

# ARS CSREES ERS NASS

## *Bulletin*

**Title:** Personal Identity Verification (PIV) for  
New Hires

**Number:** 07-411

**Date:** January 9, 2007      **Expiration:** January 9, 2008

**Originating Office:** Headquarters, Human Resources Division  
AFM/ARS

**Distribution:** All REE Agencies

This document describes the procedures for completing personal identity verifications for new hires in the four REE agencies.

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# Introduction

This bulletin provides the procedures for the Research, Education, and Economics (REE) agencies to issue Personal Identity Verification (PIV I) badges to new hires. These requirements come from the following directives and standards:

1. Homeland Security Presidential Directive 12 (HSPD-12), Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 27, 2004.
  - Mandates the development and implementation of a mandatory, government-wide Standard for secure and reliable forms of identification for all Federal employees and contractors for access to federally controlled facilities and information systems.
2. U.S. Department of Commerce, National Institute of Standards and Technology (NIST) Federal Information Processing Standard Publication 201 (FIPS 201), Personal Identity Verification (PIV) of Federal Employees and Contractors, dated February 25, 2005.
  - Defines a government-wide PIV system for use in applications such as access to federally controlled facilities and information systems. It also specifies a PIV system within which common identification credentials can be created and later used to verify a claimed identity.
3. Office of Management and Budget (OMB) Implementation Directive 2005N
  - Provides guidance for implementing the requirements in FIPS 201 and HSPD 12. The guidance clarifies timelines, applicability, and the requirements of PIV I and PIV II.
4. Department of Agriculture Regulation 3800-001 and Manual 3800-001, Common Identification Standard for USDA Employees and Contractors.
  - Provide the Department of Agriculture's implementing guidance.

Because the various REE components handle the PIV process differently, the procedures in this bulletin are separated into four Sections:

- Section A      Procedures for ARS Field Locations
- Section B      Procedures for ARS Headquarters Components
- Section C      Procedures for CSREES, ERS, and NASS Headquarters Components
- Section D      Procedures for NASS State Offices

For additional information, contact your servicing Human Resources Specialist or Human Resources Assistant.

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Date

## ABBREVIATIONS

AT	Administrative Technician
EOD	Entrance-on-Duty
FCRR	Fair Credit Reporting Release
HRS	Human Resources Specialist
HRA	Human Resources Assistant
HRD	Human Resources Division
LAO	Location Administrative Officer
NACI	National Agency Check and Inquiry
OPM	Office of Personnel Management
PIV	Personal Identity Verification
PSS	Personnel Security Staff
QAS	Quality Assurance Specialist
SAC	Special Agency Check

## Section A Procedures for ARS Field Locations

The procedures outlined below specifically apply to individuals selected for Federal appointments, transfers, and other hiring authorities into ARS field components that will require long-term access (six months or longer) to federally controlled facilities or information systems.

Transfers from another federal agency or former federal employees with a break in service of less than 2 years will not be required to complete another investigation to receive a PIV provided all other requirements specified in this bulletin are satisfactorily met including evidence of a previously completed NACI or other OPM background investigation.

**Part A – Low Risk Positions** - This section addresses the procedures to be used for employees assigned into non-sensitive positions requiring a National Agency Check and Inquiry (NACI). NACI and PIV procedures will be completed on all employees placed in a Low Risk, Non-sensitive position for more than an aggregate of 180 work days in either a single continuous appointment or a series of appointments.

1. After a tentative selection has been made, the Location forwards the selection package to the Human Resources Division (HRD), in accordance with existing selection approval and routing procedures for the unit.

2. Upon receipt of the selection package, the Human Resources Specialist (HRS) will contact the selectee regarding the tentative selection and completion of the NACI package. The package includes:

- OF-306, Declaration of Federal Employment (*Advise selectee that the OF-306 must be completed and faxed to HRD before the job offer can be finalized.*)
- Fair Credit Reporting Release (FCRR)
- SF-85, Questionnaire for Non-Sensitive Positions
- Two, SF-87, Fingerprint Charts (The fingerprints can be completed at local police station or other designated location if the location does not have fingerprinting capability.)

The HRS will direct the selectee to the appropriate websites for the forms.

3. The selectee completes the OF-306 and faxes the form to the HRS. The other forms may be mailed, but this will delay the EOD/PIV process. (*NOTE: While the FCRR, SF-85, and SF-87 forms are not required until the EOD, to expedite the PIV process, the selectee should be encouraged to submit the forms to the Location prior to reporting to duty.*)

4. Upon receipt, the HRS will review the completed OF-306. If there is no potentially adverse information and if all other pre-offer approvals have been obtained (e.g., recruitment incentives), the HRS will finalize the job offer to the selectee. The written job offer will be issued and include notification that the selectee must present two qualifying identity source documents on the reporting date, and a reminder that the FCRR, SF-85, and two SF-87's must be returned to the LAO prior to or upon reporting for duty. If there is potentially adverse information reflected on the OF-306, the selecting official or LAO should be contacted before finalizing the job offer.

5. Selectee will report for work on the established EOD date and as part of the employee in-processing, submit the FCRR, the SF-85, and two completed SF-87's (if not previously submitted). The selectee will also present two qualifying source documents to comply with the PIV and I-9 requirements. *(See Enclosure 1 for a listing of the acceptable documents.)* At least one document must be a valid State or Federal government-issued picture identification card. Selectees who possess a current State Drivers License or State Picture Identification must present that document as one identity source document before presenting other State or Federal government-issued picture identification cards.

6. The LAO will validate and photocopy the two identity source documents and carefully review the FCRR, SF-85 and SF-87 for completeness, legibility, and consistency. If there is no potentially disqualifying information on the forms, the LAO completes Section A (Source Document Confirmation) of the AD-1197, and issues a 120-day temporary (provisional) ID badge. If there is potentially disqualifying information, call the Employee Relations Branch before proceeding. The provisional ID will be valid for 120 days and may be issued even when the OPM processing of the Fingerprint Chart is pending provided the identity source verifications have been completed and review of the documents does not indicate any potentially disqualifying information. If the advance fingerprint checks have not been adjudicated within 120 days of the EOD, the provisional ID may be extended in 30-day intervals.

7. After ensuring the package is complete, the LAO forwards the AD-1197 with copies of the two qualifying source documents to the supervisor or second-line supervisor for review and completion of Section B (PIV Credential Request) of the AD-1197.

8. The LAO forwards the completed package (FCRR, SF-85, two SF-87's, and AD-1197 with copies of the two identity source documents) to the servicing Human Resources Assistant (HRA) for the Location. *(The LAO should retain a copy of the AD-1197 and copies of the two identity source documents.)* The HRA reviews all documents for completeness, updates the NACI tracking database, annotates the SF-85, and forwards the completed package to the Quality Assurance Specialist. The SF-85 is annotated as follows: Block A, "02B" (NACI); Block B, "2,3" (Credit Search, Advance NAC); Codes Block, "R" (Advanced Fingerprints). *(See example below.)*

Standard Form 85 Revised September 1995 U.S. Office of Personnel Management 5 CFR Parts 731 and 736		<b>QUESTIONNAIRE FOR NON-SENSITIVE POSITIONS</b>				Form approved: O.M.B. No. 3206-0005 NSN 7540-00-634-4035 85-111	
		Code R		Case Number			
<b>INSTRUCTIONS</b>							
<b>Agency Use Only (Complete items A through K using instructions provided by USOPM)</b>							
<b>A</b> Type of Investigation	02B	<b>B</b> Extra Coverage	2,3	<b>C</b> Nature of Action Code		<b>D</b> Date of Action	Month   Day   Year

9. Within two days of receipt, the Quality Assurance Specialist submits the FCRR, OF-306, Resume, SF-85, and SF-87 to OPM and updates the NACI tracking system with the date submitted to OPM. The AD-1197 is retained by the Quality Assurance Specialist in a pending file until the advance fingerprint check is received from OPM.

10. OPM runs advance fingerprint check as part of the NACI based on SF-87 and sends results to the HRD, Quality Assurance Specialist.

- If there is no unfavorable information, the Quality Assurance Specialist completes Section C (Issuance Approval/Registrar Section) of the AD-1197, updates the NACI tracking system, and returns the form to the servicing operations branch. The HRA will fax a copy to the LAO for that Location.
- If the advance fingerprint check was unsuccessful due to potentially adverse information, the Quality Assurance Specialist will forward the results to the Employee Relations Branch. The Employee Relations Specialist will consult with the selectee's supervisor to determine whether to terminate the process and will advise the servicing HRS of any issues. If necessary, consider termination of appointment in accordance with appropriate procedures.

11. Upon receiving from HRD a copy of the AD-1197 with Section C completed, the LAO issues a long-term (non-provisional) PIV ID Badge. The LAO completes Section D (Credential Details) after verifying the identity source documents referenced in Step 6 above. **NOTE:** As an important element of the PIV process, the individual signing Section D must not be the same official who signed as Sponsor in Section B. The non-provisional Badge will have an expiration date of five years from the date of issuance.

12. The employee completes Section E (Applicant Acknowledgement) acknowledging acceptance of PIV ID Badge.

13. The LAO faxes a copy of the completed AD-1197 to the HRA and retains the copy with the original signatures in Sections D and E with the PIV badge log records.

14. HRA receives copy of the AD-1197 with all sections completed, updates the NACI tracking system, and forwards the form to the HRD File Room for inclusion in the employee's OPF/e-OPF.

15. OPM finalizes the NACI and sends final results to the Quality Assurance Specialist.

16. Quality Assurance Specialist forwards NACI package to HRD Employee Relations Branch (Employee Relations Specialist) for adjudication.

17. Employee Relations Specialist reviews and adjudicates the NACI package, updates the NACI tracking system, and returns the package to the HRD Quality Assurance Specialist for filing. If the NACI is not satisfactory, Employee Relations Specialist will coordinate with the servicing operations branch and the employing unit to determine further action.

**Part B - Public Trust and National Security Positions** - This section outlines the procedures used for employees assigned into public trust and national security positions requiring higher than a National Agency Check and Inquiry (NACI).

1. After a tentative selection has been made, the Location forwards the selection package to the Human Resources Division (HRD), in accordance with existing selection approval and routing procedures within the unit.
2. Upon receipt of the selection package, the Human Resources Specialist (HRS) contacts the selectee regarding the tentative selection and the need for a pre-employment investigation. The HRS will provide the selectee the OF-306, Declaration of Federal Employment, and advise the individual to fax the completed OF-306 to HRD before the offer can be finalized.
3. Selectee completes the OF-306 and faxes the form to the HRS.
4. Upon receipt, the HRS will review OF-306. If there is no potentially adverse information, the HRS notifies the selectee that a member of the Personnel Security Staff (PSS) will contact him/her regarding the necessary forms to be completed to initiate the pre-employment investigation (Special Agency Check – SAC).
5. The HRS contacts the PSS and provides a copy of the EOD tentative letter and attachments OR, the completed “Personnel Suitability Notice of Change to Position Coded 2-6”.
6. The PSS coordinates the processing of the SAC with the selectee. Upon successful completion of the SAC, the PSS notifies the HRS and the Location. The notification will include all relevant information for Section C, #30- #36 of the AD-1197.
7. The HRS notifies the selectee of the outcome of the SAC and provides a written job offer which includes a statement that the selectee must present two qualifying identity source documents on the reporting date. (*See Enclosure 1 for a listing of acceptable documents.*)
8. Before EOD, the servicing Location completes Section A (Source Document Confirmation), Blocks 1 – 13a of the AD-1197, in accordance with the instructions (see Enclosure 3).
9. The selectee reports to work on the established EOD date and presents two qualifying source documents to comply with the PIV requirements. At least one document must be a valid State or Federal government-issued picture identification card.
10. The LAO will validate and photocopy the two sources documents and return the originals to the employee. The LAO completes block 14-23 of Section A, and blocks 24-29 of Section B, of the AD-1197.
11. The LAO forwards the AD-1197 with copies of the two qualifying source documents to the supervisor or second-line supervisor for review and completion of Section B, PIV Credential Request (Sponsor).
12. The LAO, using the information provided in the SAC completion notice, will complete Section C, Issuance Approval, of the AD-1197.



13. After verifying the identity source documents, the LAO will issue a long-term PIV ID Badge and complete Section D (blocks 40-48).

14. The appointee will complete "Applicant Acknowledgement" Section E (blocks 49-50), of the AD-1197 acknowledging acceptance of the PIV credential.

15. The LAO will fax a copy of the complete AD-1197 to the Quality Assurance Specialist for inclusion in the OPF. The LAO will retain the original AD-1197 along with PIV badge log records.

## Section B      Procedures for ARS Headquarters Components

The procedures outlined below specifically apply to individuals selected for Federal appointments, transfers, and other hiring authorities into ARS headquarters components who will require long-term access (six months or longer) to federally controlled facilities or information systems. Transfers from another federal agency or former federal employees with a break in service of less than 2 years will not be required to complete another investigation to receive a PIV provided all other requirements specified in this bulletin are satisfactorily met including evidence of a previously completed NACI or other OPM background investigation.

**Part A – Low Risk Positions** - This section addresses the procedures to be used for employees assigned into non-sensitive positions requiring a National Agency Check and Inquiry (NACI). NACI and PIV procedures will be completed on all employees placed in a Low Risk, Non-sensitive position for more than an aggregate of 180 work days in either a single continuous appointment or a series of appointments.

1. After a tentative selection decision has been made, the selecting official forwards the certificate to Human Resources Division (HRD), Eastern Services Branch (ESB), in accordance with existing selection approval and routing procedures within the unit.
2. Upon receipt of the certificate, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) will contact the selectee regarding the tentative selection and completion of the NACI package. The package includes:
  - OF-306, Declaration of Federal Employment (*Advise the selectee that the OF-306 must be completed and faxed to HRD before the job offer can be finalized.*)
  - Fair Credit Reporting Release (FCRR)
  - SF-85, Questionnaire for Non-Sensitive Positions

The HRS/HRA will direct the selectee to the appropriate websites for the forms. The two SF-87, Fingerprint Charts, will be completed upon EOD as part of the employee in-processing.

3. The selectee completes the OF-306 and faxes the form to the HRS/HRA.
4. Upon receipt, the HRS/HRA will review the completed OF-306. If there is no potentially adverse information and if all other pre-offer approvals have been obtained (e.g., recruitment incentives), the HRS/HRA will finalize the job offer to the selectee. The written job offer will be issued and include notification that the selectee must present two qualifying identity source documents on the reporting date, and a reminder that the FCRR and SF-85 must be returned to HRD prior to or upon reporting for duty. If there is potentially disqualifying information reflected on the OF-306, the HRS will discuss with the selecting official before finalizing the job offer.

5. Prior to the selectee's entry on duty (EOD), the HRA completes Section A (Source Document Confirmation) of the AD-1197, blocks 1 – 13a, in accordance with the instructions (Enclosure 2). The AD-1197 will be placed in the employee's orientation file for completion on the selectee's scheduled EOD. Additionally, the HRA will coordinate with the selectee to obtain any additional information missing from the documents.

6. Selectee will report to orientation on the established EOD date and, as part of employee in-processing, will be fingerprinted with the results electronically transmitted. The selectee will present two qualifying source documents to comply with the PIV and I-9 requirements. (See Enclosure 1 for a listing of acceptable documents.) At least one document must be a valid Federal or State government-issued picture identification card. Two copies of each source document will be made during orientation and the original documents are returned to the employee. The HRA handling the orientation session will complete Section A, blocks 14-23, of the AD-1197 and make a copy of the form. The original AD-1197 and copies of the source documents will be hand-carried to the badge issuance office. The other copy of the source documents and AD-1197 will be maintained by ESB.

**NOTE: If the FCRR and SF-85 have not been submitted prior to orientation, the servicing HRA is responsible for reviewing the forms while orientation is being conducted. If the employee arrives to orientation and has not completed the FCRR and SF-85, the HRA will consult the relevant TL/HRS for guidance.**

7. Upon completion of orientation, the employee will be escorted to the GWCC badge office for issuance of a provisional PIV ID badge. The Office of Operations completes Section D (Credential Details) of the AD-1197, and has the employee complete Section E (Applicant Acknowledgement). The Office of Operations will maintain the **original** AD-1197 and copy of the source documents, but will sign the **copy** of the AD-1197 and provide it to the escort. The escort will return from the badge office with a copy of an AD-1197 for each new employee escorted, and forward the copies to the servicing HRA.

8. The servicing HRA will finalize the NACI package following orientation and the SF-85 is annotated as follows: Block A, "02B" (NACI); Block B, "2,3" (Credit Search, Advance NAC); Codes Block, "R" (Advanced Fingerprints). See example below.

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		<b>INSTRUCTIONS</b>							
OPM USE ONLY		Codes <b>R</b>				Case Number			
<b>Agency Use Only (Complete items A through K using instructions provided by USOPM)</b>									
<b>A</b> Type of Investigation	02B	<b>B</b> Extra Coverage	2,3	<b>C</b> Nature of Action Code		<b>D</b> Date of Action	Month	Day	Year

9. The Quality Assurance Specialist receives the NACI package and, within two working days of receipt, submits the NACI package to the Office of Personnel Management (OPM). The copy of the AD-1197 and source documents will be maintained by the Quality Assurance Specialist in a "pending" PIV folder.

10. OPM runs an advance fingerprint check (as part of the NACI) and sends the Case Closing Transmittal to the Quality Assurance Specialist, who will log the receipt of the document into the NACI tracking database.
11. Within two working days, the Quality Assurance Specialist reviews the Case Closing Transmittal. If there is no unfavorable information, the Quality Assurance Specialist reviews the copies of the source documents, completes Section C (Issuance Approval) of the AD-1197, and returns the form to the servicing HRA. The HRA will provide the AD-1197 with all sections completed to the badge issuance office and a copy of the AD-1197 is filed on the right side of the OPF/e-OPF. Copies of the source documents will be shredded. If the fingerprint check is unsuccessful due to potentially adverse information, the Quality Assurance Specialist forwards the results to Employee Relations Specialist. The Employee Relations Specialist will consult with the employing organization and ESB staff as appropriate. The Quality Assurance Specialist logs all results and current status of the Case Closing Transmittal.
12. OPM finalizes NACI and sends Certificate of Investigation to the Quality Assurance Specialist.
13. The Quality Assurance Specialist logs the receipt of the document into the tracking database and then forwards Certificate of Investigation to Employee Relations Specialist for adjudication.
14. Employee Relations Specialist reviews the Certificate of Investigation and adjudicates the case. The adjudicated NACI is annotated on the Certificate of Investigation, entered into the NACI tracking system, and returned to the Quality Assurance Specialist for inclusion in the OPF. If the NACI is not satisfactory, Employee Relations Specialist will coordinate with the employing organization and ESB to determine further action.

**Part B - Public Trust and National Security Positions** - This section outlines the procedures used for employees assigned into public trust and national security positions requiring higher than a National Agency Check and Inquiry (NACI).

1. After a tentative selection decision has been made, the selecting official forwards the certificate to Human Resources Division (HRD), Eastern Services Branch (ESB), in accordance with existing selection approval and routing procedures within the unit.
2. Upon receipt of the certificate, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) contacts the selectee regarding the tentative selection and the need for a pre-employment investigation. The HRS/HRA will provide the selectee an OF-306, Declaration of Federal Employment, and advise the individual to fax the completed OF-306 to HRD before the offer can be finalized.
3. Selectee completes the OF-306 and faxes the form to the HRS/HRA.
4. Upon receipt of the completed OF-306, the HRS/HRA will review the OF-306. If there is no potentially adverse information, the HRS/HRA notifies the selectee and indicates that a member of the Personnel Security Staff (PSS) will contact him/her regarding the necessary forms to be completed to initiate the pre-employment investigation (Special Agency Check – SAC).

5. The HRS/HRA contacts the PSS and provides a copy of the tentative EOD letter and attachments OR, the completed “Personnel Suitability Notice of Change to Position Coded 2-6”.
6. The PSS coordinates the processing of the SAC with the selectee. Upon successful completion of the SAC, the PSS notifies the HRS/HRA and the Location. The notification will include all relevant information for Section C, blocks 30-36 of the AD-1197.
7. The HRS/HRA notifies the selectee of the outcome of the SAC and provides a written job offer which includes a statement that the selectee must present two qualifying identity source documents on the reporting date. (*See Enclosure 1 for a listing of acceptable documents.*)
8. The servicing HRA initiates Section A, Source Document Confirmation, blocks 1 – 13a of the AD-1197 Personal Identity Verification (PIV) Request for USDA ID Badge, in accordance with the instructions (see Enclosure 3). The AD-1197 will be placed in the selectee’s orientation folder for completion on the scheduled EOD.
9. The selectee reports to orientation on the established EOD date and presents two qualifying source documents to comply with the PIV requirements. At least one document must be a valid Federal or State government-issued picture identification card. A copy of each source document is made during orientation and the originals are returned to the employee. The HRA handling the orientation will complete the follow sections of the AD-1197: Section A, Source Document Confirmation, blocks 14-23; Section B, PIV Credential Request, blocks 24-29; and, using the information provided in the SAC notice, Section C, Issuance Approval, blocks 30-36.
10. During orientation, the HRA handling the orientation will provide the Quality Assurance Specialist the AD-1197 and a copy of the source documents. The Quality Assurance Specialist will complete Section C, Issuance Approval, blocks 37-39 of the AD-1197. The AD-1197 and a copy of the source documents will be returned to the HRA conducting the orientation session.
11. Upon completion of orientation, the employee is escorted to the GWCC badge office for issuance of a PIV ID badge. The Office of Operations completes Section D, Credential Details, blocks 40-48 of the AD-1197, and will have the employee complete Section E, Applicant Acknowledgement, blocks 49-50. The Office of Operations will maintain the **original** AD-1197 and copy of the source documents, but will sign the **copy** of the AD-1197 and provide it to the escort. The escort will return from the badge office with a copy of an AD-1197 for each new employee escorted, and forwards the copies to the QAS to update the tracking system.
12. The completed AD-1197 will be filed on the right side of the e-OPF/OPF.

## Section C      Procedures for CSREES, ERS, and NASS Headquarters Components

The procedures outlined below specifically apply to individuals selected for Federal appointments, transfers, and other hiring authorities into CSREES, ERS, and NASS headquarters components who will require long-term access (six months or longer) to Federally controlled facilities and/or information systems. Transfers from another federal agency or former federal employees with a break in service of less than 2 years will not be required to complete another investigation to receive a PIV provided all other requirements specified in this bulletin are satisfactorily met including evidence of a previously completed NACI or other OPM background investigation.

**Part A – Low Risk Positions** - This section addresses the procedures to be used for employees assigned into non-sensitive positions requiring a National Agency Check and Inquiry (NACI).

1. After a tentative selection decision has been made, the selecting official forwards the certificate to Human Resources Division (HRD), Metropolitan Services Branch (MSB), in accordance with existing selection approval procedures within the unit.
2. Upon receipt of the certificate, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) will contact the selectee regarding the tentative selection and completion of the NACI package. The package includes:
  - OF-306, Declaration of Federal Employment (*Advise the selectee that the OF-306 must be completed and faxed to HRD before the job offer can be finalized.*)
  - Fair Credit Reporting Release (FCRR)
  - SF-85, Questionnaire for Non-Sensitive Positions

The HRS/HRA will direct the selectee to the appropriate websites for the forms.

3. Selectee completes the OF-306 and faxes the form to the HRS/HRA at 202-690-1726.
4. Upon receipt, the HRS/HRA will review the OF-306. If there is no potentially adverse information, the HRS/HRA will finalize the job offer to the selectee. The written job offer will be issued with a statement that the selectee must present two qualifying identity source documents (see Enclosure 1) on the reporting date and a reminder that the FCRR and SF-85 must be returned to the HRD prior to reporting for duty. Fax copies are acceptable, as long as the original documents are provided at orientation.
5. Prior to entry on duty (EOD), the HRA reviews the FCRR and SF-85 for completeness, legibility, and consistency. If the package is in order, the HRA initiates Section A, Source Document Confirmation, blocks 1 – 13a of the AD-1197, Personal Identity Verification (PIV) Request for USDA ID Badge, in accordance with the instructions (see Enclosure 3). The AD-1197 will be placed in the orientation box for completion on the selectee's scheduled EOD. However, if there is potentially disqualifying information on the documents, the HRA presents it to the Team Leader (TL). Additionally, if the documents need more information, the HRA will coordinate with the selectee to obtain it.

6. The employee will report to orientation on the established EOD date. As part of the employee in-processing, the employee will be fingerprinted and the results will be electronically transmitted. The employee will present two qualifying source documents to comply with the PIV requirements. At least one must be a valid Federal or State government-issued picture identification card. Two copies of each source document will be made during orientation and the originals will be returned to the employee. The orientation team will complete Section A, Source Document Confirmation, blocks 14-23, Section B, PIV Credential Request, blocks 24-29, and Section C, Issuance Approval, blocks 32-38 of the AD-1197. Section C, block 32 is to be annotated with the word “pending.” Make a copy of the form. The original AD-1197, a copy of the AD-1197, and one copy of the source documents will be provided to the escort. The other copy of the source documents will be provided to the HRA (Information Systems) following orientation.

**NOTE 1: If the FCRR and SF-85 have not been submitted prior to orientation, the servicing HRA is responsible for reviewing the forms while orientation is being conducted. If the employee arrives to orientation and has not completed the FCRR and SF-85, the orientation team will consult the relevant TL for guidance.**

7. Upon completion of orientation, the employee will be escorted to the South Building for issuance of a provisional PIV ID badge. The Office of Operations will complete Section D, Credential Details, blocks 40-48 of the AD-1197, and will have the employee complete Section E, Applicant Acknowledgement, blocks 49-50. The Office of Operations will maintain the **original** AD-1197 and copy of the source documents, but will sign the **copy** of the AD-1197 and provide it to the escort. The escort will return with a copy of an AD-1197 for each new employee escorted and forward them to the HRA (Information Systems).

8. The HRA will finalize the NACI package following orientation and the SF-85 is annotated as follows: Block A, “02B” (NACI); Block B, “2,3” (Credit Search, Advance NAC); Codes Block, “R” (Advanced Fingerprints). *See example below.* The HRA forwards the package to the HRA (Information Systems) for tracking purposes.

Standard Form 85 Revised September 1995 U.S. Office of Personnel Management 5 CFR Parts 731 and 736		<b>QUESTIONNAIRE FOR NON-SENSITIVE POSITIONS</b>				Form approved: O.M.B. No. 3206-0005 NSN 7540-00-634-4035 85-111			
		<a href="#">INSTRUCTIONS</a>							
OPM USE ONLY		Codes R				Case Number			
<b>Agency Use Only (Complete items A through K using instructions provided by USOPM)</b>									
A Type of Investigation	02B	B Extra Coverage	2,3	C Nature of Action Code		D Date of Action	Month	Day	Year

9. The HRA (Information Systems) receives the NACI package and enters all necessary data into the tracking database. Within two working days of receipt of the NACI package, the HRA (Information Systems) submits the NACI package to Office of Personnel Management (OPM).

10. OPM runs advance fingerprint check as part of the NACI and sends the Case Closing Transmittal to HRA (Information Systems), who will log the receipt of the document into the tracking database.

11. The HRA (Information Systems) reviews the Case Closing Transmittal within two working days. If there is no unfavorable information, the HRA (Information Systems) reviews the copies of the source documents and then completes Section C, Issuance Approval, blocks 30 - 39 of the AD-1197. The HRA (Information Systems) faxes the AD-1197 to Office of Operations at 202-690-3596. The completed AD-1197 will be filed on the right side of the OPF/e-OPF, while the copies of the source documents will be shredded. If the fingerprint check was unsuccessful due to potentially adverse information, the HRA (Information Systems) forwards the results to the TL. The TL consults with the Employee Relations Branch (Employee Relations Specialist) to determine further action. The HRA (Information Systems) logs all results and current status of the Case Closing Transmittal.

12. OPM finalizes NACI and sends Certificate of Investigation to HRA (Information Systems).

13. The HRA (Information Systems) logs the receipt of the document into the NACI tracking database and forwards Certificate of Investigation to the TL for adjudication.

14. The TL reviews the Certificate of Investigation and adjudicates the case. The package is returned to the HRA (Information Systems) to log the adjudication into the tracking database. If the NACI is not satisfactory, the TL will coordinate with Employee Relations Specialist for further action. Upon successful adjudication, the HRA (Information Systems) logs results into the tracking database.



**Part B - Public Trust and National Security Positions** - This section addresses the procedures to be used for employees assigned into public trust and national security positions requiring higher than a National Agency Check and Inquiry (NACI).

1. After a tentative selection decision has been made, the selecting official forwards the certificate to Human Resources Division (HRD), Metropolitan Services Branch (MSB), in accordance with existing selection approval procedures within the unit.
2. Upon receipt of the certificate, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) will contact the selectee regarding the tentative selection and the need for a pre-employment investigation. The HRS/HRA will provide the selectee an OF-306, Declaration of Federal Employment, and advises the individual to fax the completed OF-306 to HRD before the offer can be finalized.
3. Selectee completes the OF-306 and faxes the form to the HRS/HRA at 202-690-1726.
4. Upon receipt of the completed OF-306, the HRS/HRA will review the OF-306. If there is no potentially adverse information, the HRS/HRA will notify the selectee and indicate that a member of the Personnel Security Staff (PSS) will contact him/her regarding the necessary forms that need to be completed to initiate the pre-employment investigation (Special Agency Check – SAC).
5. The HRS/HRA contacts the PSS and provides a copy of the EOD tentative letter and attachments OR, the completed “Personnel Suitability Notice of Change to Position Coded 2-6”.
6. The PSS coordinates the processing of the SAC with the selectee. Upon successful completion of the SAC, the PSS notifies the HRS/HRA. The notification will include all relevant information for Section C, #30- #36 of the AD-1197.
7. Upon notification of the SAC completion, the HRS/HRA notifies the selectee of the outcome and provides a written job offer with a statement that the selectee must present two qualifying identity source documents on the reporting date. (*See Enclosure 1 for a listing of acceptable documents.*).
8. The HRA initiates Section A, Source Document Confirmation, blocks 1 – 13a, of the AD-1197, Personal Identity Verification (PIV) Request for USDA ID Badge in accordance with the instructions (see Enclosure 3). The AD-1197 will be placed in the orientation file for completion on the selectee’s scheduled EOD.
9. The selectee reports to orientation on the established EOD date and presents two qualifying source documents to comply with the PIV requirements. At least one document must be a valid Federal or State government-issued picture identification card. A copy of each source document is made during orientation and the originals are returned to the employee. The orientation team will complete the follow sections of the AD-1197: Section A, Source Document Confirmation, blocks 14-23; Section B, PIV Credential Request, blocks 24-29; and, using the information provided in the SAC notice, Section C, Issuance Approval, blocks 30-36.

10. During orientation, the orientation team will provide the HRA (Information Systems) the AD-1197 and a copy of the source documents. The HRA (Information Systems) will complete Section C, Issuance Approval, blocks 37 - 39 of the AD-1197. The AD-1197 and a copy of the source documents will be returned to the orientation team. The orientation team will copy the AD-1197. The original AD-1197, a copy of the AD-1197, and the copy of the source documents will be provided to the escort.

11. Upon completion of orientation, the employee will be escorted to the South Building for issuance of a PIV ID badge. The Office of Operations will complete Section D, Credential Details, blocks 40-48 of the AD-1197, and will have the employee complete Section E, Applicant Acknowledgement, blocks 49-50. The Office of Operations will maintain the **original** AD-1197 and a copy of the source documents, but will sign the **copy** of the AD-1197 and provide it to the escort. The escort will return with a copy of an AD-1197 for each new employee and forwards the copies to the HRA (Information Systems).

12. The completed AD-1197 will be filed on the right side of the e-OPF/OPF.

## Section D Procedures for NASS Field Offices

The procedures outlined below specifically apply to individuals selected for Federal appointments, transfers, and other hiring authorities into NASS Field Offices who will require long-term access (six months or longer) to federally controlled facilities and/or information systems. Transfers from another federal agency or former federal employees with a break in service of less than 2 years will not be required to complete another investigation to receive a PIV provided all other requirements specified in this bulletin are satisfactorily met including evidence of a previously completed NACI or other OPM background investigation.

**Part A – Low Risk Positions** - This section addresses the procedures to be used for employees assigned into non-sensitive positions requiring a National Agency Check and Inquiry (NACI).

1. After a tentative selection decision has been made, the selecting official forwards the certificate to Human Resources Division (HRD), Metropolitan Services Branch (MSB) in accordance with existing selection approval procedures within the unit.
2. Upon receipt of the certificate, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) will contact the selectee regarding the tentative selection and completion of the NACI package. The package includes:
  - OF-306, Declaration of Federal Employment (*Advise selectee that the OF-306 must be completed and faxed to HRD before the job offer can be finalized.*)
  - Fair Credit Reporting Release (FCRR)
  - SF-85, Questionnaire for Non-Sensitive Positions
  - Two, SF-87 Fingerprint Charts

The HRS/HRA will direct the selectee to the appropriate websites for the forms.

3. Selectee completes the OF-306 and faxes the form to the HRS/HRA at 202-690-1726.
4. Upon receipt of the completed OF-306, the HRS/HRA will review the OF-306. If there is no potentially adverse information, the HRS/HRA will finalize the job offer to the selectee. The written job offer will be issued with a statement that the selectee must present two qualifying identity source documents (see Enclosure 1) on the reporting date and a reminder that the FCRR and SF-85 must be submitted to HRD/MSB prior to reporting for duty. Fax copies are acceptable, as long as the original documents are provided to the Administrative Technician (AT) at orientation. The employee must present the two completed SF-87's at orientation. (Fingerprints can be recorded at a local police station or other designated location.)

5. Prior to entry on duty (EOD), the HRA reviews the faxed FCRR and SF-85 for completeness, legibility, and consistency. If the package is in order, the HRA initiates Section A, Source Document Confirmation, blocks 1-13a, of the AD-1197, Personal Identity Verification (PIV) Request for USDA ID Badge (Enclosure 2) in accordance with the instructions (see Enclosure 3). However, if there is potentially disqualifying information on the documents, the HRA presents it to the Team Leader (TL). If the documents need more information, the HRA will coordinate with the selectee to obtain it.

6. The employee will report to orientation on the established EOD date. As part of the employee in-processing, the AT will first ask the employee for their completed original FCRR, SF-85, and two SF-87s. The employee will present two qualifying source documents to comply with the PIV requirements. At least one must be a valid Federal or State government-issued picture identification card. The AT will make a copy of each source document during orientation and the originals will be returned to the employee. The AT will complete Section A, Source Document Confirmation, blocks 14-23 of the AD-1197. The AT will then provide a copy of the source documents to the Director (or designee) for review and completion of Section B, PIV Credential Request, blocks 24-29.

**NOTE: If the FCRR and SF-85 had not been submitted prior to orientation, the AT will immediately request the documents from the employee and fax them to the servicing HRA. The servicing HRA will review the forms for completeness, legibility, and consistency while orientation is being conducted. The HRA will contact the AT upon completion of the review. If the employee arrives at orientation and has not completed the FCRR, SF-85, and two SF-87s, the AT will consult the relevant Team Leader (TL) for guidance.**

7. Upon completion of orientation, the employee will be escorted for issuance of a provisional PIV ID badge. The AT will complete Section D, Credential Details, blocks 40-48 of the AD-1197, and will have the employee complete Section E, Applicant Acknowledgement, blocks 49-50.

**NOTE: Not all offices will issue PIV ID badges. If this is the case, Sections D and E will not be completed. However, the AT will need to write NO BADGE ISSUED in Section D.**

8. On the EOD date, the AT forwards the completed orientation package to the servicing HRA via next day FedEx to:

USDA/ARS/HRD/MSB, Portals Building  
1280 Maryland Avenue, SW  
Suite 580C, Mail Stop 0308  
Washington, DC 20024-0308

The package will include the originals of the FCRR, SF-85, two SF-87s, and AD-1197 with Sections A, B, D, and E completed, copies of the 2 source documents, and the remaining EOD forms

(i.e., appointment affidavit, OF-306, direct deposit form, and tax forms).

9. The HRA will finalize the NACI package within 2 days from receipt of the EOD and annotates the SF-85: Block A, "02B" (NACI); Block B, "2,3" (Credit Search, Advance NAC); Codes Block, "R" (Advanced Fingerprints). *See example below.* The HRA forwards the package to the HRA (Information Systems) for tracking purposes.

Standard Form 85 Revised September 1995 U.S. Office of Personnel Management 5 CFR Parts 731 and 736		<b>QUESTIONNAIRE FOR NON-SENSITIVE POSITIONS</b>				Form approved: O.M.B. No. 3206-0005 NSN 7540-00-634-4035 95-111			
		<b>INSTRUCTIONS</b>							
OPM USE ONLY		Codes R				Case Number			
<b>Agency Use Only (Complete items A through K using instructions provided by USOPM)</b>									
<b>A</b> Type of Investigation	02B	<b>B</b> Extra Coverage	2,3	<b>C</b> Nature of Action Code		<b>D</b> Date of Action	Month	Day	Year

10. The HRA (Information Systems) receives the NACI package and enters all necessary data into the tracking database. Within two working days of receipt of the NACI package, the HRA (Information Systems) submits the NACI package to the Office of Personnel Management (OPM).

11. OPM runs advance fingerprint check as part of the NACI and sends the Case Closing Transmittal to HRA (Information Systems), who will log the receipt of the document into the tracking database.

12. The HRA (Information Systems) reviews the Case Closing Transmittal within two working days. If there is no unfavorable information, the HRA (Information Systems) reviews the copies of the source documents, completes Section C, Issuance Approval, blocks 30 - 39 of the AD-1197, and sends a copy to the employing office by fax. The completed AD-1197 will then be filed on the right side of the OPF/e-OPF, while copies of the source documents will be shredded.

13. If the fingerprint check was unsuccessful due to potentially adverse information, the HRA (Information Systems) forwards the results to the TL. The TL consults with the Employee Relations Branch (Employee Relations Specialist) to determine further action. The HRA (Information Systems) logs all results and current status of the Case Closing Transmittal.

14. OPM finalizes NACI and sends Certificate of Investigation to the HRA (Information Systems).

15. The HRA (Information Systems) logs the receipt of the document into the tracking database and then forwards Certificate of Investigation to the TL for adjudication.

16. TL reviews the Certificate of Investigation and adjudicates the case. The package is returned to the HRA (Information Systems) for logging the adjudication into the tracking database. If the NACI is not satisfactory, the TL will coordinate with Employee Relations Specialist for further action. Upon successful adjudication, the HRA (Information Systems) logs results into the tracking database.

**Part B – Short-Term Low Risk Positions** – The procedures outlined below specifically apply to individuals selected for Federal appointments, transfers, and other hiring authorities into NASS Field Offices who will require short-term access (*six months or less*) to Federal controlled facilities and/or information systems. This section addresses the procedures to be used for employees assigned into non-sensitive positions not requiring a National Agency Check and Inquiry (NACI).

1. After a tentative selection decision has been made, the selecting official forwards the certificate or Request for Personnel Action (SF-52) to the Human Resources Division (HRD), Metropolitan Services Branch (MSB) in accordance with existing selection approval procedures within the unit.

2. Upon receipt of the certificate or SF-52, the Human Resources Specialist (HRS) or Human Resources Assistant (HRA) will contact the selectee regarding the tentative selection and the OF-306, Declaration of Federal Employment that need to be completed. (Advise the individual of the need to fax the completed OF-306 to HRD before the offer can be finalized).

The HRS/HRA will provide the OF-306 to the selectee via email, fax, or provide guidance to the appropriate website.

3. Selectee completes the OF-306 and faxes the form to the HRS/HRA at 202-690-1726.

4. Upon receipt of the completed OF-306, the HRS/HRA will review the OF-306. If there is no potentially adverse information, the HRS/HRA will finalize the job offer to the selectee. The written job offer will be issued with a statement that the selectee must present two qualifying identity source documents (as stated on Attachment A) on the reporting date.

5. The employee will report to orientation on the established EOD date. As part of the employee in-processing, the AT will first ask the employee to present two qualifying source documents to comply with the PIV requirements for issuance of an ID card. At least one must be a valid Federal or State government-issued picture identification card. The AT will make a copy of each source document during orientation and the originals will be returned to the employee. The AT will complete Section A, Source Document Confirmation, blocks 14-23 of the AD-1197. The AT will then provide a copy of the source documents to the Director (or designee) for review and completion of Section B, PIV Credential Request, blocks 24-29.

6. Upon completion of orientation, the employee will be escorted for issuance of a provisional PIV ID badge. The provisional PIV ID badge will allow minimum access such as front entrance to the facility, the employee's immediate workspace, and open access areas such as a cafeteria or restroom. The AT will complete Section D, Credential Details, blocks 40-48 of the AD-1197, and will have the employee complete Section E, Applicant Acknowledgement, blocks 49-50.

NOTE: Not all offices will issue PIV ID badges. If this is the case, Sections D and E will not be completed. However, the AT will need to write “**NO BADGE ISSUED**” in Section D.

7. On the EOD date, the AT forwards the completed orientation package to the servicing HRA via next day FedEx to: **USDA/ARS/HRD/MSB, Portals Building, 1280 Maryland Avenue, SW, Suite 580C, Mail Stop 0308, Washington, DC 20024-0308**. Included will be the AD-1197 with Sections A, B, D and E completed, copies of the two source documents, and the remaining EOD forms i.e., appointment affidavit, OF-306, direct deposit, tax forms.

8. The HRA (Information Systems) reviews the copies of the source documents, completes Section C, Issuance Approval, blocks 33 - 39 of the AD-1197, and sends a copy to the employing office by fax. The completed AD-1197 will then be filed on the right side of the e-OPF/OPF, while copies of the source documents will be shredded.

<b>Authorized Identity Source Documents</b>		
<b>List A</b> <b>Documents that Establish Both Identity and Employment Eligibility</b>	<b>List B</b> <b>Documents that Establish Identity</b>	<b>List C</b> <b>Documents that Establish Employment Eligibility</b>
1. U.S. Passport (unexpired or expired)	1. Drivers 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 (other than a card stating that it is invalid for employment)
2. Certificate of U.S. Citizenship ( <i>Form N-560 or N-561</i> )	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. 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
3. Certificate of Naturalization ( <i>Form N-550 or N-570</i> )	3. School ID card with a photograph	3. U.S. Citizen ID Card ( <i>Form I-197</i> )
4. Unexpired foreign passport with <i>I-551</i> stamp or attached <i>Form I-94</i> indicating unexpired employment authorization	4. Voters Registration Card	
5. Permanent Resident Card or Alien Registration Receipt Card with photograph ( <i>Form I-151 or I-551</i> )	5. U.S. Military card or draft record	
6. Unexpired Temporary Resident Card ( <i>Form I-688</i> )	6. Military dependent's ID card	
7. Unexpired Employment Authorization Card ( <i>Form I-668A</i> )	7. U.S. Coast Guard Merchant Mariner Card	
8. Unexpired Reentry Permit ( <i>Form I-327</i> )	8. Native American tribal document	
9. Unexpired Refugee Travel Document ( <i>Form I-571</i> )	9. Driver's License issued by a Canadian government authority	
10. Unexpired Employment Authorization Document issued by DHS [U.S. Department of Homeland Security] that contains a photograph ( <i>Form I-688B</i> )	<p><b>For persons under the age of 18 who are unable to present a document listed above:</b></p> <p>10. School record or report card 11. Clinic, doctor, or hospital record 12. Day-care or nursery school record</p>	



## Personal Identity Verification (PIV) Request for USDA ID Badge

Privacy Notice: Public Laws 95-113 and 93-579 permit collection of the data requested on this form. The information is used to determine suitability for the issuance of USDA credentials. The information will be used to identify proof and register applicants as part of the Personal Identity Verification process. Providing this information is voluntary; however, failure to submit this information may result in denial of a USDA credential.

### A. Source Document Confirmation (To be completed by HR)

1. Replacement Card?  No  Yes 1a. Reason for Replacement: \_\_\_\_\_  
 2. BI\* Application Complete?  Yes (required for new cards only) [\*"BI" is a generic reference to all investigations for federal employment purposes]

**Applicant Information** 3. Compliant Badge:  Federal Employee  LE/Physical Security  
 Contractor  Affiliate  Press Corps  Foreign National

3a: Non-Compliant Badge  Site  Temporary  Retiree Expiration Date (mm/dd/yyyy): \_\_\_/\_\_\_/\_\_\_

4. Name: \_\_\_\_\_ 5. Phone: \_\_\_\_\_ 6. Position: \_\_\_\_\_  
 7. Birth Date (mm/dd/yyyy): \_\_\_/\_\_\_/\_\_\_ 8. Organization: \_\_\_\_\_  
 9. Work Address: \_\_\_\_\_ 10. City: \_\_\_\_\_ 11. State: \_\_\_ 12. Zip: \_\_\_\_\_  
 13. Email: \_\_\_\_\_ 13a. Applicant SSN: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

### Identity Source Document 1 (Attach copy) Identity Source Document 2 (Attach copy)

14. Name: \_\_\_\_\_ 15. Doc. #: \_\_\_\_\_ 19. Name: \_\_\_\_\_ 20. Doc. #: \_\_\_\_\_  
 16. Doc Title: \_\_\_\_\_ 21. Doc Title: \_\_\_\_\_  
 17 Issuer: \_\_\_\_\_ 22. Issuer \_\_\_\_\_  
 18. Doc. Expiration Date (mm/dd/yyyy): \_\_\_/\_\_\_/\_\_\_ 23. Doc. Expiration Date (mm/dd/yyyy): \_\_\_/\_\_\_/\_\_\_

### B. PIV Credential Request (To be completed by Sponsor)

#### Sponsor Information

24. Name: \_\_\_\_\_ 25. Phone: \_\_\_\_\_  
 26. Organization: \_\_\_\_\_ 27. Email: \_\_\_\_\_  
 27a. Access Required: \_\_\_\_\_

**I agree to sponsor the above application for a PIV credential and certify that the information is accurate to the best of my knowledge.**

28. \_\_\_\_\_ 29. DATE (mm/dd/yyyy) \_\_\_/\_\_\_/\_\_\_  
PRINTED NAME OF SPONSOR SIGNATURE

### C. Issuance Approval (To be completed by Registrar for new cards ONLY, after Section A & B are completed)

#### FBI Fingerprint Check/NAC Results Registrar Information

- |  |  |
|--|--|
| 30. Date Completed (mm/dd/yyyy): ___/___/___<br>31. Successfully adjudicated? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>32. Comments: _____<br>_____ | 33. Name: _____<br>34. Organization: _____<br>35. Phone: _____<br>36. Email: _____ |
|--|--|

**37. I hereby certify that the information regarding the above applicant is accurate to the best of my knowledge.**

I hereby  approve  do not approve this application for credential

**issuance.**

38. \_\_\_\_\_ 39. DATE (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
PRINTED NAME OF REGISTRAR SIGNATURE

**D. Credential Details** (To be completed by Issuer, after Section A, B [and C, if required] is completed)

**Issuer Information**

40. Name on Credential: _____	43. Name: _____
41. Credential Identifier: _____	44. Organization: _____
42. Credential Expiration Date (mm/dd/yyyy): ____/____/____	45. Phone: _____
	46. Email: _____

**I hereby acknowledge issuance of a credential to the applicant identified above based on verification of the applicant's identity and verification of the above Registrar's issuance approval.**

47. \_\_\_\_\_ 48. **Date** (mm/dd/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
PRINTED NAME OF ISSUER SIGNATURE

**E. Applicant Acknowledgement** (To be completed by Applicant, after Section D is completed)

**I, the Applicant, confirm receipt of the PIV credential identified above and that the information is accurate to the best of my knowledge.**

49. \_\_\_\_\_ 50. **Date:** (mm/dd/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
PRINTED NAME OF APPLICANT SIGNATURE

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information is 0505-0022. The time required to complete this collection of information is estimated to average .25 hours per response, including the time for reviewing instructions searching existing data sources, gathering and maintaining the data needed and completing and reviewing the form. (e) Agency Requirements.--Each agency that maintains a system of records shall-- (1) maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President; (2) collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs; (3) inform each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual-- (A) the authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary; (B) the principal purpose or purposes for which the information is intended to be used; (C) the routine uses which may be made of the information, as published pursuant to paragraph (4)(D) of this subsection; and (D) the effects on him, if any, of not providing all or any part of the requested information;

## Instructions For Completing the AD-1197 for New Employees

This form is required for all first time federal appointments. It is used to determine suitability for the issuance of USDA credentials. The information will be used to identity proof and register applicants as part of the government-wide Personal Identity Verification process.

### Section A, Source Document Confirmation

1. Replacement Card?
  - Check “**No**”
  - Check “**Yes**” if replacing badge due to extension of temporary appointment beyond NTE date.
2. BI (Background Investigation) Application Complete?
  - Check “**Yes**” ONLY if we have received their SF-85 or SF-85P, or the employee has been initiated into e-QIP for completing the SF-86

### Applicant Information

3. Compliant Badge (if Permanent)
  - Check “Federal Employee”
- 3a. Non-Compliant Badge (if Temporary)
  - Check “Temporary” and state the NTE date
  - A replacement badge will need to be issued if temporary appointment is extended beyond the NTE date (see #1 above)
4. Name
  - Use employee’s legal name as it appears on his/her Social Security card, driver’s license, or passport
5. Phone
  - Obtain employee’s work phone number from unit official prior to EOD
6. Position
  - Use official position title
7. Birth Date
  - As stated
8. Organization
  - Name of REE Agency
9. -12. Work Address, City, State, Zip
  - Use work address of employee; may need to obtain from unit official prior to EOD

13. Email  
➤ Obtain from unit official prior to EOD

- 13a. Applicant SSN  
➤ As stated

**Identity Source Document 1** - Attach a copy of any State or Federal photo ID as listed on Attachment A.

14. Name  
➤ Use employee's legal name as it appears on the source document

15. Document Number  
➤ As stated on ID

16. Document Title  
➤ e.g., Minnesota Driver's License or USA Passport

17. Issuer  
➤ e.g., State of Minnesota or Secretary of State of the USA

18. Document Expiration Date  
➤ As stated on ID

**Identity Source Document 2** - Attach a copy of any document from Attachment A.

19. through 23. – Use the same process as noted above in steps 14-18 for Identity Source Document 1.

## **Section B, PIV Credential Request**

### **Sponsor Information**

24. Name  
➤ Director, selecting officials, (or designee) responsible for Source Document verification

25. Phone  
➤ Phone number of individual listed in #24

26. Organization  
➤ Name of REE Agency

27. Email  
➤ Email address of individual listed in #24

- 27a. Access Required

- Long term access to Federally Controlled Facilities and/or Information Systems

28. Name/Signature of Sponsor

- Printed name and signature of Official listed in #24.

29. Date

- Date of signature

## **Section C, Issuance Approval**

30. Date Completed

- NACI - Use "Closed" date on the Case Closing Transmittal
- Higher than NACI - Use date of SAC approval (as provided by HRS/HRA)

31. Successfully Adjudicated?

- Check "Yes"

32. Comments

- N/A

33. Name

- Name of Human Resources Assistant (Information Systems) or Quality Assurance Specialist

34. Organization

- Agricultural Research Service

35. Phone

- Phone number of Human Resources Assistant (Information Systems) or Quality Assurance Specialist

36. Email

- Email of Human Resources Assistant (Information Systems) or Quality Assurance Specialist

37. Certification Statement

- Check "Approve"

38. Name/Signature of Registrar

- Printed name and signature of Human Resources Assistant (Information Systems) or Quality Assurance Specialist

39. Date

- Date of Signature

## **Section D, Credential Details**

40. Name on Credential

- Use employee's legal name as it appears on his/her source document

41. Credential Identifier
  - Title of the document presented, e.g., Maryland Driver's License
42. Credential Expiration Date (mm/dd/yyyy)
  - As stated on the source document presented
43. Name
  - Printed name of issuer of PIV ID badge
44. Organization
  - Use REE Agency name and specific organizational designation
45. Phone
  - Phone number of individual listed in #43
46. Email
  - Email address of individual listed in #43
47. Name and Signature of Issuer
  - Printed name and signature of individual listed in #43
48. Date
  - Date of Signature

**Section E, Applicant Acknowledgement**

New employee will complete this section upon receipt of PIV ID Badge.

49. Name and Signature of Applicant
  - Printed Name and Signature of employee
50. Date
  - Date of Signature