

MS 406 Personal Identity Verification (PIV) Card Issuance

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Responsible Office: Office of Safety and Security (OSS)

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1.0 Purpose

The Peace Corps Director is required to develop and implement a policy in compliance with Homeland Security Presidential Directive 12 (HSPD-12) and 44 U.S.C. § 3554 for the issuance of Personal Identity Verification (PIV) cards to employees and contractors. This Manual Section sets out the Peace Corps' policy with respect to the Peace Corps' PIV Card Issuance (PCI) program. The policy also serves to identify the roles, duties and responsibilities required for accreditation through the PCI program, and the requirements for the issuance of PIV Cards as required by HSPD-12.

2.0 Authorities

- a) Peace Corps Act of 1961, as amended, 22 U.S.C. § 2519
- b) 44 U.S.C. § 3554. Agency responsibilities
- c) Homeland Security Presidential Directive 12 (HSPD-12)
- d) Federal Information Processing Standard Publication 201-3 – Personal Identity Verification (PIV) of Federal Employees and Contractors (January 2022)
- e) National Institute of Standards and Technology (NIST) Special Publication 800-79-2 – Guidelines for the Authorization of Personal Identity Verification Card Issuers (PCI) and Derived PIV Credential Issuers (DPCI) (July 2015)
- f) General Services Administration (GSA) USAccess Program PIV Credential Issuer Operations Plan
- g) Office of Personnel Management (OPM) Memorandum – *Credentialing Standards Procedures for Issuing Personal Identity Verification Cards under HSPD-12 and New Requirement for Suspension or Revocation of Eligibility for Personal Identity Verification Credentials* (December 15, 2020)

3.0 Applicability

This Manual Section applies to all Peace Corps employees and contractors.

4.0 Definitions

- a) **Personal Identity Verification (PIV) Card** means the physical identity card or “smart” card issued to an Applicant by the agency that contains stored identity markers or credentials including a photograph, cryptographic keys, and digitized fingerprint representations, and is the standard method for strong authentication within the U.S. federal government. The PIV cardholder's identity can be verified by another authorized person against stored credentials, and it contains a certificate and a private key that can be used to gain entry to certain federal facilities and access to computers, networks, and online resources.
- b) **Applicant** means any individual applying for a PIV Card.

- c) **Federal Information Processing Standard Publication 201-3 (FIPS 201-3) *Personal Identity Verification (PIV)* of Federal Employees and Contractors (January 2022)** establishes a standard for a PIV system that meets the control and security objectives of HSPD-12.
- d) **Homeland Security Presidential Directive-12 (HSPD-12) *Policy for a Common Identification Standard for Federal Employees and Contractors* (August 27, 2004)** directs the promulgation of a federal standard for secure and reliable forms of identification for federal employees and contractors.
- e) **USAccess Program** is a service provided to the Peace Corps through a contract between the Peace Corps and the GSA Managed Services Office (MSO). The Peace Corps utilizes the services and technology provided by the USAccess Program to collect information from Applicants for use in the background investigation process and PIV Card production processes.
- f) **USAccess Supported Issuance Organization (USIO)** is any federal agency facility that utilizes USAccess services for the collection of information from Applicants and the production of PIV Cards.

5.0 Accreditation

The Peace Corps shall issue PIV Cards through its PIV Card issuance (PCI) program in compliance with the standardized accreditation process established by HSPD-12.

The Peace Corps Director has delegated the responsibilities for implementation of the Peace Corps' PCI program. The Peace Corps officials listed below shall have the following duties and responsibilities as determined by the Peace Corps PCI program's accreditation process.

5.1 Senior Authorizing Official (SAO)

The SAO is responsible for all PCI operations. The SAO has budgetary control, provides oversight, develops policy, and has authority over all PCI functions and services provided by the agency. The role, duties, and responsibilities of the SAO may be delegated by the Director to the Associate Director for Safety and Security (AD/OSS) who may not redelegate them.

5.2 Designated Authorizing Official (DAO)

The DAO has the authority to review all assessments of the agency and its facilities, and to provide an authorization decision as required by HSPD-12. The DAO is authorized to accept responsibility for the operation of the agency's PCI program at an acceptable level of risk to the organization and assesses all outsourced functions prior to authorization. The role, duties, and responsibilities of the DAO may be delegated by the Director to the AD/OSS, who may not redelegate them.

5.3 Organization Identity Management Official (OIMO)

The OIMO is responsible for implementing policies to ensure that all PIV processes of the agency are performed reliably, and for providing guidance and assistance to the issuing facilities. The OIMO implements and manages the PCI Operations Plan; ensures that all roles are filled by capable, trustworthy, knowledgeable, and trained individuals; makes certain that all services, equipment, and processes meet FIPS 201-3 requirements; monitors and coordinates activities with Issuing Facility Managers (IFMs); and supports the authorization process. The OIMO reviews assessment findings and prepares recommended corrective actions to reduce or eliminate any discrepancies or shortcomings prior to submission of those findings to the DAO for an authorization decision. The role, duties, and responsibilities of the OIMO may be delegated by the Director to the Associate Director for Safety and Security (AD/OSS) who may redelegate them.

5.4 Issuing Facility Manager (IFM)

The IFM manages the day-to-day operations of an issuing facility. The IFM is responsible for implementing all operating procedures for those functions designated for that facility by the agency. The IFM manager must ensure that all PIV processes adhere to the requirements of FIPS 201-3, and that all PIV services performed at the issuing facility are carried out in a consistent and reliable manner in accordance with the organization's policies and procedures and the OIMO's direction. The role, duties, and responsibilities of the IFM may be delegated by the Director to the Associate Director for Safety and Security (AD/OSS) who may redelegate them.

5.5 Assessor

The Assessor is responsible for performing a comprehensive and third-party assessment of the agency as PIV card issuer. The Assessor is usually supported by an assessment team and verifies that the agency's PIV processes are in compliance with the control objectives outlined in FIPS 201-3. The Assessor is also responsible for providing recommendations for reducing or eliminating deficiencies and security weaknesses and describing the potential impact of those deficiencies if they are not corrected. The independence of the Assessor is an important factor in maintaining the credibility of the assessment results and ensuring that the DAO receives objective information so they can make an informed authorization decision.

To preserve the impartial and unbiased nature of the assessment, the Assessor must be a third-party that is independent of the office(s) and personnel directly responsible for the day-to-day operation of the agency. The Assessor shall also be independent of any individual responsible for correcting deficiencies and discrepancies identified during the assessment. The role, duties and responsibilities of the Assessor may be delegated by the Director to a third-party assessor who may not redelegate them.

5.6 Privacy Official (PO)

The role, duties and responsibilities of the PO are set forth in FIPS 201-3. The person filling this role shall not assume any other operational role within the issuer organization. The PO shall issue policy guidelines with respect to the collection and handling of personally identifiable information (PII) from applicants to ensure that the agency is in compliance with all relevant directives related to the privacy laws.

The role, duties and responsibilities of the PO may be delegated by the Director to the Senior Agency Official for Privacy who may redelegate them.

6.0 PIV Card Issuance

The following roles, duties, responsibilities and processes support PIV Card issuance. The separation of issuance duties set forth below ensures the separation of permissions among different roles within the USAccess system and ensures that no individual can perform all the actions required to issue a PIV Card.

6.1 Sponsorship

Sponsorship is the process by which an agency official substantiates that an applicant requires a PIV Card; enters the applicant's required sponsorship data elements into the USAccess system; and ensures continuing awareness of the applicant's employment and contracting status.

- a) The Chief Human Capital Officer (CHCO) is delegated by the Director the responsibility for validating the employment affiliation of all direct-hire applicants, which responsibility may be redelegated by the CHCO.
- b) The COR, appointed by the Contracting Officer, shall validate the employment affiliation of all contractor Applicants. This responsibility may not be delegated by the COR unless otherwise indicated in the COR appointment letter. If a COR is not appointed by the Contracting Officer, the Contracting Officer shall validate the employment affiliation of the contractor.
- c) The AD/OSS is delegated by the Director the responsibility for entering and maintaining applicant data within USAccess system which responsibility may be redelegated by the AD/OSS.

6.2 Identity Proofing

Identity proofing is the process by which the claimed identity of an Applicant is confirmed through the authentication of source documents provided by the Applicant. Identity proofing processes are performed by USIOs at locations throughout the United States.

6.3 Registration

Registration is a process by which a person's identifiable information is collected to be stored within the USAccess system. Registration is carried out by USIOs at locations throughout the United States.

6.4 Adjudication

Adjudication is the process by which an Applicant's background investigation materials are evaluated to determine that an applicant will not pose an unacceptable risk to any of the following: the life, safety, property or health of employees, contractors, vendors or visitors to a Federal facility; the Government's physical assets or information systems; records, including privileged, proprietary, financial or medical records; or the privacy of individuals whose data the Government holds in its systems; and that the applicant is suitable for federal employment and whether the Applicant will be approved to receive, or denied, a PIV Card. The AD/OSS is delegated by the Director to perform the adjudication process which role, duties and responsibilities may be redelegated by the AD/OSS.

6.5 Card Production

Card production is the process by which a PIV Card is printed and shipped to an activation and issuance location at a federal agency. Peace Corps PIV Cards are produced and shipped by the USAccess system.

6.6 Activation and Issuance

Activation is the process by which a PIV Card is electronically encoded with a photo, fingerprint, and a personal identification number (PIN) that associates the Applicant to the PIV Card.

Issuance is the process by which the Applicant affirms their responsibilities as a PIV Card recipient and receives the PIV Card.

- a) The AD/OSS is delegated by the Director to carry out the activation and issuance processes at Peace Corps facilities which role, duties and responsibilities may be redelegated by the AD/OSS.
- b) All other activation and issuance processes are performed by USIOs at locations throughout the United States.

6.7 Maintenance

Maintenance is the process by which the PIV Card is updated, renewed, replaced, and terminated. Maintenance activities also include renewal of the accounts of authorized individuals performing issuance roles, resolution of challenges that arise in the PIV Card issuance process, and routine support for activation and issuance equipment.

The AD/OSS is delegated by the Director to perform the following maintenance processes required by the USAccess PCI Operations Plan, whose role, duties and responsibilities may be redelegated by the AD/OSS.

- a) The Role Administrator assigns roles, duties and responsibilities to individuals performing PIV Card issuance in accordance with required separation of duties.
- b) The Security Officer resolves problems, validates identity documents as required, and terminates PIV Cards in accordance with established procedures.
- c) The Site Manager leads the installation and maintenance of equipment provided by USAccess.

7.0 Procedures

Procedures that further implement this Manual Section are set forth in the PCI Operations Plan. Amendments thereto must be approved by the AD/OSS and the Office of the General Counsel and are effective upon issuance.

8.0 Effective Date

The effective date of this Manual Section is the date of issuance.