

Proposed Revision of FIPS 201

The National Institute of Standards and Technology proposes revisions to paragraphs 2.2 and 5.3.1 of Federal Information Processing Standard 201 (FIPS 201), *Personal Identity Verification (PIV) of Federal Employees and Contractors*. The Revised FIPS will be re-numbered FIPS 201-1 when the proposed change is approved by the Secretary of Commerce.

The changes to Section 2.2, PIV Identify Proofing and Registration Requirements, and to Section 5.3.1, PIV Card Issuance, will clarify the identity proofing and registration process that departments and agencies should follow when issuing identity credentials. These changes are required to make FIPS 201 consistent with the Memorandum for All Departments and Agencies (M-05-24), issued by the Office of Management and Budget on August 5, 2005, Implementation of Homeland Security Presidential Directive (HSPD) 12 – Policy for a Common Identification Standard for Federal Employees and Contractors.

Before recommending these proposed changes to FIPS 201 to the Secretary of Commerce for review and approval, NIST invites comments from the public, users, the information technology industry, and Federal, State and local government organizations concerning the proposed changes. Comments on these proposed changes must be received by 30 days after publication of the Federal Register notice of the change proposal.

Written comments concerning the proposed changes to FIPS 201 should be sent to: Information Technology Laboratory, ATTN: Proposed Changes to FIPS 201, Mail Stop 8930, National Institute of Standards and Technology, 100 Bureau Drive, Gaithersburg, MD 20899. Electronic comments should be sent to: fips.comments@nist.gov.

The proposed changes follow:

2.2 PIV Identity Proofing and Registration Requirements

For compliance with the PIV-I control objectives, departments and agencies shall follow an identity proofing and registration process that meets the requirements defined below when issuing identity credentials.

- + The organization shall adopt and use an approved identity proofing and registration process.
- + The process shall begin with initiation of a National Agency Check with Written Inquiries (NACI) or other Office of Personnel Management (OPM) or National Security community investigation required for Federal employment. This requirement may also be satisfied by locating and referencing a completed and successfully adjudicated NACI. Before issuing the credential, agencies should receive notification of the results of the National Agency Checks (NAC).¹ If the agency does not receive the results of the NAC within five days, the identity credential can be issued based on the FBI National Criminal History Check (fingerprint check). Appendix C, Background Check Descriptions, provides further details on NAC and NACI. Identity credentials

¹ Note: The required National Agency Check with Written Inquiries must still be completed.

issued to individuals without a completed NACI or equivalent must be electronically distinguishable from identity credentials issued to individuals who have a completed investigation.

- + The applicant must appear in-person at least once before the issuance of a PIV credential.
- + During identity proofing, the applicant shall be required to provide two forms of identity source documents in original form. The identity source documents must come from the list of acceptable documents included in *Form I-9, OMB No. 1115-0136, Employment Eligibility Verification*. At least one document shall be a valid State or Federal government-issued picture identification (ID).
- + The PIV identity proofing, registration and issuance process shall adhere to the principle of separation of duties to ensure that no single individual has the capability to issue a PIV credential without the cooperation of another authorized person.

The identity proofing and registration process used when verifying the identity of the applicant shall be accredited by the department or agency Inspector General as satisfying the requirements above and approved in writing by the head of the Federal department or agency. Two examples of processes that meet these requirements are provided in Appendix A, PIV Processes.

These requirements also apply to citizens of foreign countries who are working for the Federal government overseas. However, a process for registration and approval must be established using a method approved by the U.S. Department of State's Bureau of Diplomatic Security, except for employees under the command of a U.S. area military commander. These procedures may vary depending on the country.

2.3 PIV Issuance and Maintenance Requirements

For compliance with the PIV-I control objectives, departments and agencies shall meet the requirements defined below when issuing identity credentials. The issuance and maintenance process used when issuing credentials shall be accredited by the department as satisfying the requirements below and approved in writing by the head of the Federal department or agency. Two examples of processes that meet these requirements are provided in Appendix A.

- + The organization shall use an approved PIV credential issuance and maintenance process.
- + The process shall ensure completion and successful adjudication of a National Agency Check (NAC), National Agency Check with Written Inquiries (NACI), or other OPM or National Security community investigation as required for Federal employment. The PIV credential shall be revoked if the results of the investigation so justify.
- + At the time of issuance, verify that the individual to whom the credential is to be issued (and on whom the background investigation was completed) is the same as the intended applicant/recipient as approved by the appropriate authority.
- + The organization shall issue PIV credentials only through systems and providers whose reliability has been established by the agency and so documented and approved in writing (i.e., accredited).

5.3 PIV Issuance and Maintenance Requirements

5.3.1 PIV Card Issuance

Section 2.3 of this standard requires the adoption and use of an approved issuance and maintenance process. All PIV-II issuance and maintenance systems must satisfy the PIV-I objectives and requirements stated in Sections 2.3 in order to be approved. An employee or contractor may be issued a PIV Card and logical credentials while a National Agency Check with Written Inquiries (NACI) or other OPM or National Security community investigation required for Federal employment is pending (see Section 2.2). In such cases, the process must verify successful completion and adjudication of the investigation.