National Capital Region

Electronic Designation and Validation of Federal / Mutual Aid Emergency Response Officials (F/EROs) in support of National Preparedness

Presented to the CTST 2009: The Americas
May 6, 2009

Topics for Discussion

- **Policy:** Public Law 110-53, HSPD-12, and PIV-I
- **Process:** Credential issuance, attribute registration, validation
- **People:** Federal/Mutual Aid Emergency Response Official (F/ERO) registrations
- **Products & services:** FIPS 201 infrastructures and tool sets
- **Practice:** Validated demonstrations
- **Performance measures:** Proven capability
- **End state:** Standards-based interoperability

Current Disaster/Emergency Access Process

- Federal
- State / Local / Tribal / Territorial
- Private (CIA/KR)
- Volunteers

Currently no uniform process exists for entry decisions

9/11 Commission and Post-Katrina Reports

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Public Law 110-53
“Implementing Recommendations of the 9/11 Commission Act of 2007”

NLT August 2, 2008: The FEMA Administrator is to develop standards for credentialing and typing of incident management personnel, emergency responder providers, and other personnel (including temporary personnel) and shall:

1. provide the standards developed, including detailed written guidance, to
   a) Federal agencies that have responsibilities under the National Response Plan and other personnel (e.g. National Infrastructure Protection Plans, critical infrastructure resource, national Continuity Policy Implementation Plan essential government personnel)
   b) State, Local, and Tribal governments
2. provide expertise and technical assistance to aid Federal, State, Local, and Tribal government agencies with implementing the standards
3. consult with the Secretary of Health and Human Services in developing standards for credentialing health care professionals
4. establish model standards and guidelines for credentialing critical infrastructure workers that may be used by a State

NLT February 2, 2009: Each Federal agency with F/ERO responsibilities are to be credentialed and typed in accordance with the standards:

1. F/ERO personnel are to be registered in a database system (Repository) for real time exchange of information and rapid validation of credentialed personnel
2. F/ERO repository will be populated by individual entities

HSPD-12

The Standard will include graduated criteria, from least secure to most secure, to ensure flexibility in selecting the appropriate level of security for each application.

Personal Identity Verification Interoperability (PIV I)

Non-Federal Issuers (NFI) Identity Authentication PKI Certificate

- must include an Identity Authentication PKI Certificate issued by a Certification Authority (CA)
- chains to the Federal Bridge Certification Authority (FBCA) at the Medium Hardware assurance level via cross-certification

This will enable Federal government relying parties to:
- verify the validity of the identity card via the Identity Authentication PKI Certificate
- verify the issuing organization (i.e., CA cross-certified with FBCA)
- be assured that the certificate (and by extension, the card) has not been revoked or invalidated since issuance

Identity Proofing

During identity proofing, the applicant is required to:
- appear in person and provide two forms of identify source documents in original form from the list of acceptable documents included in Form I-9
- At least one of the documents must be a valid State or Federal government-issued picture identification
- The identity proofing process is compliant with OMB Memorandum A-04-04, E-Authentication Personal Identity Verification (PIV) Interoperability For Non-Federal Issuers
Roles & Responsibilities

1. **Attribute**: The qualification, certification, authorization, and/or privilege of an individual.
2. **F/ERO**: Federal/Mutual Aid Emergency and Response Official is a State/Local/Federal/Territorial government employee or contractor who is responsible for the execution of the NRF, NIPP, NCIPP, and/or NIMS.
3. **F/ERO Attribute**: The designated categories along with the qualifications, certifications, authorizations, and/or privileges of an F/ERO who is responsible for the execution of the NRF, NIPP, NCIPP, and/or NIMS.
4. **F/ERO Attribute Source Authority**: The authoritative source document for F/ERO attribute designations.
5. **F/ERO Attribute Administrator**: The person(s) authorized to sponsor or revoke F/ERO attributes.
6. **F/ERO Attribute Registrar**: The person designated to electronically assign or revoke F/ERO attributes within the Attribute Repository as authorized by the F/ERO Attribute Administrator.
7. **F/ERO Attribute Recipient**: The F/ERO who has been authorized by the F/ERO Attribute Administrator to be enrolled for the designated F/ERO attribute.
8. **F/ERO Attribute Validation Authority**: The relying official who is authorized to electronically validate the designated F/ERO attributes of the bearer for access permissions.

Requirements for F/ERO Designator When Issuing a FRAC

When checking the “yes” box during FRAC issuance, the sponsoring entity must determine and keep current what NRF, NIPP, or COOP/COG category is being sponsored as depicted in the drop down boxes shown on the right or on the next slide.
F/ERO Designation (COOP/COG)

- National Continuity Policy Implementation Plan (NCPIP)
- Continuity Of Operations (COOP)
- Emergency Support Function (ESF) 5 - Emergency Management

F/ERO Repository Architecture

Credential Issuance Process

- Federal HSPD-12 Identity Management Systems (IDMS) w/ Personally Identifiable Information (PII)
- Federal HSPD-12 Identity Management Systems w/ Personally Identifiable Information (PII)

F/ERO Registration Process

- Homeland Security Presidential Directive (HSPD) 12 - Interoperable Credentialing Required

Access Validation Process

- Access Validation Process - Interoperability

How Should It Work?

Federal
- Standard allows processes to include:
  - State to State
  - State to Local
  - State to Tribal
  - Private to Government
  - Private to Private (e.g., utility companies)
  - Mission Assignment

State / Local / Tribal / Territorial
- Paper-based, visual or FIPS 201 electronic verification to include:
  - ID (2 forms if visual)
  - Affiliation or Affiliation
  - Deployment Source Authority

Private (CI/KR)
- Standard allows processes to include:
  - State to State
  - State to Local
  - State to Tribal
  - Private to Government
  - Private to Private (e.g., utility companies)
  - Mission Assignment

Volunteers
- Paper-based, visual or FIPS 201 electronic verification to include:
  - ID (2 forms if visual)
  - Affiliation or Affiliation
  - Deployment Source Authority

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### Chronological Electronic Validation (sample data)

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Participants</th>
<th>Host</th>
<th>Targeted Population Validation:</th>
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</thead>
<tbody>
<tr>
<td>2/23/06</td>
<td>Winter Fox</td>
<td>Federal, State &amp; Local</td>
<td>DoD Pentagon Force Protection Agency (PFPA)</td>
<td>NRF ESF-13 (Public Safety and Security) Multi-Jurisdictional Interoperability</td>
</tr>
<tr>
<td>5/18/06</td>
<td>Eligible Bridge</td>
<td>Public &amp; Private Sectors</td>
<td>The George Washington University</td>
<td>NRF ESF-5 (Emergency Management) NRF ESF-13 (Public Safety and Security) Public/Private Interoperability</td>
</tr>
<tr>
<td>6/8/06</td>
<td>AT &amp; T Private Sector</td>
<td>ID eAuthentication</td>
<td>AT&amp;T</td>
<td>NRF ESF-2 (Communications) NRF ESF-13 (Public Safety and Security) eAuthentication</td>
</tr>
<tr>
<td>6/21/06</td>
<td>Forward Challenge</td>
<td>DHS ID eAuthentication</td>
<td>DHS</td>
<td>NCPIP ESF-5 (Essential Government) NRF ESF-13 (Public Safety and Security) COOP/COG Manifest Tracking and Relocation Visibility</td>
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<tr>
<td>7/20/06</td>
<td>Maritime Interoperability</td>
<td>Public &amp; Private Ports</td>
<td>US DOT</td>
<td>NRF ESF-1 (Transportation) NRF ESF-13 (Public Safety and Security) Multi-Port Access Visibility / Tracking</td>
</tr>
<tr>
<td>12/5/06</td>
<td>Capitol Shield</td>
<td>DoD DC National Guard</td>
<td>NRF ESF-5 (Emergency Management) NRF ESF-13 (Public Safety and Security)</td>
<td>HSPD-12 Required Access into DoD-controlled Facility</td>
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<tr>
<td>2/15/07</td>
<td>Winter Storm</td>
<td>Federal, State, Local, Private Sector</td>
<td>DoD / DHS</td>
<td>NRF ESF-13 (Public Safety and Security) Multi-Jurisdictional FRAC Issuance Trust Model</td>
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<td>7/19/07</td>
<td>Summer Breeze</td>
<td>Federal, State, Local &amp; Private Sector</td>
<td>DoD / DHS</td>
<td>NRF ESF-13 (Public Safety and Security) Multi-Jurisdictional FRAC Usage Trust Model</td>
</tr>
<tr>
<td>3/6/08</td>
<td>Winter Blast</td>
<td>Federal, State, Local &amp; Private Sector</td>
<td>HHS / FEMA</td>
<td>NRF ESF-8 Public Health NRF ESF-13 (Public Safety and Security) Multi-Jurisdictional Interoperability with FIPS 201 Interoperable Credentials</td>
</tr>
<tr>
<td>5/7/08</td>
<td>NLE 2-08</td>
<td>Federal All Federal Executive Branch</td>
<td>NCPIP ESF-5 (Essential Government) NRF ESF-13 (Public Safety and Security)</td>
<td>Electronic In-Processing and Reporting of FEMA Essential Government Personnel</td>
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<td>5/15/08</td>
<td>Spring Blitz</td>
<td>Federal, State, Local &amp; Private Sector</td>
<td>FEMA / Tampa Bay, Florida</td>
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<td>7/24/08</td>
<td>Summer Sizzle</td>
<td>Federal, State, Local &amp; Private Sector (CI / KR)</td>
<td>HHS / FEMA / PA / VA / GWU</td>
<td>NRF ESF-8 (Public Health) NRF ESF-13 (Public Safety and Security) FIPS 201 Multi-Jurisdictional Interoperability to Include NRF / NIPP / NCPIP Electronic Attributes</td>
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<td>9/16/08</td>
<td>Volant Freight</td>
<td>Federal, State, Local FEMA, the Commonwealth of Virginia (VA), and OPRON</td>
<td>NCPIP ESF-5 (Essential Government) NRF ESF-13 (Public Safety and Security)</td>
<td>Electronically Validated FIPS 201 Interoperable Credentials Issued by the Commonwealth of Virginia Credentialing Infrastructure</td>
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<td>10/23/08</td>
<td>Autumn Rush</td>
<td>Federal, State, Local</td>
<td>All Hazards Consortium</td>
<td>NRF ESF-13 (Public Safety and Security) FIPS 201 Multi-Jurisdictional Interoperability to Include NRF / NIPP / NCPIP Electronic Attributes</td>
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<td>3/5/09</td>
<td>Winter Chill</td>
<td>Federal, State and Local</td>
<td>Interagency Advisory Board (IAB)</td>
<td>NRF ESF-5 (Emergency Management) NRF ESF-13 (Public Safety and Security)</td>
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### On-Scene Human Resources (sample data)

<table>
<thead>
<tr>
<th>Location</th>
<th>Name</th>
<th>Participants</th>
<th>Host</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Locations]</td>
<td>[Names]</td>
<td>[Participants]</td>
<td>[Hosts]</td>
</tr>
</tbody>
</table>

### NCRC Coordinated Demonstrations

<table>
<thead>
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<th>NCRC</th>
<th>Date</th>
<th>State/Local/Province</th>
<th>Institution</th>
<th>Event/Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>[NCRCs]</td>
<td>[Dates]</td>
<td>[States/Local/Provinces]</td>
<td>[Institutions]</td>
<td>[Events/Activities]</td>
</tr>
</tbody>
</table>

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**Access Control Transaction Data**

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**Human Resource Situational Awareness**

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**Multi-Scenario Proven Capability**

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Upcoming Demonstrations
Quarterly – NCR essential government relocation exercises
- Asset mobilization (air, land, water, rail)
- Agency familiarization (validation process)
- Business rule refinement (manifest tracking)

May 09 - Spring Ahead
- Multiple scenarios, stakeholders, locations
- FIPS 201 “invested” stakeholder credential validation & interoperability
- FEMA / HHS collaboration for medical surge credentialing & mobile resume
- Driver’s License verification for pre-hurricane season citizen re-entry / shelter-in-place

Jun 09 - Eagle Horizon
- Federal COOP/COG exercise
- Multiple OPRON relocations

End State: Federal & Mutual Aid Preparedness

Incident Management:
To get the right people with the right attributes to the right places at the right times thus reducing response/recovery times and promoting restoration to pre-incident quality of life conditions

Intended benefits:
Emergency response officials will possess FRACs or FIPS 201-interoperable identity credentials that align with Federal standards and enable e-Authentication of identity and disaster response/recovery attribute information for determining access privileges

Additional benefit:
FRACs or FIPS 201-interoperable identity credentials issued by respective sponsoring agencies in a distributed environment can be integrated into standards-based physical and logical access systems thus eliminating proprietary solutions that can be costly to maintain/upgrade or time

Questions?
FEMA-FRACSupport@dhs.gov