

DEPARTMENT OF JUSTICE

COMPONENT NAME/ACRONYM

Homeland Security Presidential Directive #12 Operations Plan



mm/dd/2005

Version #.#

DRAFT

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Change Log

Date	Version #	Author	Description
mm/dd/2005	1.0	Component Name, Author Name	Initial version of Operations Plan for PIV-I compliance certification and accreditation

1. Introduction

1.1. Purpose

The purpose of this document is to provide the Certification Agent with sufficient information to base a PIV-I certification and accreditation decision, which should include:

- The specific requirements for issuing PIV cards
- The processes in place or planned for meeting the PIV card requirements
- The supporting materials and identify management related documents such as the PIV Card Issuer's privacy policy for Applicants, descriptions of management procedures for assuring continued reliable operations and all agreements with agencies regarding using the services of the PIV Card Issuer.

The DOJ Certification and Accreditation (C&A) team uses this Operations Plan as input for establishing the reliability of the DOJ component organization with regard to the PIV-I requirements in FIPS 201. As defined in the SP 800-79, the reliability of a PIV Card Issuer is established by assessing that the organization meets the following required attributes, which are defined in greater detail in the SP 800-79:

- Knowledgeable
- Capable
- Accountable
- Available
- Legal
- Compliant
- Well Managed
- Trustworthy
- Adequately Supported
- Secure

Other attributes that are desired and should also be assessed are that the PIV Card Issuer is:

- Prepared/responsive/efficient
- Cost effective
- Adaptable
- Cooperative

In the initial version of the Operations Plan, the Component will address PIV-I activities and requirements. To prevent any confusion, DOJ will refer to the organizations receiving accreditation as "Components" rather than PIV Card Issuers, this is both due to the fact that PIV-I focuses on the identity proofing, registration and credential issuance process and many of the organizations do not issue what would be considered PIV cards.

1.2. Project Description

On August 27, 2004, President Bush signed Homeland Security Presidential Directive #12 (HSPD-12). This directive called for "establishing a mandatory, Government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractors (including contractor employees)".

The directive identified several control objectives for achieving secure and reliable identification. These are:

1. The identification is issued based on sound criteria for verifying the applicant's identity.
2. The identification is strongly resistant to fraud, tampering, counterfeiting, and terrorist exploitation.
3. The identification can be rapidly authenticated electronically.
4. The identification is issued by providers whose reliability has been established by an official accreditation process.

The Personal Identity Verification (PIV) initiative has been organized into two phases, PIV-I and PIV-II. PIV-I is focused on implementing and ensuring a consistent background investigation process is in place across the government, while PIV-II is focused on implementing a standard, interoperable ID badge that can be easily recognized and used for access to both physical and logical assets across the Executive Branch agencies.

As an agency of the Executive Branch, the Department of Justice (DOJ) must comply with HSPD-12. The Department of Commerce is responsible for ensuring compliance with HSPD-12, and in concert with OMB and NIST, has defined the technical standards and will be providing implementation guidance, including milestone dates; all DOJ components will work to meet the date specified.

1.3. Assumptions and Constraints

Component Instructions – Enter any assumptions or constraints used to develop the component operations plan.

1.4. Document References

FIPS 201 Personal Identity Verification (PIV) of Federal Employees and Contractors, National Institute of Science and Technology (NIST), February 25 2005

SP 800-73 Interfaces for Personal Identity Verification, National Institute of Science and Technology (NIST) April 2005

SP 800-76 Biometric Data Specification for Personal Identity Verification, National Institute of Science and Technology (NIST) TBD

SP 800-78 Cryptographic Algorithms and Key Sizes for Personal Identity Verification, National Institute of Science and Technology (NIST) April 2005

SP 800-79 Guidelines for the Certification and Accreditation of PIV Card Issuing Organizations (Public Draft), National Institute of Science and Technology (NIST) July 2005

Federal Identity Management Handbook, General Services Administration (GSA)

OMB HSPD-12 Implementation Guidance, Office of Management and Budget (OMB)

2. Organization Description

The following section provides a detailed description of the PIV Card Issuer organization in relation to how it addresses the HSPD-12 requirements.

2.1. Status

The PIV Card Issuer operations is currently in the following status:

- N/A – Initial C&A Not Yet Performed
- Authorized to Operate
- Interim Authorization to Operate
- Denied Authorization to Operate

2.2. Sponsor and Using Organization Inventory

The following table lists the organizations that are considered “sponsors” and/or “users” of a PIV Card Issuer. By “Sponsor”, we mean an organization that conducts the specified identity proofing and badge issuance process. A “User” organization is one that outsources the specified identity proofing and badge issuance process.

If an organization has an “X” in a column, that organization performs that function for the personnel group (Employees or Contractors). If an organization has “SEPS” in a column, that organization engages JMD SEPS to perform that function.

Organization	Employees			Contractors		
	Adjudicates Pre-employment BI waivers	Adjudicates Background Investigations	Issue Badges	Adjudicates Pre-employment BI waivers	Adjudicates Background Investigations	Issue Badges
ATF						
DEA						
USMS						
BOP						
CRM						
OJP						
EOIR						
EOUST						
EOUSA						
JMD						

Component Instructions – Verify that the information presented within this table is accurate and complete. If other alternatives exist that cannot be accurately presented in this format, contact the HSPD-12 PMO for assistance and guidance.

2.3. Points of Contact

The table below lists the key points of contact for a Component, as defined by the SP 800-79, with regards to its identity proofing and registration processes. Where other roles already exist within the Component’s organization, they are listed in the table in the same row as the NIST-recommended role name.

800-79 Role Name	800-79 Role Definition	Component Equivalent Role Name
PIV Card Issuer Manager	The individual responsible for ensuring that all the services specified in FIPS 201* are provided reliably and that PIV Cards are produced and issued in accordance with its requirements. * For the PIV-I C&A, the focus of this role will be on the identity proofing and registration processes.	
Certification Agent	The individual, group or organization that has the appropriate skills, resources and competencies to perform certifications of a PIV Card Issuer. The Certification Agent will be assigned by DOJ for each component.	N/A
PIV Card Applicant Representative	The individual who represents the interests of current or prospective Federal employee and contractors who are the Applicants for PIV Cards.	
PIV Agency Official for Privacy	The individual who oversees privacy-related matters in the PIV system and should work with the PIV Card Applicant Representative to ensure that the rights of Applicants and PIV subscribers are protected.	

The following table lists the individuals, along with their contact information, that fulfill the roles described above and any other key individuals in the Component’s identity proofing and registration process.

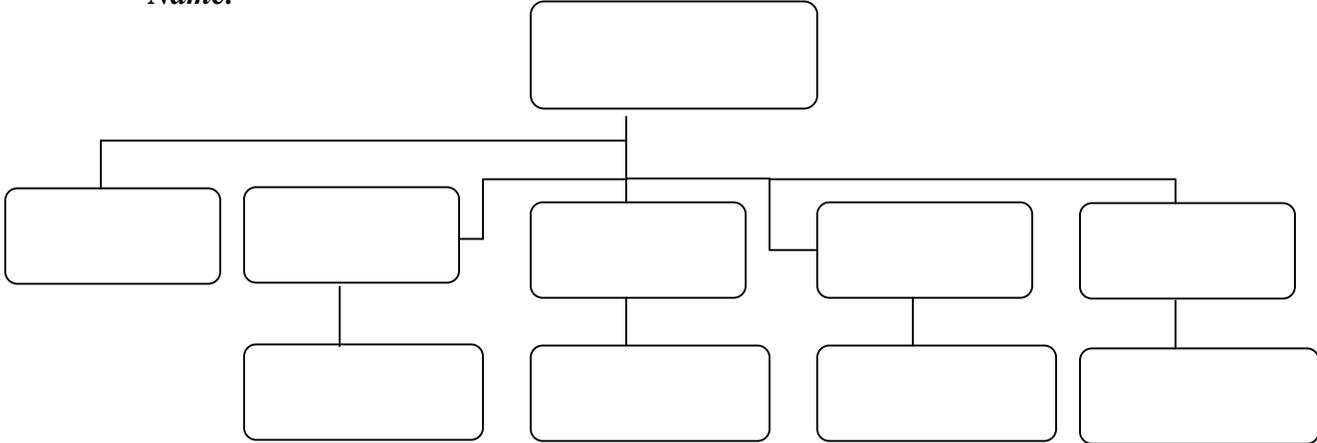
Name	Title	Organization	Phone #	Email Address

Component Instructions – At a minimum, enter the individuals that are assigned to the roles identified in the first table in this section. If other key points of contact exist within your

organization for identity proofing and registration, badge issuance and maintenance, you may add them here.

2.4. Organization Chart

The following chart illustrates the structure of the PIV Card Issuer organization at *Component Name*.



Component Instructions – Provide a high-level organization structure for your PIV Card Issuer organization, listing at the very least the required roles listed in the previous section.

2.5. Defined Process and Policy Inventory

The following table lists the applicable laws, directives, policies, regulations, and standards affecting the PIV Card Issuer operations at *Component Name*.

Title	Brief Description/Purpose	Status	Author/Date

Component Instructions – List all the policies, standards, procedures and processes **in place or planned** for PIV Card Issuer operations. **At a minimum**, this list should contain the official policy/procedure document(s) that details the steps involved with employee and contractor identity proofing, registration, and badge issuance. If any processes and policies need to be developed or updated, please list them here. If any of these polices or processes are interim, please identify them as such. DOJ’s expectation is that these policies will obtain component approval prior to the C&A process.

3. Technical Description

The following section provides a detailed description of the PIV Card Issuer technical environment in relation to how it addresses the HSPD-12 requirements.

3.1. Automated System Inventory

The following table lists the automated systems used by the PIV Card Issuer in performing the required services.

COMPONENT Instructions: List all computer applications used to perform the PIV Card Issuer functions. For example, to meet the PIV-I requirements list any HR, badging, automated identity verification systems, or security systems.

System Name	Purpose	System Owner Organization

4. Appendix A – Glossary of Terms/Acronyms

Term/Acronym	Definition
BI	Background Investigation
CA	Certificate Authority
C&A	Certification and Accreditation
DOJ	Department of Justice
FIPS	Federal Information Processing Standards
HSPD	Homeland Security Presidential Directive
NACI	National Agency Check with Inquiries
NIST	National Institute of Standards and Technology
OMB	Office of Management and Budget
PCI	PIV Card Issuer
PIV	Personal Identity Verification
PIV-I	Personal Identity Verification – Phase 1
PIV-II	Personal Identity Verification – Phase 2
PKI	Public Key Infrastructure
SEPS	Security and Emergency Planning Staff
SP	Special Publication
Sponsor	A DOJ organization that executes any part of the Identity Proofing and registration, and/or badge issuance and maintenance processes.
User	A DOJ organization that outsources a specific part of or the entire Identity Proofing and registration, and/or badge issuance and maintenance processes.

5. Appendix B – PIV-I Reference Model Mapping

Department of Justice is using the Role Based Model, as documented in Appendix A of FIPS 201, as the basis for their Identity Proofing, Registration and Card Issuance process. As DOJ does not currently have a PIV System in place, this follows NIST’s recommendation.

The following tables map the FIPS 201 requirements to the Role Based Model and also the DOJ-published process, which all DOJ components must follow. This table will show how JMD/SEPS is meeting the FIPS 201 requirements or where the published process is being revised to meet the requirements.

Two tables are presented, one for Employees and one for Contractors.

5.1. Employee Process

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
Identity Proofing/Registration						
The Component's identity proofing and registration process shall begin with the initiation of a National Agency Check with Inquiries (NACI).	The Applicant shall complete an SF 85 or equivalent for the required background investigation.					
	The PIV Registrar initiates a NACI on the applicant.					

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
<p>The Component shall require each applicant to provide two forms of identification as part of the identity proofing and registration process, of which one must be a valid State or Federal government-issued picture identification.</p> <p>A list of acceptable identification is detailed in the Form I-9, OMB No. 1115-0136, Employment Eligibility Verification.</p>	<p>The Applicant shall appear in person and provide two forms of I-9 identification, of which one must be a federal or state picture ID.</p>					
<p>Badge Issuance/Maintenance</p>						
<p>The Component shall issue a credential to an applicant only after a FBI Criminal History Check, at a minimum, is complete.</p>	<p>The PIV registrar shall notify the sponsor and PIV issuer that and Applicant is approved after receiving the NACI results.</p>					
<p>The Component shall require that the applicant appear in-person at least once prior to the issuance of a credential.</p>	<p>The Applicant shall appear in person to the PIV Issuer to collect the PIV credential.</p>					
<p>The Component shall adhere to the principle of separation of duties for the PIV credential issuance process. Therefore, at least two different individuals are required to be involved in the issuance of a PIV credential.</p>	<p>Four distinct roles exist for PIV-I compliance in the identity proofing, registration and badge issuance process. These are: Applicant PIV Sponsor PIV Registrar PIV Issuer</p>					

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
The Component shall revoke an applicant's credential if the results of the NACI background investigation "so justify".	Any unfavorable results of the investigation shall be adjudicated to determine the suitability of the Applicant for obtaining a PIV credential.					
At the time of credential issuance, the Component shall verify that the individual to whom the credential is to be issued is the same as the intended applicant.	The applicant must appear in person and present a picture ID to the PIV issuer. The issuer shall validate that the picture ID is for the applicant.					
The Component PIV issuance and maintenance process shall ensure the completion and successful adjudication of the NACI as required for Federal employment.	When all steps are completed (including the NACI), the PIV Registrar shall notify the Sponsor and the designated PIV Issuer that the Applicant has been approved for the issuance of a PIV credential.					

5.2. Contractor Process

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
Identity Proofing/Registration						
The Component's identity proofing and registration process shall begin with the initiation of a National Agency Check with Inquiries (NACI).	The Applicant shall complete an SF 85 or equivalent for the required background investigation.					
	The PIV Registrar initiates a NACI on the applicant.					
The Component shall require each applicant to provide two forms of identification as part of the identity proofing and registration process, of which one must be a valid State or Federal government-issued picture identification. A list of acceptable identification is detailed in the Form I-9, OMB No. 1115-0136, Employment Eligibility Verification.	The Applicant shall appear in person and provide two forms of I-9 identification, of which one must be a federal or state picture ID.					
Badge Issuance/Maintenance						
The Component shall issue a credential to an applicant only after a FBI Criminal History Check, at a minimum, is complete.		Badge Issuer receives "waiver approval" from Registrar that the Applicant received favorable FBI Criminal History Check results.				

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
The Component shall require that the applicant appear in-person at least once prior to the issuance of a credential.		The Applicant must appear in person during both the Identity Proofing and Badge Issuance steps of the process.				
The Component shall adhere to the principle of separation of duties for the PIV credential issuance process. Therefore, at least two different individuals are required to be involved in the issuance of a PIV credential.	Four distinct roles exist for PIV-I compliance in the identity proofing, registration and badge issuance process. These are: Applicant PIV Sponsor PIV Registrar PIV Issuer	DOJ policy defines the following roles for their identity proofing, registration and badge issuance process: Applicant Sponsor Registrar Issuer				
The Component shall revoke an applicant's credential if the results of the NACI background investigation "so justify".		DOJ policy specifies that if the Background Investigation results in serious issues regarding the applicant, the individual is terminated and the badge is returned.				
At the time of credential issuance, the Component shall verify that the individual to whom the credential is to be issued is the same as the intended applicant.		The Issuer validates the new hire's picture ID prior to issuing the ID badge.				

Requirement	Role Based Model	Component Process	Document Reference	Current Status	Action Plan (if necessary)	Target Date
The Component shall use credential issuance and maintenance processes and providers that are accredited by DOJ and approved in writing by the Attorney General.						
The Component PIV issuance and maintenance process shall ensure the completion and successful adjudication of the NACI as required for Federal employment.						