

Guideline 15

Develop, publish, and adhere to a policies and procedures manual.

Policies and Procedures

Justification

Fusion centers should use a formalized policies and procedures manual. A comprehensive manual offers a number of advantages.⁵⁷ It demonstrates that the center has provided direction to its employees and that personnel follow approved procedures in carrying out their duties. In addition, policies and procedures indicate that the governing body has been proactive in planning, instead of reactive or waiting until an incident occurs to write policy. The policies and procedures manual is the foundation for communications within the center and among personnel. By developing, publishing, and adhering to a policies and procedures manual, the expectations for personnel are outlined, creating consistency and accountability while reducing liability and enhancing overall professionalism. A policies and procedures manual also serves as a central repository for all center directives. It is important for personnel to easily locate the center's most recent procedures.

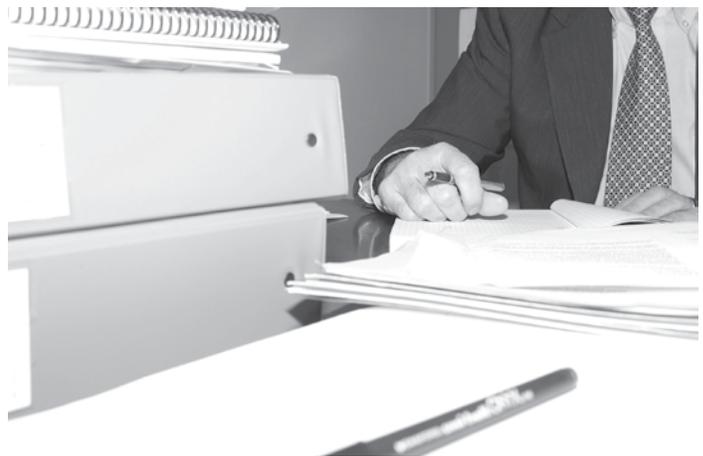
Issues for Consideration

When designing a policies and procedures manual, consider:⁵⁸

- Outlining the roles and responsibilities of all parties involved.
- Including language that information should only be used for criminal investigations.
- Including the center's mission, goals, objectives, policies, procedures, rules, and regulations.
- Tailoring the manual to meet the needs of the center.
- Ensuring personnel have easy access to the manual. Providing employees a copy of the manual and/or providing an online manual.
- Using a standardized format to allow for easy reading, filing, retrieving, and correcting.

⁵⁷ Michael Carpenter, M.A., M.A.T., "Put It in Writing: The Police Policy Manual," *FBI Law Enforcement Bulletin*, Vol. 69, No. 10, October 2000.

⁵⁸ *Ibid.*



- Implementing an annual review of center directives and purging or revising outdated policies and procedures.
- Establishing a contractor's code of conduct.
- Citing of the policy and procedures manual in the Memorandum of Understanding (MOU) and Non-Disclosure Agreement (NDA) (Guideline 5).
- Outlining how and from whom intelligence requirements are determined; e.g., the private sector has intelligence requirements for protection of its facilities.
- Ensuring understanding of and compliance with local and state confidentiality laws and how to appropriately safeguard data.
- Citing privacy policies (local, state, and federal), including the separation of information, to ensure understanding of and compliance with the privacy guideline.

Suggested Policies and Procedures

Begin by identifying existing guidelines, statutes, policies, and procedures that affect center operations and ensure adherence to regulations, such as 28 CFR Part 23 and the Critical Infrastructure Information Act. Personnel should be trained on and understand all center processes and policies and procedures

and adhere to them at all times. Areas that may require policies and procedures include:

- Intelligence process (see Guideline 1, NCISP).
- Intelligence collection requirements.
- Security for data, facility, personnel, and systems (for more information, see Security (Guideline 9); Facility, Location, and Physical Infrastructure (Guideline 10); and Human Resources (Guideline 11)).
- Communications (for more information, see Interconnectivity [Guideline 7]).
- Privacy (for more information, see Guideline 8, Privacy and Civil Liberties).
- Accountability and review.
- Sanctions and violations of policies and procedures.

28 CFR Part 23

Agencies that use federal funds to set up or maintain a criminal intelligence database (and share information between jurisdictions) may need to comply with the regulations of 28 CFR Part 23. The regulations require agencies to have policies and procedures in place regarding intelligence operations. The specifics of the policies are left to the individual agencies. A copy of this regulation is included on the accompanying resource CD. Additional information may also be found at www.iir.com/28cfr.

In addition to the regulations of 28 CFR Part 23, the *National Criminal Information Sharing Plan* (NCISP) also recognizes the following documents and guidelines for creating and implementing a policies and procedures manual: the Law Enforcement Intelligence Unit (LEIU) *Criminal Intelligence File Guidelines* and the *Justice Information Privacy Guideline*.

Available Resources on Fusion Center CD

- 28 CFR Part 23, www.iir.com/28cfr/Overview.htm
- *Evaluation Checklists for Intelligence Units*, Paul R. Roger
- IACP's *Criminal Intelligence Model Policy*
- Law Enforcement Intelligence Unit's (LEIU) *Criminal Intelligence File Guidelines*, http://it.ojp.gov/documents/LEIU_Crim_Intell_File_Guidelines.pdf
- *Justice Information Privacy Guideline*, www.ncja.org/pdf/privacyguideline.pdf
- *Privacy Policy Development Guide*, http://it.ojp.gov/documents/Privacy_Guide_Final.pdf