SECRETARY OF THE ARMY
WASHINGTON

26 MAY 2011

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Army Directive 2011-08 (Army Implementation of Homeland Security Presidential Directive-12)

1. This directive provides Army guidance and assigns responsibilities for the implementation of Homeland Security Presidential Directive-12 (HSPD-12): *Policy for a Common Identification Standard for Federal Employees and Contractors*. Responsibilities are outlined in enclosure 1. A complete list of references is at enclosure 2.

2. The Army will implement HSPD-12, in accordance with the policy and guidance listed in enclosure 2, to ensure the following:

a. completion of a common access card (CAC) eligibility determination;

b. verification of affiliation from an authoritative data source;

c. initiation of a National Agency Check with Inquiries (NACI) or equivalent/higher-level background investigation;

d. completion of a favorable fingerprint check with the Federal Bureau of Investigation; and

e. verification of a claimed identity.

These requirements must be completed before military, civilian and contractor personnel are issued a CAC.

3. To ensure the Army's successful migration to the HSPD-12 credential and to mitigate the risk of recruiting, accessing and retaining Soldiers who may not meet basic HSPD-12 credentialing standards, the Assistant Secretary of the Army (Manpower and Reserve Affairs) (ASA (M&RA)) will oversee Army implementation efforts, develop suitability standards and prescribe HSPD-12 policy. Designated Army Secretariat and Army Staff elements will provide support in accordance with the responsibilities outlined in enclosure 1. These responsibilities are assigned consistent with the existing assignment of responsibility to elements of the Army Secretariat and Army Staff.

4. The guidance in this directive applies to Headquarters, Department of the Army; Army commands; Army service component commands; direct reporting units; Army components, including the U.S. Army Reserve and the Army National Guard; and all

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Army military, civilian and contractor employees. National security systems, as defined at 44 U.S.C. section 3542(b)(2) (reference 1), and special-risk security provisions, as defined in Federal Information Processing Standards Publication 201-1 (reference 2), are exempt from this policy.

5. Implementation will begin effective the date of this Directive, with full HSPD-12 compliance by the end of FY 13.

6. A general officer steering committee established by the ASA (M&RA) will monitor implementation of this directive.

7. All Department of the Army policies and programs developed in furtherance of the execution of responsibilities outlined in enclosure 1 shall be coordinated through the ASA (M&RA). The Office of the ASA (M&RA) point of contact, COL Nicholas Amodeo, commercial (703) 693-1798 or nicholas.amodeo@conus.army.mil, will document progress of HSPD-12 implementation.

JOHN M. McHUGH

Enclosures

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BACKGROUND AND RESPONSIBILITIES FOR ARMY IMPLEMENTATION OF HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12

Background

HSPD-12 mandates a government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractor personnel. The CAC is the DoD Federal personal identity verification credential. In accordance with U.S. Office of Personnel Management and Under Secretary of Defense guidance (references 7 and 8, respectively), initial CAC issuance will include a CAC-eligibility determination, verification of affiliation from an authoritative data source, favorable completion of a fingerprint check with the Federal Bureau of Investigation, verification of a claimed identity, and submission of a NACI (or equivalent investigation) to the Office of Personnel Management. Furthermore, to retain a CAC, Army military, civilian, and contractor personnel must receive a favorably adjudicated NACI or equivalent investigation.

Army military, civilian and contractor personnel are subject to the HSPD-12 credentialing requirements. Special considerations apply to non-U.S. citizens as described in references 7 and 8.

By ensuring that all Army military, civilian and contractor personnel are vetted to a common standard before issuance of a CAC, HSPD-12 implementation supports a broader Army effort to improve the protection of its personnel, installations, networks and information from potential "insider threats." This broader effort is outlined in The Army Plan (reference 13).

If at any time during employment or service, an Army Soldier, civilian or contractor is found to not meet HSPD-12 credentialing standards, or determination is made that the individual's possession of a CAC poses an unacceptable risk as defined in reference 7, the individual's CAC may be revoked.

Responsibilities

1. The Assistant Secretary of the Army (Manpower and Reserve Affairs) shall:

    a. Oversee the implementation of HSPD-12 within the Army and prescribe policy.

    b. Develop and prescribe military service suitability standards that include HSPD-12 credentialing standards in accordance with reference 7.

    c. Provide guidance and functional oversight over the Assistant Secretary of the Army (Acquisition, Logistics and Technology) (ASA (ALT)); Army Chief Information Officer/G-6; Deputy Chief of Staff (DCS), G-2; and the Provost Marshal General as they develop supplemental HSPD-12 guidance and procedures to ensure Army compliance with the Federal Information Processing Standard (FIPS) 201-1 (reference 3).

d. Provide guidance and functional oversight, in coordination with the ASA (ALT) and DCS, G-3/5/7, for HSPD-12 policy ensuring that HSPD-12 requirements are included in the security requirements section of all Army contracts.

e. Ensure, in coordination with the DCS, G-3/5/7, that operations security requirements are developed for contracts and individuals who will maintain access to sensitive unclassified information.

f. Publish, in conjunction with the Chief, Public Affairs, a strategic communication plan that disseminates the policy, procedures and rationale for the implementation of HSPD-12 requirements.

g. Establish a general officer steering committee (GOSC) to track implementation of this directive. The GOSC shall meet on a recurring basis as required, but no less than semiannually. The Deputy Assistant Secretary of the Army for Military Personnel and the Deputy Assistant Secretary of the Army for Civilian Personnel will co-chair the GOSC.

h. Establish HSPD-12 implementation working groups and councils of colonels as needed.

2. The Assistant Secretary of the Army (Acquisition, Logistics and Technology) shall:

a. Issue, in coordination with the DCS, G-2 and DCS, G-3/5/7, regulatory guidance for HSPD-12 implementation within Army contracts.

b. Ensure that all Army contracts, through the performance work statement or statement of work, require contractors to adhere to HSPD-12 policy.

c. Communicate HSPD-12 requirements to the Army acquisition community.

d. Report quarterly, in coordination with the DCS G-2, HSPD-12 compliant credential statistics for contractor personnel to the Office of the ASA (M&RA) or as otherwise directed.

e. Provide a representative to the HSPD-12 GOSC. Additionally, provide subject matter expertise to HSPD-12 implementation working groups and councils of colonels.

3. The Deputy Chief of Staff, G-1 shall:

a. Ensure that civilian employment policies are adjusted to incorporate Federal, DoD and emerging Army HSPD-12 requirements.

b. Work with DCS, G-2 to integrate and fuse HSPD-12 adjudicative recommendations and determinations processes. Ensure that the process results in

timely, efficient and complete HSPD-12 credentialing decisions while operating within current resource limitations.

c. Coordinate with the DCS, G-2 for the centralized receipt and review of all HSPD-12 military service and Federal employment investigations at the Army Central Clearance Facility. Be prepared to make suitability determinations for military service and Federal employment.

d. Develop resource requirements for the review and referral of suitability determinations and assign them to the appropriate Management Decision Package beginning with Program Objective Memorandum FYs 13-17.

e. Validate resource requirements for the centralized submission, investigation and centralized adjudication of HSPD-12 background investigations and for the centralized review and referral of suitability recommendations. Assign them to the appropriate Management Decision Package beginning with Program Objective Memorandum FYs 13-17.

f. Validate resource requirements for the review and referral of suitability determinations and assign them to the appropriate Management Decision Package beginning with Program Objective Memorandum FYs 13-17.

g. Report quarterly, in coordination with the DCS G-2, HSPD-12 compliant credential statistics for military and civilian personnel to the Office of the ASA (M&RA) or as otherwise directed.

h. Provide representatives to the HSPD-12 GOSC, including participation from the Directorate of Military Personnel Management, Assistant G-1 for Civilian Personnel, U.S. Army Human Resources Command, and U.S. Army Civilian Human Resources Agency. Additionally, provide subject matter experts to HSPD-12 implementation working groups and councils of colonels.

4. The Deputy Chief of Staff, G-2 shall:

a. Develop, in coordination with appropriate HQDA Principal Officials, supplemental guidance and procedures to centralize (i) the submission and receipt of all Army background investigations, (ii) personnel security and HSPD-12 adjudications and (iii) the review and referral of suitability recommendations. Additionally, develop a reconsideration (appeal) process to review requests by persons who have been denied a CAC or have had their CAC revoked.

b. Develop resource requirements for the centralized submission, investigation and centralized adjudication of HSPD-12 background investigations and for the centralized review and referral of suitability recommendations. Assign them to the appropriate Management Decision Package beginning with Program Objective Memorandum FYs 13-17.

c. Conduct a pilot to test the efficacy of the HSPD-12 vetting, adjudication and appeals processes, policies and procedures. Provide the results of the pilot to the Office of the ASA (M&RA).

d. Provide a Senior Security Advisor (Defense Intelligence Senior Level) to the GOSC to provide technical advice and support. Additionally, provide subject matter expertise to HSPD-12 implementation working groups and councils of colonels.

5. The Deputy Chief of Staff, G-3/5/7 shall:

a. Ensure that the Army's operations security program supports HSPD-12 implementation.

b. Integrate HSPD-12 implementation into the Army Campaign Plan and emerging force protection policies and programs to ensure the widest dissemination of requirements.

c. Coordinate with the Chief Information Officer/G-6; DCS, G-2; and Provost Marshal General to develop supplemental guidance and procedures for leveraging biometrics in support of HSPD-12 implementation.

d. Provide a representative to the HSPD-12 GOSC. Additionally, provide subject matter expertise to HSPD-12 implementation working groups and councils of colonels.

6. The Provost Marshal General shall:

a. Establish uniform Army-wide guidance for verifying the authenticity and validity of Federal credentials for physical access.

b. Establish guidance for visual and electronic authentication of credentials within the physical security community.

c. Establish guidance and process for cross-acceptance of FIPS 201-1 compliant credentials of other Federal agencies whose personnel request to visit Army installations or controlled spaces.

d. Provide policy on physical security equipment standards necessary to support the acquisition community for FIPS 201-1 credentialing and badge requirements.

e. Provide subject matter expertise to HSPD-12 implementation working groups and councils of colonels.

7. The Chief Information Officer/G-6 shall:

a. Establish information technology interface and technical interoperability guidelines to ensure Army compliance with FIPS 201-1 (reference 3) and DoD identity protection and management guidance.

b. Serve as the Army's Designated Approval Authority for personal identity verification system certification and accreditation of electronic fingerprint capture systems and other systems that require accreditation in accordance with FIPS 201-1 mandates.

c. Oversee the privacy-related matters associated with implementing this Directive.

d. Provide a representative to the HSPD-12 GOSC. Additionally, provide subject matter expertise for HSPD-12 implementation working groups and councils of colonels.

REFERENCES

1. Title 44, United States Code, section 3542(b)(2).

2. Federal Information Processing Standards Publication 201-1 (Personal Identity Verification (PIV) of Federal Employees and Contractors (FIPS 201-1)), incorporating Change Notice 1, 23 Jun 06.

3. DoD Directive 5200.2 (DoD Personnel Security Program), 9 Apr 99.

4. DoD 5200.08-R (Physical Security Program), incorporating Change 1, 27 May 09.

5. Homeland Security Presidential Directive-12 (Policy for a Common Identification Standard for Federal Employees and Contractors), 27 Aug 04.

6. Office of Management and Budget (OMB) Memorandum M-05-24 (Implementation of Homeland Security Presidential Directive (HSPD) 12 – Policy for a Common Identification Standard for Federal Employees and Contractors), 5 Aug 05.

7. Memorandum, Office of Personnel Management, 31 Jul 08, subject: Final Credentialing Standards for Issuing Personal Identity Verification Cards under HSPD-12.

8. Directive-Type Memorandum (DTM) 08-003 (Next Generation Common Access Card (CAC) Implementation Guidance), incorporating Change 1, 10 Aug 10 (to be replaced by DoD Instruction 1000.13).

9. Directive-Type Memorandum (DTM) 08-006 (DoD Implementation of Homeland Security Presidential Directive - 12 (HSPD-12)), incorporating Change 2, 31 Mar 11 (to be replaced by DoD Instruction 1000.13).

10. Directive-Type Memorandum (DTM) 09-012 (Interim Policy Guidance for DoD Physical Access Control), incorporating Change 1, 30 Sep 10.

11. Memorandum, Deputy Secretary of Defense, 2 Oct 10, subject: Consolidation of DoD Component Central Adjudication Facilities (CAFs).

12. Memorandum, Secretary of the Army, 31 Jan 11, subject: Army Directive 2011-04 (Army Protection Program).

13. The Army Plan (2011 Strategic Planning Guidance, Army Planning Priorities Guidance 13-17, Army Program Guidance Memorandum, and Army Campaign Plan).