



Department of Energy  
Washington, DC 20585

September 5, 2012

MEMORANDUM FOR INGRID KOLB

DIRECTOR OF OFFICE OF MANAGEMENT

THROUGH:

KEVIN T. HAGERTY

DIRECTOR, OFFICE OF INFORMATION RESOURCES

FROM:

ROBERT F. BRESE

CHIEF INFORMATION OFFICER

SUBJECT:

Notice of Intent to Develop Department of Energy Order on  
Identity, Credential, and Access Management (ICAM) DOE O 206.2

**PURPOSE:** The purpose of the proposed directive is to replace the information contained in DOE N 206.4, "Personal Identity Verification," approved June 29, 2007, and to establish a DOE directive on Identity, Credential, and Access Management (ICAM). Implementation of ICAM will result in cost avoidance and cost savings allowing reinvestment in DOE mission related work.

**JUSTIFICATION:** A DOE ICAM Policy will consolidate outdated departmental policy memoranda<sup>1</sup> with current national requirements<sup>2</sup> into a unified Departmental ICAM Directive, and promulgate those requirements to our contractors. The DOE Information Management Governance Council (IMGC) chartered an Integrated Project Team (IPT) composed of representatives from the DOE program and staff offices to ensure collaborative execution of the ICAM initiative and to develop a DOE ICAM Policy. The ensuing initiative will ensure the right people get access to the right resources at the right time. ICAM:

- Aligns identity, credential, and access management activities with DOE vision, mission, and strategic goals and objectives;
- Simplifies and expands federated, cross-organizational collaboration;
- Enhances collaboration with external partners;
- Reduces, if not eliminates, costs associated with manual administration of user identities by streamlining business processes; and
- Speeds access to DOE resources for new employees.

<sup>1</sup> Including Undersecretary Clay Sell memorandum, "Homeland Security Presidential Directive 12", November 2005 and DOE N 206.4, "Personal Identity Verification"

<sup>2</sup> Including HSPD-12 and OMB M-05-24 and M-11-11



## Justification Memorandum (Continued)

Further, this Order will address the findings from the Inspector General's audit report, *"The Department's Implementation of Homeland Security Presidential Directive 12."* There are no valid external, consensus, or other "Standards" (e.g., International Organization for Standardization (ISO), Voluntary Protection Programs (VPP), etc.) available that can be used in place of this directive.

**COST/BENEFIT:** Upon issuance of this Order, request cancellation of DOE N 206.4, "Personal Identity Verification," approved June 29, 2007.

The proposed directive addresses the requirements outlined in Homeland Security Presidential Directive 12: *"Policy for a Common Identification Standard for Federal Employees and Contractors"*, Office of Management and Budget (OMB) implementation guidance, and National Institute of Standards and Technology (NIST) - Federal Information Processing Standards (FIPS). It does not duplicate existing regulations or national standards, and it does not create an undue burden on the Department. The Order will establish ICAM governance to ensure it is efficient and effective, provides reasonable and appropriate controls and contributes to the attainment of mission value and outcomes. The directive will also implement controls needed to address risks and opportunities as identified in the Enterprise Risk Model (below). Specific benefits include enabling site to site visits without needing to register at the visitor offices, eliminating management and usage of multiple user IDs and passwords for access to online resources, and reducing costs to grant, manage and remove user access. The implementation of this Order may result in short-term costs as business processes and systems are modified to meet the requirements of an integrated identity, credential, and access management program. However, short-term costs will be offset by larger long-term savings and cost avoidance. For example, the physical access initiative alone could conceivably result in as much as \$191M in annual cost avoidance simply by substituting working time for time spent waiting in line at visitor offices. We expect additional cost savings and cost avoidance as existing business processes integrate ICAM functionality.

**WRITER:** Anthony Carigo, DOE ICAM Project Manager, for the Office of the Chief Information Officer.

**OPI/OPI CONTACT:** Cathy Tullis, Chair, DOE ICAM Integrated Project Team, for the Office of the Chief Information Officer.

Ingrid Kolb, Director, Office of Management (MA-1):

Concur:  Nonconcur: \_\_\_\_\_ Date: 9-21-12

Unless determined otherwise by the Directives Review Board (DRB), writers will have up to 60 days in which to develop their first draft and submit to the Office of Information Resources, MA-90

## **Justification Memorandum (Continued)**

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<b><u>Standard Schedule for Directives Development</u></b>	<b><u>Days</u></b>
<b>Draft Development</b>	<b>Up to 60 days</b>
<b>Review and Comment (RevCom)</b>	<b>30</b>
<b>Comment Resolution</b>	<b>30</b>
<b>Final Review</b>	<b>30</b>

- **Redline/strikeout posted in RevCom for communication purposes only**
- **Redline-strikeout distributed to the DRB.**
- **One week for DRB members to review, prior to meeting**
- **DRB meeting**
- **Week to prepare approval or impasse package**

Table 1: Enterprise Risk Management Model

Risk Assessment for DOE O 206.2					
Risk/ Opportunity	Risk Level	Potential Cost/Benefit	External Controls	Proposed Mitigation Technique	Internal Control (if needed)
Risk - DOE Elements are unable to effectively plan, budget, and execute interoperable ICAM implementations.	Moderate	<p>A DOE Policy will codify disparate policy memos and outdated notices, including the Clay Sell memo signed in 2005, in order to have one directive laying out DOE policy for ICAM.</p> <p>OCIO has proposed that the Working Capital Fund provide \$10M for establishment and deployment of Enterprise ICAM Services.</p>	<p>HSPD-12</p> <p>OMB M-11-11</p> <p>OMB M-05-24</p>	Establish ICAM Policy to coordinate development & implementation of ICAM Initiative	DOE Implementation of OMB M-11-11, HSPD-12, OMB M-05-24, and DOE O 473.3

Justification Memorandum (Continued)

Risk Assessment for DOE O 206.2					
Risk/ Opportunity	Risk Level	Potential Cost/Benefit	External Controls	Proposed Mitigation Technique	Internal Control (if needed)
Opportunity - Enterprise model that shares identity information across the department, reducing the cost of collecting and managing the information and improving the quality and reliability of the information.	Moderate	<p>2NV/RightPath relies on innovative cybersecurity and reformed polices to increase flexibility and agility, lower costs and improve communications and collaboration for employees.</p> <p>\$191,516,598 cost avoidance from improving efficiency of site to site visits.</p> <p>\$15K /application to integrate into Enterprise ICAM Services, yielding a \$36M return across DOE.</p>	<p>HSPD-12</p> <p>OMB M-11-11</p> <p>OMB M-05-24 and M-04-04, OMB Memorandum, Requirements for Accepting Externally-Issued Identity Credentials,</p>	Establish ICAM Policy to coordinate Development & implementation of ICAM Initiative	<p>DOE Implementation of OMB M-11-11</p> <p>DOE O 473.3</p>



Justification Memorandum (Continued)

Risk Assessment for DOE O 206.2					
Risk/ Opportunity	Risk Level	Potential Cost/Benefit	External Controls	Proposed Mitigation Technique	Internal Control (if needed)
Opportunity - ICAM initiative supports senior management efforts to streamline business processes, enhance efficiency and optimize current management practices. Directly supports DOE MOP #19 (Hiring Reform)	Moderate	Speeding provision of equipment to new hires is estimated to  Improve productivity by over  \$5M/year.	HSPD-12  OMB M-11-11  OMB M-05-24 and M-04-04	Establish ICAM Policy to coordinate Development & implementation of ICAM Initiative	DOE Implementation of OMB M-11-11, DOE O 473.3

Justification Memorandum (Continued)

Risk Assessment for DOE O 206.2					
Risk/ Opportunity	Risk Level	Potential Cost/Benefit	External Controls	Proposed Mitigation Technique	Internal Control (if needed)
Risk - DOE's cooperation with other government agencies will be affected by our participation in deploying the Federal ICAM initiative.	Minor	ICAM will improve trust in communication between: Government and Citizen (G-C), Government and Business (G-B), and internally between Government and other Government (G-G) organizations.	HSPD-12  OMB M-11-11  OMB M-05-24 and M-04-04, OMB Memorandum, Requirements for Accepting Externally-Issued Identity Credentials, National Strategy for Trusted Identities in Cyberspace (NSTIC)	Establish ICAM Policy to coordinate development & implementation of ICAM Initiative	DOE Implementation of OMB M-11-11, DOE O 473.3