

Homeland Security Presidential Directive 12 (HSPD-12) Brochure

On August 27, 2004, President Bush signed **Homeland Security Presidential Directive 12 (HSPD-12), *Policy for a Common Identification Standard for Federal Employees and Contractors***. Based upon this directive, the National Institute for Standards and Technology (NIST) developed **Federal Information Processing Standards Publication (FIPS Pub) 201**, including a description of the minimum requirements for a Federal personal identification verification (PIV) system. HSPD-12 directs the implementation of a new standardized badging process, which is designed to enhance security, reduce identity fraud, and protect the personal privacy of those issued government identification. The Department of the Treasury will begin implementing the HSPD-12 program department-wide on October 27, 2005.

This policy will mean major changes in the issuance of Federal ID badges. No longer will a supervisor be able to authorize the issuance of a badge. Only those who have been officially appointed as Sponsors—and have completed the required training—can initiate this process.

Along with this new process are new requirements:

- Everyone issued an ID badge must have a favorable background investigation, including a FBI fingerprint check; for most people, this will mean a National Agency Check with Inquiries (NACI).
- All personnel must be “identity-proofed,” that is, they must present two forms of identification, one of which must be a state or federally issued photo ID.
- No one person can be the sole official that requests, authorizes, and issues a badge.

There are also new terms associated with this process. ID badges will now be called Personal Identity Verification (PIV) cards. Those applying for a PIV card will be referred to as Applicants; Registrars, mainly located in the Bureau Security Offices, will authorize the issuance of the cards. Those facilities that create the new PIV cards will be called PIV Card Issuing Facilities, or PCIFs.

Although this new program will mean significant changes throughout the Department of the Treasury and the Federal Government, it will mean a safer and more secure work environment for us all.

Undergoing the PIV Process for New Employees and Contractors

On or before your first day of employment, you will be asked to go to a PIV registration center to begin the PIV process. You must bring two forms of ID which will be reviewed for authenticity. One form of ID must be a valid state or federally issued picture identification. You may not utilize a current government issued employee identification badge as your picture ID. You will also be asked to complete the appropriate paperwork in order for the Department of the Treasury to initiate a background investigation.

At the registration center your identity forms will be authenticated by trained security professionals. You will also be fingerprinted and have your photograph taken. It is vital

that you bring all forms and paperwork with you as requested. Each PIV applicant will be afforded three opportunities to provide the required paperwork. Failure to comply could result in the withdrawal of an offer of employment.

The PIV Process for Existing Employees and Contractors

The Department of the Treasury will begin transitioning to the new PIV badge beginning in October 2006. All current Treasury employees and contractors will be required to present two forms of identification, one of which must be a valid picture ID, for authentication. Departmental officials will also verify that the employee has a valid background investigation on file. Employees and contractor employees will be required to undergo a background investigation if the officials are unable to verify the existence of a background investigation.

All current Treasury employees and contractors will be required to undergo the PIV process if they require the issuance of a new badge for any reason, between October 2005 and October 2006.

Documents Utilized in Identity Proofing (documents may not be expired)

Valid US Passport	Valid Federal, State or outlying possession issued Driver's license or ID card provided it contains a photograph
Certificate of US Citizenship	Certificate of Naturalization
U.S Social Security card issued by the Social Security Administration	Certificate of Birth Abroad issued by the Department of State (<i>Form FS-545 or Form DS-1350</i>)
Original or certified copy of a birth certificate issued by a state, county, municipal authority or outlying possession of the United States bearing an official seal	School ID card with a photograph
Voter registration card	U.S. military Card or draft record
Military dependent's ID Card	Native American tribal document
U.S. Coast Guard Merchant Mariner Card	U.S. Citizen ID Card (<i>Form I-197</i>)
Driver's license issued by a Canadian government authority	ID Card for use of Resident Citizen in the United States (<i>Form I-179</i>)
Current foreign passport with <i>I-551</i> stamp or attached <i>Form I-94</i> indicating unexpired employment authorization	Permanent Resident Card or Alien Registration Receipt Card with Photograph (<i>I-151 or I-551</i>)
Current Temporary Resident Card (<i>Form I-688</i>)	Current Employment Authorization Card (<i>Form I-688A</i>)
Current Reentry Permit (<i>Form I-327</i>)	Current Refugee Travel Document (<i>I-571</i>)
For Persons Under Age 18 Who are Unable to Present a Document Listed Above:	
School record or report card	Unexpired Employment Authorization Document issued by DHS that contains a photograph (<i>Form I-688B</i>)
Clinic, doctor or hospital record	Day-care or nursery school record

Responsibilities of a PIV Badge Holder

Individuals issued a PIV card must:

1. Not attempt to copy, modify or obtain data from any PIV Credential
2. Not assist others in gaining unauthorized access to Federal facilities or information; and
3. Report the loss or theft of an issued PIV Credential within 24 hours of noticing its disappearance

Rights of Individuals Denied a PIV Badge

Personal Identity Verification (PIV-1)

Appeals Process

In the event that initial PIV Application is denied, or your PIV badge is revoked after issuance you have the option to appeal. Appeals must be filed within fifteen days of the decision or it becomes final. In the event of a timely appeal:

- You will be informed of the basis for your denial/ disqualification.
- You have the option to submit a letter of appeal along with any information supporting your claim.
- After the appeal is reviewed, you will be informed of a decision reversal or decision affirmation.

PIV Credential Applicant Representative

An applicant may contact the PIV Credential Applicant Representative (**insert name and number**) for concerns about the fairness, consistency in the PIV process and protection if the integrity or confidentiality of the PIV process.

Major Roles

Applicant

The individual that applies for a PIV card.

Sponsor

Validates an Applicant's requirement for a PIV card.

Registrar

Person who conducts identity proofing, ensures background checks have taken place and has final approval authority for issuance of a PIV card.

Issuer

Issues the PIV card following the positive completion of all identity-proofing, background checks, and related approvals.

Privacy Notice

On or about your first day of employment you will be asked to provide certain personal information to your Sponsor, who will record the information on a PIV Request Form.

5 U.S.C. § 301 and 31 U.S.C. § 321 provide the authority for collecting the requested information. Executive Order 9397 (November 22, 1943) provides the authority for requesting your social security number. The purpose for collecting the requested

information is to enable the Bureaus and Offices within the Department of The Treasury to produce and distribute identification cards to allow entry into their facilities.

This information may only be disclosed in accordance with The Department of The Treasury's published routine uses and as otherwise permitted under the Privacy Act of 1974 (5 U.S.C. § 552a., including disclosure: to the Office of Personnel Management, the Merit Systems Protection Board, the equal Employment Opportunity Commission, and the Federal Labor relations Board upon an authorized request; to agencies, contractors, and others to administer personnel and payroll systems, for debt collection and for employment or security investigations; to law enforcement agency if the Department of The Treasury becomes aware of a possible violation of a law or regulation; to a Congressional office in response to requests made on your behalf; to the Department of Justice, courts, and counsel during litigation; to unions if needed to perform their authorized duties; to other agencies under approved computer matches; and as otherwise authorized by law or regulations.

The PIV Request Form complies with the Privacy Act of 1974 and is needed to meet the policy requirements of The Department of The Treasury. The information on this form will be used to satisfy the requirements of HSPD 12, FIPS 201-PIV (Personal Identity Verification of Federal Employees and Contractors.)

While you have the option to refuse to provide any of the information failure to do so may result in non-issuance of an identification card, thereby preventing you from accessing the Department of the Treasury's facilities.

HSPD-12 PIV-1 Frequently Asked Questions (FAQs)

1. What is HSPD-12?

- Presidential requirement to have a Government-wide standard for secure and reliable identification for Federal employees and contractors.

2. What is required by implementing policies?

- Have accredited and certified **procedures** in place no later than October 27, 2005 (Personal Identity Verification – 1).
- Begin **issuance** of the new Personal Identity Verification (PIV-2) card no later than October 27, 2006.
- Verify or, as necessary, complete background investigation for **all** Federal employees, contractors and long-term visitors no later than October 27, 2007.

3. What will be the difference between the current and new procedures?

- Standardized identity proofing and registration procedures will be required throughout the Department of the Treasury. (HSPD-12 mandates a Government-wide standard.)
- All procedures will be certified and accredited and subject to audit.
- Only trained persons may perform identity proofing and submit completed background check forms and applications for the PIV card.

- Only trained persons designated as Registrars may authorize the issuance of the PIV card. The Registrar must verify identify proofing, ensure initial background check is favorable, and direct the issuance of the PIV card.
- Only trained personnel designated as Issuers may issue the credential.
- A Privacy Act certification must be completed for the storage of personal information.

4. What will be the difference between the current badge and new card?

- The card will be standardized and represent a minimum background check has been completed to permit use in other agencies.
- The card will have “smart” features that will include Public Key Infrastructure and biometrics.
- The card will enable access to computers (prioritized requirements based on risk).

5. When will personnel receive the new card?

- New personnel and those with expiring badges will continue to be issued the current badge until the fall of 2006 when the new card is expected to be manufactured.
- A timetable for conversion from the current badge to the new card will be established to make the conversion over a two year period. Those without a record of an appropriate background check will have one initiated.
- The new Department of the Treasury card will include name, photo, bureau, a “smart chip,” expiration date.
- After October 27, 2007, only the new card will be recognized by all agencies.

6. Where are the places that will likely be authorized to issue Department of the Treasury cards?

- Check with your Bureau for locations of issuance stations

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

- Check with your specific Bureau for details.
- When other Departments have certified procedures, we expect to arrange to use those approved facilities nearest to the employee.