The Secretary of State, in exercise of the powers conferred by section 253(3) and (5) of the Investigatory Powers Act 2016(*), makes the following Regulations:

In accordance with section 253(4) of that Act, the Secretary of State considers that the obligations in the Schedules to these Regulations are obligations that are reasonable to impose on those relevant operators(\(^a\)) to whom the obligations apply for the purpose of securing that it is (and remains) practicable to impose requirements on those relevant operators to provide assistance in relation to relevant authorisations(\(^b\)), and that it is (and remains) practicable for those relevant operators to comply with those requirements.

In accordance with section 253(6) of the Investigatory Powers Act 2016, before making these Regulations the Secretary of State has consulted the Technical Advisory Board, persons appearing to the Secretary of State to be likely to be subject to the obligations specified in these Regulations and those representing such persons, and persons with statutory functions in relation to persons appearing to the Secretary of State to be likely to be subject to the obligations specified in these Regulations.

In accordance with section 267(3)(i) of the Investigatory Powers Act 2016 a draft of this instrument was laid before Parliament and approved by resolution of each House of Parliament.

Citation and commencement

1. These Regulations may be cited as the Investigatory Powers (Technical Capability) Regulations 2017 and come into force on [ ].

Interpretation

2. In these Regulations—

\(^a\) 2016 c. 25.
\(^b\) “Relevant operator” is defined in section 253(3) of the Act.
\(^c\) “Relevant authorisation” is defined in section 253(3) of the Act.
“the Act” means the Investigatory Powers Act 2016;
“relevant postal operator” means a postal operator, or a person who is proposing to become a postal operator(*);
“relevant telecommunications operator” means a telecommunications operator, or a person who is proposing to become a telecommunications operator(*), but does not include a person who provides, or who is proposing to provide, a telecommunications service only in relation to the provision by that person of banking, insurance, investment or other financial services.

Applicable obligations

3.— The Schedules to these Regulations specify applicable obligations for the purposes of section 253 of the Act.
4. Schedule 1 specifies obligations in relation to warrants issued under Part 2 or Chapter 1 of Part 6 of the Act.

Relevant operators

7.— Subject to paragraph (3), the obligations in Part 1 of Schedules 1 and 2 and in Schedule 3 may be imposed on a relevant telecommunications operator.
8. The obligations in Part 2 of Schedules 1 and 2 may be imposed on a relevant postal operator.
9. The obligations in Part 1 of Schedule 1 and in Schedule 3 may not be imposed on a relevant telecommunications operator who does not provide, and does not intend to provide, a telecommunications service to more than 10,000 persons.

Home Office Name
Date Minister of State

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a () “Postal operator” is defined in section 262(6) of the Act.
b () “Telecommunications operator” is defined in section 261(10) of the Act.
Obligations in relation to warrants under Part 2 or Chapter 1 of Part 6 of the Act

Part 1

Relevant telecommunications operators

1. To provide and maintain the capability to carry out the interception of communications or the obtaining of secondary data and disclose anything obtained under the warrant to the person to whom the warrant was addressed, or any person acting on that person’s behalf, within one working day, or such longer period as may be specified in the technical capability notice, of the telecommunications operator being informed that the warrant has been issued.

2. To provide, modify, test, develop or maintain any apparatus, systems or other facilities or services necessary to provide and maintain the capability described in paragraph 1.

3. To provide and maintain the capability to ensure the interception, in their entirety, of all communications and the obtaining, in their entirety, of all secondary data authorised or required by the warrant.

4. To provide and maintain the capability to ensure, where practicable, the transmission of communications and secondary data in near real time to a hand-over point as agreed with the person to whom the warrant is addressed.

5. To provide and maintain the capability to disclose, where practicable, only the communications the interception of which, or the secondary data the obtaining of which, is authorised or required by the warrant.

6. To provide and maintain the capability to disclose intercepted communications and secondary data in such a way that the communications and the secondary data can be unambiguously correlated.

7. To ensure that any hand-over interface complies with any industry standard, or other requirement, specified in the technical capability notice.

8. To provide and maintain the capability to disclose, where practicable, the content of communications or secondary data in an intelligible form and to remove electronic protection applied by or on behalf of the telecommunications operator to the communications or data, or to permit the person to whom the warrant is addressed to remove such electronic protection.

9. To provide and maintain the capability to simultaneously intercept, or obtain secondary data from, communications relating to up to 1 in 10,000 of the persons to whom the telecommunications operator provides the telecommunications service to which the communications relate.

10. To ensure that any apparatus, systems or other facilities or services necessary to carry out the interception of communications or obtaining of secondary data are at least as reliable as any telecommunication system by means of which the communication that is intercepted, or the communication from which secondary data is obtained, is transmitted.

11. To ensure that the capability to intercept communications or obtain secondary data may be audited so that it is possible to confirm that the communications that are intercepted, or from which secondary data is obtained, are those described in the warrant, and that the integrity of the communications and data is assured.

12. To comply with the obligations imposed by a technical capability notice in such a manner that the risk of any unauthorised persons becoming aware of any matter referred to in section
57(4) of the Act is minimised, in particular by ensuring that apparatus, systems or other facilities or services, as well as procedures and policies, are developed and maintained in accordance with security standards specified in the notice and any guidance issued by the Secretary of State.

13. In order that the capability to intercept communications and obtain secondary data may be maintained, to put in place and to maintain arrangements, agreed with the Secretary of State, to notify the Secretary of State, within a reasonable time, of—

(a) proposed changes to telecommunications services or telecommunication systems to which obligations imposed by a technical capability notice relate;

(b) proposed changes, to existing telecommunications services, of a description specified in the notice, and

(c) the development of new telecommunications services.

14. To consider the obligations and requirements imposed by any technical capability notice when designing or developing new telecommunications services or telecommunication systems.

Part 2

Relevant postal operators

15. To provide and maintain the capability to carry out the interception of, or the obtaining of secondary data from, communications transmitted by means of a postal service and to disclose anything obtained under the warrant to the person to whom the warrant is addressed or any person acting on that person’s behalf within one working day, or such longer period as may be specified in the technical capability notice, of the postal operator being informed that the warrant has been issued.

16. To provide and maintain the capability to disclose secondary data in a form specified in the technical capability notice.

17. To provide and maintain the capability to open, copy and reseal any postal item.

18. To comply with the obligations and requirements imposed by a technical capability notice in such a manner that the risk of any unauthorised persons becoming aware of any of the matters referred to in section 57(4) of the Act is minimised, in particular by ensuring that apparatus, systems or other facilities or services, as well as procedures and policies, are developed and maintained in accordance with agreed security standards and any guidance issued by the Secretary of State.
SCHEDULE 2  Regulation 3(3)

Obligations in relation to authorisations granted under Part 3 of the Act
and warrants issued under Chapter 2 of Part 6 of the Act

Part 1

Relevant telecommunications operators

1. To provide and maintain the capability to obtain and disclose communications data without
   undue delay, and within a period specified in the technical capability notice or agreed between
   the telecommunications operator and the Secretary of State, following the telecommunications
   operator being informed that obtaining or disclosing the communications data has been authorised
   under the Act.

2. To provide, modify, test, develop or maintain any apparatus, systems or other facilities or
   services necessary to provide and maintain the capability described in paragraph 1.

3. To ensure that any apparatus, systems or other facilities or services necessary to obtain and
   disclose communications data are of a reliability specified in the notice or agreed between the
   operator and the Secretary of State.

4. To provide and maintain the capability to ensure the obtaining and disclosure, in their entirety,
   of all communications data to which the authorisation or warrant relates.

5. To ensure the transmission of the communications data to a hand-over point in accordance
   with levels of service specified in the notice or agreed between the telecommunications operator
   and the Secretary of State.

6. To provide and maintain the capability to disclose communications data in such a way that it
   is clear to which request or requirement to disclose communications data the data relates.

7. To ensure that any hand-over interface complies with any industry standard, or other
   requirement, specified in the technical capability notice.

8. To provide and maintain the capability to disclose, where practicable, only the
   communications data the obtaining of which is authorised by the authorisation or warrant.

9. To provide and maintain the capability to disclose, where practicable, communications data in
   an intelligible form and to remove any electronic protection applied by or on behalf of the
   telecommunications operator to the data, or to permit a person authorised to obtain the
   communications data, or the person to whom the warrant was addressed, to remove such
   electronic protection.

10. To install and maintain any apparatus provided to the operator by or on behalf of the
    Secretary of State for the purpose of enabling the operator to obtain or disclose communications
    data, including by providing and maintaining any apparatus, systems or other facilities or services
    necessary to install and maintain any apparatus so provided.

11. To ensure that the capability to obtain and disclose communications data may be audited so
    that it is possible to confirm that the obtained communications data are those described in the
    authorisation or warrant which authorised the obtaining of the communications data, and that the
    integrity of the data is assured.

12. To comply with the obligations imposed by a technical capability notice in such a manner
    that the risk of any unauthorised persons becoming aware of the obtaining of communications
    data, or any matter referred to in sections 82(1)(a) or 174(1) of the Act, is minimised, in particular
    by ensuring that apparatus, systems or other facilities or services, as well as procedures and
policies, are developed and maintained in accordance with agreed security standards and any
guidance issued by the Secretary of State.

13. In order that the capability to obtain communications data may be retained, to put in place
and to maintain arrangements, agreed with the Secretary of State, to notify the Secretary of State
within a reasonable time of—

14. proposed changes to existing telecommunications services or telecommunication systems to
which obligations imposed by a technical capability notice relate;

15. proposed changes, to existing telecommunications services, of a description specified in the
notice, and

16. the development of new telecommunications services.

17. To consider the obligations imposed by any technical capability notice when designing or
developing new telecommunications services or telecommunication systems.

Part 2

Relevant postal operators

18. To provide and maintain the capability to ensure that communications data in relation to
communications transmitted by means of a postal service can be disclosed to a person authorised
to obtain it.

19. Where, in the course of their normal business, the postal operator keeps records of who sent
which item, to provide and maintain the capability to ensure that communications data in relation
to postal items sent by identified persons can be disclosed to a person authorised to obtain the
data.

20. To comply with the obligations imposed by a technical capability notice in such a manner
that the risk of any unauthorised persons becoming aware of the obtaining of communications
data, or any matter referred to in section 82(1)(a) of the Act, is minimised, in particular by
ensuring that apparatus, systems or other facilities or services, as well as procedures and policies,
are developed and maintained in accordance with security standards specified in the notice and
any guidance issued by the Secretary of State.
SCHEDULE 3  Regulation 3(4)

Obligations in relation to warrants issued under Part 5 or Chapter 3 of Part 6 of the Act

1. To provide and maintain the capability for interference with equipment to be carried out, for the purpose of obtaining communications, equipment data or any other information, within such period as may be specified in the technical capability notice of the telecommunications operator being informed that the conduct has been authorised by a warrant.

2. To provide and maintain the capability to ensure the obtaining of any communications, equipment data or other information which is authorised by a warrant, and to disclose anything obtained under a warrant, within such a period as may be specified in the technical capability notice.

3. To provide and maintain the capability to enable the transmission to the person to whom the warrant is addressed of any data required to secure equipment interference.

4. To provide, modify, test, develop or maintain any apparatus, systems or other facilities or services necessary to provide and maintain the capabilities described in paragraphs 1 to 3.

5. To provide and maintain the capability to disclose, where practicable, only the communications, equipment data and other information the obtaining of which is authorised by the warrant.

6. To provide and maintain the capability to disclose, where practicable, the communications, equipment data and other information in an intelligible form to standards specified in the notice and to remove electronic protection applied by or on behalf of the telecommunications operator to those communications, equipment data or other information, or to permit the person to whom the warrant is addressed to remove such electronic protection.

7. To provide and maintain the capability to disclose the communications, equipment data and other information in such a way that they can be unambiguously correlated.

8. To ensure that any hand-over interface complies with any industry standard, or other requirement, specified in the technical capability notice.

9. To ensure that the capability to interfere with equipment may be audited so that it is possible to confirm that the communications, equipment data or other information obtained are those to which the warrant relates, and that the integrity of the communications, equipment data or other information is assured.

10. To comply with the obligations imposed by a technical capability notice in such a manner that the risk of any unauthorised persons becoming aware of any matter referred to in section 132(4) of the Act is minimised, in particular by ensuring that apparatus, systems or other facilities or services, as well as procedures and policies, are developed and maintained in accordance with security standards specified in the notice and any guidance issued by the Secretary of State.

11. In order that the ability to interfere with equipment may be maintained, to put in place and to maintain arrangements, agreed with the Secretary of State, to notify the Secretary of State within a reasonable time of—

12. proposed changes to telecommunications services or telecommunication systems to which obligations imposed by a technical capability notice relate;

13. proposed changes, to existing telecommunications services, of a description specified in the notice, and

14. the development of new telecommunications services.
15. To consider the obligations imposed by any technical capability notice when designing or developing new telecommunications services and telecommunication systems.
These Regulations set out the obligations which may be contained in a technical capability notice given by the Secretary of State under section 253 of the Investigatory Powers Act 2016 (c. 25). A technical capability notice imposes obligations on a telecommunications operator or postal operator in order to ensure that the operator has the capability to provide assistance in relation to interception warrants, equipment interference warrants, or warrants or authorisations for the obtaining of communications data.

Regulation 3 introduces the obligations which may be imposed by a technical capability notice. Schedule 1 sets out obligations in relation to bulk and targeted interception warrants; Schedule 2 sets out obligations in relation to authorisations for the targeted acquisition of communications data or warrants for the bulk acquisition of communications data, and Schedule 3 sets out obligations in relation to bulk or targeted equipment interference warrants.

Regulation 4 provides that certain obligations may be imposed on postal operators and certain obligations on telecommunications operators. No obligations may be imposed on a telecommunications operator which provides a telecommunications service only in relation to providing banking, insurance, investment or other financial services. Further, obligations in relation to interception or equipment interference warrants may not be imposed on a telecommunications operator with fewer than 10,000 customers.