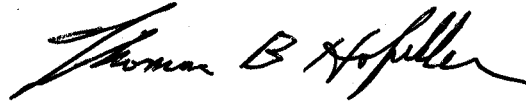


For: FAS and FSA National Office Employees

**New Procedures for Personal Identity Verification Phase I (PIV I)
Registration for Contractor Employees**

Approved by: Associate Administrator for Operations and Management



1 Overview

A Background

MSD is responsible for processing PIV I requirements under HSPD-12 for contractor employees in the National Office.

B Purpose

This notice informs contracting officer technical representatives (COTR's) about:

- a change in procedures for contractors to obtain a new USDA site badge or a renewal USDA ID badge
- completing background investigation (BI) forms using OPM's Electronic Questionnaire for Investigations Processing (eQIP); a web-based security clearance system.

Note: All COTR's must have a valid training certificate before using eQIP.

C Contact

If questions about this notice contact Stephanie Hyde, MSD, by telephone at 202-720-3135.

D Registrar Information

COTR's shall contact either of the following Registrars to obtain PIV I credentials for contractors.

| Name | Telephone | Room Number |
|----------------|--------------|-------------|
| Stephanie Hyde | 202-720-3135 | 5728-SB |
| Angela Payton | 202-720-0482 | 5728-SB |

| | |
|----------------------|---------------------------------------|
| Disposal Date | Distribution |
| May 1, 2009 | FAS and FSA National Office Employees |

Notice AO-1414

2 Fingerprinting and Background Investigations

A Requirements

All contractor employees who:

- have regular access to Federal buildings or computer systems must be fingerprinted and receive a favorable finger print report from FBI before a site badge will be issued
- will be employed for 6 months or longer must also submit required forms for BI.

B Exceptions to Fingerprinting and BI

Contractor employees who have a current security clearance of secret or higher, or have documentation of an adjudicated National Agency Check Inquiry (NACI), which would include an FBI fingerprint check, that was completed within the past 5 years, must bring copies to the Registrar as proof of fingerprinting and BI.

Note: Under no circumstances will Registrars request security clearance documentation from any other agency or department.

3 Determining Contractor Risk Levels

A Defining Computer/ADP Risk Levels

COTR's shall use the following table to determine if the contractor needs to complete **SF-85** or **SF-85P** based on the risk level of the work being performed under the contract.

| Computer/ADP Risk Levels | Risk Level Definitions |
|---|--|
| High Risk (HR) Public Trust Position Complete SF-85P | Potential for exceptionally serious impact involving duties especially critical to the agency mission, with broad scope and authority, with major program responsibilities, which affect a major computer/ADP system. |
| Moderate Risk (MR) Public Trust Position Complete SF-85P | Potential for moderate to serious impact involving duties of considerable importance to the agency mission, with significant program responsibilities that affect large portions of a computer/ADP system. |
| Low Risk (LR) Complete SF-85 | Potential for impact involving duties of limited relation to the agency mission through the use of computer/ADP systems. |

3 Determining Contractor Risk Levels (Continued)

B Risk Level Assessment

High Risk: Includes any position at the highest level of risk to a computer/ADP system. These positions may involve any of the following activities.

- Responsibility for the development, direction, implementation, and administration of agency computer security programs, including direction and control of risk analysis or threat assessment.
- Significant involvement in life-critical or mission-critical systems.
- Responsibility for preparing or approving data for input into a system which does not necessarily involve personal access to the system, but which creates a high risk for effecting grave damage or realizing significant personal gain.
- Assignments associated with or directly involving the accounting, disbursement, or authorization for disbursement from systems of amounts of \$10 million per year or greater, or lesser amounts if the activities of the individual are not subject to technical review by higher authority to insure the integrity of the system.
- Major responsibility for the direction, planning, design, testing, maintenance, operation, monitoring, or management of systems hardware and software.
- Access to a system during the operation or maintenance in such a way to permit high risk for causing grave damage or realizing a significant personal gain.
- Other positions as designated by the agency head that involve high risk for effecting grave damage or realizing significant personal gain.

Moderate Risk: Includes positions in which the incumbent is responsible for the direction, planning, design, operation or maintenance of a computer system, and whose work is technically reviewed by a higher authority at the high risk level to insure the integrity of the system. These positions may involve responsibility for systems design, operation, testing, maintenance, or monitoring that is carried out under technical review of higher authority at the high risk level, to insure the integrity of the system. This level includes, but is not limited to the following activities.

- Access to or processing of proprietary data, Privacy Act of 1974, and Government-developed privileged information involving the award of contracts.
- Accounting, disbursement, or authorization for disbursement from systems with amounts less than \$10 million per year.
- Other positions designated by the agency head that involve a degree of access to a system that creates a significant potential for damage or personal gain less than that in High Risk positions.

Low Risk: Includes all computer/ADP positions not falling into 1 of the other risk levels.

Notice AO-1414

4 Completing the Required Security Forms

A Initiating the Security Clearance Process

COTR's **must** first contact the Registrar to begin the security clearance process. Do **not** go to HRD for fingerprinting.

Note: Contractors will not be fingerprinted without required documentation from the Registrar to authorize fingerprinting.

B Required Forms and Identification to Prepare for Security Clearance

Contractors shall appear before **COTR** with all forms completed and with the required identification before proceeding to the Registrar's Office.

COTR's shall insure that the contractor correctly completes the following forms, and bring them to the Registrar. These forms will be scanned into the eQIP system to accompany the SF-85 or SF-85P for the contractor clearance:

- OF-306, Items 1, 2, 8-13, 16, and 17a)

Note: This form is available from the OPM Website at <http://www.opm.gov>.

- Fair Credit Reporting Release; see Exhibit 1
- AD-1197 (completed in the Registrar's Office).

The contractor shall bring 2 forms of identity source documents in **original form**. These documents must be presented to the Registrar and a photocopy will be made. At least 1 document shall be a valid State or Federal picture I.D. Applicants who possess a current State driver's license shall present that document as 1 identity source document before proceeding. See **Form I-9** (Exhibit 2) for approved forms of identity from lists A and B and required documents from list C.

Notice AO-1414

5 Submitting SF-85P Using eQIP

A Presenting Documentation to Registrar and Obtaining Access to eQIP

Contractors shall follow the instructions in this table to obtain access to eQIP to complete the security questionnaire.

| Step | Action |
|------|--|
| 1 | Registrars will complete a "Contractor Sensitive Information Form" for processing the contractor into the eQIP System. Contractors will be provided a link to the eQIP website which will allow them to establish ID's and passwords to complete the security questionnaire via the secure OPM portal. Instructions for accessing the site will be provided. |
| 2 | The Fair Credit Release and OF-306 must be completed, signed, dated, and returned to the Registrar in hard copy. These documents will be scanned into the contractor's eQIP file by the Registrar. |
| 3 | COTR and contractor shall complete AD-1197. This form will be provided by the Registrar. COTR and contractor will complete AD-1197, Part A, items 1 through 23. |
| 4 | After forms and identification are provided to the Registrar, COTR may schedule an appointment with HRD for fingerprinting. The Registrar will provide authorization to COTR to obtain fingerprinting. |
| 5 | HRD will initial and date AD-1197 when the fingerprinting is completed. COTR must return AD-1197 to the Registrar. |
| 6 | Upon receipt of favorable fingerprint check (Case Closing Transmittal), from OPM with no disqualifying information on the contract employee, the Registrar will contact COTR so that a site badge can be issued. |
| 7 | COTR will escort the contractor with the approved AD-1197 to the Departmental Badging Unit, Mezzanine Promenade, Room SM-7 of the South Building (adjacent to the U.S. Post Office). Badging hours are from 9 a.m. to 11a.m. and 1 p.m. to 3 p.m. |

6 Obtaining Fingerprints

A COTR Responsibilities

Contact HRD, Personnel and Payroll Operations Section, at 202-401-0674 for an appointment for fingerprinting. Contractor **must** present AD-1197 authorized by the Registrar or fingerprinting will not be authorized.

B HRD Responsibilities

HRD will complete AD-1197, Part C, items 30 through 32. Do **not** fingerprint contractors whose AD-1197 is not stamped and initialed by the Registrar.

HRD shall submit FBI fingerprint results weekly to the Registrar using the departmental special courier service. See subparagraph 2.

Fair Credit Reporting Act Release

FAIR CREDIT REPORTING ACT OF 1970, AS AMENDED

PLEASE TAKE NOTICE THAT ONE OR MORE CONSUMER CREDIT REPORTS MAY BE OBTAINED FOR EMPLOYMENT PURPOSES PURSUANT TO THE FAIR CREDIT REPORTING ACT, AS AMENDED, 15 U.S.C. & 1681, ET SEQ. SHOULD A DECISION TO TAKE ANY ADVERSE ACTION AGAINST YOU BE MADE, BASED EITHER IN WHOLE OR IN PART ON THE CONSUMER CREDIT REPORT, THE CONSUMER REPORTING AGENCY THAT PROVIDED THE REPORT PLAYED NO ROLE IN THE AGENCY'S DECISION TO TAKE SUCH ADVERSE ACTION.

Information provided by you on this form will be furnished to the consumer reporting agency in order to obtain information in connection with an investigation to determine your (1) fitness for Federal employment, (2) clearance to perform contractual service for the Federal government, and/or (3) security clearance or access. The information obtained may be redisclosed to other Federal agencies for the above purposes in fulfillment of official responsibilities to the extent that such disclosure is permitted by law.

I hereby authorize the _____ to obtain such reports from any
(Name Of Requesting Agency)
 consumer/credit reporting agency for employment purposes.

_____ (Print Name) _____ (SSN)

_____ (Signature) _____ (Date)

Your Social Security Number is needed to keep records accurate, because other people may have the same name. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

Form I-9, Lists of Acceptable Documents

| LISTS OF ACCEPTABLE DOCUMENTS | | |
|--|--|--|
| LIST A Documents that Establish Both Identity and Employment Eligibility | OR | LIST B Documents that Establish Identity |
| | | AND |
| LIST C Documents that Establish Employment Eligibility | | |
| 1. U.S. Passport (unexpired or expired) | 1. Driver's license or ID card issued by a state or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address | 1. U.S. Social Security card issued by the Social Security Administration <i>(other than a card stating it is not valid for employment)</i> |
| 2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551) | 2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address | 2. Certification of Birth Abroad issued by the Department of State <i>(Form FS-545 or Form DS-1350)</i> |
| 3. An unexpired foreign passport with a temporary I-551 stamp | 3. School ID card with a photograph | 3. Original or certified copy of a birth certificate issued by a state, county, municipal authority or outlying possession of the United States bearing an official seal |
| 4. An unexpired Employment Authorization Document that contains a photograph (Form I-766, I-688, I-688A, I-688B) | 4. Voter's registration card | 4. Native American tribal document |
| 5. An unexpired foreign passport with an unexpired Arrival-Departure Record, Form I-94, bearing the same name as the passport and containing an endorsement of the alien's nonimmigrant status, if that status authorizes the alien to work for the employer | 5. U.S. Military card or draft record | 5. U.S. Citizen ID Card <i>(Form I-197)</i> |
| | 6. Military dependent's ID card | 6. ID Card for use of Resident Citizen in the United States <i>(Form I-179)</i> |
| | 7. U.S. Coast Guard Merchant Mariner Card | 7. Unexpired employment authorization document issued by DHS <i>(other than those listed under List A)</i> |
| | 8. Native American tribal document | |
| 9. Driver's license issued by a Canadian government authority | For persons under age 18 who are unable to present a document listed above: | |
| | 10. School record or report card | |
| | 11. Clinic, doctor or hospital record | |
| | 12. Day-care or nursery school record | |

Illustrations of many of these documents appear in Part 8 of the Handbook for Employers (M-274)

Form I-9 (Rev. 06/05/07) N Page 2