek advice from Legal Service Division</p> <p>The risk assessment document has also been amended to highlight the policy requirements</p>	

FOR OFFICIAL USE ONLY

Recommendation	Action Already Taken	Proposed Further Action
(c) That prior to the registration of any human source to whom a professional duty may apply, appropriate legal advice must be obtained.	<p>This recommendation is also addressed under current human source policy at sections 4.5 and 4.6 VPM. These sections require that where a human source is occupationally bound by confidentiality provisions that the HSMU must seek advice from Legal Service Division</p> <p>The risk assessment document has also been amended to highlight the policy requirements</p>	
(d) That handlers should not actively seek information from human sources to whom a professional duty may apply if such information would cause the human source to breach such a duty knowingly.	This recommendation is also addressed under current human source policy at sections 4.6 VPM.	
(e) That source handling and management duties provide no indemnification that would allow those performing such duties to disregard confidentiality notices that may be issued for IBAC, ACC or similar types of coercive hearings. Contravening such notices, in the absence of formal authority to do so, carries risk of criminal prosecution.	This recommendation is now addressed under current human source policy at sections 2.2 VPM after receiving legal advice regarding wording and incorrect advice to be removed.	

FOR OFFICIAL USE ONLY

Recommendation		Action Already Taken	Proposed Further Action
2	I endorse recommendation 4 of Mr Comrie's review that the serious failings reviewed by this inquiry in relation to risk assessment insight, and lack of re visiting risk assessments must be the subject of sustained remedial action, and if that remedial action has been taken already, that it must be the subject of regular periodic review and regular audit and for more detailed and proximate oversight by senior officers than was the case under consideration in this inquiry.	<p>Risk assessment policy is covered in the current VPM at chapter 4, which has been updated.</p> <p>HSMU staff is currently undertaking a monthly audit of all registered human sources using the current Interpose system. This audit is time consuming, requiring each individual record to be manually checked.</p>	Possible IT solutions by creating compliance reporting in Interpose is being actively investigated with a working group established comprising of members of PIPP, Procurement, OSSD, HSMU and Internal Audit.
3	<p>That VicPol develop a more comprehensive and robust human source risk assessment process to address the many shortcomings apparent in the risk assessment process the subject of this inquiry</p> <p>The revised risk assessment process, in particular must ensure:</p> <p>(a) Clear particularisation of the purpose for engagement of the human source and instructions that if there is any change to this purpose, or any form of "bracket creep" in original intentions, then a new and full risk assessment process must be undertaken.</p>	<p>Victoria Police has developed two completely new risk assessment instruments; one for a human source and an abridged version for community sources. The new risk assessments are based upon the United Kingdom National Informant Working Group Model. These risk assessments identify all generic risks present in a human source relationship as well as allowing for the identification of risks specific to that relationship – (attached).</p> <p>This recommendation is addressed in VPM, Chapter 4.3 The relevant section states <i>"The risk assessment must clearly articulate the purpose for engagement of the source and if there is any change in that purpose or any movement from the original intent, then a full new risk assessment must be undertaken"</i>.</p>	

FOR OFFICIAL USE ONLY

Recommendation	Action Already Taken	Proposed Further Action
(b) That where complex legal and ethical considerations are evident, such as the source being occupationally bound by other ethical responsibilities, then consultation must occur with the VicPol Director Legal Services or Victorian Government Solicitor prior to completion of the risk assessment process.	This recommendation is now covered under updated amendments made to chapter 4.5 VPM.	
(c) That where other complex issues are recognised, such as health or mental health matters, then appropriate professional advice is obtained.	This recommendation is now covered under updated amendments made to chapter 4.5 VPM.	
(d) That any risk assessment reliant on positive obligations to utilise a source must be subjected to the utmost scrutiny to reflect upon the issues of proportionality and necessity. Positive obligation reliance must be for specific purpose only and approval must lapse upon fulfilment of this purpose. Where positive obligations are to be relied upon consultation must first occur with the VicPol Director Legal Services.	<p>Positive obligations relates to a need to register a human source in circumstances where a failure to do so could result in serious harm to members of the public, even though the source may represent an unacceptable risk in normal circumstances.</p> <p>Section 1.19 VPM creates an Ethics Committee whose terms of reference (TOR) in part addresses this recommendation. TOR number 4 requires the committee to review decisions taken by the Central Source Registrar Monitor in cases where there is a positive obligation to utilise a human source to ensure that the registration is proportionate and is necessary. The Ethics Committee has the power to call upon specialists, such as the Director Legal Services Department, to provide advice on these types of issues.</p>	

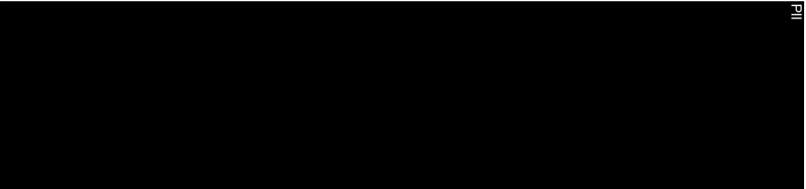
FOR OFFICIAL USE ONLY

Recommendation	Action Already Taken	Proposed Further Action
<p>(e) That source registration cannot occur until the LSR has endorsed the risk assessment document to indicate their satisfaction that all perceivable risks have been identified, that the risk controls are sufficient and that any change to risk profile must trigger a new risk assessment process.</p>	<p>The wording of this recommendation is problematic due to the way Interpose processes human source registrations. When a handler enters the human source details along with the handling team details into Interpose the system immediately generates a human source registration number. The wording of Section 3.2 has been updated to include the following:</p> <ul style="list-style-type: none"> • <i>The generation by Interpose of a human source registration number only indicates that the details of the proposed human source have been registered on the system. The registration is not approved until such time as the CSR provides that approval.</i> <ul style="list-style-type: none"> ▪ <i>The human source is not to be tasked until the registration has been approved.</i> ▪ <i>The source registration number is not to be used in any manner until the registration has been approved by the CSR, including warrant applications. For urgent applications the HSMU can be contacted by phone and after hours via ESTA.</i> <p>VPM 1.9 has been also been amended to give effect to this recommendation.</p>	

FOR OFFICIAL USE ONLY

Recommendation		Action Already Taken	Proposed Further Action
	(f) That for high risk source cases the LSR, as a component of the monthly inspection process, must endorse current risk assessments to reflect that no new risks have arisen that would require a revised risk assessment being conducted and that the current risk assessment remains fit for the purpose. The LSR must also document the checks and inquires undertaken in order to make such a determination.	Amendments have been made to VPM policy at chapters 4.4 and 16 with the wording of this recommendation being transposed in its entirety	
	(g) That for high risk source cases there is sufficient capability and capacity to service the relationship and maintain reporting requirements.	It is the role of HSMU to ensure that there is capability and capacity for a particular handling team to manage a high risk human source. The HSMU SOP's at chapter 4.6 provide guidance relative to this aspect. If the HSMU determines there is a lack of capability and capacity to manage a particular HS the registration is not approved.	
4	That human source policies and instructions reflect that the sufficiency of the AOR must be the subject of constant evaluation, with additional instructions being documented and reinforced with the source as may be necessary.	Chapter 1.16 VPM has been amended to encapsulate this recommendation. It reads as follows: <i>"The AOR must be the subject of constant evaluation regarding its sufficiency. At a minimum, the AOR must be reviewed on a monthly basis by the controller as part of the risk assessment review process. The outcome of that review must be endorsed on Interpose by the controller. Where the template AOR proves to be insufficient then additional instructions must be documented and reinforced with the source, [REDACTED]"</i>	

FOR OFFICIAL USE ONLY

	Recommendation	Action Already Taken	Proposed Further Action
5	<p>That policies and procedures are developed to guide actions where significant psychological issues are apparent or are perceived to exist with a human source. These policies and procedures must ensure escalation of such issues to source registrar level and also ensure that where appropriate professional advice is obtained and given proper regard.</p>	<p>The VPM has been amended to encapsulate the breadth of this recommendation (See draft policy chapter 4.5) which reads:</p>  <p>In addition Section 1.19 VPM creates an Ethics Committee whose terms of reference (TOR) in part addresses this recommendation. TOR number 3 requires this committee to <i>“review decisions taken by Central Source Registrar relating to the registration of human sources that have complex ethical, legal or medical considerations; either ratifying that decision or recommending to the Assistant Commissioner ICSC the decision be overturned”</i>. The Ethics Committee has the power to call upon specialists, such as a Forensic Psychologist, to provide advice on these types of issues. (See Ethics Committee Terms of Reference) attached.</p>	
6	<p>That VicPol settle and publish within human source policy a clear and unambiguous definition of what constitutes “tasking” and ensure that this definition is brought to the attention of all personnel involved in human source operations.</p>	<p>The VPM at chapter 1.18 defines “tasking” as follows:</p> <p><i>“Tasking is any approved assignment given to the human source by the handlers. This includes asking the human source to obtain information, to provide access to information or to otherwise act, incidentally, for the benefit of the relevant agency”</i>.</p>	

FOR OFFICIAL USE ONLY

	Recommendation	Action Already Taken	Proposed Further Action
7	That human source management policies and instructions reflect that in any instance where as a result of information being provided by a human source, oral advice is disseminated to another area of VicPol, such actions are to be fully documented in an expeditiously submitted information report.	An amendment to the VPM (see draft policy chapter 6.5) has been drafted to give effect to this recommendation as follows: <i>"Human source intelligence should only ever be disseminated verbally in cases of where there is an operational imperative. All verbal disseminations must be recorded in the relevant source contact report and then reduced to an information report and disseminated expeditiously".</i>	
8	That a process of independent and appropriately skilled case officer assessments be established to provide for the frequent, comprehensive and accountable review of all high risk human source files and records.	The HSMU was expanded in 2013 to provide increased oversight in HSM. The HSMU SOP's at chapter 4.6 provide guidance relative to this aspect. Additionally VPM chapter 1.11 articulates the role of the HSMU and has been amended to include: <i>"To undertake frequent, comprehensive and accountable reviews of all high risk human source files and records".</i>	
9	That in any instance where it is contemplated that a human source is to be engaged by other police in order to secure evidence an appropriate management plan must first be compiled. Such a plan should clearly articulate roles, responsibilities and management arrangements and also include a full risk assessment process. The plan should also endeavour to extract the maximum benefits available from all learnings derived to date from source interaction.	Human sources are not and should not be used to gather evidence; they gather intelligence. Witnesses gather evidence. VPM chapter 2.4 provides guidance relative to the transfer of a human source between handling teams. Chapter 2.4 states the following: <ul style="list-style-type: none"> • <i>Where the transfer of a human source from one handling team to another team outside of the originating workgroup is being contemplated, the HSMU must be consulted. In any such instance an appropriate management plan must be formulated.</i> • <i>That management plan must clearly articulate roles, responsibilities and management arrangements. A new risk assessment must be undertaken.</i> • <i>A new Interpose registration process must be initiated by the receiving workgroup.</i> 	

FOR OFFICIAL USE ONLY

	Recommendation	Action Already Taken	Proposed Further Action
10	<p>That VicPol develop a process to be activated whenever it may be contemplated that a human source may be required to become a witness. This process should include the compilation of a source to witness transition management plan which encompasses:</p> <p>(a) Comprehensive legal advice and the involvement of the VicPol Director of Legal Services.</p> <p>(b) Full risk assessments and briefing notes (both from source managers and from the particular investigators).</p> <p>(c) [REDACTED]</p>	<p>Chapter 2.2 VPM contains a requirement that the HSMU is to be contacted when a decision has been made to register a witness as a Human Source or a where it is proposed that an active or deactivated human source becomes a witness.</p> <p>Section 4.31 of the HSMU SOP's details a process when consideration of transitioning a human source to a protected witness. This process involves [REDACTED] PII</p> <p>[REDACTED] PII The wording of the HSMU SOP's has been reviewed by [REDACTED] PII who has confirmed the wording is suitable and does not conflict with [REDACTED] PII processes.</p>	

Victoria Police Manual – Policy Rules

Human sources

Context

For the purposes of investigating crimes, police use a number of means to obtain information and intelligence. One is the use of confidential human intelligence sources, referred to by Victoria Police as human sources. This policy has been developed to:

- Support the use of human sources in investigations and intelligence gathering
- Protect Victoria Police's reputation
- Protect Victoria Police's methodology
- Protect the integrity and safety of members and human sources
- To ensure the management of human sources is within legal and ethical boundaries.

Application

Policy Rules are mandatory and provide the minimum standards that employees must apply. Non-compliance with or a departure from a Policy Rule may be subject to management or disciplinary action. In making decisions that support compliance with Policy Rules, employees must consider the **Professional and Ethical Standards**.

These Policy Rules apply to all Victoria Police employees with the following exceptions:

- This policy does not apply to human source management procedures within Crime Stoppers, or to internal sources who are employees of Victoria Police providing information alleging corruption, criminality or serious misconduct. For further guidance on this, see **VPMG Complaint management and investigations** and **VPMG Protected disclosures**.
- In the case of Professional Standards Command (PSC), human sources must be managed internally by PSC in line with the requirements of this policy and utilising Interpose. PSC has an independent structure relevant to the management of human sources.

Rules and Responsibilities

1. Glossary and definitions:

1.1 *Human source*

For the purposes of this policy, a human source is an identified person who provides information to Victoria Police (or another law enforcement agency) with an expectation that their identity will be protected, and specifically where:

- they actively seek out further intelligence or information on the direction, request or tasking of police;
- they develop or maintain a relationship with other person/s for the purpose of providing that information;
- they are seeking or may be eligible for rewards or other benefits;
- there exists a threat or potential of danger or harm to a person as a result of the active relationship between the Human Source and Victoria Police;
- [REDACTED]

1.2 Community source

Under this policy a community source is an individual who has volunteered information to the police with an expectation that their anonymity will be preserved. Typically the role of a community source will be confined to providing eyes and ears intelligence.

- A community source:
 - can be a public spirited person or someone who is providing one off information;
 - may provide information on a single occasion or on numerous occasions;
 - must not be requested or tasked to actively gather intelligence other than reporting on events they see and hear in the context of their everyday habits and routines;
 - may apply and can be considered for a reward;
 - must have the relevant risk assessment completed prior to their registration (further information about risk assessments can be found at section 4 below).
- The primary reason for registering a community source is to preserve their anonymity and ultimately the safety of those persons who assist the police.

[REDACTED] When dealing with a community source (or human source), all information must be recorded on a Source Contact Report. See section 7.4 below for information about Source Contact Reports. (REMOVE)

1.3 Juvenile sources

- Any person registered as either a human or community source who has not yet reached 18 years of age.
- Risk assessments for juvenile sources must always address their vulnerability specific to their age and maturity.

- Authorisation for juvenile sources is limited to one month with all subsequent renewals restricted to one month periods unless the source has reached their 18th birthday.
- The Local Source Registrar must review the initial registration application to register and use the juvenile source within 72 hours of the registration process commencing.
- A parent and or legal guardian (includes persons who are under State care) must give consent unless exceptional circumstances exist. If consent is not obtained, the grounds for not doing so must be properly established and approved by the Local Source Registrar.
- Juvenile sources should only be used to supply information about members of their immediate family in exceptional circumstances.

Where policy is applicable to all categories of source, they are collectively referred to as 'sources' or a 'source'.

1.4 Handling Team

- A handling team must contain a minimum structure as follows:
 - Local Source Registrar;
 - Officer in Charge (or Work Unit Manager/Supervisor) (REMOVE)
 - Controller;
 - Handler;
 - Co-Handler (may be multiple co-handlers).
- All members must have completed the ^{PII} Human Source Management Course as a minimum (information about human source management training can be found at section 1.17 below). The Central Source Registrar may determine that some or all handling team members require higher training levels. This decision will be made according to factors including:
 - the level of overall risk involved in the management of a particular source, and/ or;
 - the work group/team managing the source.
- Other factors not detailed above may be considered by the Central Source Registrar when determining whether handling team members require higher training.

1.5 Handler

- A sworn member who has the primary responsibility for contact with the source and for the initial evaluation of information supplied by that source.
- No member can be assigned as a Handler (or to any other handling team role) unless they have completed the ^{PII} Human Source Management Course as a minimum.
- The functions of a handler include:

- initial evaluation of the source as to suitability;
- creation of the registration on Interpose;
- preparation of appropriate risks assessments in consultation with the controller;
- ongoing review of risks;
- operational management of the source;
- effective management of the source relationship;
- PII
- preparation of Source Contact Reports and sanitized information reports;
- briefing of controller prior and post contact;
- ensuring compliance with Acknowledgment of Responsibilities Form;
- debriefing and deactivation of the source.

1.6 **Co-Handler**

- A sworn member who assists the handler or assumes management of a source where the Handler is unavailable.
- There may be multiple co-handlers on teams and these may include other line managers. In considering multiple handlers due weight must be given to the principle of “need to know” in order to maintain security of the source.

1.7 **Controller**

- A Sergeant or above who has direct supervision of a Handler. They must oversee the source’s Interpose file which includes:
 - the full personal details of the source;
 - all management comments and directives;
 - copies of risk assessments;
 - copies of all Source Contact Reports and activities;
 - copies of the Acknowledgement of Responsibilities Forms;
 - copies of reward applications;
 - deactivation requests;
 - other documents determined to be relevant to the management of the source.
- Prior to a source registration being approved the controller must ensure the following takes place:
 - the acknowledgement of responsibilities is delivered and uploaded to Interpose as soon as possible PII of commencing the registration process;

- the risk assessment is evaluated for potential and identified risks and ensure sufficient mitigation strategies are in place;
- the completed risk assessment is uploaded to Interpose within 14 days of commencing the registration process;
- Once registration has been approved (for further information about registration of sources, see section 3 below) and a source code allocated, the Controller is to:
 - monitor and review all activities within the source's Interpose file;
 - where practical ^{PII} [REDACTED] the Handler and the source and ensure the AOR requirements are completed and that the source clearly understands their responsibilities. The source should not be tasked until this occurs; (REMOVE)
 - ensure the Acknowledgement of Responsibilities Form ^{PII} [REDACTED] are forwarded to the Human Source Management Unit ^{PII} [REDACTED] within 48 hours of the meeting, unless exceptional circumstances exist; (REMOVE)
 - review both the risk assessment and Acknowledgement of Responsibilities Form on a monthly basis;
 - ^{PII} [REDACTED]

1.8 Officer in Charge's (OIC) responsibilities

- A member in charge of a PSA, Squad, Unit etc. with line control over the human source handling team (referred collectively throughout document as 'OIC'). They will form part of the team and support the controller with advice, analysis of risk and oversight.
- The OIC, in consultation with the controller, is required to provide written advice to the Local Registrar and record that advice in the source's Interpose file under the source management section.
- Upon the commencement of an Interpose source registration/reactivation, the OIC will:
 - assess the suitability of the source and allocated handling team;
 - evaluate any risks identified in the initial preliminary risk assessment and consider risk management strategies;
 - consider operational priorities and duty of care issues;
 - update their recommendations on the Interpose human source file for review by the Local Source Registrar.

1.9 Local Source Registrar (LSR)

- The LSR is the Divisional Superintendent having line control of personnel who register sources in that division. The function may also be shared in work groups where multiple superintendents have operational functions, such as Crime Command.

- LSR access to source files may be granted to Operations Support Superintendents and Inspectors who have a support function relating to source management, crime management and intelligence in accordance with divisional or regional needs. The delegation of LSR functions to these members does not remove overall responsibility from the Divisional Superintendent.
- On receipt of the Registration/Reactivation Application Form, the LSR will:
 - assess the suitability of the source;
 - evaluate potential and identified risks and ensure sufficient mitigation strategies are in place;
 - ensure that the allocated handling team are appropriate;
 - ensure that the completed Acknowledgement of Responsibilities is uploaded to Interpose.
 - ensure that a comprehensive risk assessment is uploaded to Interpose PII
 - recommend approval or reject the application within the Interpose file.
- The CSR will not approve the registration until the LSR has endorsed the human source management tab within Interpose to indicate their satisfaction that all perceivable risks have been identified within the risk assessment document, that the risk controls are sufficient and that any change to risk profile must trigger a new risk assessment process.
- If the LSR rejects the application they must:
 - advise the Human Source Management Unit;
 - record the reason for rejection and action taken by the Handler, Controller and OIC on the PII of the Interpose human source file.
- If an application is recommended for approval, the LSR will:
 - recommend to the CSR that the source registration/reactivation be approved;

ensure the completed Acknowledgement of Responsibilities documents are uploaded to the Interpose source file PII (REMOVE)



1.10 Central Source Registrar (CSR)

- The Detective Superintendent of the Covert Services Division, Intelligence and Covert Support Command (ICSC) shall assume the role of CSR (PSC has an independent CSR and structure). The CSR has oversight of all registrations and source activity. The CSR authorises all source disclosures and will make final decisions where disputes arise between parties over the management of sources.
- The CSR function may be delegated to the Detective Superintendent of State Intelligence Division, ICSC where the CSR is also the LSR for the source concerned.

1.11 Human Source Management Unit (HSMU)

- Responsible for the governance of the source register. It oversees all source management (with the exception of PSC sources) and ensures compliance with policy.
- Will make recommendations on behalf of the CSR on all aspects of source registration management and compliance and is the coordinator and provider of organisational source management training.
- Provides specialist advice and support to operational members and senior managers where required. The HSMU is also responsible for the coordination of source reward payment system.
- To undertake frequent, comprehensive and accountable reviews of all high risk human source files and records.
- When a request for registration/reactivation is processed by the LSR, the HSMU ensures there is no duplication of registration. If duplication is detected and confirmed HSMU will:
 - advise the LSR responsible for the first registration and provide the contact details of the LSR attempting the secondary registration;
 - advise the LSR attempting to register regarding any previous assessments of the source;
 - record details of the registration attempt in the Interpose source file generates a code and records it along with the name of the source in the Central Source Database.

1.12 Human Source Rewards Committee (HSRC)

- The payment of cash or provision of any benefit to a source as reward for information given, must be approved by the HSRC. This includes letters of assistance to courts and tribunals and other formal references to statutory bodies.
- This does not include reimbursement of a source's expenses incurred as a result of interaction with police. ^{P11} 
^{P11} 
- Any reward payment to sources will be in accordance with the instructions of the HSRC and documented within the human source or community source Interpose file.

The composition of the HSRC is as follows:

Core Group

- Assistant Commissioner ICSD (Chairperson) or delegate;
- Assistant Commissioner (Departmental or regional rotating monthly);
- Superintendent (Crime Department rotating monthly).

Advisory Group (PSC Structure different)

- Superintendent (CSD - in an advisory capacity as CSR when required);

- Inspector HSMU;
- Senior Sergeant (HSMU);
- Sergeant (HSMU as secretariat).

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 LSR for funding and payment. If a reward is not authorised the committee will provide written explanation to the requesting LSR. See **VPMG Rewards** for further information.

1.13 Human Source Governance Committee

- Comprises representatives of the Regions and specialist Commands involved in source management.
- The HSGC will be chaired by the Assistant Commissioner ICSC (or a delegate) and will receive LSR audits via the HSMU and assess the outcomes of each.
- The HSGC may make recommendations to the Assistant Commissioner ICSC on the status of such audits for further action or for policy or professional development.
- The HSGC operates under a Terms of Reference document approved by the Assistant Commissioner, ICSC.

1.14 Intrusive Supervision

Supervisors, particularly source controllers, but also the OIC and LSR must practice intrusive supervision. Intrusive supervision includes:

- understanding the organisation's expectations when it comes to managing the inherent risks in source relationships;
- PII
- knowing how, where and when handlers are meeting with sources;
- verbally briefing and debriefing handling teams following face-to-face contacts and other contacts where significant intelligence is obtained or changes to risk are identified;
- PII
- reviewing all Source Contact Reports and source documentation and directing activity to produce value and re-assess risk;
- PII
- ensuring the Acknowledgement of Responsibilities has been delivered, is appropriate and is being reinforced.

1.15 Sterile Corridor

- Refers to a situation where a handling team has responsibility for the management of a source but not for the management of the investigation/s.
- Whilst sterile corridors can be advantageous for the management of sources, it is understood that there are limitations to universally manage sources in this manner.
- A sterile corridor must be employed in the management of all high risk sources.

1.16 Acknowledgement of Responsibilities (AOR)

- The AOR is a formal acceptance by the source that there are accountabilities in place that must be abided by. The AOR must be delivered to a source within ^{PII} of registration ^{PII} and reiterated by all handling team members for the duration of the source relationship.
- The AOR must be the subject of constant evaluation regarding its sufficiency. At a minimum, the AOR must be reviewed on a monthly basis by the controller as part of the risk assessment review process. The outcome of that review must be endorsed on Interpose by the controller. Where the template AOR proves to be insufficient then additional instructions must be documented and reinforced with the source, ^{PII}

1.17 Human source management training

- The HSMU offers ^{PII} of human source management training to members:

^{PII}

- As detailed below, high risk human sources require ^{PII} Human Source Management Course qualification. Click [here](#) to access further information about training offered by the Human Source Management Unit.

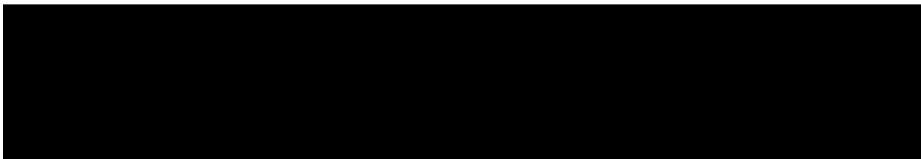
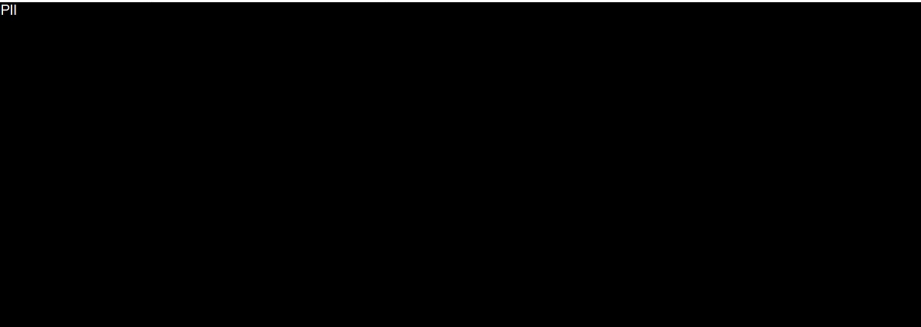
1.18 Tasking

Tasking is any approved assignment given to the human source by the handlers. This includes asking the human source to obtain information, to provide access to information or to otherwise act, incidentally, for the benefit of the relevant agency.

1.19 Intelligence and Covert Support Command Ethics Committee

- ICSC have established an Ethics Committee which is chaired by the Assistant Commissioner ICSC. Part of the role of that committee is to provide advice on and make decisions relative to human source management which has strategic implications, involves complex ethical, legal or medical issues or likely significant community interest.
- The committee will sit at the discretion of the Assistant Commissioner ICSC and members may apply through the Human Source Management Unit to raise issues or have strategies assessed by the committee.

2. Use of human sources**2.1 Human sources**

- Human sources must only be used for the purposes of intelligence collection and investigative support in a manner in which the integrity of human sources, the community, police members, information and Victoria Police is protected.
- 
- The term human source can only refer to a person who is registered.
- Any interaction with a human source whether active or deactivated must be documented on a Source Contact Report.
- Where contact with a deactivated human source occurs, incidental or planned, and there is no requirement to reactivate the human source, the HSMU will assist the handling team to upload any Source Contact Report and link any Information Report.
- 
- Human sources must be properly supervised and understand the legal and ethical boundaries of their activity. An HSMU-approved risk assessment is required to gain formal approval for any human source registration.

2.2 Human sources as witnesses

- There will be occasions where human sources are utilised as prosecution witnesses. The decision to register a witness as a human source must be made in consultation with the HSMU at the time of registration. Any dispute over the status of the person being registered will be determined by the CSR.
- Where an active or deactivated human source becomes a prosecution witness following their registration, the HSMU must be advised before any documents are provided to external entities, such as legal practitioners. This is to ensure the integrity of police methodologies and document security are not diminished.
- The CSR Human Source Ethics Committee may determine that the use of a human source as a witness is not in the best interests of the human source, the organisation, an investigation, the community or any combination of these. In this event the decision may be referred to the Assistant Commissioner ICSC who may then seek a determination at executive level.
- Members must not question an active or deactivated human source as to whether they have been the subject of a compulsory hearing before an agency such as IBAC, ACC or the OCE.
- If a member becomes aware that an active or deactivated human source is to be or has been the subject of a compulsory hearing, before an authorised examiner at the OCE, ACC or IBAC, they must be mindful that the human source is likely to be subject of a confidentiality notice in respect of that examination.
- If an active or deactivated human source volunteers to a member that they are or have been the subject of a compulsory hearing the human source must be advised not to discuss the matter as they are likely to be breaching the confidentiality provisions. The member must not record this fact in the human source file or anywhere else, nor must the member pass that information on to anyone else.

• PII [REDACTED]

• The HSMU must be contacted for advice when a member becomes aware, through the course of their duties, that

[REDACTED] an active or deactivated human source is to be the subject of a compulsory hearing before an authorized examiner (OCE, ACC, IBAC etc), and

[REDACTED] the examination may adversely affect the human source or an investigation. (REMOVE)

[REDACTED]

- Members must familiarise themselves with their lawful obligations to the relevant legislation under which a subpoena has been issued, especially disclosure provisions. Where a member feels obliged to contact the HSMU on a duty-of-care issue relevant to a subpoena, the liaison officer at the body issuing the subpoena should be contacted for advice.

2.3 Use of interpreters

- When an interpreter is required to establish and maintain a relationship with a human source, the handling team must contact the HSMU for advice prior to engaging the interpreter.
- The HSMU, after receiving advice from the handling team, will provide guidance on the appropriateness of interpreters external to the organisation.

2.4 Transfer of human sources

- Where the transfer of a human source from one handling team to another team outside of the originating workgroup is being contemplated, the HSMU must be consulted. In any such instance an appropriate management plan must be formulated.
- That management plan must clearly articulate roles, responsibilities and management arrangements. A new risk assessment must be undertaken.
- A new Interpose registration process must be initiated by the receiving workgroup.

3. The registration process

3.1 Community sources

- Where a member believes it is necessary to protect the identity of a community source they may commence the registration of the contact on Interpose. It is not necessary to complete an AOR; however a risk assessment is required as detailed at section 4.2 below.
- When a community source is registered/reactivated on Interpose, the OIC 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;
 - update the Interpose human source file with recommendations for review by the LSR;
 - 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 Source does not change to a human source.

3.2 *Human sources*

- Upon identifying a person to be registered as a human source, the handling team must submit a registration application via the human source module on Interpose to their listed OIC for assessment.
- The generation by Interpose of a human source registration number only indicates that the details of the proposed human source have been registered on the system. The registration is not approved until such time as the CSR provides that approval.
 - The human source is not to be tasked until the registration has been approved.
 - The source registration number is not to be used in any manner until the registration has been approved by the CSR, including warrant applications. For urgent applications the HSMU can be contacted by phone – see chapter 3.3 (after hours urgent registration).
- PII
- Upon the initiating the registration process, the HSMU Unit will receive a notification via Interpose. The HSMU will immediately contact a handling team if the registration cannot be proceeded with at that time. This notification can be made on a 24 hour basis.
- Immediate notification will prevent relationships being formed with unsuitable human sources, human sources already registered and human sources that fall into a high risk category due to factors unknown to the prospective handling team.
- Registration approval may be provided verbally by the HSMU upon an urgent request. Such approval will only be given where a detailed risk assessment (verbal or documented) is provided by the handling team. The LSR must approve such a request either verbally or in writing to the HSMU.
- Human sources must be provided with and accept simple guidelines for their behaviour whilst engaged with Victoria Police. The AOR must be understood and consented to by a human source before formal approval is granted.
- A documented risk assessment must be completed within PII of registration by the Handler or Controller in accordance with the Human source risk assessment manual. If a risk assessment identifies a human source as high risk, the HSMU must be contacted for operational advice and assistance.
- A risk assessment must be completed for all human sources.
- Risk assessments for human sources must be updated every PII at minimum. The review must be conducted by the OIC in consultation with the controller (and other handling team members if desired).
- Where the risk assessment is rated as low or medium the HSMU may approved the registration on behalf of the CSR.

3.3 *After hour's urgent registration*

- In cases where members receive intelligence outside normal business hours which necessitates the commencement of a human source registration and the immediate actioning of the intelligence, contact must be made with the on call HSMU sub officer for approval to action the intelligence.
- This approval process is in addition to any approval sought under VPMP Searches of Properties, paragraph 2.4.
- HSMU will conduct a thorough risk assessment in respect of the appropriateness of the proposed registration as well as the intended use of the intelligence.
- If approval is granted HSMU will record this fact in the management tab of the subject Interpose shell and forward an Interpose link to the responsible Local Source Registrar for their information and further consideration.

4. Risk assessment:

Risk assessment is the process of identifying risk, taking steps to reduce risk to an acceptable level and monitoring the level of risk.

4.1 *Human sources*

- A full risk assessment must be undertaken and uploaded to the Interpose human source file for review by CSR, LSR and HSMU within [REDACTED] of registration.
- Controllers must review the risk assessment monthly.
- Where it is decided that a source will not be used after the [REDACTED] period, the Interpose [REDACTED] must be completed outlining the reasons.

4.2 *Community source*

- Persons falling within the definition of community source must have the relevant risk assessment completed at the time of the commencement of the registration process.
- All of the available fields within the risk assessment tool must be addressed as well as any source specific risks.
- The registration of the community source must indicate the reason and purpose at the time of registration.

4.3 *Risk categories*

- All sources must be the subject of a risk assessment which will identify risks in following 5 categories:
 - Risk to the source of compromise;
 - Risk to the handling team;

- Risk to the information/investigation;
- Risk to Victoria Police;
- Risk to the public.
- Risks are to be identified, analysed and a rating provided. Mitigation strategies are then to be listed and a residual rating applied. A source's overall risk rating will be at the same level as the highest risk remaining once mitigation strategies are in place.
- Risk cannot be assessed against one category alone and cannot be outweighed by the imperative of an operational objective. Risk is to be calculated against what is known, what is unknown, what is planned and what may occur in the future.
- The risk assessment process is not designed to prevent human source relationships but to provide the necessary framework for safe, effective management.
- The risk assessment must clearly articulate the purpose for engagement of the source and if there is any change in that purpose, or any movement from the original intent, then a full new risk assessment must be undertaken.
- Risk assessments will be in the format approved by the HSMU and uploaded to the Interpose file in the ^{PII} [REDACTED]

4.4 High risk and extreme risk sources

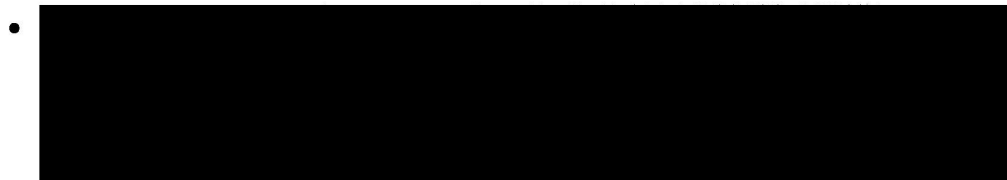
- A source identified as high or extreme risk following a risk assessment must be managed by sufficient personnel ^{PII} [REDACTED]
^{PII} [REDACTED]
- Whenever a source is assessed as being high or extreme risk the HSMU must be notified for advice. The HSMU, on behalf of the CSR, will assist work units in determining their suitability to manage high risk sources.
- ^{PII} [REDACTED]
^{PII} [REDACTED] Unless determined otherwise by the CSR, high-risk sources must be managed in a sterile corridor see section 1.15 above.
- In cases of high risk source the LSR, as a component of the monthly inspection process, must endorse current risk assessments to reflect that no new risks have arisen that would require a revised risk assessment being conducted and that the current risk assessment remains fit for the purpose. The LSR must also document the checks and inquiries undertaken in order to make such a determination.

4.5 Legal, ethical, medical or psychological considerations

- Where complex legal, ethical or medical considerations are evident with a human source, such as the human source being occupationally bound by other duties, or there is (the presence of medical or mental health issues)

advice must be sought from the HSMU. Examples of persons falling into this category include but are not limited to; lawyers, doctors, members of parliament & religious officials.

- Where complex legal or ethical considerations are present with a potential human source, HSMU must seek advice from Legal Services Division prior to the completion of the risk assessment process. Such advice must be brought to the attention of both the LSR and CSR for consideration prior to registration being approved.



4.6 Professional privilege and other circumstances

- Members must be mindful that some sources as result of their occupations may have confidentiality obligations or professional obligations regarding confidentiality eg. Lawyers, Doctors and Clergy.
- Handlers must consider the legal and ethical implications for the management of these sources and the information or intelligence they transmit in compiling their registration applications.
- Members must obtain advice from HSMU management as to the method of handling and recording of any such information or intelligence that may conflict with the professional obligations of the source.
- The source Interpose file is to accurately reflect the planning and methodology to be followed in managing such a source. HSMU advice is binding and may include the quarantine of information transmitted that may breach such an obligation or relationship.
- Where a human source, who is in a position to which confidentiality obligations or professional privilege applies, voluntarily offers information that is or appears to be in breach of that privilege then the following is to occur at the earliest opportunity:
 - The Interpose record is to be updated with a notation that the information appears to be in breach of professional privilege,
 - The information is not to be acted upon or disseminated further,
 - The HSMU must be advised at the earliest opportunity,
 - The HSMU must obtain legal advice from Legal Services Division regarding the use of information or intelligence obtained which may breach a professional obligation,
 - The HSMU will advise the CSR who in turn will advise the Human Source Management Ethics Committee,

- The Human Source Management Ethics Committee will review the information provided and make a recommendation as to how the information and the source will be treated.
- Handlers must not actively seek information from human sources to whom a professional obligation may apply if such information would cause the human source to breach such a duty knowingly.
- The strict adherence of this policy is not intended to discourage the use of high risk sources in such circumstances but to effectively manage the relationship and information obtained in accordance with acceptable legal and community standards.

5. Status of sources

Sources will be designated with the following statuses:

5.1 *Draft*

The source file is under assessment and awaiting the allocation of a handling team and local management approvals. Tasks must not be issued to a human source under assessment without approval by the OIC, documented in the human source's Interpose file.

5.2 *Assign Team*

Personnel have been added to the handling team and local management comments have been added. The source file is ready to be forwarded to the LSR for approval.

5.3 *LSR Approval*

The LSR is required to enter comments in the source management section, approving or not approving the registration, or seeking further advice from the handling team or CSR.

5.4 *CSR Approval*

The HSMU is required to assess the registration on behalf of the CSR and make appropriate directions.

5.5 *Active*

The source file is currently under management and appropriate approvals have been made at all levels up to and including the CSR. Whilst Active, the source file will not be formally approved if the risk assessment and AOR have not been uploaded and approved by the HSMU.

5.6 *Unsuitable*

The source will not be registered, re-registered or reactivated without HSMU approval. This will be influenced by the level of risk attached to that source. Upon being notified that a prospective source is unsuitable, handling teams

should cease any tasking or deployment until the HSMU advises it is safe to do so. The HSMU may alter the unsuitable status after reviewing the application.

5.7 Deactivated

The source file is no longer in use and all material relating to the management of the source is either within the source's Interpose file or secured at the HSMU.

Requirements for deactivation

- A source is to 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;
 - the source has not provided operationally reliable information for a period of at least [REDACTED]
- Any member involved in the operational management of a source may recommend the de-activation of a source to the LSR.

Members of handling team requesting de-activation

- Members are to:
 - consult the Handler, Controller and OIC;
 - complete the Interpose human source deactivation.

Responsibilities of Controller

- Once deactivation is approved the Controller must:

- [REDACTED]
- PII [REDACTED]

LSR responsibilities:

- On receipt of the source management file and human source De-activation Form the LSR is to:
 - review the source file and add comments in the source management page;
 - ensure the safe delivery of PII [REDACTED] and any other documents to the HSMU;
 - ensure that no documents relating to the management of the source are retained outside HSMU.

5.8 Inactive Source

If the HSMU does not receive any Source Contact Reports from the Handler/Controller for a period of six months, a report will be forwarded to the

LSR advising that the source status is 'inactive'. Further use of the source will require a reactivation application.

6. Managing and protecting sources

6.1 *Requirements for managing (accountabilities)*

- Appropriate members must be appointed to manage sources. All members of a source handling team must have completed the ^{PII} Human Source Management Course as a minimum requirement to be on a handling team. This includes the OIC, LSR and members delegated some functions of the LSR.
- Upon receipt of a new registration the HSMU will consider the various training competencies of the handling team and assess that against the source relationship. The CSR may direct that handling teams include members with higher training levels to manage identified risks.

- [REDACTED]
- [REDACTED]

6.2 *Reassigning handlers, controllers or OIC*

Circumstances may arise where it is necessary to re-assign the OIC, Controller, Handler or Co-Handler. This may include instances where:

- advice to re-assign the OIC, Controller, Handler or Co-Handler has been received from the CSR;
- 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);
 - suspended from duty.

6.3 *Responsibilities of the LSR:*

In deciding to re-assign a member or receiving advice from the CSR, the LSR is to:

- direct the responsibility for managing the source to a nominated new OIC, 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 LSR is to inform the HSMU, who may assist with remedial training to correct the deficiencies.

6.4 Document security

- Documents identifying sources must not be stored outside of the Interpose human source module other than by the HSMU.

- [REDACTED]

- [REDACTED]

- [REDACTED]

- [REDACTED]

- [REDACTED]

- [REDACTED]

6.5 Disclosure of information

- LSR's (or their delegate) must audit all human source activity quarterly (at 28 February, 31 May, 31 August & 30 November) to ensure that the information obtained from their sources is disseminated in a timely manner and to meet operational needs. Details of how information is disseminated must be recorded on the source's Interpose file.
- Human source intelligence should only ever be disseminated verbally in cases of where there is an operational imperative. All verbal

disseminations must be recorded in the relevant source contact report and then reduced to an information report and disseminated expeditiously.

- The Handler and Controller must ensure that the identity of the source cannot be deduced from the information disseminated. [REDACTED]
- [REDACTED]
- In instances where disclosure for the purposes of investigation may place the source at an elevated risk, a record of this must be made on the Source Contact Report including a clear outline of the reasons for non-disclosure as a means of risk mitigation. Similarly, where it is determined that the information may be disseminated despite the risk, a record is to be made in the Source Contact Report.
- [REDACTED]
- If there is any dispute over the dissemination of information from a source the CSR will make the final decision.
- The HSMU must be notified immediately if legal process is served to produce any record that may directly or indirectly identify a source. The HSMU may then co-ordinate the involvement of other bodies such as the VGSO and OPP. Costs for engaging counsel to represent Victoria Police will be met by the Region/Commands where the handling team resides.
- Employees who are requested to provide information in response to an FOI application or subpoena or any other legal or administrative proceeding and who become aware that such information may contain material tending to confirm or deny the existence or use of a source, must only release such documents with the approval of the CSR. This approval process will be facilitated by the HSMU.
- Members being asked or directed to confirm or deny the existence of a source in a court, irrespective of whether being directed to do so from the judge/magistrate or whether under oath, are not to disclose such information until they have sought legal advice. If directed to answer, an immediate adjournment is to be requested for the purpose of seeking independent legal advice and the HSMU contacted. The OPP is not responsible for this representation.
- Members must ensure any disclosure they make does not breach their obligations under s.226-228 *Victoria Police Act 2013*.

6.6 Affidavits for warrants

- Where a member is applying for a warrant to search premises or obtain electronic surveillance based upon the information of a source, the affidavit must contain the registered number of that source.

- If the source of information is not registered their identity must be documented and verified in the affidavit.
- In all applications for search warrants, the authorizing officer must be satisfied that the identity of the source providing such information is verifiable and the use of that source complies with this policy.
- If the involvement of a source is not to be divulged within an affidavit (e.g. "... intelligence holdings suggest ..." as the only reference), the reason must be recorded in the source's Interpose file. This must only occur where the risk of identifying source involvement in an affidavit is too high to be safely mitigated.
- Where information derived from a source is to be used in an affidavit where the source is being handled in a 'sterile corridor', the handling team must be consulted prior to the sworn affidavit being provided to the court or relevant authorizing entity.
- In any unresolved dispute between a handling team and investigators over the contents of an affidavit where a source is the subject of such dispute, the CSR will determine the outcome.

6.7 *Interpose Investigation Shells*

- [REDACTED]
- [REDACTED]

7. Contact with sources

7.1 *Operational security*

- Members responsible for handling any information from sources must ensure that the identity of the source is not compromised.
- [REDACTED]
- [REDACTED]
- [REDACTED]

7.2 *Planned meetings*

Approval

The Controller must approve any planned meeting between a handler and a source. Where a controller is unable to be contacted, a supervisor of equivalent

rank to the controller or the nominated OIC of the handling team is to provide that approval.

P11



7.3 Recording and reporting contact

- As soon as practicable following any contact with a source the Handler or Co Handler must complete a Source Contact Report. This period must not exceed 72 hours.
- If a chance meeting with an active source occurs, on or off duty, the Handler or Co handler must advise the Controller as soon as practicable and submit a Source Contact Report.
- Where as a result of information provided by a source post contact verbal advice is provided to another work area, such actions must be the subject of the submission of an information report as soon as practicable.
- Following contact with a source and on completion of the Source Contact Report, the handler or co handler must brief the controller.
- Controllers are to review the relevant Source Contact Reports on Interpose following any source contact briefing.
- Controllers must review any information report generated from a source contact to ensure that it is appropriately sanitized and does not contain any information that could identify the source.
- After reviewing any information report the controller is to circulate same, including providing a soft copy to the HSMU.

- 

- 

7.4 *Source Contact Report*

- Will contain all relevant information about a source's contact with a handling team, whether by phone, face-to-face or other means. The report is to contain a comprehensive précis of the meeting and link all operational information obtained. Click [here](#) for a sample contact report.
- Separate issues in the report are to be the subject of separate paragraphs and those paragraphs are to be sequentially numbered for purposes of cross referencing in other documents.
- Issues of significance within a report should be highlighted and drawn to the attention of appropriate levels of management within the handling structure.

- [REDACTED]

8. Rewards [REDACTED] related to sources

8.1 *Requirements*

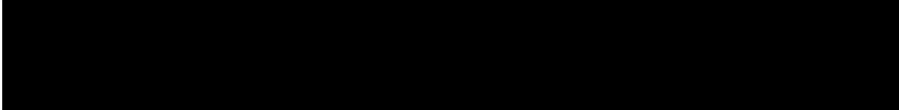
- Payments for expenses or reward must only be given to a source that is registered and formally approved, and then only where they provide important information or assistance.
- The HSRC must approve all reward payments.
- Members must not give any undertaking to a source about a proposed reward prior to HSRC approval.
- A reward payment is any cash, goods, judicial assistance (Letter of assistance) or other like benefit given to a source as reward for information provided to police. This includes letters of assistance which are documents informing a court about assistance provided to Victoria Police by a source.

[REDACTED]

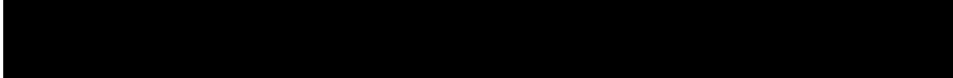
- [REDACTED]
- [REDACTED]
- [REDACTED]

- Where a source becomes a witness, payments to meet the costs associated with the witness appearing in court must be made in accordance with **VPMG Court Processes**.

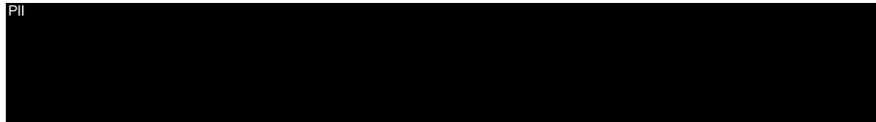

8.2 Applications for payment

- 
- The Request for Human Source Reward form must be completed by the Handler and submitted to the Controller. The Controller is to update the source management file and forward the request to the OIC.
- The OIC is to assess the request, provide a written recommendation and forward all documentation to the LSR.
- The LSR is to review the request on Interpose and make appropriate recommendations to the (HSMU) for consideration by the HSRC.
- The HSMU is responsible for coordinating all requests to the HSRC. All letters of Assistance will be prepared by the HSMU from the information provided in the reward application.

8.3 Recording payment

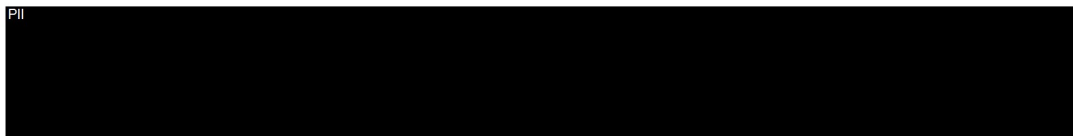
- 
- 
- 

8.4 Making reward payments

- All reward payments must be made as directed by the HSRC.
-  PII
- A record of any reward payment  is to be made in the Source Contact Report.

-  PII

9.

 PII

PII

10. Death of or serious harm caused to sources

- When a handling team becomes aware of the death of an active source the LSR and HSMU must be notified immediately and the circumstances of the death noted within the source's Interpose file.
- Where the circumstances surrounding the death of an inactive source is the result of murder/manslaughter, suicide or other suspicious circumstances, the handling team upon becoming aware must inform the HSMU. The HSMU will advise on appropriate action including any information to be recorded on the source's Interpose file.
- Similarly, if a source is physically harmed through circumstances which could reasonably be linked to their relationship with Victoria Police, the HSMU must be advised as soon as practicable.

- Where it is reasonably believed the death of, or harm to, a source occurs as a result of an unauthorised or inadvertent disclosure, the LSR must contact PSC following the HSMU notification.

11.

•

•

•

PII

PII

13.

-
-
-
-

14. Disclosure of source identity

- Maintaining the confidentiality of a source is a duty of care that rests with members of the handling team. The identity of a source must never be divulged to a person outside the handling team without the approval of the CSR (via HSMU). When a member becomes aware that the confidentiality of a source's identity has been or may be compromised, the HSMU is to be notified immediately.

15. Reporting inappropriate behaviour

- Where a member reasonably forms the view that another member involved in a handler–source relationship has, in the context of that relationship, acted in a manner that calls into question their professional integrity, the member must act in accordance with their obligations under the *Victoria Police Act 2013*. Further guidance can be found in the Victoria Police Code of Conduct.
- Where a source supplies information alleging inappropriate or unlawful conduct by a police member, that information must be dealt with according to **VPMP Complaints and Discipline** and **VPMG Complaints and Discipline**.

16. Audit and compliance

- Controllers must complete a monthly review of the source relationship, risk assessment and information gained.
- Controllers and their OIC must record a summary of activity in the source's Interpose file within the [REDACTED]
- OIC's must review active registrations every 3 months.
- Source Contact Reports must be controller reviewed within 7 days.
- In cases of high risk source the LSR, as a component of the monthly inspection process, must endorse current risk assessments to reflect that no new risks have arisen that would require a revised risk assessment being conducted and that the current risk assessment remains fit for the purpose. The LSR must also document the checks and inquiries undertaken in order to make such a determination.
- The LSR must conduct an audit of each source management file within their division at the time of deactivation. Each audit must cover procedural, ethical and value aspects of the registration.
- [REDACTED]
- The HSMU is to notify the LSR when:
 - source files are inactive for longer than the review periods stipulated in this policy;
 - Risk assessments or AOR's are not provided/updated;
 - An incident occurs whereby a source is harmed as a result of their relationship with Victoria Police;
 - Other management issues exist which should be brought to his/her attention.

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

Quick Links

- Human Source Practice Guide
- Human source risk assessment manual
- VPMP Investigation support
- VPMG Investigation support
- VPMG Rewards
- [REDACTED]

- [REDACTED]

Further Advice and Information

For further advice and assistance regarding these Policy Rules, contact the HSMU.

Update history

Date of first issue	22/02/10	
Date updated	Summary of change	Force File number
14/02/11	Section 6 amended to include requirement that payment of human source who becomes a witness must be in accordance with VPMG Court Processes	061937/10
28/04/11	Sections 4, 5 and 9 amended to reflect use of Interpose system for the management of Human Sources.	067083/11
16/01/13	Updated to reflect organisational governance and structural changes.	FF-074790
04/02/14	References to redundant instruments following IMSSD review have been updated with corresponding new instruments.	069562/11
9/6/15	Multiple amendments to meet recommendations of IBAC review	FF-095772.1

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

Revised 06/15

HUMAN SOURCE RISK ASSESSMENT					
Date of Assessment:		Source Number:		Assessment prepared by:	
Controller:		Handler:		Co-handler:	
Instructions					
<p>The following risk assessment template is designed to assist with the registration of a 'Human Source'</p> <p><u>'Human source':</u></p> <p><i>For the purposes of this policy, a human source is an identified person who provides information to Victoria Police (or another law enforcement agency) with an expectation that their identity will be protected, and specifically where:</i></p> <ul style="list-style-type: none"> • <i>they actively seek out further intelligence or information on the direction, request or tasking of police;</i> • <i>they develop or maintain a relationship with other person/s for the purpose of providing that information;</i> • <i>they are seeking or may be eligible for rewards or other benefits;</i> • <i>there exists a threat or potential of danger or harm to a person as a result of the active relationship between the Human Source and Victoria Police;</i> • [REDACTED] <p><u>'Tasking':</u> - <i>is any assignment given to the human source by the handlers. This includes asking the human source to obtain information, to provide access to information or to otherwise act, incidentally, for the benefit of the relevant agency.</i></p> <p>RISK ASSESSMENTS MUST:</p> <ol style="list-style-type: none"> 1. Be submitted within [REDACTED] of the commencement of the registration. 2. Accurately reflect all the known or perceived risks at the time the assessment is undertaken. 3. Every question must contain an overall risk rating regardless of the response. 4. A source's overall risk rating will be at the same level as the highest risk remaining once mitigation strategies are in place. 5. Recommended for approval by OIC and Local Source Registrar. <p style="text-align: right;">Further information or assistance can be obtained from the Human Source Management Unit – Ph: [REDACTED]</p>					

PROTECTED - HS (when populated)

Victoria Police - Human Source Risk Assessment

PROTECTED - HS (when populated)

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL**



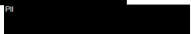


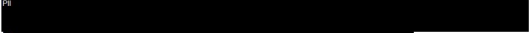
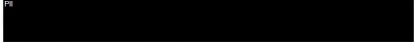
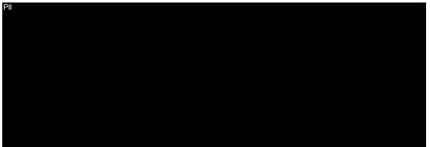
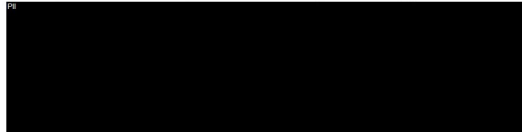



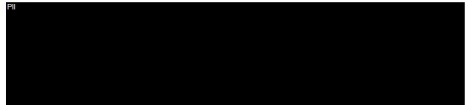




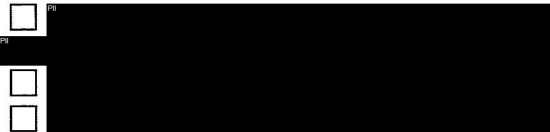
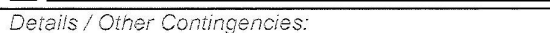

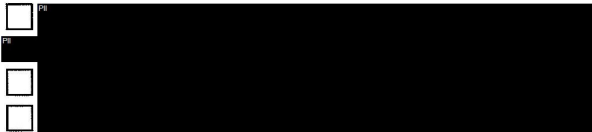


Victoria Police - Human Source Risk Assessment

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
1.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
2.	[REDACTED]	[REDACTED] <i>Other Contingencies:</i>		
3.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
4.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	

PROTECTED - HS (when populated)

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
5.	How have we ensured the source understands their role in the relationship?	<input type="checkbox"/>  <input type="checkbox"/> Objectives set and agreed to <input type="checkbox"/> Parameters of relationship set	<input type="checkbox"/>  <input type="checkbox"/> AOR explained, understood, signed  	
		Other Contingencies:		
6.	How is the source management team managing the source's expectations of their role?	<input type="checkbox"/> Reinforcement AOR <input type="checkbox"/> Identifying and recording expectations of the source <input type="checkbox"/> 	<input type="checkbox"/> Shared understanding of the duration of relationship <input type="checkbox"/>  <input type="checkbox"/> 	
		Other Contingencies:		
7.		<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/> 	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/> 	
		Other Contingencies:		
8.		<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/> 	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/> 	
		Details / Other Contingencies:		

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL****Victoria Police - Human Source Risk Assessment**

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
9.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Details / Other Contingencies:		
10.	Is the source occupationally bound by other duties which may give rise to legal, ethical or medical privilege considerations? (eg. Medical practitioners, lawyers, journalists, etc)	<input type="checkbox"/> Identify potential privilege issues with source <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> In cases where privilege might be an issue notify HSMU who will comply with the provisions of VPM 4.6 <input type="checkbox"/> Ensure appropriately trained and skilled handling team involved	
		HSMU NOTIFIED ON: (Specify date) HSMU MEMBER: (Specify Name / Registered Number)		
		Details / Other Contingencies:		
11.	Are there any conflicts of interest?	<input type="checkbox"/> Seek advice HSMU <input type="checkbox"/> Identify potential conflicts	<input type="checkbox"/> Develop a plan to manage potential conflicts	
		Details / Other Contingencies:		
12.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Details / Other Contingencies:		

PROTECTED - HS (when populated)

Page 5 of 21

CONFIDENTIAL

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL****Victoria Police - Human Source Risk Assessment**

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
13.	What action has been taken to establish set objectives for the relationship?	<input type="checkbox"/> Ensure source can safely achieve objectives <input type="checkbox"/> Objectives set by the handlers and controller <input type="checkbox"/> Objectives are understood and accepted by source, handlers and controllers <i>Other Contingencies:</i>	<input type="checkbox"/> Objectives align with investigators expectations <input type="checkbox"/> Source to be responsive to handlers requests for meetings <input type="checkbox"/> [REDACTED]	
14.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
15.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED]	
16.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	

PROTECTED - HS (when populated)

Page 6 of 21

CONFIDENTIAL

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL**

Victoria Police - Human Source Risk Assessment

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
17.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Details / Other Contingencies:		
18.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Details of addiction / Other Contingencies:		
19.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		HSMU NOTIFIED ON: (Specify date) HSMU MEMBER: (Specify Name / Registered Number)		
		[REDACTED] Other Contingencies:		

PROTECTED - HS (when populated)

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

PROTECTED - HS (when populated)

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
23.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Contingencies:		
24.	[REDACTED]	<input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED]	
		Other Contingencies:		
25.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Contingencies:		
26.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		[REDACTED] / Other Considerations:		

PROTECTED - HS (when populated)

CONFIDENTIAL

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL****Victoria Police - Human Source Risk Assessment**

1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
27.	[REDACTED]	<div> <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> ind <input type="checkbox"/> [REDACTED] </div> <div> <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] </div> <div> <input type="checkbox"/> [REDACTED] <i>Other Considerations:</i> </div>	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
28.	[REDACTED]	<input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED]	
		<i>Other Considerations:</i>		
29.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		<i>Other Considerations:</i>		

PROTECTED - HS (when populated)

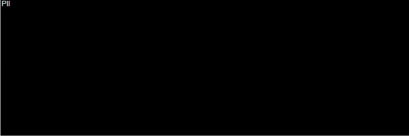
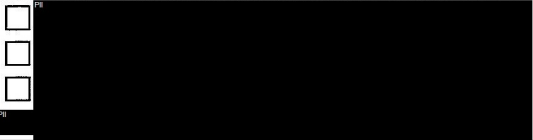
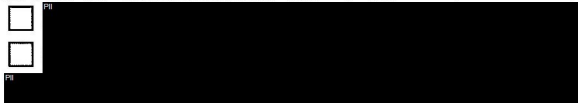

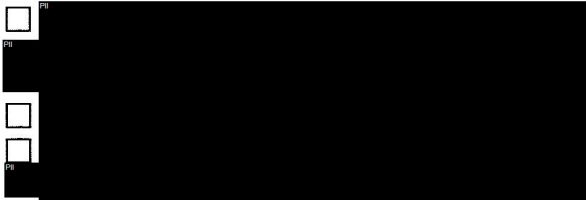


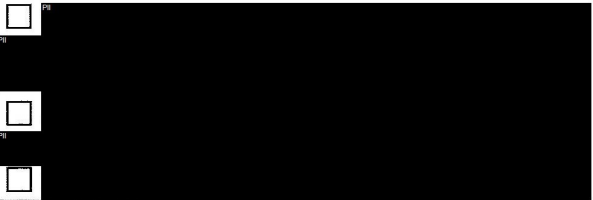

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

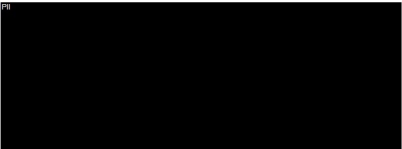
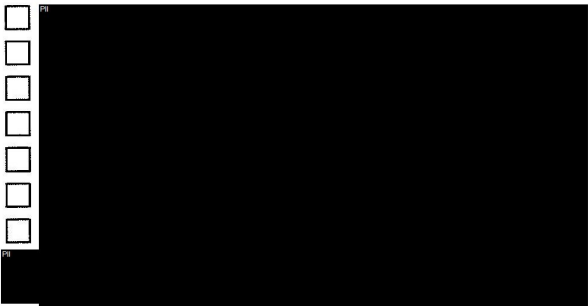
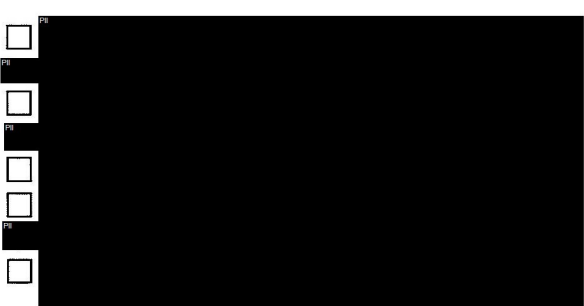
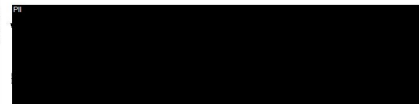


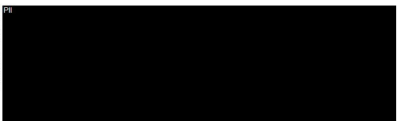
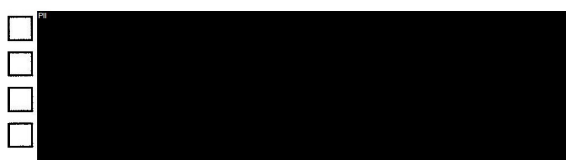
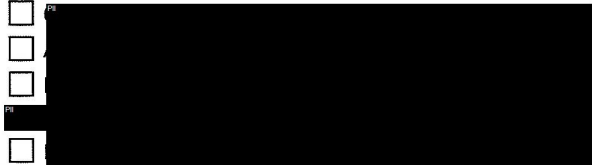
1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
30.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Considerations:		
31.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Considerations:		
32.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Considerations:		

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL**

Victoria Police - Human Source Risk Assessment



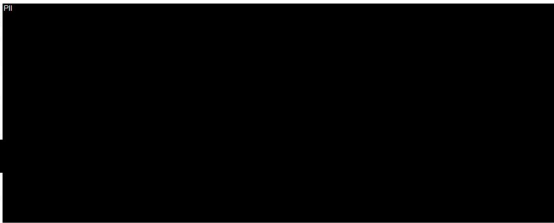





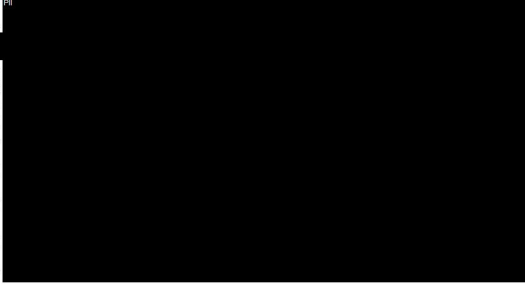
1. RISK TO SOURCE OF COMPROMISE				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
33.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
34.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
35.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>	
		Other Considerations:		

Victoria Police - Human Source Risk Assessment

36.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
2. RISK TO HANDLING TEAM				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
37.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
39.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		

Victoria Police - Human Source Risk Assessment

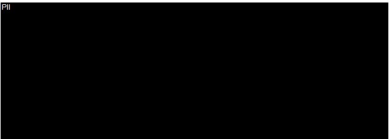

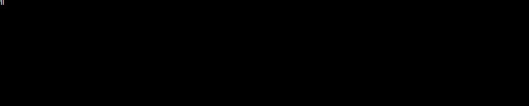
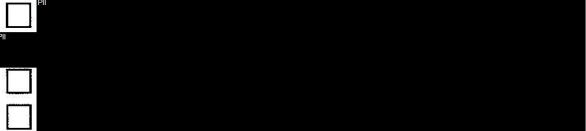
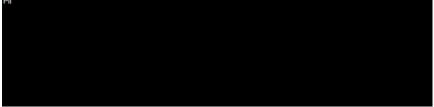
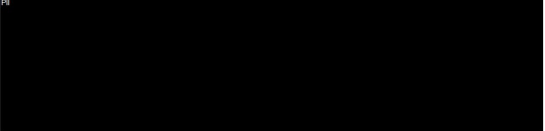
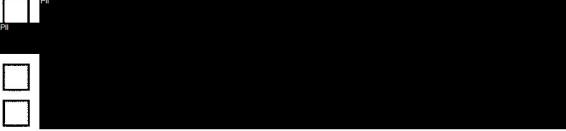

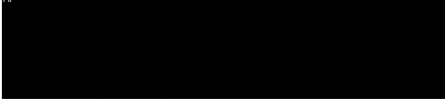

2. RISK TO HANDLING TEAM

Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
40.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
41.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		
42.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
		Other Considerations:		

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

43.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
Other Considerations:				
44.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
Other Considerations:				
3. RISK TO INFORMATION				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
45.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	
Other Considerations:				
46.		<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>	
Other Considerations:				

PROTECTED - HS (when populated)

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

3. RISK TO INFORMATION

Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
47.	<div>PR [REDACTED]</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div>	
48.	<div>PR [REDACTED]</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div>	
49.	<div>PR [REDACTED]</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div>	
50.	<div>PR [REDACTED]</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <div>PR [REDACTED]</div> <div>PR [REDACTED]</div> </div>	

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL****Victoria Police - Human Source Risk Assessment****3. RISK TO INFORMATION**

3. RISK TO INFORMATION				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
51.	<div>[REDACTED]</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div>	
52.	<div>[REDACTED]</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div>	
53.	<div>[REDACTED]</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div> <div>Other Considerations:</div>	<div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> <input type="checkbox"/> <div>[REDACTED]</div> </div>	

PROTECTED - HS (when populated)

Page 17 of 21

CONFIDENTIAL

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

4. RISK TO VICTORIA POLICE

Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
54.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Considerations:		
55.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	
		Other Considerations:		
56.	[REDACTED]	<input type="checkbox"/> [REDACTED] <input type="checkbox"/> [REDACTED]	<input type="checkbox"/> [REDACTED]	
		Other Considerations:		

PROTECTED - HS (when populated)

CONFIDENTIAL

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC**CONFIDENTIAL****Victoria Police - Human Source Risk Assessment**

5. RISK TO THE COMMUNITY				
Risk Consideration <i>What can happen and how?</i>		Contingencies <i>Control measures employed to mitigate risk</i>		Overall Risk
57.	<div style="background-color: black; width: 100%; height: 100%;"></div>	<div style="display: flex;"> <div style="flex: 1;"> <div style="background-color: black; width: 100%; height: 100%;"></div> </div> <div style="flex: 1;"> <div style="background-color: black; width: 100%; height: 100%;"></div> </div> </div>	<div style="display: flex;"> <div style="flex: 1;"> <div style="background-color: black; width: 100%; height: 100%;"></div> </div> <div style="flex: 1;"> <div style="background-color: black; width: 100%; height: 100%;"></div> </div> </div>	
		Other Considerations:		
58.	<div style="background-color: black; width: 100%; height: 100%;"></div>	Other Identified Risks and mitigation strategies:		

CD/15/28488 - COPY 6 - The Hon Murray Kellam AO QC

CONFIDENTIAL

Victoria Police - Human Source Risk Assessment

CONTROLLER ASSESSMENT		
1.	[REDACTED]	
2.	[REDACTED]	
3.	[REDACTED]	
4.	[REDACTED]	
5.	[REDACTED]	
6.	[REDACTED]	
[REDACTED]	Comment: [REDACTED]	
[REDACTED]	Comment:	
[REDACTED]	Comment:	

Victoria Police - Human Source Risk Assessment

Risk Likelihood	Consequences (Threat)				
	Insignificant	Minor	Moderate	Major	Catastrophic
	1	2	3	4	5
1 (rare)	Low	Low	Low	Medium	Medium
2 (unlikely)	Low	Low	Medium	Medium	High
3 (possible)	Low	Medium	Medium	High	High
4 (likely)	Medium	Medium	High	High	Extreme
5 (almost certain)	Medium	High	High	Extreme	Extreme

A combination of likelihood and consequence will equate to a numerical score. As can be seen, a numerical score of:

2-4 = Low 5-6 = Medium 7-8 = High 9-10 = Extreme

LEGEND:

Extreme = Extreme Risk – Human Source should not be utilised
 High = High Risk – Human Source should be handled by [REDACTED] trained personnel
 Medium = Medium Risk - Human Source should be handled by [REDACTED] trained personnel
 Low = Low Risk - Human Source should be handled by [REDACTED] trained personnel

PROTECTED - HS (when populated)

Page 21 of 21

Human Source Management Ethics Committee

Background:

The Human Source Management Ethics Committee (HSMEC) was established by the Assistant Commissioner Intelligence and Covert Support Command in October 2014 in response to a recommendation emanating from the 2013 Comrie review into human source management.

Purpose:

The HSMEC has been established to make decisions relative to human source management which have strategic implications or likely significant community interest or complex ethical, legal or conflict of interest issues.

Terms of reference:

The Terms of Reference of the HSMEC are:

1. Provide a high level accountable decision making framework to provide advice, guidance and clarity relative to complex human source management issues.
2. Review decisions taken by the Central Source Registrar not to disseminate human source intelligence; either ratifying or recommending to the Assistant Commissioner ICSC the decision be overturned.
3. Review decisions taken by Central Source Registrar relating to the registration of human sources that have complex ethical or legal issues attached; either ratifying that decision or recommending to the Assistant Commissioner ICSC the decision be overturned.
4. Make determinations where it is contemplated that a human source may become a witness.
5. Monitor the implementation of any human source witness transition management plan.
6. Make determinations where there are conflicting and insoluble views between the Central Source Registrar and a Local Source Registrar.
7. Consider and provide direction on any other human source matter that may have strategic implications or likely significant community interest.
8. The determination of any issue will be at the final discretion of the Assistant Commissioner Intelligence and Covert Support Command.

Structure:

The membership of the HSMEC is:

- Assistant Commissioner Intelligence and Covert Support Command (Chair)
- Superintendent, Support Services Professional Standards Command
- Superintendent, Crime Department
- Superintendent, State Intelligence Division
- Superintendent - Independent
- Legal Services Representative (Non-Voting)
- Staff Officer to the Assistant Commissioner (Secretariat – Non Voting)

Business rules:

The Intelligence and Covert Support Command (ICSC) Ethics committee will sit at the discretion of the Assistant Commissioner ICSC.

The committee will comprise of the Assistant Commissioner ICSC and at least one Divisional Commander from the command not directly involved in the matter under consideration. A quorum will be achieved when there is the Assistant Commissioner; An independent Superintendent and one other voting member present

The Assistant Commissioner can seek expert advice from areas including the Director Legal Services, Senior Psychologist Police Psychology Unit, Police Medical Officer, Witsec, HSMU or other areas as deemed appropriate.

Where matters under consideration pertain to a specific command such as the Crime Command or a Region then representation at not less than Superintendent rank will be required to attend the committee meeting.

The committee may invite any relevant member of any rank including unsworn personnel to attend the committee for discussion or presentation. That person or persons will not be part of the decision making process.

The decision made by the committee will be recorded within a register maintained by the Staff Officer to the Assistant Commissioner and recorded in the relevant Interpose human source management file by HSMU personnel.

Date	Version	Changes	Approved by
23/7/15	2	<ul style="list-style-type: none">Deleted paragraph re positive obligation.Membership of committee updatedQuorum requirements addedBusiness rules updated	A/C Linford and members at committee meeting on 23/7/15