

IAB Agenda

- **Opening Remarks** (*Tony Cieri*)
- **OMB Perspective on HSPD-12 Progression** (*Carol Bales, OMB*)
- **HR 1 - Federal Preparedness Requirements** (*Chris Geldart, DHS/FEMA*)
- **NIST Update** (*Bill Macgregor, NIST*)
- **Unique ID- Federal Employee and Foreign National** (*Phong Ngo and Mark Pekrul, OPM*)
- **DHS' Credentialing Framework Initiative** (*Patricia Cogswell, DHS*)
- **Lessons Learned from a Shared Service Provider (SSP) Solution** (*Steve Duncan, GSA*)
- **E-authentication** (*Myisha Frazier-McElveen, GSA*)
- **HSPD-12 Status Update--NASA** (*NASA*)
- **Printed & Electronic Data on the Credential** (*NASA*)
- **Closing Remarks** (*Mike Butler, GSA*)



U.S. Department of Homeland Security Screening Coordination Office

DHS Screening and Credentialing

January 2008



Agenda

- What is screening?
- SCO
- Credentialing/Screening Framework



What is Screening?

- **Screening is the “systematic examination or assessment, done especially to detect a potential threat or risk; or any particular substance, attribute, person, or undesirable material.” (DHS Lexicon)**
- **Terrorist-related screening is “the collection, analysis, dissemination, and use of information related to people, cargo, conveyances, and other entities and objects that pose a threat to homeland security.” (HSPD-11)**
- **SCO’s initial focus is information-based people screening processes and systems.**
- **Types of Information-Based People Screening:**
 - Terrorist-related
 - Criminal history
 - Immigration status
 - Eligibility for privilege, status, or access



Daily DHS Screening Opportunities

- **Process 1.2 million inbound travelers at POEs - 630,000 aliens**
- **Screen 1.8 million domestic air travelers**
- **Conduct 135,000 biometric checks for visa applicants and border crossing**
- **Process 30,000 immigration benefit applications**
- **Verify the employment status of 3.2 million new employees in the U.S. for approximately 121,000 employers**
- **Manage Trusted Traveler Programs**
- **Based on statutory authority, design and execute background checks for critical infrastructure workers (Hazmat, TWIC, chemical sector)**



Screening Coordination Office History and Role

History

- **FY'06 President's Budget Request**
 - **Program Consolidation**
- **Appropriations**
- **FY'07 President's Budget Request**
 - **Program Coordination**

Role

- **Program Advocate**
- **Integrator establishing Business Framework and Roadmap**
- **“Portfolio Manager”**



Screening Coordination Office

“WORKING” MISSION STATEMENT

To strengthen homeland security by enhancing screening processes and technologies, in order to facilitate legitimate travel and trade, ensure individual privacy and redress opportunities, and deter, detect, and deny access to and withhold benefits from those who pose a threat to the U.S.

GOALS

- **Identifying opportunities to harmonize and enhance screening processes across DHS “people screening” programs**
- **Rationalizing and prioritizing investments in screening technologies and systems**
- **Developing metrics for evaluating and improving screening processes**
- **Establishing standards for biometrics use in screening**



SCO Current Priority Activities

- **Developing recommendations and an implementation plan to establish standard capabilities for DHS credentialing programs**
- **Leading the interagency effort to deliver “One Stop Redress” – stood up DHS TRIP to address watch list misidentifications**
- **Supporting CBP and TSA in developing an integrated solution for Air Passenger and Crew Pre-Screening against the Terrorist Watch List**
- **Guiding implementation of the Western Hemisphere Travel Initiative**
- **Assisting in execution of DHS screening programs, such as TWIC and Registered Traveler, as they drive toward program milestones**
- **Supporting Immigration Reform and Transformation efforts, including USCIS Transformation**
- **Aligning biometric and biographic screening efforts**



Credentialing Framework Initiative

In December 2006, the Screening Coordination Office (SCO) published the Credentialing Initiative Report. This report established a number of strategic objectives and established a path forward. These objectives are:

- **Design credentials to support multiple licenses, privileges, or status, based on the risks associated with the environments in which they will be used;**
- **Vetting, associated with like uses and like risks, should be the same;**
- **Immigration status determinations by DHS components should be verified electronically;**
- **Entitlement to a license, privilege, or status should be verified using technology;**
- **Design enrollment platforms and data collection investments so that they can be reused by other DHS programs where appropriate – establishing a preference for “enroll once, use many” environment; and**
- **Ensure opportunities for redress – individuals should be able correct information held about them.**



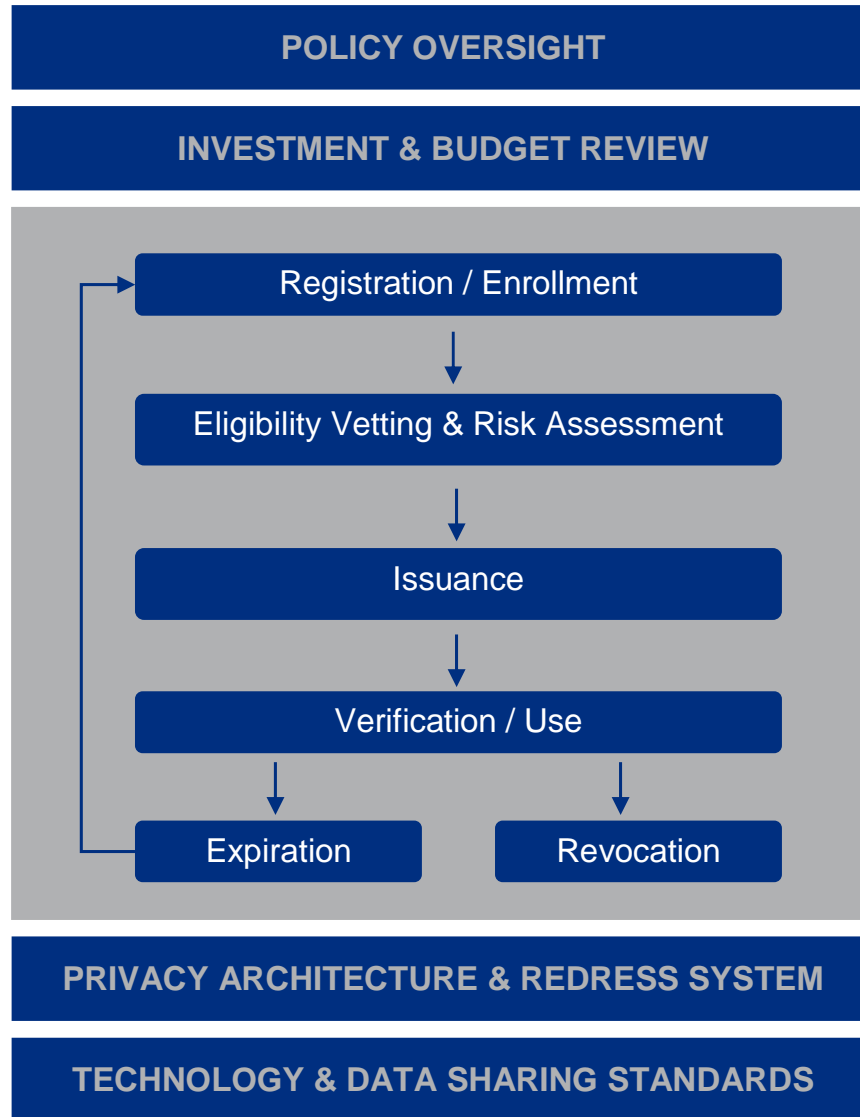
Credentialing Framework Initiative

The Credentialing Framework Initiative (CFI) is the next step in implementing these objectives. The Credentialing Framework is intended to guide the selection and coordination of credentialing activities and investments throughout DHS

- **The Business Process and Functionality Vision**
 - Describes a cohesive environment across the credentialing lifecycle of registration and enrollment, eligibility vetting and risk assessment, issuance, and expiration and revocation
- **The Information Technology / Enterprise Architecture (IT / EA) Assessment**
 - Describes how the Homeland Security Enterprise Architecture (EA) identifies the relationships between the credentialing processes and business capabilities and the IT services related to screening and credentialing across the DHS enterprise
- **The Transition Plan**
 - Outlines the projects needed to actualize the Credentialing Capability Framework, including identification of major activities, milestones, and associated timelines and funding



Credentialing Programs – Business Process





Credential Framework

- This framework describes the capabilities across the credentialing lifecycle. Each column represents a phase of the credentialing lifecycle. Capabilities may be listed from most comprehensive to least (top to bottom), or may differ only by type, not by level.

	REGISTRATION AND ENROLLMENT	ELIGIBILITY VETTING AND RISK ASSESSMENT	ISSUANCE	VERIFICATION AND USE	EXPIRATION AND REVOCATION	REDRESS / WAIVER
CAPABILITIES	Government operated	Broad scope: Terrorism, criminality, immigration, identity, etc.	Physical credential, detailed security / verification features, developed to widely used specification (e.g. FIPS 201 or ICAO)	High level assurance of identity, authenticity and status validity	Match against central records	Intake
	Government regulated, non-government operated	Limited scope: Terrorism, criminality, immigration, identity, etc.			Physical credential, detailed security / verification features, developed to limited use specifications	Authenticity and status validity emphasis, lower level or no identity verification
		Terrorism nexus only	Physical credential with minimal security / verification features or process without physical credential	Availability of misidentification / waiver decision for reuse by other screeners		
	Government guidelines, non-government operated	Sponsor approved			One time use credential	Denomination
TREND ANALYTICS						



IT / EA Assessment

High Priority Service	EA Definition
Case Manager	Provides the capability to maintain a case through its lifecycle and to recognize relationships between people, including suspects, interviewees, victims, organizations, laws and mandates, subpoenas and search warrants to a particular case step. The service also manages various types of cases, including cyber and financial investigations, audit, incident and benefit cases.
Credential Manager	Provides the capability to perform all activities related to the credentialing lifecycle phases, including registration and enrollment, vetting, issuance, verification and use, expiration and revocation, and redress.
Encounter Manager	Records all encounters this individual has with DHS, and reports these encounters to DHS users with the appropriate user roles.
Identity Manager	Provides the capability to create and update information about an individual and to link personal data on individuals consistently, across system and processes and over time, by assigning a unique identifier.
Query Manager	Provides the capability to search for, or verify the identity of, a person using biographics or biometrics. Enables DHS users, based upon role and business context, to enter an individual's identity data via the Query Service to access relevant data sets to obtain necessary information.
Watch List Manager	Provides a single conduit to receive, share, and disseminate Watch List data including alerts, warnings, and derogatory information throughout the DHS organization.



Business Needs

- **Create an easy way for an individual to inform DHS that DHS has encountered that individual before**
- **Conduct checks**
 - Matching across data sets
 - Biometric / biographic
 - Thresholds
- **Once records are matched, the decisions stay associated, actions / results are tracked and redress options exist**
- **Identity Verification – Are you the person I encountered before?**
- **Credential Status Verification – Is your credential valid?**
- **Enrollment**
- **Credential issuance**



Transition Plan Recommendations

Prioritized Screening & Credentialing Projects	Description	Mapping to DHS EA Services	Mapping to Component Investments
DHS Screening Suite	This suite provides screening services for: <ul style="list-style-type: none"> • Known and suspected terrorist Watch List; and • Other derogatory data sets. Biographic and biometric screening services are considered part of this suite.	Case Manager * Identity Manager Query Manager Watch List Manager	Known and Suspected Terrorist Watch List: <ul style="list-style-type: none"> • Watch List Service • IDENT Other Derogatory Data Sets: <ul style="list-style-type: none"> • TECS Modernization • IDENT (including reuse of IDENT / IAFIS Interoperability)
DHS Account Setup / Enrollment Suite	This suite is focused on providing public facing account setup for enrollment, grouped by lines of business.	Case Manager * Credential Manager Encounter Manager Identity Manager	Immigration / Border: <ul style="list-style-type: none"> • USCIS Transformation • SEVIS II • Enumerator Transportation: <ul style="list-style-type: none"> • TWIC Other: <ul style="list-style-type: none"> • HSPD-12
DHS Encounter Service / Status Validity Suite	This suite provides biometric and biographic matching across non-derogatory data sets. Biographic data is grouped by lines of business.	Encounter Manager Identity Manager Query Manager	Immigration / Border: <ul style="list-style-type: none"> • IDENT • PCQS, FQ, ADIS • Enumerator Transportation: <ul style="list-style-type: none"> • IDENT • TSA Screening Gateway Other: <ul style="list-style-type: none"> • HSPD 12 • IDENT
	This suite provides status verification capabilities to answer the question: Is the status of your issued credential still valid?		Immigration / Border: <ul style="list-style-type: none"> • E-Verify • SAVE Transportation: <ul style="list-style-type: none"> • TWIC • HAZMAT Other: <ul style="list-style-type: none"> • FRAC • HSPD-12

* Most functionality associated with Case Manager is not in the Screening or Credentialing portfolios and falls into a different segment architecture. This effort only addresses a subset of case functionality.



Implementation

- Budget
- Implemented through:
 - New IT Portfolio Management process
 - EA reviews
 - New Investment Review process
 - Policy review