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**NIST Special Publication
NIST SP 800-157r1 ipd**

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**Guidelines for Derived Personal
Identity Verification (PIV)
Credentials**

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Initial Public Draft

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Hildegard Ferraiolo

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Andrew Regenscheid

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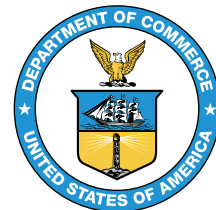
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79 **Public Comment Period**

80 January 10, 2023 - March 24, 2023

81 **Submit Comments**

82 mailto:piv_comments@nist.gov

83 **All comments are subject to release under the Freedom of Information Act
84 (FOIA).**

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93 than national security-related information in federal information systems. The Special
94 Publication 800-series reports on ITL’s research, guidelines, and outreach efforts in
95 information system security, and its collaborative activities with industry, government,
96 and academic organizations.

97 **Abstract**

98 This recommendation provides technical guidelines for the implementation of standards-
99 based, secure, reliable credentials that are issued by federal departments and agencies
100 to individuals who possess and prove control of their valid PIV Card. These credentials
101 can be either public key infrastructure (PKI)-based like the PIV Card or non PKI-based
102 but verified by the individual’s home agency. The scope of this document includes
103 requirements for the initial issuance and maintenance of these credentials, certificate
104 policies as applicable, cryptographic specifications, technical specifications for permitted
105 authenticator types, and the command interfaces for removable implementations of such
106 PKI-based credentials.

107 **Keywords**

108 authentication; credentials; derived PIV credentials; electronic authentication; electronic
109 credentials; mobile devices; personal identity verification; PIV

110 **Note to Reviewers**

111 Public draft SP 800-157r1 *Guidelines for Derived Personal Identity Verification (PIV)*
112 *Credentials* expands the use of derived PIV credentials beyond mobile devices to include
113 non-PKI-based phishing resistant multi-factor credentials. The draft details the expanded
114 set of derived PIV credentials in a variety of form factors and authenticator types as
115 envisioned in OMB Memoranda M-19-22, M-22-09, and subsequently outlined in
116 FIPS 201-3. The cross-domain and interagency use of these credentials is provided by
117 federation protocols outlined in public draft SP 800-217 *Guidelines for PIV Federation*.
118 Both documents are closely aligned with draft release SP 800-63-4 *Digital Identity*
119 *Guidelines*. NIST hopes that the draft document enables a close alignment with new

120 and emerging digital authentication and federation technologies employed in the federal
121 government, while maintaining a strong security posture.

122 NIST is specifically interested in comments on and recommendations for the following
123 topics:

- 124 1. Are the new controls for issuance, use, maintenance, and termination of non-PKI-
125 based derived PIV credentials clear and practical to implement?
- 126 2. Are phishing-resistant authenticators available to meet agency use cases as well as
127 the requirements for derived PIV authentication?
- 128 3. Are the new controls sufficient to provide comparable assurance to PIV Cards and
129 other derived PIV credentials?

130 Reviewers are encouraged to comment on all or part of both SP 800-157r1 and SP 800-
131 217. NIST requests that all comments be submitted by 11:59pm Eastern Time on March
132 24, 2023. Please submit your comments to piv_comments@nist.gov. NIST will review
133 all comments and make them available at the NIST [Computer Security Resource Center](#)
134 (CSRC) website. Commenters are encouraged to use the comment template provided on
135 the NIST Computer Security Resource Center website.

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137 This public review includes a call for information on essential patent claims (claims
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139 Information Technology Laboratory (ITL) draft publication). Such guidance and/or
140 requirements may be directly stated in this ITL Publication or by reference to another
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142 U.S. or foreign patent applications relating to this ITL draft publication and of any
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- 148 b) assurance that a license to such essential patent claim(s) will be made available
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 - 153 ii. without compensation and under reasonable terms and conditions that are
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155 Such assurance shall indicate that the patent holder (or third party authorized to make
156 assurances on its behalf) will include in any documents transferring ownership of patents
157 subject to the assurance, provisions sufficient to ensure that the commitments in the
158 assurance are binding on the transferee, and that the transferee will similarly include
159 appropriate provisions in the event of future transfers with the goal of binding each
160 successor-in-interest.

161 The assurance shall also indicate that it is intended to be binding on successors-in-interest
162 regardless of whether such provisions are included in the relevant transfer documents.

163 Such statements should be addressed to: mailto:piv_comments@nist.gov.

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1. Introduction

This section is informative.

[FIPS 201] specifies a common set of identity credentials to satisfy the requirements of [HSPD-12] in a smart card form factor known as the Personal Identity Verification (PIV) Card. This publication is a companion document to FIPS 201 that specifies the use of additional common identity credentials, known as derived PIV credentials, that are issued by a federal department or agency and may be used when the use of a PIV Card is not practical. Consistent with the goals of HSPD-12, derived PIV credentials are designed to serve as a Federal Government-wide standard for a secure and reliable identity credential that supports interoperability across agencies.

1.1. Background

FIPS 201 originally required that the PIV credential and associated keys be stored in a PIV Card. While the use of the PIV Card for electronic authentication works well with many traditional desktop and laptop computers, it is not well-suited to other devices, such as mobile devices. In response to the growing use of mobile endpoints within the Federal Government, FIPS 201-2 permitted the issuance of additional PKI-based credentials, referred to as derived PIV credentials, for which the corresponding private key is stored in a cryptographic module within a mobile device, such as a smartphone. PKI-based derived PIV credentials use the Federal PKI Infrastructure to securely establish the binding between the credential and the PIV identity account. PKI-based derived PIV credentials are typically integrated into user endpoints, such as mobile devices, although they are not limited to use in these devices.

In order to provide additional flexibility for federal departments and agencies, FIPS 201-3 expands the set of credentials beyond those that are PKI-based and broadens their use to other types of devices in addition to mobile devices. The technical details for the expanded set of derived PIV credentials is specified in this revision of SP 800-157 (SP 800-157, Revision 1) in a variety of form factors. Non-PKI-based derived PIV credentials are authenticators (as defined in [SP800-63B]) that may be separate from the endpoint being authenticated and, if so, are connected to the endpoint for that purpose. Since there is no PKI infrastructure to validate and supply attributes for non-PKI-based derived PIV credentials, non-PKI-based derived PIV credentials are always used to authenticate to the home agency of the PIV cardholder from which the cardholder's PIV identity account is accessed. When access to the PIV identity account is needed outside of the home agency — particularly when a non-PKI-based derived PIV credential is presented in authentication — federation allows connection across security domains as detailed in [SP800-217].

Derived PIV credentials leverage the current investment in the PIV infrastructure for electronic authentication and build upon the solid foundation of the well-vetted and trusted identity of the PIV cardholder as represented in the PIV identity account,

266 achieving substantial cost savings by leveraging the identity proofing results that were
267 already performed to issue PIV Cards. This document provides technical guidelines for
268 the implementation of derived PIV credentials.

269 **1.2. Purpose and Scope**

270 This document provides guidelines for cases in which the use of PIV Cards is deemed
271 impractical for authentication. This guideline specifies the use of authenticators with
272 alternative form factors to the PIV Card that may be inserted into endpoints, such as USB
273 authenticators, authenticators that are connected wirelessly to endpoints, or authenticators
274 that are embedded in endpoints. Authenticators used as derived PIV credentials must
275 meet the requirements for either hardware or software cryptographic authenticators. The
276 use of alternative form factors greatly improves the usability of electronic authentication
277 to remote IT resources while simultaneously maintaining the goals of HSPD-12 for
278 common identification that is secure, reliable, and has government-wide interoperability.

279 The purpose of the derived PIV credential is to provide PIV-enabled authentication
280 services on alternative endpoints in order to authenticate the credential holder to remote
281 systems.

282 To achieve interoperability with the PIV infrastructure and its applications, two
283 approaches to derived PIV credentials have been selected:

- 284 1. Use of public key infrastructure (PKI) technology. PKI-based derived PIV
285 credentials rely on the same infrastructure as that used for authentication with a
286 PIV Card.
- 287 2. Use of non-PKI-based authenticators. When non-PKI-based authenticators are used,
288 derived PIV credentials are only used to authenticate with the home agency of the
289 associated PIV Card. Interoperability with other agencies is achieved through the
290 use of federation protocols, as specified in [SP800-217].

291 The derived PIV credentials specified in this document are issued at authentication
292 assurance level (AAL) 2 or 3.

293 Derived PIV credentials are based on the general concept of post-enrollment authenticator
294 binding in [SP800-63B], which leverages identity proofing and vetting associated with
295 an existing subscriber account using current and valid authenticators to bind additional
296 authenticators to that account. Identity proofing and vetting processes do not have to be
297 repeated to issue a derived PIV credential. Instead, the user proves possession and control
298 of a valid PIV Card to bind a derived PIV credential to their PIV identity account. While
299 the PIV Card may be used as the basis for issuing other types of derived credentials, the
300 issuance of these other credentials is outside of the scope of this document.

301 Derived PIV credentials are:

- 302 • Issued based on possession and control of the PIV Card,

- 303 • Represented in the PIV identity account at the home agency, and
- 304 • Issued in accordance with this document.

305 This document provides technical guidelines on:

- 306 • The primary lifecycle activities for the derived PIV credential — initial issuance,
307 maintenance, and termination — and the requirements for each activity to ensure
308 security and
- 309 • The derived PIV credential, including cryptographic specifications, types of
310 implementation that are permitted, mechanisms for activation and use of the
311 credential, and certificate policies if applicable.

312 This publication also includes an informative annex that provides recommendations for
313 the inclusion of digital signature and key management keys on devices that host a derived
314 PIV credential.

315 **1.3. Audience**

316 This document is intended for stakeholders who will be responsible for procuring,
317 designing, implementing, and managing deployments of derived PIV credentials for
318 mobile devices and other endpoints.

319 **1.4. Requirements Notation and Conventions**

320 This standard uses the following typographical conventions in text:

- 321 • Specific terms in **CAPITALS** represent normative requirements. When these same
322 terms are not in **CAPITALS**, the term does not represent a normative requirement.
 - 323 – The terms “**SHALL**” and “**SHALL NOT**” indicate requirements to be strictly
324 followed in order to conform to the publication and from which no deviation is
325 permitted.
 - 326 – The terms “**SHOULD**” and “**SHOULD NOT**” indicate that among several
327 possibilities, one is recommended as particularly suitable without mentioning
328 or excluding others, that a certain course of action is preferred but not
329 necessarily required, or that (in the negative form) a certain possibility or
330 course of action is discouraged but not prohibited.
 - 331 – The terms “**MAY**” and “**NEED NOT**” indicate a course of action permissible
332 within the limits of the publication.
 - 333 – The terms “**CAN**” and “**CANNOT**” indicate a possibility and capability —
334 whether material, physical, or causal — or, in the negative, the absence of that
335 possibility or capability.

336 **1.5. Document Structure**

337 This document is organized as follows. Each section is labeled as either normative (i.e.,
338 mandatory for compliance) or informative (i.e., not mandatory).

- 339 • Section 2 describes derived PIV credential lifecycle activities and related
340 requirements. This section is *normative*.
- 341 • Section 3 describes the technical requirements for implementing derived PIV
342 credentials. This section is *normative*.
- 343 • Appendix A contains guidance on digital signature and key management keys. This
344 appendix is *informative*.
- 345 • Appendix B provides detailed interface requirements for PKI-based removable
346 (non-embedded) and PKI-based wireless hardware implementations. This
347 appendix is *normative* for implementation of PKI-based derived PIV credentials
348 on removable (non-embedded) or wireless hardware cryptographic tokens.
- 349 • Appendix C provides example issuance processes for derived PIV credentials. This
350 appendix is *informative*.
- 351 • Appendix D contains a glossary of selected terms used in this document. This
352 appendix is *informative*.
- 353 • Appendix E defines acronyms and other abbreviations used in this document. This
354 appendix is *informative*.
- 355 • Appendix F provides a list of changes made to this document since its initial release.
356 This appendix is *informative*.

357 **1.6. Key Terminology**

358 Certain key PIV terms have assigned meanings within the context of this document. The
359 term *PIV cardholder* refers to a person who possesses a valid PIV Card, regardless of
360 whether they have been issued a derived PIV credential. The term *applicant* refers to a
361 PIV cardholder who has applied for but not yet been issued a derived PIV credential, and
362 the term *subscriber* refers to a PIV cardholder to whom a derived PIV credential has been
363 issued.

2. Lifecycle Activities and Related Requirements

This section is normative.

The lifecycle activities for a derived PIV credential are initial issuance, maintenance, and termination. At a more detailed level, the lifecycle activities for PKI-based and non-PKI-based derived PIV credentials differ considerably from each other. This section describes these lifecycle activities and provides requirements and recommendations as appropriate.

Issuers of derived PIV credentials **SHALL** document the process for each of the lifecycle activities described below. In accordance with [HSPD-12], the reliability of the derived PIV credential issuer **SHALL** be established through an official accreditation process.

2.1. Derived PIV Credential Lifecycle Activities

The derived PIV credential lifecycle consists of the three classes of activities described above. The activities that take place at the manufacturer during fabrication and pre-personalization of the authenticator (as applicable) are not considered part of this lifecycle model. Figure 1 presents the PKI-based derived PIV credential activities alongside the PIV Card lifecycle activities. Figure 2 presents the corresponding lifecycle activities for non-PKI-based derived PIV credentials.

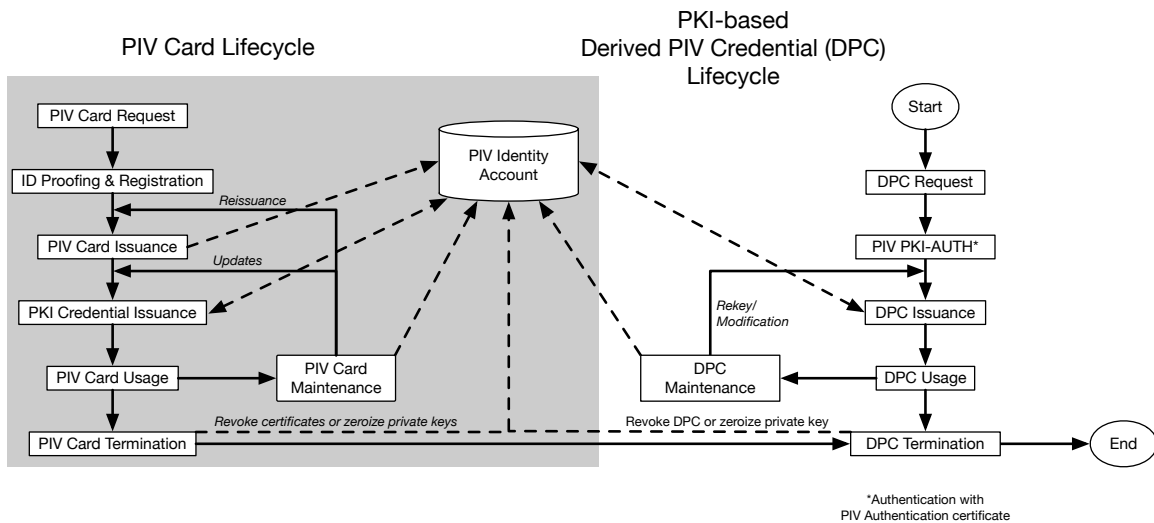


Figure 1. PKI-based derived PIV credential lifecycle activities

The lifecycle of a derived PIV credential begins with the issuance of a derived PIV credential on an approved device or authenticator associated with the applicant. This may be part of the process of issuing a PIV Card or a subsequent process. Mobile devices with derived PIV credentials are managed as described in [SP800-124].

The maintenance activities for a PKI-based derived PIV credential are the same as for other X.509 public key certificates. Certificate re-key is typically used to replace

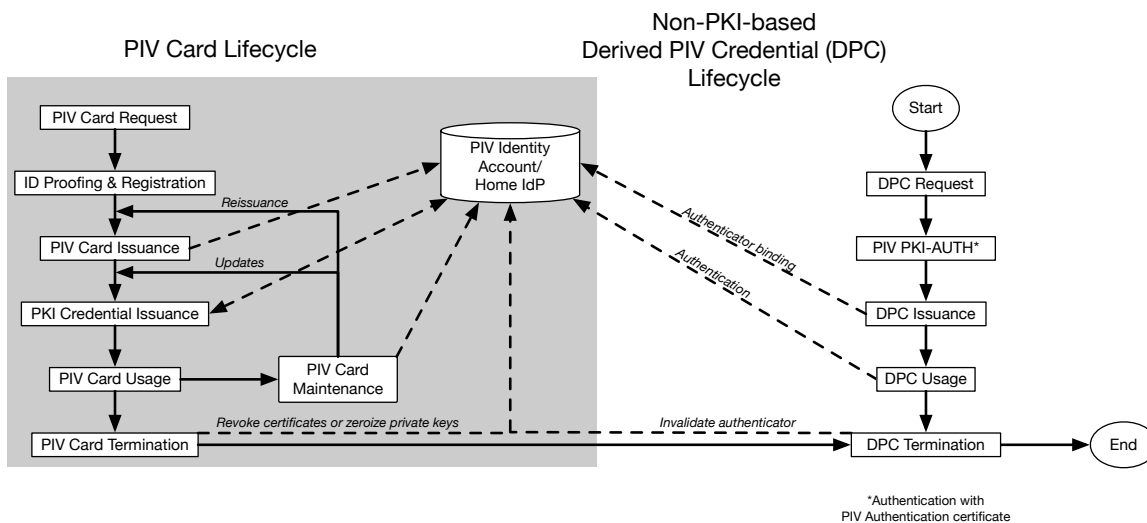


Figure 2. Non-PKI-based derived PIV credential lifecycle activities

386 a certificate that is nearing expiration. Certificate modification is used to replace a
 387 certificate if information about the subscriber that appears in the certificate, such as their
 388 name, needs to be changed.

389 While non-PKI-based derived PIV credentials are not typically re-keyed and do not
 390 contain PII about the subscriber, they may require maintenance, such as replacing the
 391 activation secret or biometric factor used to activate the physical authenticator. Instead
 392 of re-keying, the current non-PKI-based derived PIV credential **SHALL** be invalidated
 393 and the initial issuance process (except for the device or authenticator approval process)
 394 repeated to bind a new derived PIV credential. When a non-PKI-based derived PIV
 395 credential is lost, stolen, or damaged, the issuer **SHALL** invalidate the credential to
 396 prevent its further use.

397 When an authenticator that contains the private key corresponding to a PKI-based derived
 398 PIV credential is lost, stolen, or damaged, the issuer **SHALL** prevent further use of the
 399 affected credential by either collecting and destroying the associated private key or by
 400 revoking the associated certificate. These processes are described in [Sec. 2.4](#). If the
 401 subscriber becomes ineligible to possess a PIV Card, all derived PIV credentials for that
 402 subscriber are revoked or otherwise invalidated.

403 2.2. Initial Issuance

404 The issuance of a derived PIV credential is an instance of the post-enrollment binding
 405 of an authenticator described in [\[SP800-63B\]](#). Issuance **SHALL** be performed in
 406 accordance with the requirements that apply to cryptographic authenticators as well as
 407 the requirements in this section. The term *issuance* is used in cases where the device or
 408 authenticator is provided to the subscriber as well as when the device or authenticator is

409 already in the subscriber's possession. Appendix C provides sample issuance processes
410 for derived PIV credentials.

411 Derived PIV credentials **SHALL** be issued only by the home agency of the associated
412 PIV identity account. Derived PIV credentials **SHALL** be issued only to devices (such as
413 mobile devices) or authenticators that are approved by the home agency. Agencies **MAY**
414 establish blanket approvals for particular device types or **MAY** individually authorize
415 specific devices or authenticators for issuance and use by a cardholder. Authorization
416 policies for issuance **SHALL** be documented by each issuer.

417 Derived PIV credentials **MAY** be issued remotely or in person. At the time of issuance,
418 the applicant **SHALL** authenticate to the derived PIV credential issuer using their PIV
419 Card. This authentication **SHALL** be performed using the PKI-AUTH authentication
420 mechanism described in Sec. 6.2.3.1 of [FIPS201]. This authentication **MAY** be
421 performed remotely. In addition to authenticating the cardholder, performing the PKI-
422 AUTH authentication mechanism verifies that the applicant is currently eligible to
423 possess a PIV Card. All derived PIV credentials **SHALL** be issued in accordance with
424 [SP800-63B] Sec. 6.1.2.1.

425 All derived PIV credentials for use at AAL3 **SHALL** be issued in accordance with the
426 following additional requirements. The applicant **SHALL** identify themselves using a
427 biometric sample that can be verified against their PIV Card or against the biometric
428 information in their enrollment record. If the issuance process consists of two or more
429 transactions, the applicant **SHALL** identify themselves using a biometric sample that can
430 be verified against either their PIV Card or against a biometric that was recorded in a
431 previous transaction. The issuer **SHALL** retain the biometric sample used to verify the
432 applicant for future reference.

433 After the applicant has been authenticated, a derived PIV credential **MAY** be issued and
434 associated with the cardholder's PIV identity account. The newly issued derived PIV
435 credential **SHALL** be represented in the cardholder's PIV identity account.

436 When a new derived PIV credential is associated with a PIV identity account, the issuer
437 **SHALL** promptly notify the PIV cardholder of the binding of a derived PIV credential
438 through an independent means that would not afford an attacker the opportunity to
439 interfere with the notification. More than one independent notification method **MAY**
440 be used to ensure prompt receipt by the cardholder.

441 Derived PIV credentials **SHALL** meet the requirements for authentication assurance
442 level (AAL) 2 or 3 specified in [SP800-63B]. Derived PIV credentials that meet AAL3
443 requirements also fulfill the requirements of AAL2 and can be used in circumstances that
444 require authentication at AAL2. All derived PIV credentials at both AAL2 and AAL3
445 **SHALL** meet the requirements for phishing resistance defined in [SP800-63B] Sec. 5.2.5.

446 This guideline does not preclude the issuance of multiple derived PIV credentials to the
447 same applicant on the basis of the same PIV Card. This could increase the risk that one of

448 the derived PIV credentials will be lost/stolen without the loss being reported or that the
449 subscriber will inappropriately provide one of them to someone else. Accordingly, issuers
450 **MAY** place a limit on the number of active derived PIV credentials that a subscriber may
451 have.

452 **2.2.1. PKI-based Derived PIV Credential Issuance**

453 Issuance of a PKI-based derived PIV credential requires the generation of a public/private
454 keypair followed by the creation of a corresponding authentication certificate by the
455 CSP. For a derived PIV credential capable of being used at AAL3, the keypair **SHALL**
456 be generated in the device (authenticator or endpoint) that will house the derived PIV
457 credential. The device **SHALL** send the certificate signing request that contains the
458 public key to the CSP, which **SHALL** return an X.509 authentication certificate that
459 **SHALL** be stored on the credential. The CSP **SHALL** retain a copy of the issued
460 certificate for use should revocation be required. For a derived PIV credential that is
461 issued for use only at AAL2, the same procedure **MAY** be used, or the CSP **MAY**
462 generate a keypair and corresponding certificate and send the certificate and private key
463 to the device over an authenticated protected channel for installation. The CSP **SHALL**
464 immediately and securely delete its copy of the private key.

465 The private key **SHALL** be stored on the device in a manner that makes it accessible
466 only upon entry of the correct activation secret or presentation of a biometric factor that
467 matches a stored biometric image or template. This **SHALL** be accomplished either
468 through the use of strong access controls for the stored private key or through decryption
469 of the private key using an encryption key that is derived from the activation secret.

470 **2.2.2. Non-PKI-based Derived PIV Credential Issuance**

471 The applicant **SHALL** be provided with or supply an approved physical authenticator
472 for the highest AAL that the derived PIV credential will be used to authenticate. If the
473 authenticator is not directly provided by the issuer (i.e., the home agency), the issuer
474 **SHALL** verify that the authenticator's characteristics (e.g., single-factor or multi-factor)
475 meet the requirements of [SP800-63B] for the highest authentication assurance level at
476 which it will be used (AAL2 or AAL3), including [FIPS140] requirements.

477 The issuance process for a multi-factor authenticator **SHALL** prompt the applicant to
478 establish a memorized secret or biometric activation factor (or both) for the authenticator
479 and successfully authenticate using that authenticator. The issuance process with a single-
480 factor authenticator **SHALL** prompt the applicant to register a memorized secret that
481 meets the requirements of [SP800-63B] Sec. 5.1.1 and that will be verified along with the
482 physical authenticator in the authentication process.

483 **2.3. Maintenance**

484 The maintenance activities required for derived PIV credentials depend on the type of
485 derived PIV credential (PKI-based or non-PKI-based) being used. Maintenance activities
486 include rekeying, modification of certificates, and replacement of an activation factor
487 (biometric or memorized secret) as appropriate.

488 Derived PIV credentials are unaffected when the subscriber replaces their PIV Card with
489 a new one (reissuance) or when the PIV Card is lost, stolen, or damaged. The ability for
490 the subscriber to use a derived PIV credential is especially useful while waiting for a
491 new PIV Card to be issued. In such circumstances, the subscriber continues to be able
492 to use the derived PIV credential to gain logical access to remote federally controlled
493 information systems from their endpoint.

494 Updating the activation data (biometric or memorized secret, such as a PIN) or resetting
495 the activation retry count for a derived PIV credential **SHALL** be performed in
496 accordance with [Sec. 3.1.4](#) for PKI-based derived PIV credentials or [Sec. 3.2.3](#) for non-
497 PKI-based derived PIV credentials.

498 **2.3.1. PKI-based Derived PIV Credential Maintenance**

499 PKI-based derived PIV credentials require typical maintenance activities applicable
500 to asymmetric cryptographic credentials, including rekeying and modification. These
501 activities **MAY** be performed either remotely or in person and **SHALL** be performed
502 in accordance with the certificate policy under which the derived PIV authentication
503 certificate is issued. When certificate rekeying or modification is performed remotely
504 for a derived PIV credential, communication between the issuer and the cryptographic
505 module in which the derived PIV authentication private key is stored **SHALL** only occur
506 over mutually authenticated secure sessions between tested and validated cryptographic
507 modules.

508 Some maintenance activities for the subscriber's PIV Card may trigger corresponding
509 maintenance activities for the derived PIV credential since the derived PIV credential will
510 need to be reissued if any information about the subscriber that appears in the credential
511 changes. For example, if the subscriber's PIV Card is reissued as a result of a change in
512 the subscriber's name and the subscriber's name appears in the derived PIV authentication
513 certificate, a new derived PIV authentication certificate with the new name **SHALL** be
514 issued and the previous certificate invalidated.

515 **2.3.2. Non-PKI-based Derived PIV Credential Maintenance**

516 The maintenance activities for non-PKI-based derived PIV credentials are somewhat
517 simpler than for PKI-based derived PIV credentials since the former do not contain
518 information about the cardholder and do not carry a specific expiration date. Identity
519 information **SHALL** be maintained in the PIV identity account and **SHALL** be updated
520 when needed.

521 Updating a separate memorized secret used with a single-factor authenticator for use
522 at AAL2 **SHALL** be performed in a mutually authenticated protected session with the
523 home agency. The update **SHALL** require the entry of the current memorized secret
524 used for activation. If resetting the memorized secret is required because the subscriber
525 has forgotten the memorized secret or has reached the retry limit, it **SHALL** be done in
526 accordance with [Sec. 3.2.3](#).

527 **2.4. Invalidation**

528 When an authenticator associated with a derived PIV credential is compromised (e.g.,
529 lost, stolen, or damaged), that derived PIV credential **SHALL** be invalidated as described
530 below.

531 All derived PIV credentials associated with a given PIV Card **SHALL** be invalidated
532 when the associated PIV identity account is terminated, typically due to the cardholder's
533 loss of PIV Card eligibility. Issuers of derived PIV credentials **SHALL** continuously
534 monitor the associated PIV identity account to determine its termination status. Meeting
535 this requirement is simplified because the subject's PIV Card, cardholder eligibility, and
536 all derived PIV credentials are maintained in one account — the PIV identity account —
537 and maintained by the home agency.

538 The issuer of the derived PIV credential **SHALL NOT** solely rely on tracking the
539 revocation status of the PIV authentication certificate as a means of tracking the
540 termination status of the PIV Card. This is because there are situations in which the PIV
541 authentication certificate is not revoked even though the PIV Card has been terminated
542 and subsequently replaced with a new card. This may happen, for example, when a
543 terminated PIV Card is collected and either zeroized or destroyed by an agency. In this
544 case and in accordance with [\[FIPS201\]](#), the corresponding PIV authentication certificate
545 does not need to be revoked.

546 **2.4.1. PKI-based Derived PIV Credential Invalidation**

547 If the derived PIV authentication private key was created and stored on a hardware
548 module that does not permit export of the private key and the token is collected and
549 either zeroized or destroyed, then the derived PIV authentication certificate **SHOULD** be
550 revoked. In all other cases, the derived PIV authentication certificate **SHALL** be revoked.

551 **2.4.2. Non-PKI-based Derived PIV Credential Invalidation**

552 Non-PKI-based derived PIV credentials are always directly verified by the home agency
553 of the associated PIV Card. Therefore, termination of a non-PKI-based derived PIV
554 credential **SHALL** be accomplished by invalidating the reference to the associated
555 authenticator in the PIV identity account so that the authenticator cannot be used to
556 authenticate to the home agency. Separate hardware-based authenticators **MAY** be
557 collected from the subscriber, but this is not required.

3. Technical Requirements

This section is normative.

This section describes technical requirements for both PKI-based and non-PKI-based derived PIV credentials and associated authenticators.

While the following sections focus on credential and authenticator requirements, the verifier is required to meet the corresponding verifier requirements in [SP800-63B] Sec. 5.1.

3.1. PKI-based Derived PIV Credentials

A PKI-based derived PIV credential is a derived PIV authentication certificate, which is an X.509 public key certificate that has been issued in accordance with the requirements of this document and [COMMON]. All derived PIV credentials created under previous revisions of these guidelines are PKI-based and remain valid implementations under this revision of SP 800-157. Additional requirements for PKI-based derived PIV credentials that are removable or wireless are found in Appendix B.

Authentication using PKI-based derived PIV credentials **SHALL** include a check to determine that the authentication certificate is valid and current (e.g., that the certificate is unexpired and not revoked).

3.1.1. Certificate Policies for Derived PIV Credentials

Derived PIV authentication certificates **SHALL** be issued under either the `id-fpki-common-derived-pivAuth-hardware` policy (satisfying [SP800-63B] AAL3) or the `id-fpki-common-derived-pivAuth` policy (satisfying AAL2) of [COMMON]. All derived PIV credentials **SHALL** be deemed to satisfy [SP800-63A] IAL3 since that is the identity proofing and issuance level associated with the PIV Card and bound to the PIV identity account.

Derived PIV authentication certificates **SHALL** comply with the *Derived PIV Authentication Certificate* profile in [PROF].

The expiration date of a derived PIV authentication certificate is based on the certificate policy of the issuer. There is no requirement to align the expiration date of a derived PIV authentication certificate with the expiration date of the PIV authentication certificate or the expiration of the PIV Card. However, in many cases, aligning the expiration dates will simplify lifecycle management.

3.1.2. Cryptographic Specifications

The cryptographic algorithm and key size requirements for the derived PIV authentication certificates and private keys are the same as the requirements for the PIV authentication certificate and private key, as specified in [SP800-78].

593 For derived PIV authentication certificates issued under `id-fpki-common-pivAuth-`
594 `derived-hardware` (AAL3), the derived PIV authentication key pair **SHALL** be
595 generated within a hardware cryptographic module that meets the requirements of
596 [SP800-63B] Sec. 4.2.2, including being validated to [FIPS140] Level 2 or higher with
597 Level 3 physical security to protect the derived PIV authentication private key while in
598 storage and not permitting export of the private key.

599 For derived PIV authentication certificates issued under `id-fpki-common-pivAuth-`
600 `derived` (AAL2), the derived PIV authentication key pair **SHALL** be generated within a
601 cryptographic module that has been validated to [FIPS140] Level 1 or higher. If the key
602 pair is generated outside of the authenticator itself, the private key **SHALL** be transferred
603 via an authenticated protected channel as defined in [SP800-63B], and the authenticator
604 **SHALL** meet the requirements of [SP800-63B] Sec. 4.2.2, including being validated to
605 [FIPS140] Level 1 or higher.

606 3.1.3. Allowable Authenticator Types

607 Phishing-resistant multi-factor cryptographic authenticators **SHALL** be used for PKI-
608 based derived PIV authentication. A multi-factor cryptographic device authenticator as
609 specified in [SP800-63B] Sec. 5.1.9.1 **SHALL** be used for derived PIV authentication
610 at AAL3. Either a multi-factor cryptographic device authenticator or a multi-factor
611 cryptographic software authenticator as specified in [SP800-63B] Sec. 5.1.8.1 **SHALL** be
612 used for derived PIV authentication at AAL2.

613 3.1.4. Activation Data

614 Activation of the derived PIV authenticator using a memorized secret **SHALL** meet the
615 requirements of [SP800-63B] Sec. 5.2.11. Activation using a biometric characteristic
616 **SHALL** meet the requirements of [SP800-63B] Sec. 5.2.3. Unlocking the device that
617 houses a derived PIV authenticator (e.g., mobile phone) **SHALL NOT** be considered
618 activation of the authenticator. Separate entry of the activation secret or presentation
619 of a biometric factor **SHALL** be performed to use the authenticator. The same secret or
620 biometric factor used to unlock the device **MAY** be used to activate the authenticator.

621 If the memorized secret used for activation or the biometric activation factor needs to
622 be changed, entry of the current memorized secret **SHALL** be required to change the
623 value. If the activation secret has been forgotten or the permitted number of consecutive
624 wrong attempts has been reached, the home agency **SHALL** be required to input the PIN
625 unblocking key (PUK). If the PUK is not implemented by the authenticator or cannot
626 be provided, either the authenticator certificates **SHALL** be revoked or the associated
627 private keys **SHALL** be destroyed or zeroized. A new derived PIV credential **MAY** then
628 be obtained.

629 **3.2. Non-PKI-based Derived PIV Credentials**

630 When used, non-PKI-based credentials **SHALL** be used to authenticate only to the home
631 agency of the associated PIV Card.

632 **3.2.1. Allowable Authenticator Types**

633 Phishing-resistant multi-factor or single-factor cryptographic authenticators **SHALL** be
634 used for non-PKI-based derived PIV authentication. A multi-factor cryptographic device
635 authenticator as specified in [SP800-63B] Sec. 5.1.9.1 or a single-factor cryptographic
636 device authenticator as specified in [SP800-63B] Sec. 5.1.7.1 **SHALL** be used for derived
637 PIV authentication at AAL3. Either a cryptographic device authenticator or a multi-factor
638 cryptographic software authenticator as specified in [SP800-63B] Sec. 5.1.8.1 or a single-
639 factor cryptographic software authenticator as specified in [SP800-63B] Sec. 5.1.6.1
640 **SHALL** be used for derived PIV authentication at AAL2. All single-factor authenticators
641 **SHALL** be used in conjunction with a memorized secret that meets the requirements of
642 [SP800-63B] Sec. 5.1.1.1.

643 **3.2.2. Cryptographic Specifications**

644 Authenticators used as non-PKI-based derived PIV credentials **SHALL** meet the
645 cryptographic requirements specified in [SP800-63B] Sec. 5.1 for the corresponding
646 authenticator type.

647 **3.2.3. Activation Data**

648 Activation of a multi-factor authenticator being used as a derived PIV credential using a
649 memorized secret **SHALL** meet the requirements of [SP800-63B] Sec. 5.2.11. Activation
650 using a biometric characteristic **SHALL** meet the requirements of [SP800-63B]
651 Sec. 5.2.3. Unlocking the device that houses the authenticator (e.g., mobile phone)
652 **SHALL NOT** be considered activation of the authenticator. Separate entry of the
653 activation secret or presentation of a biometric factor **SHALL** be performed to use the
654 authenticator. The same activation secret or biometric factor used to unlock the device
655 **MAY** be used to activate the authenticator.

656 If the memorized secret used for activation or the biometric activation factor needs to be
657 changed, entry of the current activation secret **SHALL** be required to change the value.
658 If the activation secret has been forgotten or the permitted number of consecutive wrong
659 attempts has been reached, the activation secret and attempt counter **MAY** be reset by
660 centralized management by the home agency. If centralized reset is not available, the
661 authenticator **SHALL** be reset and require re-binding to the PIV identity account, as
662 described in Sec. 3.3.

663 **3.3. Binding Derived PIV Credentials**

664 Binding a derived PIV credential to a PIV identity account can be accomplished through
665 a connection to a PIV-authenticated endpoint, a direct connection to the PIV Card, or the
666 use of the external authenticator binding procedure, as described in [SP800-63B] Sec.
667 6.1.2.4. In all cases, binding **SHALL** require the use of the PIV-AUTH authentication
668 mechanism specified in [FIPS201].

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721 **Appendix A. Digital Signature and Key Management Keys**

722 *This appendix is informative.*

723 In addition to the PIV authentication keys, [FIPS201] also requires each PIV Card to
724 have a digital signature key and a key management key unless the cardholder does not
725 have a government-issued email account at the time of credential issuance. A subscriber
726 who has been issued a derived PIV credential may also need a digital signature and key
727 management key.

728 For most subscribers, it will be necessary to store a copy of the PIV Card's key
729 management private key and certificate in the keystore that hosts the derived PIV
730 credential. Similarly, copies of some or all of the PIV Card's retired key management
731 private keys and certificates should be stored in the derived PIV credential keystore.
732 Neither [FIPS201] nor [COMMON] precludes a key management private key from being
733 used on more than one device (e.g., the PIV Card and a derived PIV credential keystore)
734 as long as all of the requirements of the policy under which the key management
735 certificate was issued are satisfied. This means that in order to use a copy of a key
736 management private key in a [FIPS140] Level 1 software cryptographic module, the
737 corresponding certificate would have to be issued under a certificate policy, such
738 as `id-fpki-common-policy`, that does not require the use of a [FIPS140] Level 2
739 hardware cryptographic module. This should be taken into account at the time that the
740 key management certificate that will be placed on the PIV Card is issued. Key recovery
741 mechanisms are encouraged for key management keys that will be used on derived PIV
742 credential keystores.

743 As the digital signature key on a PIV Card cannot be copied, a new digital signature
744 private key will need to be generated and a corresponding certificate will need to be
745 issued for the derived PIV credential keystore. The issuance of this private key and
746 certificate is independent of the issuance of the PIV Card. As the certificate policies
747 associated with digital signature certificates in [COMMON] (`id-fpki-common-policy`,
748 `id-fpki-common-hardware`, and `id-fpki-common-High`) are not limited to use with
749 PIV Cards, a digital signature certificate for a derived PIV credential keystore may be
750 issued under one of these policies as long as all of the policy requirements are satisfied.

751 **Appendix B. Data Model and Interfaces for Removable or Wireless PKI-based**
752 **Hardware Cryptographic Devices**

753 *This appendix is normative.*

754 This appendix provides data model and interface requirements for PKI-based derived
755 PIV applications that are implemented on removable or wireless hardware cryptographic
756 tokens.

757 **B.1. Derived PIV Application Data Model and Representation**

758 The data model and representation requirements for derived PIV applications are based
759 on the requirements for PIV Card applications, as described in [SP800-73] Part 1. The
760 specifications for the mandatory and optional data objects listed below are the same as the
761 specifications for the corresponding data objects on a PIV Card application, as described
762 in [SP800-73] Part 1.

763 **B.1.1. Derived PIV Application Identifier**

764 The application identifier (AID) of the derived PIV application **SHALL** be (in
765 hexadecimal):

766 A0 00 00 03 08 00 00 20 00 01 00

767 The derived PIV application can be selected as the current application on the removable
768 hardware cryptographic token by providing the full AID listed above or by providing the
769 right truncated version, as follows (hexadecimal):

770 A0 00 00 03 08 00 00 20 00

771 **B.1.2. Derived PIV Application Data Model Elements**

772 The derived PIV application **SHALL** contain the following mandatory interoperable data
773 object:

774 **X.509 Certificate for Derived PIV Authentication**

775 The read access control rule for the X.509 certificate for derived PIV authentication
776 and the PKI cryptographic function access rule for the corresponding private key
777 are as described for the X.509 certificate for PIV authentication in Sec. 3.1.3 of
778 [SP800-73] Part 1.

779 The following data objects **MAY** also be present:

780 **X.509 Certificate for Digital Signature**

781 The read access control rule for the X.509 certificate for digital signature and the PKI
782 cryptographic function access rule for the corresponding private key are as described
783 in Sec. 3.2.1 of [SP800-73] Part 1.

784 **X.509 Certificate for Key Management**

785 The read access control rule for the X.509 certificate for key management and the PKI
786 cryptographic function access rule for the corresponding private key are as described
787 in Sec. 3.2.2 of [SP800-73] Part 1.

788 **Discovery Object**

789 The requirements for the discovery object are as described in Sec. 3.3.2 of [SP800-73]
790 Part 1, except for the following:

- 791 • References to “PIV card application AID” are replaced by “derived PIV
792 application AID.”
- 793 • References to “PIV card application PIN” are replaced by “derived PIV
794 activation secret.”
- 795 • The first byte of the PIN usage policy **SHALL** be set to 0x40 to indicate that
796 the virtual contact interface (VCI) is not implemented, 0x48 to indicate that a
797 pairing code is required to establish a VCI, or 0x4C to indicate that no pairing
798 code is required to establish a VCI. This also means that neither the global
799 PIN nor the on-card biometric comparison (OCC) satisfies the access control
800 rules for command execution and data object access within the derived PIV
801 application.

802 **Key History Object**

803 Up to 20 retired key management private keys **MAY** be stored in the derived
804 PIV application. The Key History Object **SHALL** be present in the derived PIV
805 application if the derived PIV application contains any retired key management
806 private keys but **MAY** be present even if no such keys are present in the derived PIV
807 application. The requirements for the key history object are as described in Sec. 3.3.3
808 of [SP800-73] Part 1, except for the following:

- 809 • References to *keysWithOnCardCerts* **SHOULD** be interpreted as keys for which
810 the corresponding certificate is populated within the derived PIV application.
- 811 • References to *keysWithOffCardCerts* **SHOULD** be interpreted as keys for which
812 the corresponding certificate is not populated within the derived PIV application.
- 813 • References to *offCardCertURL* **SHOULD** be interpreted as a URL that points
814 to a file containing the certificates that correspond to all of the retired key
815 management private keys within the derived PIV application, including those for
816 which the corresponding certificate is stored within the derived PIV application.

817 **Retired X.509 Certificates for Key Management**

818 The read access control rules for the retired X.509 certificates for key management
819 and the PKI cryptographic function access rules for corresponding private keys are as
820 described in Sec. 3.3.4 of [SP800-73] Part 1.

821 **Security Object**

822 The security object **SHALL** be present in the derived PIV application if the discovery
823 object, the key history object, or the optional pairing code reference data container
824 is present. The requirements for the security object are as described in Sec. 3.1.7 of
825 [SP800-73] Part 1, except for the following:

- 826 • The security object for a derived PIV application is signed using a private key
827 whose corresponding public key is contained in a PIV content signing certificate
828 that satisfies the requirements for certificates used to verify signatures on
829 cardholder unique identifiers (CHUID), as specified in Sec. 4.2.1 of [FIPS201].
- 830 • The signature field of the Security Object, tag 0xBB, **SHALL** include the derived
831 PIV credential issuer's certificate.
- 832 • All unsigned data objects (i.e., the discovery object, the key history object, and
833 the pairing code reference data container) within the derived PIV application
834 **SHALL** be included in the security object.

835 **Secure Messaging Certificate Signer**

836 Derived PIV credential applications that support the virtual contact interface (VCI)
837 capability **SHALL** include the secure messaging certificate signer object described in
838 Sec. 3.3.7 of [SP800-73] Part 1.

839 **Pairing Code Reference Data Container**

840 Derived PIV credential applications that support the virtual contact interface (VCI)
841 using a pairing code **SHALL** include the pairing code reference data container
842 described in Sec. 3.3.8 of [SP800-73] Part 1.

B.1.2.1. Derived PIV Application Data Object Containers and Associated Access Rules

Section 3.5 of [SP800-73] Part 1 provides the container IDs and access rules for the mandatory and optional data objects for a derived PIV application with the following mappings:

Table 1. Mapping of Data Objects

Derived PIV Application Data Object	PIV Card Application Data Object
X.509 Certificate for Derived PIV Authentication	X.509 Certificate for PIV Authentication
Security Object	Security Object
X.509 Certificate for Digital Signature	X.509 Certificate for Digital Signature
X.509 Certificate for Key Management	X.509 Certificate for Key Management
Discovery Object	Discovery Object
Key History Object	Key History Object
Retired X.509 Certificate for Key Management [1:20]	Retired X.509 Certificate for Key Management [1:20]
Secure Messaging Certificate Signer	Secure Messaging Certificate Signer
Pairing Code Reference Data Container	Pairing Code Reference Data Container

The detailed data model specifications for each of the data objects of the derived PIV application are the same as the specifications for the corresponding data objects (mapped per Table 1) of the PIV Card application as described in Appendix A of [SP800-73] Part 1, except for the following:

- The security object for the derived PIV application is optional. It is required if the optional discovery object, the optional key history object, or the optional pairing code reference data container is present.
- The minimum capacity for the security object container **SHALL** be 3000 bytes in order to allow space for the derived PIV credential issuer’s certificate.

B.1.3. Derived PIV Application Data Objects Representation

The ASN.1 object identifiers (OID) and “basic encoding rules – tag length value” (BER-TLV) tags for the mandatory and optional data objects within the derived PIV application are the same as for the corresponding data objects (mapped per Table 1) of the PIV Card application, as described in Sec. 4 of [SP800-73] Part 1.

B.1.4. Derived PIV Application Data Types and Their Representation

This appendix provides a description of the data types used in the derived PIV application command interface.

865 **B.1.4.1. Derived PIV Application Key References and Security Conditions of Use**

866 Key references are assigned to keys and secrets of the derived PIV application. Table
867 6-1 of [SP800-78] and Table 4 of [SP800-73] Part 1 define the key reference values that
868 **SHALL** be used on the derived PIV application interfaces with the following mappings:

Table 2. Mapping of Key Types

Derived PIV Key Type	PIV Key Type
Derived PIV Activation Secret	PIV Card Application PIN
Activation Secret Unblocking Key	PIN Unblocking Key
Derived PIV Authentication Key	PIV Authentication Key
Derived PIV Token Management Key	Card Management Key
Digital Signature Key	Digital Signature Key
Key Management Key	Key Management Key
Retired Key Management Key	Retired Key Management Key
Derived PIV Secure Messaging Key	PIV Secure Messaging Key

869 The key reference specifications in Sec. 5.1 of [SP800-73] Part 1 are applicable to the
870 corresponding keys included in the derived PIV application (mapped per Table 2), except
871 for the following:

- 872 • References to “PIV Card application” are replaced with “derived PIV application.”
- 873 • References in the “Security Condition for Use” column to “PIN or OCC” are
874 replaced with “derived PIV activation secret.”

875 **B.1.4.2. Derived PIV Application Cryptographic Algorithm and Mechanism Identifiers**

876 The algorithm identifiers for the cryptographic algorithms that **MAY** be recognized on
877 the derived PIV application interfaces are the symmetric and asymmetric identifiers
878 specified in Table 6-2 and Table 6-3 of [SP800-78]. The cryptographic mechanism
879 identifiers that **MAY** be recognized on the derived PIV application interfaces are those
880 specified in Table 5 of [SP800-73] Part 1.

881 **B.1.4.3. Derived PIV Application Status Words**

882 The status words that **MAY** be returned on the derived PIV application command
883 interface are as specified in Sec. 5.6 of [SP800-73] Part 1.

884 **B.1.5. Derived PIV Authentication Mechanisms**

885 The derived PIV application supports the following validation steps:

- 886 • Credential validation (CredV) is established by verifying the certificates retrieved
887 from the derived PIV application and checking the validity and revocation status of
888 these certificates.

- 889 • Derived PIV application holder validation (HolderV) is established when the
890 authenticator holder proves knowledge of the derived PIV activation secret
891 associated with the derived PIV credential that contains valid and unrevoked
892 certificates.

893 The derived PIV application facilitates a single authentication mechanism, which is a
894 cryptographic challenge and response authentication protocol that uses the derived PIV
895 authentication private key as described in Appendix B.1.2 of [SP800-73] Part 1 with the
896 following translations:

- 897 • References to “PIV application” are replaced with “derived PIV application.”
- 898 • References to “PIV auth certificate” are replaced with “derived PIV authentication
899 certificate.”
- 900 • References to “PIV Card app ID” are replaced with “derived PIV application ID.”

901 The authentication can also be performed wirelessly over a virtual contact interface (VCI)
902 if a VCI has been established with the derived PIV application.

903 **B.2. Derived PIV Application Token Command Interface**

904 This appendix contains the technical specifications for the command interface to the
905 derived PIV application surfaced by the card edge of the integrated circuit card (ICC) that
906 represents the removable hardware cryptographic token. The command interface for the
907 derived PIV application **SHALL** implement all of the card commands supported by the
908 PIV Card application as described in [SP800-73] Part 2, which include:

- 909 • SELECT
- 910 • GET DATA
- 911 • VERIFY
- 912 • CHANGE REFERENCE DATA
- 913 • RESET RETRY COUNTER
- 914 • GENERAL AUTHENTICATE
- 915 • PUT DATA
- 916 • GENERATE ASYMMETRIC KEY PAIR

917 The specifications for the token command interface **SHALL** be the same as the
918 specifications for the corresponding card edge commands for a PIV Card as described
919 in [SP800-73] Part 2, except for the following deviations:

- 920 • References to “PIV Card application” are replaced with “derived PIV application.”
- 921 • References to “PIV data objects” are replaced with “derived PIV data objects.”

- 922 • References to “PIV authentication key” are replaced with “derived PIV
923 authentication key.”
- 924 • The derived PIV activation secret **SHALL** satisfy the criteria specified in Appendix
925 B.2.1 of this document rather than Sec. 2.4.3 of [SP800-73] Part 2.
- 926 • In Appendix A:
 - 927 – References to “PIV Card application administrator” are replaced with “derived
928 PIV application administrator.”
 - 929 – References to “card management key” are replaced with “derived PIV token
930 management key.”

931 The token platform **SHALL** support a default selected application, which is the selected
932 application that immediately following a cold or warm reset. This default application may
933 be the derived PIV application or another application.

934 **B.2.1. Authentication of an Individual**

935 Knowledge of a memorized secret (specifically the derived PIV activation secret) is the
936 means by which an individual can be authenticated to the derived PIV application.

937 The derived PIV activation secret **SHALL** be between 6 and 8 bytes in length. If the
938 actual length of the derived PIV activation secret is less than 8 bytes, it **SHALL** be
939 padded to 8 bytes with 0xFF when presented to the token command interface. The 0xFF
940 padding bytes **SHALL** be appended to the actual value of the secret. The bytes that
941 comprise the derived PIV activation secret **SHALL** be limited to values 0x30 – 0x39,
942 0x41 – 0x5A, and 0x61 – 0x7A: the ASCII values for the decimal digits ‘0’ – ‘9’; upper
943 case characters ‘A’ – ‘Z’; and lower case characters ‘a’ – ‘z’. For example,

- 944 • Actual derived PIV activation secret: “Part21” or (hexadecimal) 50 61 72 74 32
945 31
- 946 • Padded derived PIV activation secret presented to the card command interface
947 (hexadecimal): 50 61 72 74 32 31 FF FF

948 The derived PIV application **SHALL** enforce the minimum length requirement of 6 bytes
949 for the derived PIV activation secret (i.e., **SHALL** verify that at least the first 6 bytes of
950 the value presented to the card command interface are in the range 0x30 – 0x39, 0x41
951 – 0x5A, or 0x61 – 0x7A) as well as the other formatting requirements specified in this
952 section.

953 **Appendix C. Example Issuance Processes**

954 *This appendix is informative.*

955 The issuance process for a derived PIV credential varies depending on whether the
956 derived PIV credential is being issued at AAL2 or AAL3. [Section 2.2](#) specifies the
957 requirements for initial issuance. This appendix provides two example issuance processes
958 that satisfy those requirements: one at AAL2 and another at AAL3.

959 **C.1. Example Issuance of a Derived PIV Credential at AAL2**

960 The following is an example of a PKI-based derived PIV credential.

961 An employee requires a mobile device for work. The mobile device is ordered, and a
962 request for the issuance of a derived PIV credential is submitted to the agency's approval
963 authority.

964 Following receipt of the device and approval, the employee starts the binding process
965 remotely — such as from their home — by visiting a derived PIV credential website
966 operated by or on behalf of their PIV Card's home agency. The website requires TLS
967 client authentication using the PIV authentication certificate on the employee's PIV Card.
968 The employee performs this step from a desktop computer since they cannot use their PIV
969 Card on a mobile device. By requiring and validating a PIV Authentication certificate
970 when connecting to the website, the server authenticates the employee and verifies
971 that the employee is still eligible to possess a PIV Card. If the employee successfully
972 authenticates to the server, the issuer generates and displays a binding secret to the
973 employee.

974 The employee then runs a provisioning application on the mobile device. The application
975 asks the employee to identify themselves and enter the binding secret that was previously
976 provided from the desktop website to create an activation secret, which will subsequently
977 be used to authenticate to the cryptographic module. The application generates a key
978 pair within the device's cryptographic module and submits the binding secret and
979 newly generated public key to the PIV issuer as part of a certificate request. The PIV
980 issuer authenticates the employee by verifying that the binding secret in the certificate
981 request matches the one that it previously issued and forwards the public key to the CA,
982 which signs and issues the derived PIV credential (i.e., the derived PIV authentication
983 certificate). The provisioning application loads the derived PIV authentication certificate
984 on the mobile device. The PIV Card issuer enters information about the new derived PIV
985 credential into the subscriber's PIV identity account. The cardholder is notified of the
986 binding of the new derived PIV credential.

987 Normative requirements for this process are given in [\[SP800-63B\]](#) Sec. 6.1.2.4 and in
988 [Sec. 2.2](#) of this document.

989 **C.2. Example Binding of a Derived PIV Credential at AAL3**

990 An employee requires a derived PIV credential to access a relying party using one or
991 more endpoints that do not accommodate the direct use of a PIV Card. The employee
992 requests a non-PKI-based authenticator capable of authentication at AAL3 and approval
993 to use that authenticator as a derived PIV credential. The request is approved by the
994 agency's approval authority.

995 After receiving the approval and authenticator, the employee starts the binding process
996 by authenticating with their PIV Card at a derived PIV credential website operated by
997 or on behalf of the PIV cardholder's home agency. The employee additionally provides
998 a biometric sample that can be verified against their PIV Card. The website requires
999 TLS client authentication using the PIV authentication certificate on the employee's PIV
1000 Card. The employee then inserts (connects) the authenticator to be used as a derived
1001 PIV credential and registers (binds) that credential, including establishing a second
1002 authentication factor (activation secret or biometric characteristic) if that has not already
1003 been done. The website determines whether the authenticator meets AAL3 requirements.
1004 Upon successful registration, the subscriber's key and appropriate metadata are stored
1005 for use by the home agency's endpoint for non-PKI-based PIV authentication. The PIV
1006 Card issuer enters information about the new derived PIV credential into the subscriber's
1007 PIV identity account. The cardholder is notified of the binding of the new derived PIV
1008 credential.

1009 If the authenticator uses verifier name binding as described in [SP800-63B] Sec. 5.2.5.2,
1010 the website used to register the authenticator has to share the same domain name as will
1011 be used by the home agency to authenticate the subscriber so that the same keys are used
1012 for registration and authentication.

1013 **Appendix D. Glossary**

1014 *This appendix is informative.*

1015 Selected terms used in the guideline are defined below. All other significant technical
1016 terms used within this document are defined in other key documents, including [FIPS201],
1017 [SP800-63A], [SP800-63B], and [SP800-73].

1018 **applicant**

1019 A PIV cardholder who has applied for but has not yet been issued a derived PIV
1020 credential.

1021 **derived PIV application**

1022 A standardized application based on the PIV Card's PIV application that resides on a
1023 removable or wireless hardware cryptographic token. It hosts a PKI-based derived PIV
1024 credential and associated mandatory and optional elements.

1025 **home agency**

1026 The government agency responsible for maintaining the PIV identity account and issuing
1027 a PIV Card. While another agency may perform the enrollment and identity proofing
1028 process in some cases, the home agency is responsible for monitoring ongoing eligibility
1029 and initiating termination if appropriate.

1030 **PKI-based derived PIV credential**

1031 An X.509 derived PIV authentication certificate, which is issued in accordance with the
1032 requirements specified in this document where the PIV authentication certificate on the
1033 applicant's PIV Card serves as the original credential. The derived PIV credential is an
1034 additional common identity credential under HSPD-12 and FIPS 201 that is issued by a
1035 federal department or agency.

1036 **non-PKI-based derived PIV credential**

1037 An authenticator that has been bound to a PIV identity account at a subscriber's home
1038 agency and that can be used for federated authentication to applications as an alternative
1039 to the subscriber's PIV Card.

1040 **subscriber**

1041 A PIV cardholder to whom a derived PIV credential has been issued.

1042 **verifier**

1043 An entity that verifies the claimant's identity by verifying the claimant's possession and
1044 control of one or more authenticators using an authentication protocol. To do this, the
1045 verifier needs to confirm the binding of the authenticators with the subscriber account and
1046 check that the subscriber account is active.

1047 **Appendix E. Acronyms and Abbreviations**

1048 *This appendix is informative.*

1049 Selected abbreviations used in this guideline are defined below.

1050 **AAL**

1051 Authentication Assurance Level

1052 **AID**

1053 Application Identifier

1054 **ASCII**

1055 American Standard Code for Information Interchange

1056 **CA**

1057 Certificate Authority

1058 **CHUID**

1059 Cardholder Unique Identifier

1060 **CSP**

1061 Certificate Service Provider

1062 **ICC**

1063 Integrated Circuit Card

1064 **FIPS**

1065 Federal Information Processing Standard

1066 **OCC**

1067 On-Card (biometric) Comparison

1068 **PIN**

1069 Personal Identification Number

1070 **PIV**

1071 Personal Identity Verification

1072 **PKI**

1073 Public Key Infrastructure

1074 **TLS**
1075 Transport Layer Security

1076 **VCI**
1077 Virtual Contact Interface

1078 **Appendix F. Change Log**

1079 *This appendix is informative.* It provides an overview of the changes to SP 800-157 since
1080 its initial release.

- 1081 • Throughout — Removed restrictions to only use derived PIV credentials on mobile
1082 devices
- 1083 • Sections 1.1, 1.2 — Allowed binding of non-PKI-based derived PIV credentials at
1084 AAL2 and AAL3
- 1085 • Sections 1.2, 2.1, 2.2, 3.1, 3.2, C — Changed assurance levels from LOA to AAL
- 1086 • Sections 1.4, 2.2 — Removed relationship to obsolete OMB memoranda
- 1087 • Section 2.1 — Added lifecycle of non-PKI-based derived PIV credentials
- 1088 • Sections 2.2.1, 2.2.2 — Added detail on issuance for PKI and non-PKI-based
1089 derived PIV credentials
- 1090 • Sections 2.3.1, 2.3.2 — Added detail on maintenance for PKI and non-PKI-based
1091 derived PIV credentials
- 1092 • Sections 2.4, 2.4.1, 2.4.2 — Added invalidation detail, replacing linkage with PIV
1093 Card
- 1094 • Section 3.1, 3.2 — Reorganized sections into PKI and non-PKI-based derived PIV
1095 credential requirements
- 1096 • Section 3.1.3 — Removed specific physical details for authenticators
- 1097 • Sections 3.1.4, 3.2.3 — Referenced SP 800-63B for activation requirements
- 1098 • Section 3.3 — Added reference to binding requirements in SP 800-63B
- 1099 • Appendix B.1.2, B.1.3 — Added secure messaging and VCI capabilities for
1100 removable and wireless authenticators
- 1101 • Appendix C.1 — Added reference to issuance requirements in SP 800-63B
- 1102 • Appendix C.2 — Updated existing PIV credential issuance example and added
1103 example of issuance of non-PKI-based derived PIV credentials