2021 CHEMICAL SECURITY SEMINARS

December 15, 2021

#ChemicalSecurity
CFATS Personnel Surety Program Overview and Demonstration

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Standardization and Evaluation Section
Compliance Branch
CISA Chemical Security

#ChemicalSecurity
What Is the Personnel Surety Program?

- Risk-Based Performance Standards (RBPS) 12 – Personnel Surety requires facilities to perform four types of background checks on affected individuals.

- RBPS 12(iv), screening for terrorist ties, applies to all CFATS-covered facilities Tiers 1-4.
4 Options

Option 1
Direct Vetting Through CSAT

Option 2
Verify Existing Credential

Option 3
Electronic Verification Via TWIC Reader

Option 4
Visual Verification Of Existing Credential
As a Reminder: Affected Individuals

- Affected individuals are:
  - Facility personnel with or seeking access to restricted areas or critical assets at high-risk chemical facilities
  - Unescorted visitors with or seeking access to restricted areas or critical assets at high-risk chemical facilities

- High-risk facilities may classify particular contractors or categories of contractors either as “facility personnel” or as “visitors.”
  - This determination should be facility-specific and based on facility security, operational requirements, and business practices.
Flexibility When Implementing

- Facilities can tailor their Site Security Plans (SSPs)/Alternative Security Programs (ASPs) to best balance who qualifies as an affected individual based upon unique security issues, cost, and burden.

- **Facilities have the flexibility to:**
  - Establish restrictions on who can access restricted areas and critical assets
  - Choose to escort visitors to restricted areas and critical assets in lieu of performing the background checks required by RBPS 12
  - Perform traditional escorting
  - Choose video escorting
PSP Application
Personnel Surety Program Application

- Within the PSP application, a covered chemical facility can:
  - Submit information about an affected individual under Option 1 for vetting against the Terrorism Screening Database (TSDB)
  - OR
- Under Option 2 for electronic verification of an affected individual’s enrollment in:
  - Transportation Worker Identification Credential (TWIC)
  - Hazardous Materials Endorsement (HME)
  - Trusted Traveler Programs:
    - NEXUS
    - Free and Secure Trade (FAST)
    - Global Entry
    - Secure Electronic Network for Travelers Rapid Inspection (SENTRI)
## CSAT PSP Roles

<table>
<thead>
<tr>
<th>CSAT PSP User Role</th>
<th>Description</th>
</tr>
</thead>
</table>
| Authorizer         | - Create/manage groups  
|                    | - Assign PSP Submitters and manage existing PSP Submitters  
|                    | - View, edit, and input affected individuals' information under Option 1 or Option 2  
|                    | - Create/manage User Defined Fields (UDF) |
| PSP Submitter      | - The PSP Submitter role is assigned by the Authorizer.  
|                    | - View, edit, and input affected individuals' information under Option 1 or Option 2.  
|                    | - Individuals that may be assigned to the PSP Submitter role include:  
|                    |   - An employee of the covered chemical facility  
|                    |   - An employee or contractor of a corporation who owns the covered chemical facility  
|                    |   - A third-party contractor performing work on behalf of the covered chemical facility |
Groups

- Authorizers can manage access to records about affected individuals by creating groups and then assigning PSP Submitters to groups.
  - Multiple PSP Submitters can be assigned to each group.
  - Each group created must have at least one PSP Submitter assigned to it.
  - Any PSP Submitter assigned to a group may view all records about affected individuals within that group.
  - A PSP Submitter may only be assigned to one group.
  - A record about an affected individual may only be associated with one group within a single Authorizer’s purview.
Groups (cont.)

- When the Agency grants the Authorizer access to the PSP application, a “default” group labeled “Corporation” is established.

- Additional groups may be created but are not required.

- An Authorizer may want to create additional groups to manage contracts, divisions, branches or other sets of affected individuals to segregate information from all PSP submitters.
User Defined Fields

- Authorizers and Administrators can create user defined fields.
- Facilities may want to consider user defined fields to sort information by:
  - Facility ID
  - Name
  - Location
  - Individual type (i.e., employee, contractor, visitor)
CFATS Personnel Surety Program (PSP) Tool Demonstration
CSAT DEMO
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<tr>
<th>Survey ID</th>
<th>Type</th>
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<th>Status</th>
<th>Last Survey Access</th>
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<td>2020-06-24 14:05:05</td>
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Tier: 1
Status: Pending Tier

Authorizer:
Zeina Azar
zeina.azar@hq.dhs.gov
(202) 510-4885
1 Test Lane
Washington, DC 11111
Last Portal Login: 2020-12-08 15:06:08

Submitter:
Zeina Azar
zeina.azar@hq.dhs.gov
(202) 510-4885
1 Test Lane
Washington, DC 11111
Last Survey Login: 2020-12-02 14:11:01

Preparers:
Zeina Azar
zeina.azar@hq.dhs.gov
(202) 510-4885
1 Test Lane
Washington, DC 11111
Last Survey Login: 2020-12-02 14:11:01

Reviewers:
Zeina Azar
zeina.azar@hq.dhs.gov
(202) 510-4885
1 Test Lane
Washington, DC 11111
Last Survey Login: 2020-12-02 14:11:01
Security Management

Below are the Security Management subsections, which are also available via the left-hand navigation menu.

- System Inspection, Testing, and Monitoring
- Training
- Personnel Surety
- Reporting Significant Security Incidents
- Investigating Significant Security Incidents
- Officials and Organizations
- Records
- Planned Measures
- Proposed Measures

Personnel Surety
- Reporting Significant Security Incidents
Q3.50.320 Types of Affected Individuals

Specify the types of affected individuals that the facility has.

- Facility personnel (e.g. employees, contractors) with access to the restricted areas or critical assets
- Visitors with unescorted access to the restricted areas or critical assets

Additional Information

*High-risk facilities may classify particular contractors or categories of contractors either as "facility personnel" or as "visitors."

Q3.50.330 Personnel Surety Program Options

Select which option(s) the facility will utilize to submit information about affected individuals.

- Option 1
- Option 2
- Option 3
- Option 4
- Other

Q3.50.340 Personnel Surety Program Assertions

Select "Yes" or "No" for all acknowledgments related to the Risk-Based Performance Standard (RBPS) 12(iv) - screening for terrorist ties:

<table>
<thead>
<tr>
<th>Acknowledgement</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility has designated and trained an individual or individual(s) (to include</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>third parties) responsible for RBPS 12(iv)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility certifies that all affected individuals will be covered by one or</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>more of the options listed above, and the facility will comply with RBPS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12(iv)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility has identified how it will safeguard information about affected</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>individuals that is obtained from the CSAT Personnel Surety Program application</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility certifies that it will comply with the timeframe required for the</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>implementation of the CFATS RBPS 12(iv) Personnel Surety Program, according to</td>
<td></td>
<td></td>
</tr>
<tr>
<td>their facility's Tier level.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Q3.50.350 Option 1 Affirmation
Select "Yes" or "No" to indicate whether or not the facility affirms that notice has been or will be provided to the affected individuals whose information is being submitted under Option 1 which (1) notifies those individuals that their information is being submitted to DHS for vetting against the Terrorist Screening Database, and in some cases additional information may be requested and submitted in order to resolve a potential match; (2) instructs those individuals how to access their information; (3) instructs those individuals how to correct their information; and (4) instructs those individuals on procedures available to them for redress if they believe their information has been improperly matched by the Department to information contained in the Terrorist Screening Database.

☐ Yes
☐ No

Provide additional comments/descriptions of this notice and how it will be provided to affected individuals.

Q3.50.360 Option 1 - Notification to DHS
Does the facility plan to notify DHS via the CSAT Personnel Surety Program Application when an affected individual no longer has access to restricted areas or critical assets?

☐ Yes
☐ No

Additional Information

4,000 characters left
Q3.50.530 Option 4 - Visual Verification of Credentials
Select each of the below which are utilized to visually verify credentials or documents accepted under visual verification.

- Comparing a picture on the credential or document to the affected individual in possession of the credential or document.
- Comparing any physical characteristics listed on the credential or document (e.g., height, hair color, eye color) with the physical appearance of the affected individual in possession of the document or credential.
- Checking for tampering.
- Reviewing both sides of the credential or document and checking for the appropriate stock/credential material.
- Checking for an expiration date.
- Checking for any insignia, watermark, hologram, signature or other unique feature.

Describe:

Q3.50.540 Option 4 - Procedures if Unable to Visually Verify Credentials
What will the facility do if it is unable to visually verify an affected individual's credential or document, the credential or document fails visual verification, or the credential or document appears invalid, expired, or fraudulent?

Describe:
<table>
<thead>
<tr>
<th>Delete</th>
<th>View</th>
<th>First Name</th>
<th>Last Name</th>
<th>Username</th>
<th>E-mail</th>
<th>Last Portal Login</th>
<th>PSP Submitter Access</th>
<th>PSP Submitter Access Group</th>
<th>Status</th>
<th>Account Locked?</th>
<th>Administrator</th>
<th>Administrat</th>
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<tr>
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<td>✓</td>
<td>Adam</td>
<td>Bengston</td>
<td>adam.bengston</td>
<td><a href="mailto:bengstonas@oml.gov">bengstonas@oml.gov</a></td>
<td>2020-04-02 11:42:59</td>
<td>CORPORATION (EMPLOYEE)</td>
<td>Enabled</td>
<td>No</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>X</td>
<td>✓</td>
<td>Kelly</td>
<td>Murray</td>
<td>kelly.murray</td>
<td><a href="mailto:kelly.murray@hq.dhs.gov">kelly.murray@hq.dhs.gov</a></td>
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<td></td>
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<tr>
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<td>Regina</td>
<td>Bell</td>
<td>regina.bell</td>
<td><a href="mailto:regina.bell@csa.dhs.gov">regina.bell@csa.dhs.gov</a></td>
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**Create Group**

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Saved Search

**Type here to search**
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<th>Description</th>
<th>Number of Submitters</th>
<th>Affected Individuals Submitted by Group</th>
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<tbody>
<tr>
<td>✗</td>
<td></td>
<td>✗</td>
<td>CORPORATION (EMPLOYEES ONLY)</td>
<td>For Submitters that are Employees of the Corporation</td>
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<td>7</td>
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**Affected Individuals**

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<th>First Name</th>
<th>Option</th>
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<td>--Select a Group--</td>
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- Corporation (Employees Only)
- Company ABC

**Submitted By**

- --Select a Name--

**User Defined Field**

- --Select a User Defined Field--
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<th>First Name</th>
<th>Gender</th>
<th>Birth Year</th>
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<th>Option</th>
<th>Status</th>
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<th>Submission Date</th>
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<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td>1991</td>
<td></td>
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</tbody>
</table>

- Option 1: Submitted
- Option 2: Verification Pending
- Option 3: Submitted
- Option 4: Submitted
- Option 5: Submitted

Submit By: 11/05/2018, 11/05/2018, 11/05/2018, 11/05/2018, 11/05/2018
User Defined Fields are provided for storing any information desired by the facility (e.g., employee ID number, employee/contractor status, etc.) to manage the exchange of electronic records between a high-risk chemical facility's information systems and the CSAT Personnel Safety application. The Department strongly discourages the use of an affected individual's Social Security Number to manage the exchange of electronic records between a high-risk chemical facility's information systems and the CSAT Personnel Safety application.
Affected Individual Record Enrollment Option Selection

- **Option 1.** Input a record to directly vet an affected individual against identifying information of known or suspected terrorists contained in the Terrorist Screening Database (TSDB).

- **Option 2A.** Input a record to verify enrollment of an affected individual in the Transportation Worker Identification Credential (TWIC) Program.
  - Revert to Option 1 — Select this checkbox if you would like the Department to automatically submit an affected individual’s record under Option 1, when the Department is no longer able to verify an affected individual that was previously submitted and verified under Option 2.

- **Option 2B.** Input a record to verify enrollment of an affected individual in the Hazardous Material Endorsement (HME) Program.

- **Option 2C.** Input a record to verify enrollment of an affected individual in the Trusted Traveler Programs, which includes:
  - NEXUS
  - Free and Secure Trade (FAST)
  - Global Entry
  - Secure Electronic Network for Travelers Rapid Inspection (SENTRY)

**Note:** Verifying an affected individual's enrollment in the TWIC Program, HME Program or one of the Trusted Traveler Programs is optional. If it is administratively easier for a high-risk chemical facility to do so.
Option 2A - Information Necessary to Identify Individuals with TWIC

**Personal Information**

- **Last Name:**
- **First Name:**
- **Middle Name:**
- **Suffix:**

**Date of Birth:**

* Format: mm/dd/yyyy

**Gender/Citizenship Information**

- If the affected individual is a U.S. Person (U.S. Citizens and Nationals as well as U.S. lawful permanent residents) you must provide Country of Citizenship or Gender.
- If the affected individual is NOT a U.S. Person, you must provide Country of Citizenship and Alien Registration Number or Passport Information.

- **Country of Citizenship:**
- **Alien Registration Number:**

**OR**

- **Gender:**

**TWIC Information (Required)**

- **TWIC Serial Number:**

- **Expiration Date Displayed on TWIC:**

* Format: mm/dd/yyyy
### Errors Found

Affected individuals will not be submitted until the errors are corrected and you click the submit button.

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<th>Middle Name</th>
<th>Suffix</th>
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<th>Alias First Name</th>
<th>Alias Middle Name</th>
<th>Alias Suffix</th>
<th>Date of Birth</th>
<th>City</th>
<th>County</th>
<th>State</th>
<th>Country</th>
<th>Gender</th>
<th>Citizenship</th>
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</table>

The date must match mm/dd/yyyy format.
Personnel Surety Program Resources

- PSP webpage: cisa.gov/cfats-personnel-surety-program
- PSP Toolkit: cisa.gov/publication/cfats-psp-toolkit
  - Sample Questions and Answers
  - Bulk Upload Spreadsheet
  - Privacy Notice
- Fact Sheet: cisa.gov/publication/cfats-personnel-surety-program-fact-sheet
- Video Demo: youtube.com/watch?v=e2oHAKBrMxA
- Notice of Implementation: federalregister.gov/d/2019-14591
Available Resources

**Outreach:** CISA outreach for CFATS is a continuous effort to educate stakeholders on the program.

- To request a CFATS presentation or a CAV, submit a request through the program website cisa.gov/cfats or email CISA at CFATS@hq.dhs.gov.

**CSAT Help Desk:** Direct questions about the CFATS program to the CSAT Help Desk.

- Hours of Operation are Mon. – Fri. 8:30 AM – 5:00 PM (ET)
- CSAT Help Desk toll-free number 1-866-323-2957
- CSAT Help Desk email address csat@dhs.gov

**CFATS Website:** For CFATS Frequently Asked Questions (FAQs), CVI training, and other useful CFATS-related information, please go to cisa.gov/cfats.

**CFATS Knowledge Center:** For CFATS Frequently Asked Questions (FAQs) and other resources, please go to csat-help.dhs.gov.