U.S. Department of Transportation
Office of the Secretary of Transportation

400 Seventh St., S.W.
Washington, D.C. 20590

JAN 28 2005

MEMORANDUM TO: Departmental Officers
Heads of Operating Administrations
Operating Administration Chief Information Officers
Operating Administration Physical Security Officers

FROM: Vincent Taylor
Assistant Secretary for Administration

Daniel P. Matthews
Chief Information Officer

SUBJECT: DOT Implementation of Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors

I. Purpose

The President signed Homeland Security Presidential Directive (HSPD) 12, Policy for a Common Identification Standard (CIS) for Federal Employees and Contractors on August 27, 2004. The purpose of this memorandum is to establish a Departmentwide HSPD-12 implementation policy, a program management office, and the organizational responsibilities to meet the requirements of HSPD-12.

II. Scope

This policy applies to all employees and contractors within the Department of Transportation (DOT) Operating Administrations (OA) and Office of the Secretary (OST) offices.

III. Background

HSPD-12 requires all Federal agencies to implement a program to ensure that the identification issued by their departments and agencies to Federal employees and contractors meets specific Federal standards and requires the use of this identification for gaining access to Federally controlled facilities and information systems.

IV. DOT Policy

A. There will be one common DOT identification card that will be used for access to DOT facilities and information systems.

B. The Departmentwide HSPD-12 CIS will be implemented in accordance with the timelines prescribed in HSPD-12 and Office of Management and Budget (OMB) guidance.

C. The Department's implementation of HSPD-12 CIS shall be in accordance with the National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) 201, Personal Identity Verification for Federal Employees and Contractors.

D. The Department's implementation of the HSPD-12 CIS shall include strong physical and logical authentication and will be interoperable with the Federal Bridge Certificate Authority and E-Authentication initiative.

V. Responsibilities

A. DOT Chief Information Officer (CIO), S-80

The DOT CIO is responsible for developing and issuing policy and standards for logical access that implement the provisions of HSPD-12 and FIPS 201, and for ensuring that the standards are used for all logical access control systems. As required, the DOT CIO will report jointly with the Office of Security to the Secretary and to other Government agencies, as appropriate, on the implementation of the standards. The DOT CIO shall also ensure adequate monitoring and maintenance of the logical access control systems for which the CIO is directly responsible.

B. DOT Assistant Secretary for Administration, M-1

The Assistant Secretary for Administration is responsible for issuing policy for the overall physical security of DOT facilities.

C. DOT Office of Security, M-40

The DOT Director of Security shall incorporate identification standards that implement HSPD-12 and FIPS 201 into the DOT physical access standards and policies, and will ensure, jointly with the Heads of Operating Administrations, that the standards are used for all DOT card/badges and electronic physical access control systems where such systems are employed. As required, the DOT Director of Security will report jointly with the DOT CIO to the Secretary and to other Government agencies, as appropriate, on the implementation of the standards. The DOT Director of Security shall also ensure adequate monitoring and maintenance of the card issuance and access control systems for which the Office of Security is directly responsible.

D. Heads of Operating Administrations/OST Secretarial Officers

Heads of Operating Administrations and OST Secretarial Officers shall ensure that, as appropriate, access controls for both information technology resources and physical assets incorporate and follow the provisions of all applicable policies, standards and guidelines.

E. DOT CIS Steering Committee

The DOT CIS Steering Committee is responsible for providing strategic direction and oversight to the DOT CIS Program Management Office (PMO).

F. DOT CIS Program Management Office

The DOT CIS PMO will establish the execution plan with input from DOT Operating Administrations (OA) for DOT-wide standard HSPD-12 implementation. The DOT CIS PMO will identify funding requirements for the HSPD-12 CIS implementation, plan and execute weekly progress meetings and quarterly CIS Steering Committee meetings, and identify and select the optimum technical requirements and solutions for the HSPD-12 CIS implementation. The DOT CIS PMO will develop the architecture and standards and coordinate proof of concept pilots to determine the most efficient, cost effective implementation solution.

G. Operating Administration (OA) Chief Information Officers (CIO)

It is the responsibility of OA CIOs to implement the Departmental HSPD-12 CIS standards for logical access to DOT information technology resources within OA organizations.

H. System Owners

It is the responsibility of IT system owners to perform risk assessments on applications and systems to determine the level of assurance that is required for access. The System Owners will implement the Departmental HSPD-12 CIS-based solution to provide the appropriate level of authentication.

VI. Implementation Plan

There will be a Departmentwide HSPD-12 CIS Implementation Steering Committee chaired jointly by representatives from the OST M-40 and OST S-80. The Steering Committee members will consist of one representative from each DOT Operating Administration. The HSPD-12 CIS Implementation Steering Committee will establish a strategy for a Departmentwide implementation of HSPD-12 ensuring compliance with Federal authentication standards.

There will be a HSPD-12 CIS PMO consisting of representatives from OST M-40 and OST S-80. The DOT CIS PMO will develop a plan with input from OAs for implementing the HSPD-12 CIS requirements in accordance with OMB guidance and forward it to the DOT CIS Steering Committee for approval.

We recognize that DOT organizations will have questions about the cost of this effort and the resources needed to fully implement the HSPD-12 requirements. At this time, however, it is difficult to estimate total costs pending receipt of the NIST standards and additional guidance that OMB has stated that they will be providing. Funds have already been approved to cover costs of an automated access control system for the new DOT Headquarters building and the issuance of new identification cards to DOT personnel who will be assigned there, cards which will have to conform to the pending CIS. As additional guidance from OMB is received, the CIS PMO will work with the OAs to identify mechanisms for funding the costs associated with the logical access control system.

By implementing the DOT HSPD-12 CIS, the Department will be able to better secure all physical and logical resources. For questions regarding physical security, contact Richard Thompson, Associate Director for Security Policy, M-40, at X64678. For questions regarding logical security, contact Vicki Lord, Manager, Enterprise IT Security Division, at X64932.