



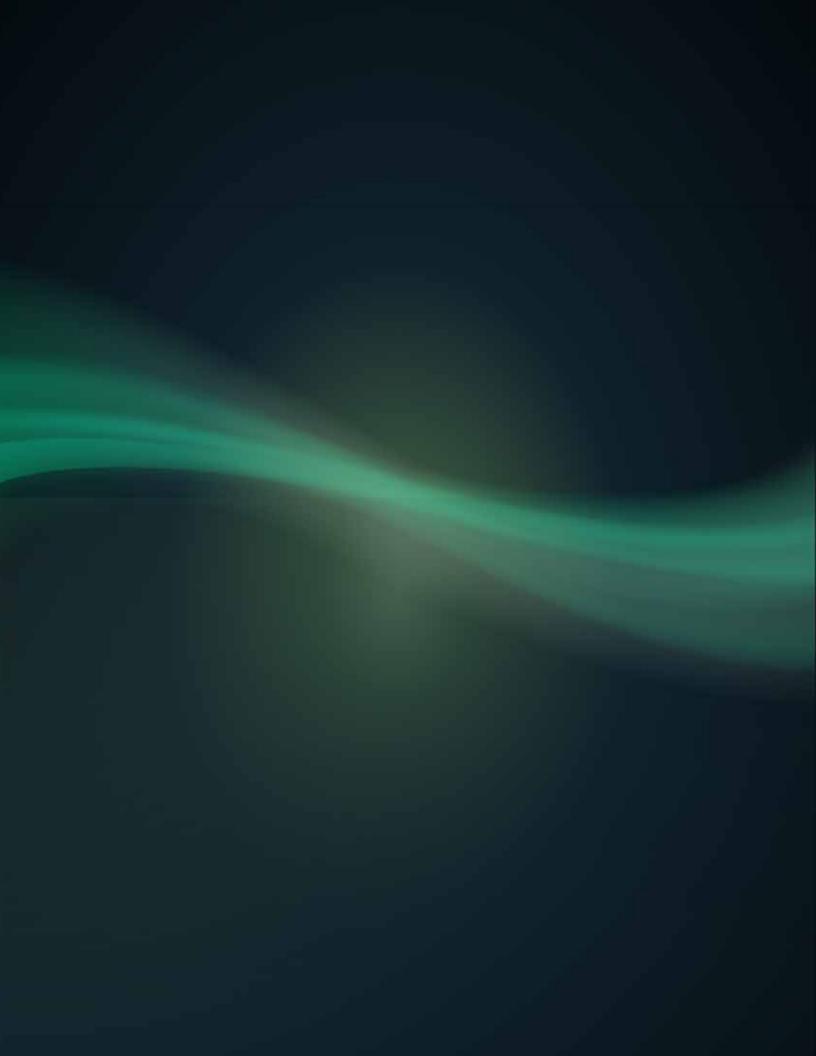






July 2021





#### FEDERAL MARITIME COMMUNITY AND STATE AND MAJOR URBAN AREA FUSION CENTERS

#### MARITIME ENHANCED ENGAGEMENT INITIATIVE

The National Maritime Intelligence-Integration Office (NMIO) is seeking to enhance the engagement between state and major urban area fusion centers (fusion centers) and the Federal Maritime Community (FMC) for the purposes of improving information and intelligence sharing; coordination of tips and leads, including suspicious activity reports; identification and mitigation of threats; and response to and recovery from critical events with a maritime nexus. The desired state of the Federal Maritime Community is an environment where federal, state, local, territorial, and international partners can embrace and achieve the common objective of obtaining and sharing information as a mechanism to increase safety and security and economic prosperity in the maritime domain and have the supporting architecture to do so.

For the purpose of this document, the Federal Maritime Community consists of those federal agencies with a federal maritime law enforcement and/or intelligence mission including, but not limited to, the Office of the Director of National Intelligence (ODNI), the Department of Justice (DOJ), the Department of Homeland Security (DHS), and their component offices and agencies. As the sector specific agency for the maritime community,

The National Maritime
Intelligence-Integration Office
partnered with the Federal
Maritime Community and state
and urban area fusion centers to
create the Maritime Enhanced
Engagement Initiative (EEI).
This initiative focuses on the
identification of elements and
practices that build and enhance
engagement among the FMC,
fusion centers, and other fieldbased information sharing
partners to address threats to
the maritime community.

the United States Coast Guard is recognized as a lead agency throughout this plan.

The Fusion Center Guidelines describes fusion centers as an "effective and efficient mechanism to exchange information and intelligence, maximize resources, streamline operations, and improve the ability to fight crime and terrorism by analyzing data from a variety of sources." Further expanding on the role and mission of fusion centers, the Baseline Capabilities for State and Major Urban Area Fusion Centers identifies the capabilities that should be included in fusion center operations to create continuity and commonality across the National Network of Fusion Centers (National Network). These capabilities include engagement opportunities with federal partners, such as coordinating information requirements, conducting joint production, and reporting priority information.

The Institute for Intergovernmental Research (IIR) was commissioned by NMIO to conduct a survey of fusion centers and to conduct site visits to selected fusion centers to meet with them and their federal and private sector maritime partners. The information developed from these site visits was considered during the development of the Maritime Enhanced Engagement Initiative

(EEI) to assist fusion centers in improving capabilities in the important area of critical infrastructure protection.

Successful information and intelligence exchange is founded on systematic engagement between fusion centers and local, state, tribal, and territorial agencies in their respective areas of responsibility (AoRs) and between fusion centers and federal law enforcement agencies, including the Federal Bureau of Investigation (FBI) and the U.S. Department of Homeland Security (DHS).

Federal partners have created engagement strategies, including the FBI's Enhanced Engagement Initiative for FBI Field Offices and Fusion Centers and the ODNI's recently developed Regional Integration and Coordination Plans, which describe how information sharing and communication occurs between partners during steady-state and crisis-response environments.

The recommendations articulated in these foundational resources, as well as the rapidly evolving threat landscape, underscore the need to provide tactical and actionable guidance on how the federal maritime partners and fusion centers across the network can increase engagement to build and expand information and intelligence sharing, including interconnectivity, partnerships, and the development of timely products.

The Maritime EEI recognizes that all available resources, including state, local, tribal, territorial, and federal law enforcement, as well as homeland security personnel, must be leveraged in a coordinated manner to effectively address the rapidly evolving threat landscape. The Maritime EEI concept supports the FMC and its efforts to ensure that fusion centers have a complete understanding of the threat picture; to leverage fusion centers to address the ever-changing threat landscape; and to identify key areas for collaboration among FMC field operations, fusion centers, and other field-based information sharing partners.

## FUSION CENTERS THAT ENGAGED IN THIS PROCESS INCLUDE THE FOLLOWING:

- Northern California Regional Intelligence Center (NCRIC), in the San Francisco Bay Area
- Los Angeles Joint Regional Intelligence Center (JRIC), in the Los Angeles area
- Orange County Intelligence Assessment Center (OCIAC), in the Orange County area
- San Diego Law Enforcement Coordination Center (SD-LECC), in the San Diego area
- California State Threat Assessment
   Center (STAC), the state fusion center for
   California
- Houston Regional Intelligence Service Center (HRISC), in the Houston area
- Texas Fusion Center (TFC), the state fusion center for Texas
- Delaware Information and Analysis
   Center (DIAC), the state fusion center for
   Delaware
- Pennsylvania Criminal Intelligence Center (PACIC), the state fusion center for Pennsylvania
- Delaware Valley Intelligence Center (DVIC), in the Philadelphia area
- New Jersey Regional Operations and Intelligence Center (ROIC), the state fusion center for New Jersey

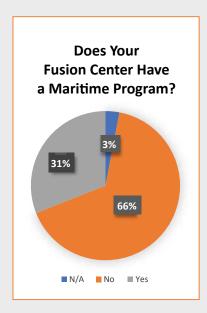
#### MARITIME EEI DEVELOPMENT PROCESS

To better understand the current maritime information sharing environment, a survey was conducted by NMIO of the National Network. The 80 fusion centers in the National Network have varying involvement with the maritime domain. Fusion centers were engaged on three of the four coasts including the Pacific, Atlantic, and the Gulf of Mexico.

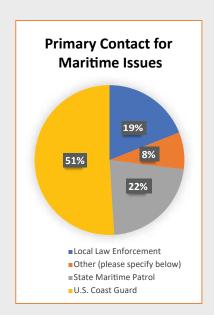
This survey sought to identify the range and scope of that involvement, identify best practices, identify potential gaps, and act as a sounding board for issues and/or challenges to support enhancing maritime intelligence. The maritime domain is defined as all areas and things of, on, under, relating to, adjacent to, or bordering on a sea, an ocean, or other navigable waterway, including all maritime-related activities, infrastructure, people, cargo, vessels, and other conveyances.

#### SOME OF THE KEY SURVEY FINDINGS ARE AS FOLLOWS:

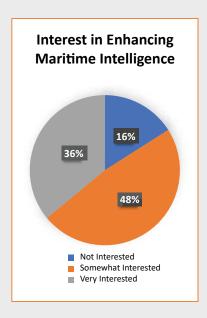
It was apparent that there is a need to provide guidance to fusion centers throughout the National Network in the area of maritime intelligence and information sharing.



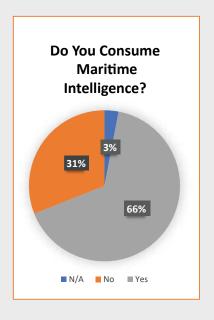
This shows the need for enhanced efforts between the FMC and fusion centers, including those without major maritime operations in their AoRs.



The U.S. Coast Guard is considered by fusion centers to be a key information sharing partner with fusion centers.



Eighty-four percent of the fusion centers have an interest in enhancing their maritime intelligence operations. These guidelines should help in that effort.



The majority of fusion centers consume maritime intelligence, indicating the importance of continuing to produce relevant maritime information.

To understand current maritime engagement efforts, physical and virtual site visits were conducted with 11 fusion centers and their federal law enforcement and private security partners. The focus of the initiative was to examine partnerships and collaborative efforts among the FMC, fusion centers, and other field-based information sharing partners. This review culminated in the identification of best practices and lessons learned. This initiative highlights the seven areas of engagement, noted below, that address maritime field-based practices and provides recommendations to ensure greater continuity and standardization of threat information and intelligence sharing efforts.

### How to Use This Document

This resource provides best practices and recommendations to enhance and institutionalize engagement between the FMC and fusion centers, with an emphasis on threats and counterterrorism. For each individual area of engagement, the corresponding tiers are designed to build on each other, reaching the optimal level of collaboration and engagement at Tier 3. Each area of engagement is independent of other areas, with each tier reflecting the level of engagement. For example, the FMC and the fusion center may be a Tier 3 in integration, but a Tier 1 in suspicious activity reporting.<sup>1</sup>

The Maritime EEI does not create additional required actions for participating partners; all activity by the FMC and fusion centers should be completed in accordance with applicable laws, regulations, agency policies, procedures, and available resources.

#### **AREAS OF ENGAGEMENT**

- Integration
  Refers to the level of maturity of the collaboration across people, processes, and systems.
  - Clearances and Access
- The ability to get the appropriate information to the appropriate stakeholders in both crisis and steady state situations (mapping who has classified clearances).
- Maritime Security Participation and Coordination

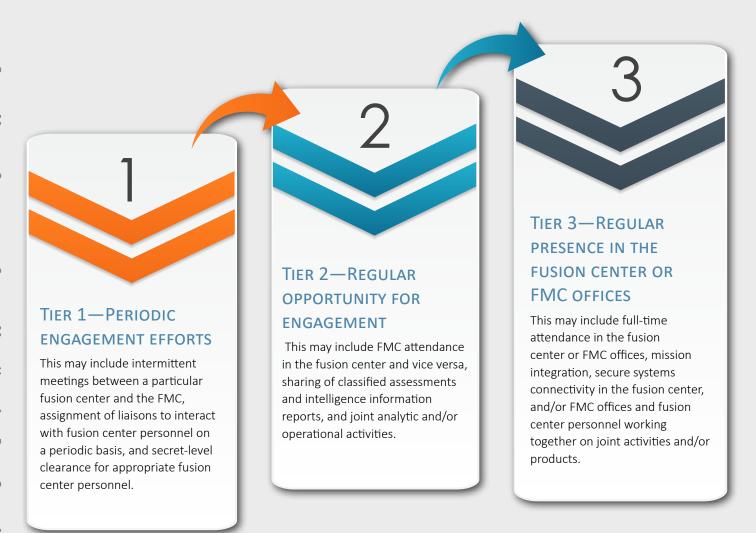
  Fusion center participation and coordination in maritime security intelligence and information sharing efforts.
- Incident/Threat/Suspicious Activity Reporting

  Addresses the collaboration between federal agencies and fusion centers in the analysis and evaluation of information.
- Critical Incident Coordination

  Focuses on how federal partners and fusion centers share information on maritime-related critical incidents.
- Maritime Intelligence Requirements, Analysis, Production, and Dissemination Identifies federal agency and fusion center engagement opportunities in developing intelligence products.
- Training and Awareness

  Addresses how federal agencies and fusion centers work together to identify, provide, and participate in AoR-centric training.

### TIERS OF ENGAGEMENT



#### INTEGRATION

Refers to the level of maturity of the collaboration across people, processes, and systems.

1

- FMC field personnel coordinate with the fusion center in a liaison capacity.
   The FMC and fusion center personnel participate in interagency working groups.
- The fusion center director or designee participates in regular meetings with the Area Maritime Security Committee (AMSC) and Intelligence Program management.
- The FMC management participates in the Fusion Center Executive Board and/or as advisors on the Governance Board.
- Fusion center management and FMC management hold strategic meetings on at least a biannual basis to discuss priorities, new focus areas, new initiatives, and opportunities for collaboration.
- The fusion center establishes communications that support SAR flow from the National Response Center (NRC)<sup>2</sup> to the fusion center.

2

- FMC field personnel are embedded at the fusion center, and/or fusion center analysts are embedded at the FMC offices part-time.
- Resources are embedded in the FMC or fusion center, as needed, to support specific maritime threats or events.
- Fusion centers should participate with the Regional Coordination Mechanisms (ReCoM) Intelligence Group (RIG).
- Fusion center leadership and FMC field leadership hold quarterly meetings to discuss priorities, current initiatives, and emerging areas of interest.

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- FMC field personnel are embedded at the fusion center, and/or fusion center personnel are embedded at the FMC offices full-time to serve as the primary conduits between the FMC and the fusion center.
- Regular, joint FMC and fusion center-hosted classified threat briefings are held for cleared law enforcement, homeland security, and private sector partners.
- Scheduled meetings are held among the FMC, the fusion center, and other appropriate partners, to include executive management meetings, weekly intelligence briefs, and joint analysis and production activities.

### **CLEARANCES AND ACCESS**

The ability to get the appropriate information to the appropriate stakeholders in both crisis and steady

state situations (mapping who has classified clearances).

- Fusion center staff members in leadership positions have, at a minimum, a secret clearance.
- Fusion center staff members assigned to maritime threat responsibilities/mission area have clearances commensurate with the level of engagement.

- Appropriate access is provided to FMC field personnel embedded in the fusion center to state and local systems, as legally permissible.
- The FMC should identify locations where secure facilities are available to cleared individuals representing fusion centers and relevant stakeholders.

• Appropriate access is provided to cleared fusion center personnel to FMC systems (Unclassified, Secret, and/or Top Secret).

## MARITIME SECURITY PARTICIPATION AND COORDINATION

Fusion center participation and coordination in maritime security intelligence and information sharing efforts.

1

- The fusion center director and the captain of the port<sup>3</sup> should be familiar with each other and develop a working relationship focused on sharing suspicious activity and threat reporting.
- Fusion center leaders are members of, and participate in, the AMSC.<sup>4</sup>
- Fusion center personnel participate in appropriate AMSC subcommittees addressing intelligence, cyber, etc.
- Fusion center and FMC personnel participate in maritime training exercises.

2

- Personnel from the fusion centers or their parent agencies are assigned to the FMC substantive intelligence components with task force status and provide regular reachback to the fusion centers; e.g., Border Enforcement Security
   Task Force (BEST) teams.
- Engage with recipients of the FEMA Port Security Grant Program<sup>5</sup> to enhance maritime domain awareness and improve portwide maritime security risk management.

3

 During major maritime critical incidents, fusion center personnel are assigned full time to directly support the FMC public safety efforts.

<sup>3.</sup> Captain of the Port, as used in this part, means the officer of the Coast Guard, under the command of a District Commander, so designated by the Commandant for the purpose of giving immediate direction to Coast Guard law enforcement activities within his or her assigned area. In addition, the District Commander will be Captain of the Port with respect to the remaining areas in his or her district not assigned to officers designated by the Commandant as Captain of the Port. [USCG-2013-0397, 78 FR 39170, July 1, 2013]

<sup>4.</sup> The AMSC is designed to enhance communication between important stakeholders within federal, state, and local agencies, as well as industry, to address maritime security issues. <a href="https://www.dco.uscg.mil/Our-Organization/Assistant-Commandant-for-Prevention-Policy-CG-5P/Inspections-Compliance-CG-5PC-/Office-of-Port-Facility-Compliance/Domestic-Ports-Division/amsc/">https://www.dco.uscg.mil/Our-Organization/Assistant-Commandant-for-Prevention-Policy-CG-5P/Inspections-Compliance-CG-5PC-/Office-of-Port-Facility-Compliance/Domestic-Ports-Division/amsc/</a>. For contact info, <a href="https://www.dco.uscg.mil">AMSC@uscg.mil</a>

<sup>5. &</sup>lt;a href="https://www.fema.gov/grants/preparedness/port-security">https://www.fema.gov/grants/preparedness/port-security</a>

# INCIDENT/THREAT/SUSPICIOUS ACTIVITY REPORTING

Addresses the collaboration between federal agencies and fusion centers in the analysis and evaluation of information.

1

- Fusion centers will process tips, leads, and SARs consistent with the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI) and the current ISE-SAR Functional Standard.
- To ensure that there is no gap between the FMC and fusion centers in information sharing, after initial vetting, SARs are immediately sent to fusion centers for processing as outlined above.
- On an annual basis, fusion centers meet with the FMC field personnel to review the fusion centers' SAR policies and the SAR workflow process.
- When a maritime critical incident occurs, fusion center personnel review targets, tactics, techniques, and procedures against SAR reporting.
- The fusion center establishes communications that support SAR flow from the National Response Center<sup>6</sup> (NRC) to the fusion center.

2

- Regular discussions on disposition of SARs and current events are held between fusion center and FMC personnel.
- The fusion centers conduct trends and pattern analysis on tips and leads, including SAR information, and share the finished intelligence with the FMC.

3

- Joint, daily FMC and fusion center reviews are conducted to include the coordination of all SARs, including vetting of SAR information.
- The ReCoM and the fusion centers jointly conducts trend and pattern analysis of SAR information.

### CRITICAL INCIDENT COORDINATION

Focuses on how federal partners and fusion centers share information on maritime-related critical incidents.

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- Maritime special events are worked collaboratively with regular meetings, updates, and investigative and intelligence assessments leading up to and through events.
- In support of maritime specialevent planning, risk and threat assessments are developed and disseminated.
- Specific email distribution lists are created and updated to support special events.
- Fusion centers should identify appropriate FMC personnel to access the HSIN National Situational Awareness Room (SitRoom) to share event or incident information real time, across the country.

2

- Production and dissemination of SITREPs are coordinated between the fusion center and the FMC to support special events or critical incidents.
- Fusion centers participate in joint command posts during special events or critical incidents.
- Fusion centers establish local HSIN situational awareness rooms for both law enforcement and private sector partners.
- The FMC and the fusion center conduct a joint after-action review of the event/incident.

3

- The FMC and the fusion center closely coordinate real-time open source analysis (ROSA) efforts, in accordance with FMC and fusion center policies, in support of special events and critical incidents.
- The FMC and the fusion center jointly manage the fusion center's intelligence collection clearinghouse.

## MARITIME INTELLIGENCE REQUIREMENTS, ANALYSIS, PRODUCTION, AND DISSEMINATION

Identifies federal agency and fusion center engagement opportunities in developing intelligence products.

- The FMC and the fusion center share all maritime-related special reports and local products in their AoR.
- The fusion center synthesizes national intelligence with local, statewide, and regional perspectives to define requirements, inform decisions, and strengthen analysis with the FMC.
- The fusion center utilizes advanced distribution lists to ensure timely information sharing to partners and, as appropriate, serves as the dissemination mechanism for the FMC, within the fusion center's AoR.
- Fusion center and FMC field personnel from the region have access to HSIN-Intel, Law Enforcement Enterprise Portal (LEEP), and Regional Information Sharing Systems (RISS).
- Due to the lack of maritime related Key Intelligence Questions (KIQs), the fusion center and the FMC should develop more extensive maritime standing information needs.

2

- The FMC and the fusion center share maritime-related production schedules to identify opportunities for joint production and improved efficiencies.
- The FMC provides the fusion center with feedback on the impact of the finished intelligence provided by the fusion center.
- The fusion center reviews FMC agency reporting that has a potential maritime terrorism nexus to the local AoR and provides state/local context.
- The fusion center and the FMC develop maritime standing information needs and key intelligence questions.

 The FMC and the fusion center produce joint products based on an

agreed-upon schedule.

- The FMC and the fusion center closely align threat priorities to ensure that they are appropriately postured to address priority threats.
- The fusion center produces a monthly intelligence report of suspicious activity in the AoR.
- Cleared fusion center personnel participate in the ReCoM and development of the FMC threat plans for relevant threat issues.

#### TRAINING AND AWARENESS

Address how federal agencies and fusion centers work together to identify, provide, and participate in AoR-centric training.

1

Partnering with the NSI,
 the fusion center and
 maritime community provide
 awareness-level training
 for law enforcement, public
 safety, private sector, and
 designated community groups
 on SAR,<sup>7</sup> Watchlist Encounters,
 and other FMC engagement
 matters, as required.

2

- The FMC and the fusion center participate in an annual exercise to promote operational readiness and synchronization of FMC intelligence programs and fusion center components.
- Fusion center analysts participate in federally sponsored analytic training courses.

3

- The fusion center and the FMC identify maritime analytical gaps and work together to fulfill training needs.
- The FMC provides training to fusion center partners, with an emphasis on intelligence and analysis as it relates to the maritime threat.

