2011 Fusion Center Assessment Individual Report

Arizona Counter Terrorism Information Center

Revised March 2012

United States
Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Arizona Counter Terrorism Information Center (ACTIC)

Overall Score: 75.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 63 full time, 0 part time

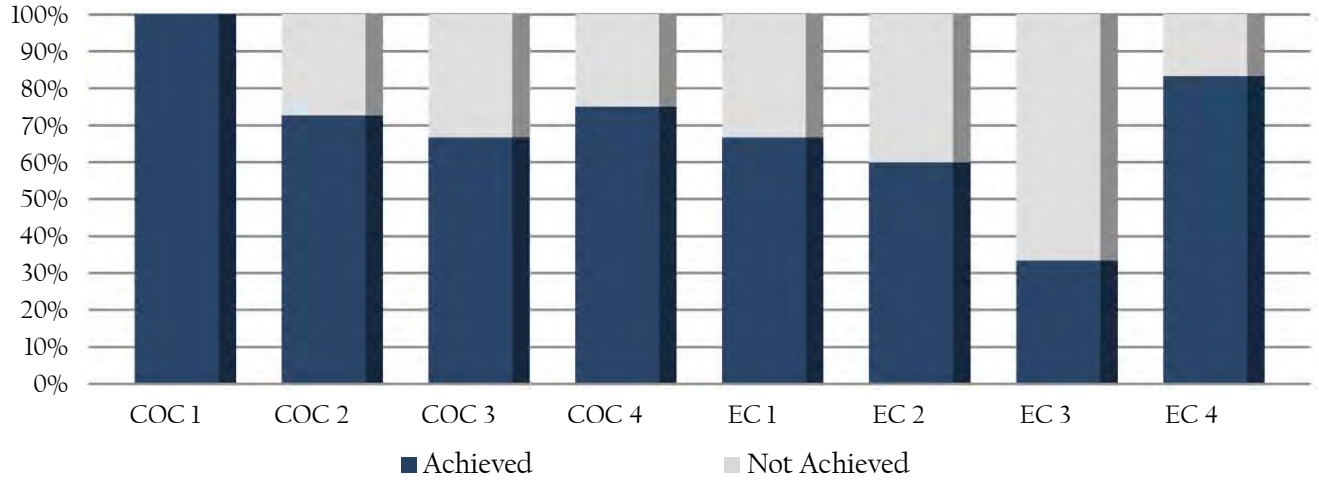
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

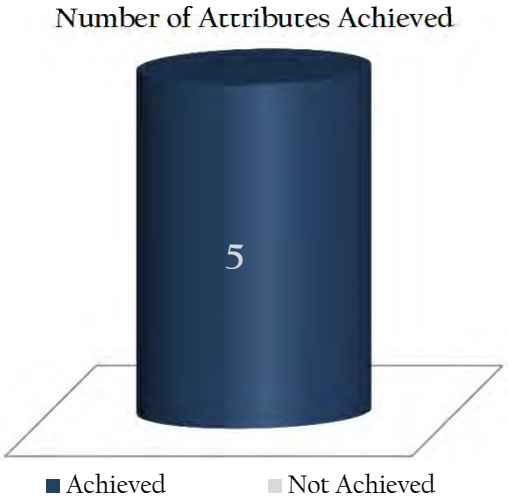


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The ACTIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The ACTIC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The ACTIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

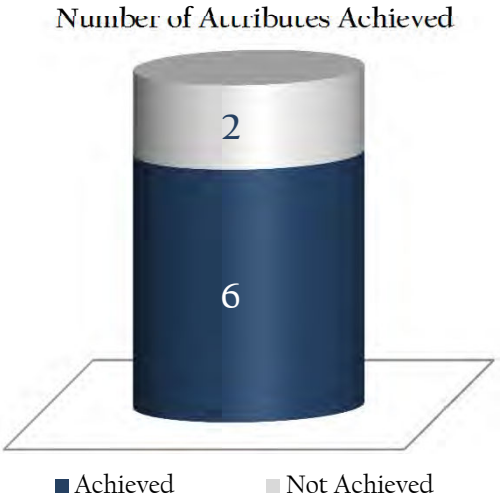
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The ACTIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

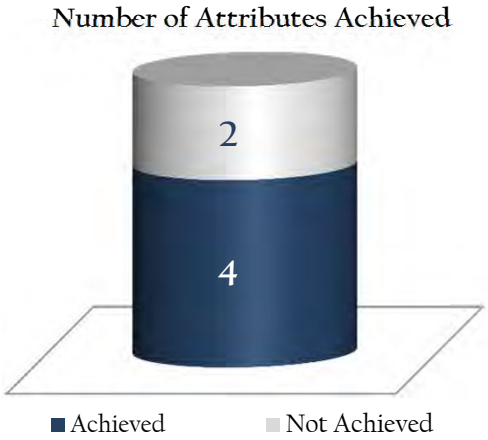
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The ACTIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The ACTIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

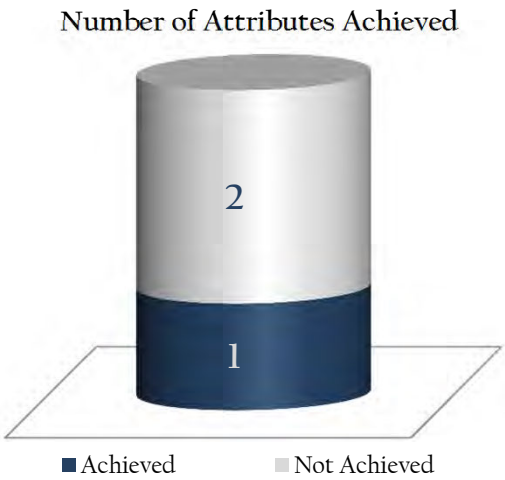
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The ACTIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The ACTIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Alabama Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Alabama Fusion Center (AFC)

Overall Score: 59.9

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 11 full time, 1 part time

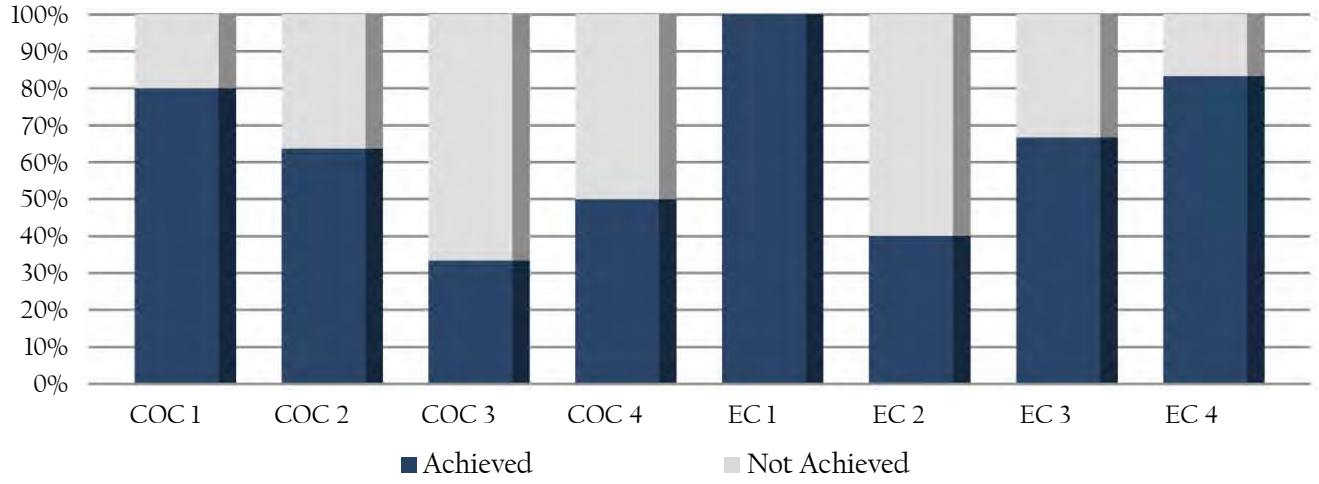
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	7	12.7	63.6%	16.4	81.8%
COC 3: Disseminate	6	2	6.7	33.3%	13.1	65.7%
COC 4: Gather	8	4	10.0	50.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

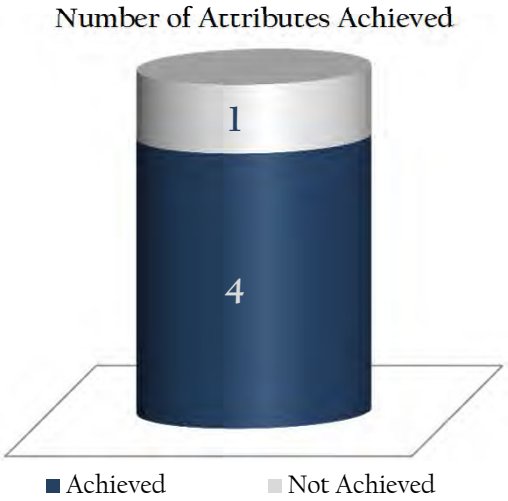


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The AFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	12.7
Percent:	63.6%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The AFC has achieved 7 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	7	20	12.7	63.6%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The AFC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

Achievement of the Attributes for COC 3

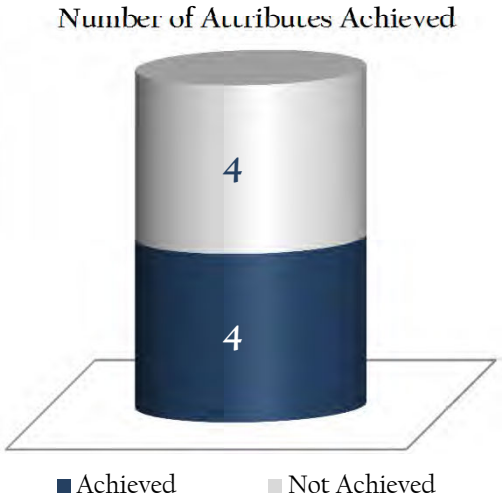
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	10.0
Percent:	50.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The AFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	4	20	10.0	50.0%

Achievement of the Attributes for COC 4

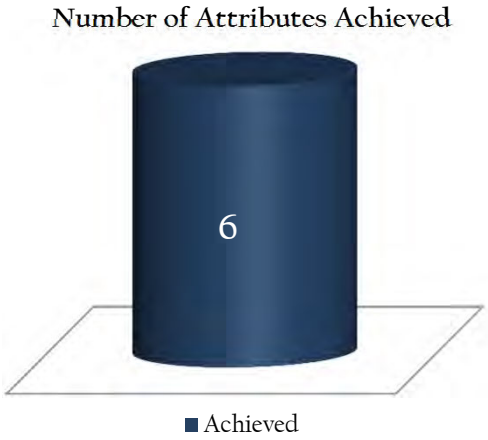
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The AFC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

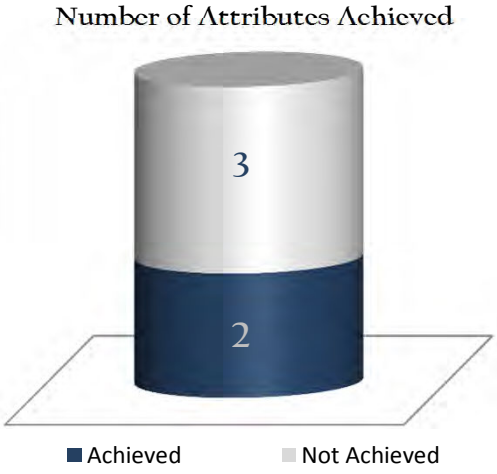
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The AFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

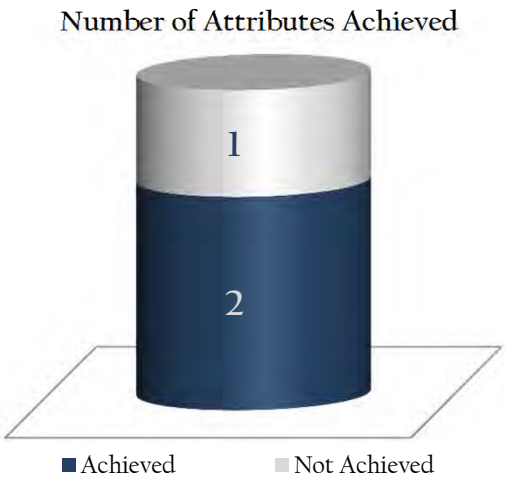
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The AFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

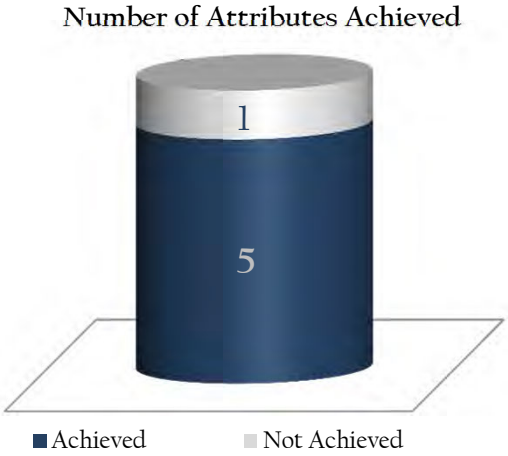
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The AFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Alaska Information and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Alaska Information and Analysis Center (AKIAC)

Overall Score: 74.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All hazards

Staffing Levels: 9 full time, 0 part time

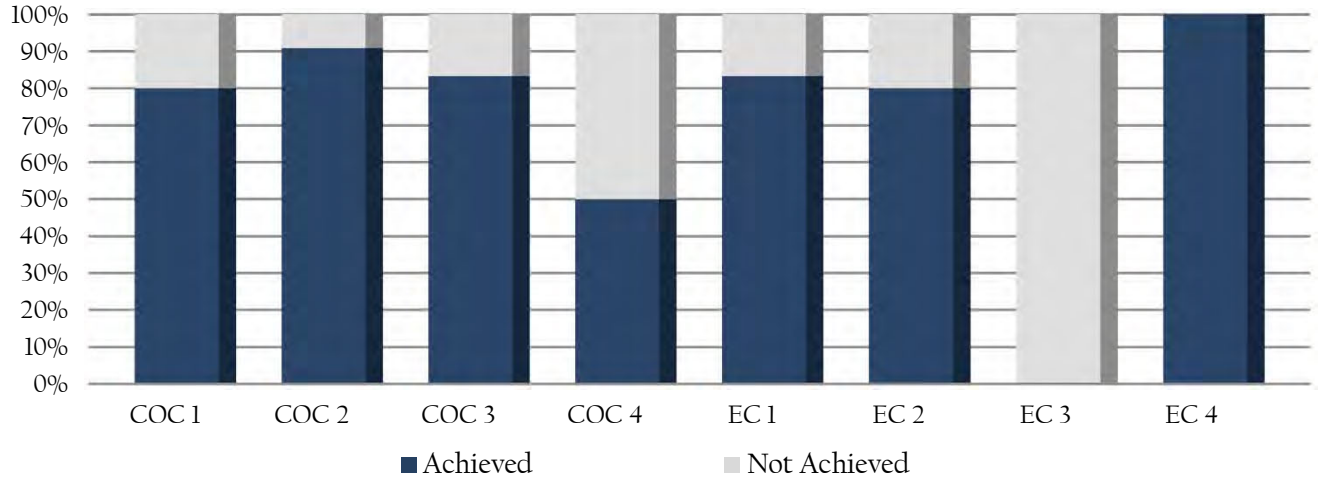
Year Fusion Center Established: 2009

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	4	10.0	50.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	0	0.0	0.0%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

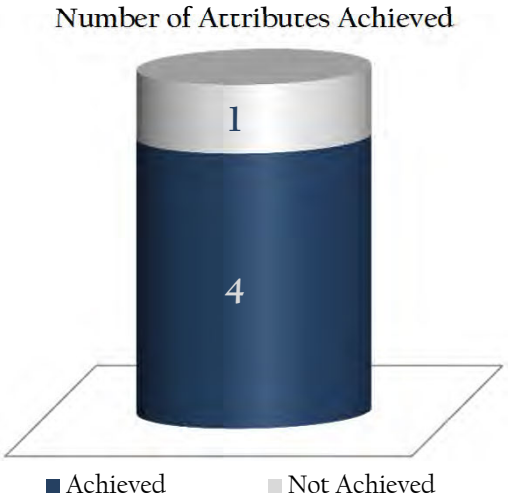


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The AKIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The AKIAC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

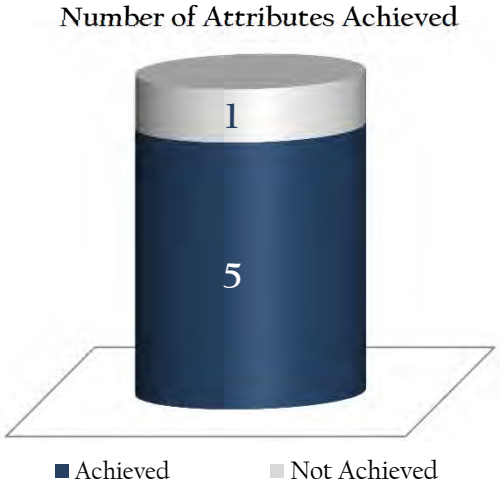
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AO	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The AKIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

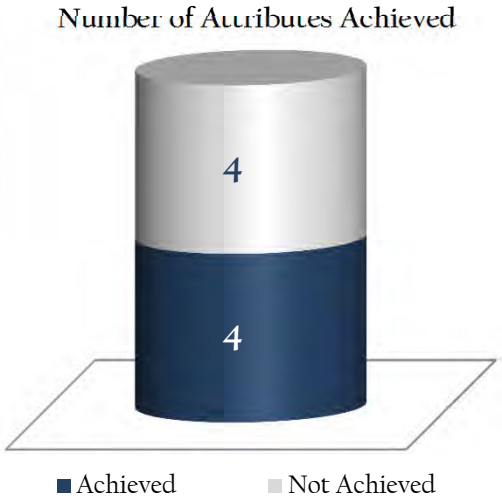
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

COC Score:	10.0
Percent:	50.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The AKIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	4	20	10.0	50.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The AKIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

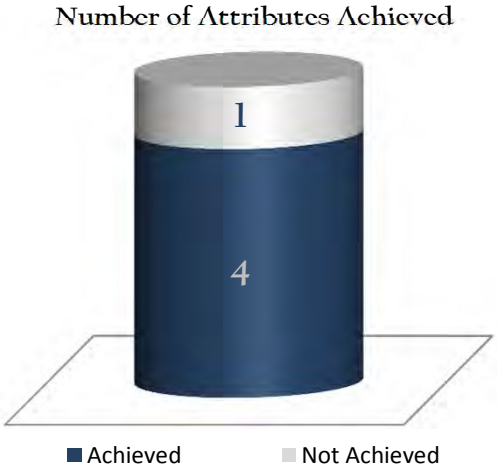
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The AKIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

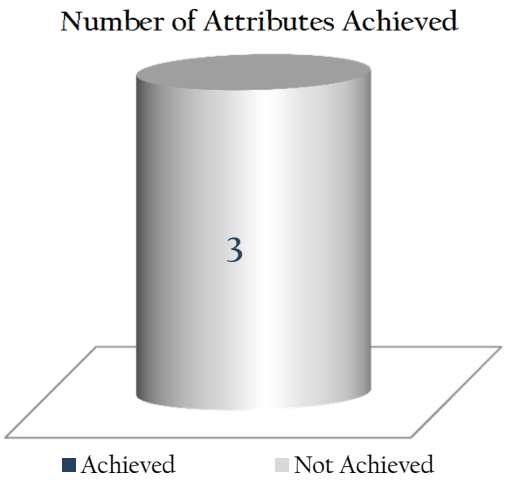
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	0.0
Percent:	0.0%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The AKIAC has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	0	5	0.0	0.0%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The AKIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

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2011 Fusion Center Assessment Individual Report

Arkansas State Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Arkansas State Fusion Center (ASFC)

Overall Score: 59.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all threats, counterterrorism

Staffing Levels: 8 full time, 0 part time

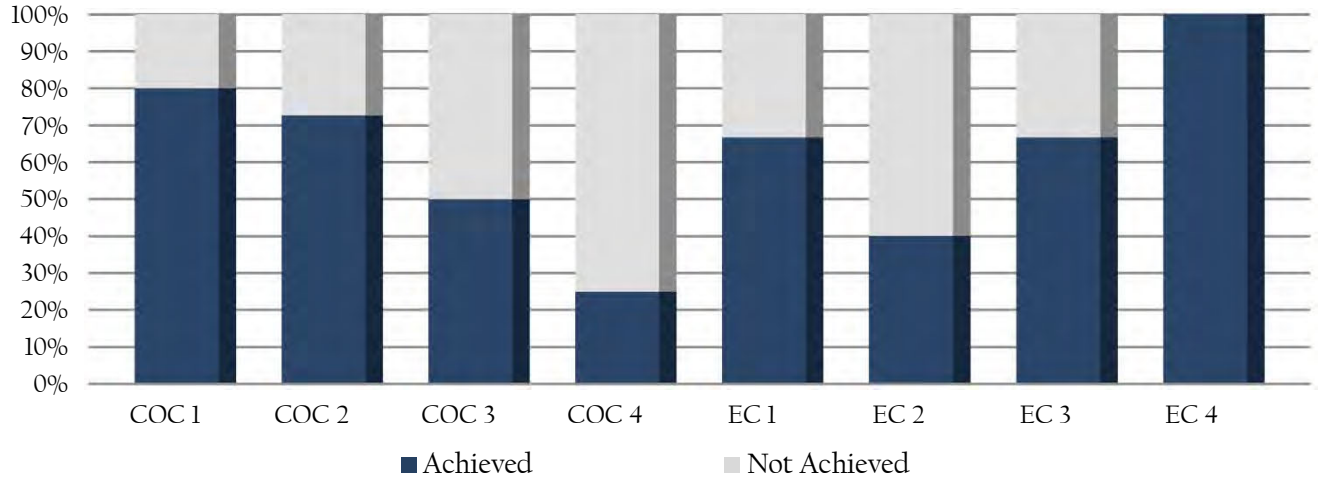
Year Fusion Center Established: 2009

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	2	5.0	25.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

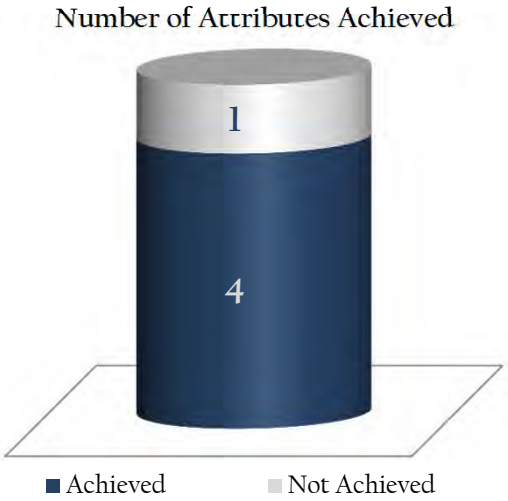


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The ASFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The ASFC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AO	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The ASFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

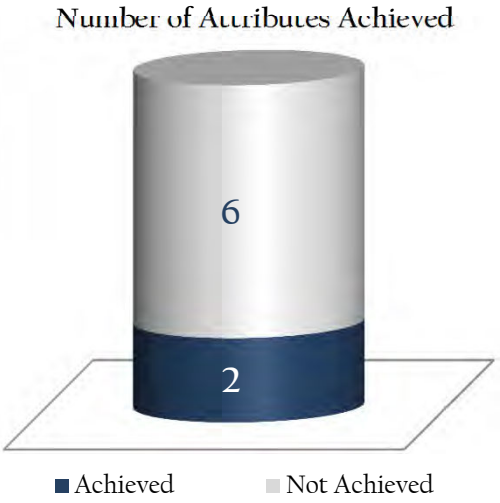
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	5.0
Percent:	25.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The ASFC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	2	20	5.0	25.0%

Achievement of the Attributes for COC 4

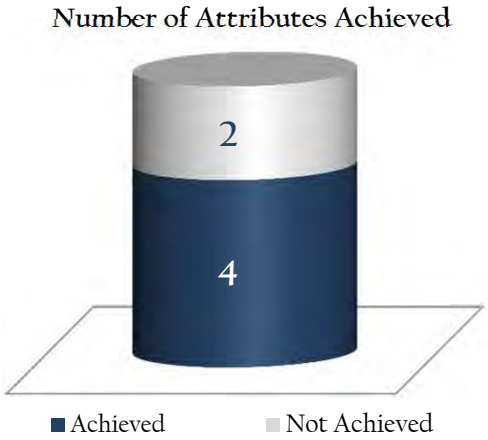
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The ASFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

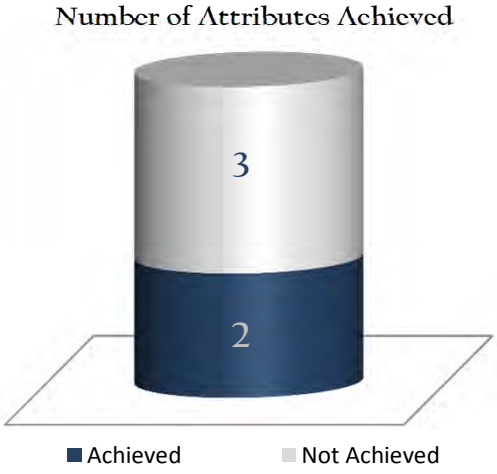
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The ASFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

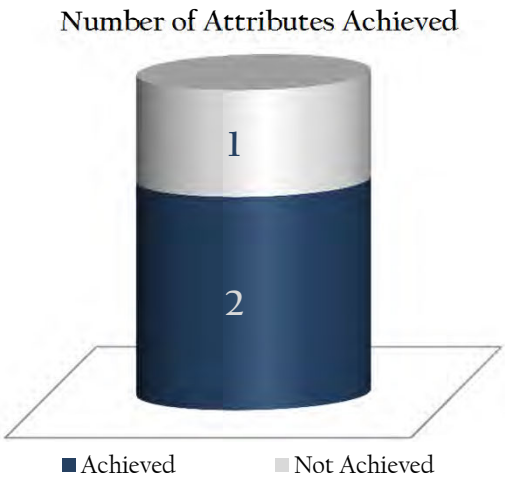
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The ASFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The ASFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Boston Regional Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Boston Regional Intelligence Center (BRIC)

Overall Score: 66.9

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 40 full time, 0 part time

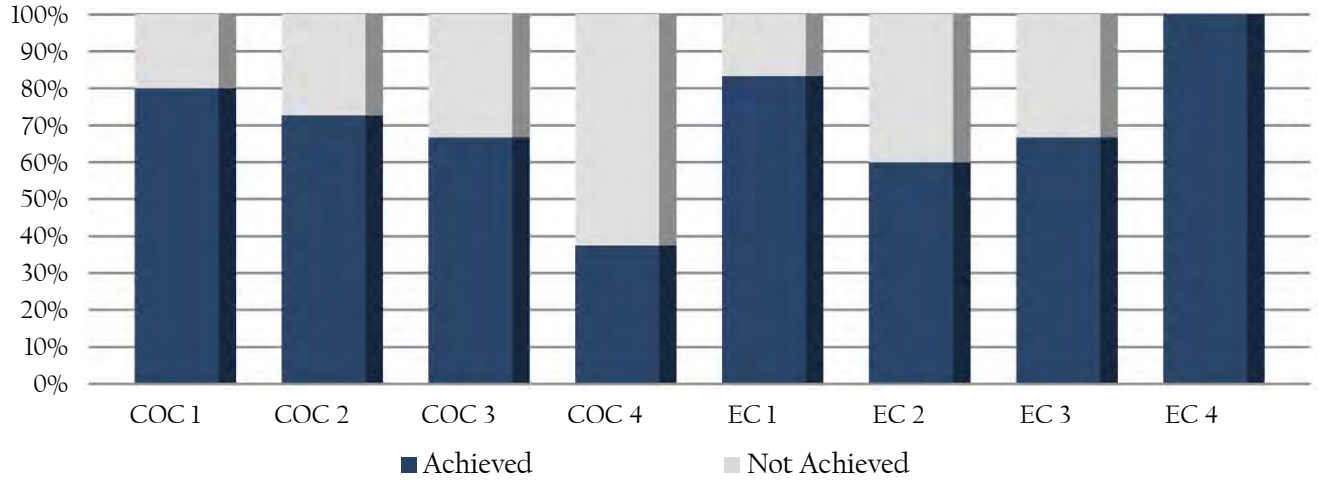
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	3	7.5	37.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

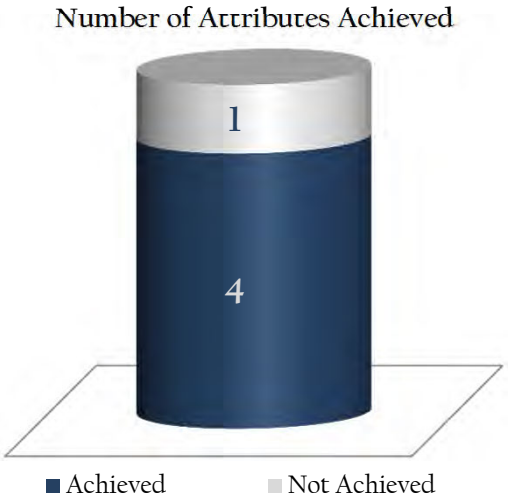


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The BRIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The BRIC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The BRIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

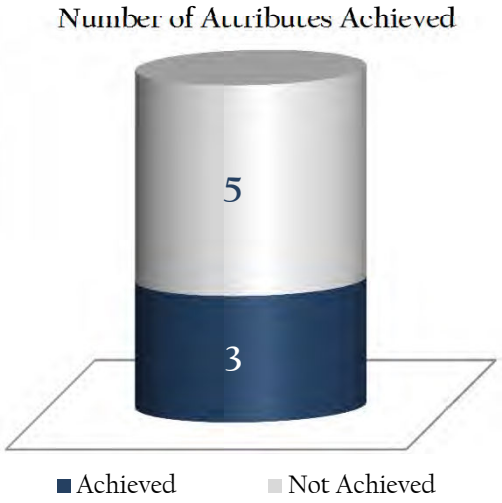
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

COC Score:	7.5
Percent:	37.5%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The BRIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	3	20	7.5	37.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The BRIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The BRIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

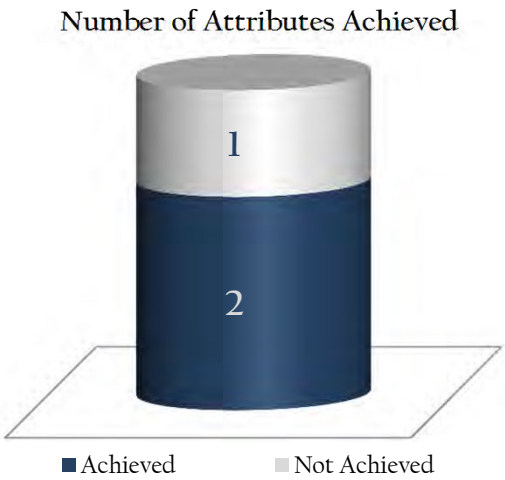
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The BRIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The BRIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

California State Threat Assessment Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

California State Threat Assessment Center (STAC)

Overall Score: 75.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 17 full time, 2 part time

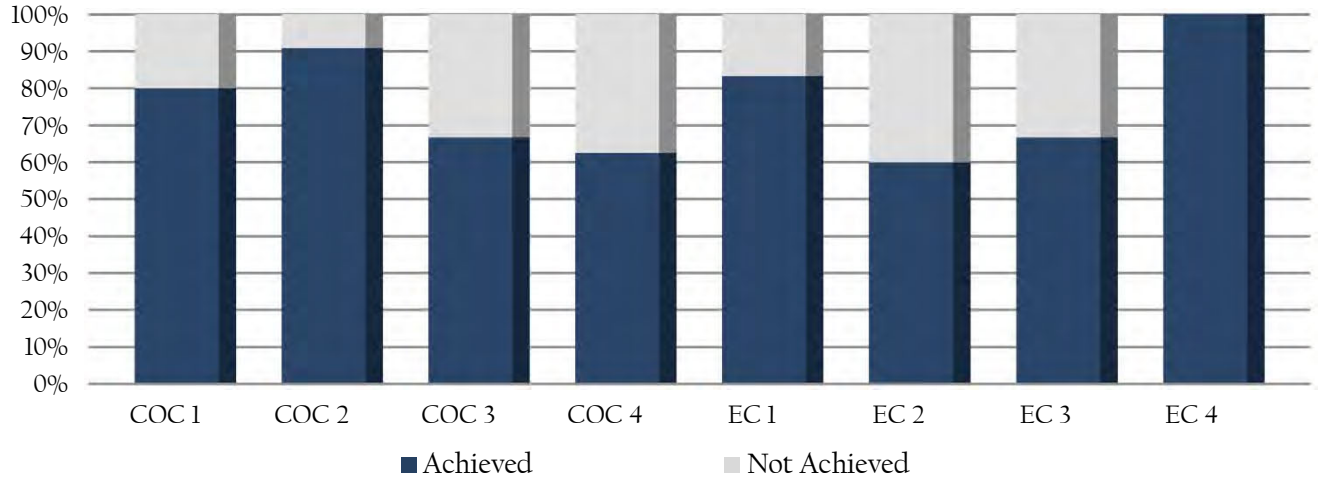
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

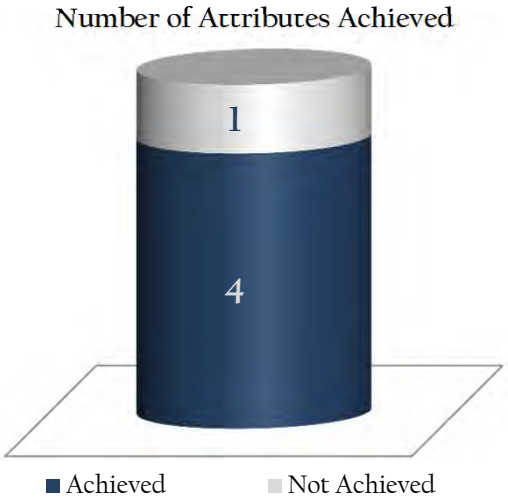


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The STAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The STAC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The STAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

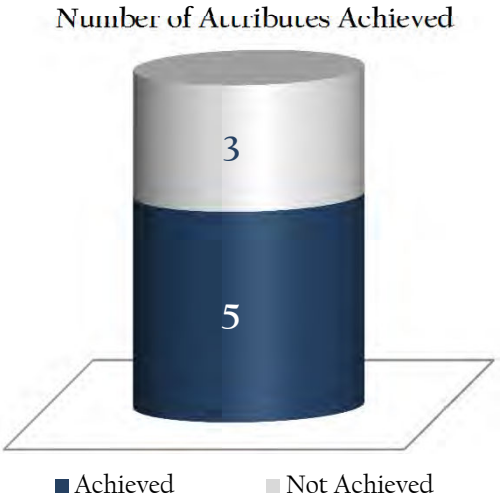
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The STAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The STAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The STAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

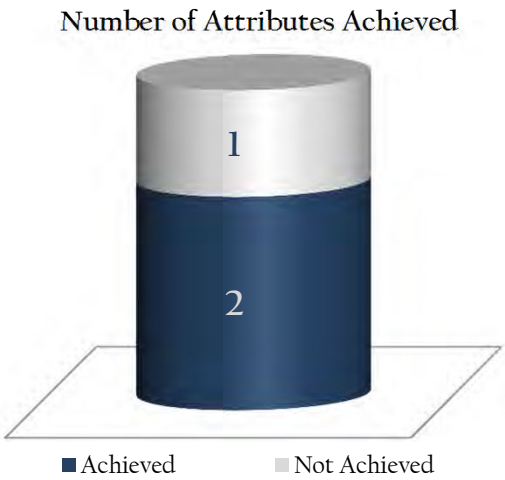
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The STAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The STAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
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4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Central California Intelligence Center

Revised March 2012

United States Department of Justice

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Central California Intelligence Center (CCIC)

Overall Score: 96.7

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: N/A

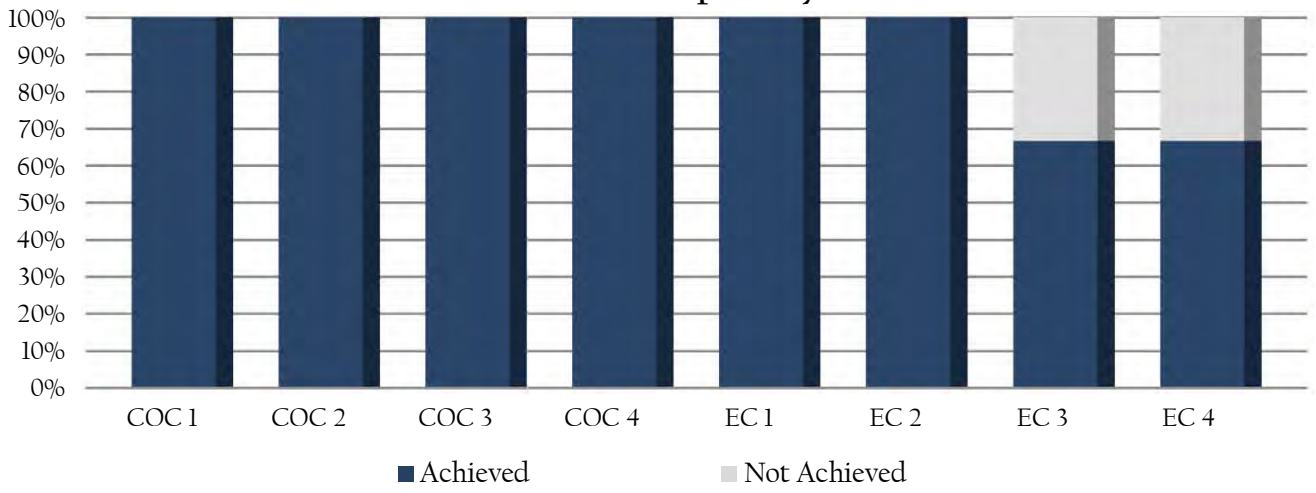
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	6	20.0	100%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

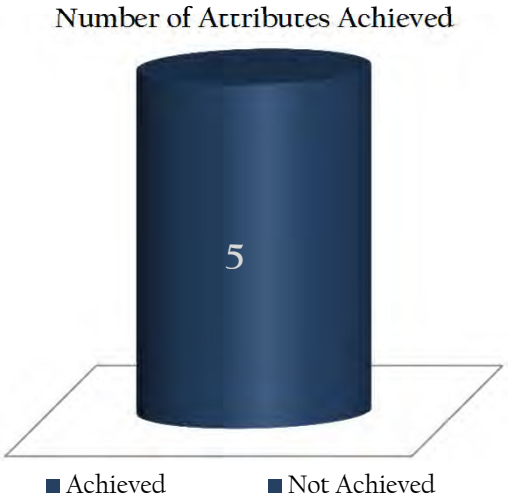


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CCIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CCIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	20.0
Percent:	100%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CCIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	20	20.0	100%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CCIC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

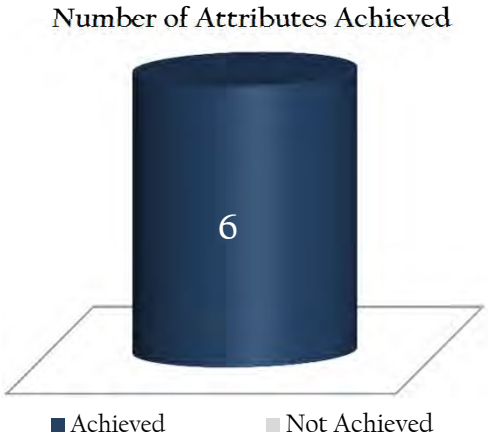
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CCIC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CCIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

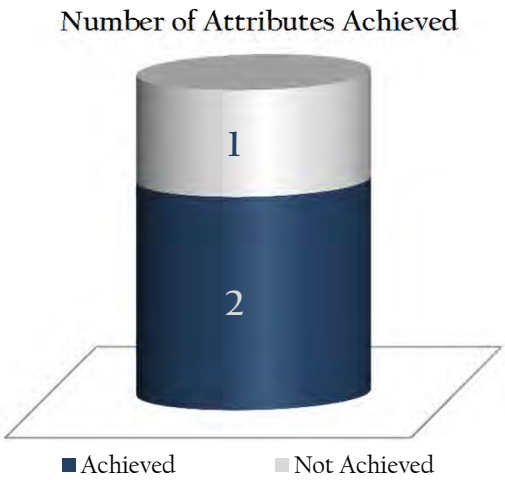
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CCIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CCIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Massachusetts Commonwealth Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Commonwealth Fusion Center (CFC)

Overall Score: 68.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: 41 full time, 5 part time

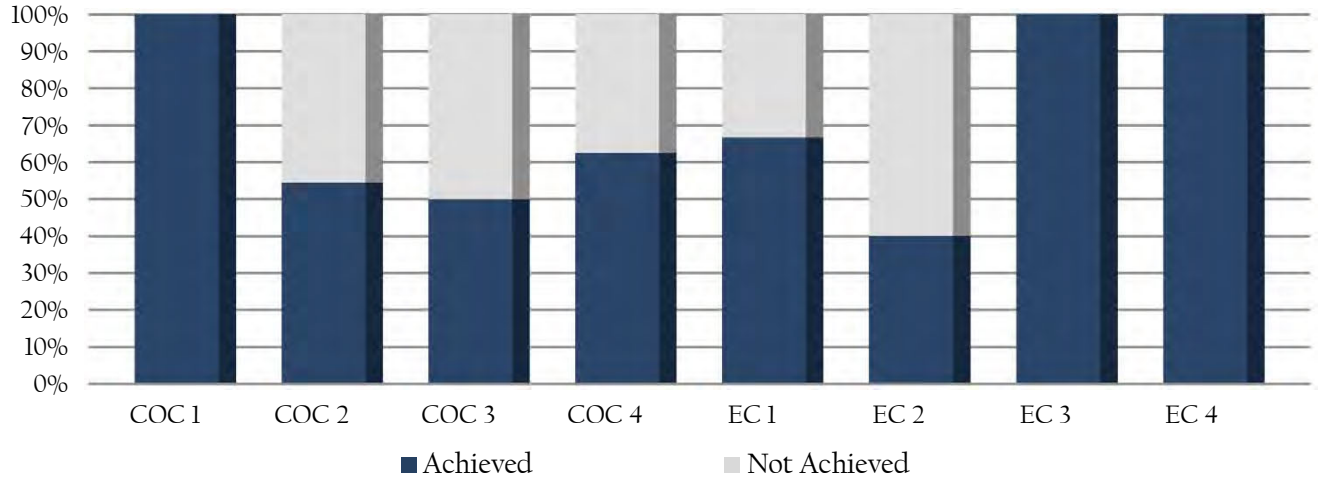
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	6	10.9	54.5%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

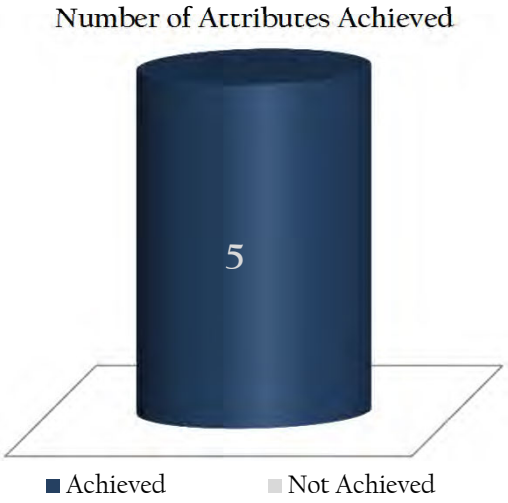


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	10.9
Percent:	54.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CFC has achieved 6 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	6	20	10.9	54.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessment	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

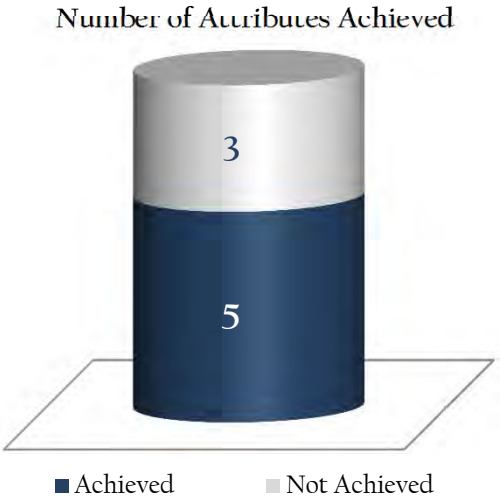
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	12.5
Percent:	62.5%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

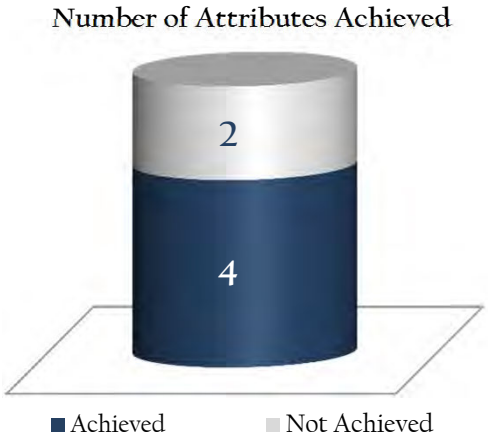
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

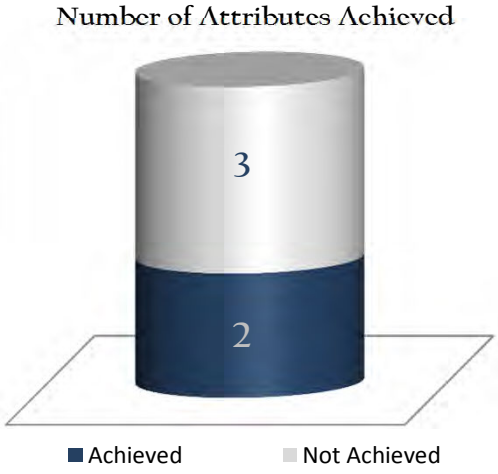
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

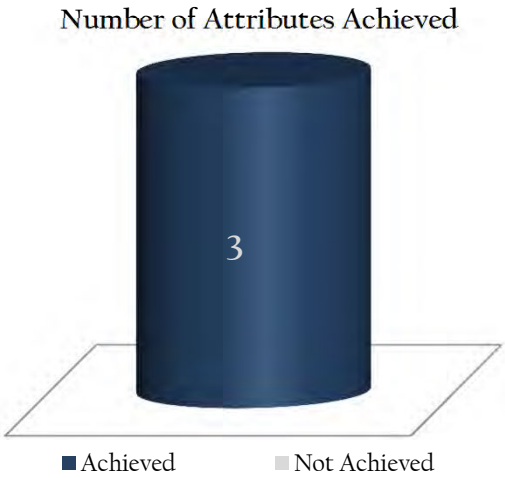
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CFC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Central Florida Intelligence Exchange

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Central Florida Intelligence Exchange (CFIX)

Overall Score: 70.3

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards

Staffing Levels: 15 full time, 0 part time

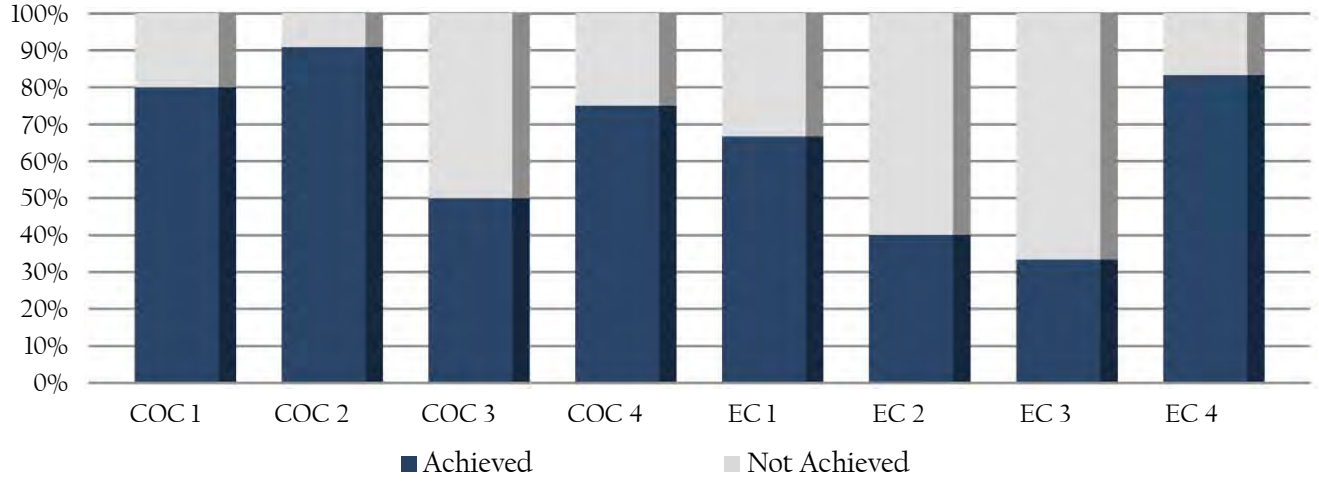
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

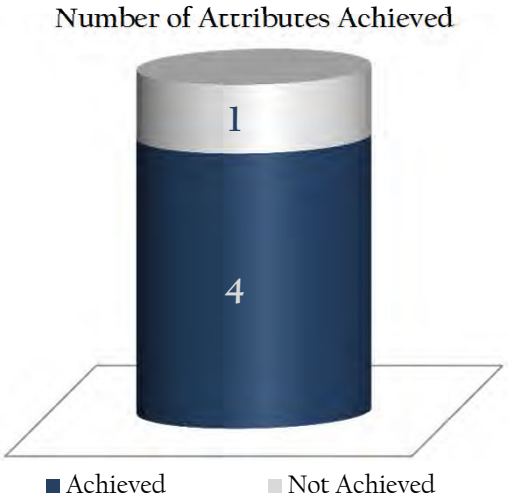


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CFIX has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CFIX has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible Score	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CFIX has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

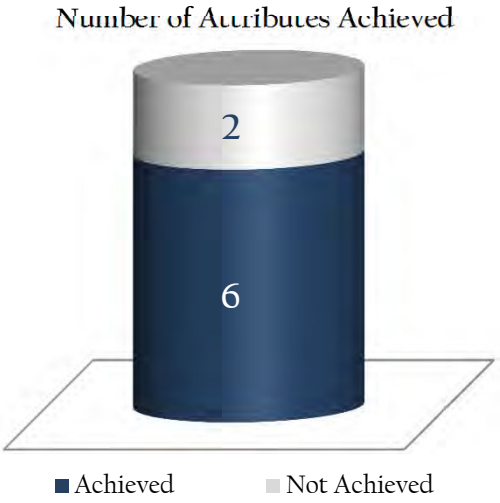
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CFIX has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

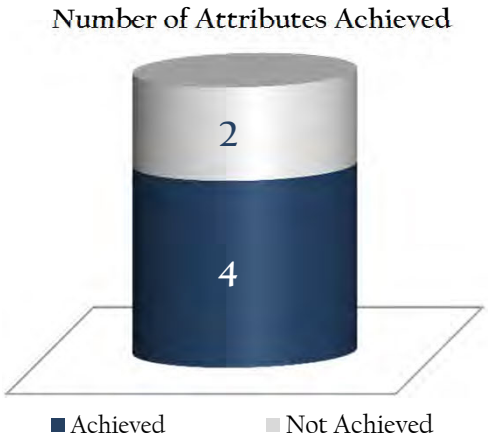
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CFIX has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

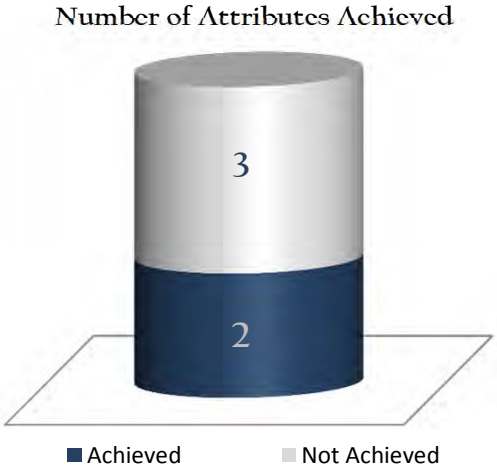
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CFIX has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

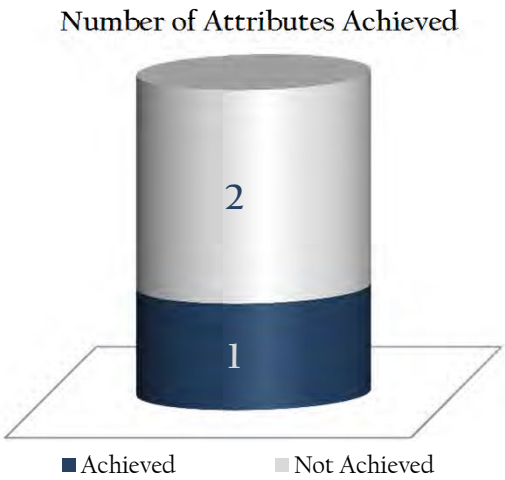
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CFIX has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CFIX has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

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2011 Fusion Center Assessment Individual Report

Colorado Information Analysis Center

Revised March 2012

United States Department of Justice

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Colorado Information Analysis Center (CIAC)

Overall Score: 93.3

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 28 full time, 5 part time

Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
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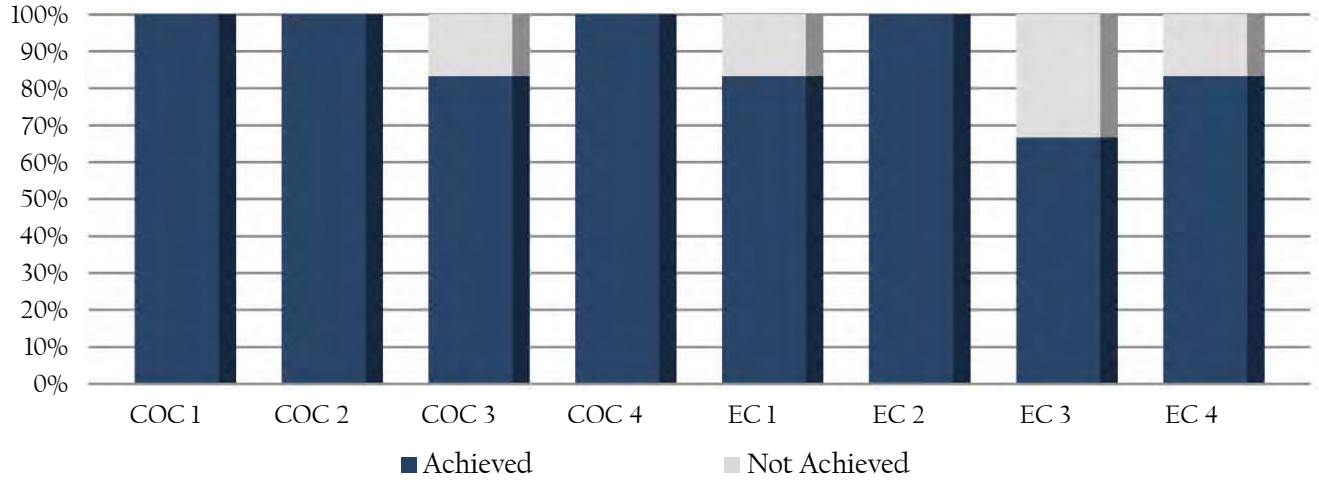
Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

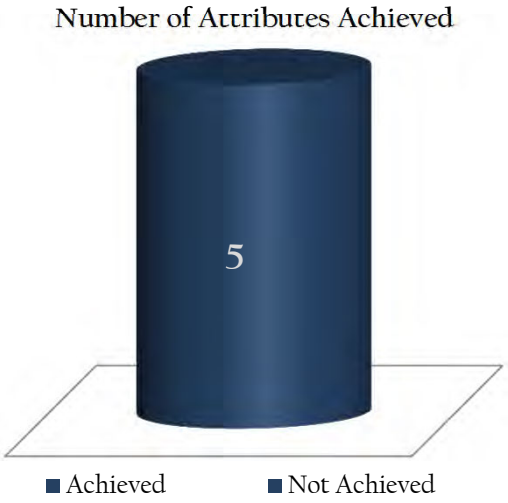


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CIAC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

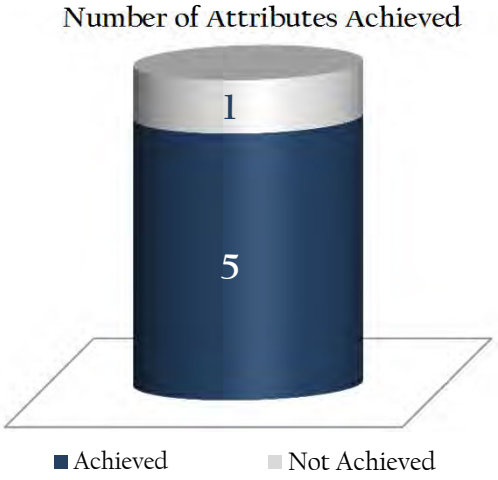
Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CIAC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

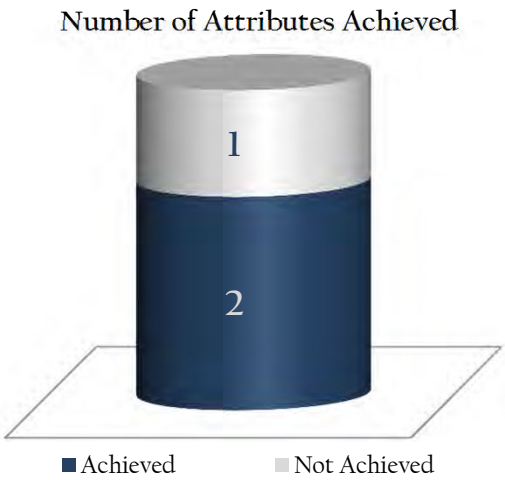
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CIAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

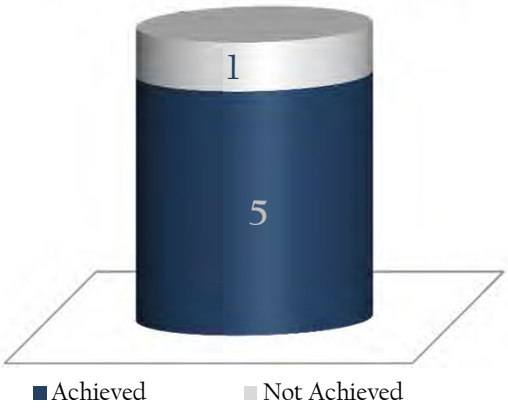
EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CIAC has achieved 5 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Chicago Crime Prevention and Information Center

Revised March 2012

United States
Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Chicago Crime Prevention and Information Center (CPIC)

Overall Score: 74.0

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

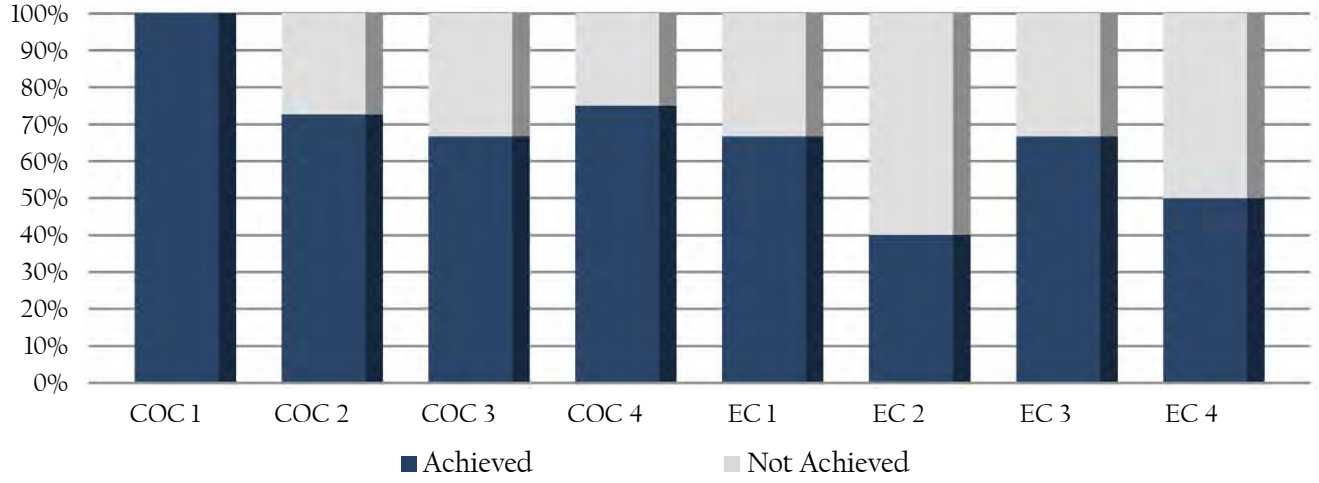
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

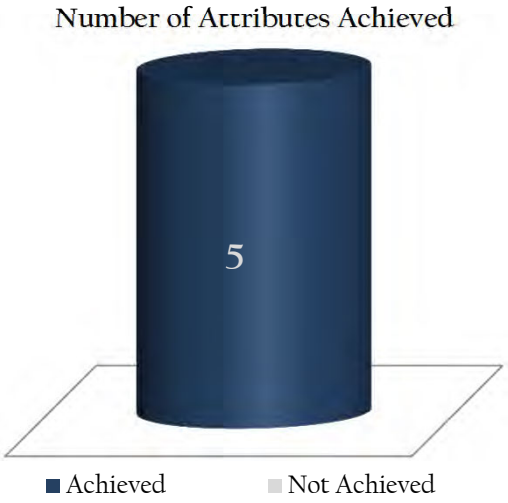


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CPIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CPIC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CPIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

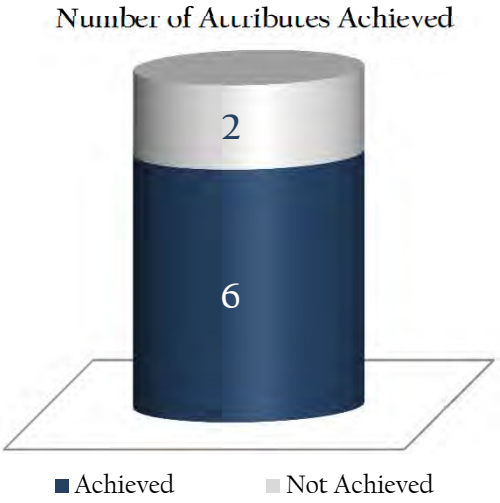
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CPIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

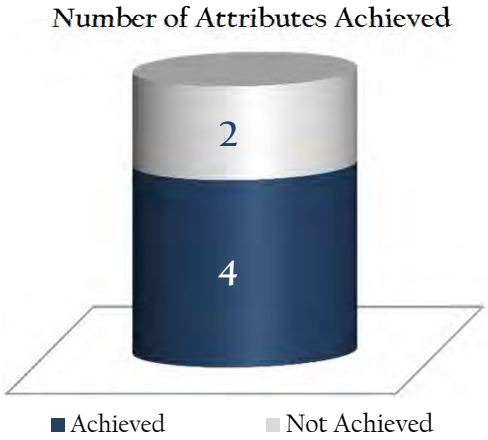
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CPIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

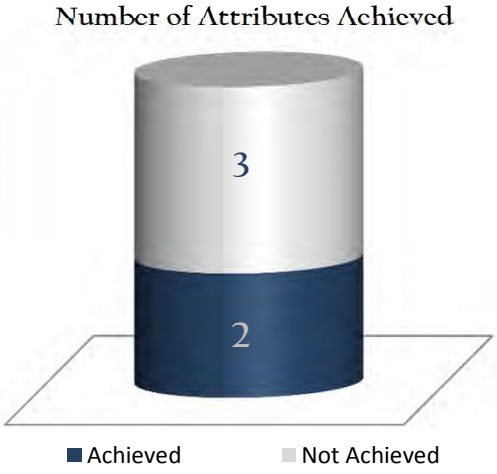
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CPIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

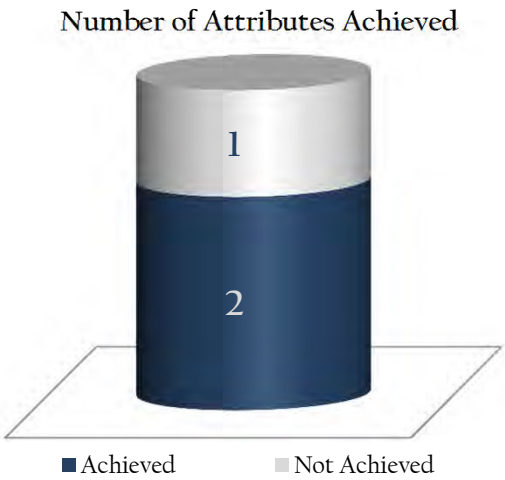
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CPIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50.0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CPIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
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4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Connecticut Intelligence Center

Revised March 2012

United States
Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Connecticut Intelligence Center (CTIC)

Overall Score: 75.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: N/A

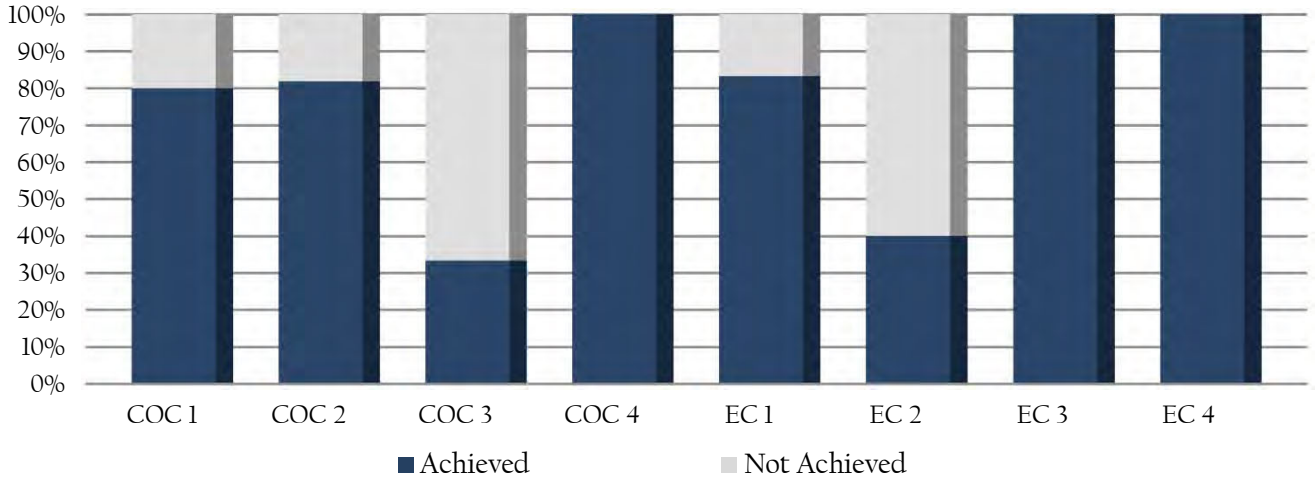
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	2	6.7	33.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

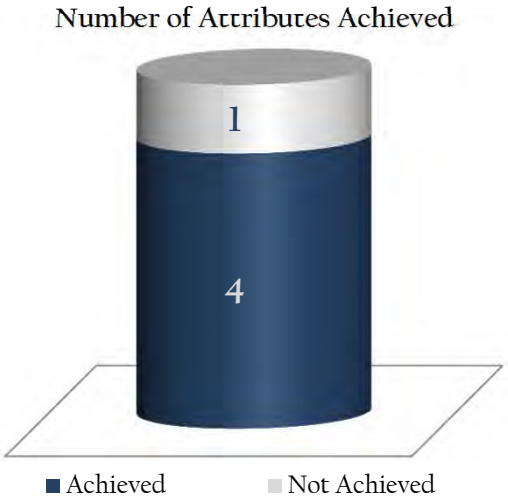


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The CTIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The CTIC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The CTIC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The CTIC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The CTIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

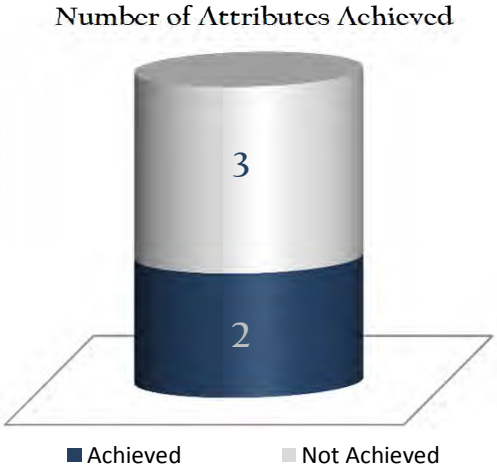
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The CTIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The CTIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The CTIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Delaware Information Analysis Center

Revised March 2012

United States
Department of Justice

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Introduction

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[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Delaware Information Analysis Center (DIAC)

Overall Score: 92.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 14 full time, 0 part time

Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
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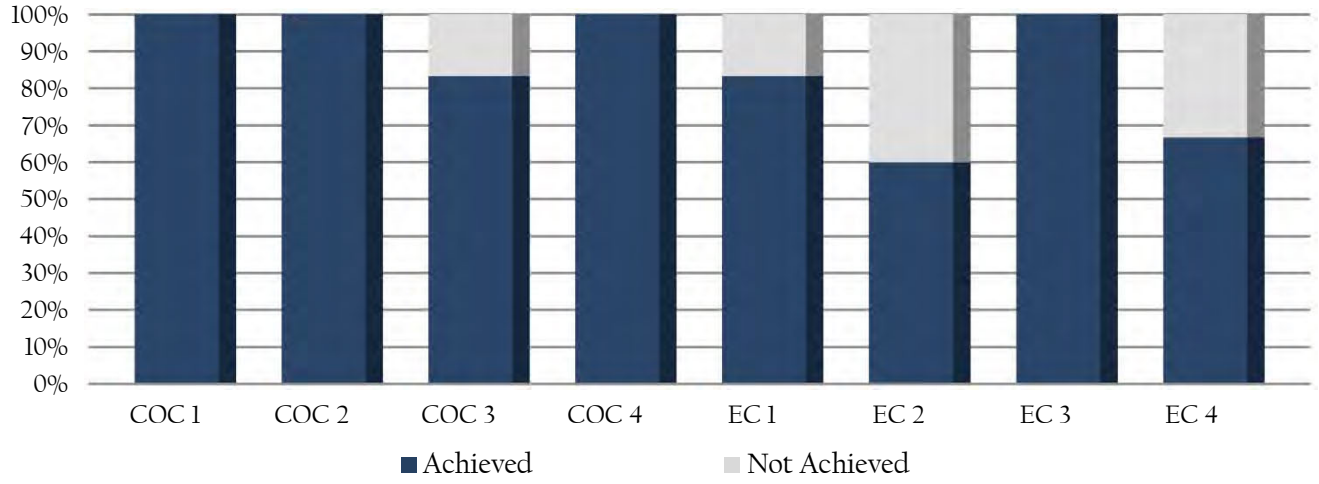
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

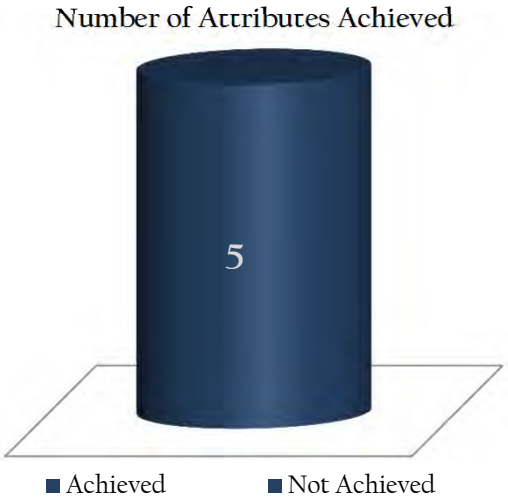


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The DIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The DIAC has achieved 11 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

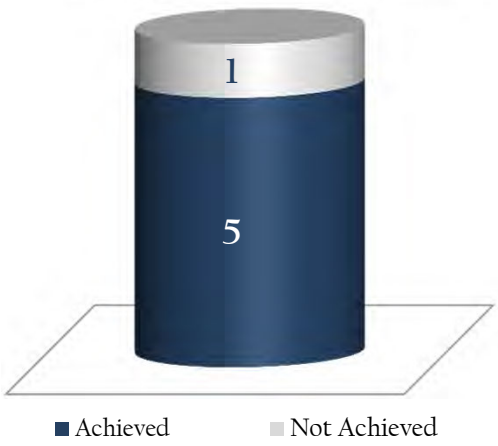
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The DIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The DIAC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The DIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The DIAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

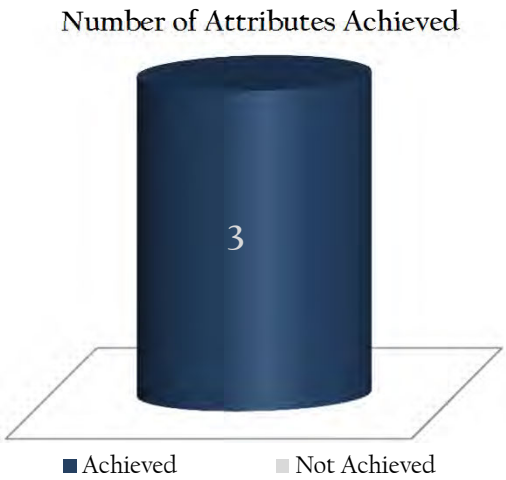
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The DIAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The DIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Detroit and Southeast Michigan Information and Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Detroit and Southeast Michigan Information and Intelligence Center (DSEMIIC)

Overall Score: 29.0

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 3 full time, 0 part time

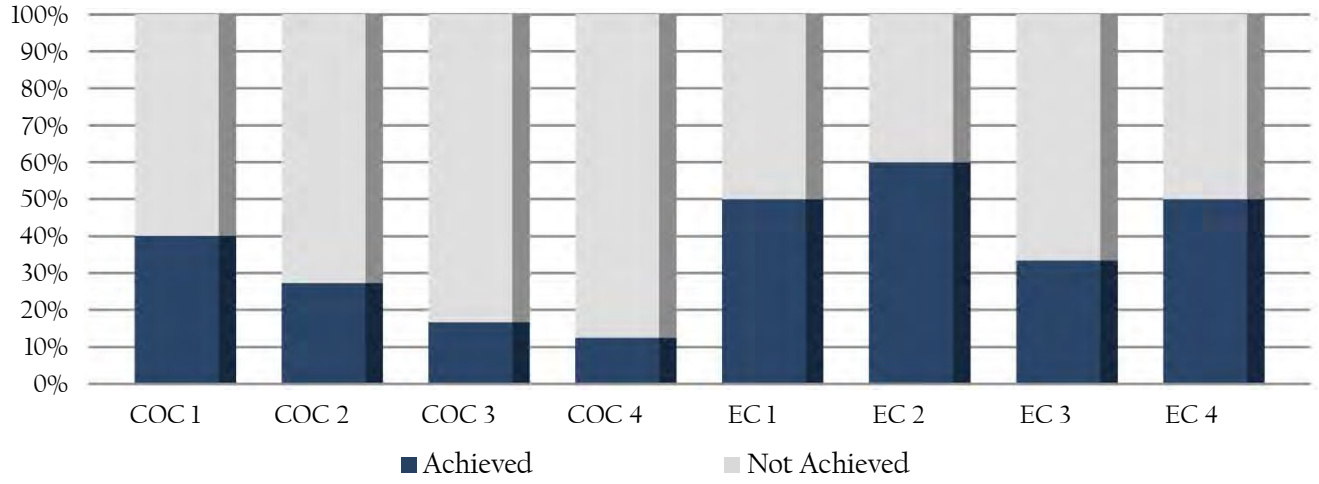
Year Fusion Center Established: 2011

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	2	8.0	40.0%	17.1	85.6%
COC 2: Analyze	11	3	5.5	27.3%	16.4	81.8%
COC 3: Disseminate	6	1	3.3	16.7%	13.1	65.7%
COC 4: Gather	8	1	2.5	12.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	3	2.5	50.0%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

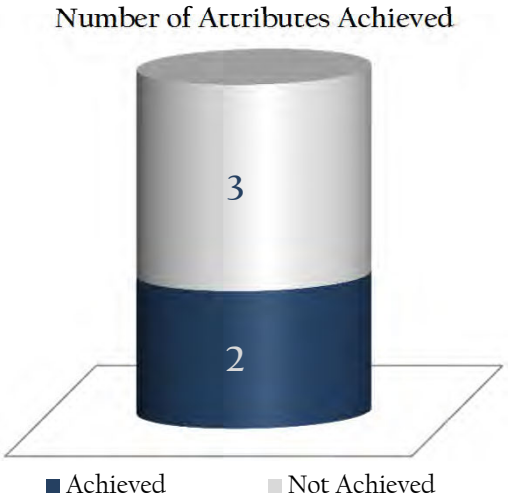


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	8.0
Percent:	40.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The DSEMIIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	20	8.0	40.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center has staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	5.5
Percent:	27.3%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The DSEMIIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	3	20	5.5	27.3%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	No
6. Fusion center conducts threat assessments within its AOR	No
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	3.3
Percent:	16.7%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The DSEMIIC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	1	20	3.3	16.7%

Achievement of the Attributes for COC 3

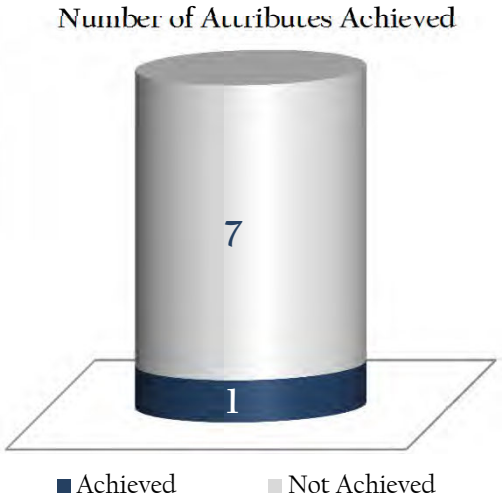
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	2.5
Percent:	12.5%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The DSEMIIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	1	20	2.5	12.5%

Achievement of the Attributes for COC 4

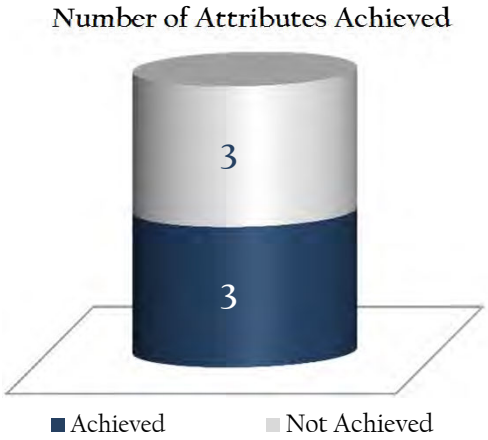
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	2.5
Percent:	50.0%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The DSEMIIC has 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The DSEMIIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

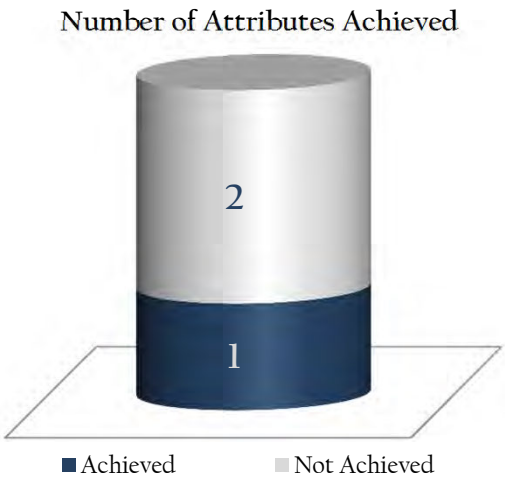
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The DSEMIIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

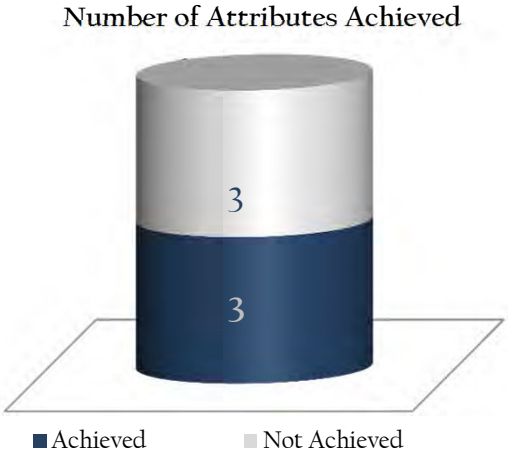
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	2.5
Percent:	50%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The DSEMIIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

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2011 Fusion Center Assessment Individual Report

Delaware Valley Intelligence Center

Revised March 2012

United States Department of Justice

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Delaware Valley Intelligence Center (DVIC)

Overall Score:	52.4
National Network Average:	76.8

Demographic Information

RAC Category: Recognized Fusion Center
Mission: All crimes, all hazards, counterterrorism
Staffing Levels: 6 full time, 3 part time
Year Fusion Center Established: 2011

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	6	10.9	54.5%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	3	7.5	37.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
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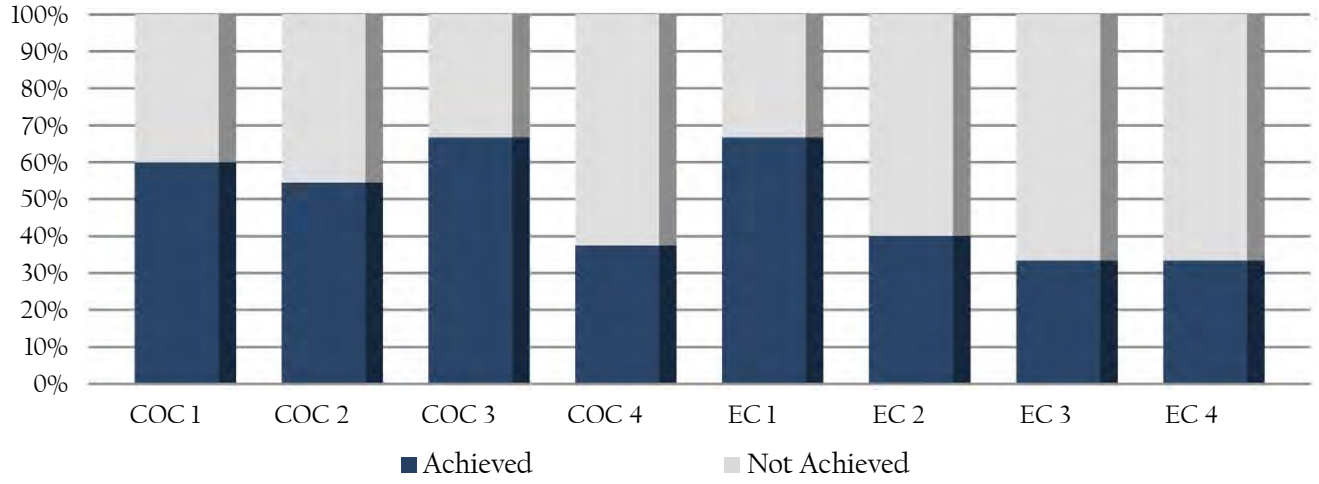
Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

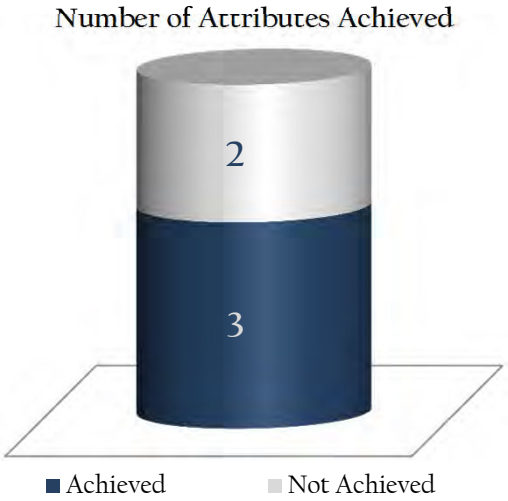


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The DVIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	10.9
Percent:	54.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The DVIC has achieved 6 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	6	20	10.9	54.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	No
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The DVIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

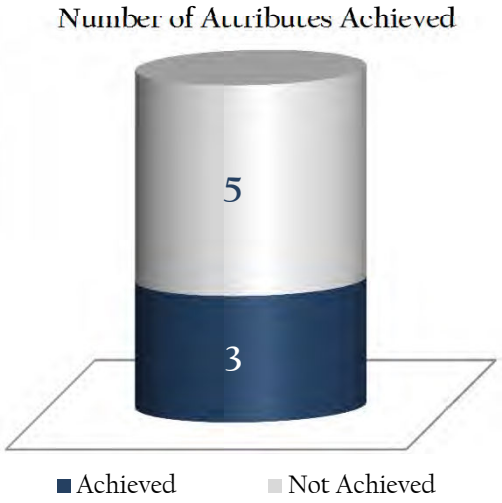
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	7.5
Percent:	37.5%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The DVIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	3	20	7.5	37.5%

Achievement of the Attributes for COC 4

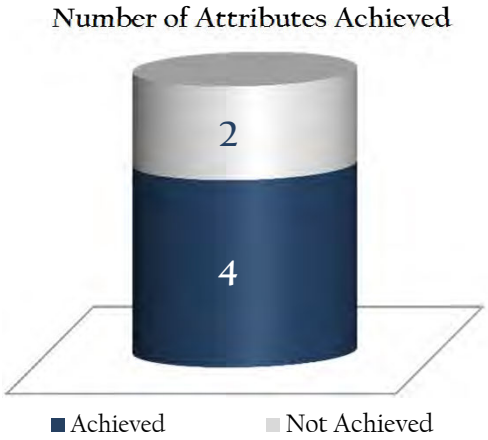
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The DVIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

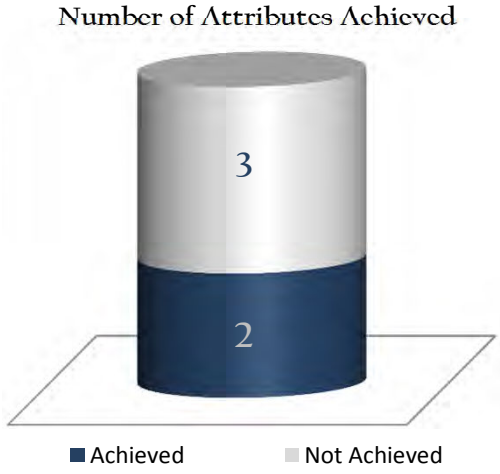
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The DVIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

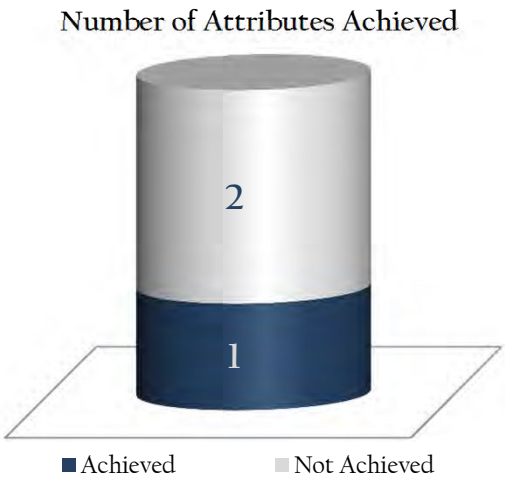
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The DVIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

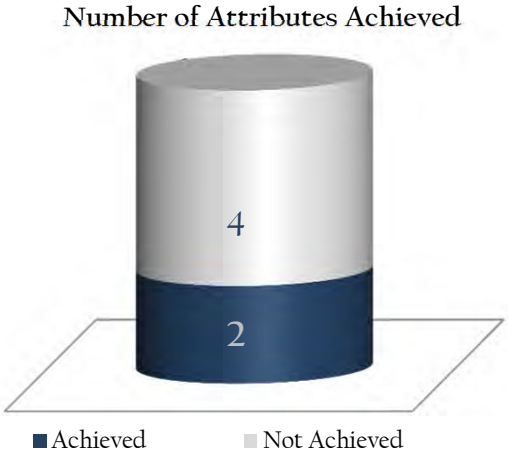
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	1.7
Percent:	33%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The DVIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	5	1.7	33%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Florida Fusion Center

Revised March 2012

United States
Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Florida Fusion Center (FFC)

Overall Score: 93.3

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

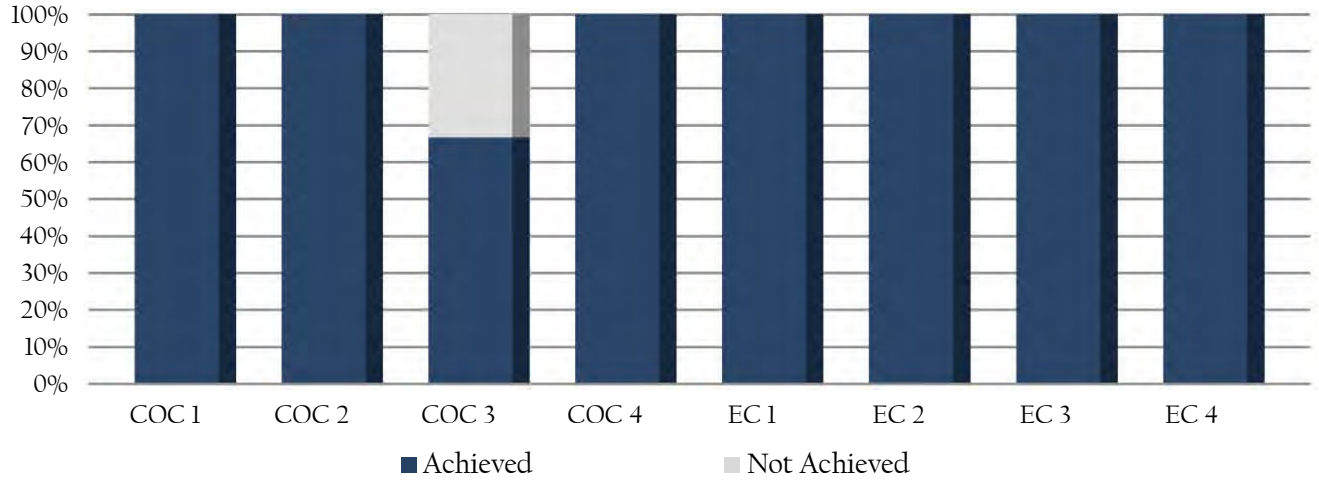
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

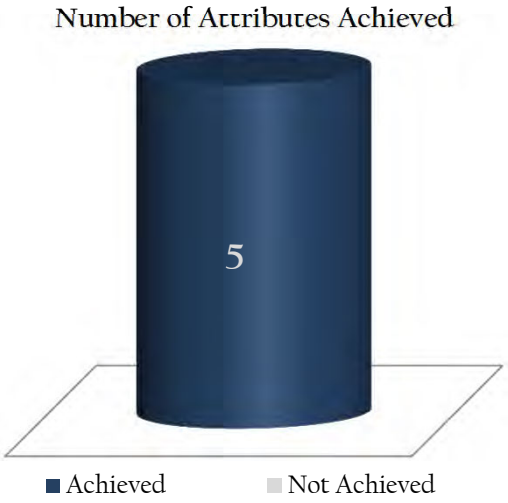


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The FFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The FFC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The FFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The FFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

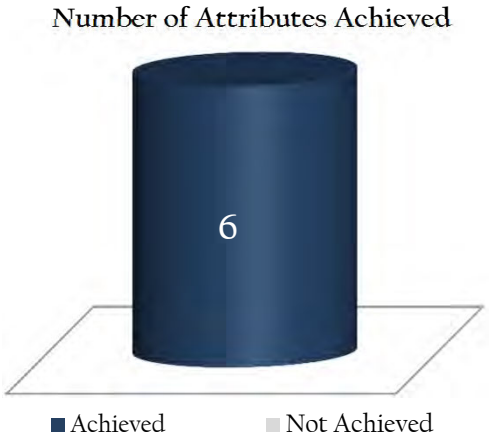
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The FFC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The FFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The FFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The FFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Georgia Information Sharing and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Georgia Information Sharing and Analysis Center (GISAC)

Overall Score: 90.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 25 full time, 9 part time

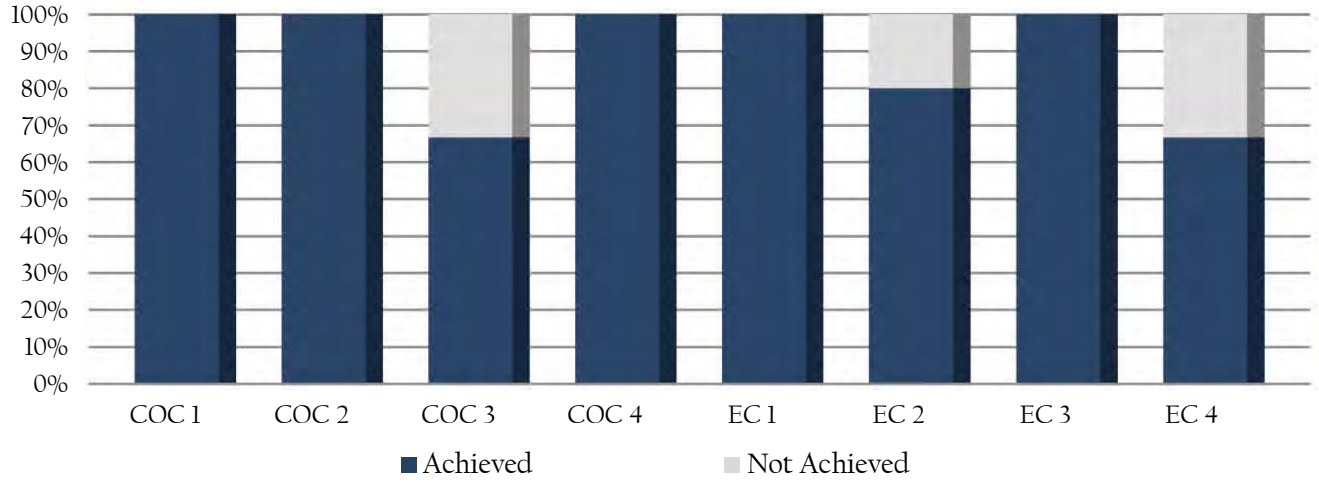
Year Fusion Center Established: 2001

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

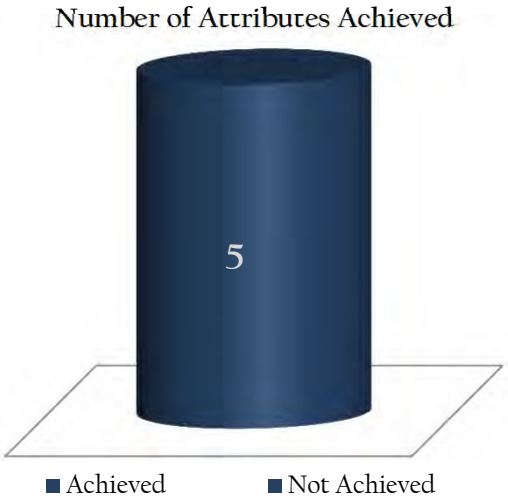


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The GISAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The GISAC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The GISAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The GISAC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

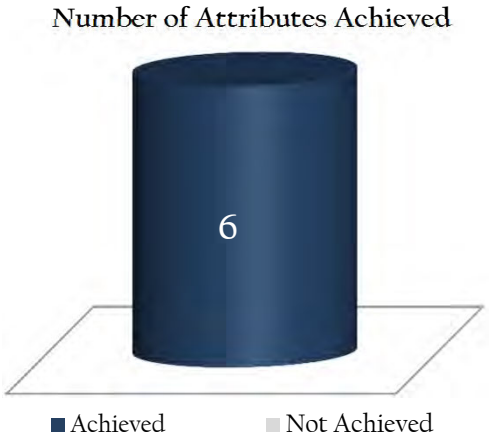
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The GISAC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

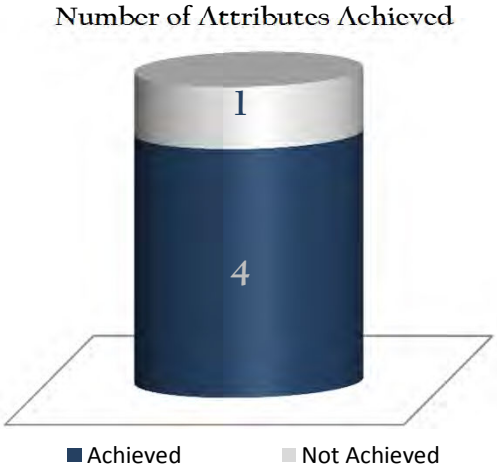
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The GISAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

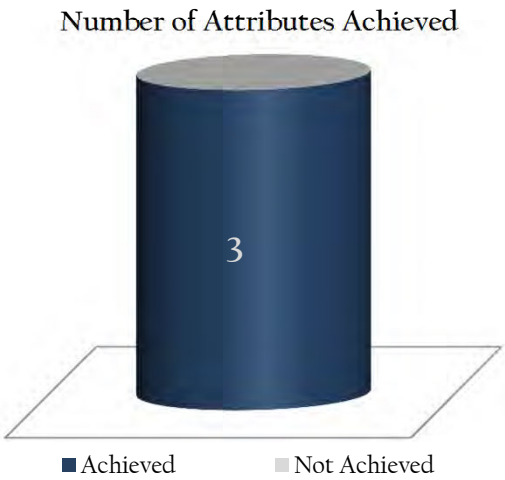
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The GISAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The GISAC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Houston Regional Intelligence Service Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Houston Regional Intelligence Service Center (HRISC)

Overall Score: 91.5

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: Counterterrorism

Staffing Levels: 13 full time, 2 part time

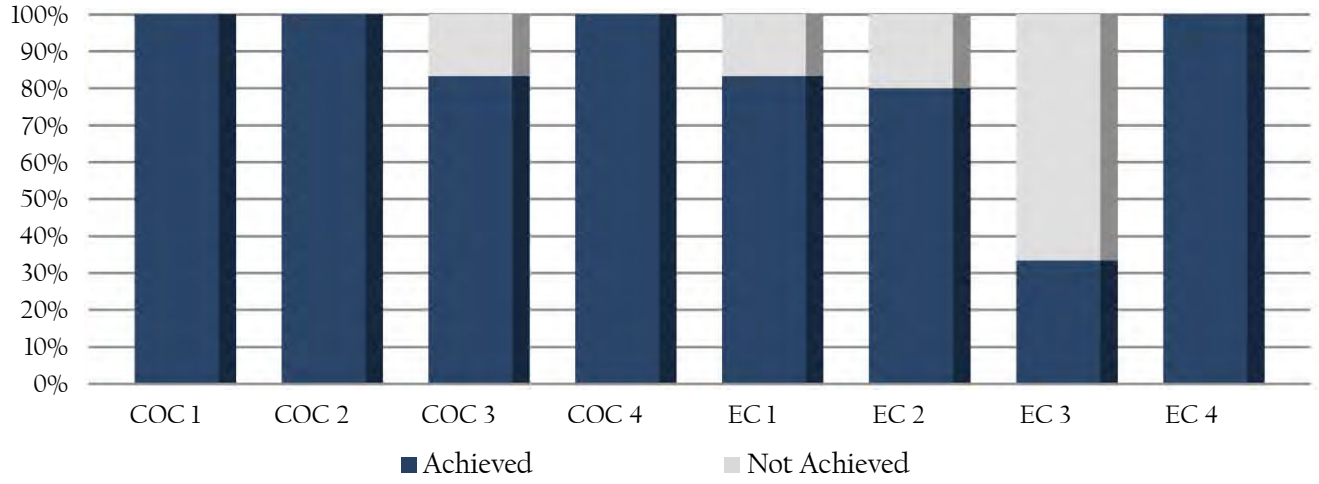
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

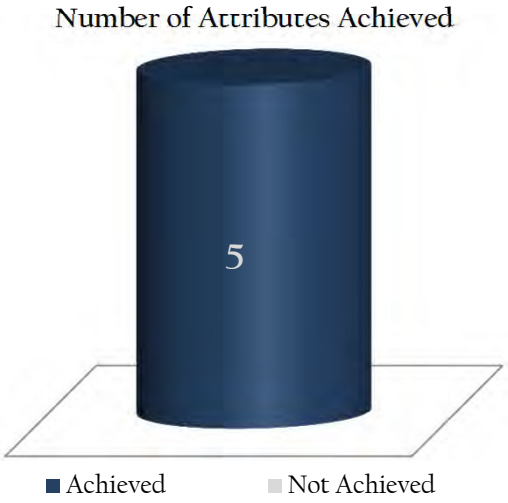


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The HRISC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The HRISC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

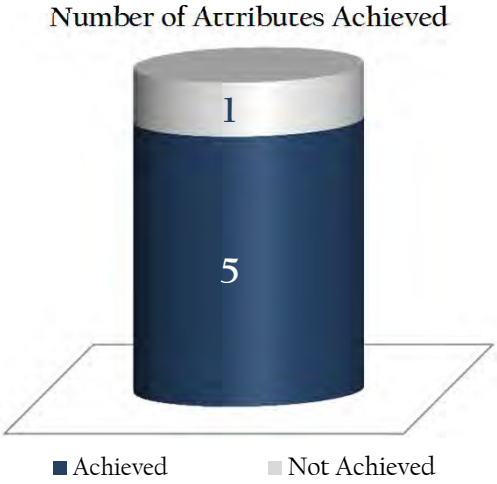
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The HRISC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The HRISC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The HRISC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

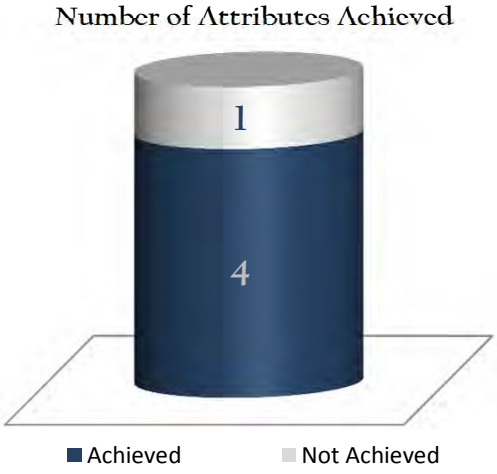
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The HRISC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

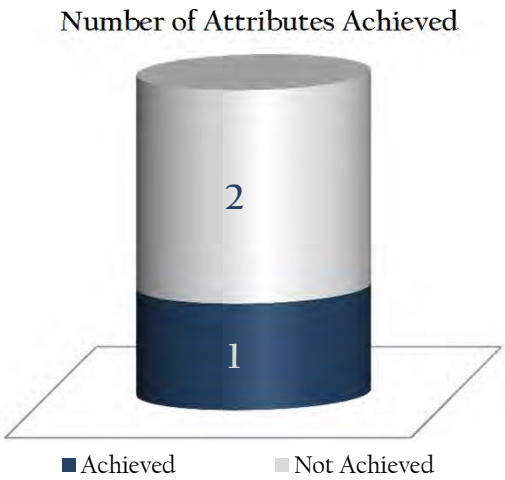
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The HRISC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The HRISC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Idaho Criminal Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Idaho Criminal Intelligence Center (IC²)

Overall Score: 53.4

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: 8 full time, 4 part time

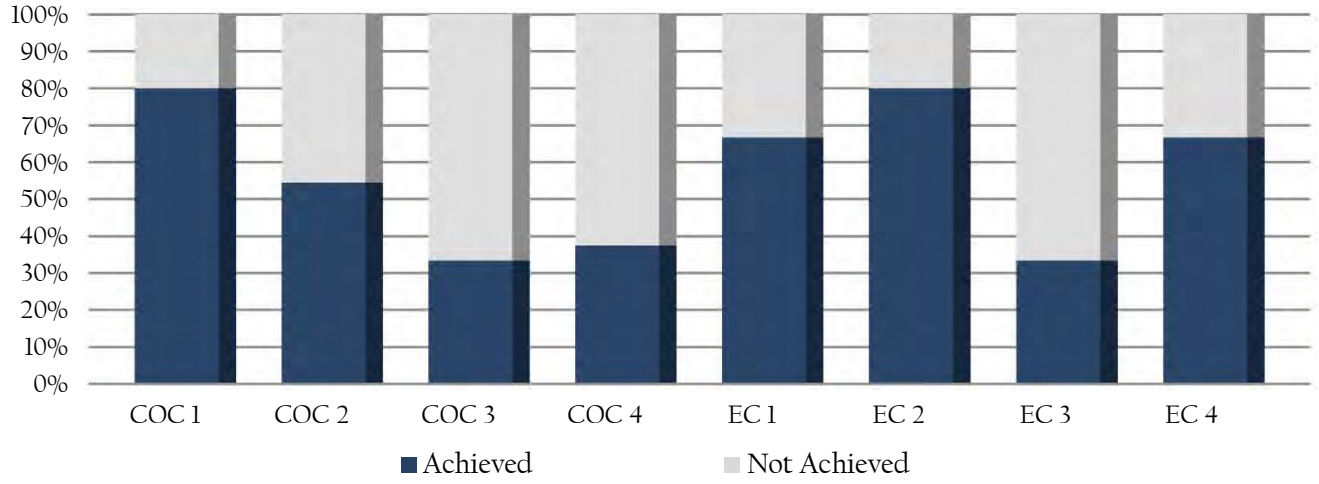
Year Fusion Center Established: 2009

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	6	10.9	54.5%	16.4	81.8%
COC 3: Disseminate	6	2	6.7	33.3%	13.1	65.7%
COC 4: Gather	8	3	7.5	37.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

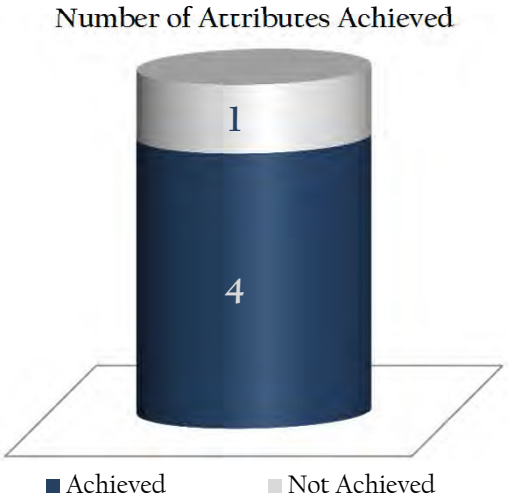


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The IC² has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	10.9
Percent:	54.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The IC² has achieved 6 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	6	20	10.9	54.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The IC² has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

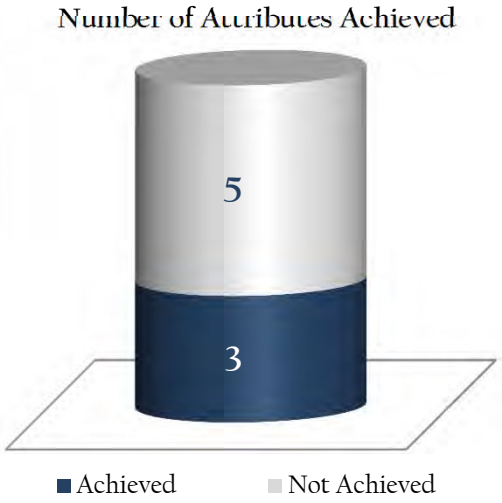
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	7.5
Percent:	37.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The IC² has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	3	20	7.5	37.5%

Achievement of the Attributes for COC 4

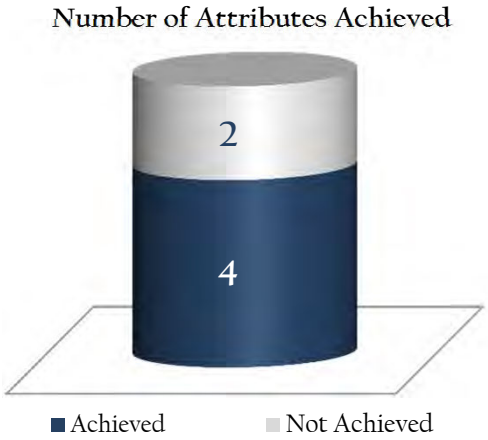
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The IC² has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

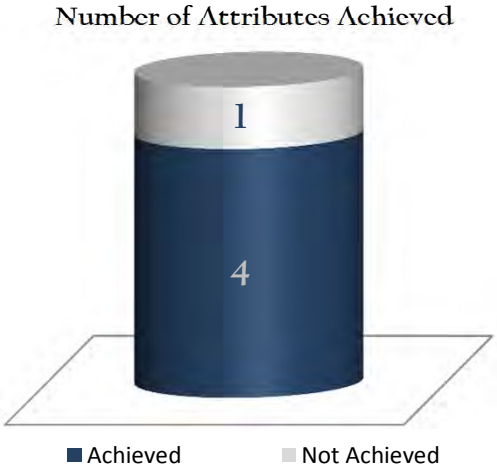
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The IC² has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

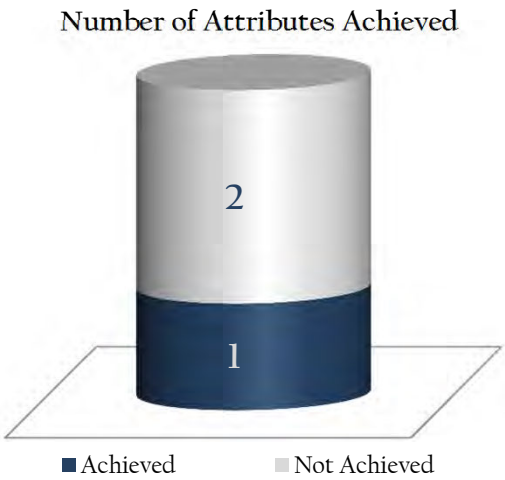
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The IC² has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The IC² has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

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2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Indiana Intelligence Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Indiana Intelligence Fusion Center (IIFC)

Overall Score: 82.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards

Staffing Levels: 42 full time, 1 part time

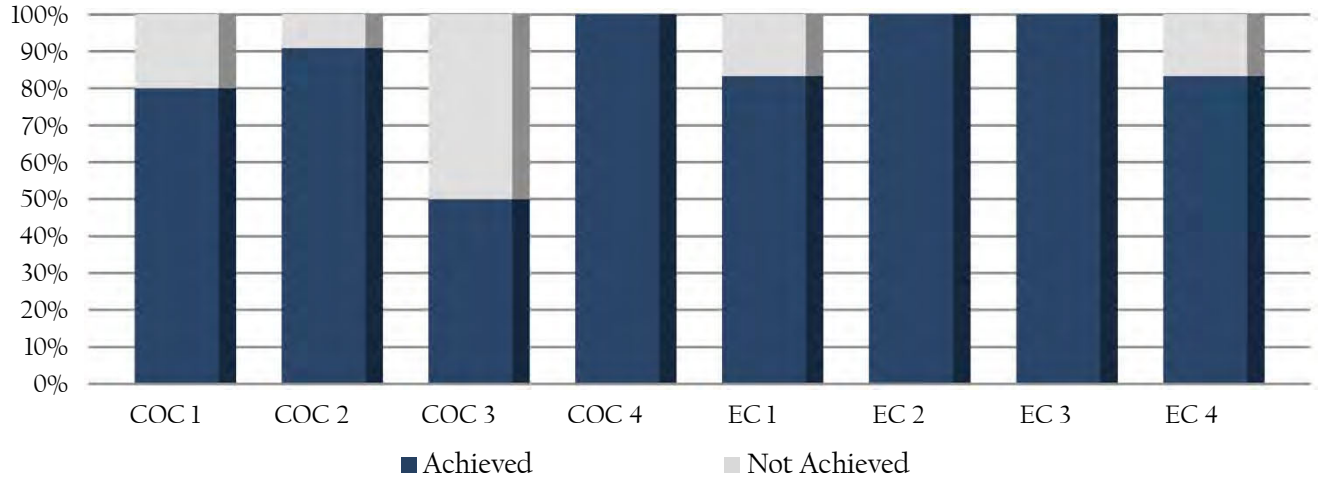
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

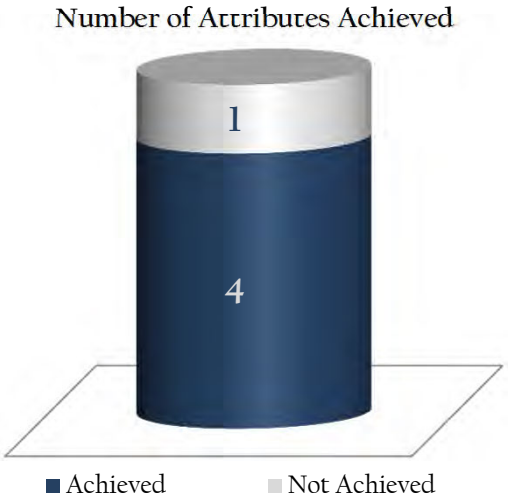


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The IIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The IIFC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

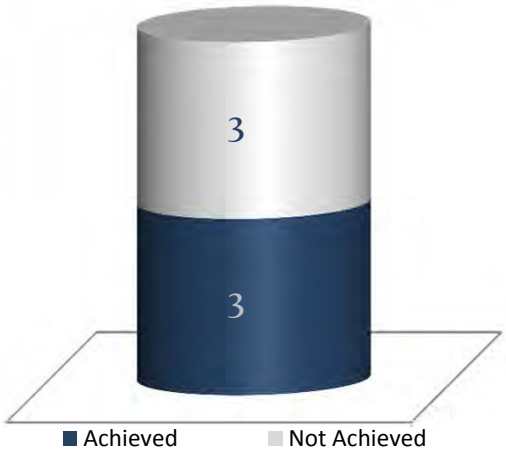
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The IIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The IIFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The IIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The IIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The IIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The IIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Los Angeles Joint Regional Intelligence Center

Revised March 2012

United States Department of Justice

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Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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Joint Regional Intelligence Center (JRIC)

Overall Score: 85.2

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 70 full time, 4 part time

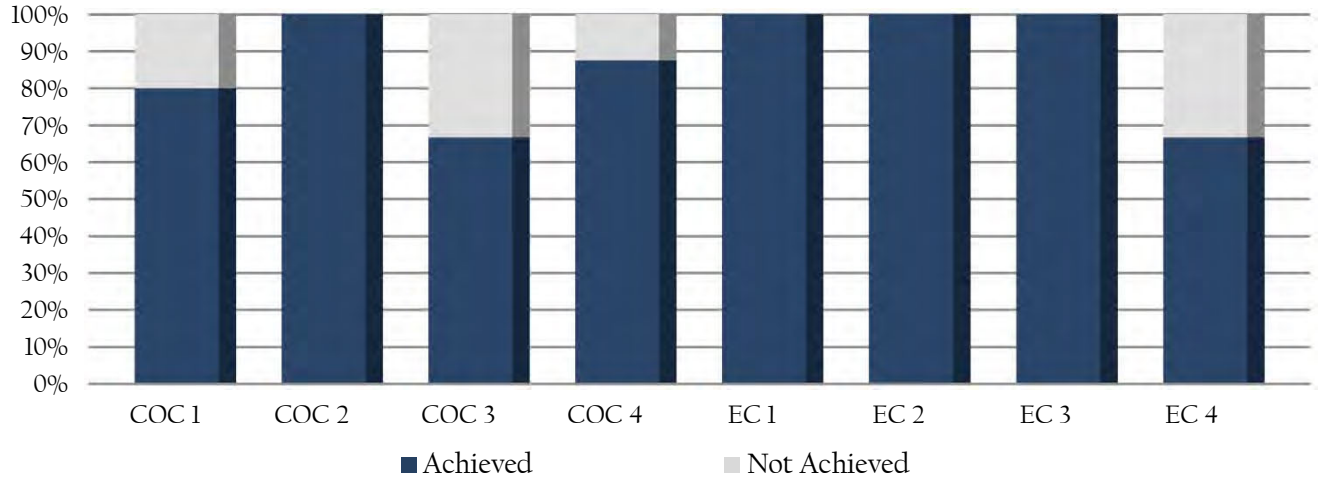
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

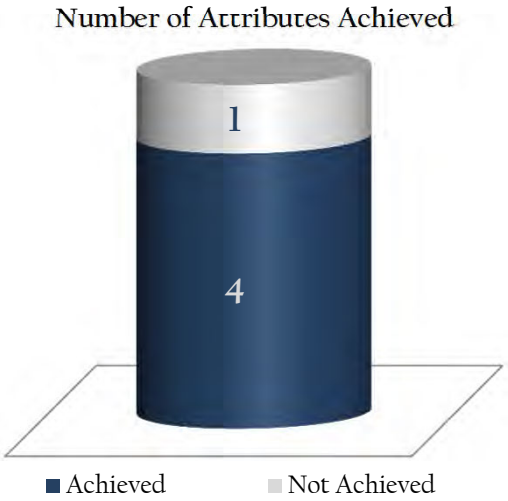


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The JRIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The JRIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The JRIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

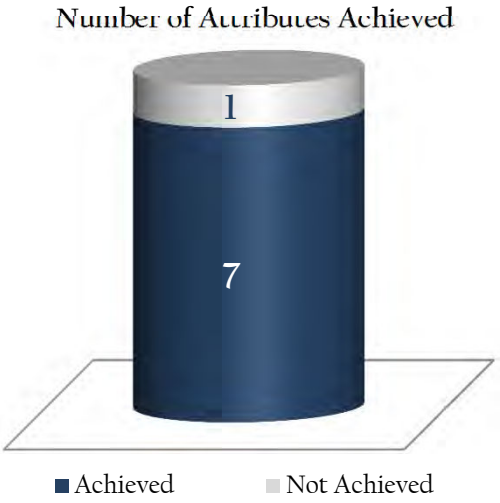
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The JRIC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

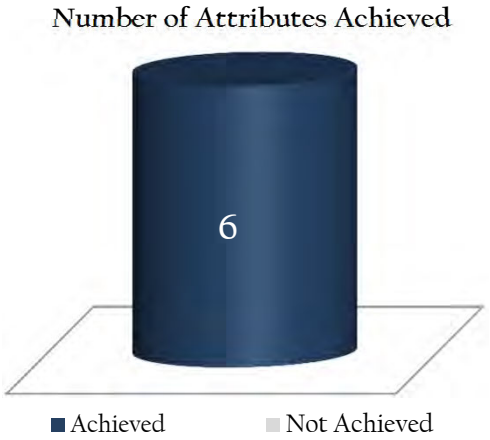
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	No

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The JRIC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The JRIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The JRIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The JRIC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Kansas City Regional Terrorism Early Warning Interagency Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Kansas City Regional Terrorism Early Warning Interagency Analysis Center (KCTEWG)

Overall Score:	94.2
National Network Average:	76.8

Demographic Information

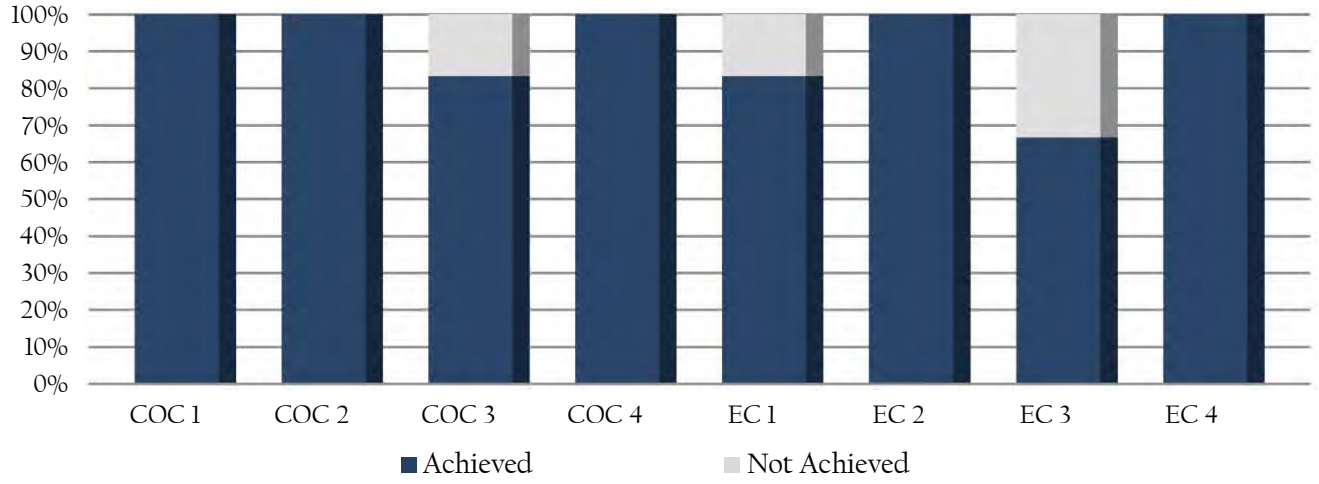
RAC Category: Recognized Fusion Center
Mission: All crimes, all hazards, counterterrorism
Staffing Levels: 8 full time, 0 part time
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

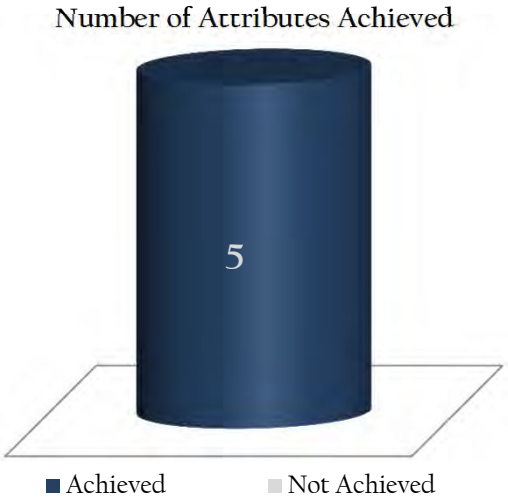


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The KCTEWG has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The KCTEWG has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

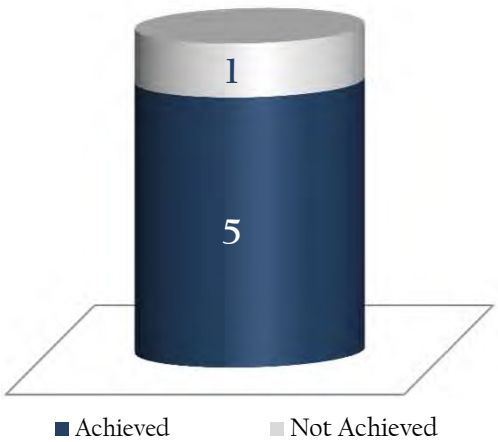
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The KCTEWG has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	20.0
Percent:	100%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The KCTEWG has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The KCTEWG has 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The KCTEWG has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

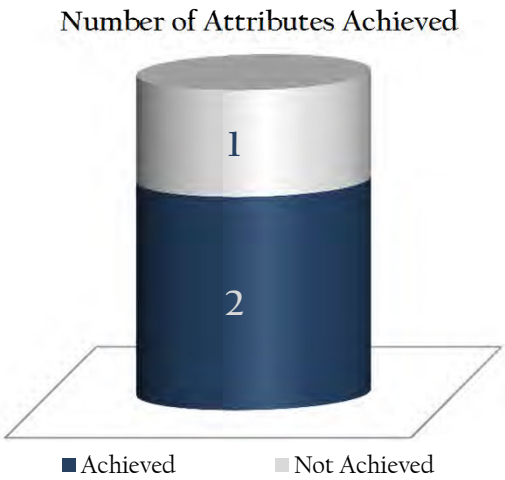
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The KCTEWG has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The KCTEWG has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Kansas Intelligence Fusion Center

Revised March 2012

United States Department of Justice

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Kansas Intelligence Fusion Center (KIFC)

Overall Score: 69.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All hazards

Staffing Levels: 9 full time, 4 part time

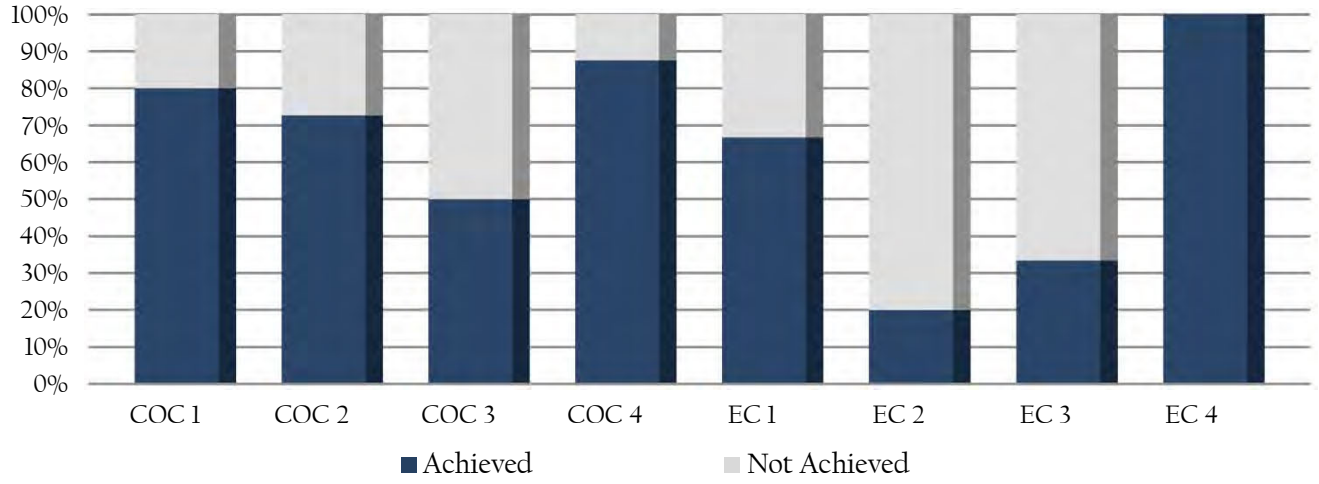
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	1	1.0	20.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

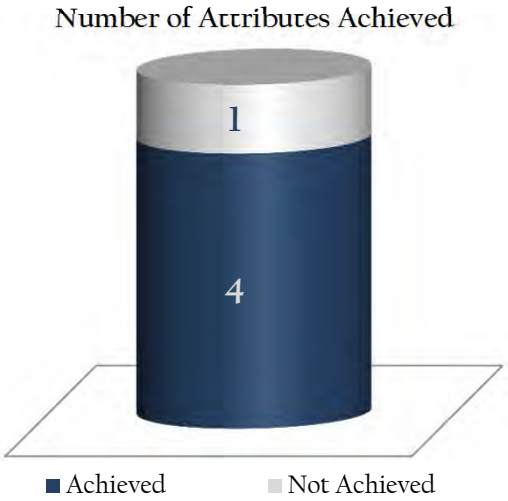


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The KIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The KIFC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The KIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

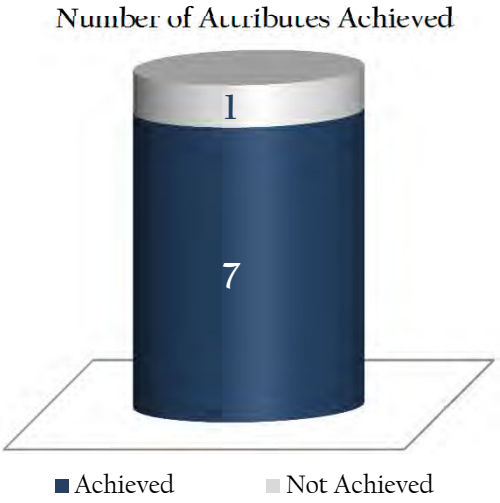
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The KIFC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

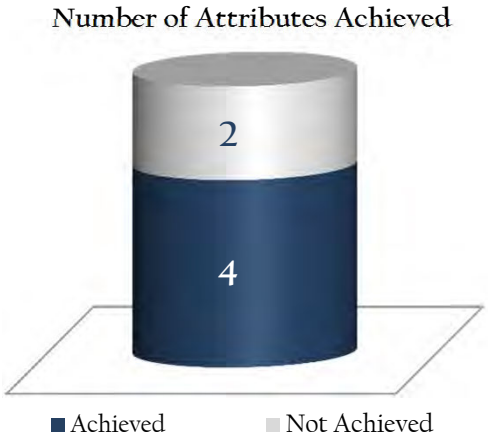
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The KIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	1.0
Percent:	20.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The KIFC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	1	5	1.0	20.0%

Achievement of the Attributes for EC 2

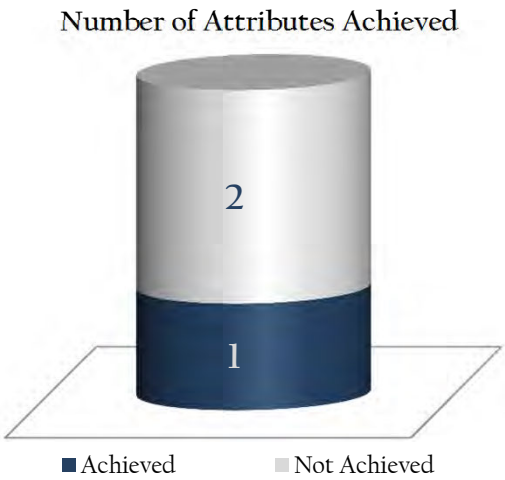
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The KIFC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The KIFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Kentucky Intelligence Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Kentucky Intelligence Fusion Center (KIFC)

Overall Score: 57.1

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: N/A

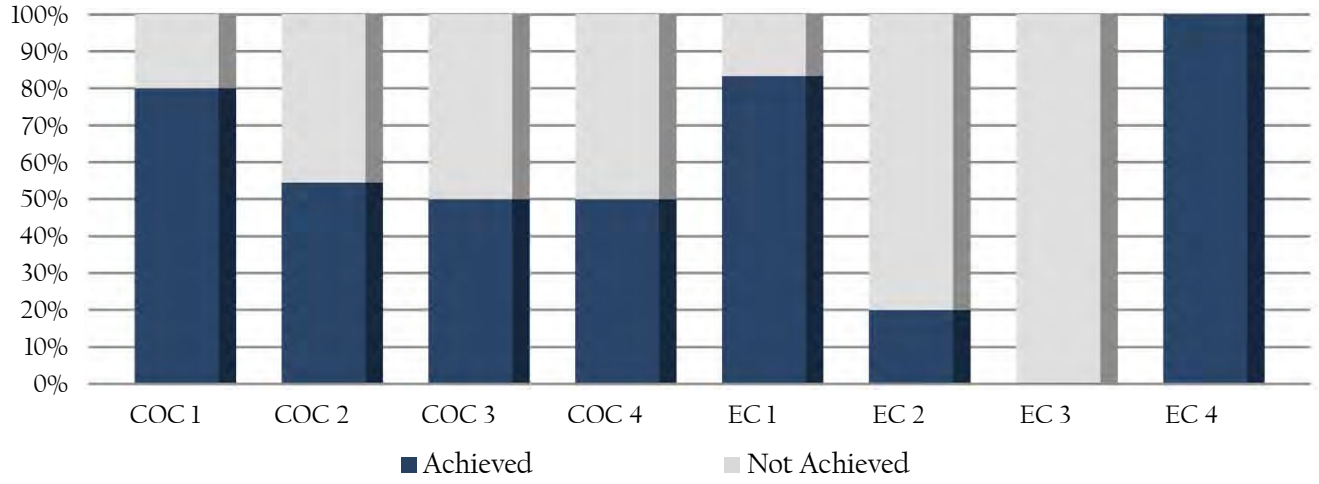
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	6	10.9	54.5%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	4	10.0	50.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	1	1.0	20.0%	3.4	68.3%
EC 3: Communications	3	0	0.0	0.0%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

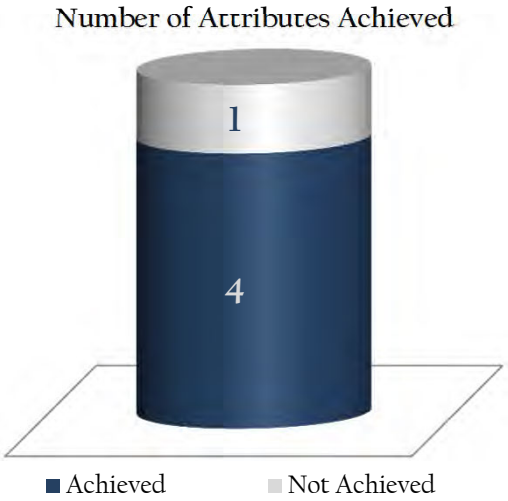


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The KIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	10.9
Percent:	54.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The KIFC has achieved 6 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	6	20	10.9	54.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	No
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The KIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

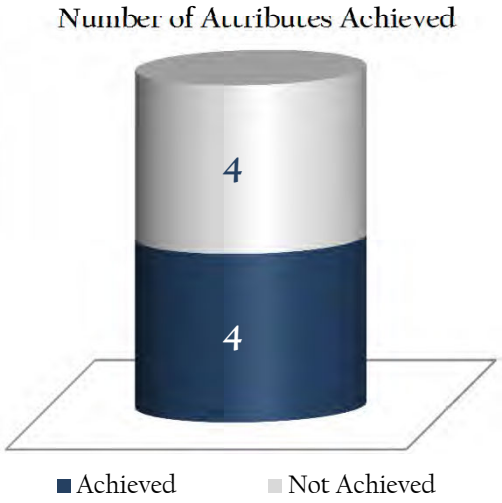
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	10.0
Percent:	50.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The KIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	4	20	10.0	50.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The KIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	1.0
Percent:	20.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The KIFC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	1	5	1.0	20.0%

Achievement of the Attributes for EC 2

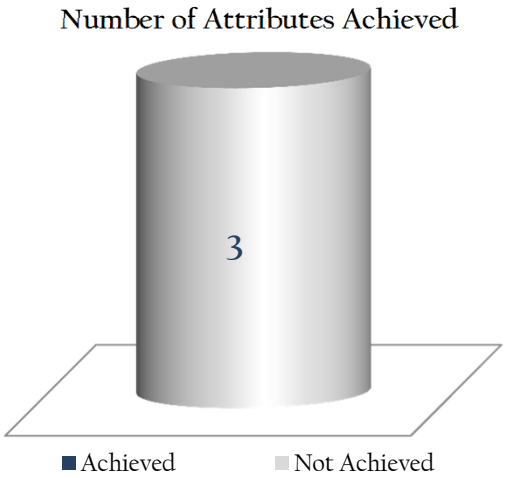
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	0.0
Percent:	0.0%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The KIFC has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	0	5	0.0	0.0%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The KIFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Louisiana State Analytical and Fusion Exchange

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Louisiana State Analytical and Fusion Exchange (LA-SAFE)

Overall Score: 88.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards

Staffing Levels: 22 full time, 4 part time

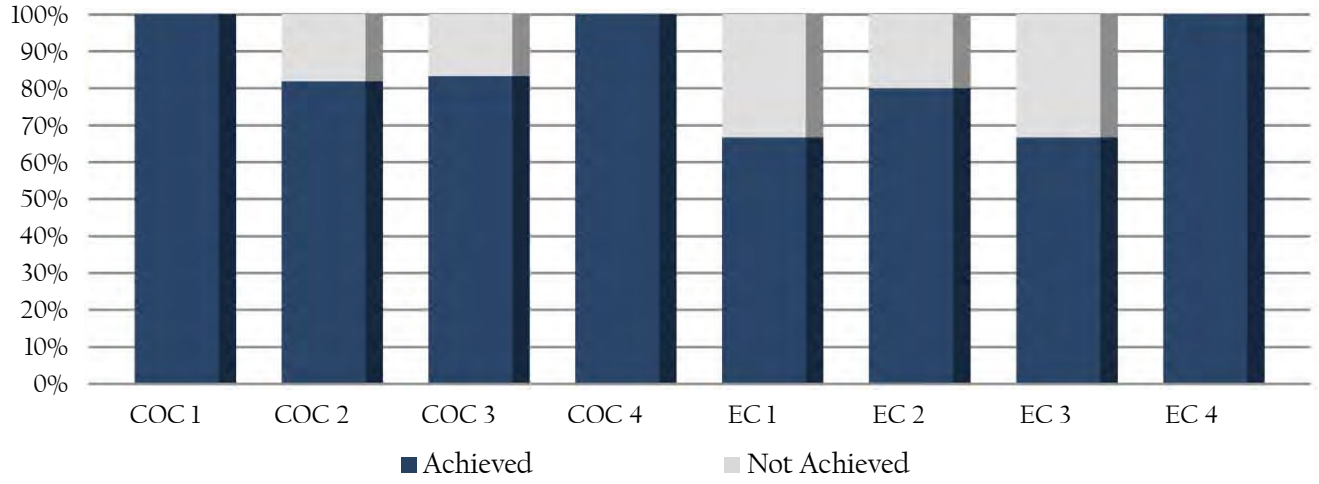
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

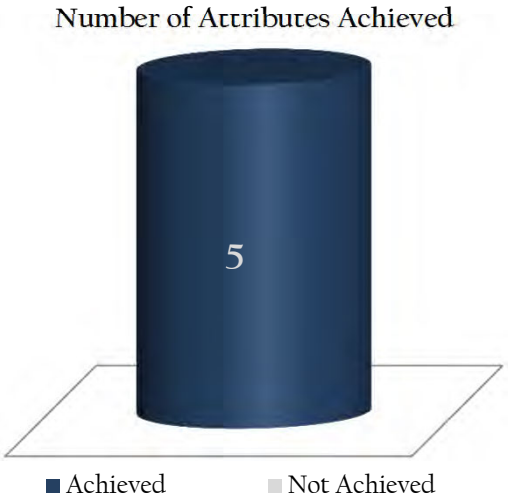


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The LA-SAFE has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	82%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The LA-SAFE has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

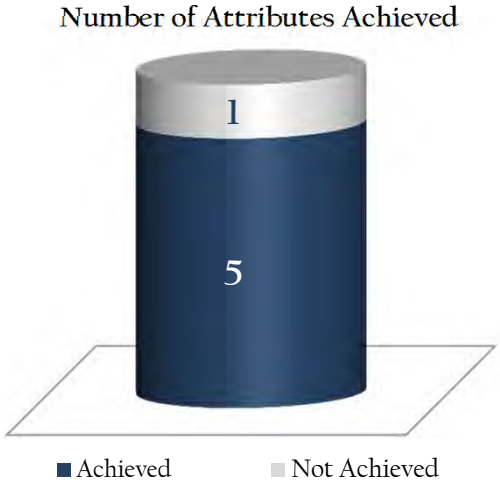
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The LA-SAFE has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

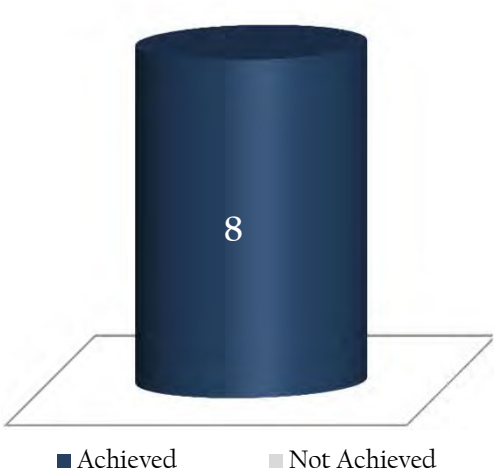
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Number of Attributes Achieved



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The LA-SAFE has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

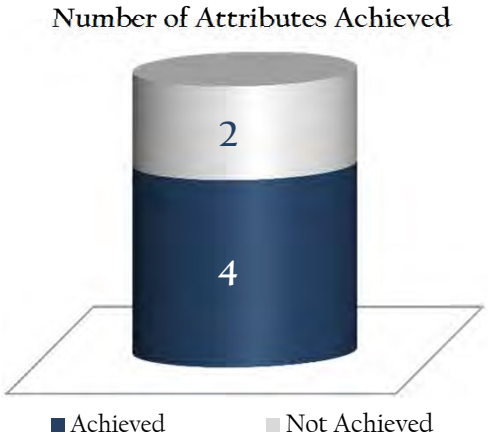
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The LA-SAFE has 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

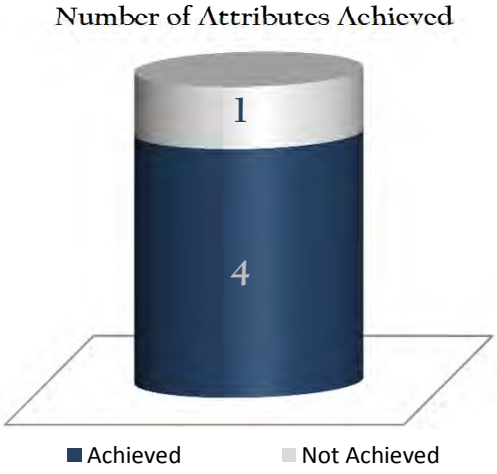
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The LA-SAFE has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

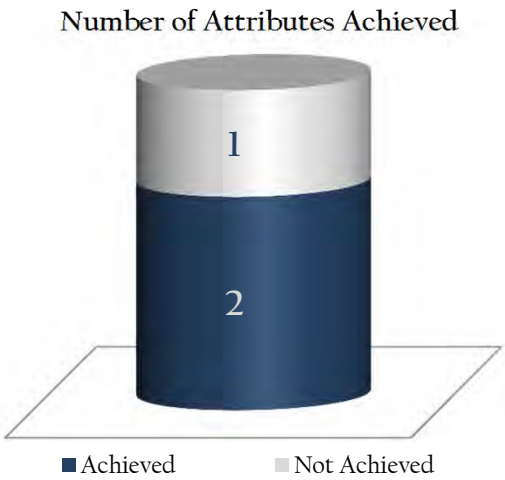
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The LA-SAFE has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The LA-SAFE has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Montana All-Threat Intelligence Center

Revised March 2012

United States Department of Justice

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Montana All-Threat Intelligence Center (MATIC)

Overall Score: 86.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all threats, counterterrorism

Staffing Levels: 22 full time, 2 part time

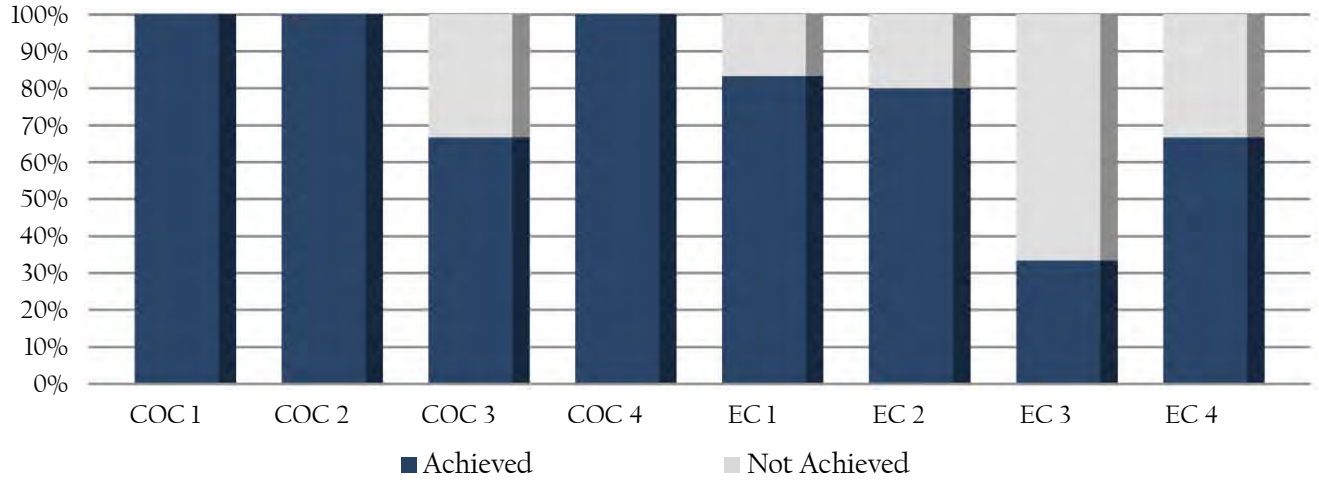
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

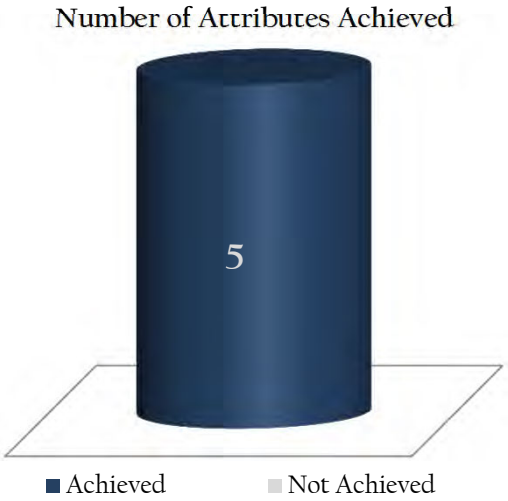


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MATIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MATIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MATIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MATIC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MATIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

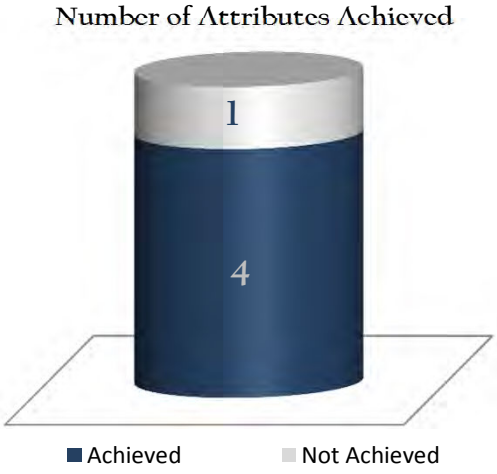
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MATIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

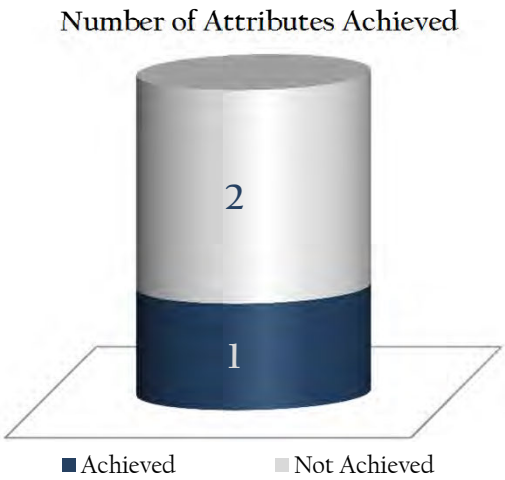
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MATIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MATIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Maryland Coordination and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Maryland Coordination and Analysis Center (MCAC)

Overall Score: 76.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 64 full time, 7 part time

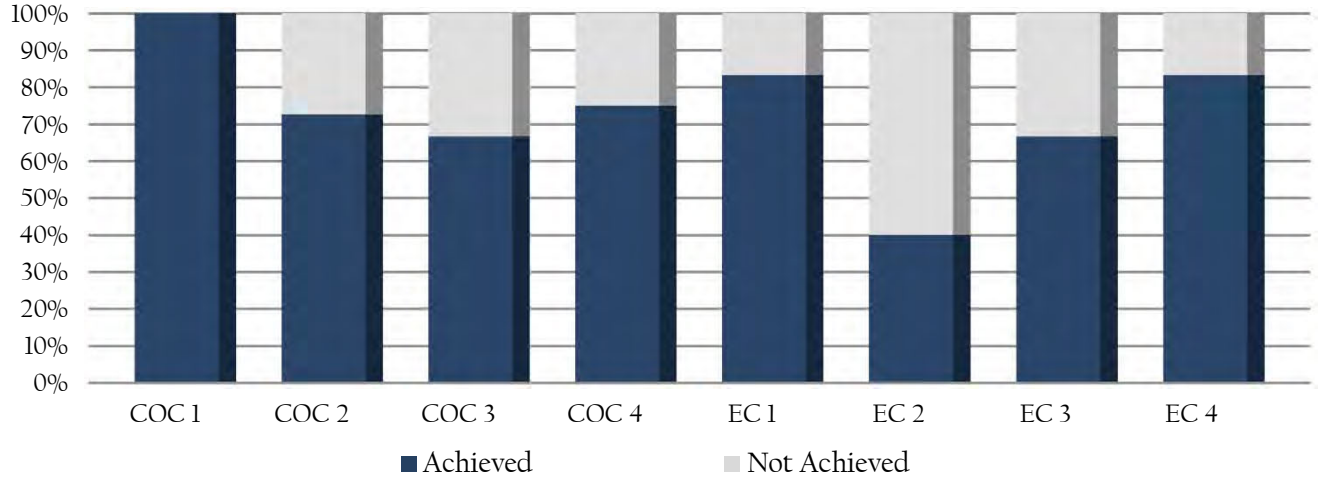
Year Fusion Center Established: 2003

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

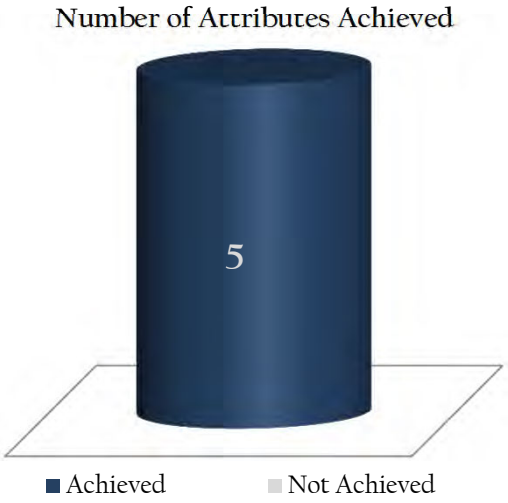


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MCAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MCAC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MCAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

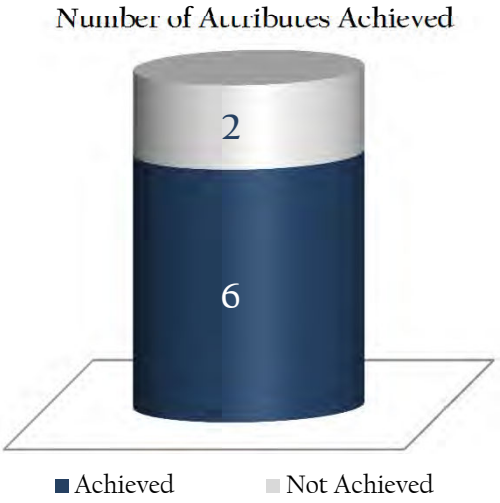
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MCAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MCAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

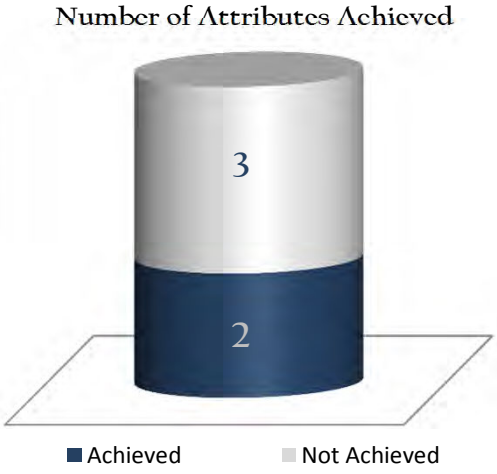
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MCAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

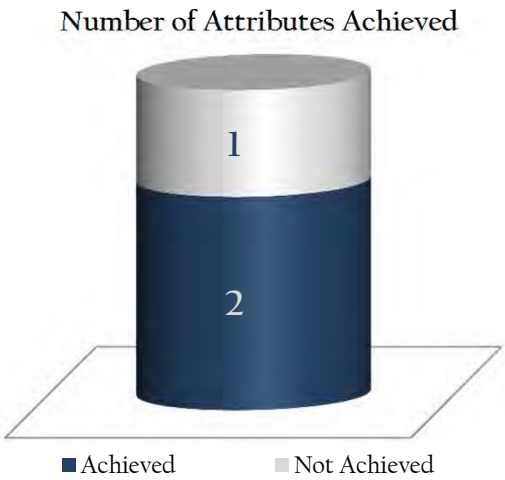
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MCAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	4.2
Percent:	83%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MCAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Maine Information and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Maine Information and Analysis Center (MIAC)

Overall Score: 74.8

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: N/A

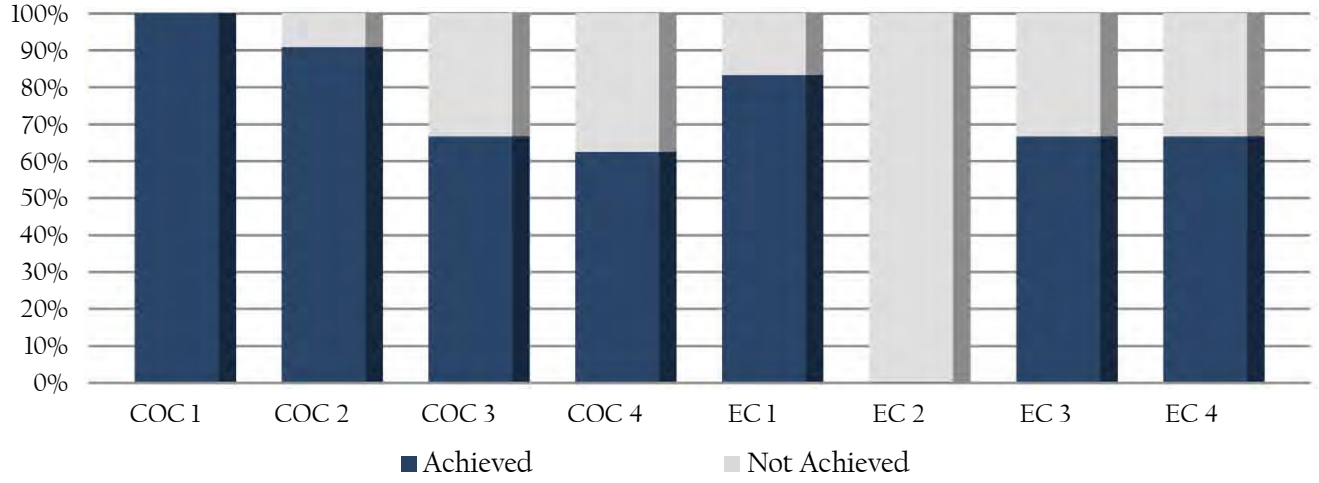
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	0	0.0	0.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

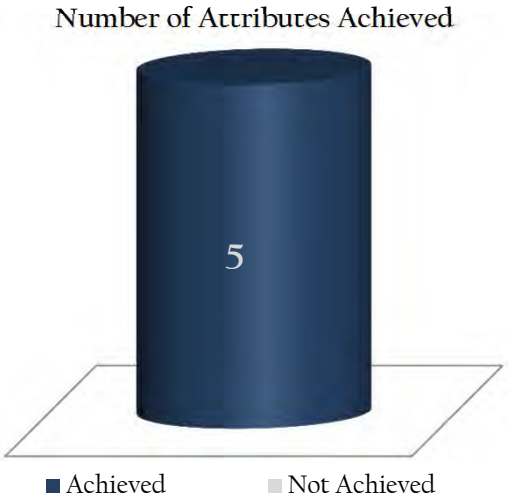


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MIAC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

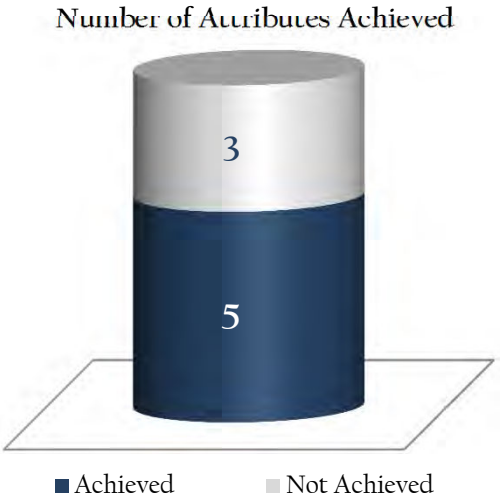
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

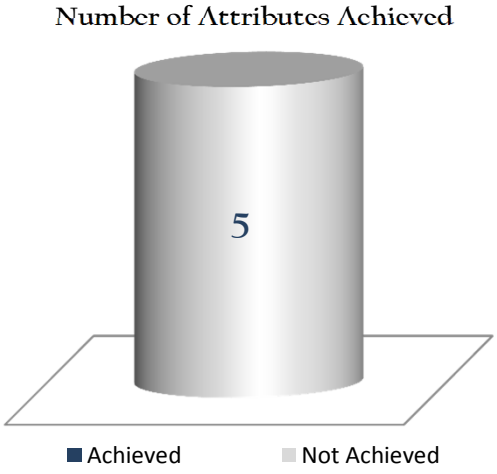
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	0.0
Percent:	0.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MIAC has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	0	5	0.0	0.0%

Achievement of the Attributes for EC 2

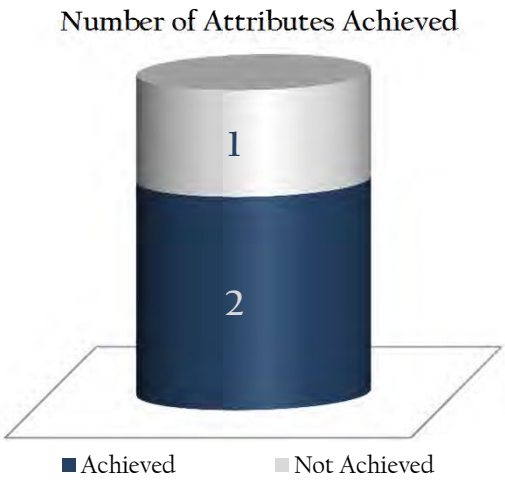
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MIAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Missouri Information Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Missouri Information Analysis Center (MIAC)

Overall Score:	86.8
National Network Average:	76.8

Demographic Information

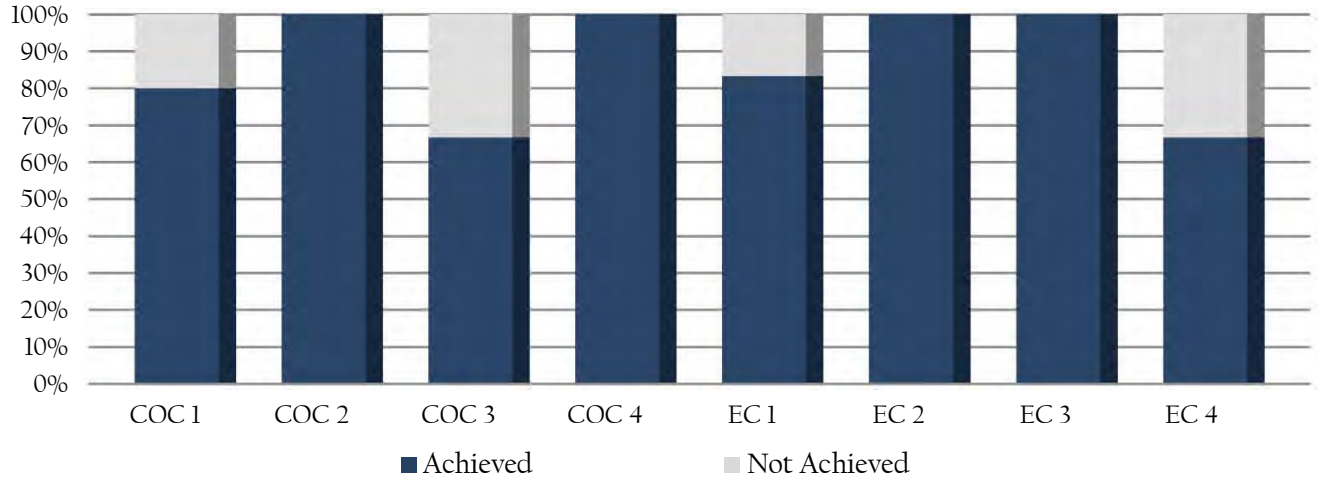
RAC Category: Primary State Fusion Center
Mission: All crimes, all hazards, counterterrorism
Staffing Levels: 18 full time, 15 part time
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

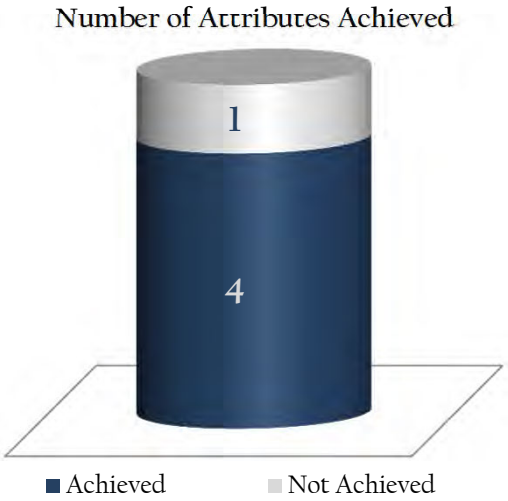


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MIAC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MIAC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MIAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MIAC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Michigan Intelligence Operations Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Michigan Intelligence Operations Center (MIOC)

Overall Score: 93.3

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center
Mission: All crimes, all hazards, all threats, counterterrorism

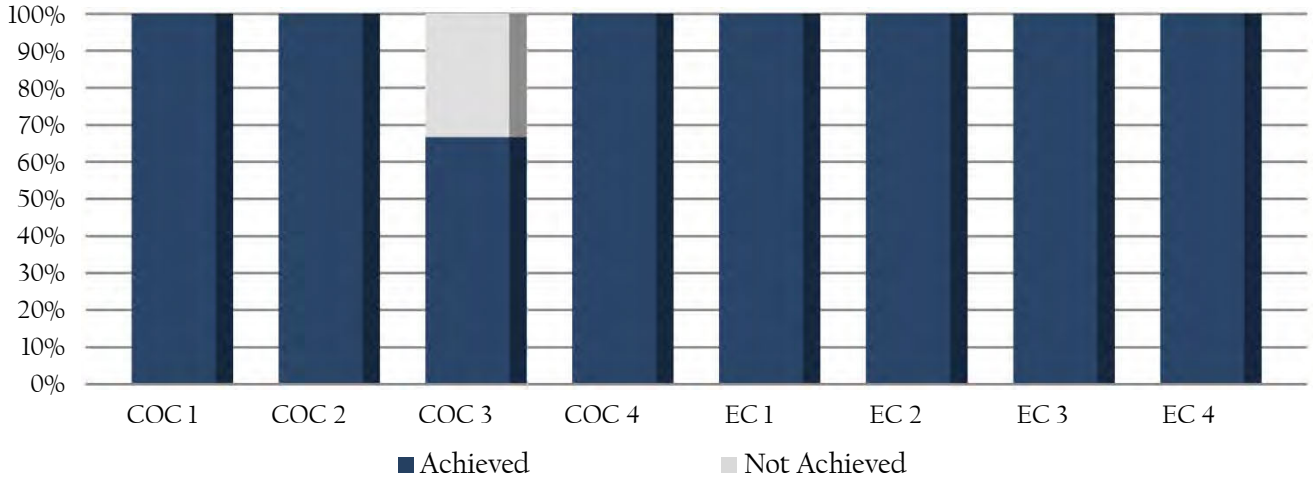
Staffing Levels: 37 full time, 1 part time
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

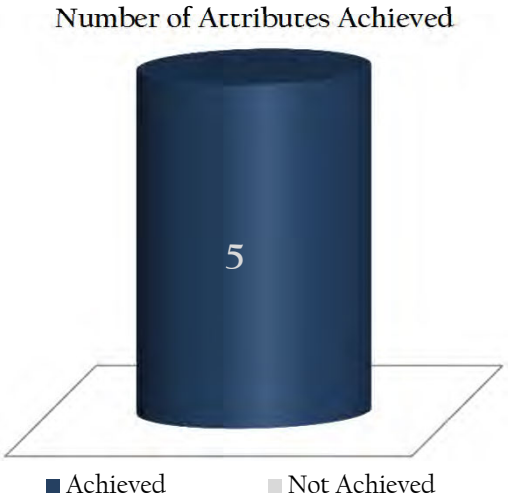


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MIOC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition : *The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MIOC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MIOC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MIOC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

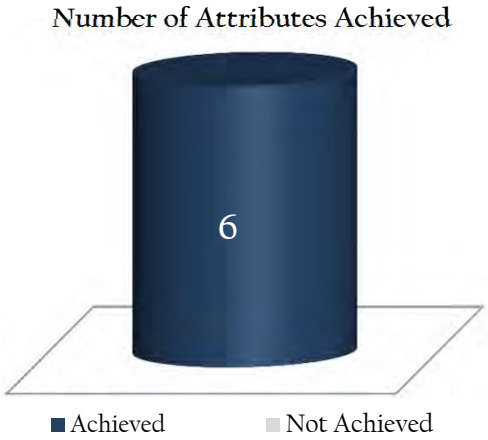
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MIOC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MIOC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MIOC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MIOC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
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3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Minnesota Joint Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Minnesota Joint Analysis Center (MNJAC)

Overall Score: 78.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 14 full time, 2 part time

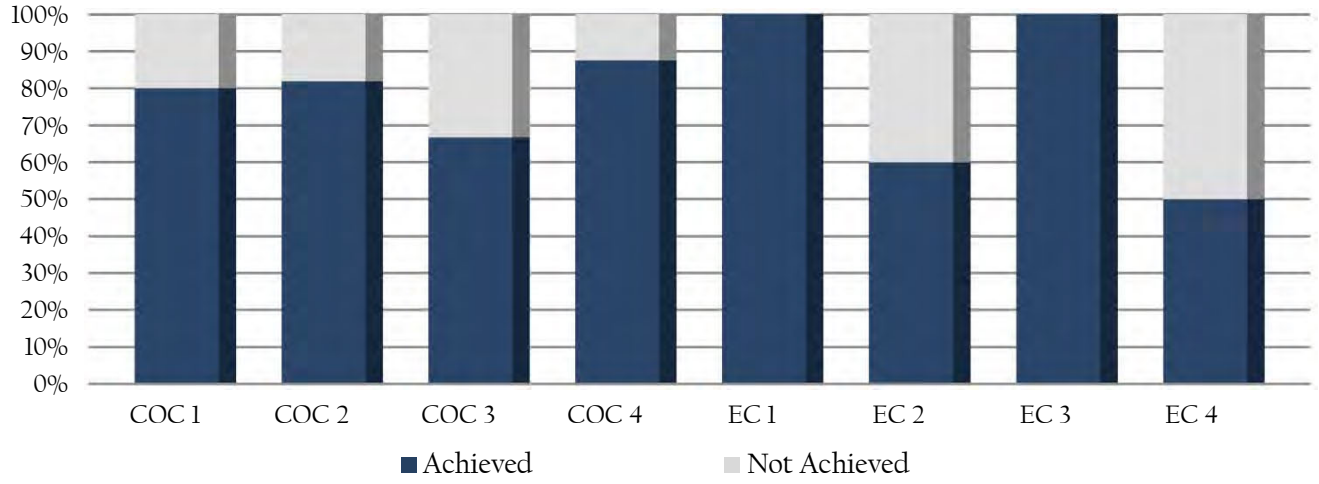
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

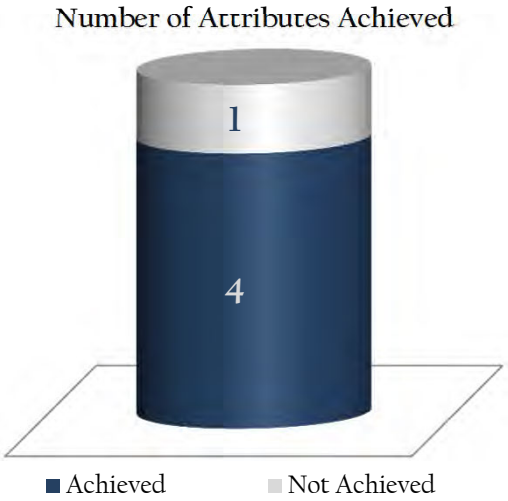


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. COC 1 is comprised of 5 attributes, worth **4 points each. The MNJAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. COC 2 has 11 attributes, each worth 1.82 points. The **MNJAC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	No
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MNJAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

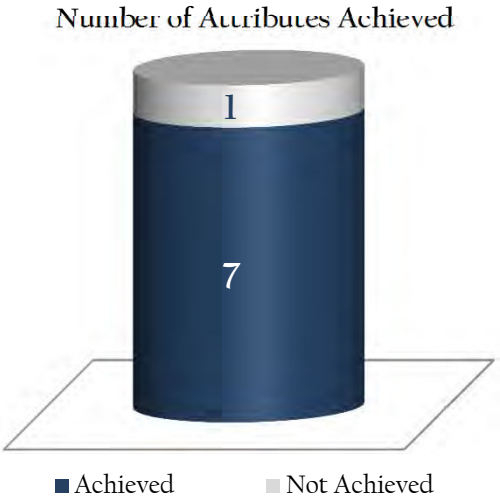
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MNJAC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

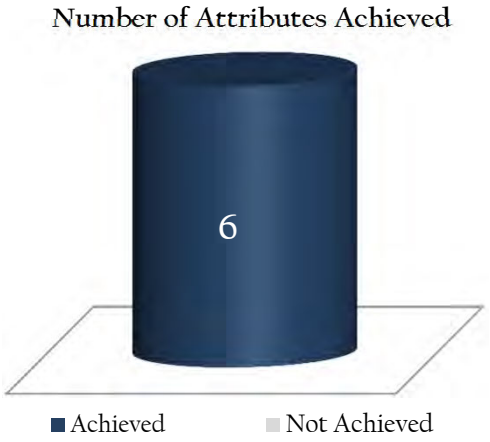
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MNJAC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MNJAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MNJAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

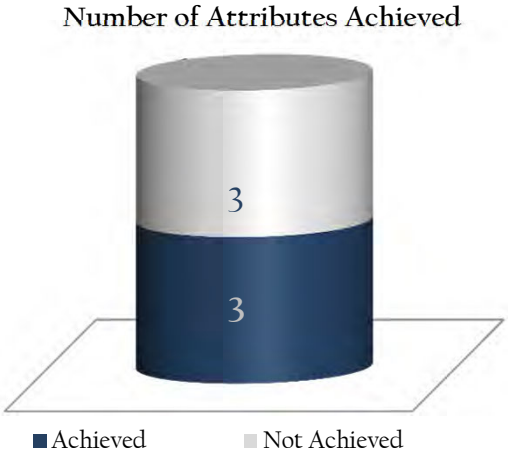
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50.0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. EC 4 has 6 attributes worth 0.83 points **each. The MNJAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Mississippi Analysis and Information Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Mississippi Analysis and Information Center (MSAIC)

Overall Score: 92.3

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 17 full time, 2 part time

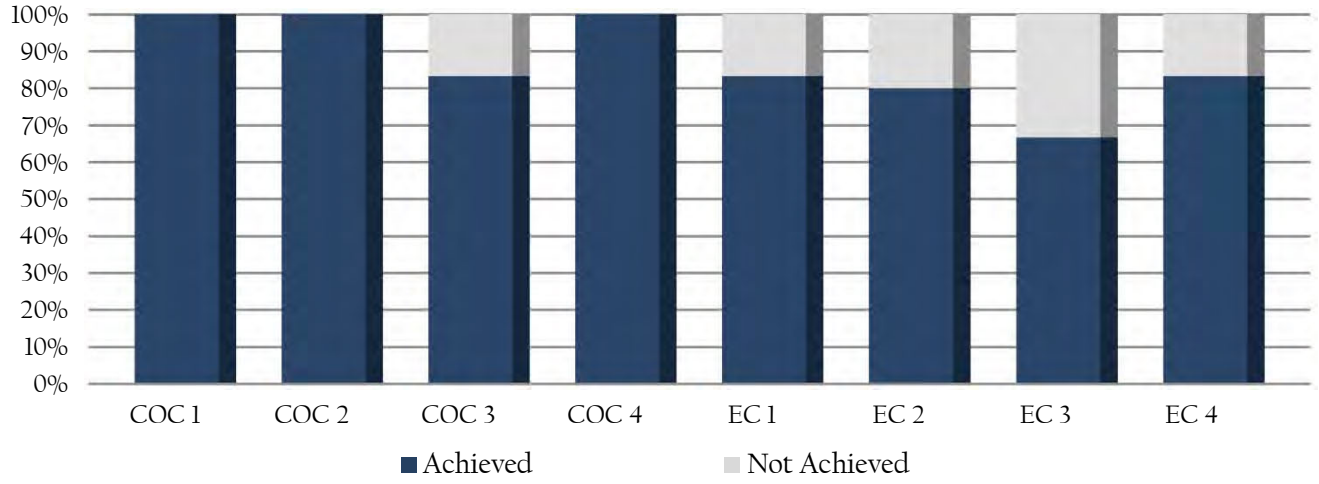
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

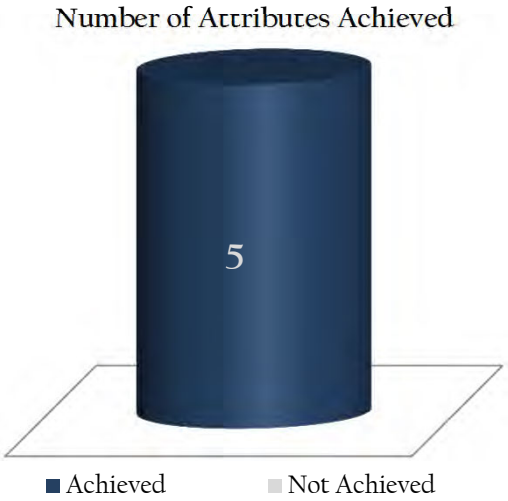


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The MSAIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The MSAIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

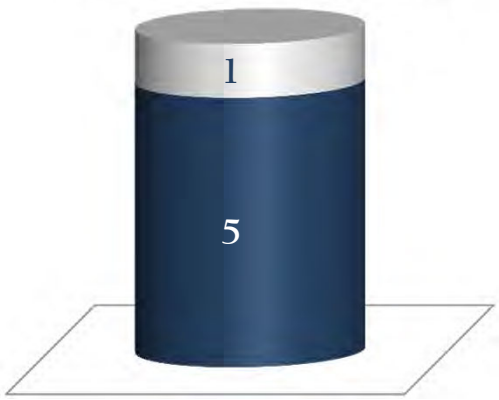
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The MSAIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The MSAIC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The MSAIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

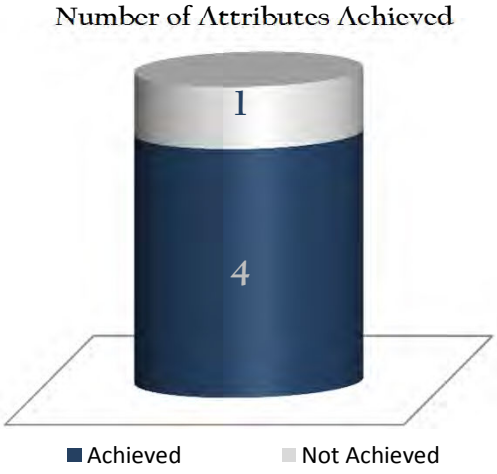
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The MSAIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

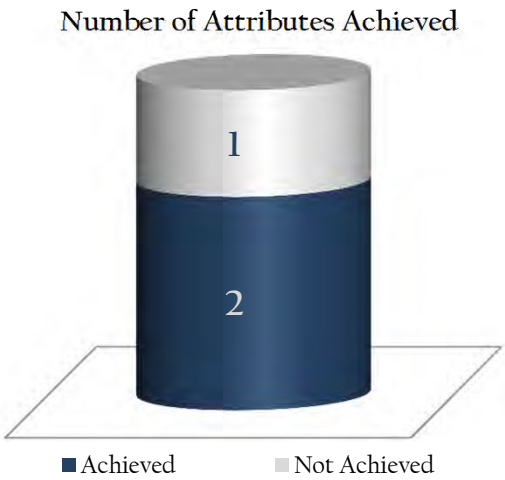
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The MSAIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The MSAIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

North Carolina Information Sharing and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

North Carolina Information Sharing and Analysis Center (NC ISAAC)

Overall Score: 78.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: Counterterrorism

Staffing Levels: 14 full time, 5 part time

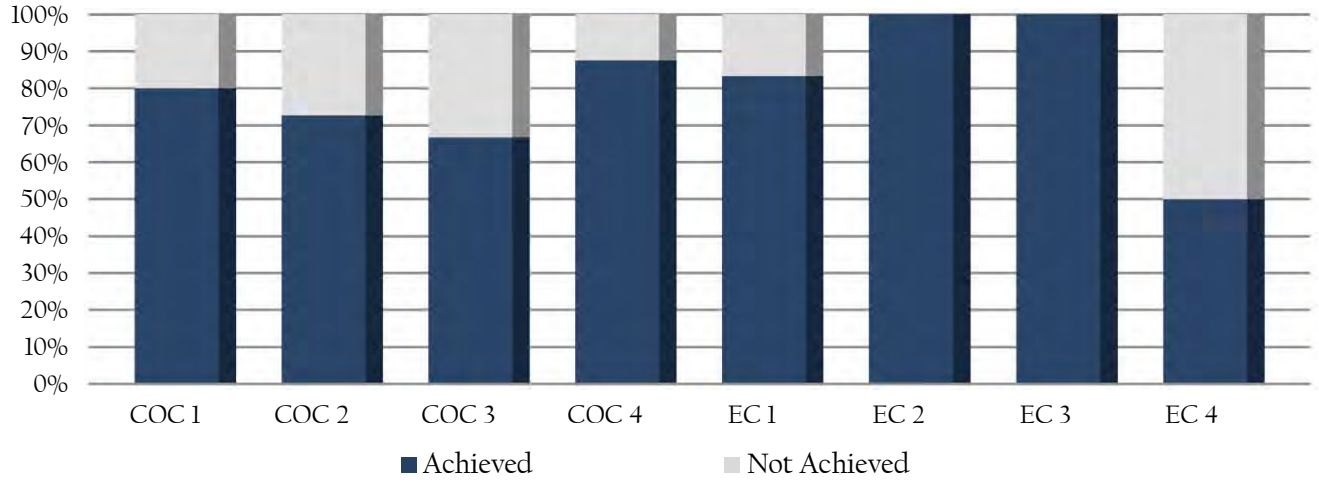
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

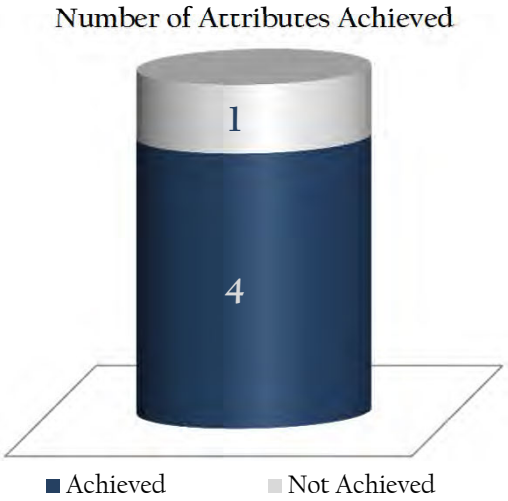


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NC ISAAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NC ISAAC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NC ISAAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

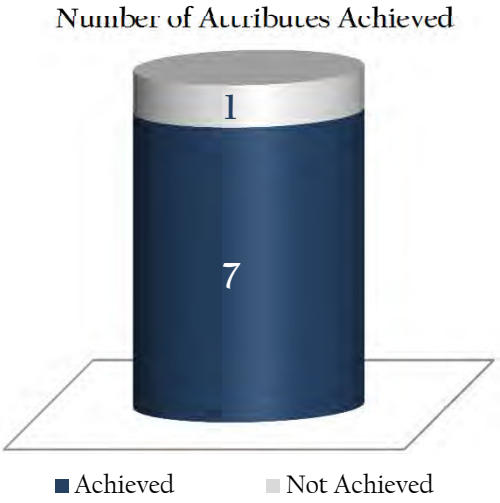
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NC ISAAC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NC ISAAC has 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NC ISAAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NC ISAAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

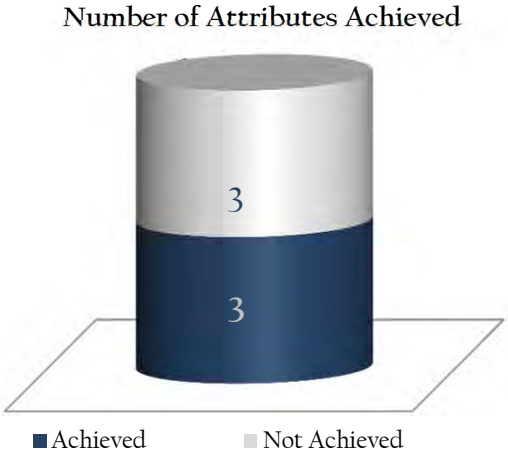
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50.0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NC ISAAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Northern California Regional Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Northern California Regional Intelligence Center (NCRIC)

Overall Score:	92.7
National Network Average:	76.8

Demographic Information

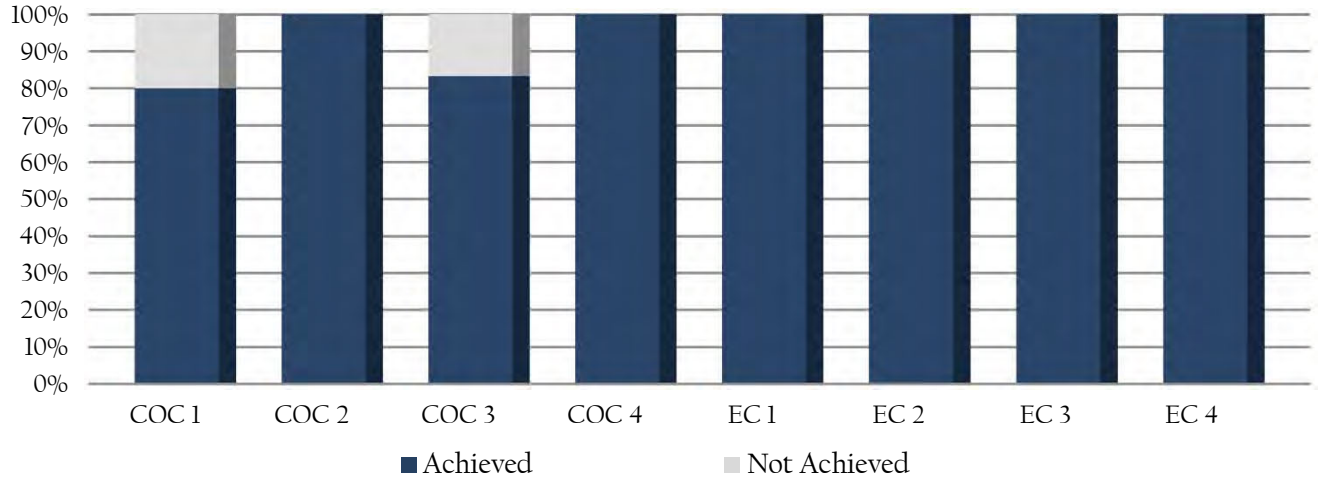
RAC Category: Recognized Fusion Center
Mission: All crimes, counterterrorism, counter drug
Staffing Levels: N/A
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

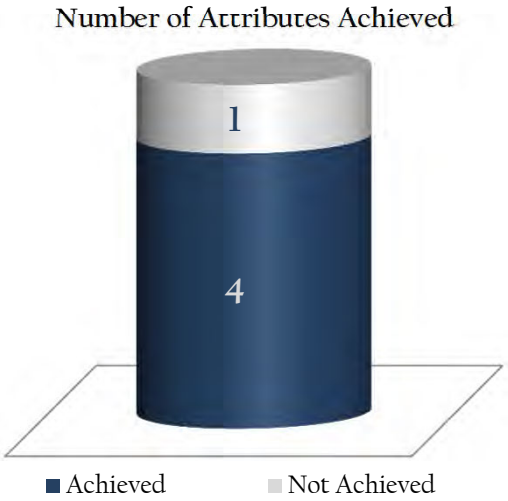


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NCRIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NCRIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

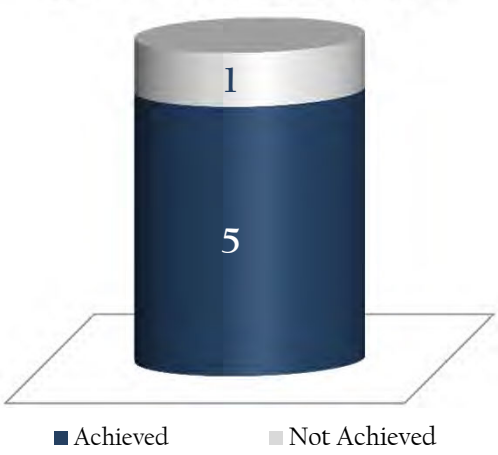
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NCRIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NCRIC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

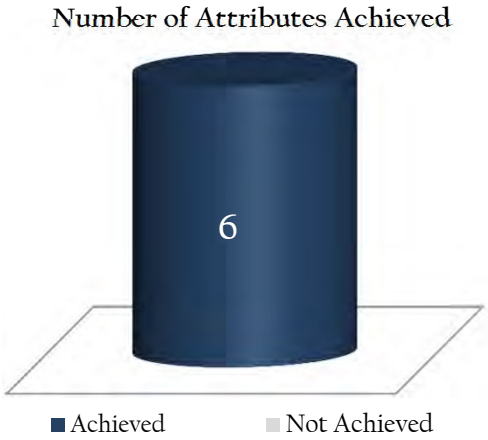
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NCRIC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

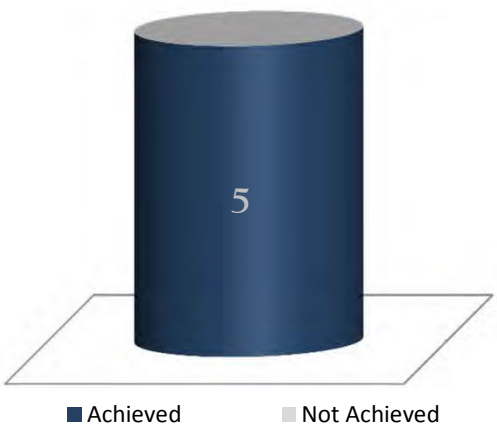
EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NCRIC has achieved 5 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NCRIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NCRIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

North Central Texas Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

North Central Texas Fusion Center (NCTFC)

Overall Score:	70.5
National Network Average:	76.8

Demographic Information

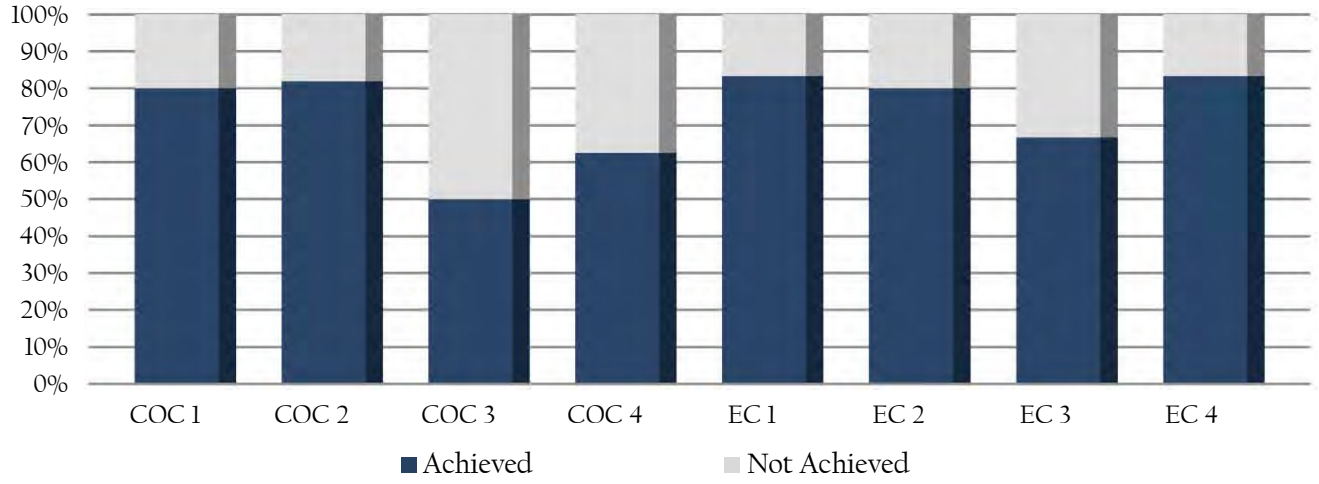
RAC Category: Recognized Fusion Center
Mission: All crimes, all hazards
Staffing Levels: 13 full time, 0 part time
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

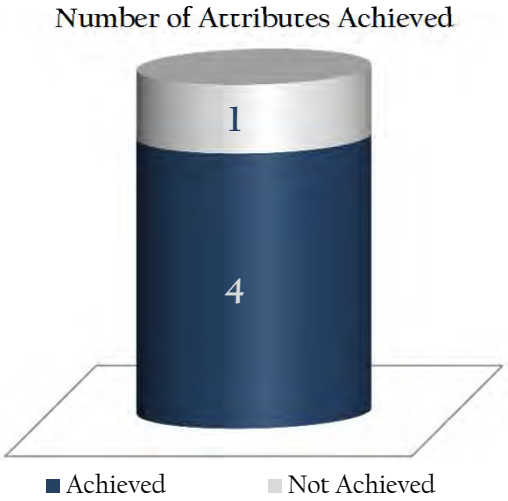


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NCTFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NCTFC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	No
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NCTFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

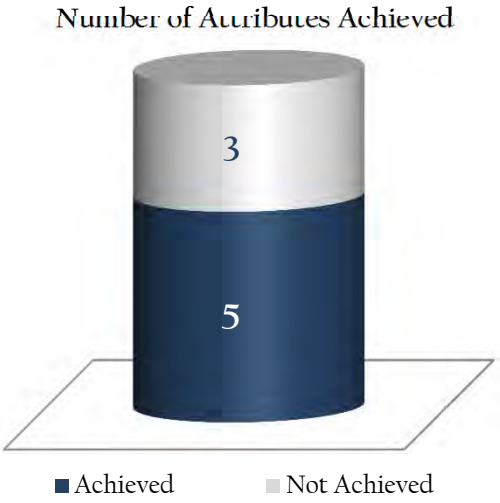
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NCTFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NCTFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

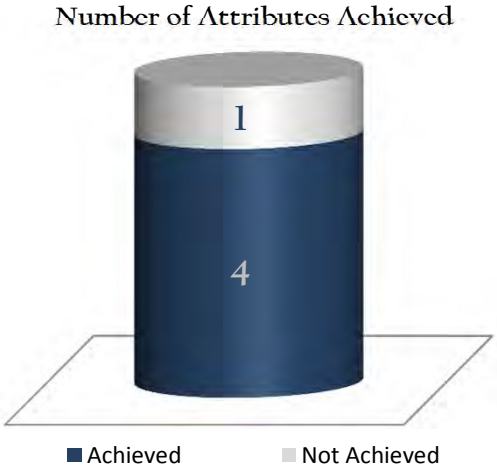
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NCTFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

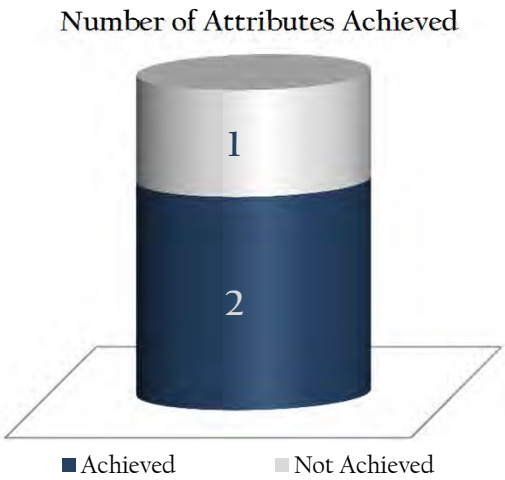
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NCTFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NCTFC has achieved 5 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

North Dakota State and Local Intelligence Center

Revised March 2012

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

North Dakota State & Local Intelligence Center (NDSLIC)

Overall Score: 68.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 12 full time, 0 part time

Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
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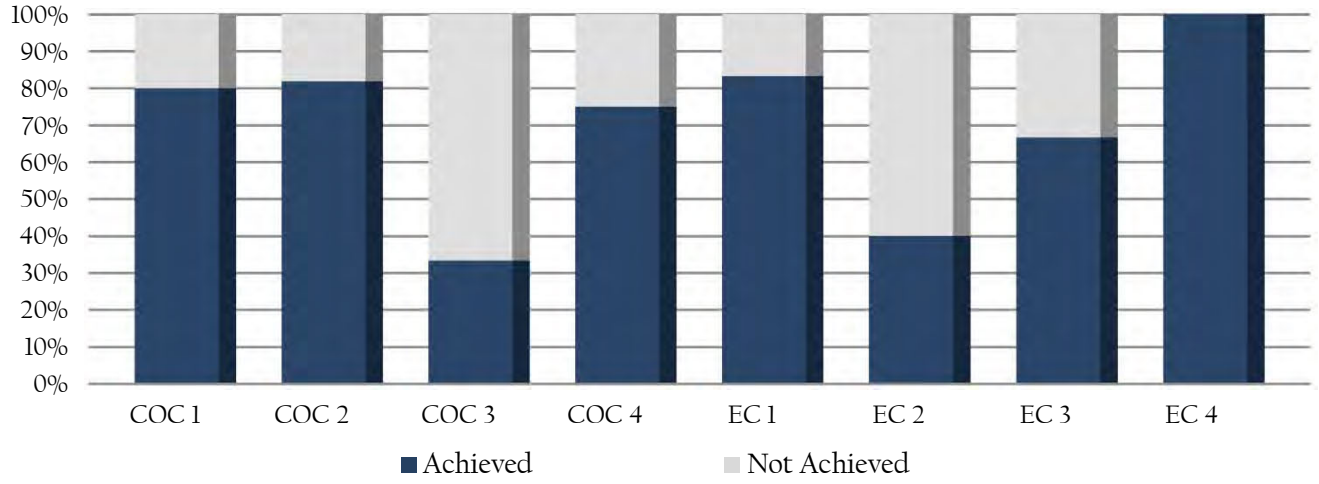
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

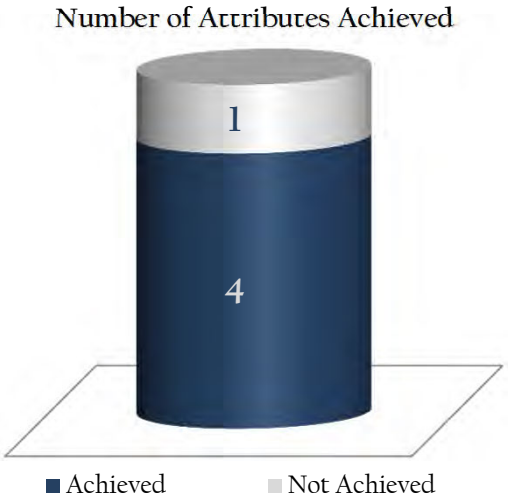


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NDSLIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NDSLIC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	No
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NDSLIC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

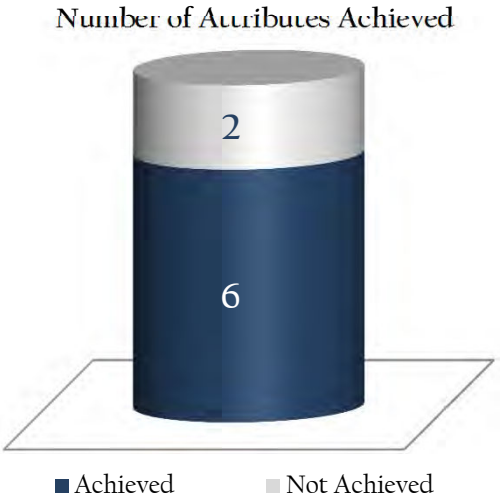
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NDSLIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NDSLIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

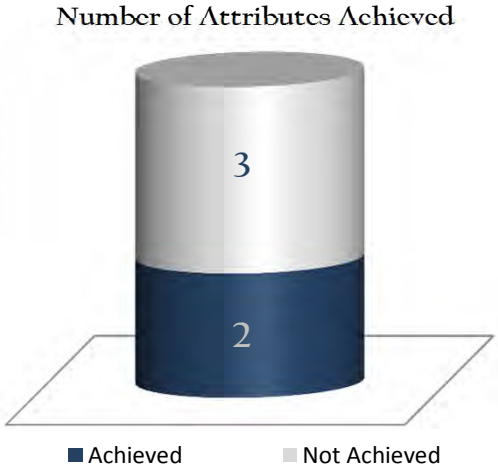
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NDSLIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

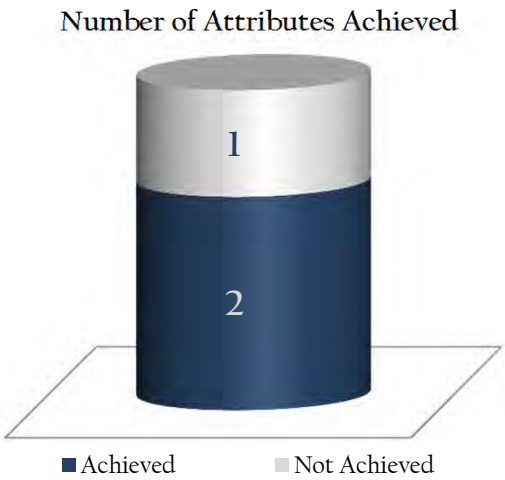
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NDSLIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NDSLIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Northeast Ohio Regional Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Northeast Ohio Regional Fusion Center (NEORFC)

Overall Score: 61.7

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 5 full time, 2 part time

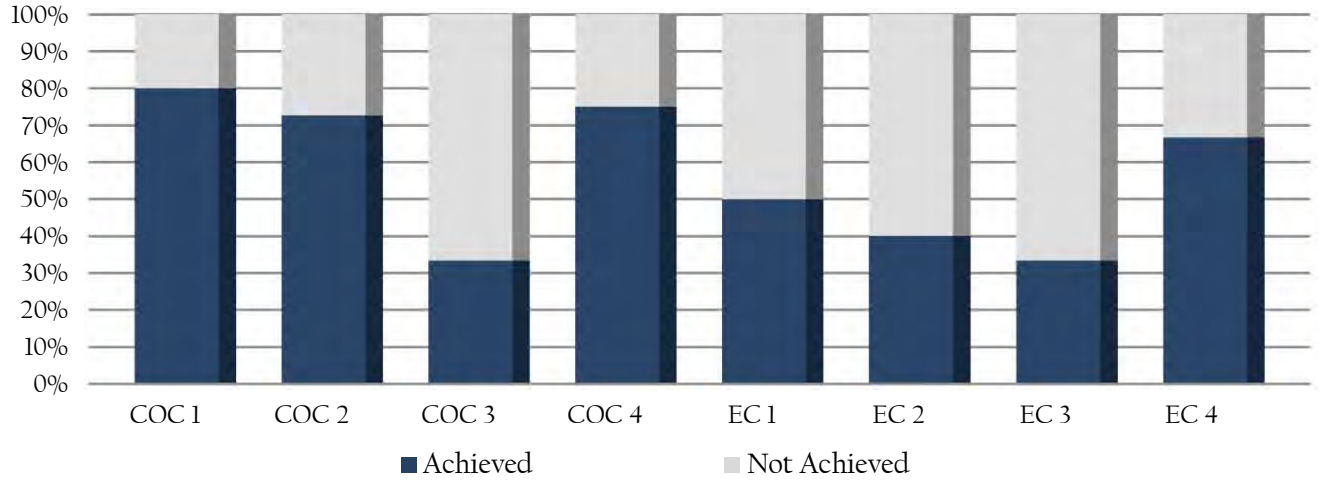
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	2	6.7	33.3%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	3	2.5	50.0%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

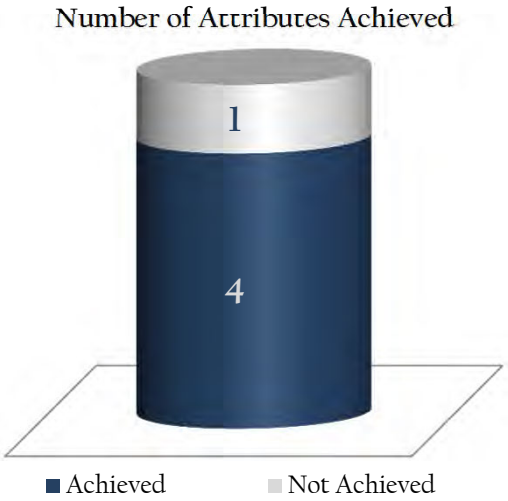


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NEORFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NEORFC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	No
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NEORFC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

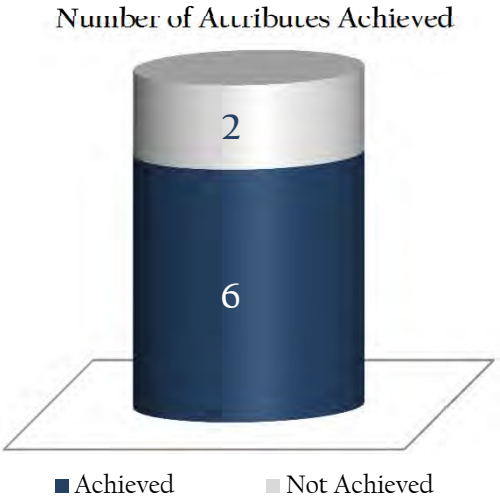
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NEORFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

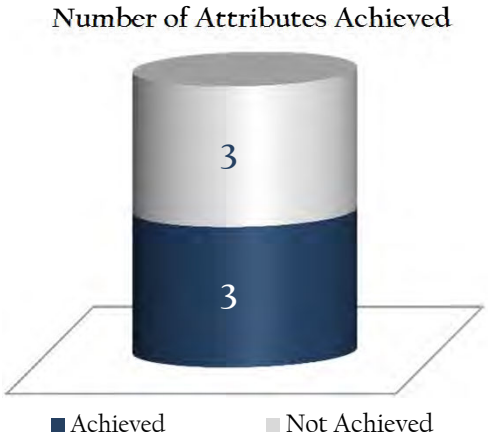
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	2.5
Percent:	50.0%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NEORFC has 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 1

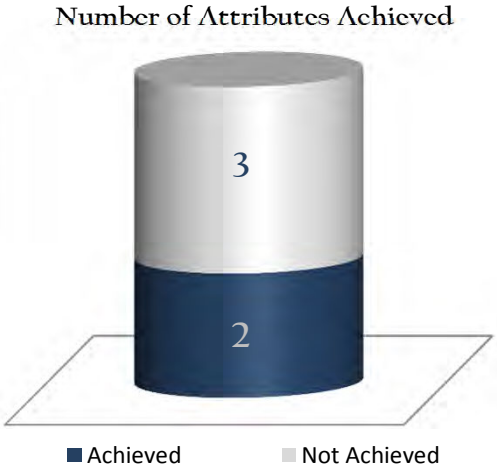
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NEORFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

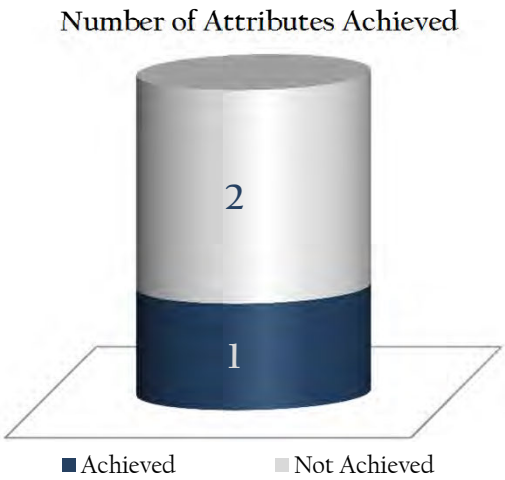
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NEORFC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	3.3
Percent:	67%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NEORFC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	67%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

New Hampshire Information and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

New Hampshire Information and Analysis Center (NHIAC)

Overall Score: 72.9

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 5 full time, 1 part time

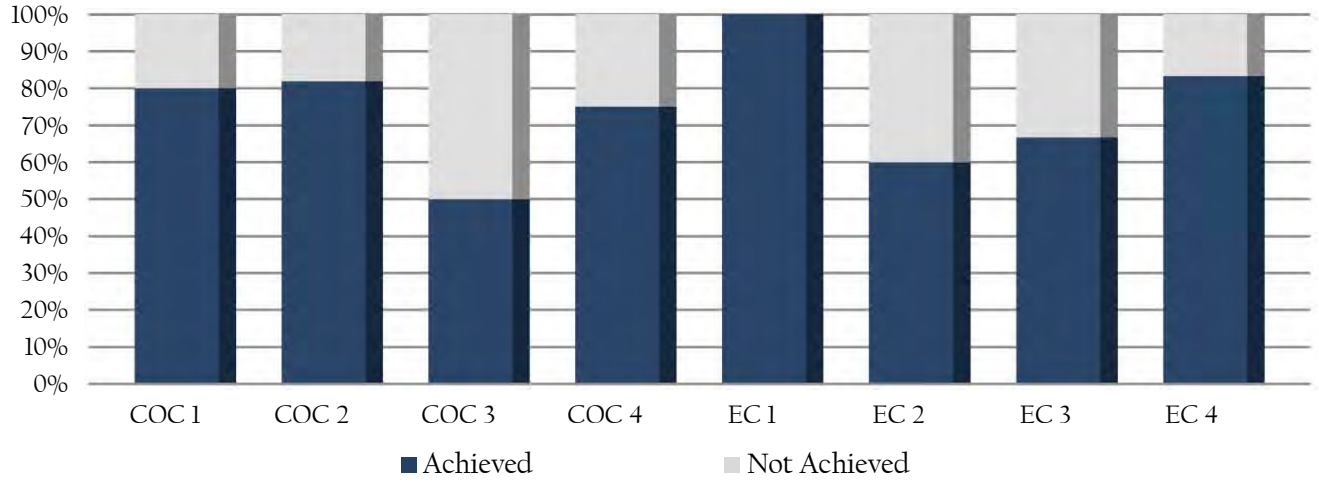
Year Fusion Center Established: 2009

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

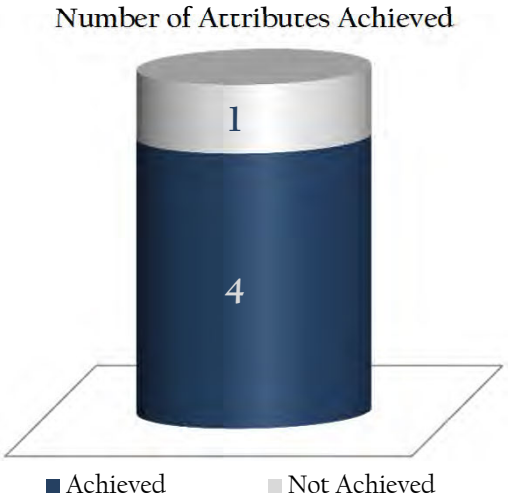


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NHIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NHIAC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NHIAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NHIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

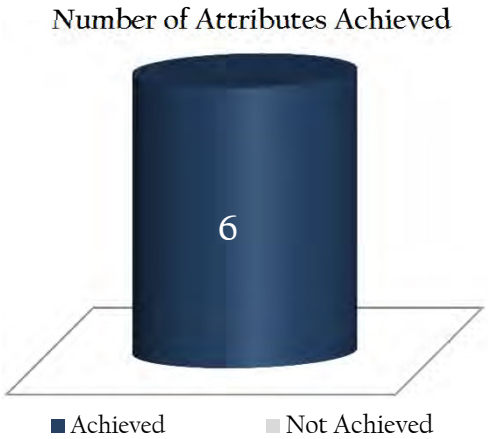
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NHIAC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

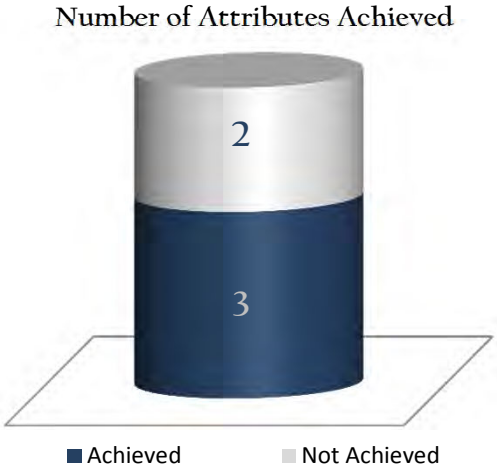
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NHIAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

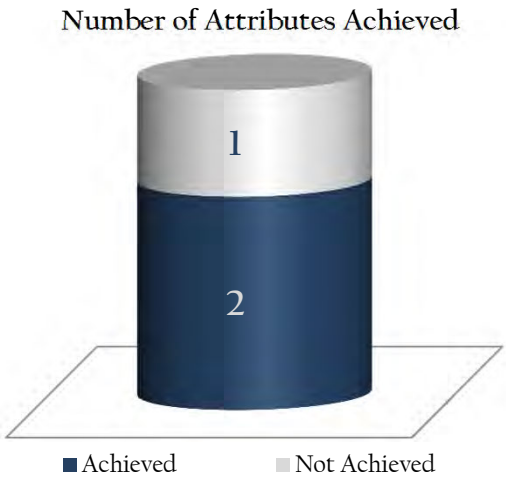
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NHIAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

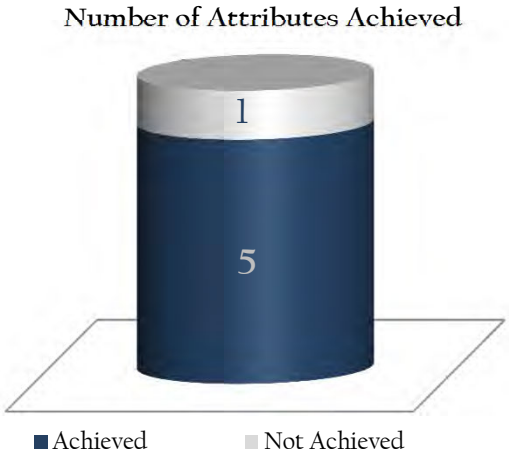
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**Yes**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	4.2
Percent:	83%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NHIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

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2011 Fusion Center Assessment Individual Report

Nebraska Information Analysis Center

Revised March 2012

United States Department of Justice

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Nebraska Information Analysis Center (NIAC)

Overall Score: 84.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All hazards

Staffing Levels: 18 full time, 1 part time

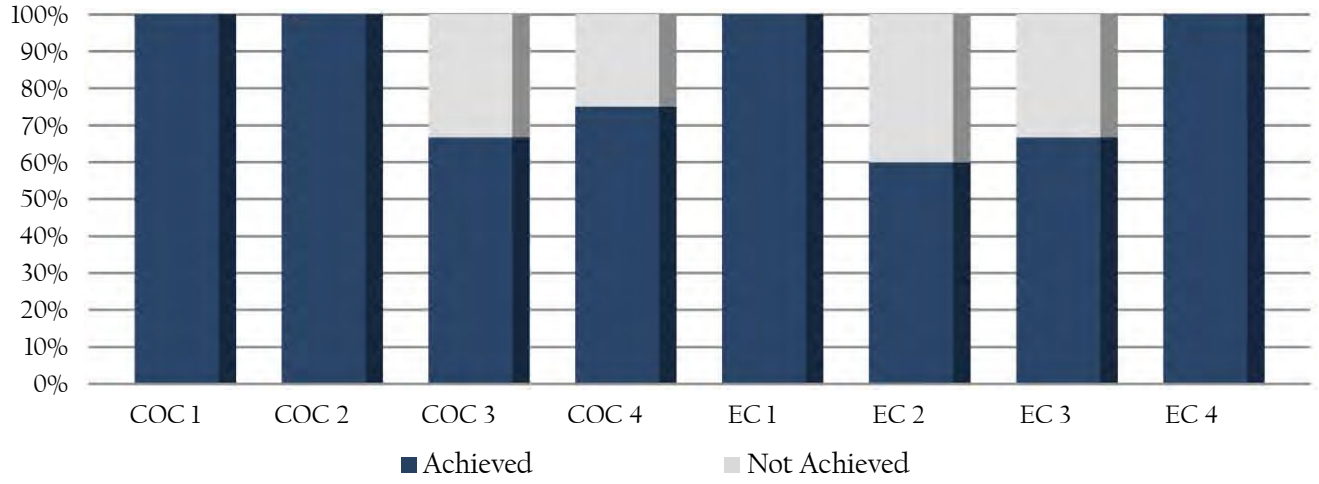
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

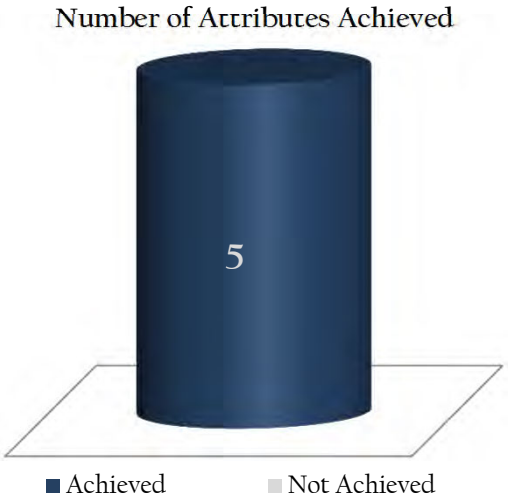


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NIAC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

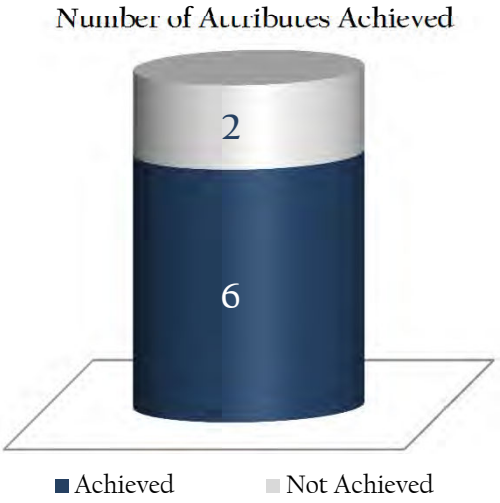
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

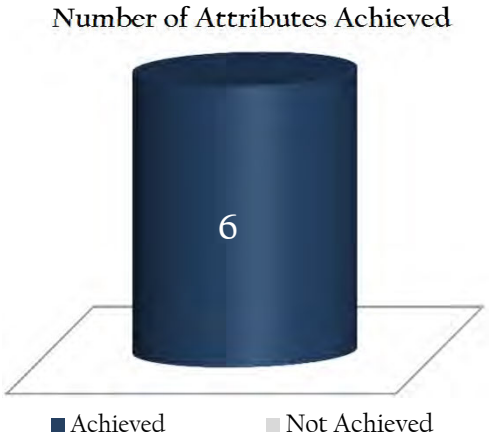
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NIAC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NIAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

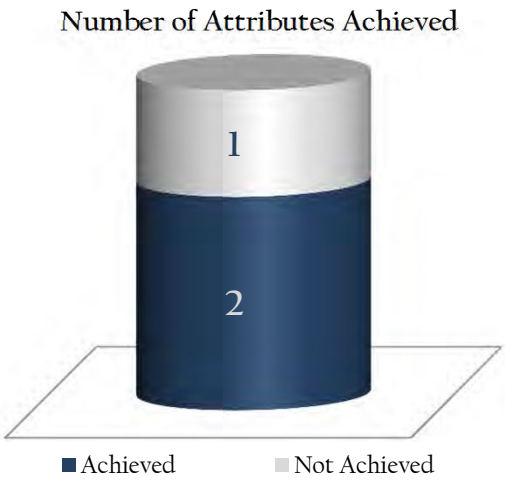
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NIAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

New Jersey Regional Operations Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

New Jersey Regional Operations Intelligence Center (NJ ROIC)

Overall Score: 46.4

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 91 full time, 10 part time

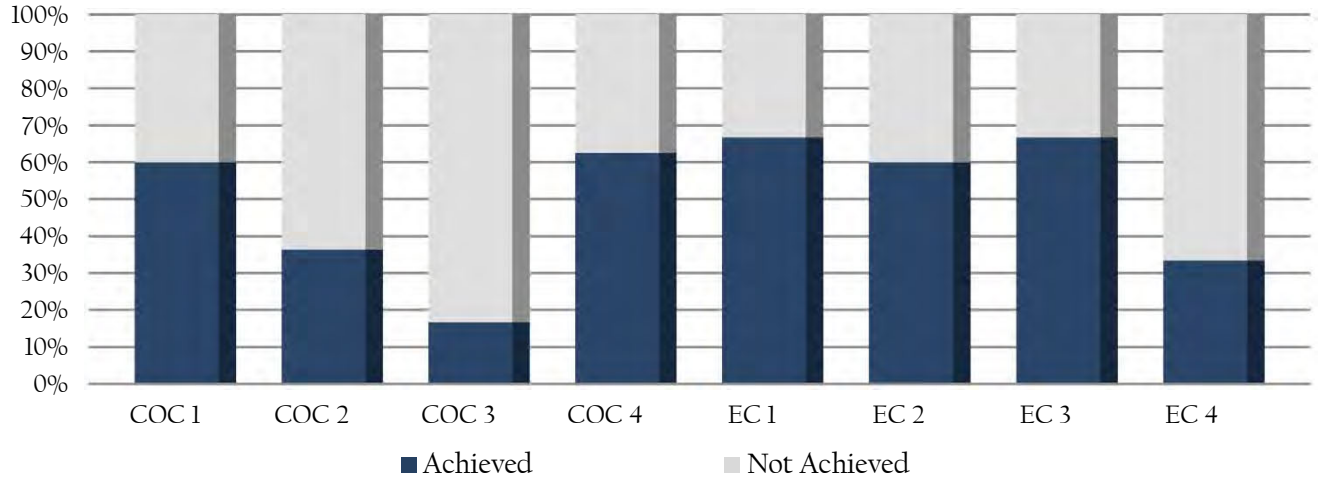
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	4	7.3	36.4%	16.4	81.8%
COC 3: Disseminate	6	1	3.3	16.7%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	2	1.7	33.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

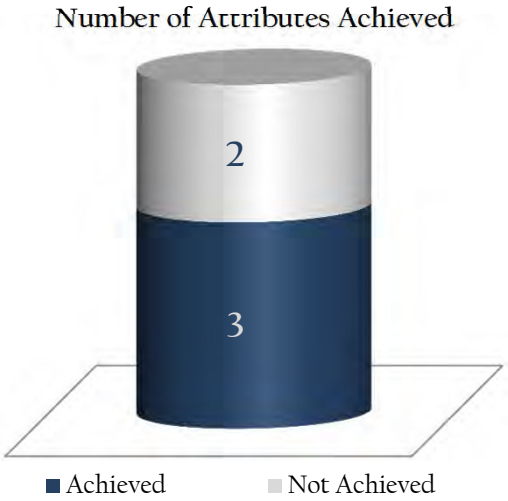


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NJ ROIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	7.3
Percent:	36.4%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NJ ROIC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	4	20	7.3	36.4%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	No
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	3.3
Percent:	16.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NJ ROIC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	1	20	3.3	16.7%

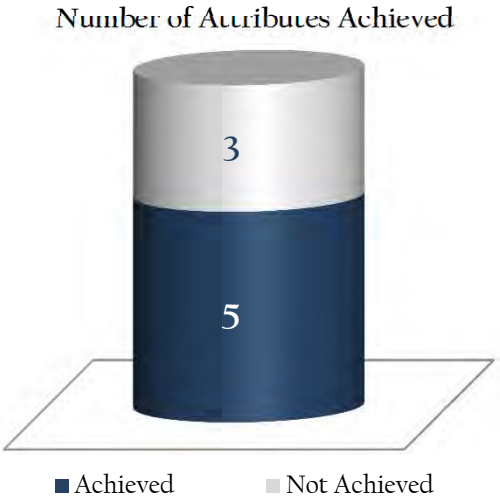
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NJ ROIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

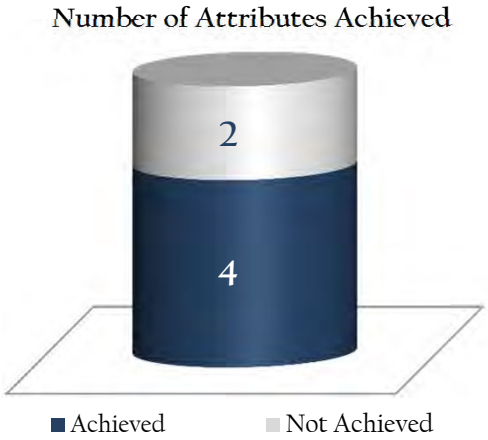
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NJ ROIC has 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NJ ROIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

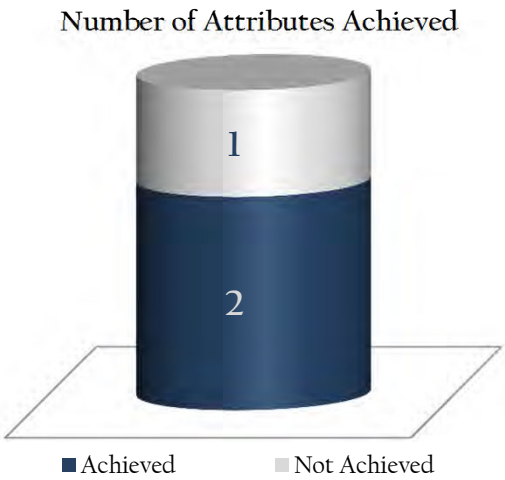
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NJ ROIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

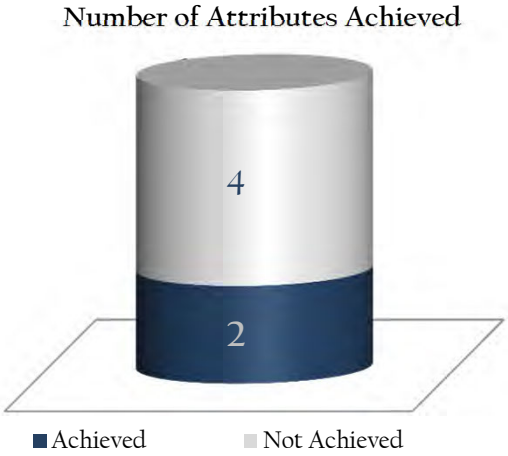
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	1.7
Percent:	33%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NJ ROIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	5	1.7	33%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

New Mexico All Source Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

New Mexico All Source Intelligence Center (NMASIC)

Overall Score: 50.8

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All hazards, counterterrorism

Staffing Levels: 8 full time, 2 part time

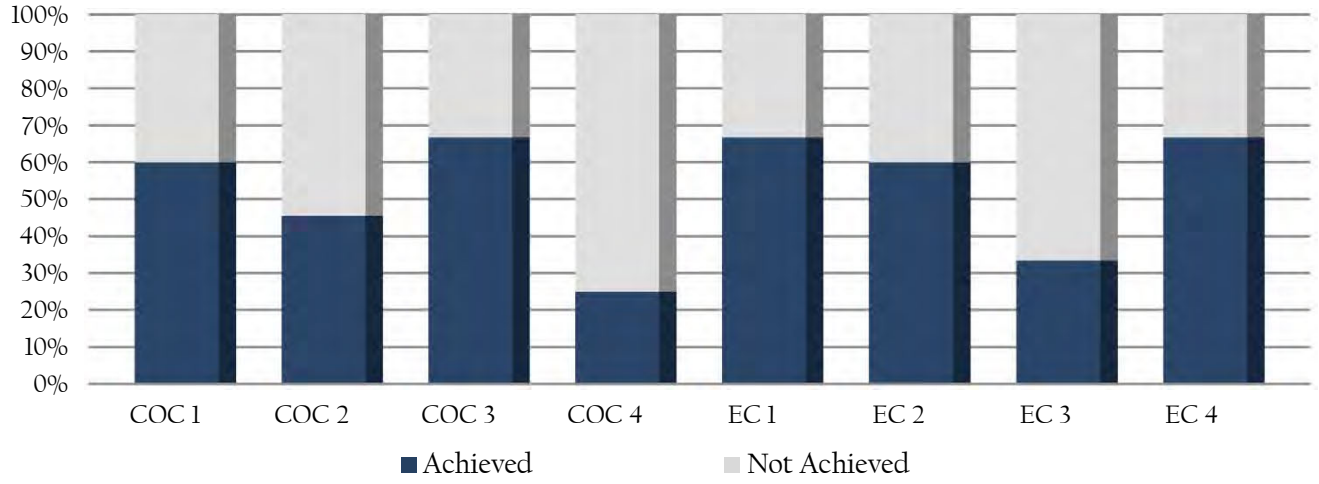
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	5	9.1	45.5%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	2	5.0	25.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

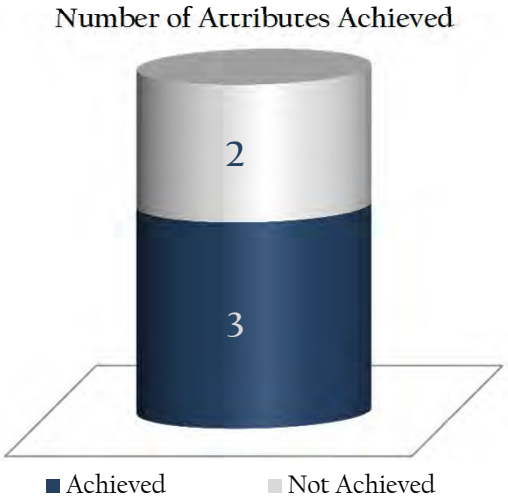


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NMASIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	9.1
Percent:	45.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NMASIC has achieved 5 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	5	20	9.1	45.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	No
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NMASIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

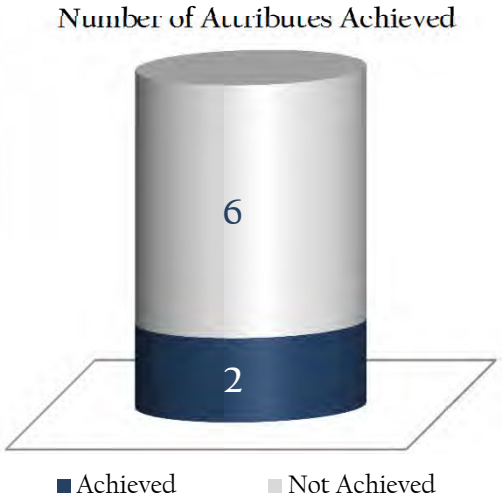
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

COC Score:	5.0
Percent:	25.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NMASIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	2	20	5.0	25.0%

Achievement of the Attributes for COC 4

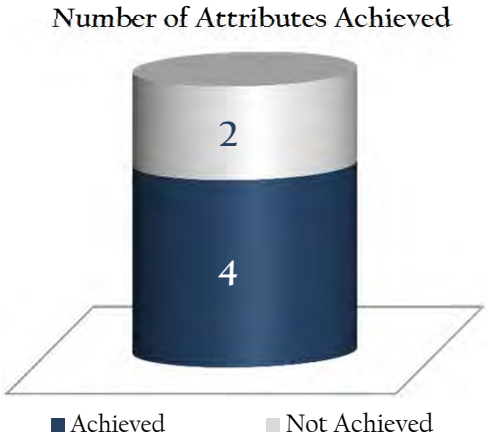
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	No

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NMASIC has 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NMASIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

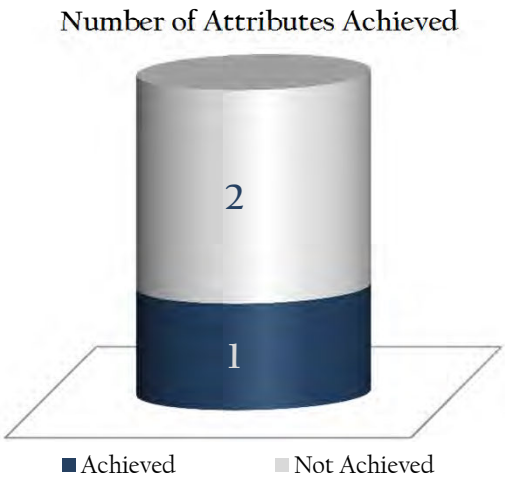
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NMASIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NMASIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Puerto Rico National Security State Information Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Puerto Rico National Security State Information Center (NSSIC)

Overall Score: 38.1

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, all threats

Staffing Levels: 1 full time, 4 part time

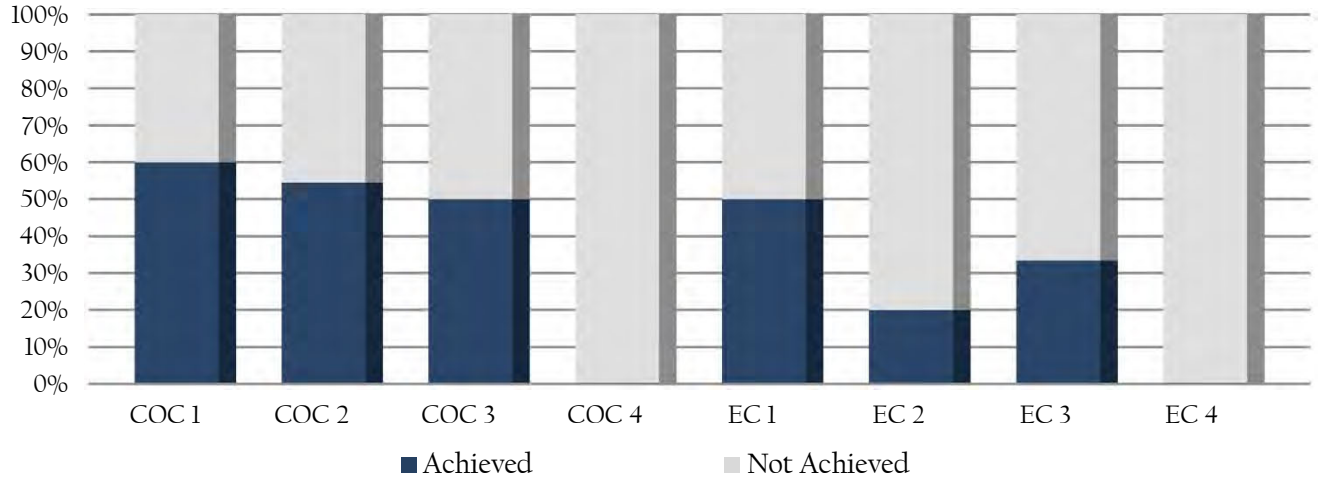
Year Fusion Center Established: 2011

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	6	10.9	54.5%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	0	0.0	0.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	3	2.5	50.0%	4.1	82.2%
EC 2: Sustainment	5	1	1.0	20.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	0	0.0	0.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

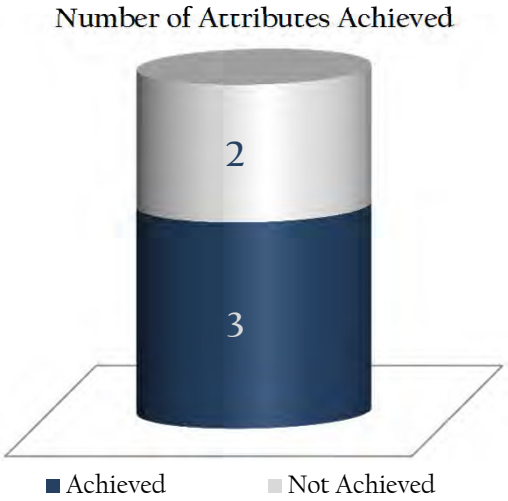


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NSSIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	10.9
Percent:	54.5%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NSSIC has achieved 6 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	6	20	10.9	54.5%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	No
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NSSIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

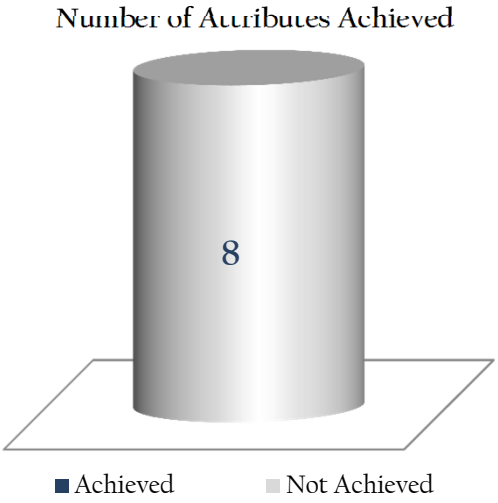
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	0.0
Percent:	0.0%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NSSIC has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	0	20	0.0	0.0%

Achievement of the Attributes for COC 4

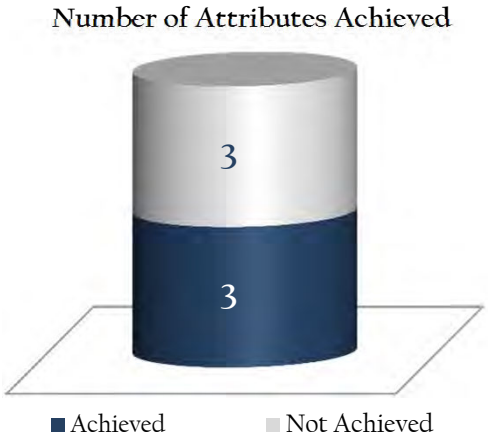
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	No

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	2.5
Percent:	50.0%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NSSIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	1.0
Percent:	20.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NSSIC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	1	5	1.0	20.0%

Achievement of the Attributes for EC 2

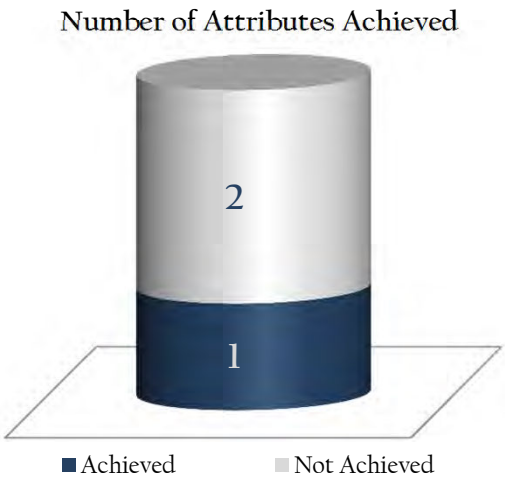
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NSSIC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

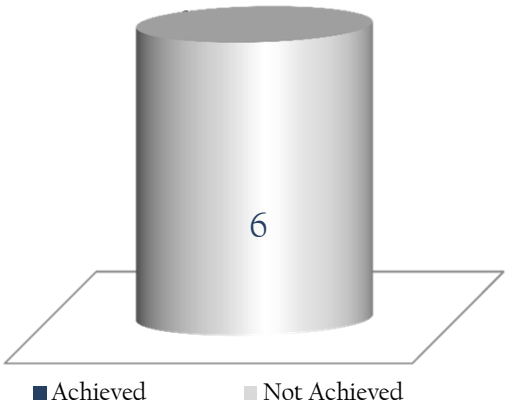
EC 4: Security

EC Score:	0.0
Percent:	0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NSSIC has achieved 0 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	0	5	0.0	0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	No
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Nevada Threat Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Nevada Threat Analysis Center (NTAC)

Overall Score: 62.0

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 11 full time, 1 part time

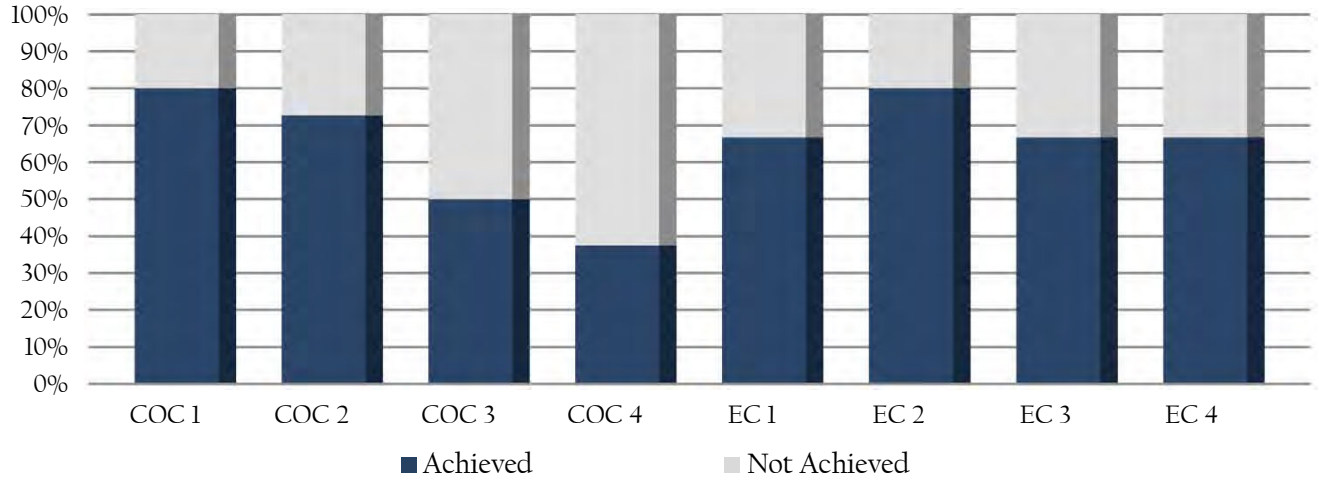
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	3	7.5	37.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

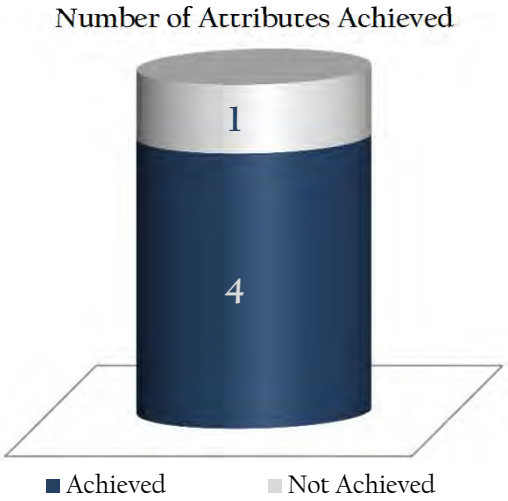


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NTAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NTAC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NTAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	7.5
Percent:	37.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NTAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	3	20	7.5	37.5%

Achievement of the Attributes for COC 4

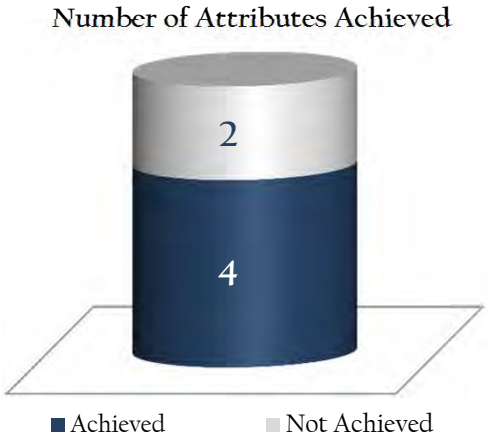
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	No
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NTAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

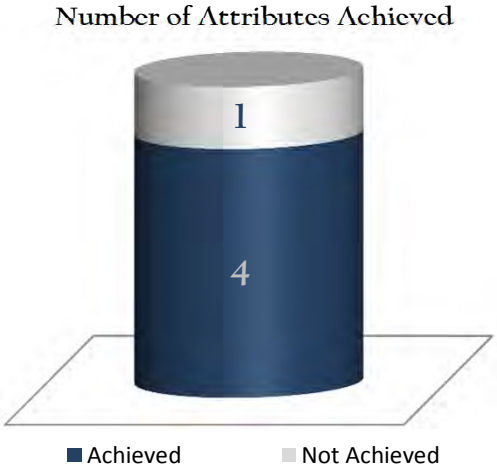
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NTAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

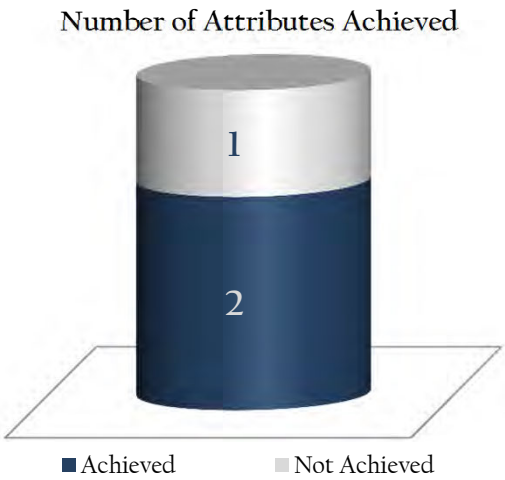
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NTAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NTAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

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Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

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2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
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4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Northern Virginia Regional Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Northern Virginia Regional Intelligence Center (NVRIC)

Overall Score:	90.0
National Network Average:	76.8

Demographic Information

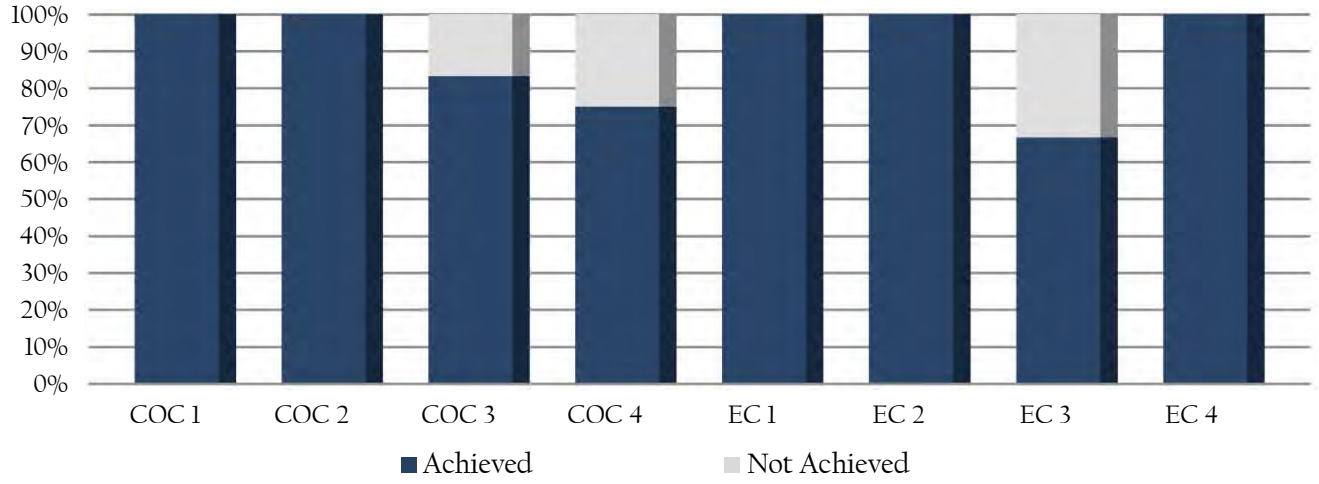
RAC Category: Recognized Fusion Center
Mission: All crimes, counterterrorism
Staffing Levels: N/A
Year Fusion Center Established: 2004

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

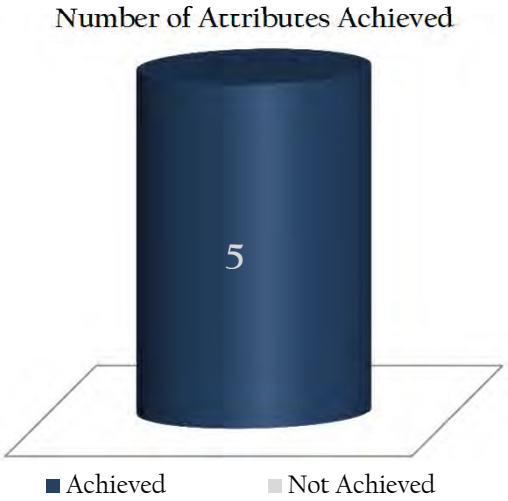


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NVRIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NVRIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NVRIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

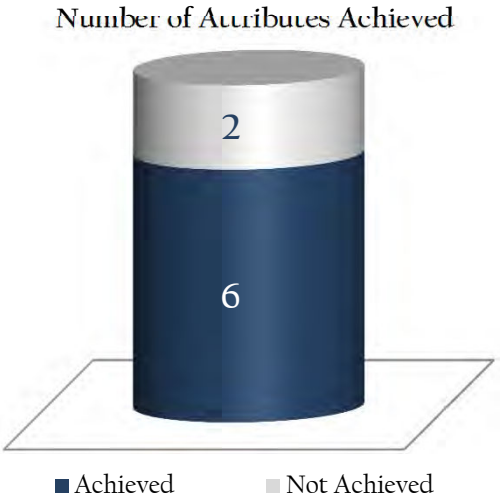
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NVRIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

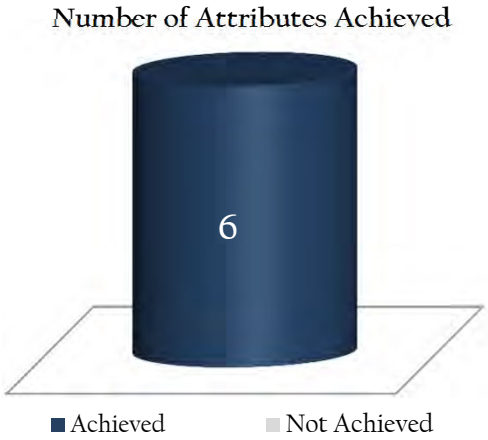
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NVRIC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NVRIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

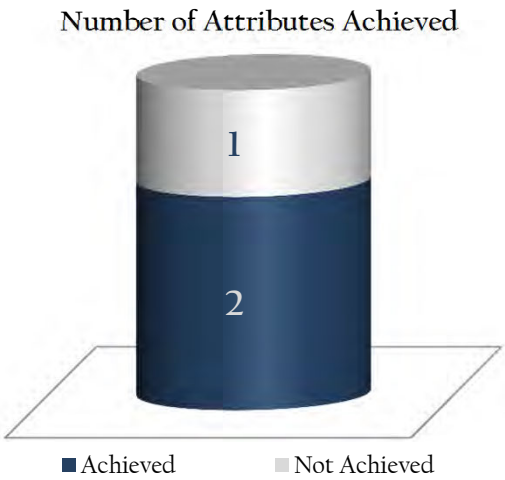
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NVRIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NVRIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

New York State Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

New York State Intelligence Center (NYSIC)

Overall Score: 88.8

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: N/A

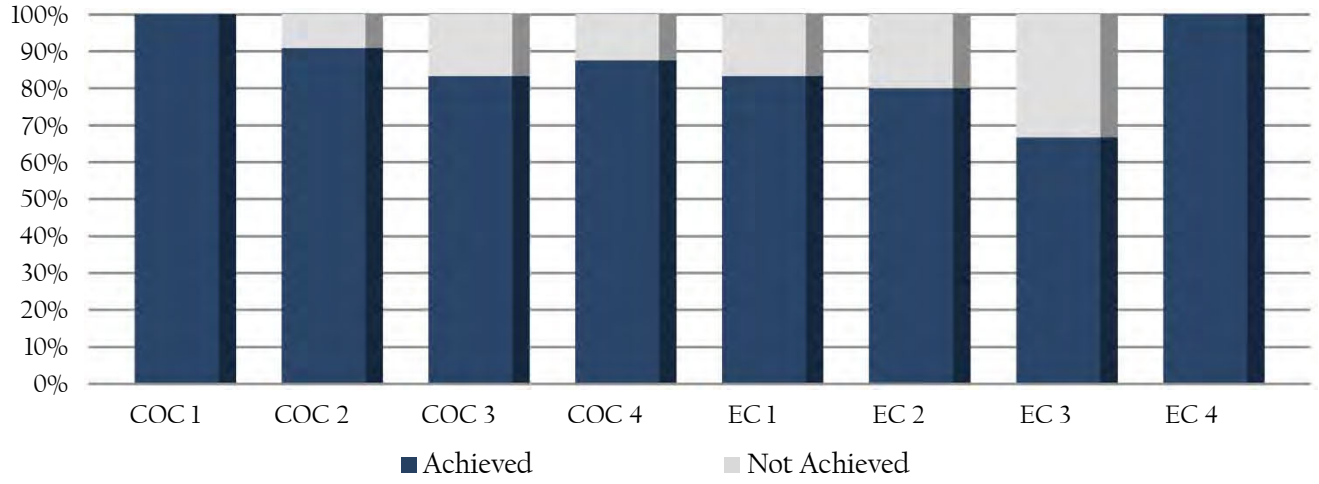
Year Fusion Center Established: 2003

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

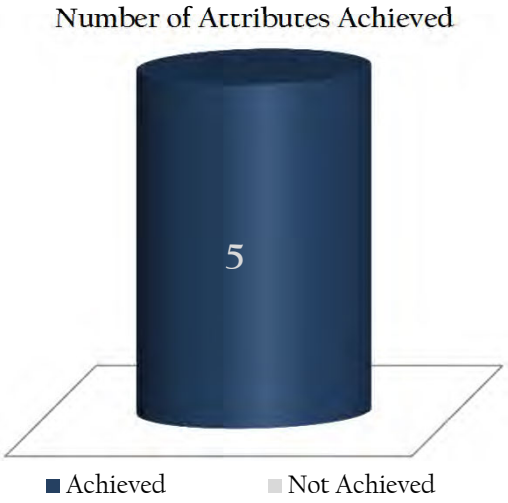


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The NYSIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The NYSIC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

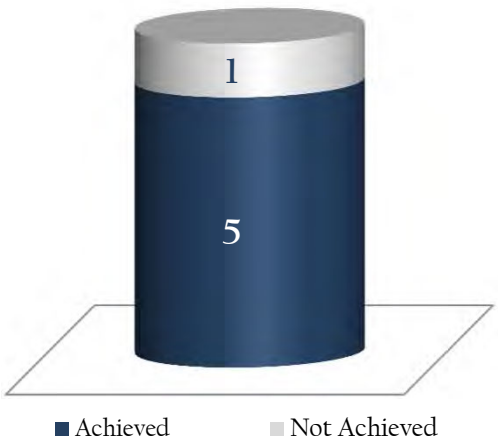
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The NYSIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

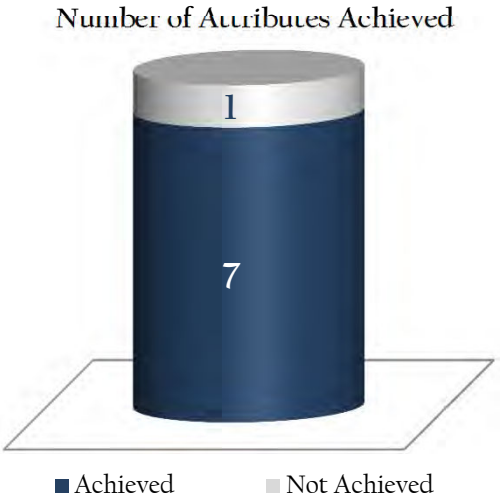
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The NYSIC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The NYSIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

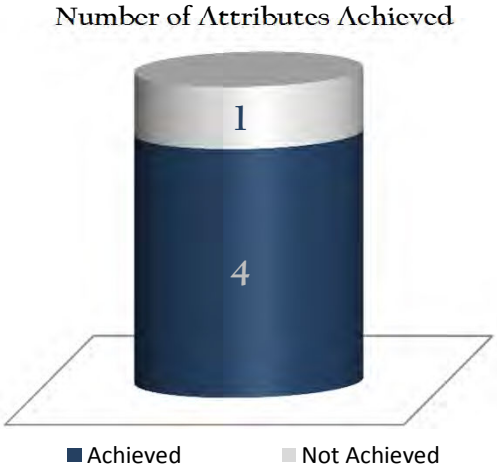
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The NYSIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

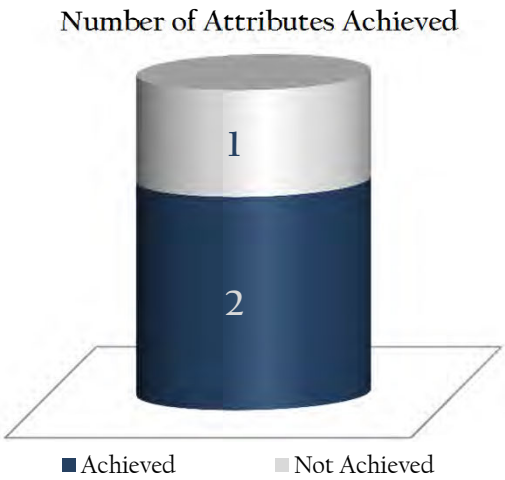
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The NYSIC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The NYSIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Orange County Intelligence Assessment Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Orange County Intelligence Assessment Center (OCIAC)

Overall Score:	75.8
National Network Average:	76.8

Demographic Information

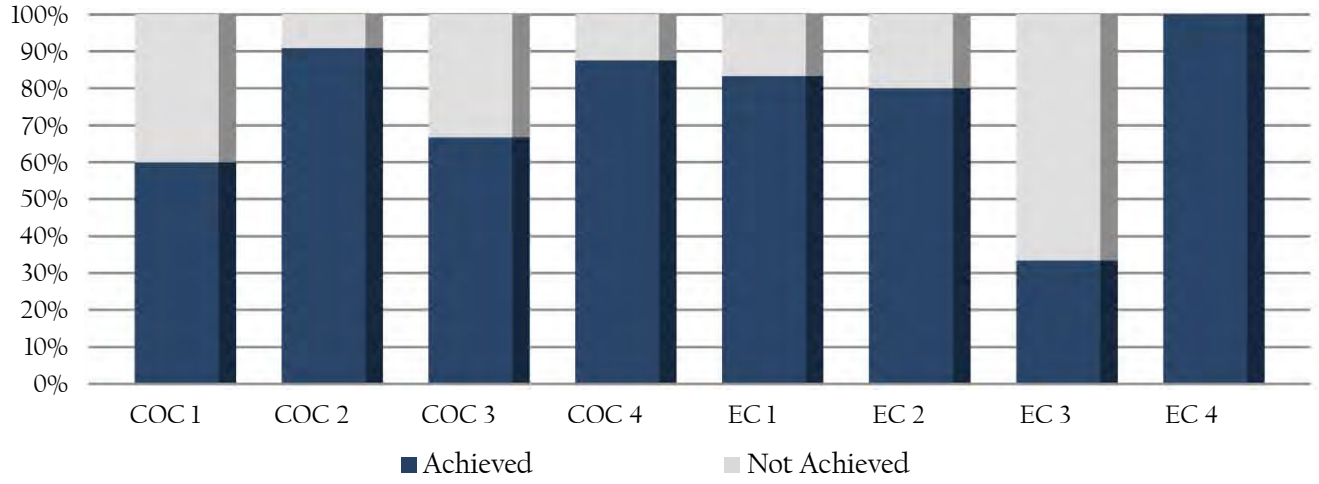
RAC Category: Recognized Fusion Center
Mission: All crimes, all hazards, counterterrorism
Staffing Levels: 20 full time, 1 part time
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

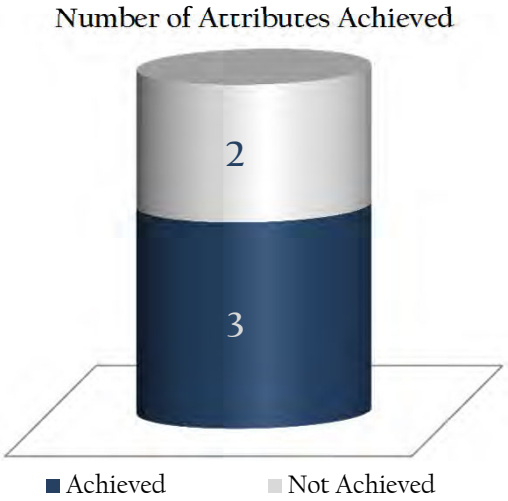


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The OCIAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The OCIAC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conduct a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The OCIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

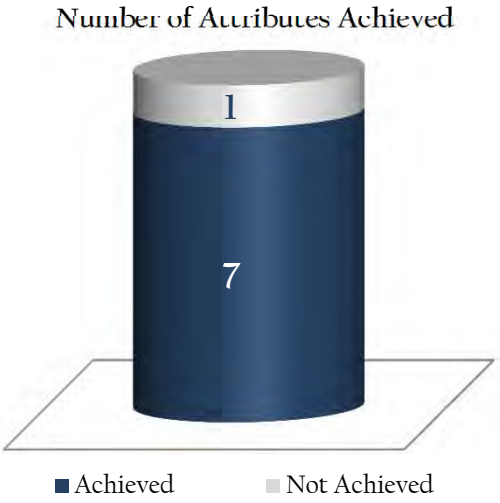
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The OCIAC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The OCIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

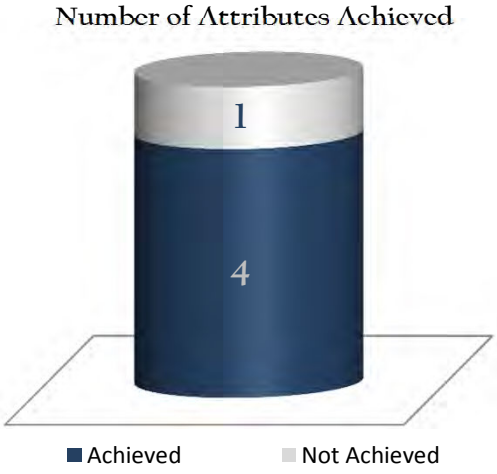
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The OCIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

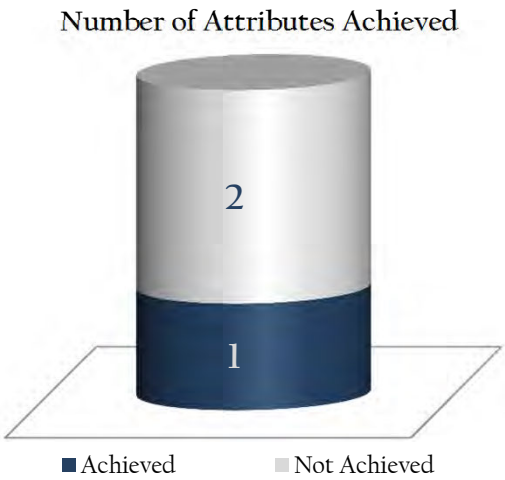
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The OCIAC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The OCIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Oklahoma Information Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Oklahoma Information Fusion Center (OIFC)

Overall Score: 72.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 12 full time, 11 part time

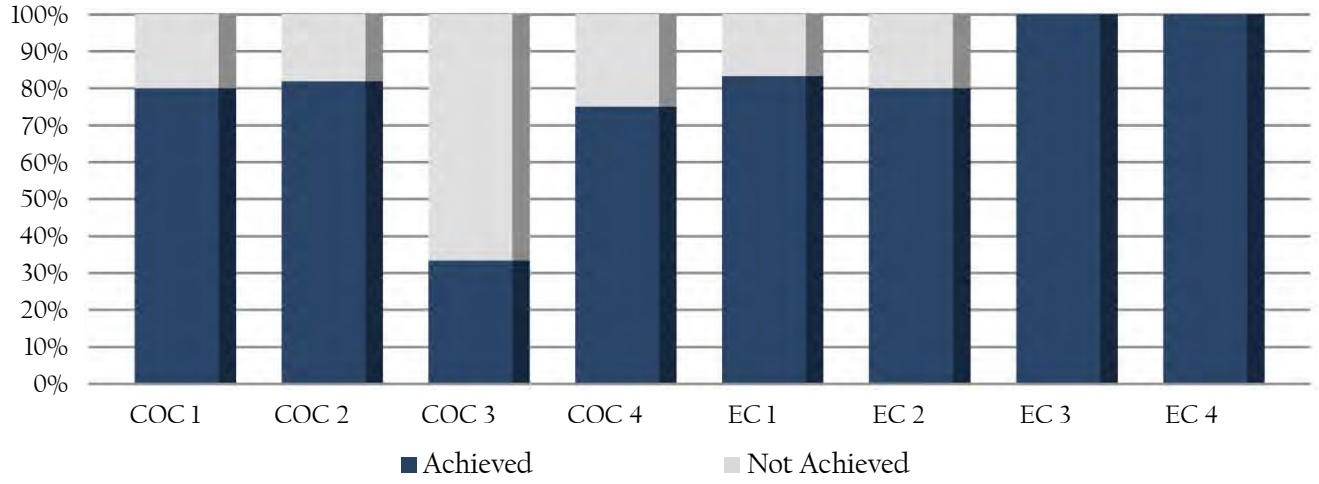
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	2	6.7	33.3%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

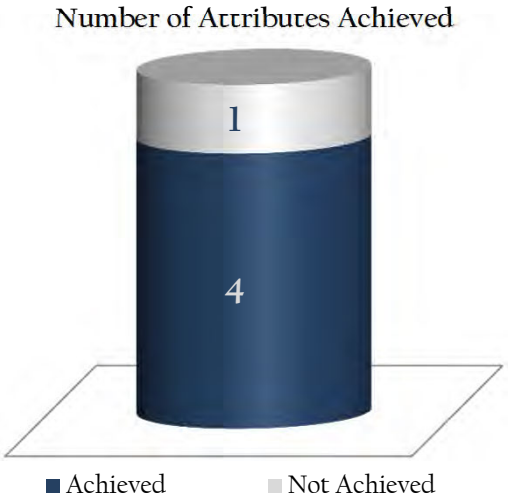


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The OIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The OIFC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	6.7
Percent:	33.3%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The OIFC has achieved 2 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	2	20	6.7	33.3%

Achievement of the Attributes for COC 3

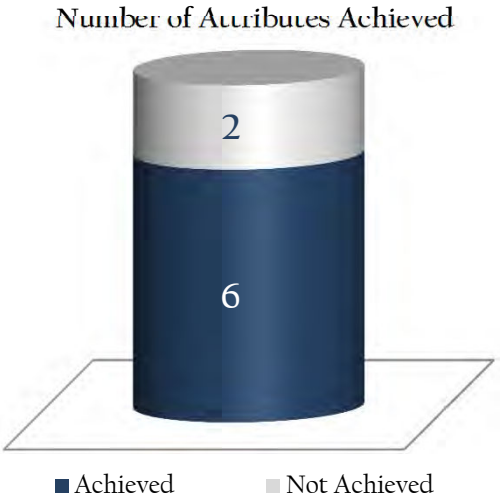
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	15.0
Percent:	75.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The OIFC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The OIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The OIFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The OIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The OIFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Hawaii Pacific Regional Information Clearinghouse

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Pacific Regional Information Clearinghouse (Pac Clear)

Overall Score: 73.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

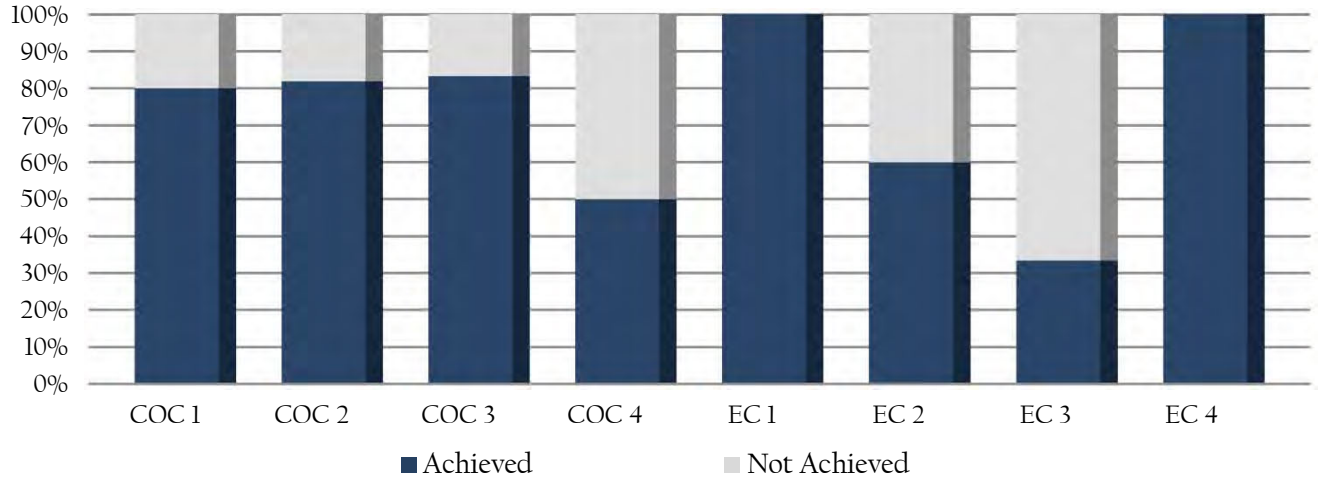
Year Fusion Center Established: 2008

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	4	10.0	50.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

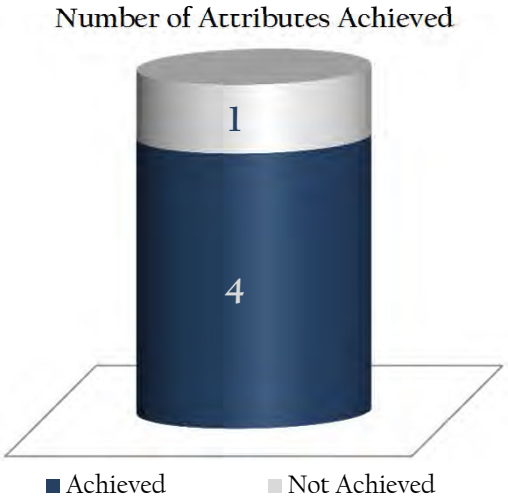


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The Pac Clear has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The Pac Clear has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

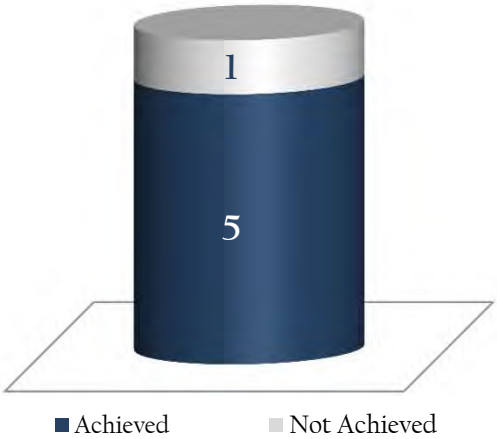
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The Pac Clear has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

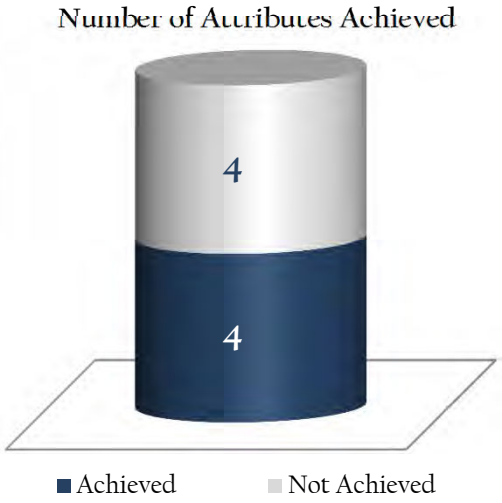
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

COC Score:	10.0
Percent:	50.0%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The Pac Clear has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	4	20	10.0	50.0%

Achievement of the Attributes for COC 4

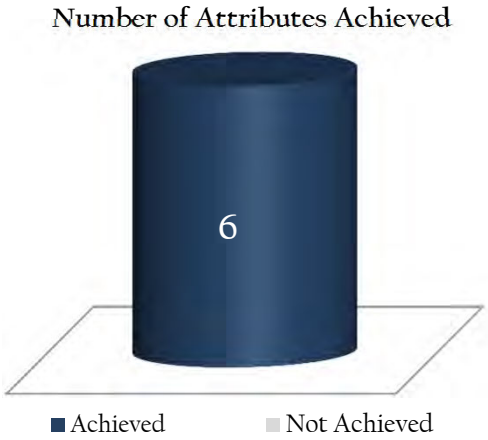
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The Pac Clear has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The Pac Clear has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

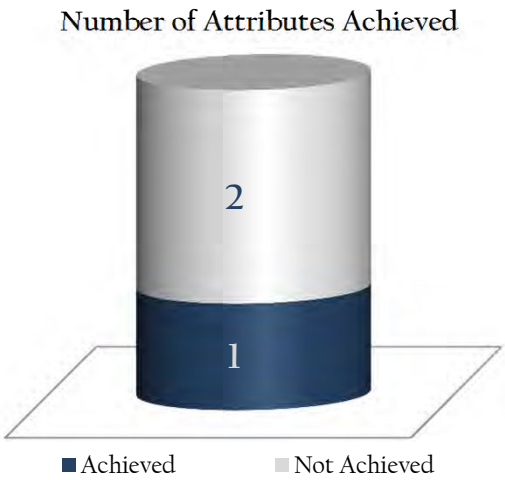
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The Pac Clear has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The Pac Clear has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Pennsylvania Criminal Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Pennsylvania Criminal Intelligence Center (PaCIC)

Overall Score: 72.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 47 full time, 2 part time

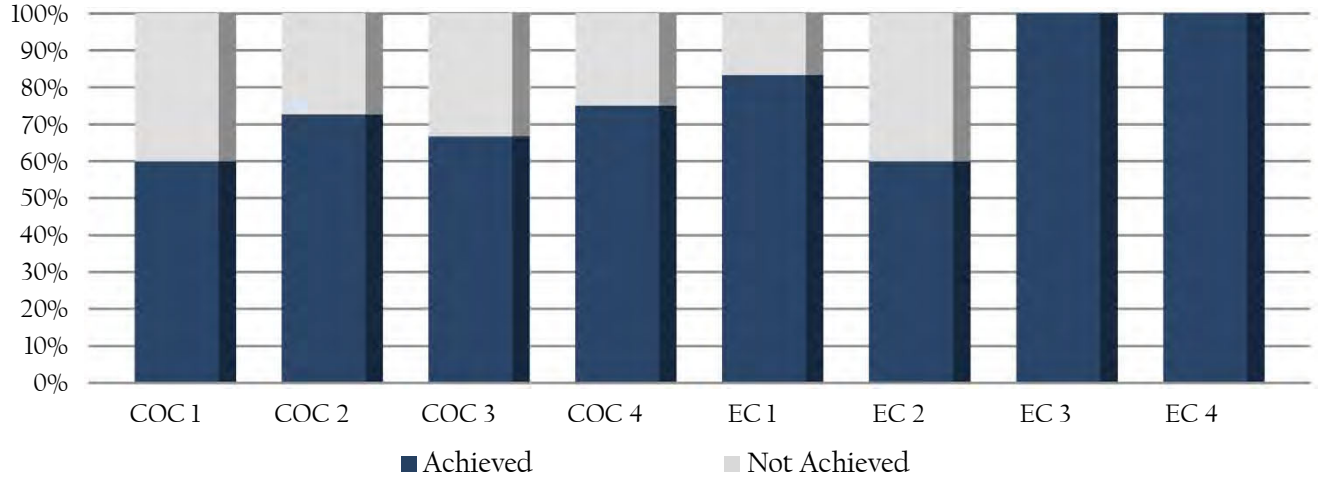
Year Fusion Center Established: 2003

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

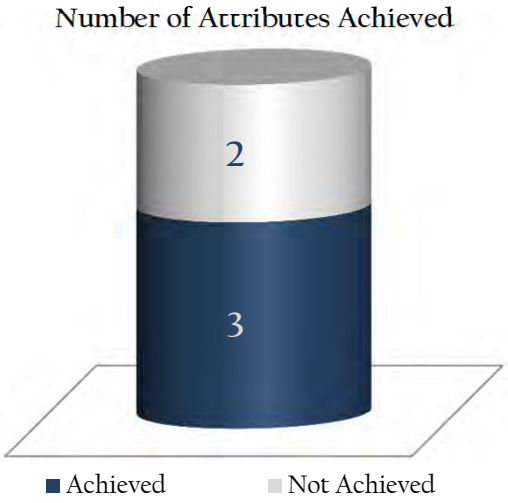


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The PaCIC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The PaCIC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The PaCIC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

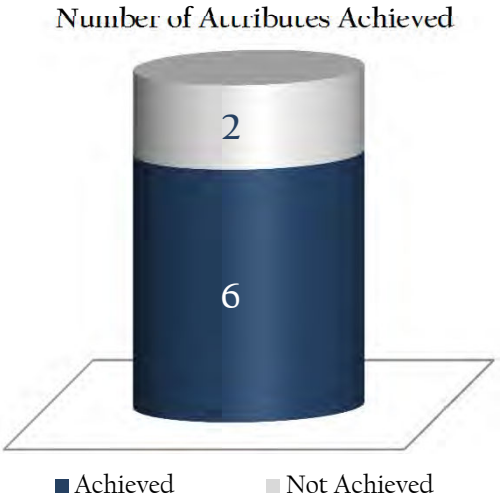
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The PaCIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The PaCIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The PaCIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The PaCIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The PaCIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Southwestern Pennsylvania Region 13 Fusion Center

March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Southwest Pennsylvania Region 13 Taskforce (Region 13)

Overall Score: 75.7

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All Hazards

Staffing Levels: N/A

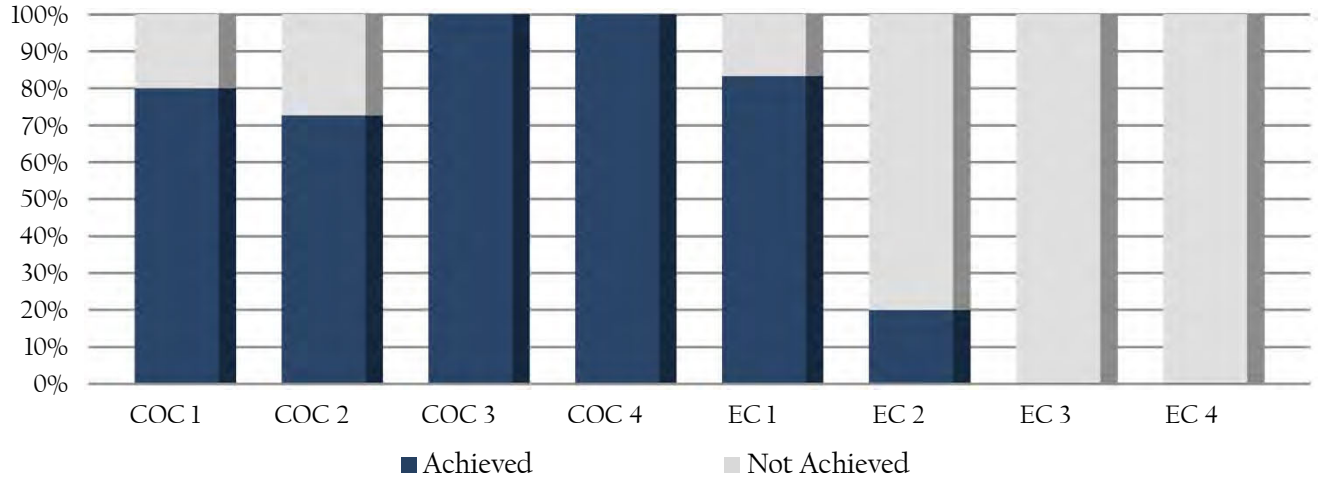
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	6	20.0	100%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	1	1.0	20.0%	3.4	68.3%
EC 3: Communications	3	0	0.0	0.0%	3.3	65.7%
EC 4: Security	6	0	0.0	0.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

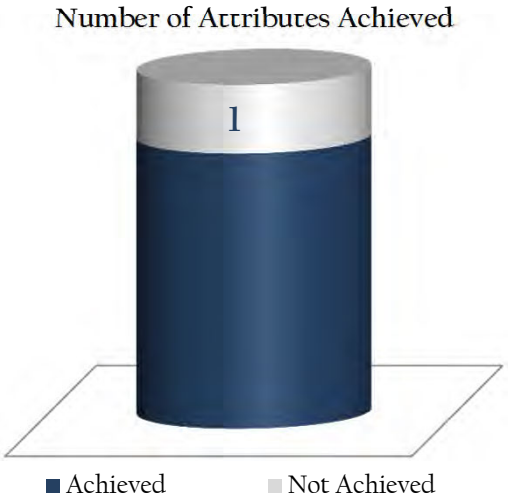


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The Region 13 has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	No
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The Region 13 has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	20.0
Percent:	100%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The Region 13 has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	20	20.0	100%

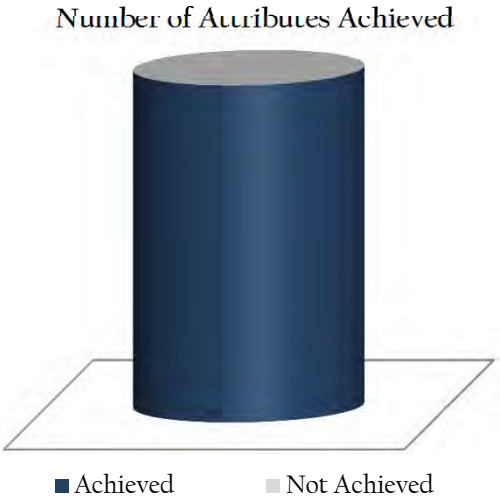
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The Region 13 has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

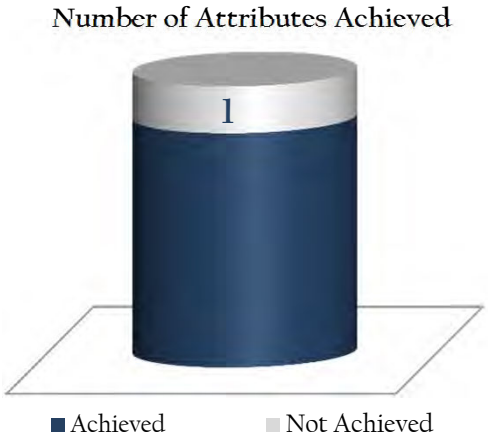
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The Region 13 has 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

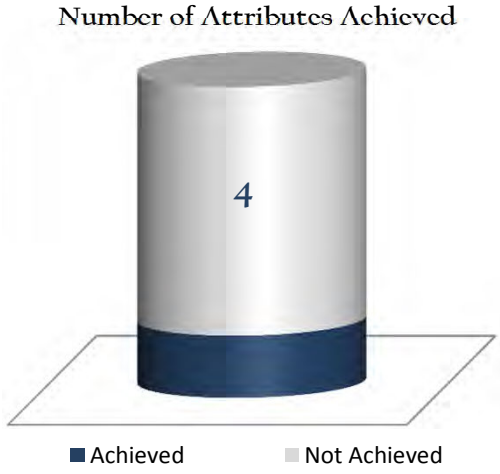
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	1.0
Percent:	20.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The Region 13 has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	1	5	1.0	20.0%

Achievement of the Attributes for EC 2

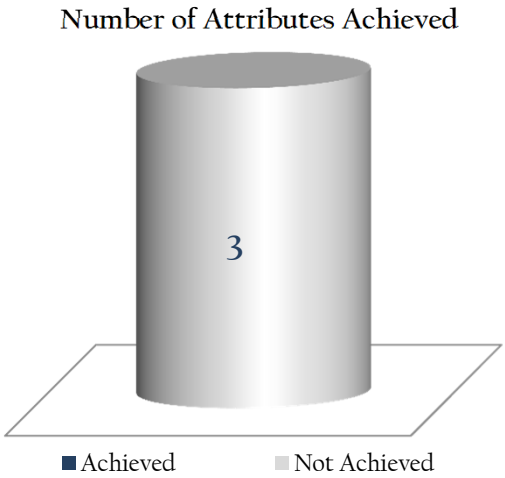
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	0.0
Percent:	0.0%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The Region 13 has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	0	5	0.0	0.0%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	No

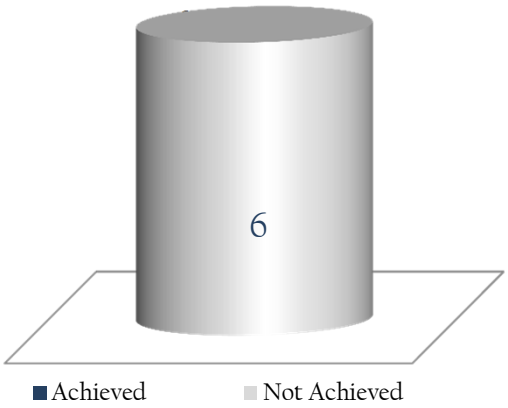
EC 4: Security

EC Score:	0.0
Percent:	0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The Region 13 has achieved 0 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	0	5	0.0	0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	No
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Rhode Island State Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Rhode Island State Fusion Center (RISFC)

Overall Score: 72.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: 9 full time, 0 part time

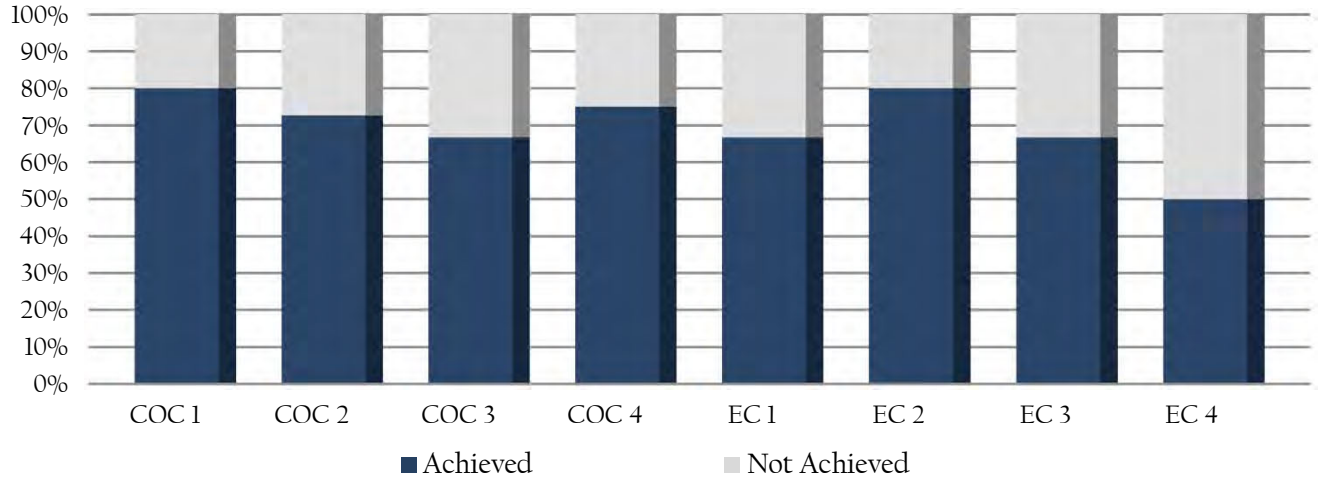
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

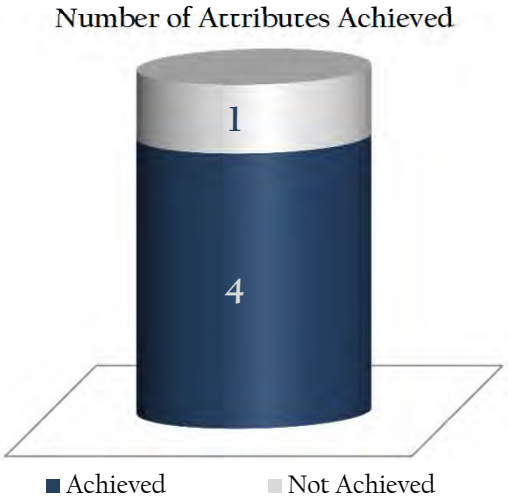


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The RISFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The RISFC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The RISFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

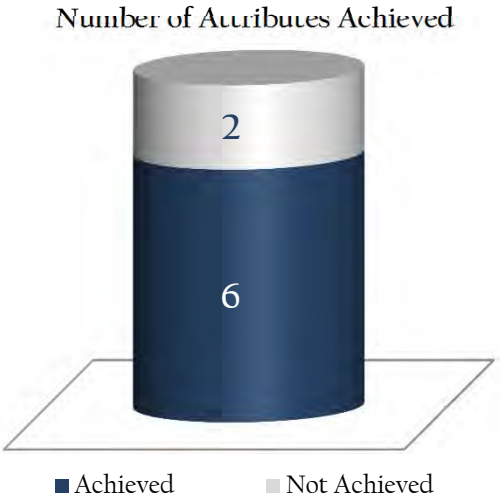
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The RISFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

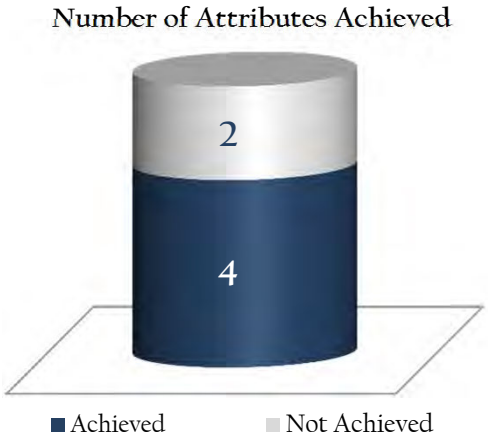
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The RISFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

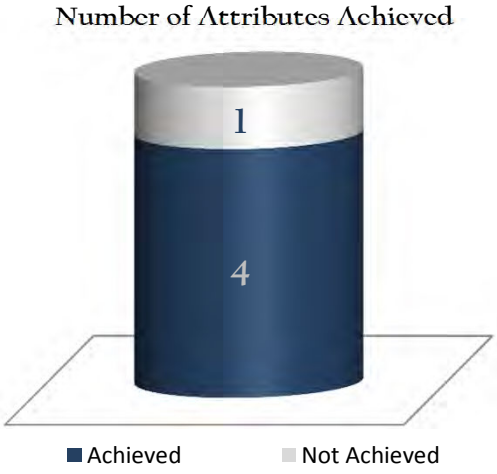
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The RISFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

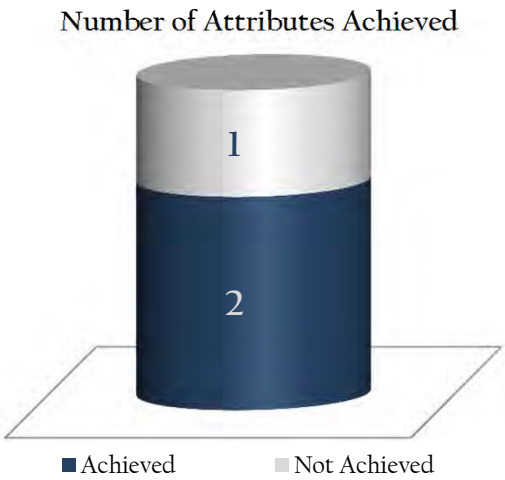
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The RISFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

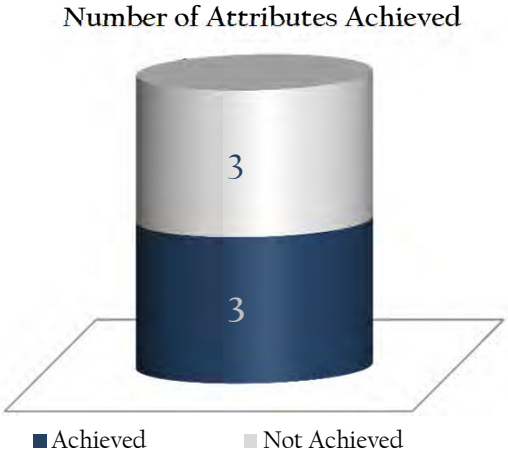
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50.0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The RISFC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Ohio Strategic Analysis and Information Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Strategic Analysis and Information Center (SAIC)

Overall Score: 93.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: Counterterrorism

Staffing Levels: N/A

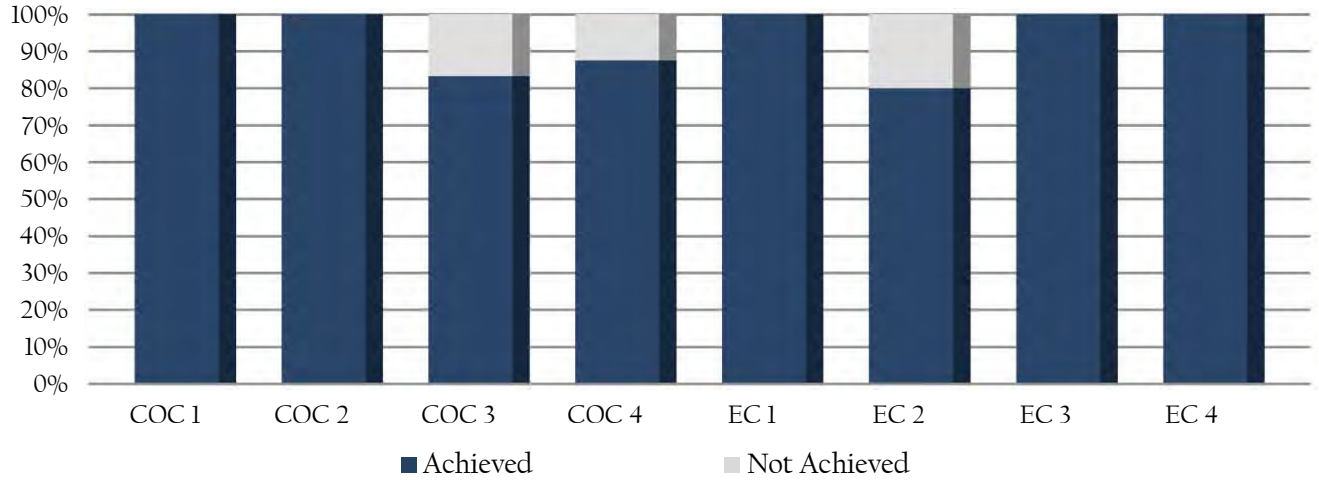
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

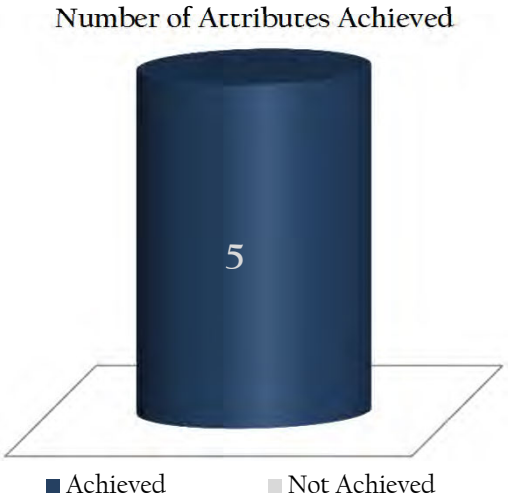


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SAIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SAIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

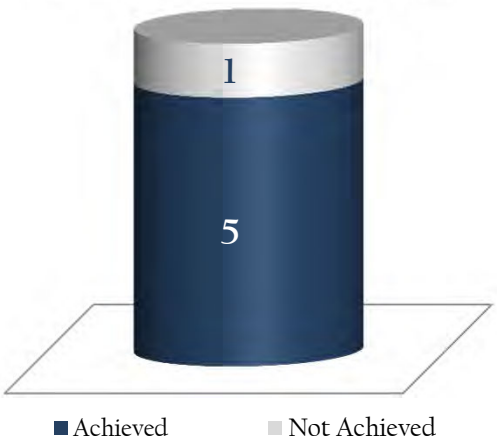
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center has contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SAIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

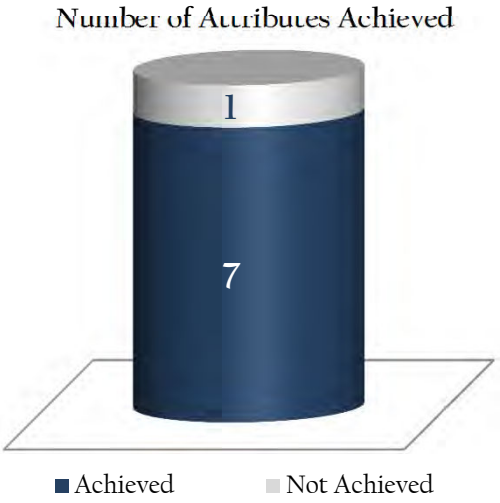
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SAIC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

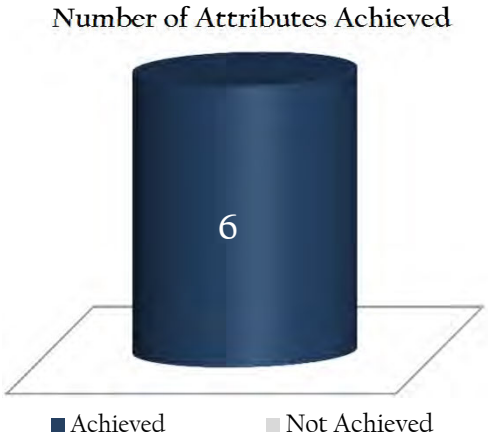
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SAIC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

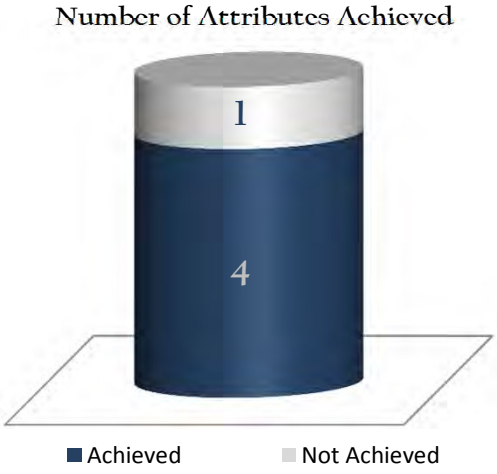
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SAIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SAIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SAIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

San Diego Law Enforcement Coordination Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

San Diego Law Enforcement Coordination Center (SD LECC)

Overall Score:	83.2
National Network Average:	76.8

Demographic Information

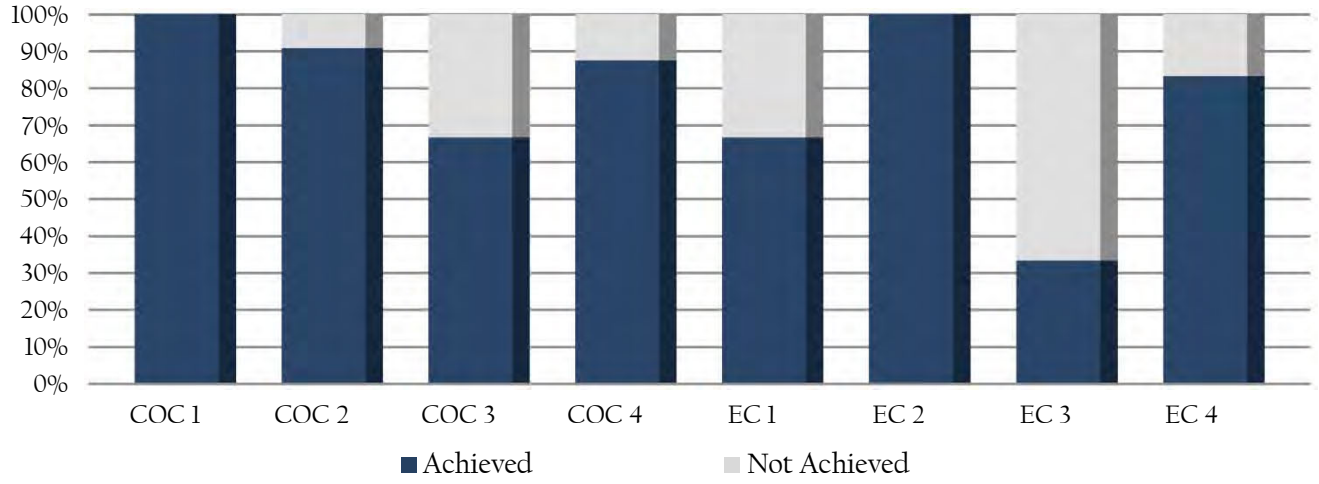
RAC Category: Recognized Fusion Center
Mission: All crimes
Staffing Levels: N/A
Year Fusion Center Established: 2008

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

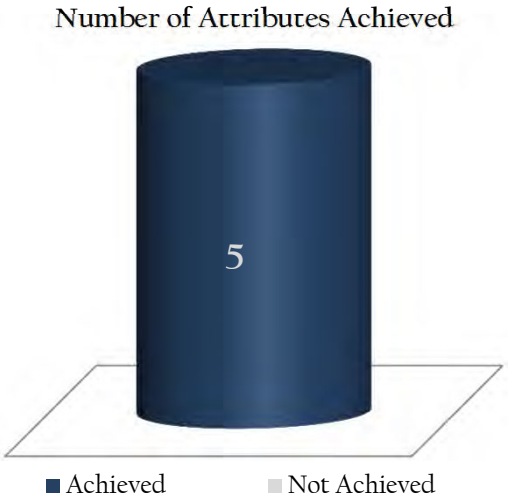


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SD LECC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SD LECC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SD LECC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

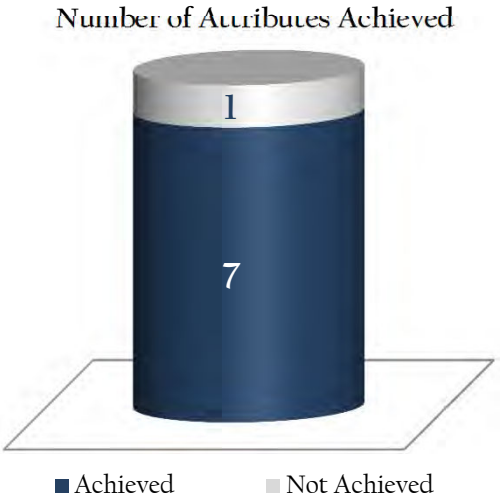
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SD LECC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

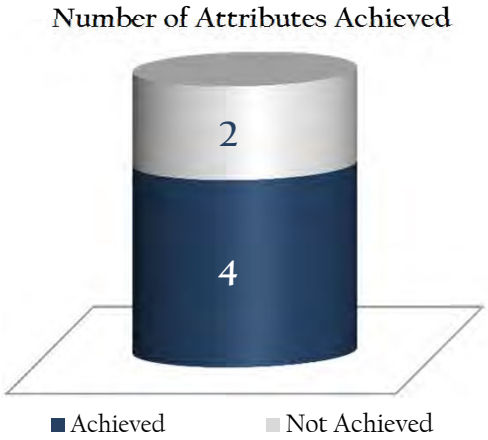
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SD LECC has 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	No
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SD LECC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

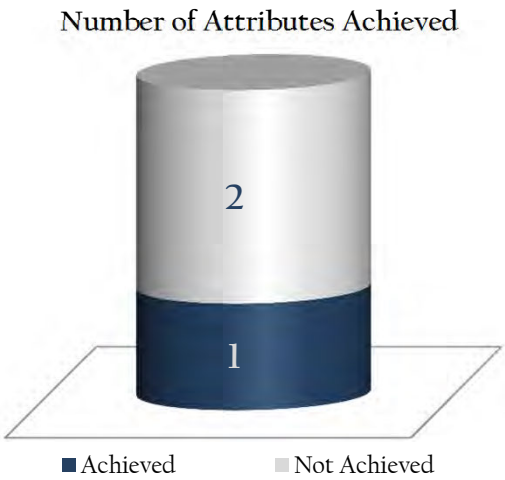
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SD LECC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SD LECC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Southeast Florida Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Southeast Florida Fusion Center (SEFFC)

Overall Score: 94.2

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 74 full time, 3 part time

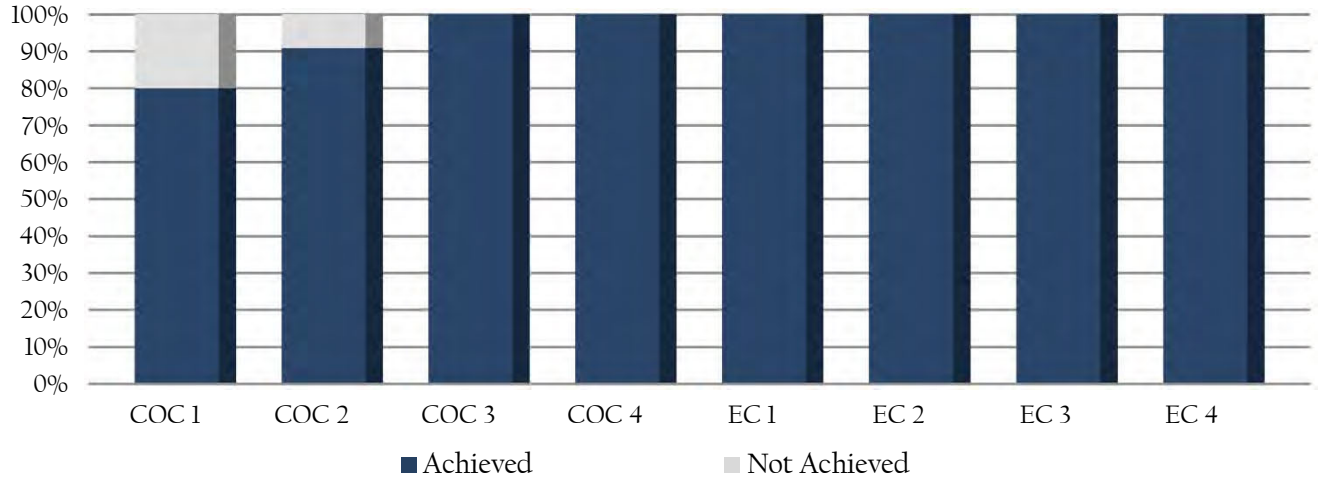
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	6	20.0	100%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

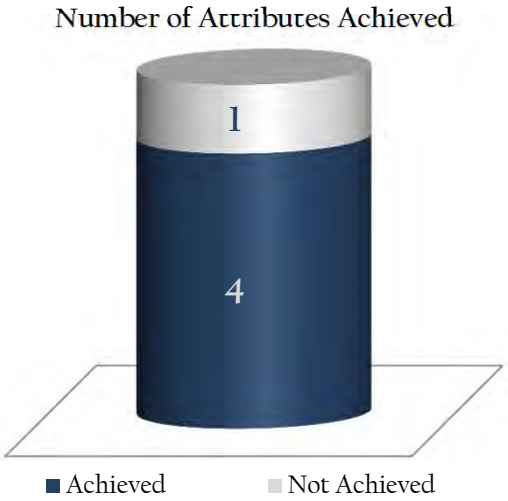


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SEFFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SEFFC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	20.0
Percent:	100%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SEFFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	20	20.0	100%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SEFFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

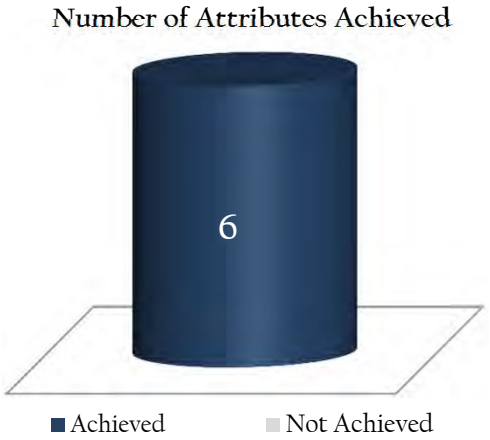
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SEFFC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SEFFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SEFFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SEFFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
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Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Southeastern Wisconsin Threat Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Southeastern Wisconsin Threat Analysis Center (SEWTAC)

Overall Score: 88.0

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 37 full time, 6 part time

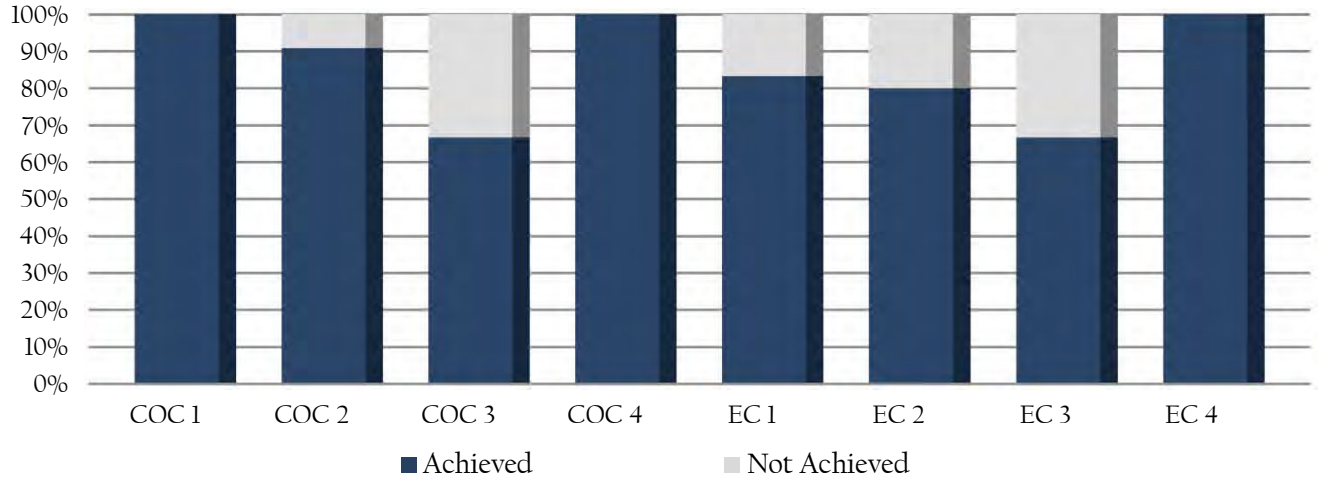
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	10	18.2	90.9%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

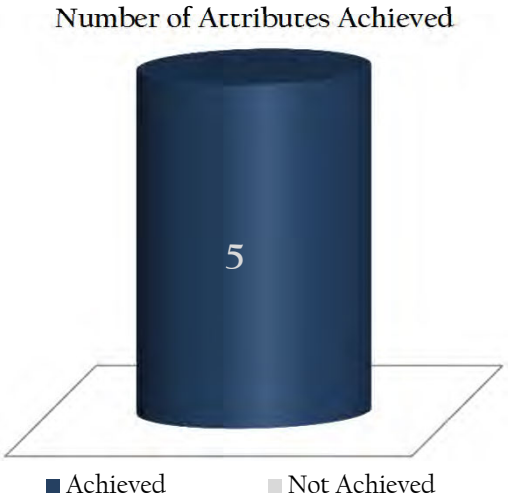


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The STAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	18.2
Percent:	90.9%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The STAC has achieved 10 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	10	20	18.2	90.9%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The STAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The STAC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The STAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

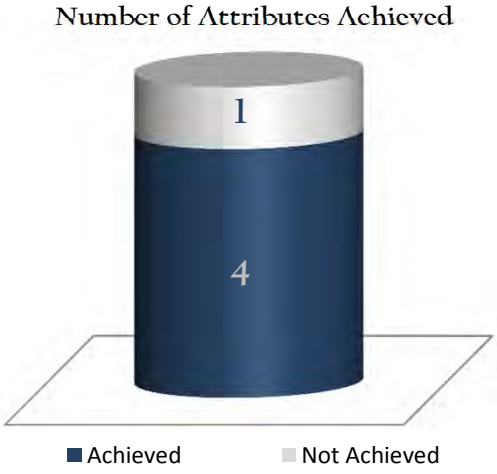
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The STAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

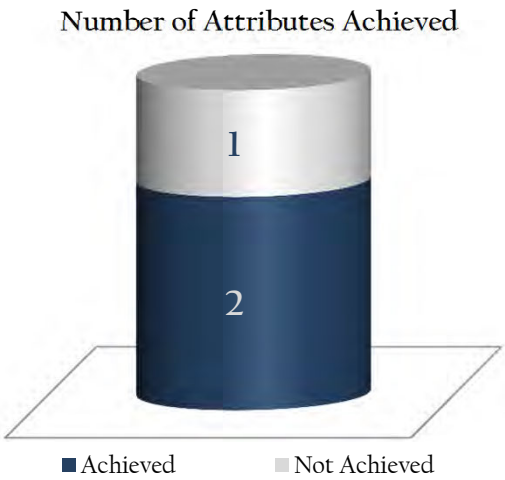
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The STAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**Yes**

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The STAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Utah Statewide Information and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Utah Statewide Information and Analysis Center (SIAC)

Overall Score: 78.7

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: 12 full time, 4 part time

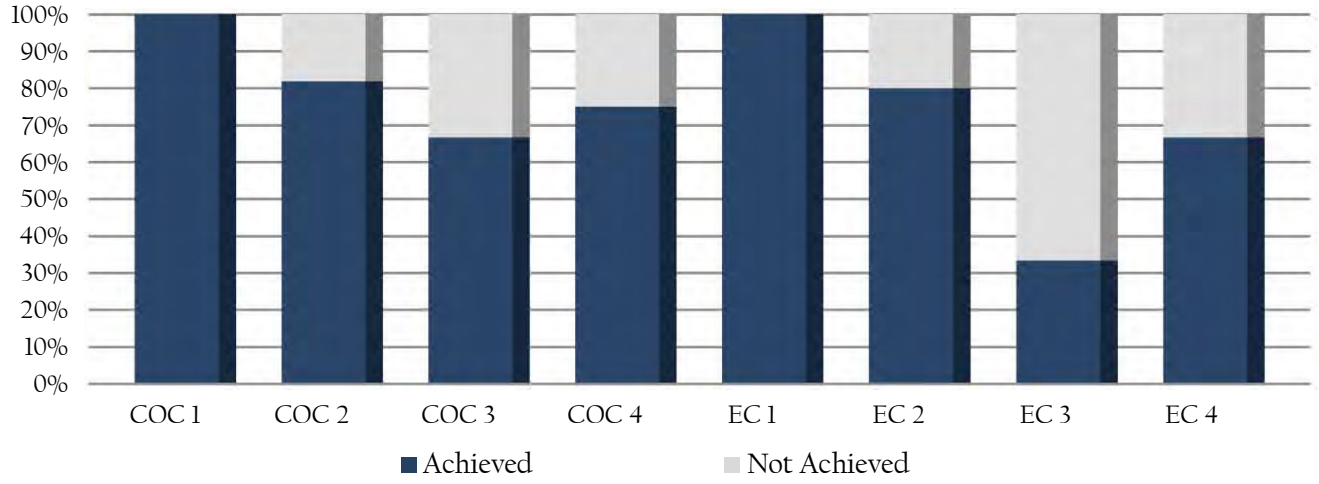
Year Fusion Center Established: 2008

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

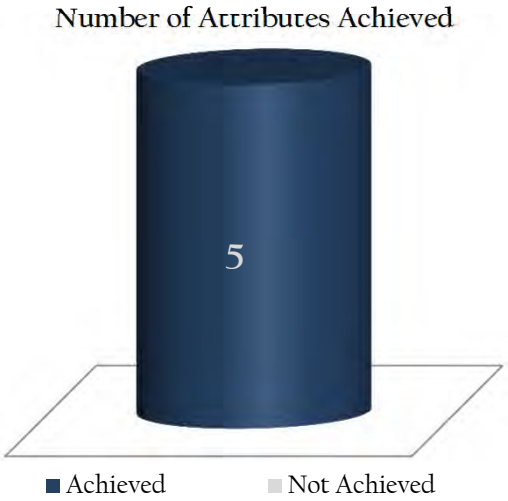


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SIAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SIAC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

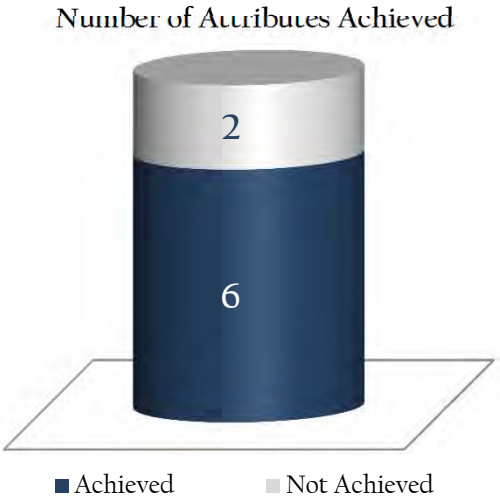
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SIAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

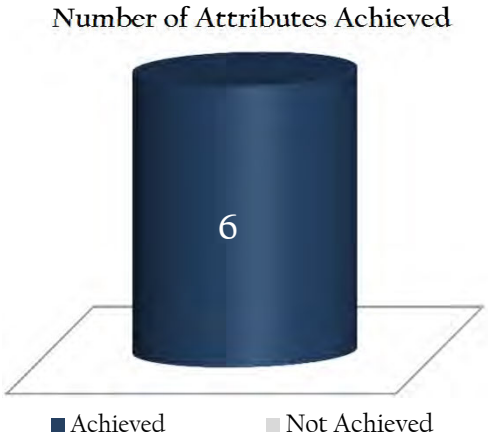
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	No
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SIAC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

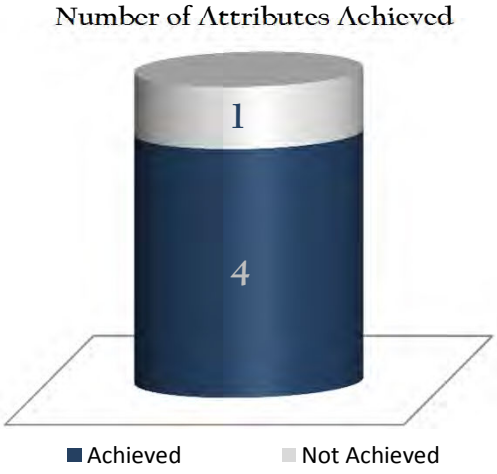
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SIAC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

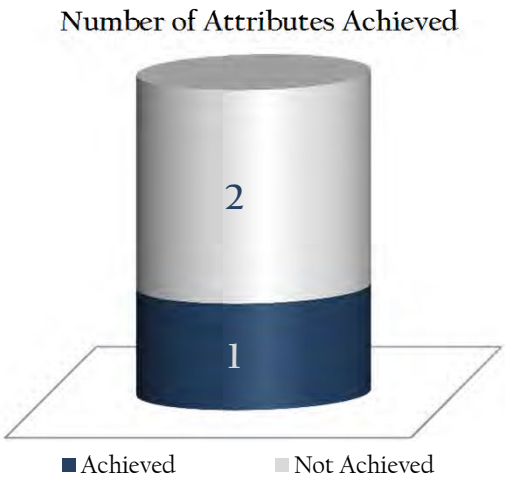
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SIAC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SIAC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

St. Louis Fusion Center

Revised March 2012

United States
Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

St. Louis Fusion Center (SLFC)

Overall Score: 78.2

National Network Average: 76.8

Demographic Information

RAC Category: Recognized Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

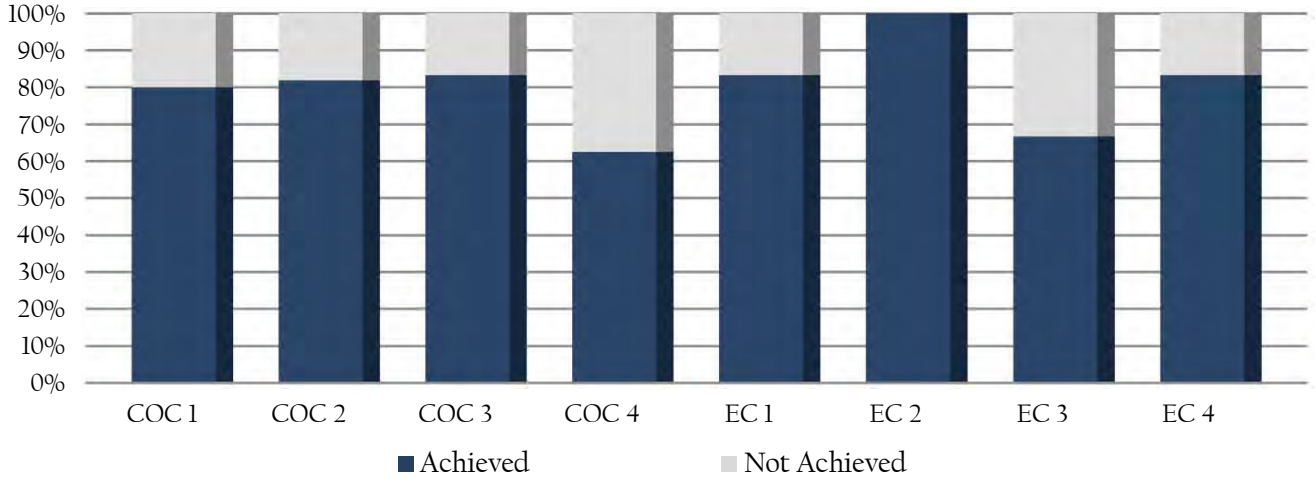
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	62.5%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

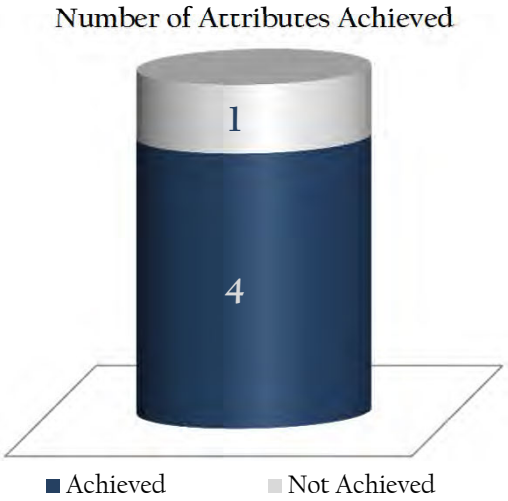


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SLFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SLFC has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

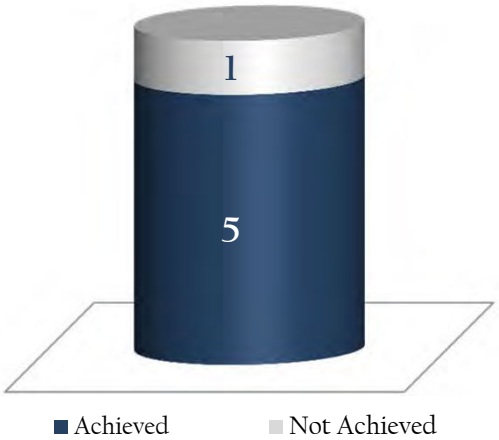
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessment	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SLFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

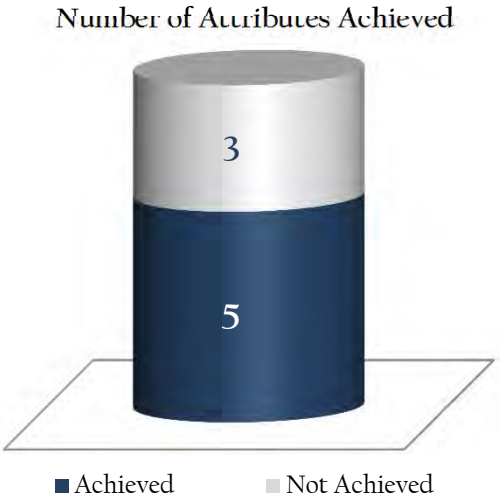
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SLFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SLFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SLFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

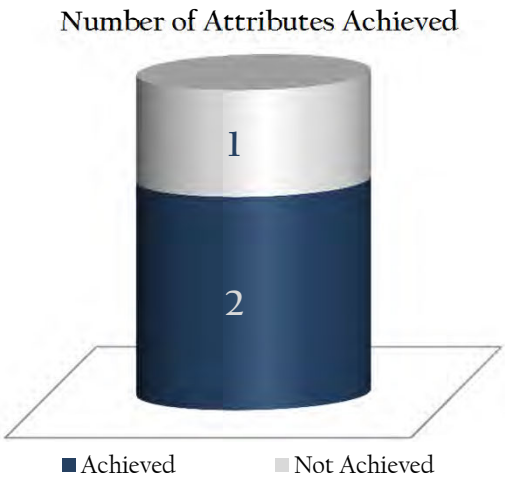
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SLFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SLFC has achieved 5 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
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In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Southern Nevada Counter-Terrorism Center

Revised March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Southern Nevada Counter-Terrorism Center (SNCTC)

Overall Score: 67.9

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

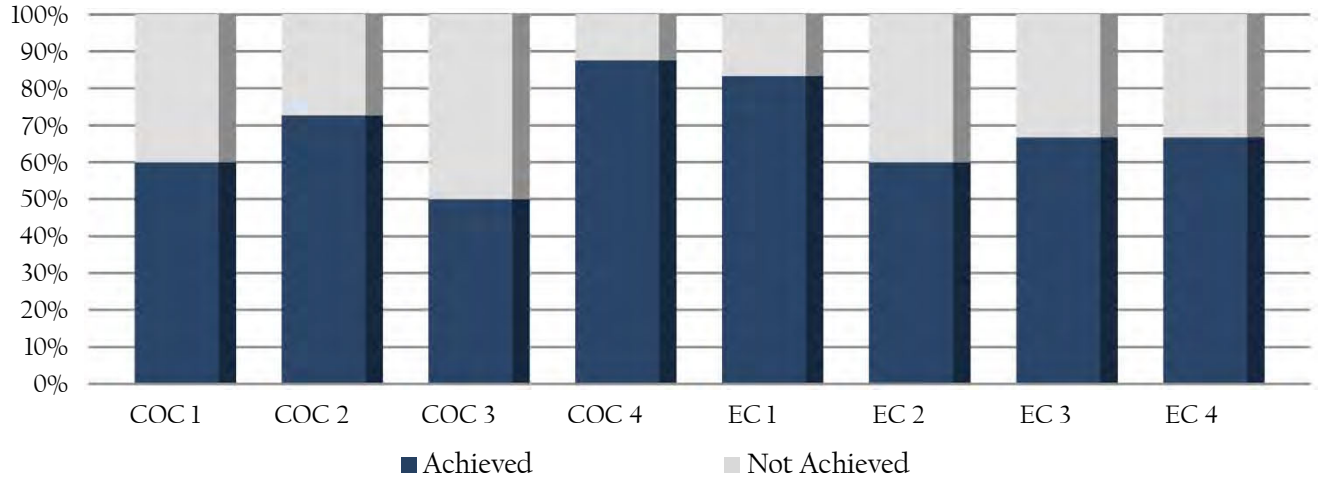
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

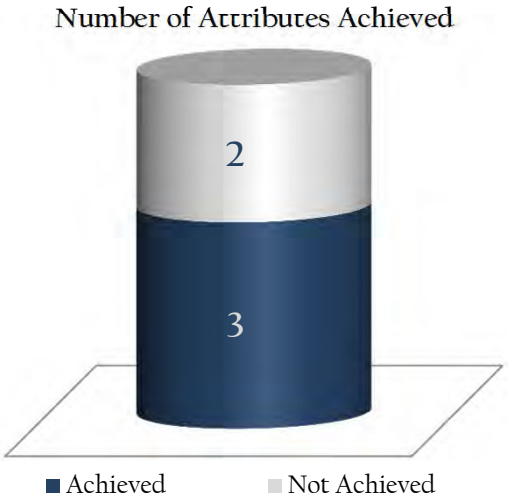


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SNCTC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SNCTC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SNCTC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

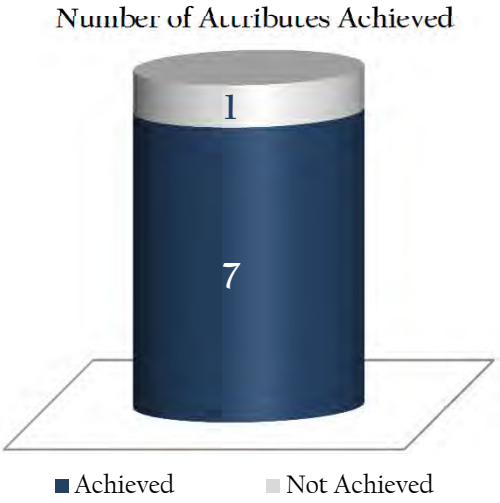
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SNCTC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SNCTC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SNCTC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

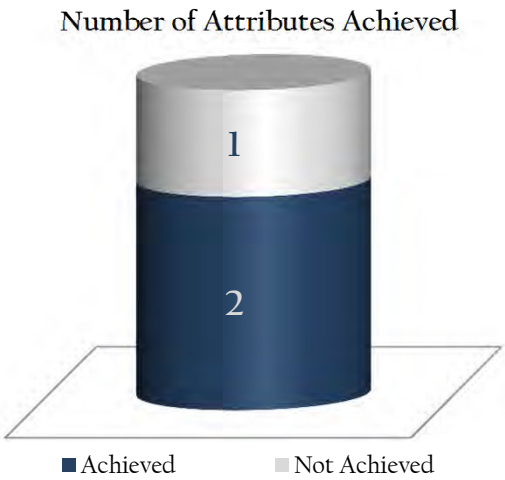
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SNCTC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SNCTC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

South Dakota Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

South Dakota Fusion Center (SDFC)

Overall Score: 67.6

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: 3 full time, 0 part time

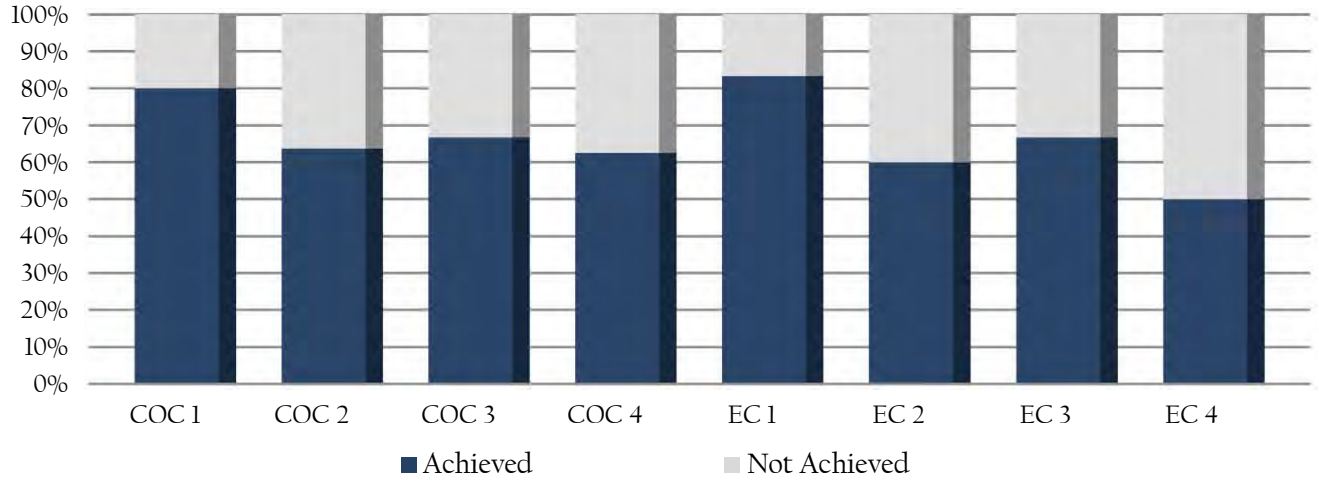
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	7	12.7	63.6%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

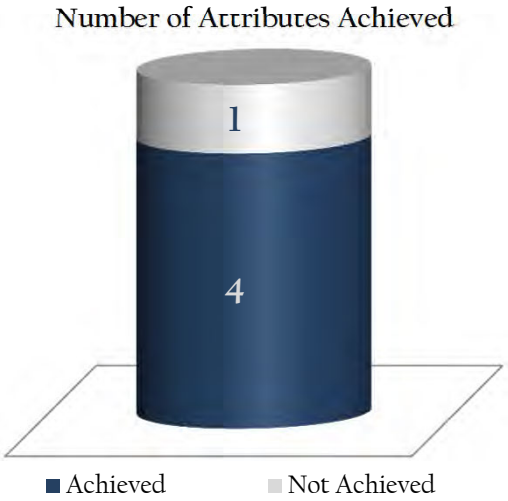


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The SDFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	12.7
Percent:	63.6%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The SDFC has achieved 7 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	7	20	12.7	63.6%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	No
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The SDFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

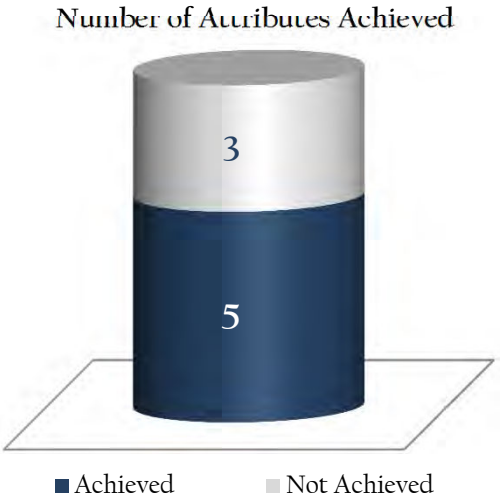
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	No
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The SDFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	No
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The SDFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The SDFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

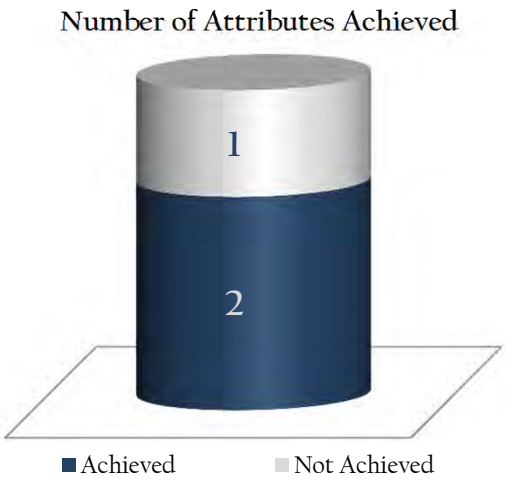
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The SDFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

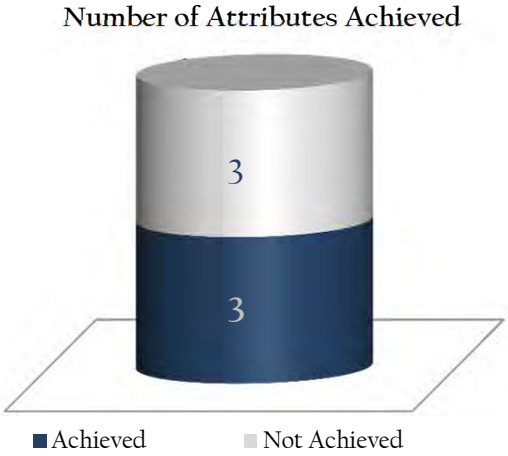
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The SDFC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Illinois Statewide Terrorism and Intelligence Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Illinois Statewide Terrorism and Intelligence Center (STIC)

Overall Score: 85.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

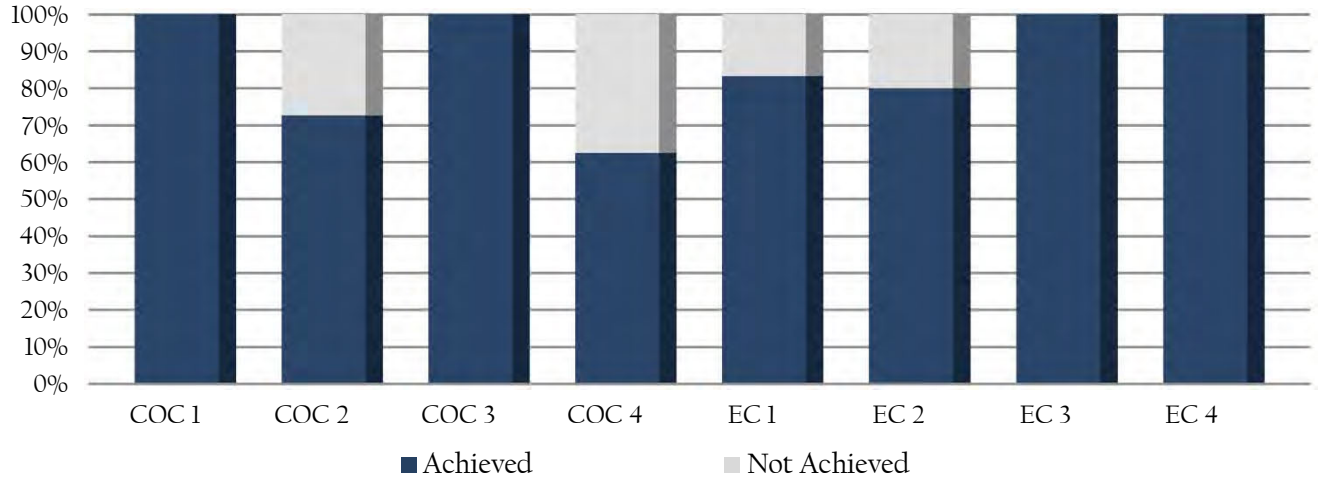
Year Fusion Center Established: 2003

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	6	20.0	100%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

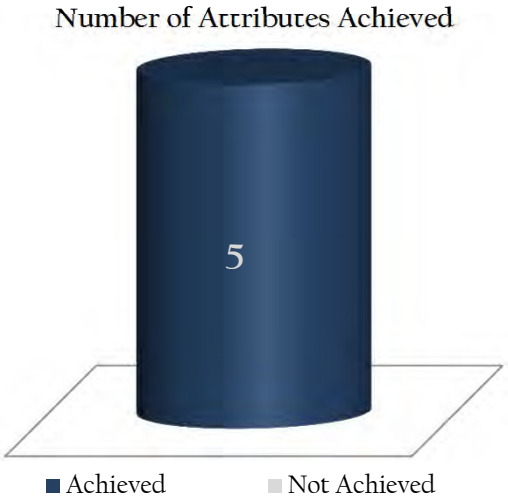


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The STIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The STIC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	20.0
Percent:	100%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The STIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	20	20.0	100%

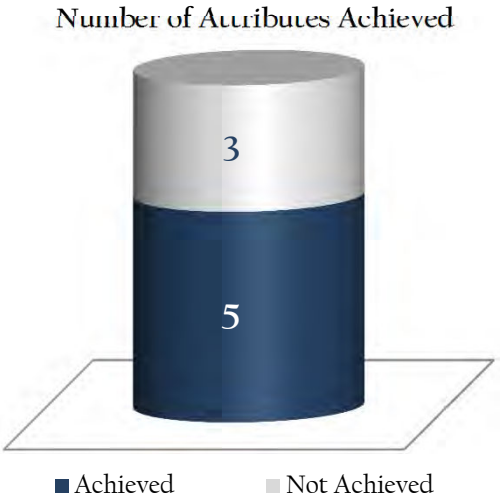
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The STIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	No
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The STIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

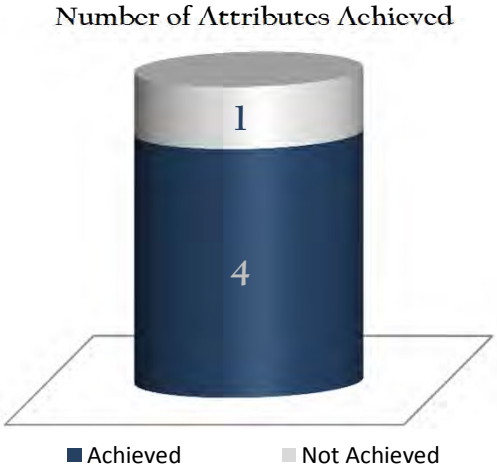
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The STIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The STIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The STIC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Tennessee Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

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Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Tennessee Fusion Center (TFC)

Overall Score: 94.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 34 full time, 6 part time

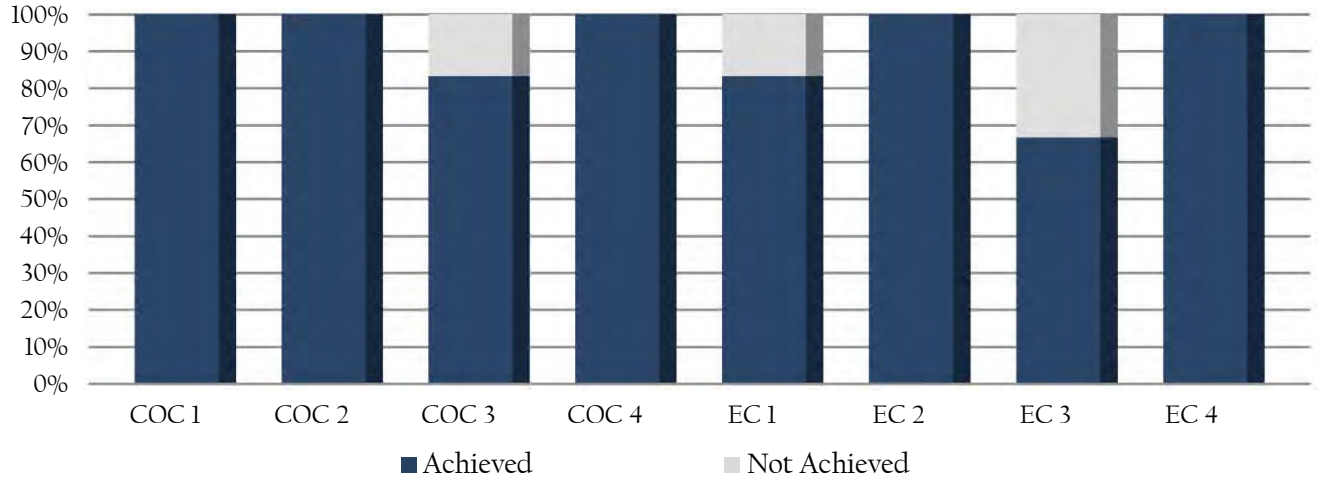
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	5	5.0	100%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

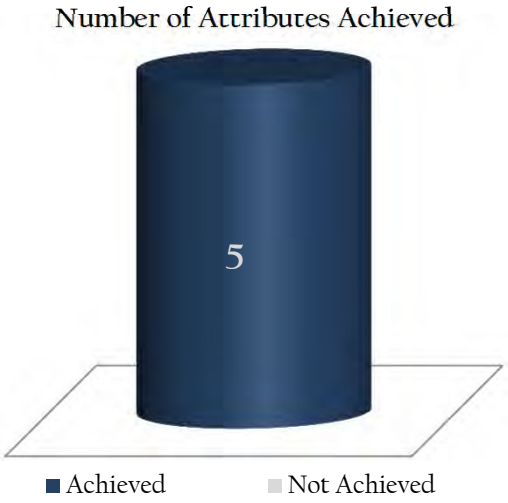


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The TFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The TFC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

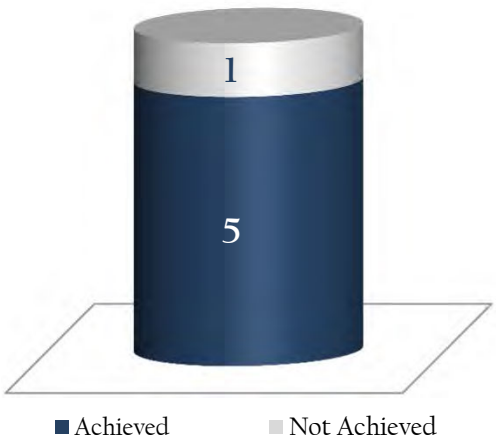
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The TFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The TFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The TFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	5.0
Percent:	100%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The TFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	5	5.0	100%

Achievement of the Attributes for EC 2

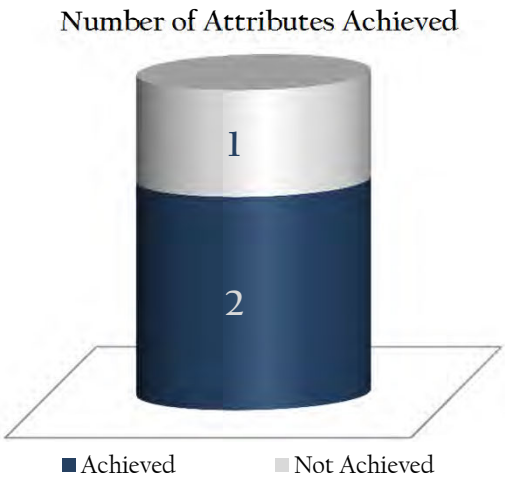
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The TFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The TFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Oregon Terrorism Information Threat Assessment Network Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Oregon Terrorism Information Threat Assessment Network (TITAN) Fusion Center

Overall Score: 82.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 18 full time, 8 part time

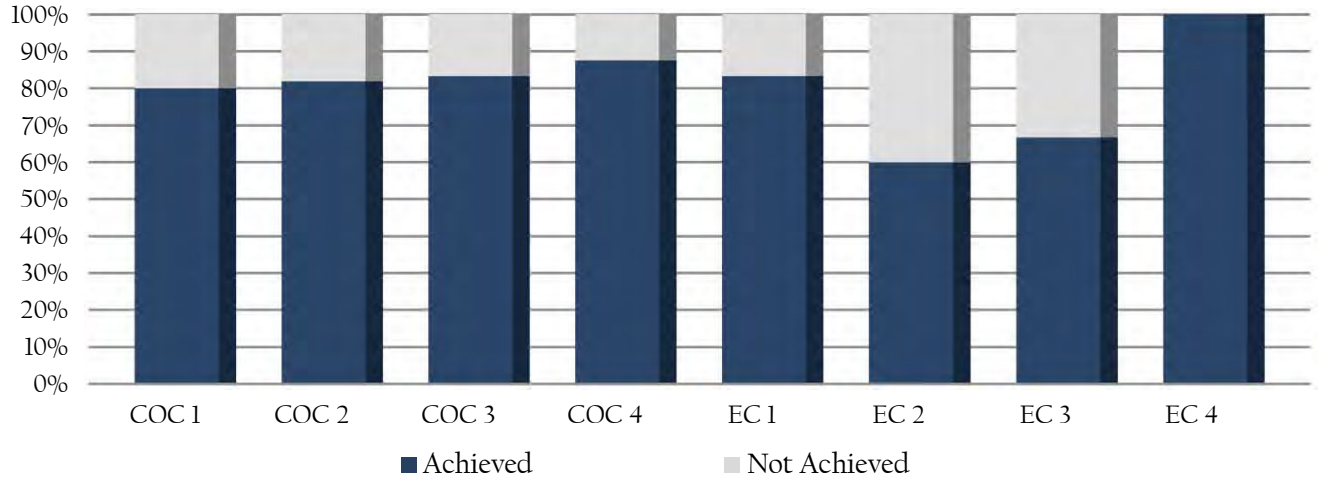
Year Fusion Center Established: 2007

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	9	16.4	81.8%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

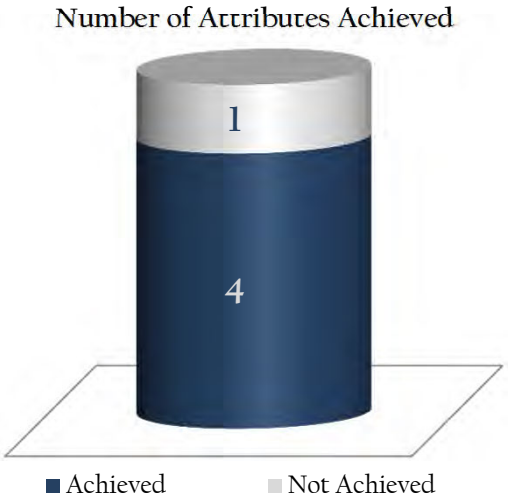


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The TITAN has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	16.4
Percent:	81.8%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The TITAN has achieved 9 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	9	20	16.4	81.8%

Achievement of the Attributes for COC 2

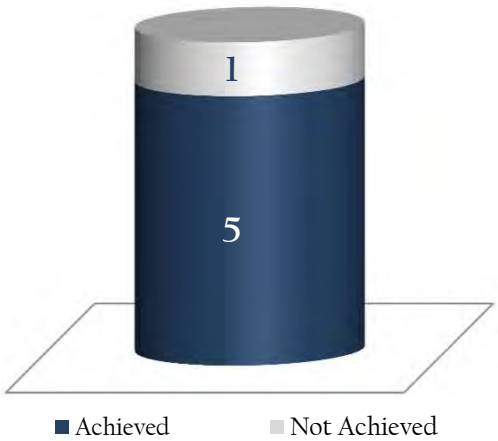
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The TITAN has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

Achievement of the Attributes for COC 3

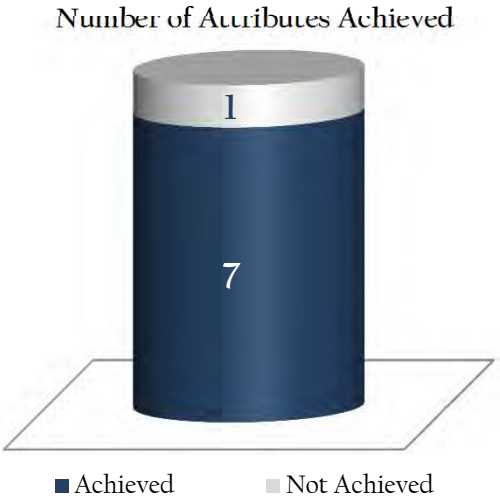
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

COC Score:	17.5
Percent:	87.5%

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The TITAN has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The TITAN has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The TITAN has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

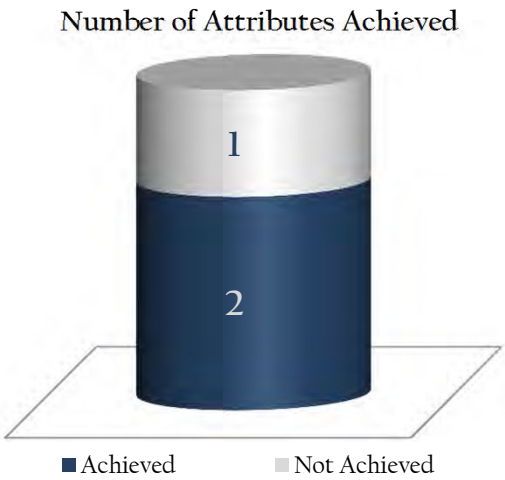
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The TITAN has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The TITAN has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Texas Fusion Center

March 2012

United States Department of Justice

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Introduction

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Texas Fusion Center (TxFC)

Overall Score: 89.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

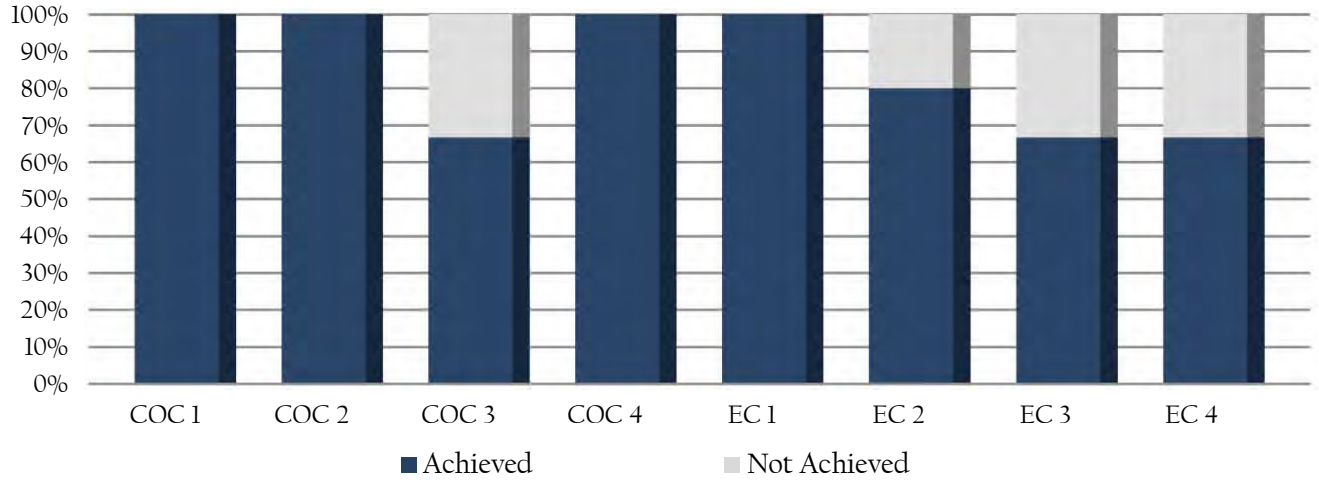
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	6	5.0	100%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	4	3.3	66.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes



COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The TXFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

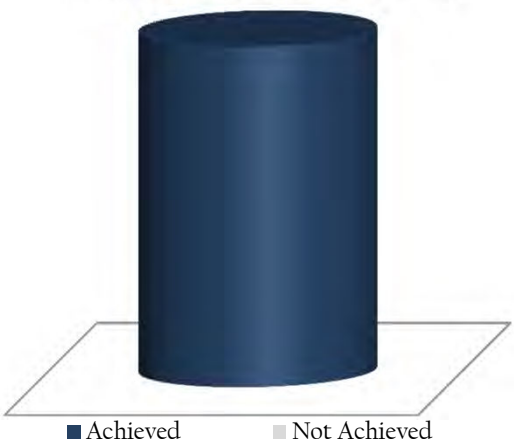
COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The TXFC has achieved 11 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

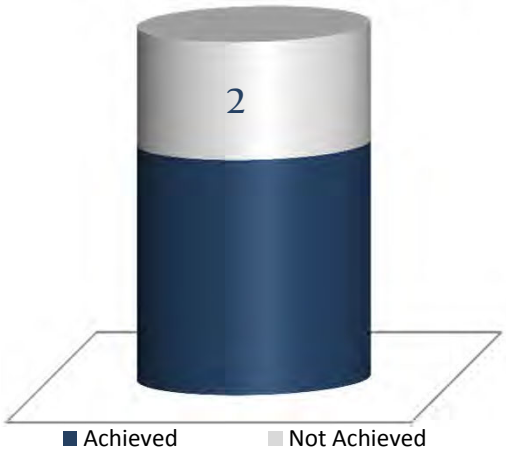
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The TXFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The TXFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

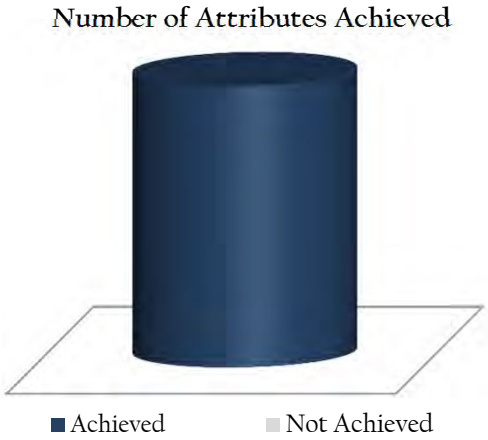
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	5.0
Percent:	100%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The TXFC has achieved 6 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 1

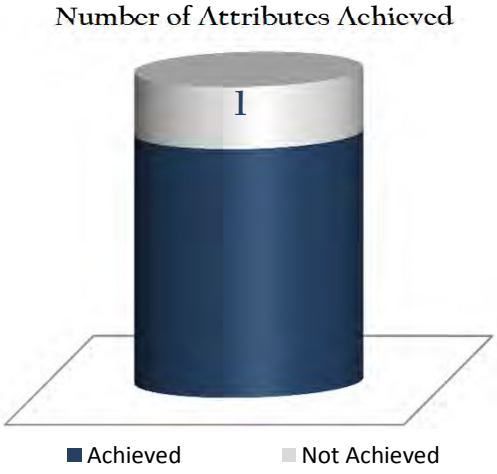
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	Yes

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The TXFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

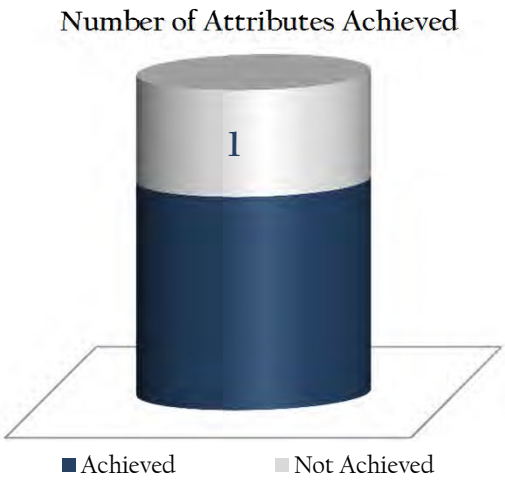
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The TXFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	3.3
Percent:	67%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. EC 4 has 6 attributes worth 0.83 points **each. The TXFC has achieved 4 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	67%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Vermont Information and Analysis Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Vermont Information and Analysis Center (VIAC)

Overall Score: 61.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes

Staffing Levels: N/A

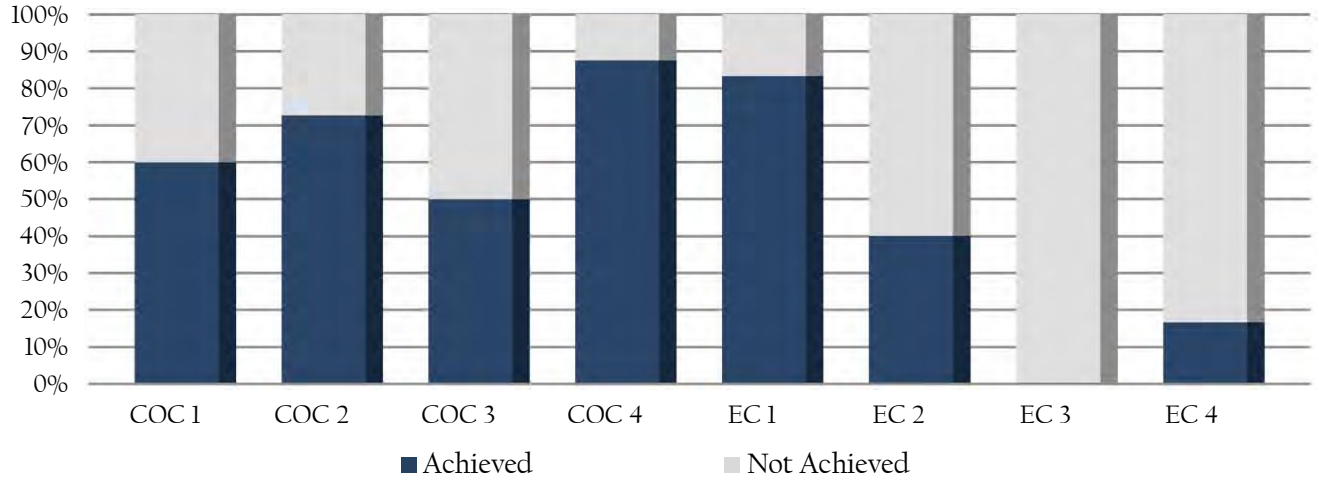
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	3	12.0	60.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	3	10.0	50.0%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	2	2.0	40.0%	3.4	68.3%
EC 3: Communications	3	0	0.0	0.0%	3.3	65.7%
EC 4: Security	6	1	0.8	16.7%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

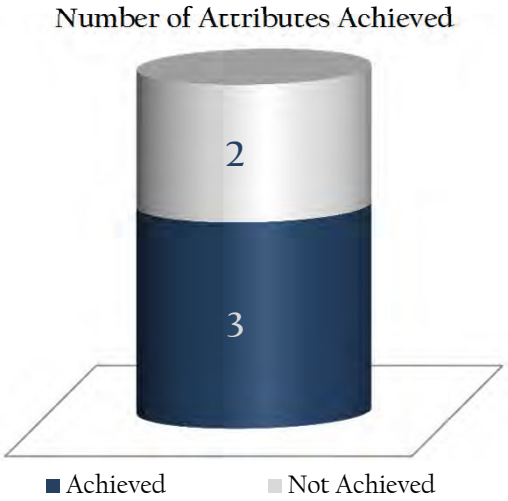


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	12.0
Percent:	60.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The VIAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	20	12.0	60.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	No
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The VIAC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	No
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	10.0
Percent:	50.0%

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The VIAC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	20	10.0	50.0%

Achievement of the Attributes for COC 3

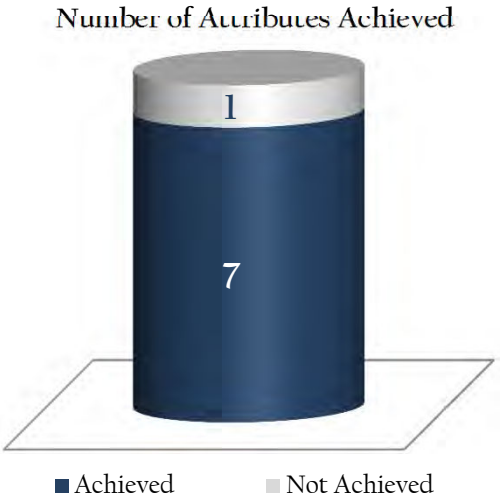
Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	No
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The VIAC has achieved 7 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The VIAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

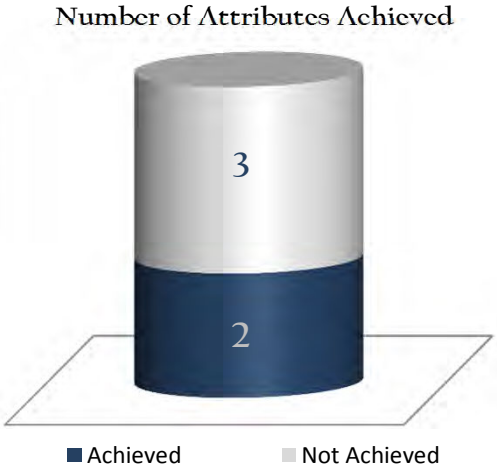
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	2.0
Percent:	40.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The VIAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	2	5	2.0	40.0%

Achievement of the Attributes for EC 2

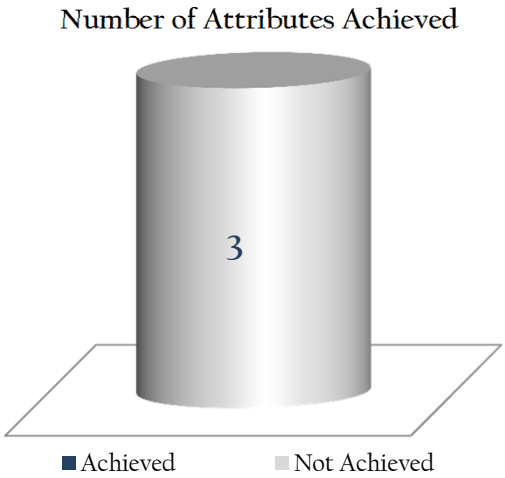
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	0.0
Percent:	0.0%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The VIAC has achieved 0 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	0	5	0.0	0.0%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	No
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	No

EC 4: Security

EC Score:	0.8
Percent:	17%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The VIAC has achieved 1 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	1	5	0.8	17%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	No
5. Fusion center has access to the Central Verification System (CVS)	No
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Virginia Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Virginia Fusion Center (VFC)

Overall Score: 97.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 40 full time, 0 part time

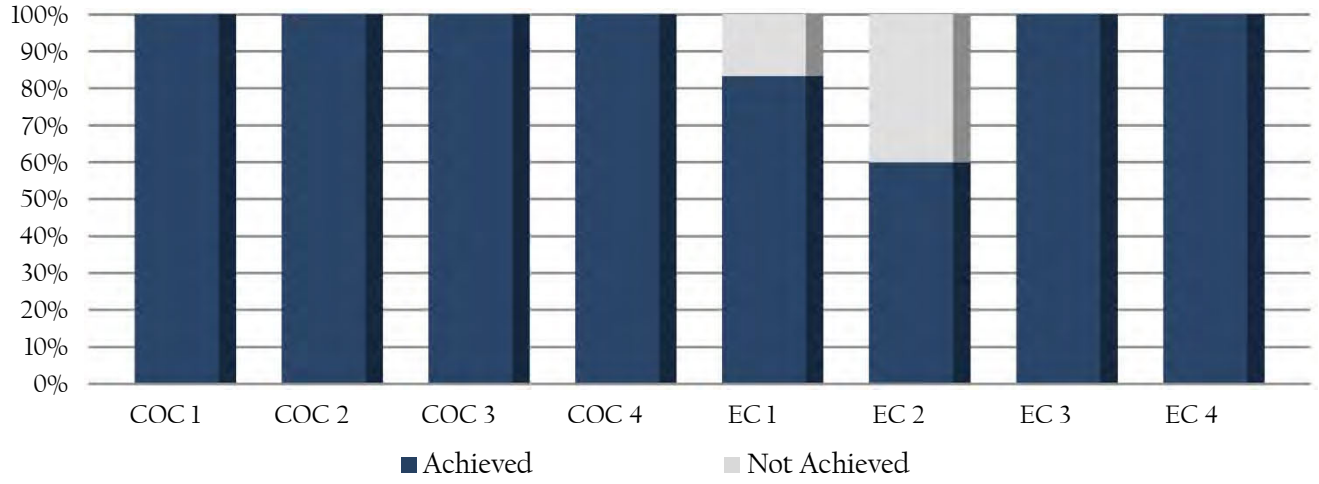
Year Fusion Center Established: 2005

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	6	20.0	100%	13.1	65.7%
COC 4: Gather	8	8	20.0	100%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

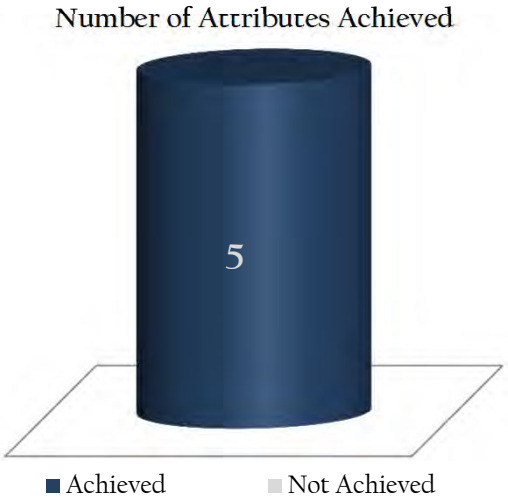


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The VFC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The VFC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	20.0
Percent:	100%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The VFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	20	20.0	100%

Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	20.0
Percent:	100%

Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The VFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	8	20	20.0	100%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	Yes
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The VFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The VFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The VFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The VFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
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4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Washington Regional Threat and Analysis Center

Revised March 2012

United States Department of Justice

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In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Washington Regional Threat and Analysis Center (WRTAC)

Overall Score:	81.8
National Network Average:	76.8

Demographic Information

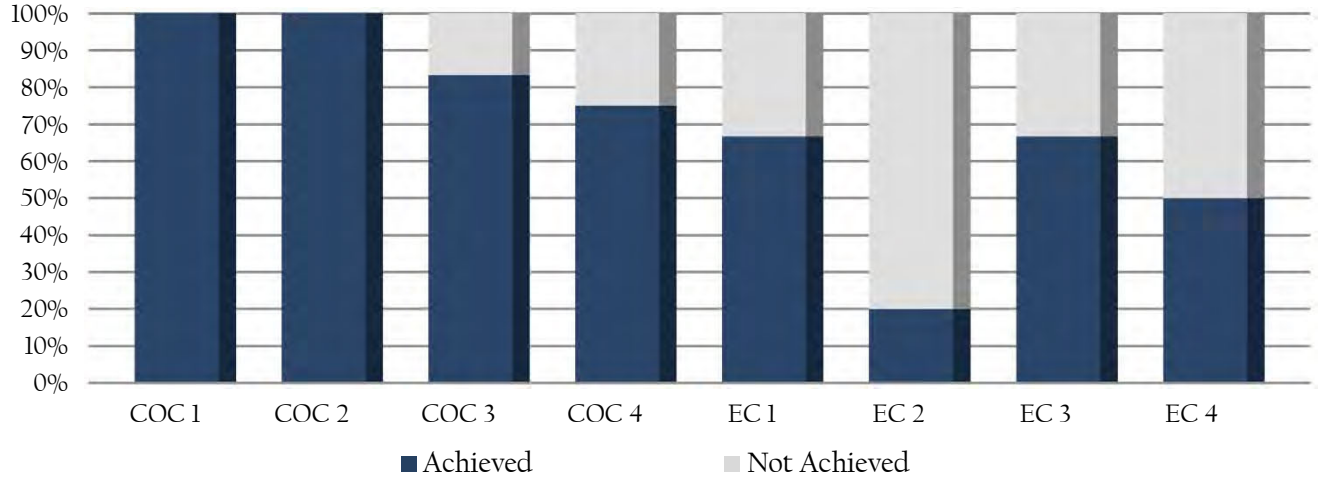
RAC Category: Primary State Fusion Center
Mission: All crimes, all hazards, counterterrorism
Staffing Levels: 10 full time, 0 part time
Year Fusion Center Established: 2008

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	6	15.0	75.0%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	1	1.0	20.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	3	2.5	50.0%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

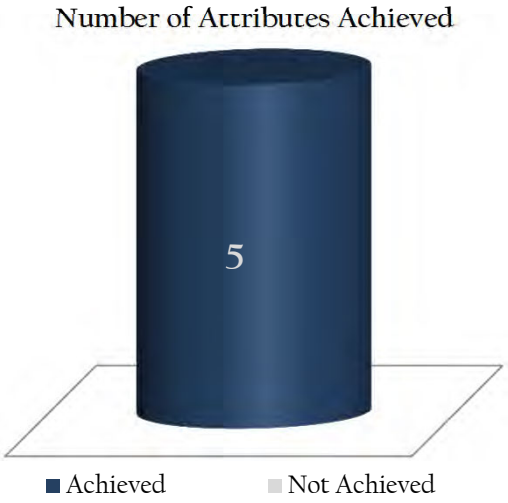


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The WRTAC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The WRTAC has achieved 11 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

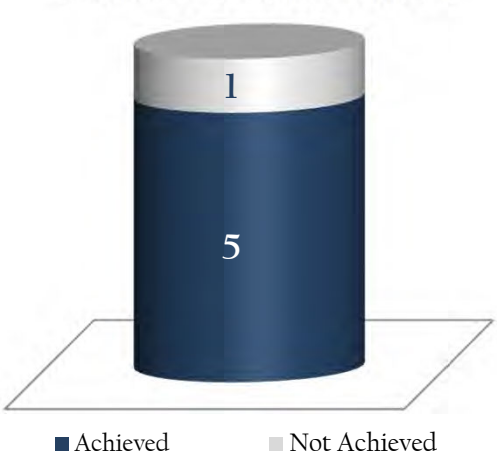
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The WRTAC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

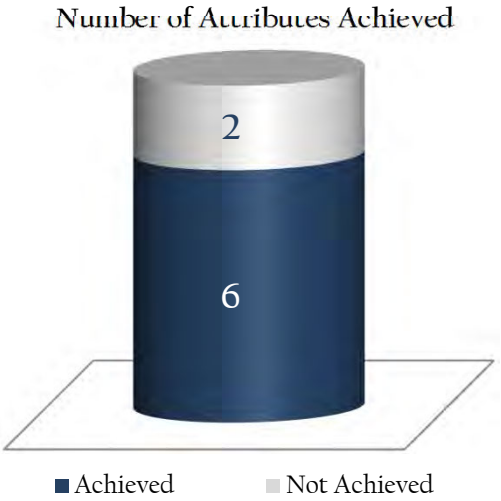
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	15.0
Percent:	75.0%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The WRTAC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	6	20	15.0	75.0%

Achievement of the Attributes for COC 4

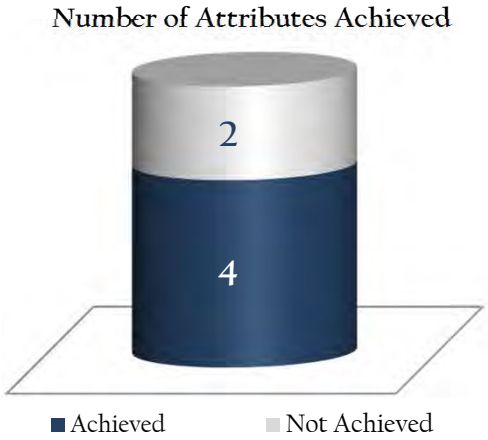
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The WRTAC has 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

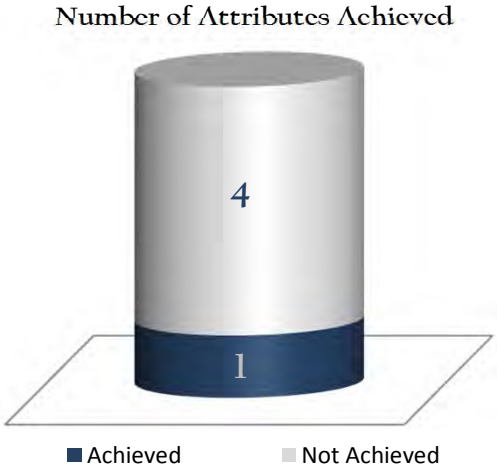
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	1.0
Percent:	20.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The WRTAC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	1	5	1.0	20.0%

Achievement of the Attributes for EC 2

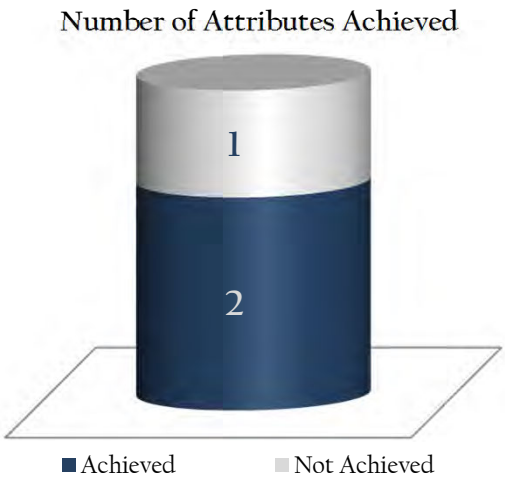
Attributes	Capability
1. Fusion center has an approved strategic plan	No
2. Fusion center conducts an annual financial audit	No
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The WRTAC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

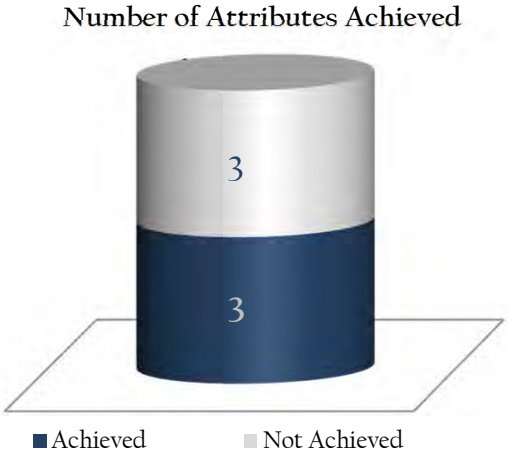
Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	2.5
Percent:	50.0%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The WRTAC has achieved 3 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	3	5	2.5	50.0%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	No
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	No

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Washington State Fusion Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Washington State Fusion Center (WSFC)

Overall Score: 77.0

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, counterterrorism

Staffing Levels: 27 full time, 3 part time

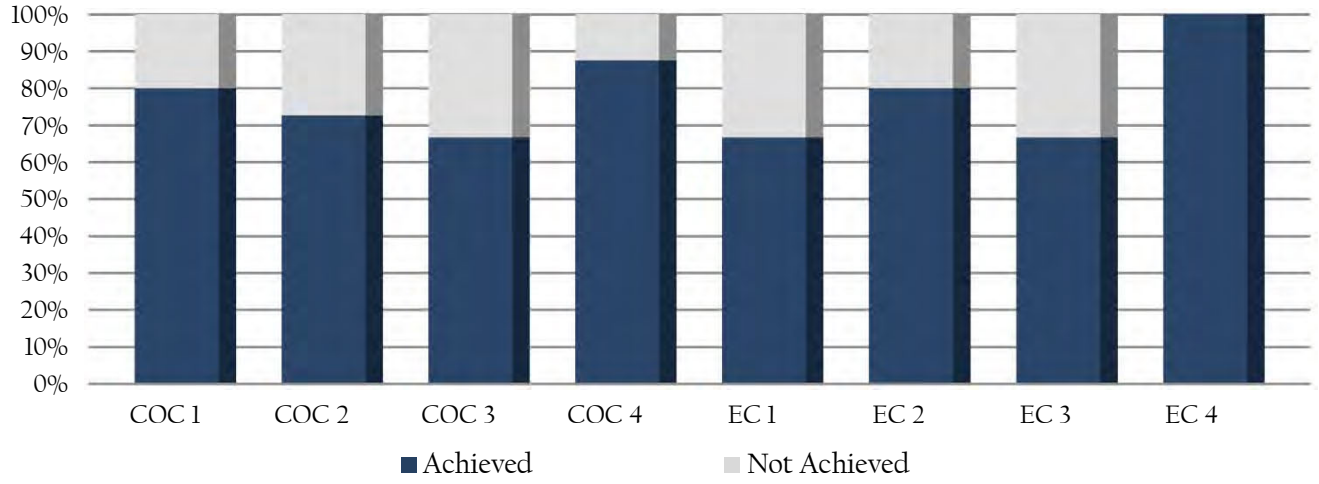
Year Fusion Center Established: 2009

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	4	3.3	66.7%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	2	3.3	66.7%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

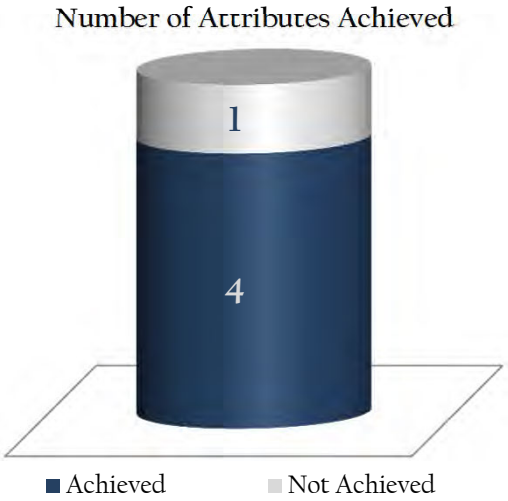


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The WSFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The WSFC has achieved 8 of these attributes.**

Number of Attributes Achieved

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	No
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	No

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The WSFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

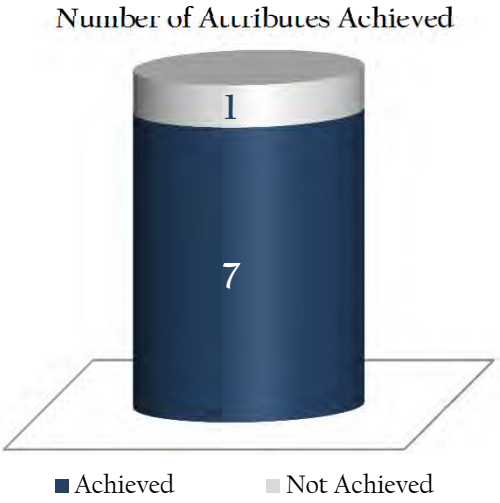
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The WSFC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

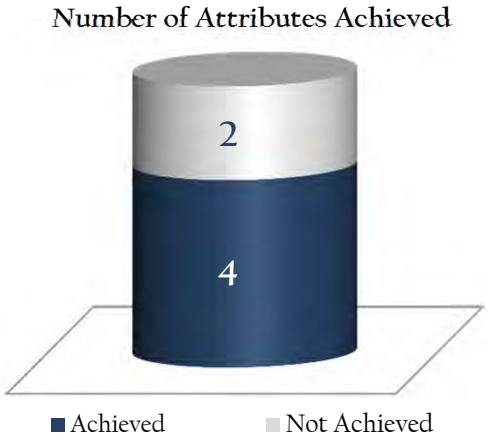
Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	3.3
Percent:	66.7%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The WSFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	5	3.3	66.7%

Achievement of the Attributes for EC 1

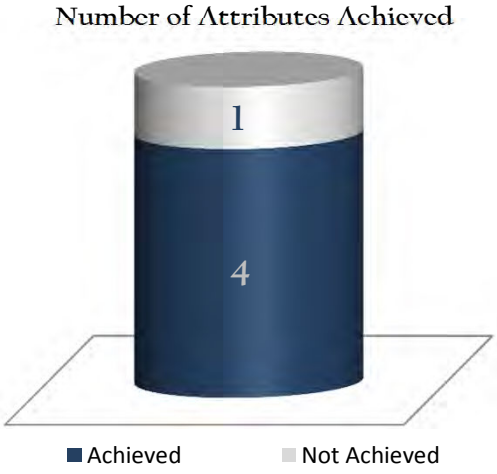
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	No
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The WSFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

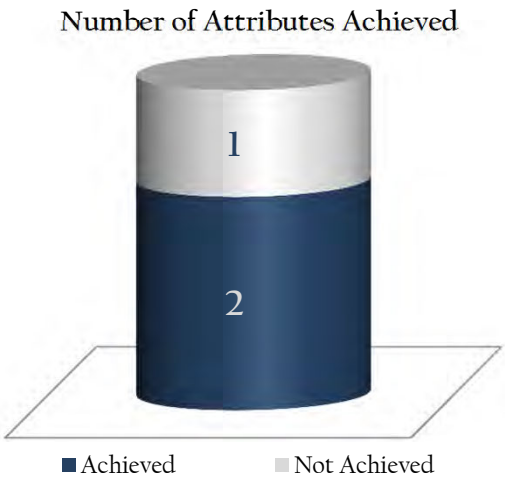
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	No
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	Yes

EC 3: Communications and Outreach

EC Score:	3.3
Percent:	66.7%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The WSFC has achieved 2 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	2	5	3.3	66.7%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	No
3. Fusion center has a process for capturing success stories	Yes

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The WSFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

Wisconsin Statewide Information Center

Revised March 2012

United States Department of Justice

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Introduction

The U.S. Department of Homeland Security (DHS), in coordination with its interagency partners[i] and the National Network of Fusion Centers (National Network), conducted the 2011 Fusion Center Assessment (2011 Assessment) to demonstrate the value of the National Network in protecting and securing the homeland. Fusion centers are analytic hubs responsible for applying a local context to the national threat picture to support prevention and protection activities at the federal, state and local levels. This assessment is a critical element of a broader Fusion Center Performance Program that will measure the capability and performance of the National Network. The 2011 Assessment measures the maturity of fusion center capabilities, which will allow state and local leaders to identify areas to strengthen capabilities and to support investment requests. Assessment data will also allow the Federal Government to better target support to help fusion centers mitigate capability gaps and maintain those capabilities already in place.

In order to assess the capabilities of the National Network, the 2011 Assessment determined the progress of fusion center's achievement of the Critical Operational Capabilities (COCs) (Receive, Analyze, Disseminate, and Gather), which reflect the operational priorities of the National Network, and Enabling Capabilities (ECs) (Privacy/Civil Rights and Civil Liberties, Sustainment, Communications and Outreach, and Security), which strengthens the fusion process.

Scope and Methodology

The scope of the 2011 Assessment is the progress made by the National Network in achieving the COCs and ECs from October 1, 2010 to August 1, 2011. Individual Fusion Center Reports detail the result of each fusion center independently, providing Fusion Center Directors information necessary to develop Homeland Security Grant Program Investment Justifications, guide resource allocation in general, and improve center operations.

In order to determine the progress made in implementing the COCs and ECs, Fusion Center Directors responded to an online questionnaire. DHS and its federal partners validated this data by conducting thorough reviews of the submissions to ensure consistency of data and minimize data discrepancies. Following these reviews, DHS conducted structured interviews with Fusion Center Directors to address identified issues. DHS analyzed this validated assessment data to evaluate fusion center progress towards achievement of the COCs and ECs.

This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

Wisconsin Statewide Information Center (WSIC)

Overall Score: 91.5

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: 26 full time, 0 part time

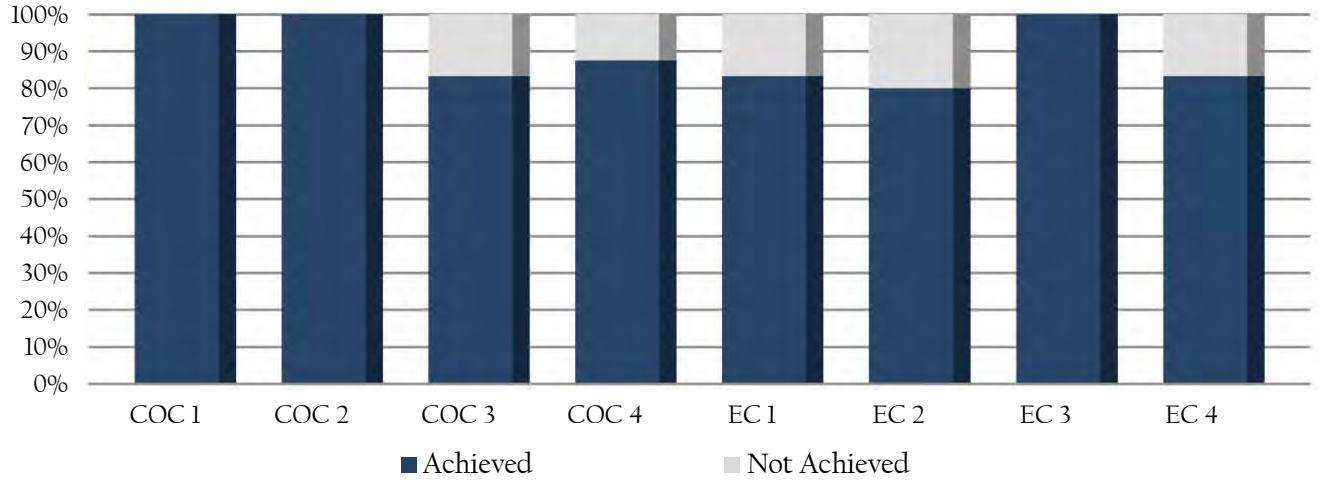
Year Fusion Center Established: 2006

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	5	20.0	100%	17.1	85.6%
COC 2: Analyze	11	11	20.0	100%	16.4	81.8%
COC 3: Disseminate	6	5	16.7	83.3%	13.1	65.7%
COC 4: Gather	8	7	17.5	87.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	4	4.0	80.0%	3.4	68.3%
EC 3: Communications	3	3	5.0	100%	3.3	65.7%
EC 4: Security	6	5	4.2	83.3%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

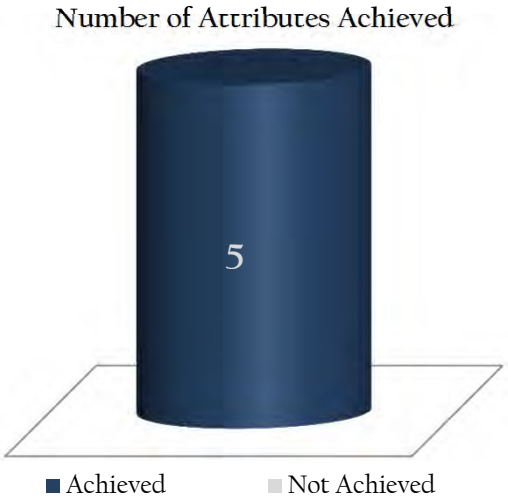


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	20.0
Percent:	100%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The WSIC has achieved 5 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	5	20	20.0	100%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	Yes
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	20.0
Percent:	100%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The WSIC has achieved 11 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	11	20	20.0	100%

Achievement of the Attributes for COC 2

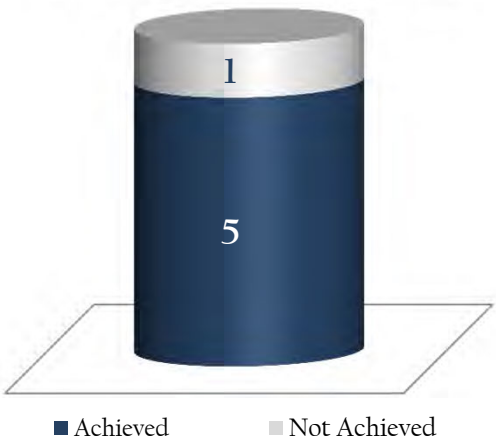
Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	Yes
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	Yes
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	Yes
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	16.7
Percent:	83.3%

Number of Attributes Achieved



Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The WSIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	20	16.7	83.3%

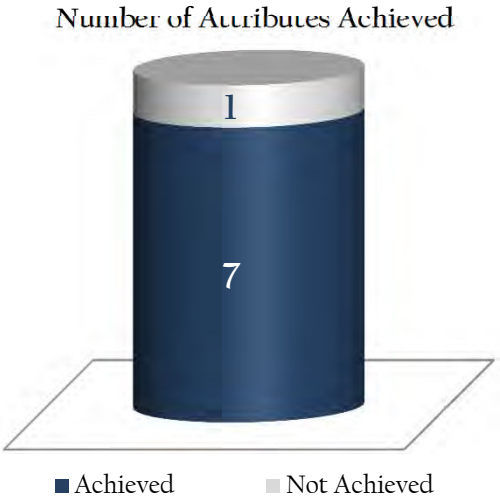
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	Yes
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	Yes
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	No

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	17.5
Percent:	87.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The WSIC has achieved 7 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	7	20	17.5	87.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	Yes
7. Fusion center has a RFI management process	Yes
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The WSIC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

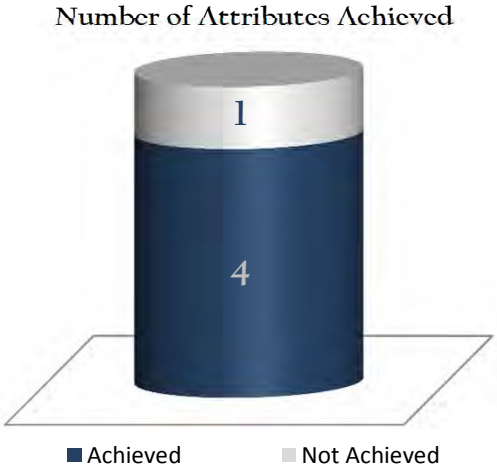
Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	4.0
Percent:	80.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The WSIC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	5	4.0	80.0%

Achievement of the Attributes for EC 2

Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	Yes
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	5.0
Percent:	100%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The WSIC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	3	5	5.0	100%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	Yes
2. Fusion center has an approved communication plan	Yes
3. Fusion center has a process for capturing success stories	Yes

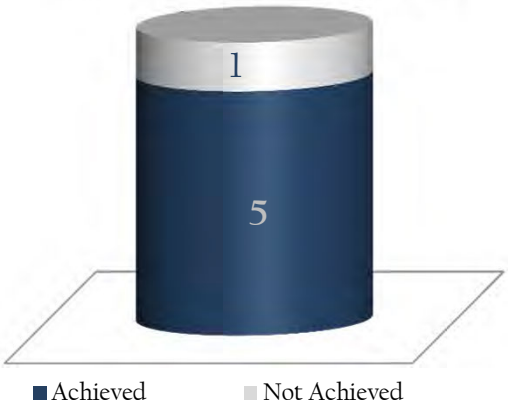
EC 4: Security

EC Score:	4.2
Percent:	83.3%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The WSIC has achieved 5 of these attributes.**

Number of Attributes Achieved



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	No
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix I. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.

2011 Fusion Center Assessment Individual Report

West Virginia Intelligence Fusion Center

Revised March 2012

United States Department of Justice

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This report reflects fusion center scores for each COC and EC, as well as an overall score. The highest possible score a fusion center can receive is 100 points. As seen in the graphic below, the overall score is computed by adding all COC and EC scores. All four ECs equal the weight of one COC.

[i] *Interagency partner participation included members of the Fusion Center Subcommittee of the Information Sharing and Access Interagency Policy Committee: Department of Defense, Department of Justice(DOJ), Nationwide Suspicious Activity Reporting Initiative Program Management Office, Federal Bureau of Investigation, Office of the Director of National Intelligence, Office of National Drug Control Policy, Program Manager for the Information Sharing Environment, and the DOJ Global Justice Information Sharing Initiative's Criminal Intelligence Coordinating Council which serves in an advisory role to the Subcommittee.*

West Virginia Intelligence Fusion Center (WVIFC)

Overall Score: 70.2

National Network Average: 76.8

Demographic Information

RAC Category: Primary State Fusion Center

Mission: All crimes, all hazards, counterterrorism

Staffing Levels: N/A

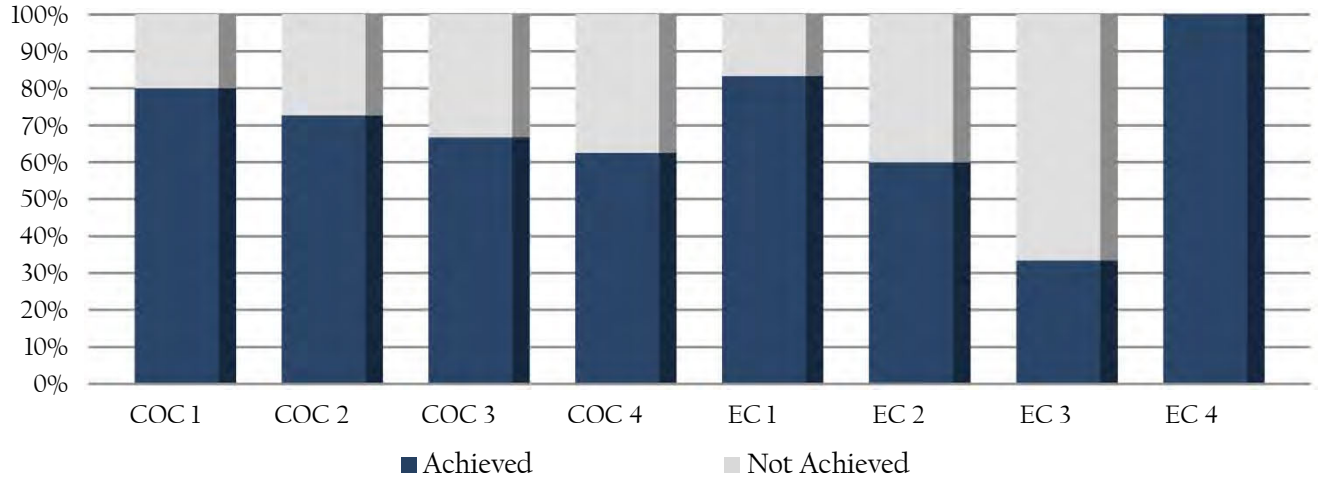
Year Fusion Center Established: 2008

Summary of Fusion Center Capabilities

COC or EC	Total Attributes	Fusion Center			National Network	
		Achieved	Score	Percent	Average	Percent
COC 1: Receive	5	4	16.0	80.0%	17.1	85.6%
COC 2: Analyze	11	8	14.5	72.7%	16.4	81.8%
COC 3: Disseminate	6	4	13.3	66.7%	13.1	65.7%
COC 4: Gather	8	5	12.5	62.5%	15.4	76.9%
EC 1: Privacy, Civil Rights and Civil Liberties	6	5	4.2	83.3%	4.1	82.2%
EC 2: Sustainment	5	3	3.0	60.0%	3.4	68.3%
EC 3: Communications	3	1	1.7	33.3%	3.3	65.7%
EC 4: Security	6	6	5.0	100%	4.0	79.4%

Note: Each COC is out of 20 points and each EC is out of 5 points.

Achievement of Capability Attributes

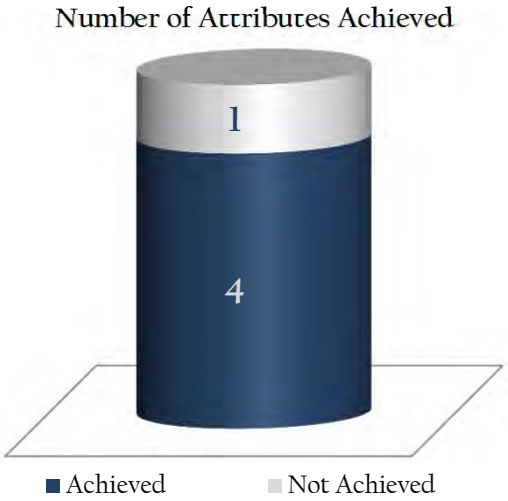


COC 1: Receive

Definition *: The ability to receive classified and unclassified information from federal partners*

COC Score:	16.0
Percent:	80.0%

A critical step in the fusion process is the receipt of federal information (both unclassified and classified) that alerts state, local, tribal, and territorial (SLTT) customers to threats relevant to their jurisdiction and/or region. Fusion centers receive classified and unclassified information directly from federal agencies through federal systems and portals established to support information sharing activities across the nation. Through the implementation of well-defined processes for receiving federal information, fusion centers can support law enforcement and homeland security partners in taking focused actions in response to threats. **COC 1 is comprised of 5 attributes, worth 4 points each. The WVIFC has achieved 4 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	4	20	16.0	80.0%

Achievement of the Attributes for COC 1

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for the receipt of federally-generated threat information	Yes
2. Fusion center has a plan, policy or SOP that addresses the receipt and handling of NTAS alerts	No
3. Fusion center staff with a need to access classified information are cleared to at least the Secret level	Yes
4. Fusion center has access to HSDN and/or FBINet (i.e., within fusion center or on-site)	Yes
5. Fusion center has access to sensitive but unclassified information systems (e.g., HSIN, LEO, HS SLIC)	Yes

COC 2: Analyze

COC Score:	14.5
Percent:	72.7%

Definition *: The ability to assess the local implications of threat information through the use of a formal risk assessment process*

Fusion centers have the unique ability to overlay national intelligence with local, regional, and statewide information, and through analysis, develop timely and actionable intelligence products for their customers. Comprehensive analysis protocols and processes also enable fusion centers to optimize risk reduction efforts. During this step of the fusion process, fusion centers analyze information to identify threats, vulnerabilities, and/or consequences, and provide local context to the national threat picture. **COC 2 has 11 attributes, each worth 1.82 points. The WVIFC has achieved 8 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
11	8	20	14.5	72.7%

Achievement of the Attributes for COC 2

Attributes	Capability
1. Fusion center has approved plans, policies, or SOPs for assessing the local implications of time-sensitive and emerging threat information	Yes
2. Fusion center has a documented analytic production plan	No
3. Fusion center has access to multidisciplinary SMEs within its AOR to inform analytic production	Yes
4. Fusion center has access to other fusion centers' multidisciplinary SMEs outside of its state to inform analytic production, as required	Yes
5. Fusion center has a process to provide DHS with information and/or intelligence that offers a local context to threat information in the event of an NTAS - related alert	Yes
6. Fusion center conducts threat assessments within its AOR	Yes
7. Fusion center contributes to or conducts a statewide risk assessment (threat, vulnerability, and consequence analysis)	Yes
8. Fusion center contributes to national-level risk assessments	Yes
9. Fusion center has a customer satisfaction mechanism for its analytic products	No
10. Fusion center evaluates the effectiveness of the customer feedback mechanism on an annual basis	No
11. All fusion center analysts have received at least 20 hours of issue-specific training in the past 12 months	Yes

COC 3: Disseminate

Definition: *The ability to further disseminate threat information to other state, local, tribal, and territorial entities within their jurisdictions*

COC Score:	13.3
Percent:	66.7%

Number of Attributes Achieved

Fusion centers provide actionable, locally-informed intelligence products to law enforcement and homeland security customers. The nature of homeland security demands that SLTT and private sector customers fully understand those threats that affect their environment so they may take informed actions to support their prevention, protection, or response activities. Implementation of a well-defined dissemination process enables fusion centers to provide information in an organized, targeted, and timely manner. **COC 3 has 6 attributes, each worth 3.33 points. The WVIFC has achieved 4 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	4	20	13.3	66.7%

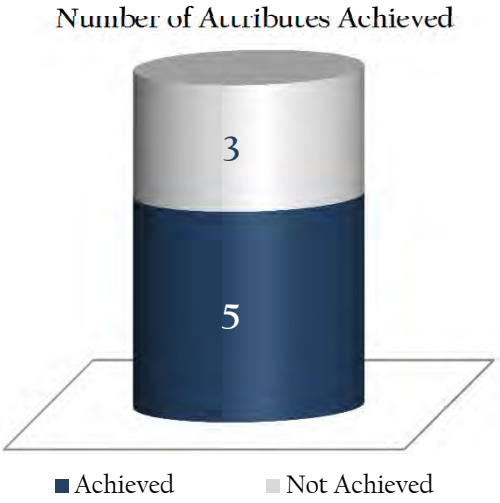
Achievement of the Attributes for COC 3

Attributes	Capability
1. Fusion center has approved plans, policies or SOPs governing the procedures for the timely dissemination of products to customers within its AOR	Yes
2. Fusion center has a dissemination matrix	Yes
3. Fusion center has a primary sensitive but unclassified mechanism to disseminate time sensitive information and products	No
4. Fusion center has a plan, policy or SOP that addresses dissemination of NTAS alerts to stakeholders within its AOR	No
5. Fusion center has a mechanism to disseminate NTAS alerts	Yes
6. Fusion center has a process for verifying the delivery of products to intended customers	Yes

COC 4: Gather

Definition: *The ability to gather locally-generated information, aggregate it, analyze it, and share it with federal partners, as appropriate*

COC Score:	12.5
Percent:	62.5%



Fusion centers gather information, including tips, leads, and suspicious activity reporting (SAR) from local agencies and the public. Well-defined processes for gathering information based on fusion centers' specific information needs enables fusion centers to capture relevant and accurate information. The ability to gather locally-generated information that can enhance or provide context for federally-generated threat information places fusion centers in an indispensable position for identifying and mitigating potential threats. **There are 8 attributes in COC 4, each worth 2.5 points. The WVIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
8	5	20	12.5	62.5%

Achievement of the Attributes for COC 4

Attributes	Capability
1. Fusion center has an approved NSI Site plan or an approved plans, policies or SOPs governing the gathering of locally generated information	Yes
2. Fusion center has a tips and leads process	Yes
3. Fusion center has a process for identifying and managing information needs	Yes
4. Fusion center has a process for managing the gathering of locally-generated information to satisfy the fusion center's information needs	Yes
5. Fusion center has approved Standing Information Needs (SINs)	No
6. Fusion center has an annual process to review and refresh SINs	No
7. Fusion center has a RFI management process	No
8. Fusion center has a process to inform DHS of protective measures implemented within its AOR in response to an NTAS alert	Yes

EC 1: Privacy, Civil Rights, and Civil Liberties

EC Score:	4.2
Percent:	83.3%

Definition: *The ability and commitment to safeguard the privacy, civil rights, and civil liberties of all Americans*

For fusion centers to successfully engage in information sharing, they must share information in a manner that protects the rights of citizens. Fusion centers implement privacy, civil rights, and civil liberties protections to protect constitutional rights and to ensure fusion centers address ethical and legal obligations. **EC 1 has 6 attributes worth 0.83 points each. The WVIFC has achieved 5 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	5	5	4.2	83.3%

Achievement of the Attributes for EC 1

Attributes	Capability
1. Fusion center has a privacy policy determined by DHS to be at least as comprehensive as the ISE Privacy Guidelines	Yes
2. Fusion center provides formal and standardized training to all personnel on the fusion center's privacy policy annually	Yes
3. Fusion center's policies, processes, and mechanisms for receiving, cataloging, and retaining information (provided to the center) comply with 28 C.F.R. Part 23	Yes
4. Fusion center trains all personnel who access criminal intelligence systems in 28 C.F.R. Part 23	Yes
5. Fusion center has identified a Privacy/CRCL Officer for the center	Yes
6. Fusion center has a privacy policy outreach plan	No

EC 2: Sustainment

EC Score:	3.0
Percent:	60.0%

Definition: *The ability to establish and execute a sustainment strategy to ensure the long-term growth and maturity of the National Network*

To ensure the long term growth and maturation of the National Network of Fusion Centers, fusion centers must develop and execute strategies aimed at ensuring their long-term sustainment and reflecting the return on the investment of resources. By implementing strategies, fusion centers can more efficiently and effectively apply resources to achieve and maintain critical and enabling capabilities and perform core missions. **EC 2 has 5 attributes, each worth 1 point. The WVIFC has achieved 3 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
5	3	5	3.0	60.0%

Achievement of the Attributes for EC 2

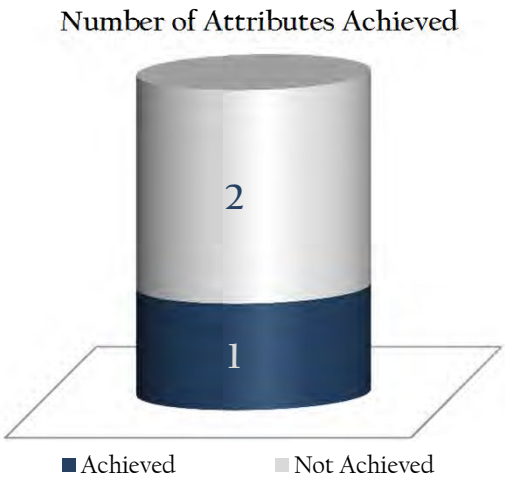
Attributes	Capability
1. Fusion center has an approved strategic plan	Yes
2. Fusion center conducts an annual financial audit	Yes
3. Fusion center completes annual operational cost assessment	No
4. Fusion center conducts an exercise at least once a year	Yes
5. Fusion center measures its performance and determines the effectiveness of its operations relative to expectations it or its governing entity have defined	No

EC 3: Communications and Outreach

EC Score:	1.7
Percent:	33.3%

Definition: *The ability to develop and execute a communications and outreach plan*

By establishing and enhancing collaborative relationships with fusion center stakeholders, fusion centers can expand their customer base and enhance information flow with these partners. Successful communications and outreach activities enable fusion centers to engage law enforcement, as well as multidisciplinary partners in the fusion process. **The 3 attributes of EC 3 are worth 1.67 points. The WVIFC has achieved 1 of these attributes.**



Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
3	1	5	1.7	33.3%

Achievement of the Attributes for EC 3

Attributes	Capability
1. Fusion center has a designated Public Information Officer or Public Affairs Officer	**Yes**
2. Fusion center has an approved communication plan	**No**
3. Fusion center has a process for capturing success stories	**No**

EC 4: Security

EC Score:	5.0
Percent:	100%

Definition: *The ability to protect the security of the fusion center's facility, information, systems, and personnel*

To conduct the fusion process, fusion centers must develop and implement appropriate security measures, policies, and procedures associated with the center's facility, including administrative, physical, information, systems, and personnel security. This enables the fusion center to collect, store, and share classified and unclassified information to address homeland security and law enforcement issues. **EC 4 has 6 attributes worth 0.83 points each. The WVIFC has achieved 6 of these attributes.**

Scoring and Statistics

Number of Attributes	Attributes Achieved	Highest Possible	Score	Percent Achieved
6	6	5	5.0	100%

Achievement of the Attributes for EC 4

Attributes	Capability
1. Fusion center has an approved security plan that addresses personnel, physical and information security	Yes
2. Fusion center trains all personnel on the fusion center's security plan	Yes
3. Fusion center has a designated Security Liaison	Yes
4. Fusion center's Security Liaison (or other organization's Security Liaison) completes annual training	Yes
5. Fusion center has access to the Central Verification System (CVS)	Yes
6. Fusion center's Security Liaison (or other organization's Security Liaison) is trained on how to use CVS	Yes

Appendix 1. Strengthening Fusion Center Capabilities through Gap Mitigation

Federal, state, and local fusion center stakeholders share a common goal of supporting a nationwide capacity for receiving, analyzing, disseminating and gathering threat information. The purpose of gap mitigation is to assist fusion centers in fully achieving and maintaining their capacity to execute the COCs, the ECs, and additional priority areas. Building these capabilities requires support across four key components:

1. **Policies and Processes:** By having documented policies and processes, a fusion center has the ability to focus organizational resources on the consistent, standardized, and effective execution of the capability.
2. **People:** By having people with the appropriate training, skills, and knowledge, the fusion center has the expertise to execute the capability.
3. **Technology:** By having access to relevant technology, the fusion center has the ability to execute the capability in a timely, efficient, and cost effective manner.
4. **Partners:** By working with partners, the fusion center has the ability to execute and deliver the capability to meet evolving customer needs and requirements.

In 2012, the Federal Government will continue to focus its support for fusion centers through the delivery and deployment of gap mitigation resources. These gap mitigation resources provide fusion centers with the knowledge, skills, and tools necessary to enable the effective execution of the fusion process.

Informed by the results of the 2011 Fusion Center Assessment (2011 Assessment), both in terms of fusion centers' capabilities and of the effectiveness of federal support, the Federal Government identified those resources that can most effectively support fusion centers with mitigating identified capability gaps. As part of this process, the Federal Government identified over 40 new or existing activities to support gap mitigation efforts in 2012. These activities are aligned to the four COCs, the four ECs, and an additional priority area of Governance.

The full menu of 2012 gap mitigation activities will be shared with Fusion Center Directors and also included in the 2011 Fusion Center Assessment Final Report. By leveraging the resources identified in this document, the National Network of Fusion Centers can enhance their capabilities in a manner that not only increases the efficacy and efficiency of individual fusion centers but also supports the maturation of an integrated National Network.