



# iPROCEEDS

Project on targeting crime proceeds on the Internet in South-eastern Europe and Turkey

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## **General guide on Protocols on interagency and international cooperation for investigations involving proceeds from crime online**

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# **General guide on Protocols on interagency and international cooperation for investigations involving proceeds from crime online**

## **Introduction**

1. Domestic and international investigations involving cybercrime, electronic evidence, proceeds from crime online and money laundering cut across different institutions, and require the involvement, in particular, of cybercrime units, financial investigation units, and Financial Intelligence Units and prosecution services. Effective interagency and international cooperation to identify and prosecute perpetrators, identify and trace proceeds of crime online with a view of confiscation and to prevent and prosecute money laundering are essential.
2. The purpose of the present document is to help institutions improve interagency and international cooperation, and – if appropriate – formalise such cooperation through protocols between them.
3. The basis for cooperation shall be the existing relevant legal framework, taking into account also existing Memoranda of Understanding between relevant institutions.
4. While recognising the importance of cooperation with each other, within their respective legal responsibilities, and the importance of timely information and data sharing in concrete criminal investigations, particularly in cases involving cybercrime, tracing online crime proceeds and online money laundering, the institutions shall identify and explore possible cooperation protocols to achieve coordinated, timely and effective cooperation.
5. The aims of a domestic protocol are to:
  - Bring together all relevant institutions to cooperate more effectively.
  - Eliminate practical obstacles encountered during investigations into online crime proceeds.
  - More effectively identify perpetrators of criminal acts, prosecute and bring criminals to justice and to lead to the seizure and confiscation of online crime proceeds.
  - Specify the possible avenues for international cooperation, related to the search, seizure and confiscation of online crime proceeds and to identify opportunities and obstacles.
6. The existence of domestic protocols tends also to engender trust and greater cooperation with international partners.

## **Relevant institutions**

7. The institutions (units) to which a protocol applies may include, for example:
  - Prosecution service
  - Turkish National Police (TNP) - National Cybercrime Department
  - TNP - Regional Cybercrime Divisions (69)
  - TNP - Regional digital forensics labs/hubs (17)
  - TNP - Organised crime and anti-smuggling Department
  - Gendarmerie - Cybercrime Unit
  - Ministry of Finance - Financial Crimes Investigation Board (Turkish Financial Intelligence Unit - MASAK)

- Ministry of Justice - Directorate General for International Law and Foreign Relations.

8. These institutions cooperate with each other on the basis of legally defined roles, responsibilities and powers. These institutions may invite observers from other public institutions to join their regular or operational meetings if the expertise or know-how is deemed relevant to cooperation.

## Principles

9. Institutions agree to the following principles:

- There is a need for **effective** interagency cooperation and **efficient** sharing of information is a key pillar of this cooperation.
- Each institution obtains and/or controls information that may be useful to an investigation involving online crime proceeds.
- The institutions will access data and share information in accordance with existing **legal provisions**, including **data protection requirements**.
- Investigations involving online crime proceeds may require **timely** responses to requests from other organisations and all relevant institutions are prepared to make undertakings in this respect.
- Investigations involving the joint action of multiple agencies will require **coordination**.
- The processes for cooperation should be as efficient as possible in order that they are used in the greatest number of appropriate cases and, in particular, that the existence of these processes does not hinder existing interagency cooperation.
- There is a need for a **joint training programme** on cybercrime, electronic evidence, financial investigations and online crime proceeds.
- There is a need for **regular yearly meetings** between the institutions to discuss, identify and advocate for ways to improve cooperation.
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## Interagency Cooperation

### Cooperation during Criminal Investigations

10. The institutions recognise the importance of cooperation and information sharing in concrete criminal investigations involving online crime proceeds (with elements of cybercrime, tracing online crime proceeds and money laundering).
11. The institutions will access data and share information in accordance with existing legal provisions and in line with data protection requirements.
12. Institutions will respond to urgent requests for information upon receipt of a request from another institution relating to a cybercrime investigation or online crime proceeds investigation. Urgent requests should be marked as such by the requesting institution and include the motivation for the indication of the urgency.
13. The Prosecution service (responsible prosecutor) will consider the need to involve relevant units/institutions when targeting online proceeds of crime.
14. During an investigation, the Prosecution service (responsible prosecutor) will consider the appropriate form of cooperation on a case-by-case basis, and this can include, for example, creation of a task force, regular meetings or other forms of cooperation.

15. Investigations involving joint action of multiple institutions might require operational coordination under the lead of the prosecutor, including coordination of the activities of multiple agencies. A lead investigation unit will be responsible for the coordination of operational activity, with all actions conducted under the instruction of the prosecutor and with regular reports being provided to the prosecutor.
16. The institutions aspire to the use of a secure electronic platform for exchange of information between themselves.

### **General Forms of Cooperation**

17. A training programme/workshop will be held at least once per year, where representatives from each of the institutions shall exchange best practices and experiences related to investigations of online crime proceeds and discuss open questions and opportunities to improve cooperation. Where appropriate, the involvement of public sector observers or relevant private sector entities could be considered.

Presentations may include topics such as:

- a. The role and the powers of their institution when it comes to investigations involving online crime proceeds.
  - b. The nature of information available to that institution.
  - c. The process for engaging with that institution in matters requiring cooperation.
18. The training will be hosted each year by one of the institutions, in rotation.
  19. Each institution will consider the incorporation of interagency cooperation on targeting online crime proceeds training into their annual training programmes.
  20. Regular yearly meetings of heads of relevant institutions or units will be held with the purpose to improve cooperation. The heads of relevant institutions may, by unanimous decision, determine further guidelines that govern aspects of their institutions cooperation.

### **International Cooperation**

21. The increased cooperation of relevant institutions at national level also reflects the need for coordinated international cooperation by information exchange and mutual legal assistance. The relevant institutions shall identify and explore possible cooperation protocols to achieve coordinated, timely and effective international cooperation.
22. Institutions are aware of different options for international cooperation on the basis of national legislation, including on the basis of reciprocity, international legal instruments in the area of laundering, search, seizure and confiscation of proceeds of crime, cybercrime and money laundering (Council of Europe Warsaw and Budapest conventions European Convention on Mutual Assistance in Criminal Matters and additional protocols) and bilateral agreements.
23. National contact points for exchange of information include:
  - INTERPOL: TNP INTERPOL-Europol Department, Ankara

- 24/7 Contact Point of the Budapest Convention: TNP, National Cybercrime Department (Ibrahim Özdemir)
  - Europol: TNP INTERPOL-Europol Department, Ankara
  - EUROJUST: Directorate General for International Law and Foreign Relations, Ministry of Justice of Turkey (Judge Zehra Cansu Orhan and Judge İsak Tuncay)
  - SEEPAG: Directorate General for International Law and Foreign Relations, Ministry of Justice of Turkey (Judge Abdullah Melih Kutlu)
  - SELEC: TNP, International Relations Department (Murat Caliskan)
  - CARIN: TNP, Organised crime and anti-smuggling Department
  - EGMONT Group: MASAK (Kadir Güler).
24. The Central authority for mutual legal assistance is the Ministry of Justice (Directorate General for International Law and Foreign Relations):
- Council of Europe Strasbourg, Warsaw and Budapest conventions
  - UN Palermo Convention, and
  - Other regional conventions and bilateral agreements.
25. The institutions recognise the opportunities of different options for international cooperation within their legal responsibilities in concrete criminal investigation involving online crime proceeds: with elements of cybercrime, tracing of proceeds of crime and money laundering.
26. The institutions will continue to provide information to the others on the nature and type of information that can be requested internationally, within their responsibility, as well as the process and timeframes involved.
27. The institutions will continue to consider and explore different possibilities for the use of the channels for international cooperation in a concrete case in accordance with the existing legal provisions.
28. Prosecutors shall consider the possible approach in concrete case for:
- a. exchange of information through the existing networks (such as EGMONT Group, Europol EC3, EUROJUST), 24/7 Network, access to information through voluntary cooperation of multinational service providers,
  - b. transfer of mutual legal assistance request, according to the conditions in national legislation and international legal instruments,
    - through central authorities for MLA;
    - by the use of the options provided by Strasbourg, Warsaw or Budapest conventions (Articles 34, 25 and 27 respectively) or any other multilateral or bilateral possibilities.
29. The institutions, led by the Prosecutor, shall consider the benefits of using joint investigations and joint investigation teams in cross-border cases. When task force or joint team is created, the leading prosecutor or the leading unit should define tasks in order to avoid duplication of information requests through different networks.
30. The institutions shall use and share good practices and guidance provided by relevant international institutions, such as the Council of Europe's Committee of Experts on the Operation of European Conventions on Co-operation in Criminal Matters (PC-OC), the Cybercrime Convention Committee

(T-CY), the Conference of the Parties to the Warsaw Convention, and others. National representatives shall provide the update on developments to relevant institutions.

31. The institutions shall inform each other, at least on a yearly basis, on statistics on international cooperation related to online proceeds of crime as well as on best practice and other experience.



## **Appendix: Explanatory Report**

# **Explanatory Report On the General guide on Protocols on interagency and international cooperation for investigations involving proceeds from crime online**

# **1. Introduction**

## **1.1 Purpose and Background**

The purpose of this document is to provide a source of reference to agencies involved in the investigation and prosecution of cybercrime and the search, seizure and confiscation of online crime proceeds and to supplement the information in the General Guide on Protocols on interagency and international cooperation for investigations involving proceeds from crime online.

The document contains various aspects and options for interagency and international cooperation, as well as some considerations related to domestic protocols.

It is designed to assist prosecutors, investigators and other relevant entities to form a strategic framework on which to base an effective and collaborative exchange of information and investigation team when working in partnership with other public agencies and/or parts of the private sector to search, seize and confiscate online crime proceeds.

The common interest is to bring the criminals to justice and to deprive them of the criminal profit.

## **1.2 Explanatory note**

Interagency cooperation depends on the legal framework defining the roles and responsibilities of the relevant institutions, including for the cases that bring together aspects of cyber investigation, financial investigation and prevention and investigation of online money laundering.

The intensity of cooperation among the relevant institutions might vary from simple (spontaneous) exchange of information or sending the requests for answers to another institution to the level of creation of more structured investigation teams on operational level (led by leading (police) unit) or on formalised level (led by prosecutor).

The interagency and international protocol documents should be reviewed and updated at regular times such as at annual meetings held between all of the relevant institutions mentioned within this document.

## **1.3 Information/request exchange**

It is the understanding of the value of engagement between different institutions that drives the decision to cooperate. The consideration should be given whether the communication between the institutions (Turkish National Police, MASAK and prosecutor services) is centralised (by defined contact points and communication channels – for example in memorandum of understanding) or the communication is to be decided by heads of units in the institutions in concrete case. There might be benefits of centralised exchange of information/requests, but with operational flexibility.

Such exchange of information/requests might occur even prior to formal start of criminal investigation, so the prosecutor might not be engaged in leading (yet). Should the prosecutor be informed on such communication depends on legal and practical arrangements.

## 1.4 Criminal investigation

According to the Penal Procedure Code, the prosecutor leads the investigation. He has the power to ask the police and other institutions to perform tasks necessary to investigate and collect evidence. However the operational work still depends on capabilities of the police. In principle the prosecutor would also decide on tasks in case of possible overlapping of competences in concrete case.

Article 161 of the Turkish Criminal Procedure Code provides that a prosecutor can request a response and cooperation from other institutions. There is also an existing practice of joint working groups.

The prosecutor has the power to establish investigation teams, constructed by representatives of relevant institutions for the purpose of a concrete case investigation.

MASAK may also request the help from any other agency. On the basis of Article 19 (1) k) of Law no. 5549 on the Prevention of Laundering Proceeds of Crime MASAK may request temporary assignment of personnel from other public institutions, if their expertise is required.

Overall, the conditions to create investigation teams depend on legislation and the decision of the prosecutor (and/or consent of heads of relevant institutions). It would be advisable to determine the working methods, intensity of the meetings or even (temporarily) joint office. A work plan is particularly important to avoid duplication of tasks, and especially to avoid multiple international requests through different channels of cooperation/information sharing.

In complex cases also the operational lead should be considered (especially when several police units are involved).

It might be useful to define general guidelines for the creation of investigation teams. This could include concrete conditions when such teams would be considered and the possibility for police or other bodies to propose its creation to the prosecutor. Available personnel and financial resources might affect such forms.

## 1.5 Scope/Applicability

The following relevant institutions are engaged in the search, seizure and confiscation of online crime proceeds:

- The regional Public Prosecutor's Offices
- The Turkish National Police (TNP) - the National Cybercrime Department (including the Digital Forensic Units and the 24/7 Single Point of Contact)
- TNP - regional cybercrime units and the 17 forensic support units
- The Gendarmerie - cybercrime unit
- The Ministry of Finance - MASAK
- The Ministry of Justice - Directorate General of International Law and Foreign Relations.

The mandate of each institution:

- **Public Prosecutor's Offices** have a central role when dealing with cybercrime and crimes where the offenders acquire proceeds. The prosecutors take the lead in all criminal investigations and direct the relevant law enforcement agencies on what tasks they need to complete. The prosecutors rely upon close cooperation with officers from all of the relevant institutions subject to the scope of this document to expedite their tasks so that investigations

are completed as efficiently as possible. They also have a mandate to investigate cases themselves, although this is not the practise.

- **TNP - Cybercrime Department** investigates cybercrime offences and/or provides forensic expertise in supporting other agencies in the Police and Prosecution in matters where technology is a significant factor to a crime or related evidence. The national Cybercrime Department has representatives in each of the 59 police regions and 17 hubs to provide forensics support to the police organisation.
- **The Gendarmerie** has recently set up a cybercrime unit. The gendarmerie functions as a military hierarchy, but for its policing tasks are responsible to the Ministry of the Interior. Their mandate, in terms of police tasks, concerns rural areas without police presence and covers large, but barely inhabited parts of the country.
- **The Ministry of Finance - MASAK** derives its powers from the Law no. 5549 (2006) on Prevention of Laundering Proceeds of Crime and Law no. 6415 (2013) on the Prevention of the Financing of Terrorism. MASAK is an administrative FIU and has access to police databases. It has access to many databases allowing staff to investigate persons, but the main role of the FIU is to send and receive data around Suspicious Activity/Transactions Reports. It can support criminal investigations with financial investigations, when requested to do so by a prosecutor. MASAK is a member of the EGMONT Group, which enables them to securely share financial information internationally with other members of these groups and some financial institutions. MASAK is also a member of CARIN. The FIU is empowered to suspend suspicious transactions for up to seven days to allow the completion of investigations and the application of a freezing order or another legal instrument, in collaboration with a prosecutor.
- **Ministry of Justice - Directorate General of International Law and Foreign Relations** is the designated central authority for mutual legal assistance in criminal matters.

The following institutions and organisational units might be also relevant as observers to the meetings on interagency and international cooperation of the main institutions, depending on the topic and the specific know-how of the observer:

- **The Information and Communication Technologies Authority (BTK)** provides for means to attribute IP addresses and deals with all requests for data to mobile operators, telecoms and ISPs. They provide their services in an automated fashion and deliver information through UYAP, the network that links prosecutors and courts and several other parts of the judiciary. BTK is also the host agency of USOM (TR-CERT) with expertise on cyber security.
- **The Turkish Justice Academy (TAA)** is the training institution for judges and prosecutors. It has a mandate for both initial and in-service training development and is well equipped to lead or assist in training efforts related to the judiciary.
- **The High Council of Judges and Prosecutors (HCJP/HSYK)** appoints and appraises the performance of judges and prosecutors and is responsible for aspects of their training.
- The **Ministry of Justice** that runs the UYAP network. UYAP is used to exchange information within the judiciary and also has modules that allow the exchange of information with BTK (in relation to (subscriber) data residing with different Electronic Communications Service Providers). It is being extended to also allow the exchange of information with law enforcement, including the police and MASAK who already have limited access to some records.

- **The Customs administration** and **Coast Guard** may be useful when it comes to proceeds that are being transported in or out of the country in cash.
- **The Tax Administration** can be relevant in determining legal income, and tax related issues and/or offences (MASAK has access to tax records).

## 2. Measures

### 2.1 Domestic Measures

Every country has legislation under which it prosecutes offenders and through which authorities are authorised to investigate crime (and criminals).

Practice might show the need for more detailed arrangements for cooperation between the institutions in applying some particular measures (for example special investigative means, freezing order, expedited preservation etc.). A special provision of protocol/Memorandum of Understanding could be considered.

The following domestic matters will require legislation and due process. Consequently they should be considered in investigations involving cybercrime and related investigation into the proceeds of such crimes. As such, the following matters should be conducted in a manner provided for under domestic legislation:

- Issuance of warrants
- Arrests
- Expedited preservation of stored computer data
- Expedited preservation and partial disclosure of traffic data
- Production orders
- Search and seizure
- Real-time collection of traffic data
- Interception of content data
- Require reporting of suspicious transactions
- Require identification/disclosure of transaction trails
- Require maintaining or disclosure of transaction information
- Prohibition of disclosure of any on-going money laundering enquiry or investigation
- Temporarily suspend or withhold transactions that have been reported as suspicious transactions
- Attachment/confiscation of bank accounts and other assets (virtual currency etc.)
- Measures for temporary freezing the property, measures to confiscate proceeds of crime
- Investigative tools (access to bank account data, use of SIMS).

### 2.2 International Measures

When cooperating with international partners, there is a general expectation that nations will have sufficient measures in place to support the agreements made under the Budapest and Warsaw conventions.

These conventions require parties to enact national legislation providing for particular investigative and provisional measures. Mutual legal assistance requests may then be made pursuant to the conventions in respect of measures listed below:

- Expedited preservation of stored computer data (Article 29 Budapest Convention)
- Expedited disclosure of preserved traffic data (Article 30 Budapest Convention)
- Mutual assistance regarding accessing of stored computer data (Article 31 Budapest Convention)
- Mutual assistance regarding real-time collection of traffic data (Article 33 Budapest Convention)
- Mutual assistance regarding interception of content data (Article 34 Budapest Convention)

- Request for information on bank accounts (Article 17 Warsaw Convention)
- Requests for information on banking transactions (Article 18 Warsaw Convention)
- Requests for monitoring of banking transactions (Article 19 Warsaw Convention)
- Confiscation of instrumentalities/proceeds/property of corresponding value (Article 23 - 26 Warsaw Convention):
  - Execution of requests for confiscation
  - Dealing with confiscated assets
  - Conditions on confiscation orders

The requests referred to above are transmitted in the manner provided for in the conventions, Article 25 Budapest Convention, where there is an existing legal basis for cooperation or Article 27 (if accepted by the state party), where there is not such a basis, and Articles 33 and 34 of the Warsaw Convention, subject to confidentiality and limitation provisions where applicable and in the absence of existing relevant agreement (Article 28 Budapest Convention and Article 43 Warsaw Convention).

Additional provisions relevant to international cooperation include:

- Provision of spontaneous information (Article 26 Budapest Convention, Article 20 Warsaw Convention),
- Trans-border access to stored computer data subject to consent/where data is publicly available (Article 32 Budapest Convention). This is an extra-territorial measure available to investigators engaged in investigating the offence in their territorial jurisdiction of competence applicable in certain defined, limited circumstances,
- The establishment of a 24/7 Network POC (Article 35 Budapest Convention),
- Exchange of information between FIUs spontaneously or on request (Article 46 Warsaw Convention),
- Cooperation between FIUs related to postponement of suspicious transactions (Article 47 Warsaw Convention).

## **3. Cooperation during Criminal Investigations**

The establishment of a Multi-Agency Group, a Joint Investigation Team in cross-border cases or sharing of resources requires planning, sharing of information, agreement and collaboration. Below are some of the considerations that Prosecutors, Senior Police Officers and Agency managers will need to consider in support of agency cooperation during criminal investigations.

### **3.1 Pre-investigation**

- Notice at pre-investigation stage.
  - Where cooperation is required by two or more agencies, early indications of the type of support, length of time and the resources required should be discussed as soon as possible.
  - Anticipation and early notice of the likelihood of investigations requiring agencies to cooperate will allow managers and alike to plan their response in a planned and methodical way.
  - Means by which pre-investigation notices and requests are to be confidential should be clearly identified.
  - Prosecutors and senior investigators can review the requirements of the establishment of a Multi-Agency Group or Joint Investigation Team and put necessary plans in place. Further details are outlined in this document below.

### **3.2 Commencement of investigation**

- How is notice to be given?
- At what stage is notice to be given?
- What should notice include?
  - Name of parties
  - Court, if any, where proceedings have been or are to be initiated
  - Nature of the action/proceedings
  - Alleged facts that serve as basis for the action/proceedings
  - Anticipated date of initiation of actions/proceedings
- Is there a requirement for parties to keep notices regarding commencement of investigations confidential if required?
- Cooperation with respect to certain measures (see Measures below).

### **3.3 Cooperation with respect to exchange of information**

See Exchange of Intelligence, Information and Evidence below.



## 4. Exchange of Intelligence, Information and Evidence

Law enforcement, intelligence organisations and governments recognise the need to collaborate, share and exchange information. The effective exchange of intelligence, information and evidence requires process, trust and security.

By considering the following requirements, Prosecutors and Law Enforcement agencies will provide a system that balances legal requirements and considerations of privacy as well as identify exactly how information, intelligence and evidence may be used in respective processes.

- Preconditions for exchange of intelligence, information and evidence
- Procedure for requesting intelligence, information and evidence:
  - How will requests for information be made, received and processed by each party?
  - Which persons within each agency will requests be sent to?
- Confidentiality of requests
- Limitations to confidentiality of requests
- Penalties for breach of confidentiality of requests
- Spontaneous information
- Upper time limit to process requests:
  - Exceptions
  - Urgent requests
  - No exception for holidays/weekends/office hours
- Data protection
- Confidentiality of information – level of classification
  - Requirement that no notice be given to parties (e.g. no notice to be given to bank account holder regarding freezing of bank accounts)
  - Security measures to be implemented
    - Physically securing premises
    - Securing IT systems
    - Penalties for disclosure of information exchanged
    - Exceptions to confidentiality:
      - Where disclosure is required by law
      - Where there is consent to disclose
  - Adequate instructions given to contact points/other staff involved about confidentiality requirement
- Conditional exchanges of evidence
- Integrity of information, intelligence and evidence exchanged:
  - Ownership
  - Processes to maintain integrity/chain of custody
  - Making officials available to testify to authenticity of data in courts
- Means through which electronic data will be shared (cloud/physical discs etc.).

In Turkey two networks are actively engaged in sharing information related to criminal cases. Polnet, which is used inside the police, is a way to link police across regions and share intelligence. The

Turkish Police network connects over 3000 locations to each other, including 81 provincial police departments, 100 border gates and other small units. It also enables police officers in the field to access national databases via a police network.

UYAP is the central network that links all parts of the Turkish judiciary, including the prosecution, courts, the police (who have partial access – and are working on obtaining more relevant data through the network) and MASAK.

Between banks two networks are used to exchange fraud intelligence, IFAS and SABAS. These networks do not link directly to any law enforcement agency although a central payment card centre exists where a liaison officer for TNP has access to the data.

## 5. Multi-Agency Groups

The creation of a Multi-Agency Group for a criminal investigation may be required for a number of reasons, which include sharing of resources, the size of the operation, the legal requirement for different agency involvements, expediency and many other needs.

There are a number of issues to consider during the establishment of a Multi-Agency Group, which includes leadership, resources, responsibility and legal framework. This set of guidelines lays down some considerations that should be undertaken in the creation of such a Multi-Agency Group and should be reviewed throughout the investigation. National legislation and directives will take priority over the recommendations detailed below.

### 5.1 Establishment of a Multi-Agency Group

During the establishment of a Multi-Agency Group, the following should be considered and recorded for later review:

- Permanent or temporary Multi-Agency Group:
  - If temporary, term of Multi-Agency Group
- Any process undertaken for identifying and mapping agencies involved
- Development of structure:
  - Leadership and governance for the Multi-Agency Group
  - Planning resources and ensuring hub management
  - Provisions for changes in leadership or structure
- Levels of Multi-Agency Groups:
  - Existing forms of practice and coordination
  - Virtual links between agencies:
    - Co-located hub of agencies/ride-along.

### 5.2 Multi-Agency Group Personnel

Once a decision has been made to create a Multi-Agency Group, the resourcing should be considered and agreed by relevant managers from the agencies involved in the creation of such a group. The resourcing should continually be monitored by the hub management. The following provides a guideline to those considerations:

- Assignment of personnel by agencies:
  - Number of personnel
  - Duties of personnel
  - Duration of assignment
  - Schedule of personnel
- Specific personnel to be assigned:
  - Interagency collaborator positions (designation of individual in an agency to collaborate with/between agencies and departments)

- Liaison positions (person employed by one agency designated to work with another agency)
- Personnel details (specialist or professional employed by to perform tasks for another agency).

### **5.3 Strategic Decision-making**

The effective delivery of an efficient Multi-Agency Group will rely upon clear leadership, transparent decision-making and good strategic planning. By setting out a strategic decision-making process at the inception of such a group, the collaborative processes should be much more effective. The following provides some considerations:

- Leading agencies
- Particular roles
- Choosing jurisdictions
- Choosing forums
- Coordinated interventions:
  - With respect to already-existing information/intelligence/information
  - With respect to conducting arrests, searches and seizures
  - With respect to freezing of assets.

### **5.4 Collaboration of Technologies**

- Agree on establishment of real-time information database
- Requirement for agencies to maintain and update interconnected databases in real-time to allow:
  - Real-time information sharing between agencies
  - Real-time decision making between agencies
  - Real-time communication between agencies
  - Data protection measures
  - Security/encryption standards
- Access to information database to use at pre-investigation and investigation stages.

### **5.5 Review and Reporting**

Measurement of achievement and development of procedures is a continual requirement in the development of any investigative process. This enables best practice to be identified, blockages to be removed and risks to be mitigated. Some considerations that can best achieve this objective are recorded below:

Retention of records:

- Period of retention required
- Mode of retention
- Kind of data to be retained by agencies

Accountability:

- Measure of achievement of short-term/long-term outcomes
- Means by which progress is to be tracked

Meetings/Reports:

- Development of timetable schedule for meetings
- Annual meetings & extraordinary meetings
- Notice for meetings
- Agendas for meetings
- Results of meetings.

Required reviews:

- Review of on-going law enforcement activities
- Review of effectiveness of coordination
- Future law enforcement activities
- Review of statistics to identify problems in cooperation etc.
- Risk analysis
- Review of work action plans/work programs of each agency.

## **5.6 Research**

- Exchange information on upcoming research activities of mutual concern
- Invite each other to relevant expert meetings and collaborate in research activities
- Exchange information on issues with respect to law enforcement.

## **5.7 Joint Training**

Training is a method of sharing best practice and breaking down some of the misunderstandings across different organisations. It is a vital part of pre-planning for Multi-Agency Groups. The following list is a baseline standard of what training activities should consider in their delivery:

- Sharing of existing training materials
- Design and evaluation of training activities/workshops/tools/methodologies for different agencies
- Development of joint training materials
- Procedures for holding joint training
- Inviting each other to training activities/workshops
- Frequency of training
- Funding for joint trainings
- Responsibility for joint trainings.

Where appropriate, the involvement of relevant private sector entities should be considered.

## **5.8 Informal Cooperation**

- Authorisation of informal/innovative means of cooperation
- Explore all legal avenues/possibilities for cooperation
- Continuing to respect personal data rules, privacy and other rules
- Consideration of what value a court may view informal cooperation and therefore exclude evidence.

## **5.9 Contact Points for Multi-Agency Groups**

- Designation of contact point in each agency
- Means by which contact point can be contacted

- Urgent matters
- Non-urgent matters
- Contact points permanently staffed by individuals with appropriate security clearance to an agreed upon standard
- Staff of designated point of contacts to have full authority to respond to cases (no further authorisations required).

#### **5.10 Publicity**

- Restrictions on making statements to press regarding activities of Multi-Agency Groups without consent of all parties.

#### **5.11 Termination of Multi-Agency Groups**

- Can an agency unilaterally terminate the Multi-Agency Groups?
- Under what circumstances can a Multi-Agency Groups be terminated?
- What is the effect of termination on obligation of parties?
- What is the effect of termination on cooperation/information exchanged previously?
- How is notice of termination to be given?

#### **5.12 Expenses**

- Who will bear expenses that arise in course of implementation of Multi-Agency Groups?

## 6. Public-Private Sector Cooperation

The investigation of cybercrime and/or targeting online proceeds of crime and money laundering requires robust and efficient public-private sector cooperation. Such cooperation will be based upon domestic and international measures (specified elsewhere in this document), which need to be enacted within each nation.

The effective delivery of these laws and treaties relies upon relevant protocols and standard operating procedures being agreed and implemented between public and private sectors.

Requirements to support public-private sector cooperation should consider the following points:

- Developing a system whereby the appropriate agency will obtain data from private sector persons that it has legal mandate to regulate/seek cooperation/information from:
  - Allocation of roles based on efficiency and legal mandates
  - Make it dependent on an issue-wise basis or case-to-case basis
- Mechanisms by which cooperation with private sector will take place
- Establishment of permanent Multi-Agency Groups with different private sector bodies (e.g. CERTs, ccTLDs, ISPs etc.).

The success of public-private sector cooperation is often based upon succinct and relevant Memoranda of Understanding. It is important that these documents are reviewed regularly and updated as necessary. Although public-private cooperation protocols are a separate issue<sup>1</sup>, there is recognition that the current levels of public-private cooperation could be improved in relation to cybercrime investigations; sharing Internet based information and financial intelligence.

Workshops, meetings and conferences are a good method to achieve improvements in these areas. Such joint meetings could identify blockages, solutions and methods to mitigate mutual concerns about legality, proportionality and necessity.

Any interagency cooperation initiative should take public-private cooperation into account, take stock and coordinate efforts, also with a view to preventing contradictory requirements, messages and policies and identifying successful strategies and cooperation methods.

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<sup>1</sup> See Council of Europe Guidelines for cooperation between law enforcement and internet service providers against cybercrime, 2008:  
<https://rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=09000016802fa3ba>  
Available in Turkish: <https://rm.coe.int/16802fe14d>

## 7. International Cooperation

The obligation to cooperate (whether by way of information exchange or mutual legal assistance) derives from international treaties, including the Council of Europe Convention on Mutual Assistance in Criminal Matters and Protocols, the Budapest Convention on Cybercrime (ETS No.185), the Strasbourg Convention on Laundering, Search, Seizure and Confiscation of the Proceeds from Crime (ETS No.141), and the Warsaw Convention on Laundering, Search, Seizure and Confiscation of the Proceeds from Crime and on the Financing of Terrorism Convention (CETS No.198). However, some of the practical challenges arising from such cooperation are addressed by committees or other monitoring mechanisms established for that purpose (see Council of Europe committees below). Where appropriate, relevant bilateral or regional cooperation frameworks should also be taken into account as a potential basis for cooperation.

Law no. 6706 on International Judicial Cooperation in Criminal Matters provides national procedures for mutual legal assistance in criminal matters and refers to seizure in Article 8 and to take over and transfer of criminal proceeding in Articles 23-25.

As mentioned above, in complex cases, where even internal joint investigation is created the most efficient way to gather information from abroad (note the relevant networks or bilateral contacts) should be identified and the duplication of requests by different units asking the same question to a third country, should be avoided.

Even if responsibilities for mutual legal assistance usually lie with judiciary and central authority (Ministry of Justice) it is important to be aware of the different possibilities (and obstacles) that could lead to relevant proposals from police/prosecutors.

### 7.1 Joint Investigation Teams

The applicable international legal basis for joint investigation teams (JITs) is to be found in Article 20, 2<sup>nd</sup> Protocol of 2001 to the Council of Europe Convention on Mutual Assistance in Criminal Matters. United Nations conventions on organised crime (Palermo Convention) and corruption (UNCAC) also each provide a basis for the establishment of joint teams and joint investigative bodies. In all cases the appropriate legal basis should be identified as early as possible.

If approached to form part of a JIT by European Union (EU) Member State useful information on EU practice on JITs is available at the Europol<sup>2</sup> and EUROJUST<sup>3</sup> websites.

In the EU, a joint investigation team is set up for a fixed period and for a specific purpose, based on an agreement between or among two or more law enforcement authorities in European Union Member States. Competent authorities from countries outside the EU may participate in a JIT with the agreement of all other participating parties.

Whilst there is no legislation in Turkey that supports the possibility for the formation of a JIT within which Turkey could form a part, there have already been several experiences with the use of JITs in other countries.

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<sup>2</sup> <https://www.europol.europa.eu/activities-services/services-support/joint-investigation-teams>

<sup>3</sup> <http://www.eurojust.europa.eu/doclibrary/JITs/joint-investigation-teams/Pages/jits-framework.aspx>



Each JIT is set up to investigate a specific case. Once the investigation has concluded, the JIT is shut down: there are no permanent or on-going JITs. The terms in accordance with which a JIT is to operate vary to a degree with each case, but they are based on a model agreement appended to the Council Resolution of 26 February 2010 on a Model Agreement for setting up a Joint Investigation Team (JIT) (2010/C 70/01), which encourages the competent authorities in Member States to use it “to agree upon the modalities for the joint investigation team.”

Members of Europol adhere to the standards of the Budapest Convention and the Warsaw Convention. As such, they will generally require any members of the JIT to comply with the agreements made in these treaties.

### **Establishment of a JIT**

The following considerations should be undertaken during the creation of a JIT:

- Notice of establishment
- Structure/leadership
- Standard Operating Protocols
  - Standard Operating Procedures with financial institutions to ensure that where necessary, the flow of illegal money transfers can be delayed until necessary intelligence and/or further legal instruments can be utilised
  - Agreement that each of the relevant institutions will contact a nominated representative in the partner relevant institutions to expedite requests
- Conducting investigations
  - Maintaining chain of custody of exhibits.
  - Proper initiation of investigations
  - Current contact list of Police departments that are on call
  - Retention of up-to-date contact lists of financial institutions by relevant institutions
- Necessary funding (albeit some funding may be provided by Europol)
- Resources and staffing
  - Appropriate leadership
  - Appropriate resources including skill levels.
  - Appropriate allocation of roles and responsibilities
- Common agreement at which stage to terminate a JIT
- Cooperation following termination of JIT.

### **7.2 Standards for international cooperation**

Relevant provisions of the Warsaw Convention (applicable to financial investigations, mutual legal assistance and FIU cooperation), the Budapest Convention (applicable to cybercrime investigations and acquisition of electronic evidence), and the 40 Recommendations of the Financial Action Task Force (FATF) (applicable to prevention, detection, investigation and prosecution of money laundering, associated predicate offences and terrorist financing) should be considered when embarking on a course of international cooperation. The most significant provisions of these instruments are listed below.

## **EU legal instruments**

EU legal instruments are applicable within the European Union. It may be useful to understand the standards, methods and practice of the most relevant instruments targeting proceeds of crime and cybercrime in areas of mutual legal assistance, when cooperating with an EU Member State.

- Directive 2014/42/EU on the freezing and confiscation of instrumentalities and proceeds of crime in the European Union;
- Framework Decision 2001/500/JHA on money laundering, the identification, tracing, freezing, seizing and confiscation of instrumentalities and the proceeds of crime;
- Framework Decision 2005/212/JHA on confiscation of crime-related proceeds, instrumentalities and property;
- The principle of mutual recognition, as opposed to mutual assistance, has been introduced within the EU:
  - Framework Decision 2003/577/JHA for the execution of freezing orders
  - Framework Decision 2006/783/JHA for the confiscation orders
  - Council Decision 2007/845/JHA introduced the obligation to set up Asset Recovery Office(s) (ARO)
  - Directive 2013/40/EU on attacks against information system (24/7)
  - Directive 2014/41/EU on the European Investigation Order in criminal matters.

## **General Principles and Measures for International Cooperation**

- Warsaw Convention, Article 15
  - The Parties shall mutually co-operate for the purposes of investigations and proceedings aiming at the confiscation of instrumentalities and proceeds.
  - The parties shall comply with requests for confiscation of specific items or requirement to pay a sum of money corresponding to the value of proceeds and for investigative assistance and provisional measures with a view to either form of confiscation.
- Budapest Convention, Article 23 and 25
  - The Parties shall afford mutual assistance for the purpose of investigations or proceedings concerning criminal offences related to computer systems and data, or for the collection of evidence in electronic form of a criminal offence.
- FATF, Recommendation 37
  - Countries should rapidly, constructively and effectively provide the widest possible range of mutual legal assistance in relation to money laundering, associated predicate offences and terrorist financing investigations, prosecutions, and related proceedings.

## **Communication and transmission of requests**

Parties to both Warsaw and Budapest Conventions are required to designate central authorities, which communicate directly with one another (Warsaw Convention - Articles 33 and 34; Budapest Convention - Article 25 applies where there is an existing basis for cooperation, and Article 27 may apply if accepted by the party where there is no such existing arrangement or central authority designated). However,

- Warsaw Convention, Article 34 provides that urgent requests may be transmitted directly between the judicial authorities, including prosecutors, with a copy to be sent through central authorities or through INTERPOL.
- Warsaw Convention, Article 34 (5) provides that non-coercive requests (i.e. where execution of a request does not require the use of a coercive measure) may be directly transmitted between competent authorities.
- Warsaw Convention, Article 34 (6) provides for the possibility of direct exchange of draft requests in order to facilitate cooperation prior to a formal request being made.
- Budapest Convention, Articles 29-31 provide for requests to be dealt with in an expedited manner.
- Transmission via INTERPOL is available to all parties to the Council of Europe Convention on Mutual Assistance in Criminal Matters.
- Budapest Convention, Article 27(9) provides a similar provision (applicable if accepted by a party and if not covered by an existing arrangement).

### **Provisional Measures**

- Warsaw Convention, Articles 21-22
  - Parties shall take provisional measures, such as freezing or seizing, to prevent any dealing in, transfer or disposal of property subject to confiscation and provide spontaneously all information relevant for the execution of such provisional measure.
- Budapest Convention, Articles 29-30 provide for the following measures:
  - Expedited preservation of stored computer data
  - Expedited disclosure of preserved traffic data.
- FATF, Recommendation 38<sup>4</sup>
  - Countries should have the authority to take expeditious action in response to requests by foreign countries to identify, freeze, seize and confiscate property laundered, proceeds from money laundering, predicate offences and terrorist financing, instrumentalities, or property of corresponding value.

### **Investigative Assistance**

- Warsaw Convention, Articles 16-19
  - Parties shall assist each other in the identification and tracing of instrumentalities, proceeds and other property liable to confiscation, which includes securing evidence as to the existence, location or movement, nature, legal status or value of the aforementioned property.
  - Such assistance comprises also of requests for information on bank accounts, on banking transactions and monitoring of banking transactions).
- Budapest Convention, Articles 31-34 - Mutual assistance regarding investigative powers:
  - Accessing/seizing or similarly securing/disclosing of stored computer data,
  - Trans-border access to stored computer data with consent or where publicly available,
  - Mutual assistance regarding the real-time collection of traffic data,

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<sup>4</sup> See also the Interpretative Note to FATF Recommendation 38.

- Mutual assistance regarding the interception of content data subject to Domestic law.
- FATF, Recommendation 37
  - Countries should ensure that all powers and investigative techniques available to their competent authorities, including those relating to the production, search and seizure of information, documents or evidence (including financial records) from financial institutions or other persons, and the taking of the witness statements, are also available for use in response to requests for MLA.

### **Confiscation**

- Warsaw Convention, Articles 23-25
  - Parties are requested either to enforce a confiscation order or to submit the request to its competent authorities for the purpose of obtaining an order of confiscation and enforce it.
  - This includes a request to pay a sum of money corresponding to the value of proceeds, or confiscation of specific item of property.
  - Article 23/5 provides for the execution of a judicial request for measures equivalent to confiscation leading to the deprivation of property, which are not criminal sanctions (non-conviction based confiscation).
  - Article 25 determines the rules of asset sharing: property is primarily disposed of by executing Party, unless requested to give priority consideration to returning it to the requesting Party so that it can compensate the victims or return property to their legitimate owners.
- FATF Recommendation 38 (see above).

### **Cooperation between FIUs**

- Warsaw Convention, Chapter V, Articles 46 and 47
  - FIUs shall exchange, spontaneously or on request and either in accordance with this Convention or in accordance with existing or future memoranda of understanding compatible with this Convention, any accessible information that may be relevant to the processing or analysis of information, or, if appropriate, to investigation by the FIU information regarding financial transactions related to money laundering and the natural or legal persons involved.
  - Countries should adopt measures to permit urgent action to be initiated by a FIU, at the request of a foreign FIU, to suspend or withhold consent to a transaction going ahead (postponement of suspicious transactions).
- FATF Recommendation 40
  - FIUs should exchange information with foreign FIUs regardless of their status. To this end, FIUs should have an adequate legal basis for providing cooperation on money laundering, associated predicate offences and terrorist financing.
  - FIUs should have the power to exchange: a) all information that they can obtain from reporting entities as well as financial, administrative and law enforcement information that

they have access to; and b) any other information which they have the power to obtain or access at the domestic level, subject to the principle of reciprocity.

### **24/7 Network**

- Budapest Convention, Article 35
  - Each Party shall designate a point of contact available on 24/7 basis, in order to ensure the provision of immediate assistance for the purpose of investigations or proceedings concerning criminal offences related to computer systems and data, or for the collection of evidence in electronic form of a criminal offence.
  - Such assistance shall include facilitating, or, if permitted by its domestic law and practice, directly carrying out the following measures:
    - the provision of technical advice,
    - the preservation of data pursuant to Articles 29 and 30,
    - the collection of evidence, the provision of legal information,
    - the locating of suspects.

### **Other methods of cooperation**

The establishment of JITs pursuant to Council of Europe and EU instruments is discussed above.

Multi-disciplinary groups specialised in financial and asset investigations:

- FATF Recommendation 30
  - Countries should make use, when necessary, of permanent or temporary multi-disciplinary groups specialised in financial and asset investigations and ensure that, when necessary, cooperative investigations with appropriate competent authorities in other countries take place.

### **Spontaneous Information**

- Warsaw Convention, Article 20 and Budapest Convention, Article 26
  - Parties may, within the limits of its domestic law and without prior request, forward to another party information obtained within the framework of its own investigations when it considers that the disclosure of such information might assist the receiving Party in initiating or carrying out investigations or proceedings concerning criminal offences established in accordance with this Convention or might lead to a request for co-operation by that Party under this chapter.

### **Exchange of Information between Non-counterparts**

- FATF Recommendation 40 and related Interpretative Note
  - Countries should permit their competent authorities to exchange information indirectly with non-counterparts. Indirect exchange of information refers to the requested information passing from the requested authority through one or more domestic or foreign authorities before being received by the requesting authority. Such an exchange of

information and its use may be subject to the authorisation of one or more competent authorities of the requested country.

- Countries are also encouraged to permit a prompt and constructive exchange of information directly with non-counterparts.

### **7.3 Evaluation of Application of International Instruments**

#### **a. Targeting crime proceeds**

The Council of Europe's Committee of Experts on the Operation of European Conventions on Co-operation in Criminal Matters (PC-OC) focused its attention on the area of targeting crime proceeds in 2014. The replies to the PC-OC Questionnaire<sup>5</sup> on the use and efficiency of Council of Europe instruments as regards international co-operation in the field of seizure and confiscation of proceeds of crime, including the management of confiscated goods and asset sharing clearly highlights the differences among the Parties.

#### **b. Cybercrime**

The Council of Europe Cybercrime Convention Committee (T-CY) is monitoring implementation of Budapest Convention and developing further standards and guidance notes. It is useful to consult some recent work of the T-CY, related also to the (efficiency of) mutual legal assistance:

- T-CY Emergency requests: Preliminary observations on replies<sup>6</sup>.
- T-CY Assessment report: The mutual legal assistance provisions of the Budapest Convention on Cybercrime<sup>7</sup>.
- Final report of the T-CY Cloud Evidence Group (CEG) on criminal justice access to electronic evidence in the cloud: Recommendations for consideration by the T-CY<sup>8</sup>.
- T-CY Guidance Note nr. 10 on production orders: in this note the T-CY addressed, amongst others, the situation where a subscriber was based in the same country as the requesting party, and subscriber data is requested from a party offering services in the country. The note provides guidance on Article 18, which allows for these requests – and T-CY provided more clarity on the meaning of "offering services" or the territory of a party.

In its assessment report of December 2014 T-CY<sup>9</sup> adopted a set of recommendations designed to improve the efficiency and effectiveness of the mutual legal assistance (MLA) process relating to the investigation of cybercrime and the obtaining of electronic evidence. The recommendations support a more effective use of existing provisions of the Budapest Convention and other agreements, they are divided into three parts consisting firstly of recommendations 1-15 directed towards the Parties (including *inter alia* (1) full implementation of preservation powers, (3 and 4) allocation of more, better trained staff to the MLA process, (5) the strengthening of the role and capacity of the 24/7 point of contact, (8) the establishment of emergency procedures), secondly recommendations 16-18

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<sup>5</sup> Questionnaire on the use and efficiency of Council of Europe instruments as regards international co-operation in the field of seizure and confiscation of proceeds of crime, including the management of confiscated goods and asset sharing. PC-OC Mod (2015) 06Rev4, 19.5.2016: <https://rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=0900001680666607>

<sup>6</sup> T-CY(2016)13, 25.7.2016: Emergency requests for the immediate disclosure of data stored in another jurisdiction through mutual legal assistance channels or through direct requests to service providers: Compilation of replies: <https://rm.coe.int/16806ab6ab>

<sup>7</sup> T-CY(2013)17rev, 3 December 2014: <http://www.coe.int/en/web/cybercrime/t-cy-reports>  
<https://rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=09000016802e726c>

<sup>8</sup> T-CY (2016)5, 16 September 2016.

<https://rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=09000016806a495e>

<sup>9</sup> See pages 123 to 127, <https://rm.coe.int/16802e726c>

concerning capacity building directed towards Cybercrime Programme Office of the Council of Europe (C-PROC) and also proposing additional solutions <sup>10</sup>, in recommendations 19-24 for the potential inclusion in a possible protocol to the Convention of provisions allowing for (19) the expedited disclosure of subscriber information , (20) the possibility of international production orders, (21) direct cooperation between judicial authorities , (22) addressing the practice of directly obtaining information from foreign service providers (23) joint investigations and/or joint investigative teams between Parties, (24) allowing for acceptance of requests in the English language.

Importantly, CEG in its report and recommendations related to criminal justice access to electronic evidence in the cloud concluded that mutual legal assistance remains the main means to obtain electronic evidence from foreign jurisdictions for use in domestic criminal proceedings. This is particularly true of transmission and content data. It also highlighted that subscriber data, which by its very nature is less privacy intensive, should be obtained by use of less intrusive and lighter measures such as the production order. Here, the report advises on the use of Article 18 (domestic production orders) of the Budapest Convention for the purposes of obtaining subscriber information from multinational service providers operating in the territory of a state having jurisdiction over the offence under investigation, thus dispensing with the need for an MLA request to the country where the headquarters of the service provider is situated – Guidance Note nr. 10 on the use of production orders for the obtaining of subscriber information in these circumstances was approved by T-CY<sup>11</sup>.

CEG also proposed that consideration be given to the drafting of an additional protocol in order to address some existing challenges referred to above, including provisions for more effective mutual legal assistance (a simplified regime for mutual legal assistance requests for subscriber information; international production orders; direct cooperation between judicial authorities in mutual legal assistance requests; the establishment of joint investigations and joint investigation teams; acceptance of requests in English language; audio/video hearing of witnesses, victims and experts; emergency MLA procedures); provisions allowing for direct cooperation with service providers in other jurisdictions with regard to requests for subscriber information, preservation requests, and emergency requests; a clearer framework for existing practices of trans border access to data subject to stronger safeguards, including data protection requirements.

MLA requests vary, even if they are based on international legal instruments, as they depend on national legislation of sending State, as well as the legislation and practical expectations of the receiving State. Forms for MLA requests might help States to certain extent; therefore some efforts have been made to develop model templates.

The Council of Europe Committee PC-OC developed a Model request form for mutual assistance in criminal matters. See the documents from the 69th meeting (May 2016): Draft model request form on MLA and practical guidelines for practitioners.<sup>12</sup>

As mentioned above, the T-CY assessment report: The mutual legal assistance provisions of the Budapest Convention on Cybercrime (T-CY(2013)17rev) puts forward Recommendation 17, which calls for the development standardised, multi-language templates for Article 31 requests.<sup>13</sup>

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<sup>10</sup> See page 125 to 127, <https://rm.coe.int/16802e726c>

<sup>11</sup> T-CY Guidance Note #10: Production orders for subscriber information (Article 18 Budapest Convention), <https://rm.coe.int/16806f943e>

<sup>12</sup> See <http://www.coe.int/en/web/transnational-criminal-justice-pcoc/pc-oc-69th-meeting> and <http://www.coe.int/en/web/transnational-criminal-justice-pcoc/model-request-form-for-mutual-assistance-in-criminal-matters>

<sup>13</sup> See: <https://rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=09000016802e726c>

## 8. Statistics

Official statistics should provide quantitative or qualitative information on all major areas of Government Agencies or other public bodies. This includes prosecution and law enforcement.

Statistics should supply decision-makers and other users with information that they can develop their knowledge about the subject, assess performance of the agencies and identify improvements to strategy and systems. This improves accountability of official agencies or other public bodies.

### 8.1 Gathering of statistics

- Minimum level of statistics required with respect to domestic and international cooperation - for example: data on number of financial investigations and related criminal offences, number and value of freezing orders, number and value of confiscation orders, number and value of executed confiscations; number of money laundering investigations/prosecutions/judgements; FIU statistics; international cooperation: number of incoming and outgoing requests segregated by articles of Warsaw and Budapest conventions and national provisions.
- Ensure that statistics are prepared in a method so that they can be compared between different units and that annual totals can be accurately reported.
- Designate body (unit) to gather statistics from different institutions (police (Ministry of Interior and Ministry of Finance), prosecution, courts/judiciary, Ministry of Justice) and their commitment to send such data. Take into account different reporting obligations (Council of Europe: e.g. MONEYVAL, GRECO, OECD) or
- Designate or constitute body to collect statistics:
  - Mandate of the body
  - Powers to call for information from relevant institutions
  - Funding
- Developments of common classifications to harmonize work being done by different agencies.

### 8.2 Review of statistics

- Incidence monitoring based on statistics gathered
- Review of statistics by Multi-Agency Groups to evaluate and enhance effectiveness.
- Annual review of statistics by yearly meetings by heads of relevant agencies.



## **9. Recommendations for Drafting Protocols**

### **9.1 General guidelines**

Below are some general guidelines, which should be referred to when seeking to create, review and implement domestic protocols. These guidelines are not exhaustive and other national procedures and legislation should take priority over these generic recommendations:

- Ensure that the powers/mandates of different agencies are enunciated in the protocol
- Ensure that the objectives of the protocol are clearly defined within the protocol
- Ensure that the request form for cooperation/information exchange is simple and not confusing and time-consuming
- Ensure that agencies have specified a single point of contact with authority to cooperate with other agencies
- Ensure that agencies that have powers to conduct certain kinds of investigations/information-gathering can easily share such information with other agencies
- Ensure that the measures with respect to which there shall be interagency cooperation under the protocol are clearly defined, both with respect to domestic and international cooperation
- Ensure that there are specific provisions regarding the development, establishment and maintenance of integrated database of information
- Ensure that there are strong confidentiality, security and data protection safeguards built into the protocol
- Ensure that there are clearly defined standard operating procedures for Multi-Agency Groups.
- Ensure that Multi-Agency Groups under the protocol have a defined leadership structure
- Ensure that the protocol provides for joint training
- Ensure that there is a comprehensive accountability and monitoring mechanism, including regular meetings, statistics gathering etc.
- Ensure that private sector operators are encouraged to cooperate on an informal basis
- Resolution of disputes:
  - Ensure that there is a procedure to resolve disputes that are within and outside the scope of the protocol
  - Ensure relevant time periods are in place to assure the expedient resolution of such dispute
  - Ensure that there is a mechanism to prevent hindrance to on-going and new investigations as a result of disputes between agencies
- Termination of protocol
  - Ensure that there is a method to revoke or terminate any protocol, if required
  - Place a notice period for the termination of such protocol
  - Ensure that the effect of termination of the protocol is clearly stated, including impact on JITs, MAGs, on-going investigations and cooperation
- Term or period of the protocol
- Identify the date on which protocol becomes effective
- Specify the term of protocol
- Provide an option for renewal, where necessary.

### **9.2 Amendments and supplements to the Protocols**

- Specify a procedure for making amendments

- Identify how amendments can be made to the agreed protocol including the level of consensus required.