



MAINE STATE POLICE MAINE INFORMATION & ANALYSIS CENTER

MIAC Privacy/Civil Liberties/Civil Rights (P/CL/CR) Audit Policy

The purpose of this policy is to establish the process the MIAC will follow when conducting privacy/civil liberties/civil rights (P/CL/CR) audits, which are intended to help to continually improve the Center's compliance with the MIAC P/CL/CR Policy.

The following process shall be followed when MIAC P/CL/CR audits are conducted:

1. The MIAC Director, the MIAC Compliance Officer, the MIAC P/CL/CR Officer, the Public Member of the MIAC Advisory Board, and a Member of the Board selected by the Board's Chair (the "Audit Team") shall conduct the P/CL/CR audit. If the Public Member of the Board cannot participate in an audit, then the Chair shall select another Member of the Board to participate.
2. The MIAC Director shall determine the timeframe for which the P/CL/CR audit will account.
3. To avoid any actual or perceived selection bias during the audit process, MIAC will pick activity entries at random using the "Research Randomizer" website (www.randomizer.org). A random sample of ten (10) MIAC Activity Report entries ("AR entries") for the timeframe specified shall be audited, as well shall be all entries made by the MIAC into the Federal eGuardian system during the timeframe. In addition, both of the Board Members participating in the P/CL/CR audit each shall select ten (10) AR entries to be audited from the range of AR entry report

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Lt. Johnston and Chris Parr

numbers that are used to generate the random sample. If any AR entry resulting from the random selection process is an administrative entry (such as a “watch desk duty” entry), that entry shall be discarded and a new one shall be randomly selected.

4. The AR entries to be audited – including the ten selected (twenty (20) total) by the respective Board Members – shall be disseminated to the Audit Team no later than fourteen (14) calendar days prior to the date of the P/CL/CR audit.
5. The MIAC Compliance Officer shall prepare a summary of each AR entry that will be reviewed during the P/CL/CR audit. The summaries may be prepared before, during, and/or following the audit. The summaries of the respective AR entries that are prepared by the MIAC Compliance Officer shall be forwarded to the MIAC P/CL/CR Officer for later inclusion in the MIAC evaluation forms described in section 6. The content summary should be de-identified information regarding each activity report that can lawfully be disseminated publicly in the interest of promoting transparency and clarity on MIAC’s activities.
6. A MIAC-designed evaluation form based on the Department of Homeland Security P/CR/CL Audit Guidance for the State, Local, Tribal, and Territorial Intelligence Component product, shall be used to audit each MIAC Activity Report entry, including all attachments to each entry.
7. The Audit Team shall meet on the date of the P/CL/CR audit to conduct the audit, either in person or virtually.
8. During the audit process, members of the audit team are encouraged to engage in constructive discussions regarding MIAC’s activities with respect to privacy, civil rights and civil liberties. Members of the audit team are also encouraged and expected to identify any activities, operations or practices which arise during the audit that should be brought forward to the MIAC Advisory Board for additional discussion and consideration.

9. Once the Audit Team has completed the P/CL/CR audit, the evaluation forms shall be finalized by the MIAC P/CL/CR Officer. The P/CL/CR Officer shall include in the appropriate AR entry evaluations forms the AR report entry summaries prepared by the MIAC Compliance Officer.
10. The MIAC P/CL/CR Officer shall prepare a report of the Audit Team's key findings. In addition, each of the Board Members participating in the P/CL/CR audit shall prepare a brief evaluation of the P/CL/CR audit and the P/CL/CR audit's findings to independently append to the audit report.
11. Once the P/CL/CR audit report is finalized and the evaluations of the two Board Members have been appended to the report, the report is complete.
12. The P/CL/CR audit report then shall be presented to the full Advisory Board at its next-scheduled meeting.