Personal Identity Verification II (PIV-II) Employee On-Boarding in EmpowHR

Prepared for

**United States Department of Agriculture
Office of Security
300 7th Street SW, Washington DC 20024**

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Revision Information

Version	Date	Revision Information
1.0	12/10/2008	Initial Draft
2.0	4/25/2008	Updated page headers and formatting, card shipping code selection information, ACP screen shots, and help resources; added FAQ section
3.0	6/4/2008	Added card shipping code selection for mobile stations, email address precedence rules, and notes that records of non-US citizens are not currently being processed.
3.1	7/24/2008	Updated business process flow diagram, Added information about mandatory Sponsor and Adjudicator designation in USAccess. Updated reminders that Sponsor and Adjudicator must be two separate people; added FAQ.
3.2	8/14/2008	Added instructions for editing record to allow only 2 digital certificates; added post-validation steps. Moved all FAQ to the Sponsor FAQ document on the USDA LincPass website
3.2	9/8/2008	Added note about updating employee email via My System Profile

How to Use this Guide

This guide provides instructions for HR personnel acting as HSPD-12 Sponsors and Adjudicators to initiate the LincPass issuance process for EmpowHR-based Employee Applicants. This guide will detail how to prepare and submit Employee Applicant records to the General Services Administration (GSA) HSPD-12 system, called USAccess in order to Sponsor and Adjudicate the Employee. This process accomplishes the following:

- Selection and preparation of Employee Applicant data for submission to USAccess

- Completion of Sponsorship for the Applicant

- Completion of Adjudication for the Applicant

- Submission of all data to USAccess so that the Applicant can then Enroll

The first half of this guide provides a high level overview of where on-boarding fits into the overall LincPass issuance process as well an on-boarding process workflow. The second half of this guide provides step by step instructions and screen shots detailing how to prepare the data, Sponsor and Adjudicate the Applicant, and submit all the data to USAccess.

If you need help or additional information, please see the contact list below:

USDA HSPD-12 LincPass Website Sponsor page: http://hspd12.usda.gov/Sponsor.html

USDA HSPD-12 Help Desk (for business process or Agency Certification portal):
- Toll Free: 888-212-9309, Local: 703-245-7888
- Email: HSPD12@ftc.usda.gov

USAccess Help Desk (for USAccess system questions/issues)
- Toll Free: 866-493-8391
- Email: usaccess.helpdesk@eds.com

GSA MSO Help Desk (for USAccess password resets or general policies)
- Phone: 202-501-4740
- Email: hspd12@gsa.gov

EmpowHR help desk (for technical questions/issues with EmpowHR):
- Email: NFCEMPOWHR@usda.gov

eAuthenthentication Help:
- http://www.eauth.egov.usda.gov/eauthHelp.html

Note: The Frequently Asked Questions section has been integrated into the Sponsor FAQ document on the USDA HSPD-12 website's "FAQ" page.
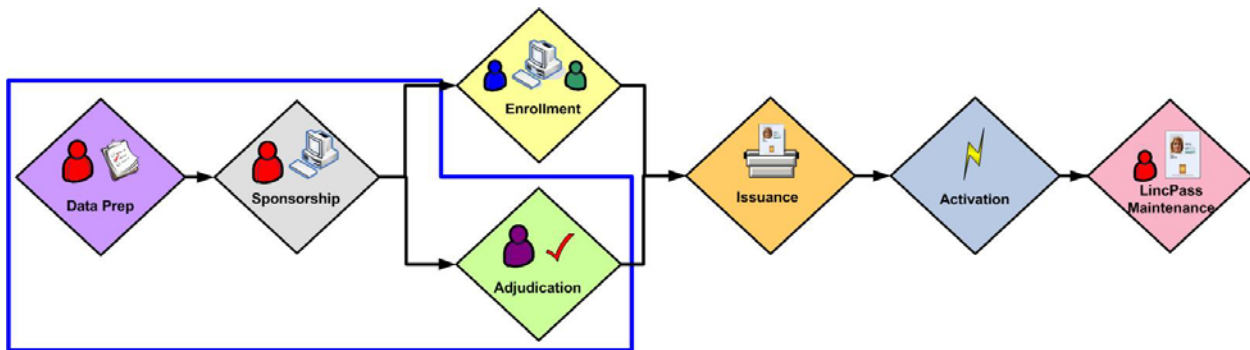
Part I: Overview and Business Process

Figure 1: LincPass Issuance Process

A. On-boarding Process Overview

The objective of this process is to select and prepare Employee data so that upon submission, it conforms to the data requirements set forth by USAccess. The On-Boarding process involves the following:

- Sponsor selects records to prepare and then review and update data in EmpowHR
- Sponsor submits the data to USAccess via the Agency Certification Portal in order to provide an authoritative data source for LincPass credentialing
- Employee is Sponsored and Adjudicated once the data is submitted
- Employee receives notice to enroll at an Enrollment Station

Prerequisites:

Prior to performing any actions in the On-Boarding process, Sponsors and Adjudicators must meet the following prerequisites:

- Sponsored in USAccess
- Successfully completed the EmpowHR Sponsor or EmpowHR Adjudicator (whichever is appropriate for your role) training in AgLearn
- Designated as a Sponsor or Adjudicator (whichever is appropriate for your role) in USAccess by your Agency Role Administrator
- Received your USAccess user name and password

B. On-Boarding Business Process

B (i). Business Process Workflow

The figure below details the business process for on-boarding an Employee; it assumes a Background Investigation (BI) has been initiated and at least the Federal Bureau of Investigation (FBI) Fingerprint Check has been favorably adjudicated.
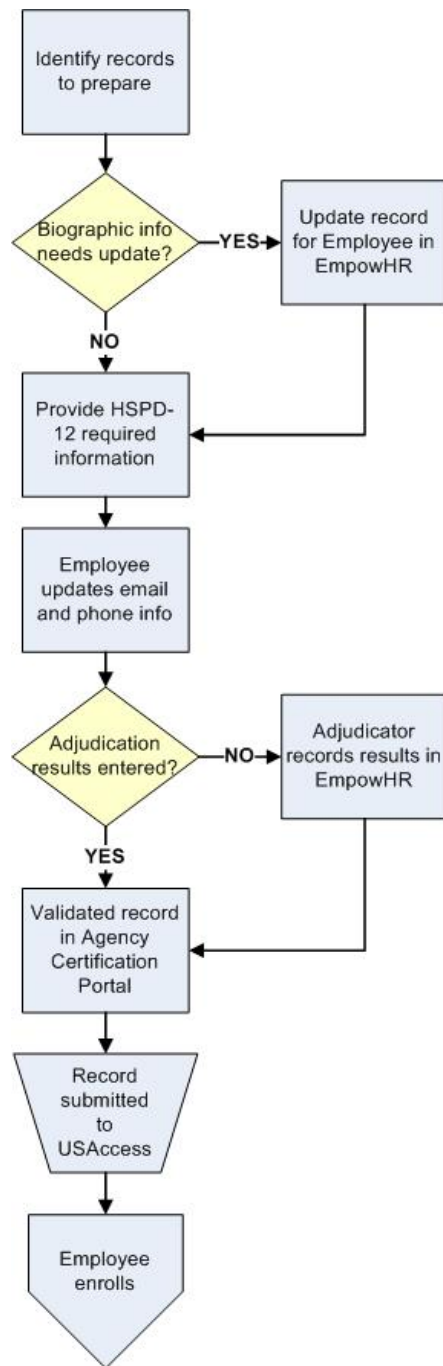

Figure 2: Business Process

1. Sponsor identifies the Employee record to prepare based on an active Employee's proximity to an Enrollment Station and if they already have a BI on file.

2. If the Employee's record requires updates to the required biographic information (e.g. name, home address, citizenship status, etc.), Sponsor makes the updates in EmpowHR. *If this is a new Employee, HR will create a new record in EmpowHR for this Employee.*

3. Sponsor provides the new HSPD-12 required information:

    a. Checking "LincPass Required"

    b. Indicating if Employee is an Emergency Response Official

    c. Card Shipping Address

4. The Employee verifies (and if necessary, updates) their business phone number and email address using EmpowHR's employee self-service module or via eAuthentication.

5. If the Employee's record in EmpowHR does not already contain their adjudication results, the Adjudicator enters the type of BI and results in EmpowHR**.

6. Sponsor validates the Employee's record in the HSPD-12 Agency Certification Portal to certify it as being complete and ready for submission to USAccess.

7. The record is submitted to USAccess and Sponsorship is now complete.

8. The Employee can then enroll after receiving notification from USAccess.

**If the Employee does not have a BI or record of it cannot be found, the BI should be initiated in conjunction with the data preparation and selection (Steps 1-4). Once at least the FBI Fingerprint Check is returned and favorably adjudicated, complete steps 5-7. The Employee's record can be updated at a later date after the full BI results have been favorably adjudicated.

B (ii). Additional Business Process Rules

1. Role Separation – Every record must be sponsored and adjudicated in EmpowHR by two *different* people. While a Sponsor can hold the Adjudicator role (and vice versa), a single person cannot perform both actions on the same Applicant record. Records sponsored and adjudicated by the same person will result in sponsorship being incomplete; thereby preventing the Applicant from enrolling.

2. Role Designation – Every Sponsor and Adjudicator must be designated in their role in USAccess by the agency's Role Administrator even though all sponsorship and adjudication actions occur within EmpowHR. Any new record submitted to USAccess that has been accessed by an undesignated Sponsor or Adjudicator will result in the record being set to sponsorship incomplete; thereby preventing the Applicant from being able to enroll.

3. Authoritative Data Source – EmpowHR serves as the authoritative data source for all sponsorship and adjudication information. Therefore all changes to sponsorship and adjudication data must be made in EmpowHR and not USAccess. Any data changed directly in USAccess will be overwritten by what is currently in EmpowHR.

Part 2: Detailed Instructions

I- *Select Records to Prepare*

The first step in the process is to identify Employee records to submit to USAccess. Sponsors should prioritize the records based on the following criteria:

- Enrollment Station location: Applicants need to utilize an operational Enrollment Station for Enrollment, so until the deployment of all Enrollment Stations is complete, Sponsor should focus on preparing records for Applicants located near currently deployed stations.

- Active Employees: From the employees located near an Enrollment Station, identify the Active employees who require a LincPass.

- US Citizens: Identify active employees that are US Citizens as USAccess currently does not accept records for non-citizens.

B. Verify and Update Records in EmpowHR

To complete this section, Sponsors and Employees will need to verify and update data in the following EmpowHR fields:

• Employee Status	• Citizenship Status
• SSN	• Business Email Address
• First Name	• Business Phone Number
• Middle Name	• Emergency Response Official
• Last Name	• LincPass Required
• Suffix	• Adjudication Information
• Date of Birth	• Card Shipping Address Code

It is important to note that all of these attributes can be entered with any regular PAR action, i.e. **Name Chg from**. However, if updating the new HSPD-12 fields not part of a PAR action, it is important that the data is entered from the Employee Security Clearance menu item. This does not require a separate PAR action but only needs to be saved once complete.

Prerequisites:
- You have access to and a user ID and password for USDA's EmpowHR system.

- You have BI (e.g., FBI or higher) adjudication information for these employees, either from Office of Personnel Management (OPM) records or USDA HR records.

- You have experience using EmpowHR, and have access to EmpowHR user guides and procedure manuals if needed.

- The Sponsor and Adjudicator are two *different* people. The Sponsor cannot Sponsor and Adjudicate the same record. If the same person does sponsor and adjudicate a record, then USAccess will set the sponsorship status to incomplete.

- Sponsor and Adjudicator are designated in their roles in USAccess by the Role Administrator (see Part 1, Section A).

B (i). Verify and/or Update Employee's Information in EmpowHR

The first step for Sponsors is to look up the Employee's record in EmpowHR and verify that all the information is correct. Sponsors should ensure that all required information is present and that it is correct for the Employee.

> **Note:** The screenshots used are from the EmpowHR test system. There may be slight variances in the EmpowHR production system you are using.
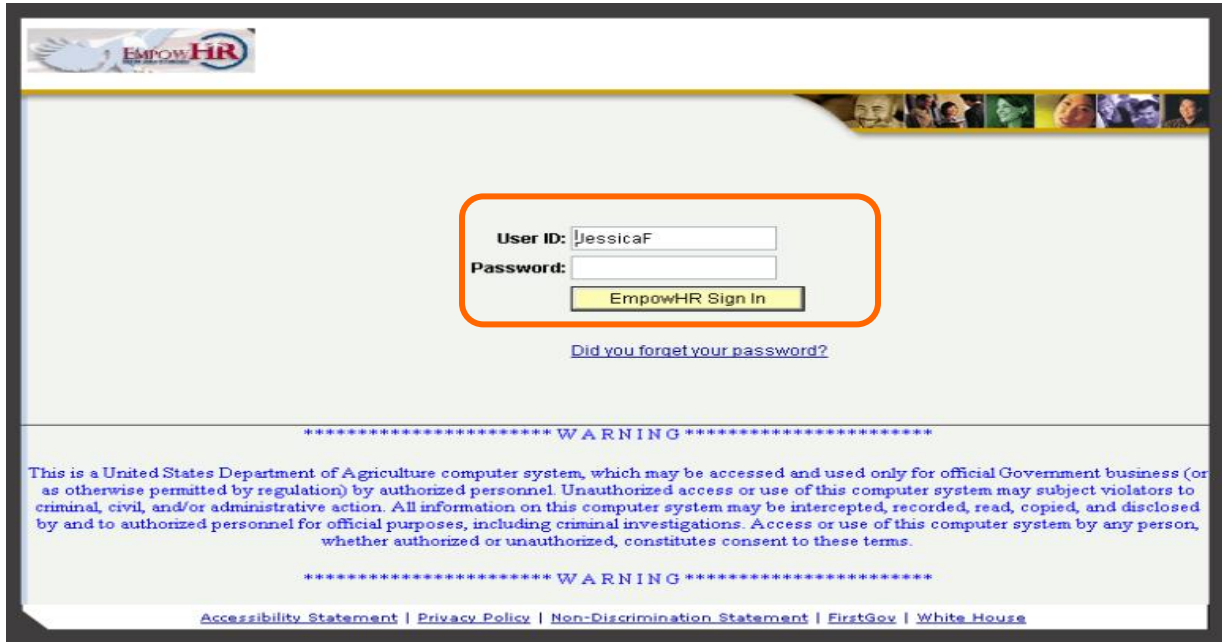

Figure 3: EmpowHR Login

Step 1. Sign in to the EmpowHR System with your **User ID** and **Password**.
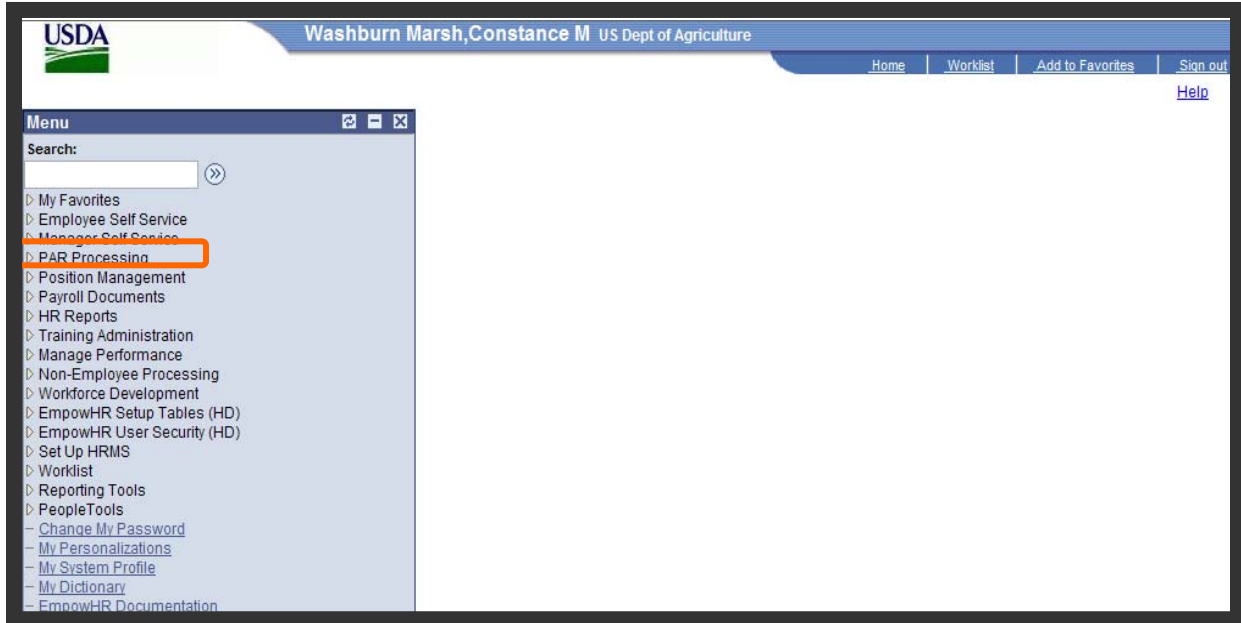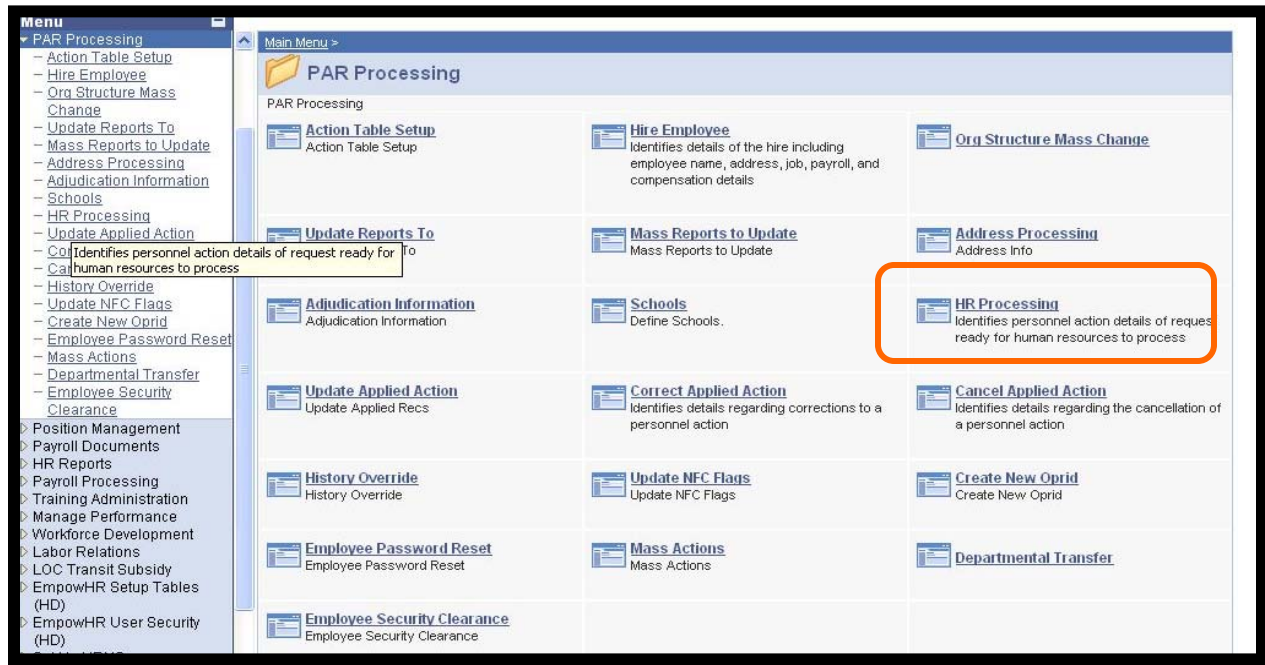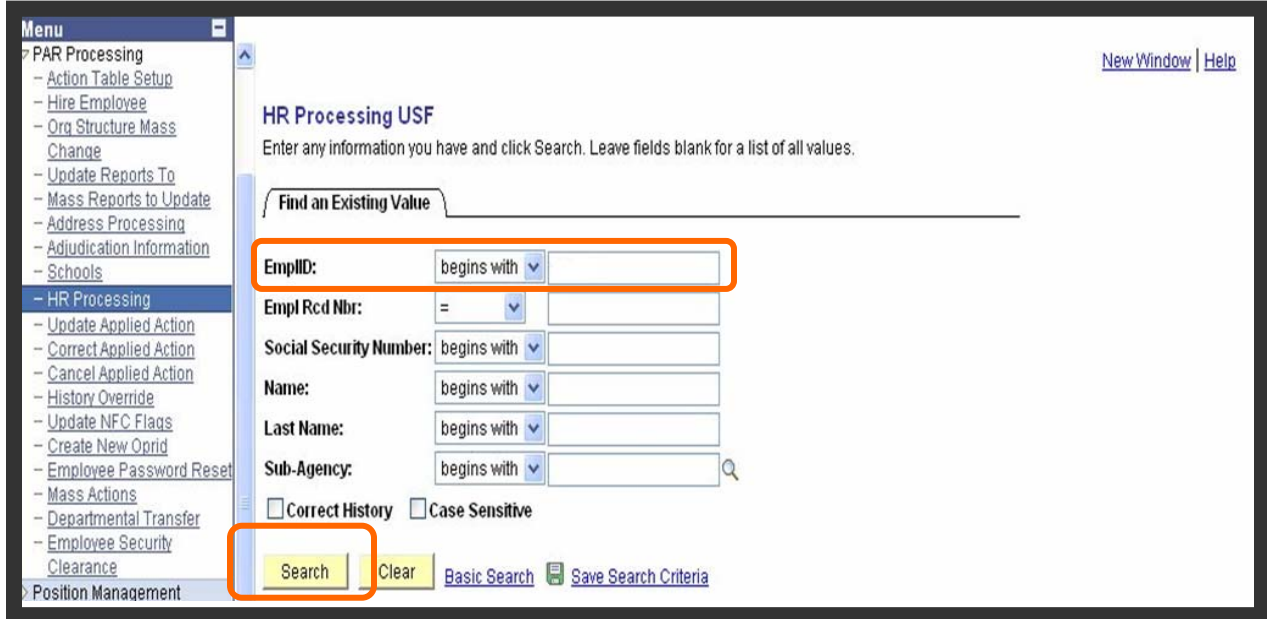
Figure 6: Employee Search

Step 4. The HR Processing USF appears. Enter the employee ID in the **EmplID** (required to Sponsor an employee) field.

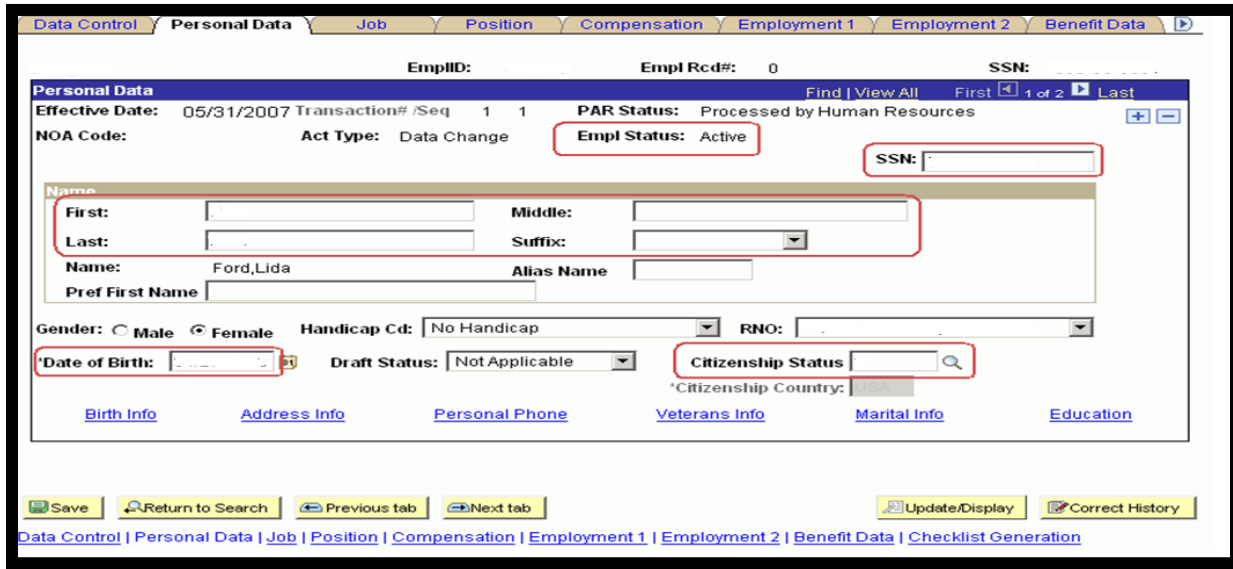**Step 5.** Click on the **Search** button.
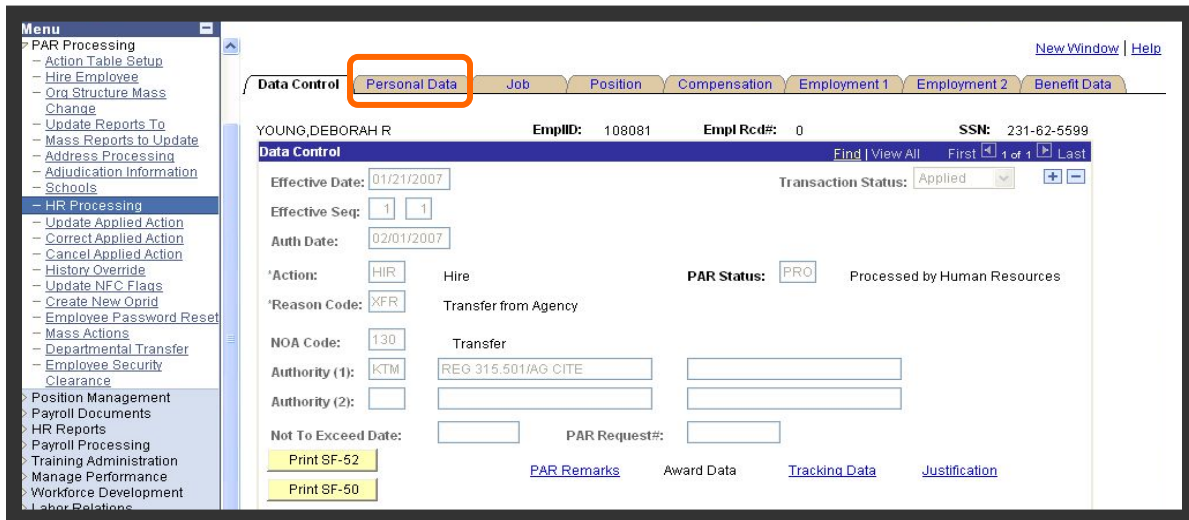
Figure 7: Data Control Screen

Step 6. Data Control screen displays. Click on the **Personal Data** tab to verify HSPD-12 required Data/Fields.

Figure 8: Verifying Personal Data

Step 7. Verify the following fields are correct and have data:

- Employee Status
- SSN
- First Name
- Middle Name
- Last Name
- Suffix
- Date of Birth
- Citizenship Status *

*If Citizenship Status is specified as anything other than 1 for U.S. Citizen, the Citizenship Country must be selected in the field below.

> **NOTE**: At this time, only US Citizens can be sponsored in USAccess. If the Applicant is not a US Citizen, the record will not be sent to USAccess.

If any of the Employee's information is missing or incorrect, standard EmpowHR PAR Action Procedures should be followed for making the necessary changes and saving the record. For example, Name changes should be done according to the **Name Chg from** Action and Date of Birth or Citizenship Status changes should be done according to the **Data Change** Action.

Figure 9: Updating Personal Data

Step 8. Update the information where necessary and then click the **Save** button to save your changes.

> **Note:** If the employee does not have a completed FBI background investigation or higher, the Birth Info link will need to be clicked and the three birth location information fields will need to be populated.

B (ii). Provide Sponsorship Information in EmpowHR

Figure 10: Security Clearance Link

Step 1. Go back to the PAR Processing screen and click the link for **Employee Security Clearance.**

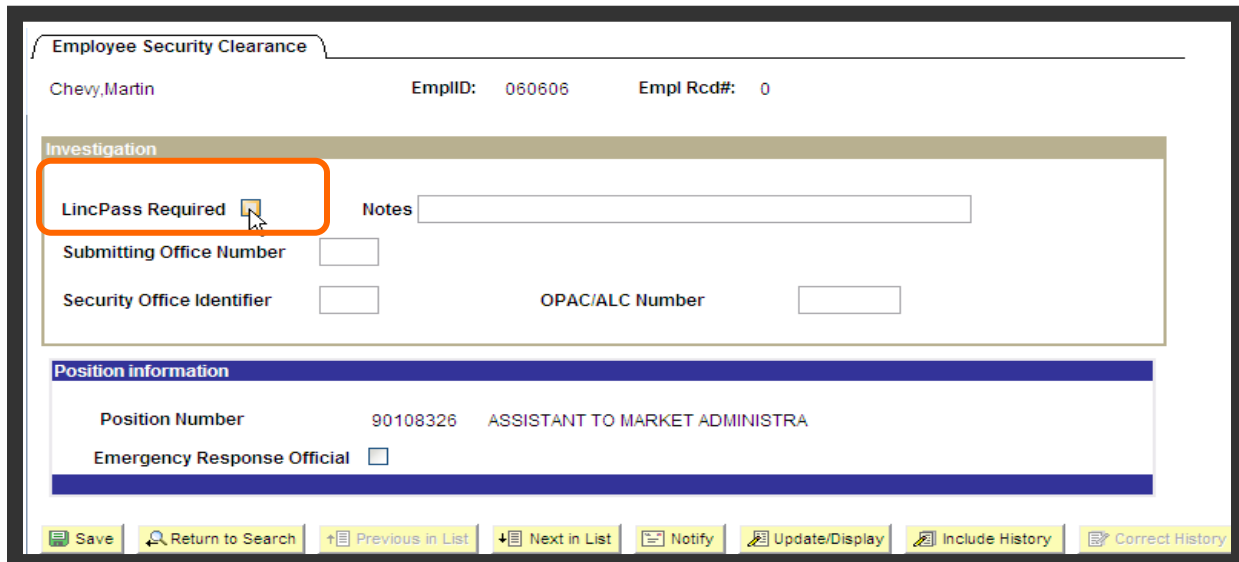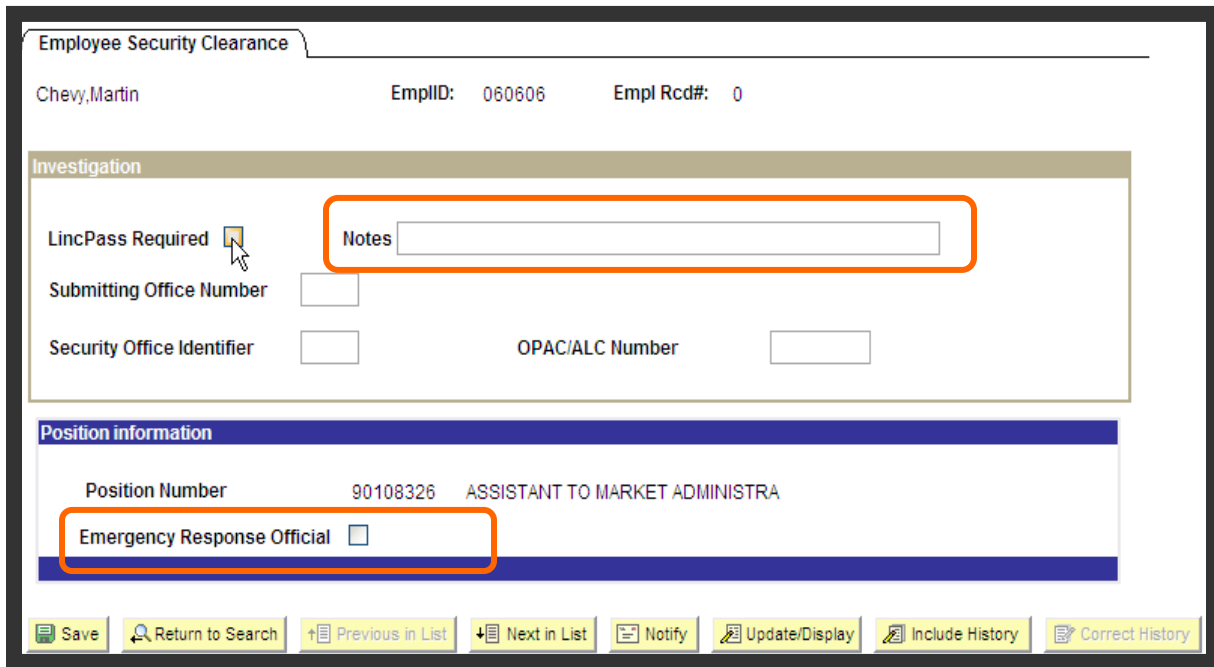**Step 2.** Use the search field to locate the employee's record.

Figure 11: LincPass Required Checkbox

Step 3. In the Investigation block, click the **LincPass Required** checkbox.

Figure 12: Completing Security Clearance Screen

Step 4. You may optionally enter data in the **Notes** field.

> **Note:** If the employee has not completed his/her background investigation, the Employee's Submitting Office Number (SON), Security Office Identifier (SOI) and OPAC/ALC must also be entered.

Step 5. Click on **Emergency Response Official** check box if applicable.
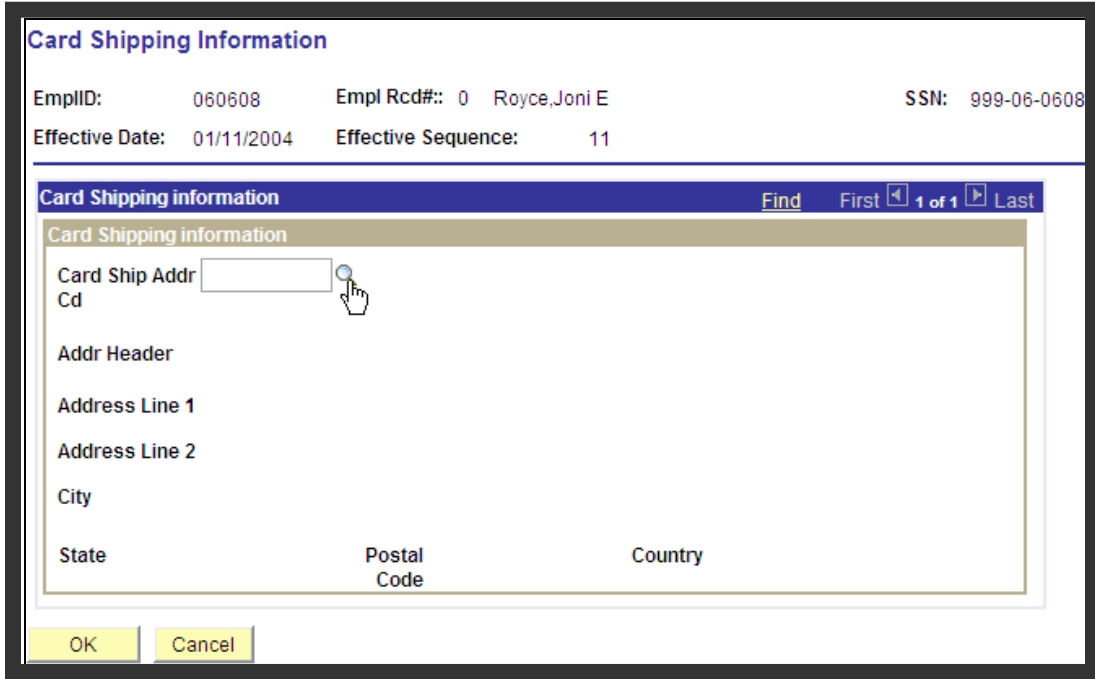
Figure 13: Card Shipping Information

Step 6. Use the Card Activation Information link to specify the Card Shipping Address Code. This will be the site that the HSPD-12 LincPass will be delivered to for activation. For example, if an employee is in Fort Collins, CO, you should specify this location as the Card Shipping Address. Use the lookup feature to find the appropriate code.

> **Note**: If the Applicant's work location is serviced by a mobile enrollment station, please be sure to select the 40003 "USDA – Mobile Circuits" shipping code. Applicants with the mobile shipping code receive a different enrollment notification template with instructions specific to mobile enrollment.

Step 7. Save the updates by clicking the **Save** button.

Step 8. Click on **PAR Processing**.

> **Note:** The address selected is where the card will be delivered, but does not dictate where the Applicant will enroll. Applicants have the choice to enroll at any station of their choosing.

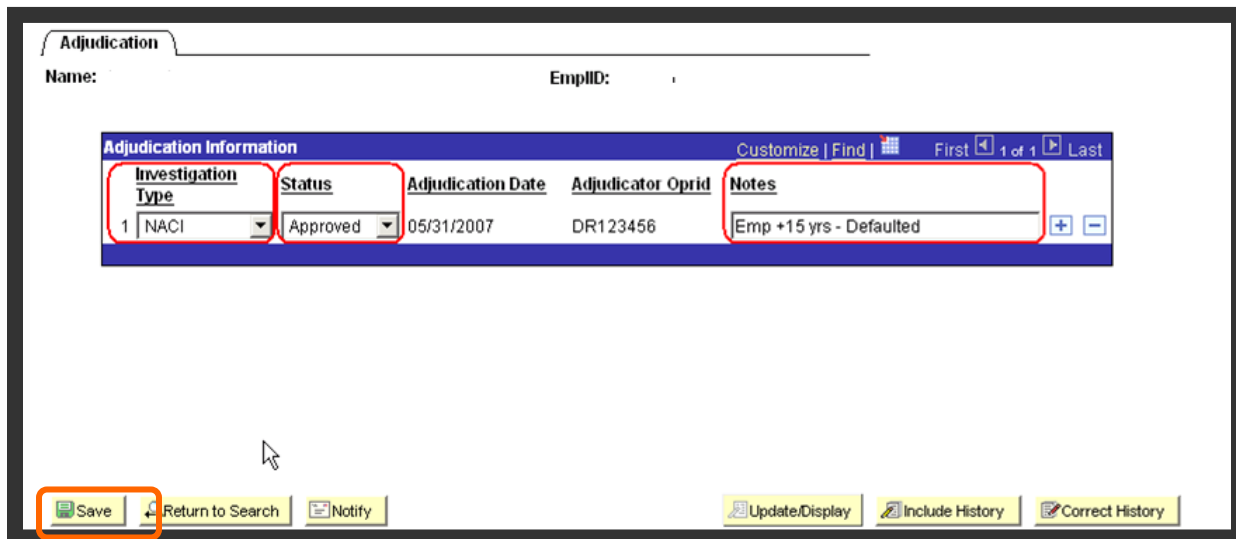**B (iii). Verify and/or Update Adjudication Information in EmpowHR**

Important: The Sponsor and Adjudicator must be two *different* people. If the same person sponsors and adjudicates a record, then USAccess will not permit a complete sponsorship.

Figure 14: Adjudication Information Link

Step 1. Click the link for **Adjudication Information**.

Step 2. Search for the Employee in the **Begins with** field.

Figure 15: Completing the Adjudication Information Screen

Step 3. **Investigation Type**: Use the drop-down list to select the appropriate Investigation Type the employee has completed. If the employees completed background investigation is not in the drop-down list because it is higher than a NACI, select the "**NACI**" option because that is the highest background investigation level that HSPD-12 is concerned with.

Step 4. Status: Use the drop-down list to select the "**Approved**" option for confirmed background investigation.

Step 5. Notes: This field can be used to enter in the true adjudicator name and actual adjudication date.

> **Note: Adjudication Date** and **Adjudicator OprID** are populated by the system.

Step 6. Save the updates by clicking the **Save** button.

> **Note:** Note: It is critical that the highest level of positive adjudication is always in the system. For example, if an employee has passed a NACI investigation but fails on a Top Secret, the positive NACI adjudication must be entered into the system to ensure the employee gets a LincPass and that the card stays active.

C. Update Employee Personal Information

Sponsors should contact the Employee after preparing their data in EmpowHR in order to have the Employee verify and update their business email and phone number.

If the Applicant has a work email address, it should be up to date so that they can receive emails from USAccess and can use the digital signature and encryption certificates when that functionality is implemented. If their record does not have an email address, but the Employee does have a work email address be sure to update the record so that it is included.

If the Applicant does not have a work email address (and does not have the need for one), the Sponsor will need to indicate in USAccess that the Applicant does not have a work email address and that only 2 of the 4 digital certificates are required. This step will need to be performed in USAccess after the record has been sent to USAccess. See Part 3, Section B for information on how to do this.

> **Note:** The email address in EmpowHR takes precedence over the email address in eAuthentication. The EmpowHR email address will be used for the Applicant's Sponsorship record. If there is no email address in EmpowHR, then the eAuthentication email address will be used for the Applicant's Sponsorship record.
>
> If the email address is updated and the changes are not reflected in the ACP or USAccess, have the employee change their email address using the EmpowHR "My System Profile" feature instead. If this still does not work, you (the Sponsor) should contact the NFC EmpowHR help desk.

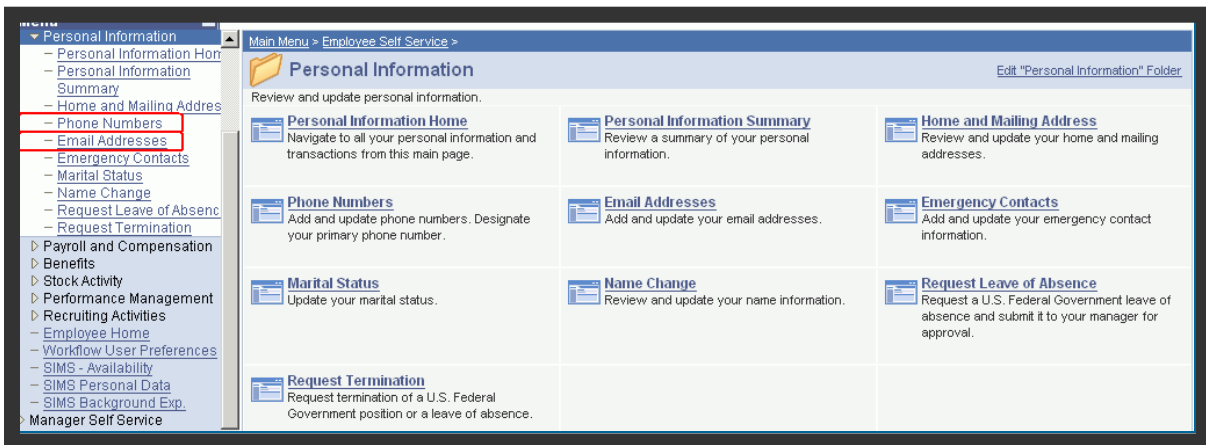### C (i). Employees who use EmpowHR's Self-Service Module:

Figure 16: Self-Service Menu

Step 1. From EmpowHR's left side menu, click Employee Self Service, then click the **Personal Information** link.

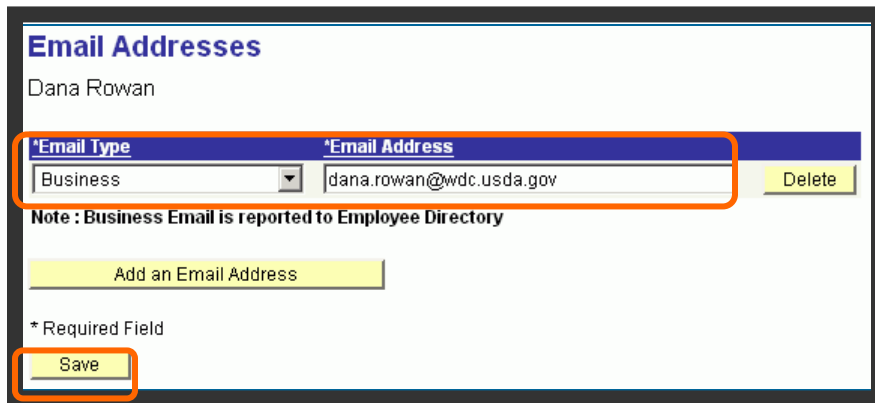**Step 2.** To verify/update your business email address, click the Email Addresses link.

Figure 17: Updating Business Email

Step 3. In the *Email Type* column, use the drop-down list to select "**Business**," then enter your current business email address in the Email Address field. Click the **Save** button.
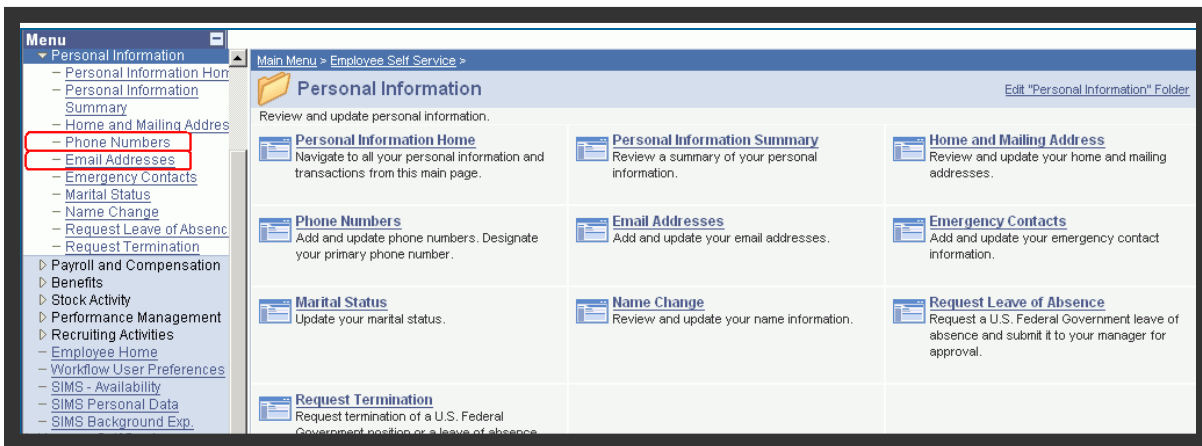

Figure 18: Self-Service Menu

Step 4. From EmpowHR's left side menu, click the Phone Numbers link.

Figure 19: Updating Business Phone No.

Step 5. In the Phone Type column, use the use the drop-down list to select "**Business**," then enter your current business phone number in the Telephone field. Click the **Save** button.

C (ii). Employees who use eAuthentication:

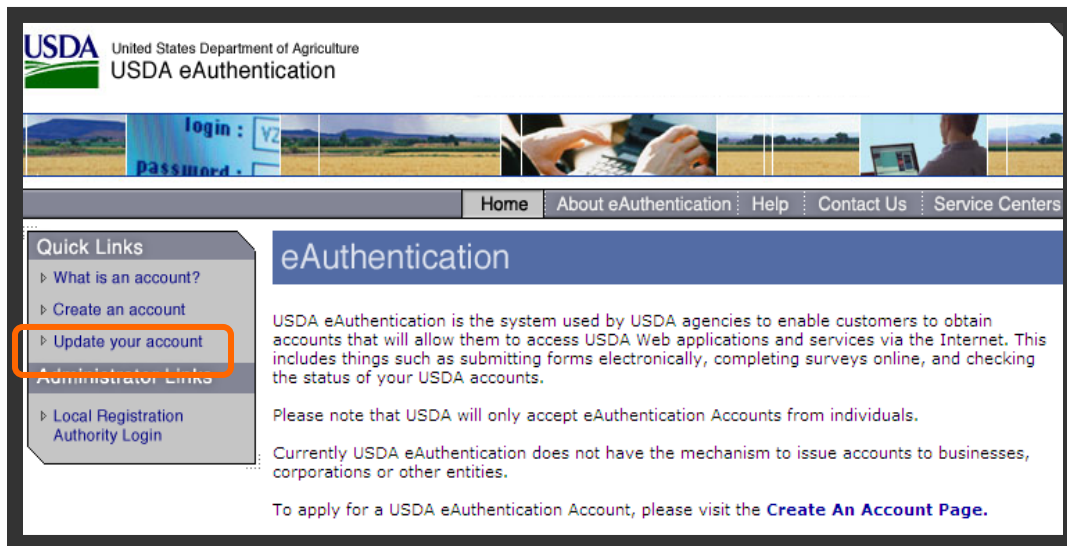For eAuthentication help, please see the eAuthentication Help page:
http://www.eauth.egov.usda.gov/eauthHelp.html

Figure 20: eAuthentication Screen

Step 1. Browse to http://www.eauth.egov.usda.gov
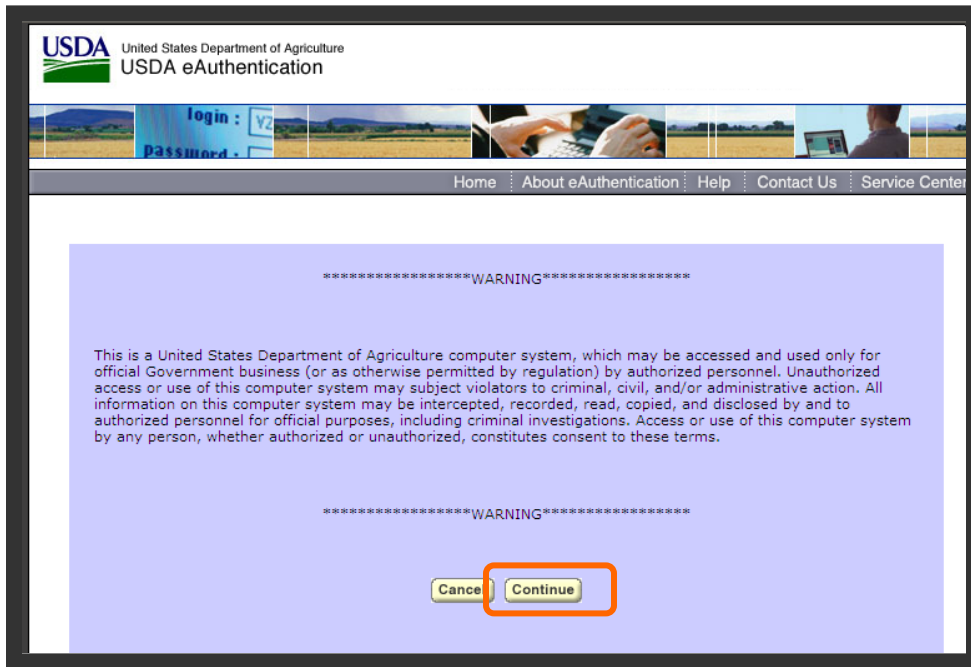
Step 2. Click on "Update Your Account".

Figure 21: eAuthentication Warning Screen

Step 3. Click "Continue" at the purple *Warning* screen.
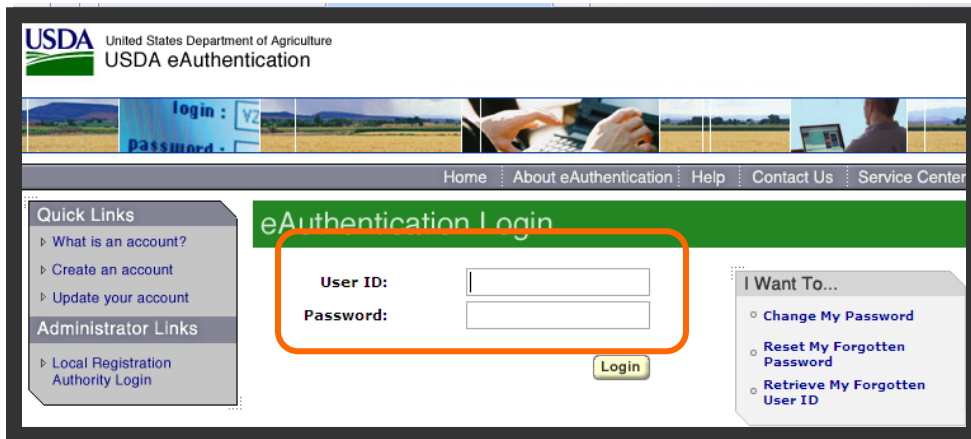

Figure 22: eAuthentication Log-in Screen

Step 4. Log in with your eAuthentication User ID and password. The "Welcome to IdentityMinder" screen will display.

Note: The Employee MUST have a single Employee-type eAuthentication account (not a webuser or other type of account or more than one account) in order for the email address in eAuthentication to be used for the Employee's Sponsorship record.
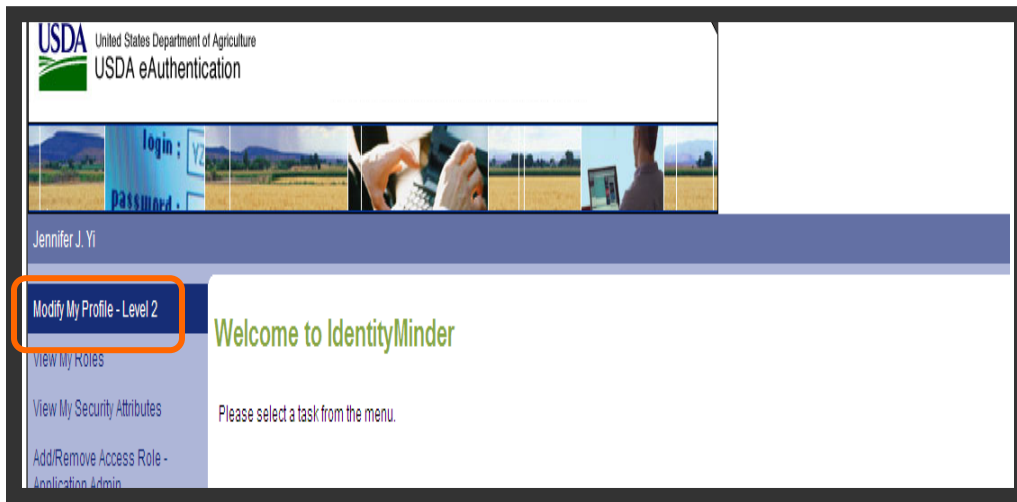
Figure 23: eAuthentication "Modify My Profile" screen

Step 5. Click on "Modify my profile".

Figure 24: Change Info in eAuthentication

Step 6. Make desired changes in the online form, and then click the "submit" button in the bottom right corner to save the information.

Step 7. You may now click on "Logout" (in the upper right corner) to log out.

> **Note:** It may take up to a day for changes made in eAuthentication to appear in the Agency Certification Portal.

D. Certify Prepared Records in the Agency Certification Portal

This section provides instructions and screenshots for Sponsors on how to find and select Employee records for submission to USAccess and to view the records already submitted. The HSPD-12 agency certification portal is a simple Web-based application for the first-time submission of employee records to USAccess. Once a record has been submitted for the first time, updates made in EmpowHR will automatically flow to USAccess and there is no need to resubmit the record via the HSPD-12 Agency Certification Portal.

It is important to note that there is no ability to input data into the portal but only to check those records that are ready to go to USAccess.

It is also important to note that the Certification Portal will only send records to USAccess for Employees located near a currently deployed Enrollment Station. You may prepare records for Employees in any location; however the Certification Portal will not allow those records to be sent to USAccess until there is a station deployed near the Employee.

The URL to access this site is: https://hspd12p.sc.egov.usda.gov/hspd12preparedness/

Prerequisites:

- All Sponsors and Adjudicators must be designated as role holders within the USAccess system. Every role holder must be designated in their role in USAccess by your agency's Role Administrator (see Part 1, Section A).

- You have a Level 2 eAuthentication ID and have been granted access to the Agency Certification portal (See Part 4 for requesting access).

- You have been designated as the individual for your agency for the submittal process.

- Data preparation has been completed for the employee records following the procedures in Part 2, Sections B and C. Once you submit the employee records from this portal, they will be sent to GSA.

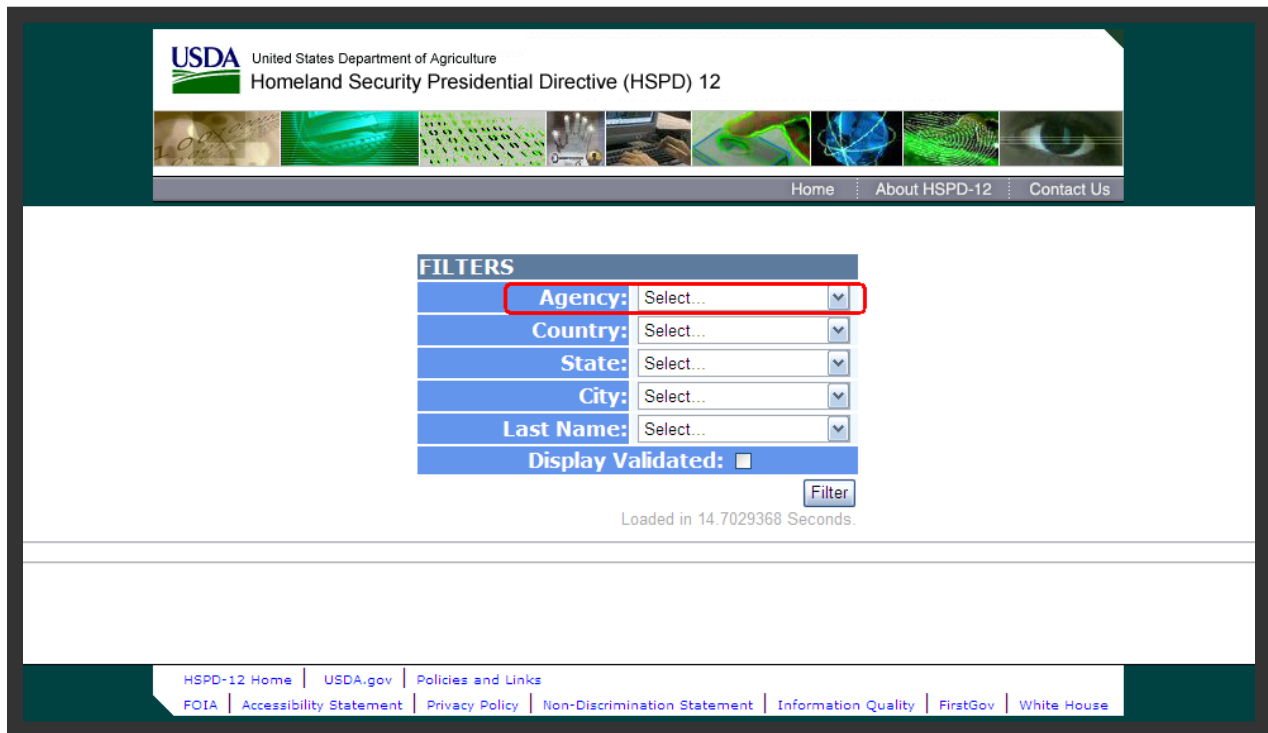**D (i). Certifying and Submitting New Records**

Figure 25: Certification Portal Search Menu

Step 1. First, use the Agency drop-down list to select the agency records you want to work with. (You will only see the agency or agencies to which you have been assigned.)

Step 2. Once agency is selected, the contents of the Country, State, and City drop-down list changes to reflect only those available for the agency you selected. For example, if you select an agency that is only in one country, two states, and four cities, the Country, State, and City drop-down list will only have those choices.

Step 3. The Last Name filter allows you to skip to employees with a Last Name starting with the letter specified. This makes it easier to scroll through records if you're searching for a specific employee.

Note: Unlike the Agency drop-down list, the selections you make in the Country, State, and City drop-down list have no effect on the contents of each other. Also, the application won't prevent you from selecting a state of "Colorado" and a city of "Kansas City," it will simply tell you "No records found."

Figure 26: Search Results

Step 4. Once you select an agency, the portal will automatically list all the employees it has for that agency. The portal displays 25 records at a time (you may need to scroll down to see them all). The following example shows records filtered by Agency, City, and State.

Step 5. The employee records are listed alphabetically by employee last name. At the top and bottom of the screen are the page numbers for the first 10 groups of 25 records. Click a page number to display that group of records. Clicking the ellipses (…) will take you to the next set of 10 page numbers.

Figure 27: Select Records

Step 6. Click the checkbox to the left of the employee name to select employees to submit for processing.

Step 7. Click the **Submit Selected Records for Processing** button. The page will redisplay, and that employee's record will no longer be on the list.

> **WARNING:** The warning at the bottom of the screen is serious. Be **very sure** the records you select and submit are ready for processing. Once submitted, there is no way to "un-submit" the records. If the Employee's work location or card ship location is in the vicinity of an open Enrollment Station, the record will be sent to USAccess and the Enrollment notification email to the Employee Applicant will be sent.
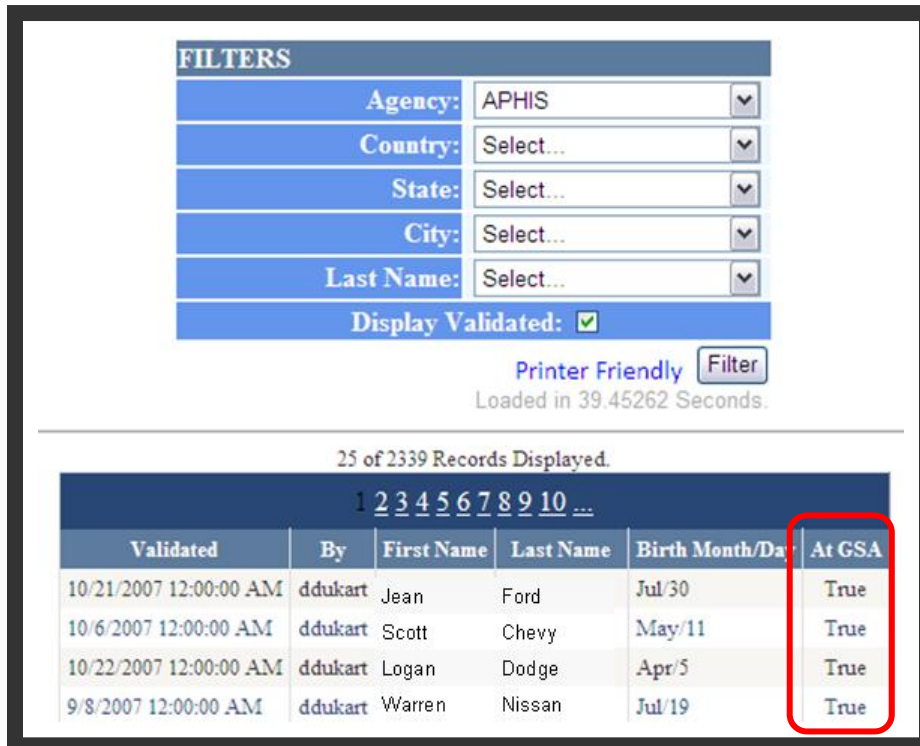
> On-boarding of the Employee is now complete. The Employee has been Sponsored and Adjudicated and placed into the USAccess system. They will now receive an email from USAccess telling them that they can enroll and should schedule an Enrollment appointment through the GSA scheduling tool.

Part 3: Post Agency Certification Validation Steps

A.   Viewing Status of Validated Records

A (i). Viewing Previously Validated Records via the ACP

The Agency Certification Portal allows you to separately view records that you have already validated. Once you validate a record, it "drops off" of the main list of employees in your agency and moves to the "Validated" list.

Figure 28: Previously Submitted Records List

Step 1. To display records that have already been validated, use the filter drop-down list at the top of the screen to select the agency (and country, state, and city if needed), click the **Display Validated** option, then click the **Filter** button.

Step 2. The display shows the records already validated for this agency, and also shows when the record was submitted and the user name of the employee who did the validation. To return to the display of not-yet-validated records, simply remove the checkmark in the **Display Validated** field and click the **Filter** button.

Step 3. The column on the end of this table titled **At GSA** has been added. This column provides a status for each record as to whether it has been sent to GSA or not.

- If **At GSA** is set to "FALSE" – Applicant record is not in the USAccess system and the Applicant is not sponsored. The enrollment email has not been sent to Employee yet.

- If **At GSA** is set to "TRUE**"** – Applicant's record has been sent to USAccess and is now sponsored. The Enrollment email has been sent to Employee
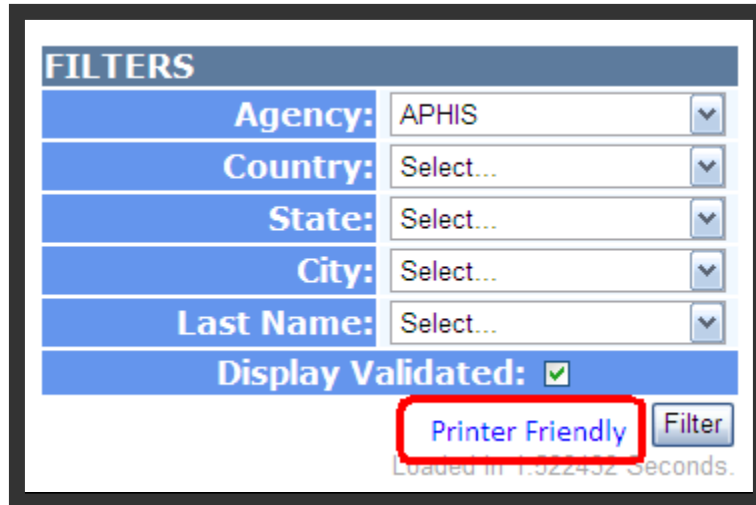

Figure 29: Display Validated Link

Step 4. A **Printer Friendly** link has been added to both the Record Validation and the Display Validated screens. To print the records on a page, click the **Printer Friendly** link and the page will reformat as shown below and can be printed out easily for a quick report.
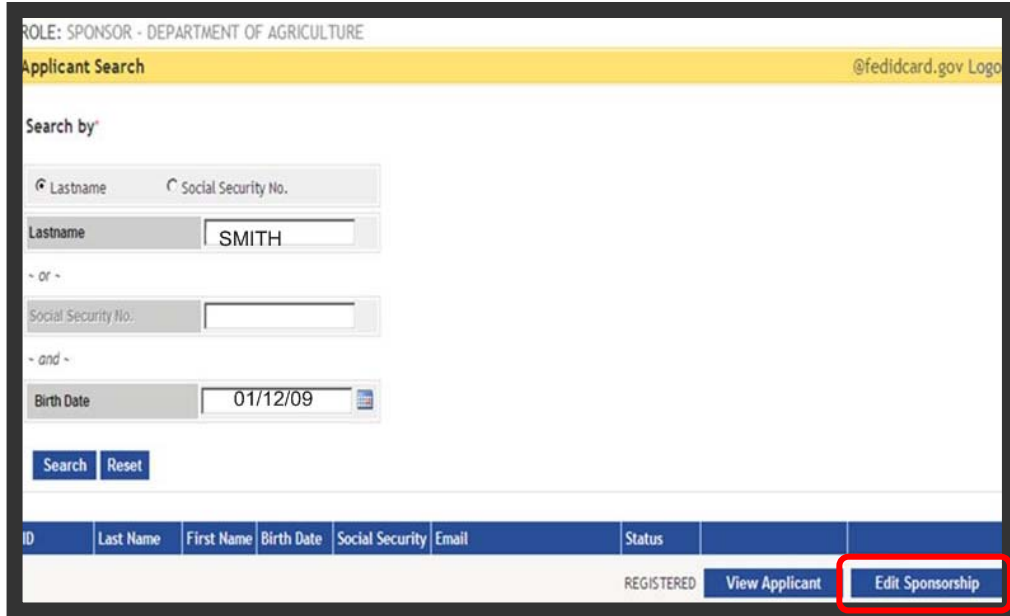
Figure 30: Printer Friendly View

A (ii). Viewing Previously Validated Records via the Applicant Status Report

An alternative to checking status via the ACP's validated list is by looking in the USAccess Applicant Status report. If an Applicant is in the report, they have been sent to GSA. You can also see via the report's Sponsorship Status column whether their sponsorship is complete or not. Please see the "Using the Applicant Status Report" guide on the USDA HSPD-12 website's "Training" page for directions on accessing the report.

B. Addressing Applicants without Email Addresses

If you have Applicants that do not (and should not) have an email address associated with their record, you must perform an additional step in USAccess after the record is sent to USAccess. You will need to manually indicate that they only need 2 of the 4 certificates issued on the LincPass because the Applicant does not have an email address.

Figure 31: USAccess Applicant Search

Step 1. Search for the Applicant in USAccess and then click "Edit Sponsorship" when their record is found.

Figure 32: Indicate 2 certificates needed

Step 2. Since the Applicant does not have an email address, the **Work Email** field is blank. Click the "No" radio button under **Require Digital Signature and Encryption Certificates**.

Figure 33: Save Screen

Step 3. Keep clicking the **Next** button to get to the last screen and save the changes.

Part 4: On-Boarding FAQ

The Frequently Asked Questions have been integrated into the Sponsor FAQ document on the USDA HSPD-12 website's "FAQ" page.

Appendix A – On-boarding Checklist

The following table can be used as a checklist by Sponsors as they work through the on-boarding process for an Employee.

Step	Instructions	Complete
HR Instructions		
1	Identify records based on Enrollment Station Location.	
2	Identify active employees within your agency (or supported agency) who should receive an HSPD-12 LincPass.	
3	Identify US citizens from the active employees	
4	Identify Federal Employees from that location that have successfully completed an FBI or higher background investigation.	
5	Verify accuracy of employee name information in EmpowHR. Fix issues for all employees (i.e. Suffix combined in last name field) in the EmpowHR system following the instructions in Part 2, Section B(i).	
6	Provide Sponsorship related information such as LincPass Required, Emergency Response official, and Card Shipping info in EmpowHR following the instructions in Part 2, Section B(ii).	
7	Verify adjudication result has been entered into EmpowHR, if it hasn't, update those records following the instructions in Part 2, Section B (iii).	
Employee Instructions		
8	Update Business Email and Phone using EmpowHR's Self-Service module or eAuthentication following the instructions in Part 2, Section C.	
HR Instructions		
9	Ensure you have access to the Agency Certification Portal (See Part 4 for requesting access). (https://hspd12p.sc.egov.usda.gov/hspd12preparedness/)	
10	Flag, certify and submit the prepared records following the instructions in Part 2, Section D (i).	
11	Review record status and make updates to email certificates, if necessary	