



# OECD International Academy for Tax Crime Investigation

## *Investigative Techniques for the Effective Use of Banking Information*



Covert Planning Role & Operational Security  
MARK WALDON HM Revenue & Customs

# Operational Security Process

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*Protect Operations / Assets / People.*

*Analyse the Threats and Vulnerabilities.*

*Assessing Risk.*

*Responding to Risk:*

*- Remove / Avoid / Reduce / Accept / Share or Transfer.*

***- NEVER IGNORE!***

# Potential Threats

- *Criminals under investigation.*
- *Covert Human Intelligence Sources (CHIS).*
- *Discovery of technical device by target or other person.*
- *Exposure of sensitive techniques in Court or by Press/Media.*
- *Corrupt personnel in Law Enforcement.*
- *Failure with security or information.*

# WHAT DOES THE OPSY DO????

- RISK MANAGEMENT
- COMPROMISE MANAGEMENT (incl. NCD)
- PROVIDE SUPPORT & ADVICE
- LIAISE WITH INTERNAL AND EXTERNAL PARTNERS
- LINK TO NCND SPOC
- SECURITY MANAGEMENT INCL. SECURITY REVIEWS
- PROMOTES PERSONAL SAFETY AWARENESS

# OPSY Use – Possible Scenarios

- UNDERCOVER OFFICER
- CHIS / HumInt
- SURVEILLANCE
- WITNESS PROTECTION ISSUES
- USE OF TECHNICAL
- OTHER AGENCIES INVOLVED
- OVERSEAS DEPLOYMENT
- HIGH PROFILE/SENSITIVE CASE
- DATA USE, RETENTION AND LOSS
- USE OF SENSITIVE ASSETS OR SYSTEMS

# Management of Threats and Vulnerabilities

- *What have I got?*
- *What is it?*
- *Who wants it?*
- *How would they get it?*
- *Why do they want it?*
- *How do I protect it?*

# What I need to Consider at Work?

- *Investigations / Investigation techniques.*
- *Data Security / Clear desk policy.*
- *Government Protective Marking System (GPMS)*
- *Need to Know - minimise knowledge pool.*
- *Reputation and Personal Integrity.*
- *Duty of Care (Neither Confirm or Deny).*
- *National Compromise Database (NCD).*
- *Working away from the office.*
- *Personal Security.*

# What I need to Consider in my Private Life.

- *Occupation / Loose talk.*
- *Telephone Directory.*
- *Electoral Role.*
- *Media and Social Networking Sites.*
- *Mobile Telephones.*
- *Disposal of private / Personal information.*
- *Social Engineering.*
- *Victim of crime.*

...so now the landscape of communications looks very different because all these things allow us to communicate.....

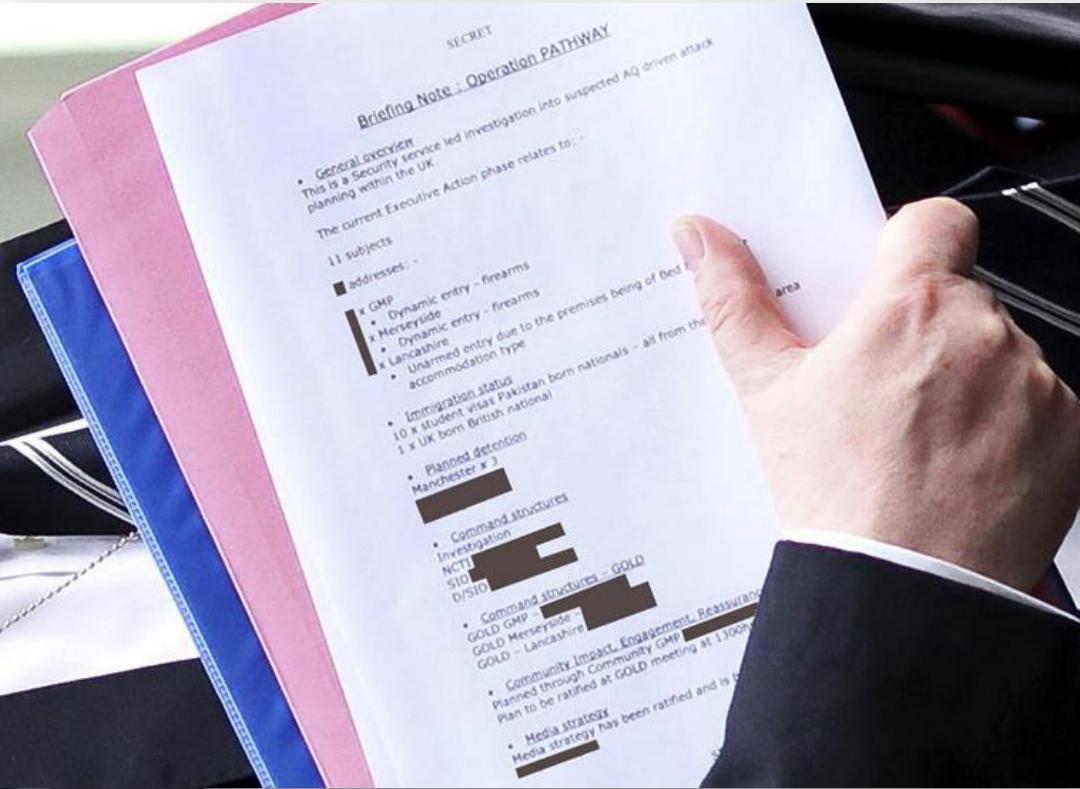


# Threats posed by Social Networks

- Criminal Groups
- Hackers
- Foreign Intelligence Services
- Journalists – News of the World
- Single Issue Groups – UK Uncut
- Terrorists
- Disaffected employees

# “Police chief Bob Quick steps down over terror blunder”

The Guardian Thursday 9 April 2009



# "Pair jailed over royal phone taps"

January 2007

BBC News Friday, 26

Clive Goodman, the royal editor of the News of the World and Glenn Mulcaire, a private investigator, were jailed for plotting to intercept voicemail messages left for royal aides.

**"The defendants... were fishing in the voicemail boxes to see whether there might be information of interest to them"**

*Prosecutor David Perry QC*



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**Suella Braverman**

## Suella Braverman admits using personal email for work six times

Home secretary's letter of apology shows she did not tell officials about sending of document 'as soon as I realised my mistake'

● **UK politics live - latest news updates**

**Aletha Adu** Political correspondent

Mon 31 Oct 2022 14.28 GMT



▶ Braverman claims she is victim of 'political witch-hunt' – video

Suella Braverman has admitted using her personal email for official business six times so she could read the documents while taking work video calls.

# Understanding Compromise

- Poor judgement.
- Bad planning.
- Targeted criminal attack / Infiltration.
- Corruption / Collusion.
- Careless or loose talk
- Human error.
- Complacency.
- Bad luck / Chance.

# “Police 'failed' gangland revenge shooting couple”

BBC NEWS 24 February 2010

**Police failures contributed to the deaths of a couple shot by a gangland hit squad in Lincolnshire in a revenge attack.**



Police failed to share with their Lincolnshire counterparts, or properly act on, intelligence about the threat posed to the couple by Colin Gunn's gang. The investigation into the shooting at their home in Nottingham was flawed, there was no proper risk assessment of the situation and the response to reports of a prowler in the days leading up to the murders was inadequate.

# Corrupt Officer Embedded

## **West Midlands Police officers collared for data breaches**

“ALMOST 100 police officers in the West Midlands have been booted out or disciplined for accessing confidential records from their force computers for their own purposes”

Mark Turner -





Having understood what threats are posed to the tactics and methodologies we use, lets take a closer look at how why might now use them in anger.....

# Covert Planner toolbox

Considerations.....

Conventional  
Surveillance

Electronic  
Surveillance

Communications  
Data

CNET

Close Observation  
Team or CROPS

CME – digital  
downloading

Liaison with other  
LE or public  
authorities (i.e  
cameras)

Open source  
research

Undercover  
opportunities

CHIS identification

# Covert Planning

- What are my legal limits? What am I authorised to use?
- What tactics do I have in my ‘toolbox’?
- Which of these tactics will yield the best results in any given scenario?
- Intelligence surrounding subjects..
- Have the subjects been exposed to covert tactics before?
- Are they surveillance aware?
- Are they disciplined around their phone/computer?
- Do they display good Operational Security?

# Further considerations...

- Indoctrination – need to know (who needs to know?)
- Flow of intelligence / evidence
- Covert entry – home, business, vehicles
- Protection of covert assets
- Exit strategy – CHIS, Undercover, technical fits
- Production of material at court
- Disclosure

Thank You.....

You can now go away and plan  
for any covert action you may  
wish to deploy against the  
subjects of our investigation..