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BEFORE THE

**SUBCOMMITTEE ON GOVERNMENT MANAGEMENT, ORGANIZATION,
AND PROCUREMENT
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM**

U.S. HOUSE OF REPRESENTATIVES

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Good afternoon, Chairman Towns, Ranking Member Bilbray, and Members of the Committee. Thank you for inviting me here today to discuss the Department of Labor's (DOL) implementation of the Homeland Security Presidential Directive (HSPD)-12 program, our plans for meeting the Office of Management and Budget (OMB) deadlines, and the means by which the full capacity of the new standards will be applied within the Department. We share a common interest in protecting employees, facilities, and systems.

Today, I will first speak on the background and success of implementing and adopting the Personal Identity Verification standards I and II (PIV-I and PIV-II) at DOL, as it relates to OMB deadlines. I will then expand on the current status of the Department to leverage the credentials on the PIV card to further secure the Department's facilities and access to information systems, as well as the benefits this program has brought to the Department as a whole.

1. Summary of DOL's HSPD-12 Efforts

As of the Department's March report to OMB, we have issued PIV cards to 10,591 of the 15,407 employees at DOL (69%). We have issued PIV cards to 1,210 of the 2,400 contractors (over 50%). PIV card issuance is consistent with the process guidelines contained in Federal Information Processing Standards (FIPS) 201. DOL is on track to reach implementation goals reported to the OMB in our "December 20, 2007 HSPD-12 Implementation Plan Update." Overall, DOL has completed PIV card issuance to 66% of employees and contractors.

Consistent with the Department's plans to meet the October 27, 2008 OMB deadline, enrollment and issuance of PIV cards continue. DOL's strategy leverages mobile deployment using DOL resources and what we refer to as a "Traveler's Plan." This plan was established to allow eligible employees, when on official DOL travel, to obtain a PIV card from one of our existing DOL issuing sites.

As FIPS 201 guidelines require, PIV cards are issued upon fingerprint results and the initiation of background investigations. To date, of DOL's 15,407 employees, 13,827 or 90% have an adjudicated investigation, along with 35% of contractors, bringing the overall completion of adjudicated background investigations to 82% of employees and contractors. We are working towards completion of the remaining 18% as required to meet the October 2008 milestone. The Office of Personnel Management (OPM) was a key partner in DOL's ability to implement an efficient electronic fingerprint submission process. This process was previously paper-based, and turn-around could span several weeks from submission to results. Based on our experience, results now average five to seven business days from date of submission to OPM.

The capabilities of these new DOL-issued PIV cards are already being leveraged at DOL-occupied General Services Administration (GSA) facilities in New York and Boston. In partnership with GSA, DOL has demonstrated the value of the PIV card technology by eliminating the need for employees to have two cards; a GSA-issued PIV card for facility access, and a DOL-issued PIV card for visual identification. Beginning in FY 2009, DOL plans to begin projects, which use the PIV card for logical access to government information systems.

2. Background

The Department's HSPD-12 efforts to date are derived from the Homeland Security Presidential Directive (HSPD) -12 "Policy for a Common Identification Standard for Federal Employees and Contractors" (the Directive), signed by the President on August 27, 2004. The Directive requires development and agency implementation of a mandatory, government-wide standard for secure and reliable forms of identification for Federal employees and contractors. The high-level goals of the Directive are to enhance security, increase Government efficiency, reduce identity fraud, and protect personal privacy.

As required by the Directive, the Department of Commerce issued FIPS 201 "Personal Identity Verification (PIV) of Federal Employees and Contractors." Additionally, the Department complied with OMB memorandum M-05-24 "Implementation of Homeland Security Presidential Directive-12 – Policy for a Common Identification Standard for Federal Employees and Contractors." Memorandum M-05-24 provides the phasing-in of PIV standards. OMB mandated milestones spanned from October 27, 2005 through October 27, 2008, and comprised two major PIV goals: PIV-I by October 27, 2005, and PIV-II by October 27, 2006.

The Department has also complied with OMB's guidance relative to products and services for use in implementing PIV. Vendors and components used by DOL required conformance with the applicable Department of Commerce and NIST standards and guidelines along with testing and approval by the GSA FIPS 201 Evaluation program office.

PIV-I Compliance

Planning to meet PIV-I objectives began in late 2004. The objectives were to establish requirements for a Federal personal identification system that meets the control and security objectives of the Directive, including the personal identity proofing, registration, and issuance process for employees and contractors. A certified process was established and approved by the Agency's Designated Approving Authority. Throughout the planning and execution phases, DOL leveraged the input and buy-in from key operational stakeholders, as it became evident that collaboration among the Human Resources, Security, and Information Technology (IT) functional areas would be necessary for the implementation of a successful HSPD-12 program.

In October of 2005, the Department met OMB M-05-24 requirements for compliance with FIPS 201 Part 1, which satisfied the objectives and met the security requirements of HSPD-12.

PIV-II Compliance

The Department began planning activities in the fall of 2005 for the PIV-II phase of the project, which focused on meeting the technical interoperability requirements of the Directive.

To effectively manage the Department's IT development and maintenance efforts associated with the deployment of a compliant HSPD-12 PIV-II solution, the Department, consistent with internal information technology governance, developed the program as an IT investment. This means all phases of the *DOL IT Capital Planning and Investment Control Management* life cycle apply to the management of the project.

The Department also conducted a performance analysis of the legacy badging system, to identify functionality and technical gaps between this system and the new PIV-II process and requirements. As a result, the system was identified as non-compliant with FIPS 201 requirements.

Without a PIV-II compliant Identity and Access Management Solution or infrastructure that would meet the PIV mandated security and technology guidelines, the Department conducted market research to identify viable alternatives to simultaneously close the performance gaps and comply with HSPD-12 and its derivative requirements.

Potential alternatives ranged from:

- Relying exclusively on the shared services offered by the GSA or the Department of Interior.
- Deployment of DOL-owned IT infrastructure to cover all federal and contractor employees throughout the country; or

- A hybrid model that utilized DOL-owned infrastructure to conduct PIV card activities in facilities with high concentrations of DOL resources, while using a shared service for facilities with small DOL populations, where deployment of DOL-owned infrastructure would be cost prohibitive.

Decision to Implement the Program Independently

In the absence of existing DOL infrastructure for identity management, and the emerging status of constraints in schedule, capabilities, and at the time unknown costs associated with a shared service solution – from either the GSA or Department of the Interior - the Department, in April 2006, decided to move forward with the hybrid option deployment of a DOL-owned infrastructure with plans to use GSA shared services as they became widely available. This approach would allow us to meet the October 2006 OMB goal. Just as important, it would also establish the foundation for the Department’s Enterprise-wide Identity and Access Management framework. After the decision was made, DOL submitted this updated HSPD-12 Implementation Plan to OMB in September 2006.

3. Current Status

In accordance with OMB guidance, DOL has posted quarterly status reports for the program since March 1, 2007, with details on the number of PIV cards issued to both federal employees and contractors. Additionally, the Department has provided required updates of its implementation plan to OMB. The last submission was on December 20, 2007. This update addressed how DOL will optimally meet the remaining OMB milestones.

As a partner with GSA in this ongoing government-wide effort, DOL plans to utilize the GSA shared-service sites close to DOL employees who are yet to be issued a PIV card, particularly remote locations with small DOL populations. We have begun preliminary discussion with the GSA program office to establish use of their PIV services.

Leveraging the PIV Cards for Physical and Logical Access

The Department is already leveraging the PIV card in the Boston/New York Region, where DOL regional staff worked with the GSA to prepare for and allow use of the DOL PIV card for access control at the New York Varick Street and Boston JFK Building locations. The GSA Boston location takes advantage of the advanced security features of the DOL PIV card for electronic authentication. In order to further maximize the value of the new PIV card for identity authentication and validation, the Department has initiated planning activities associated with the deployment of a PIV-II compliant Physical Access Control System (PACS) at DOL Headquarters. Our plans are for this to begin with a pilot of PACS technology at one DOL facility in the Washington, DC area. Simultaneously in FY 2009, DOL will begin planning activities associated with use of the PIV cards for access to information systems through deployment of logical access control system technology.

4. Benefits Achieved Department-wide as a Result of HSPD-12 to Date

To date, the deployment of the HSPD-12 PIV-II solution has enabled the Department to streamline and tighten the processes associated with identity verification and PIV card issuance for both employees and contractors.

In order to comply with FIPS 201, the Department has worked diligently to close any gaps associated with background investigations for DOL employees. Background investigations are now a part of the streamlined PIV process and are a prerequisite for the PIV system, prior to PIV card issuance. This integration has resulted in increased and timely completion of background investigations. The collaboration between DOL and OPM is instrumental in this success.

We are confident that we will continue to meet HSPD-12 milestones as outlined in our implementation plan to OMB. The Department's goal is to extract the full potential HSPD-12 benefits of this investment in PIV.

In conclusion, the HSPD-12 program is a core element of our business and operational culture at the Department of Labor. Secretary Chao, Chief Information Officer Pizzella, agency senior management, and the dedicated DOL employees are committed to the success of the Department's HSPD-12 Program.

Mr. Chairman, thank you for the opportunity to provide a brief outline of DOL's approach to HSPD-12. I would be happy to answer any questions.