Identity Proofing, Registration and Credential Issuance

Donna F Dodson

donna.dodson@nist.gov

October 6, 2004

Separation of Duties

- Registration process design requires independent roles to minimize fraudulent issuance
  - Request
  - Approval
  - Checks
  - Issuance

Players and Process

- Applicant - completes SF 85, provides source identification documents

- PIV Requesting Official – requests PIV token for applicant

- PIV Authorizing Official – approves the request for PIV token

- Registration Authority – performs the identity proofing and background checks

- PIV Issuing Authority – issues the identity credential to the Applicant *after identity proofing, background checks and related approvals have been completed*

Facets of Identity Proofing

- Identity Source Documents
  - o Two I-9 identity sources
  - o Must include a government-issued picture ID and fingerprints (10 for identification and two for verification)

- Background Checks
  - o Use of SF 85
  - o Required investigations based on position sensitivity level

Proofing and Background Checks

1	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	Authentication of source documents by PIV card issuer Law enforcement check
2	Two I-9 Identity Sources including one gov issued picture ID and fingerprints	National Agency Check and Inquiries (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 Inquiries 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

Balancing Requirements

- Interoperability of "Trust" across agencies vs Cost of modifying legacy issuing practices

- Background checks to support identity proofing with source documents vs Time and cost of checks

- Addition of biometrics to support authentication vs Cost of biometrics capture

- Minimizing potential for fraudulent issue vs labor/process costs

NIST
National Institute of
Standards and Technology