

NOAA HSPD-12 PIV-II Implementation

October 23, 2007

What is HSPD-12?

Homeland Security Presidential Directive 12 (HSPD-12) is a Presidential requirement signed on August 27, 2004 requiring Federal agencies comply with mandatory, government-wide standard for secure and reliable forms of identification for Federal employees and contractors. These Personal Identification Verification (PIV) standards (FIPS 201.1) are issued by the National Institute of Standards and Technology (NIST) and are designed to increase facility and computer security, reduce identity fraud, protect the personal privacy of those issued government identification, and ensure a safer work environment for all Federal employees and contractors.

PIV-I requires that Agencies:

- Have accredited and certified identity proofing **procedures** in place no later than October 27, 2005. The Department has implemented PIV-I requirements and began issuing our existing identity cards compliant with HSPD-12, FIPS 201, and PIV-I under an agency-wide process on October 11, 2005.

PIV-II requires that Agencies:

- **Issue** new PIV-II compliant identification badges no later than October 27, 2008 (using the identity proofing process developed in PIV-I).
- Verify or, as necessary, complete background investigation for **all** Federal employees, contractors and long-term visitors no later than October 27, 2007.

Who is responsible for implementation of HSPD-12 PIV-II?

The Department of Commerce's (DOC) Office of the Chief Information Officer (OCIO) has overall responsibility for the HSPD-12 effort. The CIO is responsible for privacy matters in implementing HSPD-12. Within NOAA, the Office of the Chief Administrative Officer (OCAO) is leading NOAA's HSPD-12 implementation effort, in coordination with DOC's OCIO.

How does PIV-II impact NOAA employees?

NOAA will use the Department of Defense's PIV-II compliant Common Access Card (CAC) to meet the new badge requirements under HSPD-12. NOAA employees will get new badges in accordance with the Department of Defense's (DOD) implementation plan on a phased schedule for deployment of the software and hardware upgrades required to issue the PIV-II compliant CACs. We expect initial issuance of the new badges beginning on or after February 1, 2008. NOAA employees will receive their CACs from one of the more than 900 Real-Time Automated Personnel Identification System (RAPIDS) stations around the country, including NOAA-operated RAPIDS stations in Silver Spring, MD and Seattle, WA. The CAC issued to NOAA employees will have a NOAA logo to differentiate NOAA employees from active and retired military personnel and their dependents.

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In the short-term, employees will also continue to be issued the current NOAA badge to use where existing electronic card readers are required to gain physical access to facilities. As NOAA replaces the current electronic card readers, the use of the current NOAA badge will be eliminated.

For more information, see **NOAA HSPD-12 PIV-II: Frequently Asked Questions**, attached.

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What are the procedures for issuance of the Common Access Card (CAC)?

PIV-II requires the issuance of a common identification card, using the processes developed in PIV-I. This means the employee must have either an initiated or successfully adjudicated investigation (i.e., National Agency Check with Written Inquiries (NACI) or other Office of Personnel Management or National Security community investigation) on record. All of NOAA's current employees meet this criteria. All new employees will be required to meet this criteria.

For more information on the procedures for the issuance of the PIV badge to employees and processing of suitability background investigation, see NOAA's "[Homeland Security Presidential Directive HSPD-12 PIV-I Implementation and Suitability Processing: Policy & Procedures,](#)" dated September 21, 2007.

What is the difference between the current and new procedures for issuing badges?

Following is a brief summary of the PIV-I processes and roles required for PIV-II badge issuance. All procedures will be certified, accredited, and subject to audit. The roles for those designated as identity proofing and registration are highlighted below in bold font with a summary of their responsibilities:

Applicant: The individual (employee) to whom a PIV card will be issued.

Sponsor: Sponsorship includes performing identity proofing and submitting to the Registrar completed background check forms and applications for the PIV badge.

- Sponsor substantiates the need for a PIV badge to be issued to an Applicant and provides sponsorship to the Applicant.
- Sponsors are trained federal employees that have completed online training and have been issued a PIV Sponsor certification number that is required on the Department of Commerce PIV Request Form, (CD-591).
- NOAA's Workforce Management Office (WFMO) will serve as the PIV Sponsor for all new hires. The employee's supervisor will serve as the PIV Sponsor for all current employees requiring a renewal PIV badge.

Registrar: Ensures background checks have taken place and has final approval authority for issuance of a PIV card.

- The Registrar must verify identity proofing, ensure initial background check is favorable, and direct the issuance of the PIV card.
- Only trained Federal employees (Office of Security or appointed administrators) designated as **Registrars** may authorize the issuance of the PIV badge.

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Enrollment Officials: Serves as Sponsor proxy, performing identity proofing for Applicants located remotely from the Sponsor/Registrar.

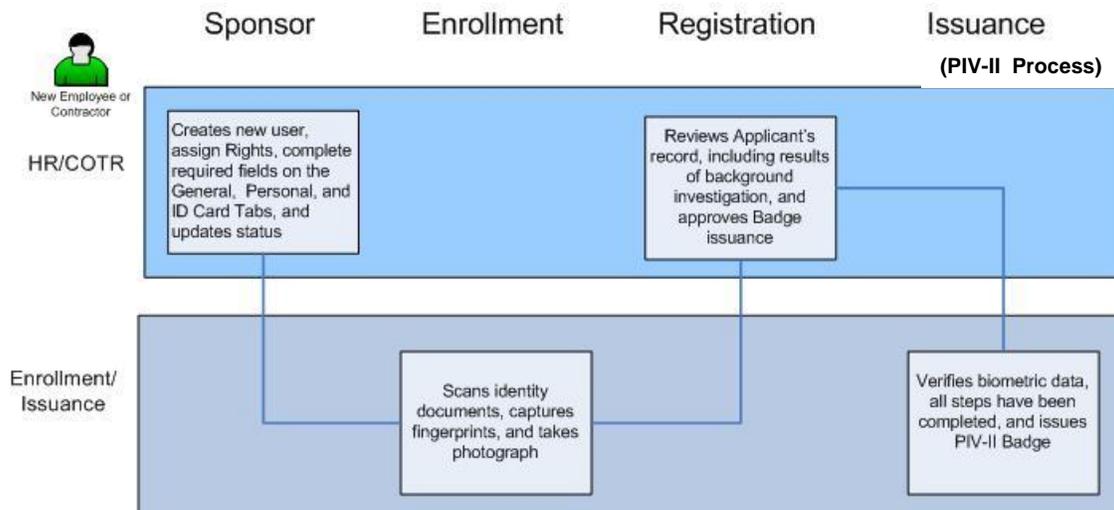
- For areas without a nearby card (badge) issuing facility, NOAA will pay local travel for employees in identified remote areas to travel to the nearest Real-time Automated Personnel Identification System (RAPIDS) site location instead of using Enrollment Officials.

Issuing Authority (Issuer): Issuer creates and issues the PIV card to authorized Applicants following the positive completion of all identity proofing, background checks and related approvals.

- Only trained personnel (not the Registrar) designated as **Issuers** may issue the badge.

Table 1 is a high-level diagram detailing the steps and sequence for PIV required In-Person Identity Proofing:

Table 1: Steps Needed To Complete PIV Process



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What is required of employees?

NOAA New Employees

1. New employees must complete NOAA's existing PIV-I processing including security checks, fingerprint checks, initiating a NACI or providing proof of NACI completion.
 - a. The NOAA database file will be transmitted to Defense Manpower Data Center (DMDC) for uploading to Defense Enrollment Eligibility Reporting System (DEERS)¹ on a periodic timeframe (anticipated to be daily) to add new employees and delete employees who have left the Agency. The file will include fingerprints (where available in the format and quality necessary). At the time of transmittal, NOAA will verify to DMDC that all PIV-I requirements have been met, including a National Agency Check with Inquiries (NACI) being complete or initiated, and fingerprint checks complete.
2. Upon notification, the new employee is required to go to a RAPIDS station to be issued the CAC. Two forms of identification (I-9 documents) are required.
3. At card issuance, an employee can expect to provide the following:
 - a. Digital photo
 - b. Fingerprints (primary and secondary forefinger)
 - c. A six to eight digit personal identification number (PIN) created by the Cardholder
 - d. Signed acknowledgement of card receipt

NOAA Existing Employees

Existing employees need only complete steps 2 and 3 above.

When will employees receive the new card?

- NOAA employees will get new badges in accordance with DOD's implementation plan on a phased schedule for deployment of the software and hardware upgrades required to issue the PIV-II compliant CACs. We expect initial issuance of the new badges beginning on or after February 1, 2008. NOAA employees will receive their CACs from one of the more than 900 Real-Time Automated Personnel Identification System (RAPIDS) stations around the country, including NOAA-operated RAPIDS stations in Silver Spring, MD and Seattle, WA.

¹ To receive a CAC, all eligible personnel must be entered into DEERS – the authoritative source for CAC issuance. NOAA employees that have successfully completed PIV-I identity vetting requirements will be entered into DEERS.

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- NOAA employees will receive notification via email that they may proceed to the nearest RAPIDS site, along with information about locations and reminders about documents they must bring with them.

Where are the locations that employees can go to obtain PIV badges?

CACs will be issued through Real-time Automated Personnel Identification System (RAPIDS) badging sites.

- Employees will be expected to go to the nearest RAPIDS site—either nearest to their duty station, place of residence, or temporary duty station—to minimize cost and time away from their duty station.
- Employees will be provided reasonable time (administrative leave) for commute to the RAPIDS site and issuance of the CAC.
- NOAA currently operates two RAPIDS sites in Silver Spring, Maryland and Seattle, Washington. Employees located in those areas can utilize those RAPIDS sites (or any other existing RAPIDS site) after they have been notified by email to proceed to a RAPIDS site.
- Remaining employees can utilize any existing RAPIDS sites (with PIV-II compliant software), which are broadly dispersed and available around the world, once they are notified by email to proceed to a RAPIDS site.
- For more information on RAPIDS site locations, please go to the following link: <http://www.dmdc.osd.mil/rsl/owa/home>

What if an employee is located in an area without an ID card facility nearby?

The employee's organization will pay travel costs for employees to the nearest RAPIDS site—including travel costs for employees located in locations where a RAPIDS site is not nearby.

What are the CAC Characteristics?

Card Requirements

PIV cards are required to contain a digital image of the Cardholder's facial image and fingerprints, as well as a magnetic strip, computer chip and barcode. The CAC² meets these requirements.

² For more information on the CAC, go to DOD's website at <https://www.cac.mil/faqs.do>

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How is the CAC different from the current NOAA badge?

The CAC is more than just an identification card; it is enhanced with smart card technology. The CAC's computer chip, barcode, and magnetic strip, allow it to be used beyond the way ordinary NOAA badges are used today. The computer chip (also known as integrated circuit chip) is what makes the card "smart." The chip has the ability to write, read and perform various functions and operations on several thousand bytes of information.

The CAC can be used to:

- Access buildings and controlled spaces.
- Login to computer systems and networks.
- Digitally sign and encrypt e-mail messages.

What information is stored on the CAC?

The following information is stored on the CAC's computer chip:

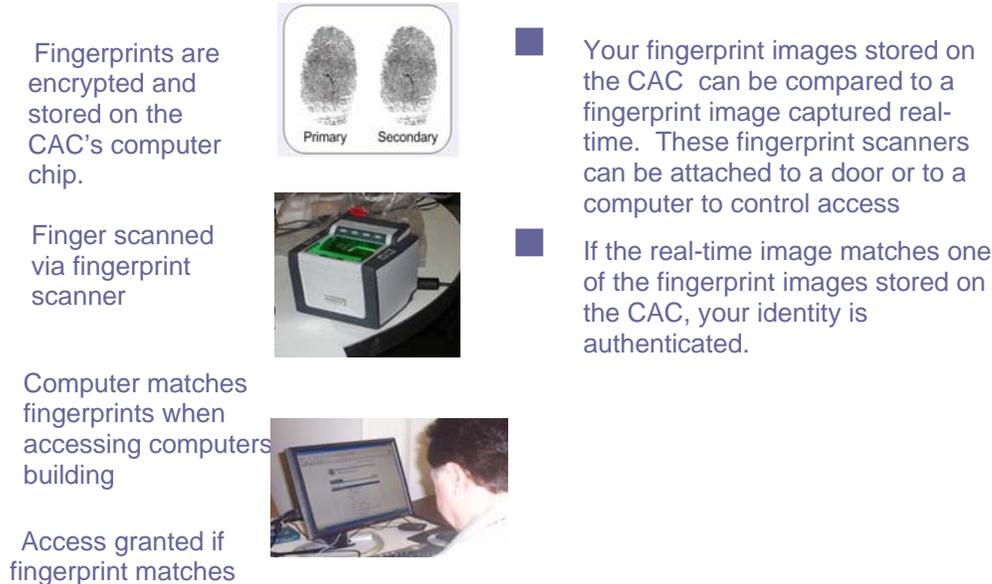
- Employee's digital photo
- Two digital fingerprints
- Organizational affiliation
- Social Security Number
- Agency
- Expiration date (badges expire after 3 years)
- Public Key Infrastructure (PKI) certificates (to enable cardholders to "sign" documents digitally, encrypt emails, and establish secure online network connections)

Why are my fingerprints stored on the card?

HSPD-12 along with FIPS 201-1 requires biometrics to allow "two factor" user authentication to access computer systems, replacing traditional username and password authentication. The two factors include fingerprints and the Personal Identification Number (PIN). The PIN consists of a six to eight digit PIN that the cardholder must create to access the data. The fingerprints are biometric information that connects the card to the Cardholder. Diagram 1 below shows how fingerprints on the CAC will be used after NOAA completes the necessary changes to infrastructure that will support physical and logical access.

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Diagram 1: Fingerprint Usage



How safe is the information stored on the CAC?

The CAC meets or exceeds applicable privacy laws. The information it stores cannot be accessed without:

- A Personal Identification Number (PIN) known only to the CAC holder **AND**
- Access to controlled systems and applications is required to interpret the data

What if I lose my CAC or need to change my PIN?

If you lose your CAC or need to change your PIN, report to a RAPIDS site. You will need to bring two forms of identification (I-9 documents) in order to be reissued a CAC or PIN.

How soon will I use my CAC to access NOAA facilities and systems?

The compatibility for physical and logical access are built into the CAC card. The CAC will be used for visual inspection for facility access immediately. As electronic card readers compatible with the technology on the CAC are installed at NOAA facilities, the CAC will also be used for electronic access to facilities. NOAA will implement logical access mechanisms at a future date, when the infrastructure supporting these features is made available, in accordance with DOC requirements and specifications (currently under development).

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CAC Topology and Layout

PIV cards for all federal agencies will conform to Special Publication (SP) 800-104 (Standard Scheme for PIV Visual Card Topography). A sample CAC with the NOAA logo is shown below.

