



MABAS-Wisconsin

Organized 2004

Credentialing of Personnel and Authentication Matrix

Purpose

This program is intended to define a reliable and sustainable, statewide system to rapidly identify and validating emergency management and incident response personnel, and provide authorization which permits/grants access to an incident. The credentialing process is a major component of the *Authentication Matrix* utilized for processing and tracking personnel, and other resources being deployed to a large-scale intrastate and interstate mutual aid.

Scope

The credentialing process is based on an objective evaluation and documentation of a person's current licensure or degree; training and experience; competence and certification; and the ability to meet a nationally accepted minimum standard; to provide particular services; and/or functions or performs particular procedures during an incident. Credentialing was initiated as a necessary requirement of mutual aid agreements or compacts between states (interstate); however it is also necessary for large-scale deployment of resources within a state (intrastate).

Authority

The authority for a credentialing system in the State of Wisconsin is established in Homeland Security Presidential Directive 12 (HSPD 12), dated August 27, 2004. The NIMS Credentialing requirement was a newly established NIMS objective and compliance metric (27.) for 2008. NIMS Credentialing is a three-part administrative process establishing the photo identity of the personnel being deployed; validating the qualifications and assessing the background of personnel being deployed; and providing the authorization which permits/grants access to an incident involving mutual aid.

The specific NIMS Compliance Objective states:

27. NEW FY08 Initiate State/Territory wide system to credential emergency management/response personnel to ensure proper authorization and access to an

incident including those involving mutual aid agreements and/or assistance agreement.

29. NEW FY08 Institute policies, plans, procedures, and protocols to prevent spontaneous deployment or resource/personnel and/or responding to a request that bypassed official resource coordination processes (i.e. resources through improper channels).

Effective Date

The effective date of this program is January 1, 2010. Agencies that will be deployed must minimally possess Qualification Cards meeting the Federal Identification Processing Standard 201 (FIPS-201), Personal Identity Verification I (PIV-I) level.

Credentialing Process

The credentialing process contains key components to validate its worth. First, there will be minimum required qualifications established for the competency of the stated resource capability being requested; second, the Governor of the state will establish a granting authority to an agency or organization, that would issue qualifications cards; the system will be standardized among states participating in the mutual aid agreements; the system will facilitate inventory and tracking of responding resources, and determine availability and readiness; in recognition of home rule, the issuance of credentialing certifications remains with the jurisdiction having authority; and the system will be able to comply with evolving technologies.

Granting Authority

The Wisconsin Department of Homeland Security has appointed the **STATE AGENCY** as the credentialing authority in the state. The **STATE AGENCY** will be responsible for establishing and maintaining the central data base for the state's credentialing system. The **STATE AGENCY** will provide real time access to the data base to regional/incident coordinators for emergency management and incident response.

The **STATE AGENCY** shall establish an advisory board comprised of representatives from each of the credentialed disciplines. Each discipline shall identify a group within the organization or an affiliate organization that would be charged with verifying and issuing the credentialing system cards. Each discipline shall ensure that provisions of the Real Act of 2005 are adhered to, specifically in Section 3 Verification of Documents (C)(d):

- (7) Ensure the physical security of locations where qualification and identification cards are produced and the security of document materials and papers from which qualification and identification cards are produced.
- (8) Subject all persons authorized to manufacture or produce qualification and identification cards to appropriate security clearance requirements set forth by the **STATE AGENCY**.

Maintenance Agency

The **STATE AGENCY** shall be charged with the maintenance and security of the central data base of information. The central data base is necessary for identification and validation information that will be integral to process responders at the Reception Area (check-in). Information technology measures, i.e. firewalls, logon and passcodes, and auditing trails, must be in place to ensure the reliability and security of the information contained in the central data base.

Qualifications/Capability

The “recognized authority” for each discipline shall identify the positions/job functions that would likely respond to an emergency management and incident response. The tribal authority shall identify the position/job functions that would likely be responding to an emergency or incident response within the tribal regions. For each position, minimum individual qualifications, experience, and resource capability shall be established. See **Appendix A** for the response job functions and positions by discipline, and qualifications necessary for each Fire Service position.

The credentialing system will include volunteer and non-governmental organizations (NGO’s) into an emergency management or incident response. The NGO directors, supervisors, and/or individuals likely to be deployed to an incident, will be identified, qualified, and validated in the central data base held by the credentialing authority. Personnel under the supervision of the NGO directors or supervisors will be issued on-scene affiliate-access. The credentialing authority shall establish an initial list of volunteer organizations and NGO’s that have participated in or are likely to participate in emergency response to establish minimum qualifications and capability.

The disciplines, teams, and organizations required to meet qualification standards are:

- Emergency Management
- Emergency Medical Services
- Fire Service
- Hazardous Materials
- Incident Management Assistance Teams
- Law Enforcement
- Medical and Public Health
- Public Works
- Search and Rescue

Resource Agencies

Local participation in the credentialing process is voluntary for responders; however an organized system of ordering and managing responding personnel resources is necessary. The **STATE AGENCY** and the Wisconsin Department of Homeland Security strongly recommends participation in the process.

The emergency response agencies, whether public or private, shall determine emergency response job positions, minimum qualifications, and the availability,

capability and readiness to respond to an emergency incident. See **Appendix B** for an example of personnel inventory form for NIMS qualifications.

Each response agency is also tasked with maintaining the list of responders under their responsibility in the central data base. Modifications to the list must be reported on an annual basis or within 18 hours of a status major change, i.e. a security hold and personnel added or removed from the response agency list. Status changes in personnel typing will be addressed to the **STATE AGENCY**, which has been charged with the maintenance responsibilities.

Interstate Standardization

The fire, special rescue, and emergency medical resources are connected in five states (Illinois, Wisconsin, Indiana, Missouri, and Michigan) by the Mutual Aid Box Alarm System (MABAS). With Illinois being the anchor state of MABAS, each state has similar administrative policies and response procedures. Other states, i.e. Ohio, Iowa, and Minnesota, are either working within MABAS-like systems or are considering MABAS as the framework for mutual aid deployments.

The State of Illinois has taken the lead in identifying the CardSmart as the “qualification card” system. MABAS-Illinois is utilizing this system provide pre-authorized, pre-issued credentials to emergency response personnel that would be likely to deploy on a large-scale incident under pre-determined guidelines, i.e. hazardous materials and specialized rescue teams, incident management teams, and response coordinators. All other potentially deployable emergency response personnel will be credentialed and issued qualification cards on scene at the Reception Area (check-in). Since MABAS member states require operational standardization, MABAS-Wisconsin (MABAS-WI) will follow the same operational plan.

Evolving Technologies

The Federal Information Processing Standard 201 (FIPS-201) addresses Personal Identity Verification and contains two parts – PIV-1 and PIV-2. The PIV-I satisfies the control objectives and meets the security requirements of HSPD12, while PIV-II meets the technical interoperability requirements of HSPD 12. PIV-II specifies implementation and use of identity credentials on integrated circuit cards for use in a Federal personal identity verification system. Even though there is no credentialing requirement to comply with this Federal standard, having interoperable systems will be important for processing of responding personnel on an interstate deployment.

The FIPS-201-1 addresses the standard for information requirements of the qualification cards. Qualification cards must contain the following information:

- Name of Responder
- Agency of Origination
- Affiliate Discipline
- Contact Information
- Qualifications and Certifications
- Etc. (TBD)

The primary purpose of the credentialing system is to identify and validate responding personnel, for processing the Reception Area (check-in) requirements, and for incident tracking of job assignments. The system can also be adapted for the tracking and utilization of physical resource caches and equipment.

The MABAS-WI Regional Coordinator, EMAC Advance Team Coordinator, or WEM designee must have the ability to connect, through multiple modes, to the Central Data Base. To provide on-scene check-in of resources that do not have pre-authorized, pre-issued credentials, a connection method is necessary to validate responding resources. Having mission orders alone without identification and validation of responding resources is not sufficient and accessing will be denied.

Access to the central data base is necessary under two scenarios: a fixed location or from the field. Within the State of Wisconsin, access and data transfer from a fixed location can be accomplished where a BadgerNet system connection exists; and field access can be accomplished utilizing the State VHF Trunking System (future communication system). Additionally, fixed location or field access can be accomplished with a mobile computer having cellular capability (infrastructure dependant).

Response Procedure

The Wisconsin Fire Service is developing an intrastate mutual aid system called the Wisconsin Fire Service Emergency Response Plan (WFSERP), which supports several of the Emergency Support Functions (ESFs) of the Wisconsin Emergency Response Plan (WERP). The WFSERP specifically supports Firefighting (ESF 4), Emergency Medical Services (ESF 8), Urban Search and Rescue (ESF 9), and Hazardous Materials (ESF 10). The WFSERP is the foundation and the framework by which the Wisconsin Fire Service participates in interstate mutual aid through the Emergency Management Assistance Compact (EMAC).

Under the WFSERP, the official deployment of resources will only occur at a point when the requested agencies receive a *Deployment Notification* containing the mission orders, a mission number, and a mission pass code. The mission orders will contain the requested assignment(s), the mustering point location and time of departure, travel instructions, and the Reception Area location for in-processing. Wisconsin Emergency Management (WEM), through the Emergency Response Notification System at the Central Dispatch Center (CDC), will issue the Deployment Notification. Prior to that notification, the CDC will send an *Advisory Notification* to the identified resources for an alert of a potential deployment. The agencies receiving the Advisory Notification shall assess readiness and capability to respond to a deployment; however, the actual deployment will occur when the Deployment Notification is received by the requested agency. The combination of the information contained in the Deployment Notification and the validation of the responding personnel is the Authentication Matrix.

The Authentication Matrix is a process validating credentialed resources that have been requested for assistance. This process is performed by the MABAS-WI Regional Coordinator, EMAC Advance Team member, or designee of Wisconsin Emergency

Management to process responding personnel, equipment, and other requested resources at the Reception Area (see check-in).

Credentialing supports and facilitates qualified individuals to be requested, invited, sent, received, and deployed. Credentialing assists these individuals to gain access to resources, sites, and/or systems needed to perform their assigned functions, tasks, or duties. Three key processes are essential for these actions to occur and standardization in the use of these processes is explained here:

- **Identity** – *Is the emergency response official the person he/she presents him/herself to be?* Verifying identity is an important process critical to the use of a credentialed person in mutual aid response, but separate and distinct. Reasonable verification can be accomplished by the combination of the unit, personnel, and organization being listed on the mission orders with on-scene government-issued photo identifications (i.e. a driver's license and organization affiliation cards). Positive verification of identity would occur with mission orders and a pre-issued credential prior to departure response or established on scene through a central data base connection.
- **Request, Invitation, and Authorization** -- *Is the emergency response official officially deployed in response to a request for assistance?* Incident/unified commands make requests for resources and personnel. Organizations invite individuals to fill these requests. Once an organization has determined who can be sent, they are to provide the individuals with documentation that they are being sent in response to the specific request. The documentation issued under EMAC serves to communicate that the response and recovery persons have been sent to the location requesting assistance by an authority having jurisdiction. Under EMAC, a properly identified and qualified person who presents the proper documentation of their authorization for deployment shall be considered credentialed for the purposes of this *Standard*. This *Standard* recognizes that EMAC may define the processes and rules that are to be applied to their processes for a request, invitation, and authorization.
- **Security and Access** – *Is the emergency response official permitted access?* Incident/unified command determines the rules that permit a person to have access to resources, sites, and/or systems. A credentialed person is not authorized to pass through security and access controls unless incident/unified command has determined that access will be permitted using this approach. Security and other personnel must be regularly informed of the “rules of engagement” for access so that emergency response officials who are credentialed in accordance with the *Standard* may be permitted swift access to the resources, sites, and/or systems where they are needed. Site-specific “badging” approaches may be used; however these badges are not to be referred to as “credentials.”

Reception Area

The Reception Area is a location separate from staging areas where resources report in for in-processing and out-processing. The Reception Area provides accountability,

security, situational awareness briefings; distribution of incident action plans (IAPs), briefings, and supplies for requested resources. The Reception Area may be co-located with other incident facilities, i.e. base camp. From the Reception Area, resources will be sent to incident staging area(s) or directly to operational areas as ordered by the incident commander/unified command.

Through this policy, spontaneous deployment or resource/personnel responding to a request that bypassed official resource coordination processes (i.e. resources through improper channels), will be prevented. No resources will be allowed into the Reception Area without the proper requirements of the Authentication Matrix. Logistical support may be denied, and resources will be sent back or subject to incident security.

Qualification Cards

The Wisconsin fire service has chosen the **CardSmart** System as the system for providing qualification cards for pre-identified, qualified, and affiliated fire service personnel. This system is consistent with our interstate mutual aid partners in the Mutual Aid Box Alarm System (MABAS). The issuing authority for the fire service will be a state-wide board comprised of representatives of Wisconsin State Fire Chiefs Association, Wisconsin Emergency Management, and MABAS-WI. The local fire chief or the agency manager of each fire and EMS agency will verify the certifications, licensure, and the requisite experience identified for each emergency response position.

The fire and EMS agency leaders will utilize the companion MS Excel worksheets to certify the credentials of the personnel within their agencies. Each individual in the agency will be listed and a check mark will be placed in the box corresponding to the certification, licensure, and/or experience achieved by that individual. For agencies requiring additional worksheets for position categories, duplicate worksheets can be made. To create a duplicate, right click on the category tab that requires a duplicate copy; at the bottom of the dialogue box that appears, choose “Move or Copy . . .”; in the next dialogue box, place a check mark next to “Create a copy” and click OK. Repeat this process for the number of worksheets required by the agency to account for all personnel.

Once the worksheets are complete, the agency supervisor will print the “Entire Workbook” from the print screen and will place their signature on the worksheets as the verification of the information. Send completed form to:

XXXX XXXX XXXX|
XXXX Maintenance Coordinator
XXXX XXXX Street
Madison, WI 53**XXXX**

Resources

- NIMS Guide 0002, March 27, 2007; NIMS Integration Center
- Federal Information Processing Standards Publication, FIPS-201-1

- Real ID Act of 2005
- NIMS Standard for the Credentialing and Typing of Personnel, May 2, 2008 (draft)
- Wisconsin Fire Service Emergency Response Plan, June 1, 2008 (draft)
- CardSmart Systems, Inc., www.cardsmartsys.com

Definitions

The following definitions apply to this policy:

- **Affiliate-Access** – This term refers to the way individuals who are affiliated with (and become the responsibility of) a credentialed responder and are to be treated under the NIMS Standard for the Credentialing and Typing of Personnel (*Standard*). The *Standard* recognizes that at certain stages of a disaster, teams of people will be arriving at an incident to perform important duties and functions but that they may not be credentialed in specific conformance with this *Standard*. The *Standard* intends that such individuals be assisted in fulfilling these duties and functions if they follow the standards and rules.
- **Authentication Matrix** – This is the collective components and administrative processes of validating personnel at the incident to become credentialed. The Authentication Matrix includes the information within and connectivity to the central data base of information on pre-identified, pre-qualified, and pre-screened personnel available for incident deployment.
- **Check-In** – Check-in is an incident-specific process (logical or physical) that is established by incident/unified commands to receive individuals and to determine whether they will be granted authorization to be deployed for emergency and incident management, response, or recovery purposes. Credentialed individuals are to be assisted to reach check-in processes established by incident command. The check-in process will occur at a facility known as the *Reception Area* under the WFSERP. This term is not to be used to referring to security and access control situations.
- **Credentialed** – A person who has in his possession all three elements outlined in NIMS Guide 0002, i.e., proof of (1) Identity, (2) Qualification or Affiliation, and (3) Authorization for Deployment. A person who has proof of Identity and Qualification/Affiliation is not credentialed until they receive proper Deployment Authorization.

NOTE: Currently the three elements may be presented in physical and/or electronic format, e.g., hard-copy material or data transmitted using technologies. The goal is to achieve validation and verification of the three elements noted above by electronic means resulting in a national trust framework. It is understood that this cannot be accomplished immediately. Any elements of credentialing established under EMAC, or under any State or tribal law for the specific intent of complying with this Standard, are to be used as the standard in the applicable jurisdiction.

- **Credentialing** – This refers to all the administrative processes that result in issuing, using, monitoring, managing, or revoking any or all of the elements necessary for a person to be credentialed, i.e., (1) Identity, (2) Qualification/Affiliation, and (3) Authorization for Deployment.

Appendix A – Personnel Resource Positions with Knowledge, Skills, and Abilities Attributes

Discipline: Fire Service

Position Abbreviation	Position Category	Position Definition/Certification
APFF	Firefighting	Airport Firefighter
FADO	Firefighting	Fire Apparatus Driver Operator
FFI	Firefighting	Firefighter I
FFII	Firefighting	Firefighter II
FII	Firefighting	Fire Inspector I
FIII	Firefighting	Fire Inspector II
FOI	Firefighting	Fire Officer I
FOII	Firefighting	Fire Officer II
FOIII	Firefighting	Fire Officer III
FOIV	Firefighting	Fire Officer IV
WFFI	Wildland Firefighting	Wildland Firefighter I
WFFII	Wildland Firefighting	Wildland Firefighter II
WFOI	Wildland Firefighting	Wildland Fire Officer I
WFOII	Wildland Firefighting	Wildland Fire Officer II
EMT-B	EMS	Emergency Medical Technician Basic
EMT-I	EMS	Emergency Medical Technician Intermediate
EMT-IV	EMS	Emergency Medical Technician Intervenous
EMT-P	EMS	Emergency Medical Technician Paramedic
EMS-N	EMS	Emergency Medical Service Nurse
EMS-P	EMS	Emergency Medical Service Physician
TEMS	EMS	Tactical Emergency Medical Support
HLAT	Special Rescue	High/Low Angle Rope Rescue Technician
SCT	Special Rescue	Confined Space Rescue Technician
SCT	Special Rescue	Structural Collapse Rescue Technician
TRT	Special Rescue	Trench Rescue Technician
DRT	Special Rescue	Dive Rescue Technician
SWFT	Special Rescue	Swift Water/Flood Rescue Technician
IRT	Special Rescue	Ice Rescue Technician
WRT	Special Rescue	Wilderness Rescue Technician
STT	Special Rescue	Subterranean Rescue Technician/MSHA
HM-O	Hazardous Materials	Hazardous Materials Operations Level
HM-SO	Hazardous Materials	Hazardous Materials Safety Officer
HM-T	Hazardous Materials	Hazardous Materials Technician
IC100	NIMS ICS Training	NIMS Incident Command Level 100 Training
IC200	NIMS ICS Training	NIMS Incident Command Level 200 Training
ICS300	NIMS ICS Training	NIMS Incident Command Level 300 Training
ICS400	NIMS ICS Training	NIMS Incident Command Level 400 Training
IC700	NIMS ICS Training	NIMS Incident Command Level 700 Training
IC800	NIMS ICS Training	NIMS Incident Command Level 800 Training
C&GS	Incident Management Team	Command & General Staff ICS - Type 4 IMT
IC	Incident Management Team	Incident Command - Type 3 (All Hazards)
OPSC	Incident Management Team	Operations Section Chief - Type 3 (All Hazards)
PLSC	Incident Management Team	Planning Section Chief - Type 3 (All Hazards)
LGSC	Incident Management Team	Logistics Section Chief - Type 3 (All Hazards)
FASC	Incident Management Team	Finance/Admin Section Chief - Type 3 (All Hazards)
LO	Incident Management Team	Liaison Officer - Type 3 (All Hazards)
PIO	Incident Management Team	Public Information Officer - Type 3 (All Hazards)
ISO	Incident Management Team	Incident Safety Officer - Type 3 (All Hazards)

