

Identity Proofing and Request Process

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The Foundation for PIV

- Identity – A unique name of an individual person. Since the legal names of persons are not necessarily unique, the identity of a person must include sufficient additional information (for example an address or some unique identifier such as an employee or account number) to make the complete name unique. (NIST SP 800-63)
- Identity Proofing – The process by which the credential issuer validates sufficient information to uniquely identify a person applying for the credential.

Separation of Duties

Independent roles require pervasive collusion for fraudulent issuance

- Request
- Approval
- Issuance

What do we really need to do?

- Prove that the identity exists
- Prove the applicant is entitled to that identity
- Address the potential for fraudulent issuance of credentials based on collusion

Components

- Identity Source Documents
 - Two I-9 Identity Sources
 - Must include a government-issued picture ID and fingerprints (10 for identification and two for verification)
- Background Checks
 - Use of SF 85
 - Required Investigations based on the information provided in SF 85 and the Identity Source Documents

Players and Process

- Applicant - completes SF 85, provides source identification documents, fingerprint card
- Requesting Authority – requests PIV token for applicant
- Independent Approval Authority – approval based on results of background checks
- Token Issuance and Registration Authority – collects and reviews applicant’s documentation, compares original source identification documents to copies accompanying application and physical characteristics of recipient

1	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	Authentication of source documents by PIV token issuer Law enforcement check
2	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	National Agency Check and Inquires (NACI) using info from SF 85 or equiv
3	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	National Agency Check and Inquires and Credit Check (NACIC) using info from SF 85 P or equiv
4	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	Limited Background Investigation (LBI) and Background Investigation (BI) using info from SF 85 P or equiv

Beyond FIPS 201

- Identity source documents are the documentary foundation of decision to issue credential
- Government and industry need to continue working solutions to improve the confidence of these documents