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

Prepared for

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

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Table of Contents

List of Figures

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 and notes that records of non-US citizens are not currently being processed
3.1	7/16/2008	Added additional FAQ, updated business process flow diagram
3.2	8/14/2008	Updated sponsor screens; added instructions for applicants who do not have email addresses. Moved all FAQ to the Sponsor FAQ document on the USDA LincPass website

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 Payroll Personnel-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.   When finished with this process HR Personnel will have

- 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

Payroll Personnel for technical questions/issues with PayPers):
- Call the Operations and Security Center (OSC) Help Desk at 1-800-767-9641

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

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

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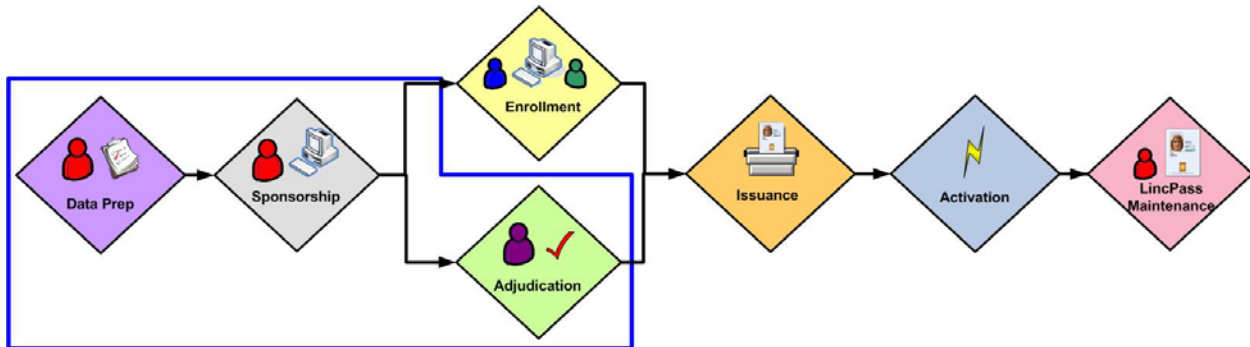
Part I: Overview and Business Process

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:

- HR personnel select records to prepare and then review and update data
- HR personnel submit the data to USAccess via the Agency Certification Portal in order to provide an authoritative data source for LincPass credentialing
- HR personnel "complete" sponsorship of the Applicant in USAccess and provide Adjudication information
- 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 USAccess Sponsor or USAccess 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.
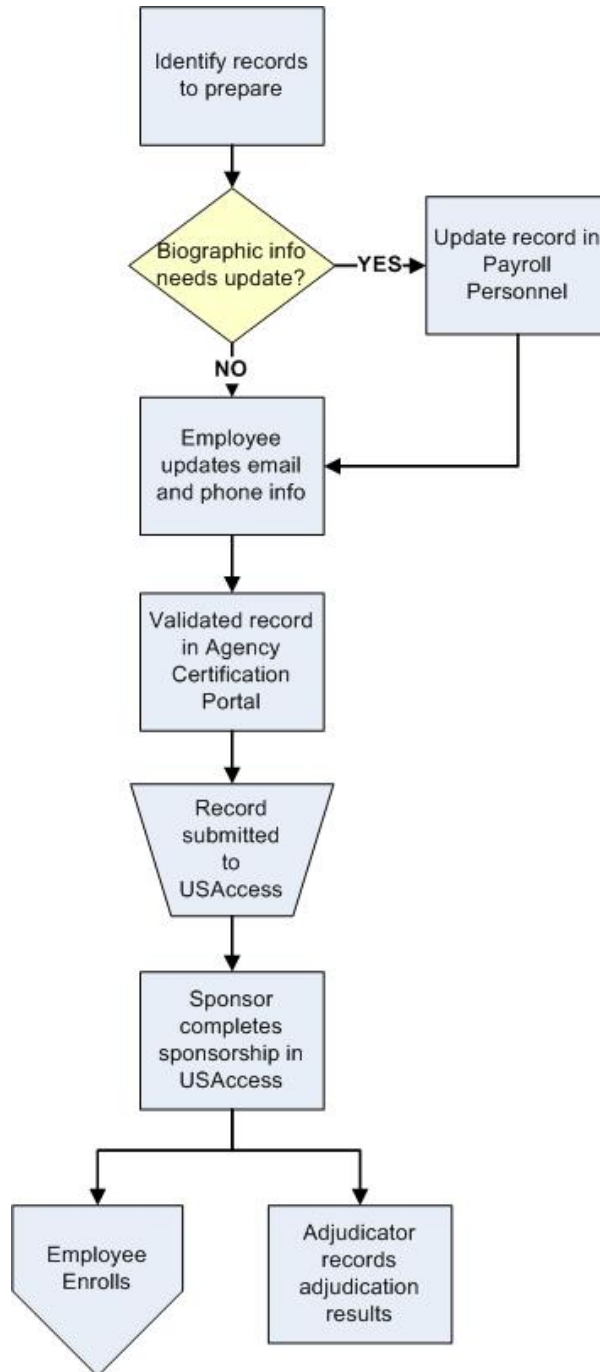

Figure 2: Business Process

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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 (i.e. to Name and citizenship status), Sponsor makes the updates in Payroll Personnel. *If this is a new Employee, HR will create their HR record for the first time.*

3. The Employee verifies (and if necessary, updates) their Business phone number and email address using eAuthentication.

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

5. The record is submitted to USAccess.

6. In USAccess, Sponsor verifies the submitted data and completes the required Sponsorship fields.

7. The Employee receives an Enrollment email notice instructing them to enroll. At the same time, the Adjudicator enters the BI adjudication results into 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 steps in Payroll Personnel. Once at least the FBI Fingerprint Check is favorably adjudicated, the results can be entered into USAccess (Step 7). When the full BI results are favorably adjudicated, the Adjudicator can update the Employee's record in USAccess.

B (ii). Additional Business Process Rules

1. Role Separation – Every record must be sponsored and adjudicated 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. Role Holders will not be able to access USAccess until they are designated.

3. Authoritative Data Source – Payroll Personnel serves as the authoritative data source for all the biographic and sponsorship information except for what is supplied in Step 6 in the above workflow. Therefore all changes to this data must be made in Payroll Personnel (or eAuthentication for email address) and not USAccess. Any data not supplied in Step 6 must be changed directly in USAccess will be overwritten by what is currently in Payroll Personnel.

Part 2: Detailed Instructions

A. Select Records to Prepare

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

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

- <u>Active Employee</u>s: From the employees located near an Enrollment Station, identify the Active employees who require a LincPass

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

B. Verify and Update Records in Payroll Personnel

To complete this section, HR Personnel and Employees will need to verify and update the following through the appropriate front-end system (e.g. EPIC) that feeds Payroll Personnel:

|	
• Employee Status	• Citizenship Status
• SSN	• Business Email Address
• First Name	• Business Phone Number
• Middle Name	• Date of Birth
• Last Name	• Suffix

C. Update Employee Business Email/Phone via eAuthentication

Once an Employee's information is verified and updated in Payroll Personnel, the Sponsor should send the instructions in this section to the Employee to verify and if necessary, update their Business Email and Phone number through eAuthentication.

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 Section E for information on how to do this.
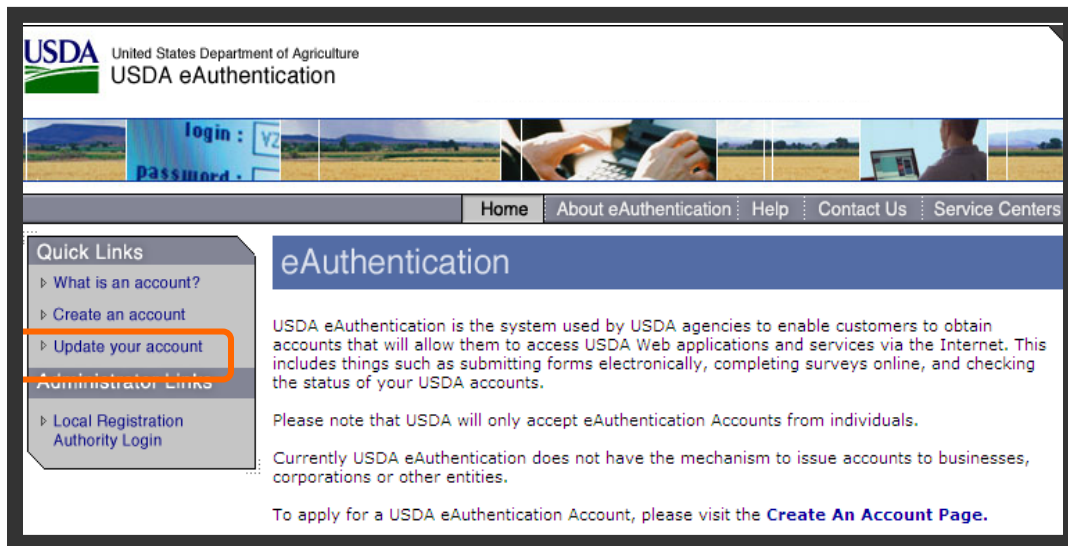
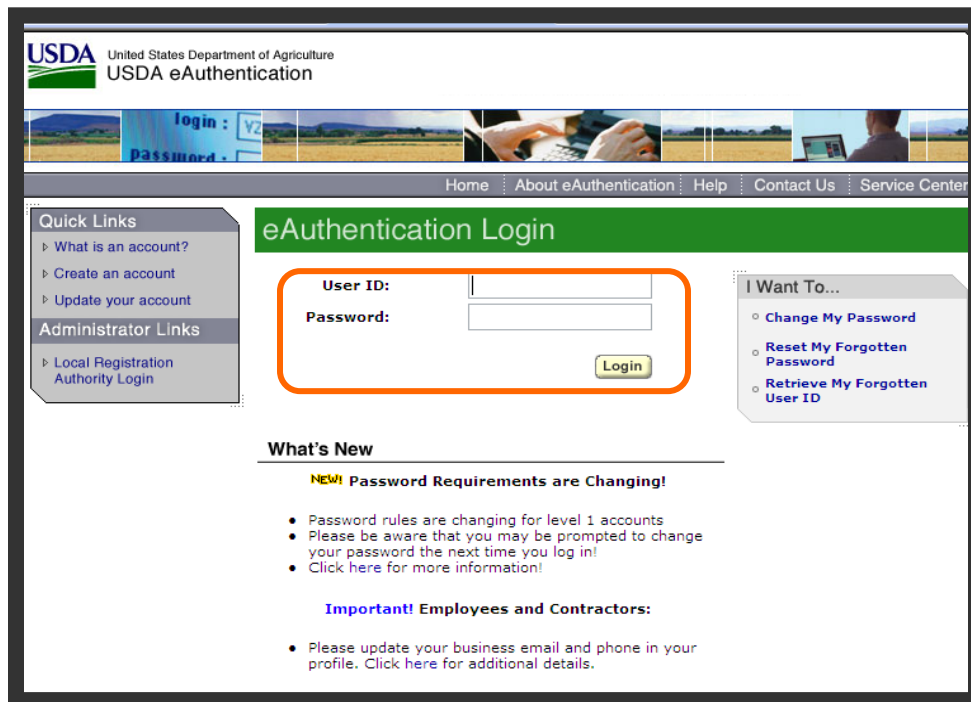
Figure 3: eAuthentication Screen

Step 1. Browse to http://www.eauth.egov.usda.gov

Step 2. Click on "Update Your Account".
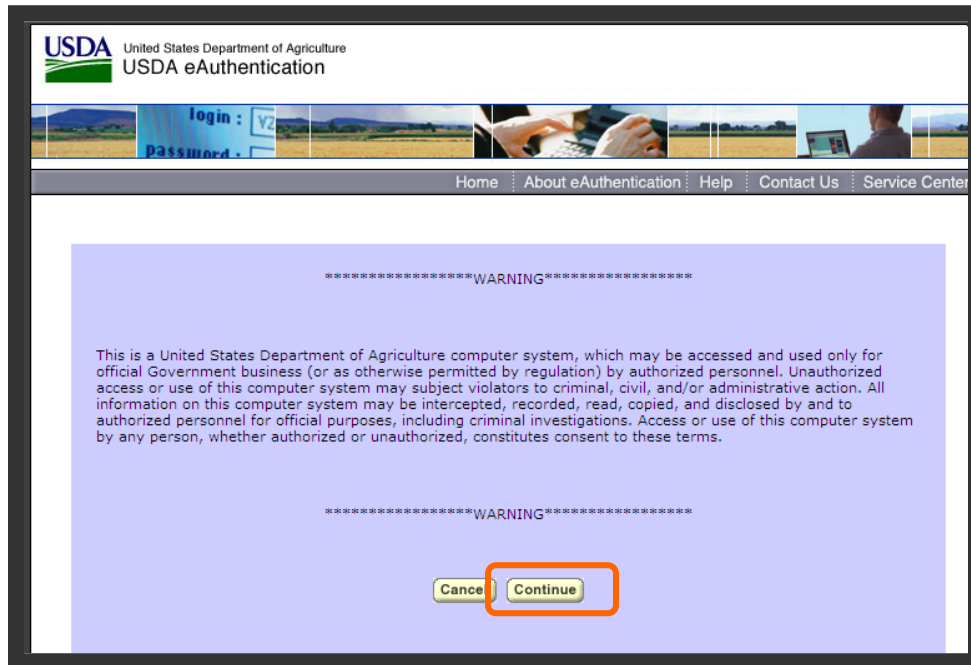
Figure 4: eAuthentication Warning Screen

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

Figure 5: 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 an Employee eAuthentication account (not a webuser or other type of account) in order for the email address in eAuthentication to be used for the Employee's Sponsorship record.

Figure 6: eAuthentication Welcome Page

Step 5. Click on "Modify my profile".

Figure 7: eAuthentication Modify Profile

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 Payroll Personnel will automatically flow to USAccess and there is no need to resubmit the record via the HSPD-12 Agency Certification Portal.
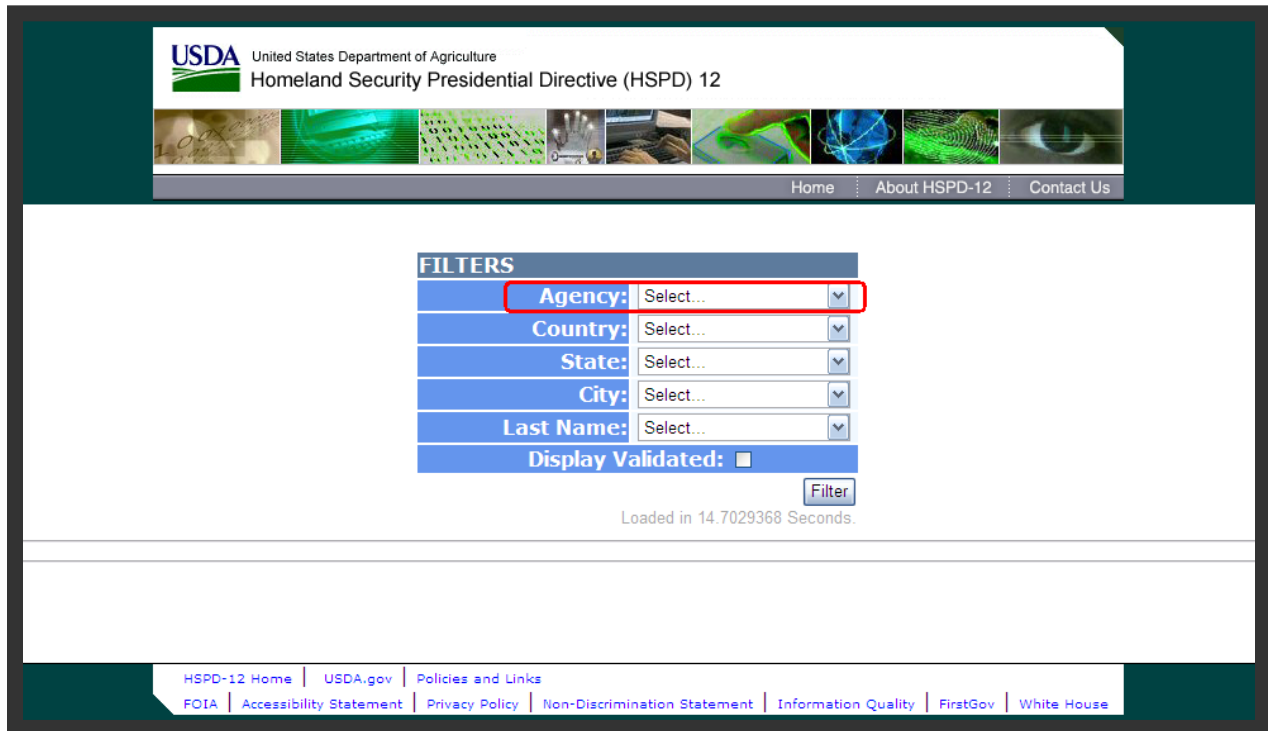
It is important to note that there is no ability to input data into the portal but only to check those records that are ready to go to USAccess.

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

Prerequisites:

- You have a Level 2 eAuthentication ID and have been granted access to the Agency Certification portal (See Part 3 for requesting access).

- You have been designated as the individual for your agency for the submittal process. If you have questions regarding this, contact the USDA HSPD-12 Help Desk

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

D (i). Certifying and Submitting New Records

Figure 8: 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 9: 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.
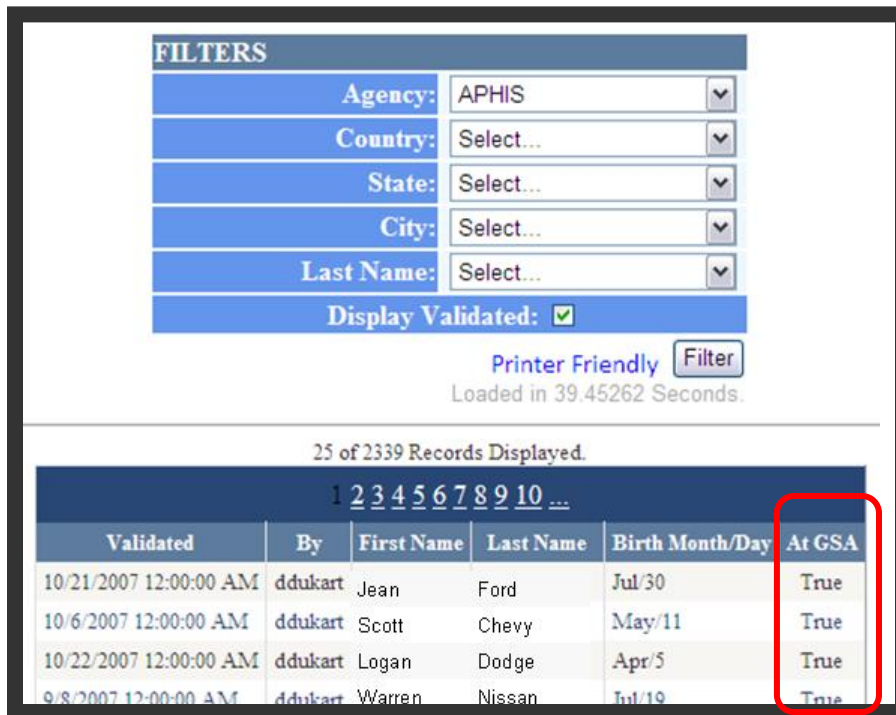
Figure 10: Select Records

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.

> **Important:** Don't submit employee records if they don't have a valid email address. See Part 3: On-Boarding FAQ, for what to do if an employee record has a missing or incorrect email address.

> **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 and the record will be sent to USAccess.

D (ii). Viewing Previously Submitted Records

Figure 11: Previously Submitted Records List

Step 1. To display records that have already been submitted, 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 submitted for this agency, and also shows when the record was submitted and the user name of the employee who did the submitting. To return to the display of not-yet-submitted 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" – The record has not been sent to USAccess yet and the Sponsor cannot complete sponsorship yet in USAccess.

If **At GSA** is set to "TRUE" – The record has been sent to USAccess and Sponsorship can now be completed.
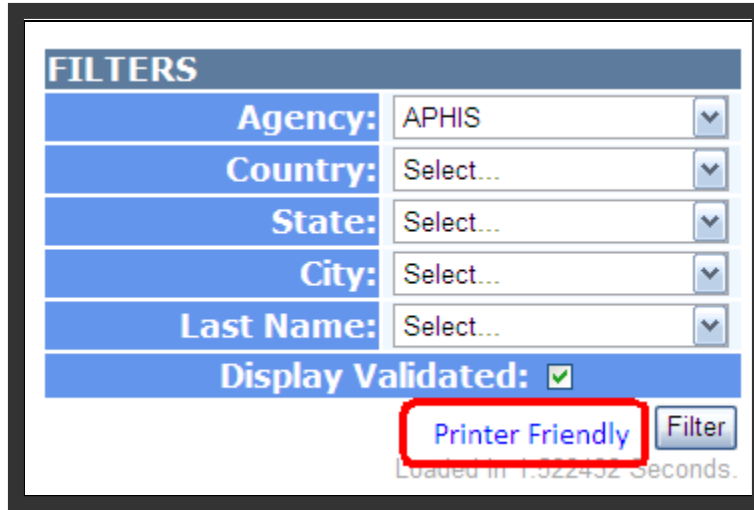
Figure 12: Display Validated Link

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.

Validated	By	First Name	Last Name	Birth Month/Day	Agency	At GSA
10/21/2007 12:00:00 AM	ddukart	Jean	Ford	Jul/30	APHIS	True
10/6/2007 12:00:00 AM	ddukart	Scott	Chevy	May/11	APHIS	True
10/22/2007 12:00:00 AM	ddukart	Logan	Dodge	Apr/5	APHIS	True
9/8/2007 12:00:00 AM	ddukart	Warren	Nissan	Jul/19	APHIS	True

Figure 13: Printer Friendly View

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.

E. Completing Sponsorship in USAccess

Once the Employee's record has been submitted to USAccess, the Sponsor must log into USAccess to verify and complete Sponsorship for the Employee. The Sponsor will ensure that the following fields are completed in USAccess in order to Sponsor the Employee:

- PIV Card Required
- Federal Emergency Response Official Status
- Card Shipping Address

- Country of Citizenship
- Birth Country
- Birth City

Prerequisites:

- You have been sponsored in the USAccess system
- You have taken the USAccess Sponsor Training
- You have been designated as a Sponsor by your Agency Role Administrator
- You have access to and a user ID and password for USAccess system.

* Note: Some Applicant information has been removed or altered from the following screenshots to protect privacy information
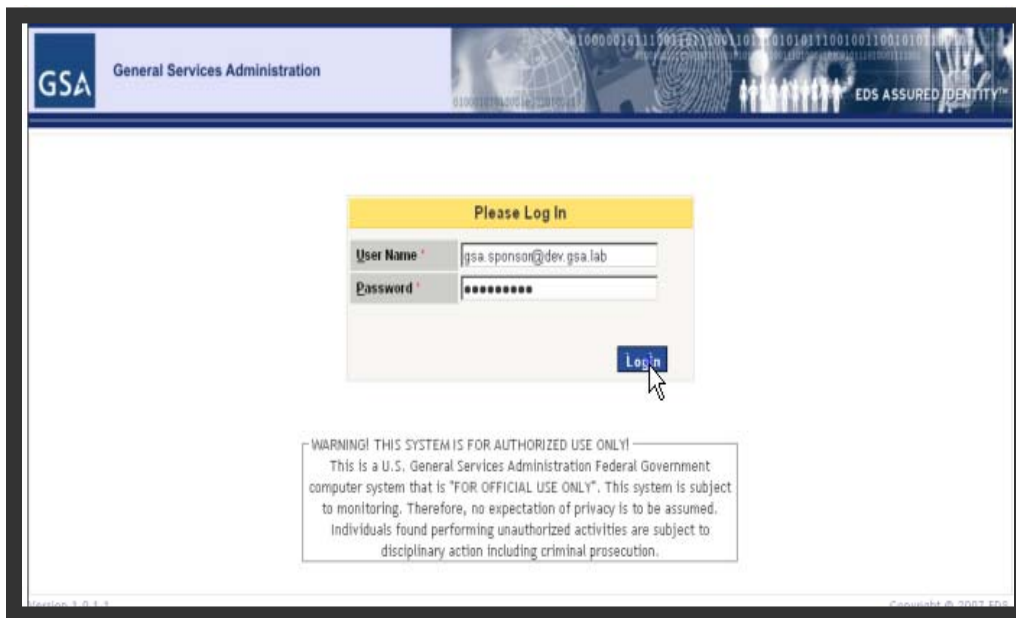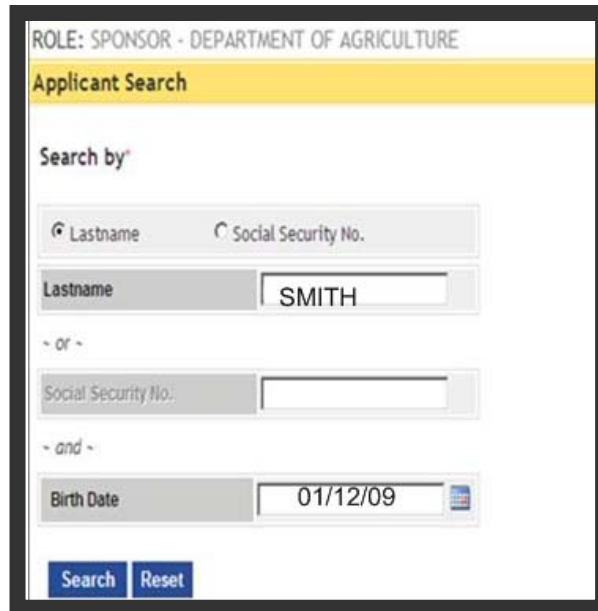
E (i). Verify Applicant Biographic Information

Figure 14: USAccess Log-in Screen

Step 1. On the Log In screen, type in your user name in the **User Name** field.

Step 2. Type in your password in the **Password** field.

Step 3. Click the **Login** button to log in.

Figure 15: Applicant Search Screen

Step 4. Type in the Applicant's last name or Social Security Number.

Step 5. Type in the Applicant's birth date or click on the calendar icon next to the **Birth Date** field to select a date from the calendar.

Step 6. Click the **Search** button to begin the search.

Figure 16: Search Results Screen

Step 7. When the search result appears, click on View Applicant to view Applicant's Biographic Data.

Step 8. Verify the following required fields have current and correct information.

- First Name
- Middle Name
- Social Security Number
- Birth Date
- Citizenship

*Currently, USAccess can only accept applicants with United States Citizenship.

Figure 17: Applicant Biographic Data Screen

Step 9. If any of the information is incorrect, missing, or needs updating, enter in the information next to the field names.

Note: Please be aware that changes to Biographic data must be made in Payroll Personnel and not from USAccess.

Step 10. Click on **NEXT** to go to the next screen

Figure 18: Applicant Address Data Screen

Step 11. Verify the following fields have current and correct information. Red asterisks are required information:
- Current Home Address
- Street Address 1
- City
- State
- Zip Code
- Country

Step 12. Birth Place- Enter the **City, Country, and State.**

Note: The Birth Place information is not required for the Sponsorship screen.

Step 13. Click **NEXT** to go to the next screen.
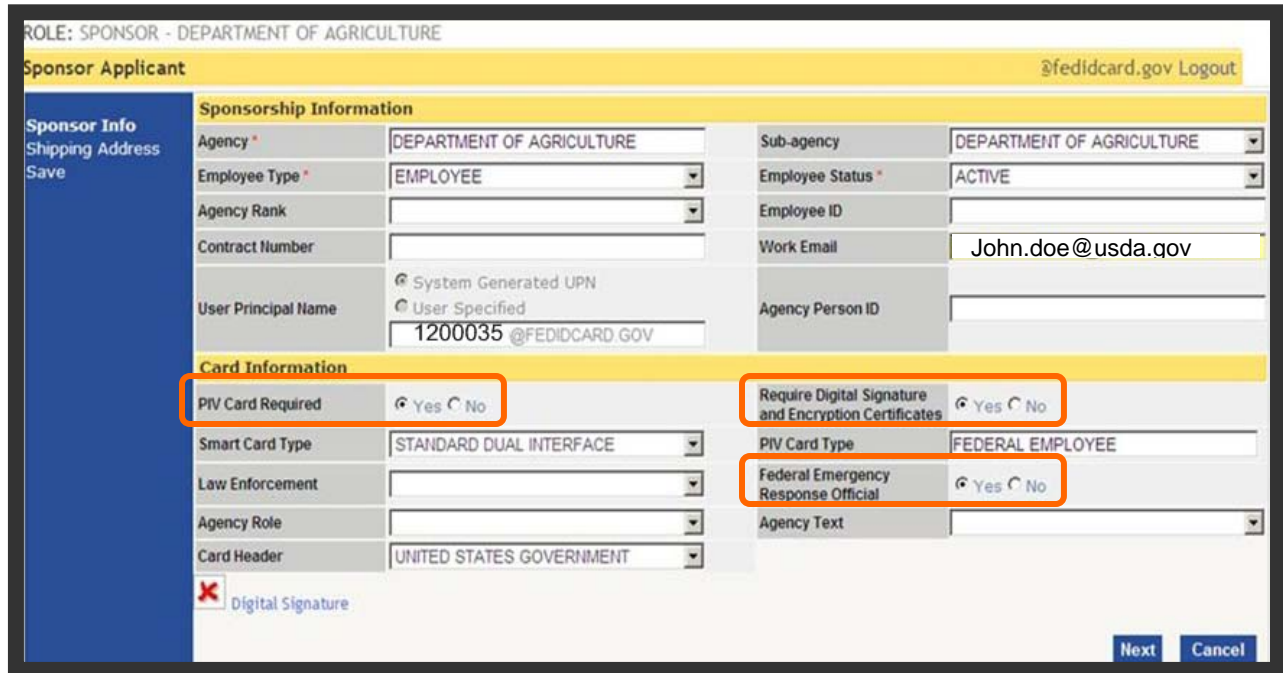
Figure 19: Applicant Alias Data Screen

Step 14. This is an optional screen if the applicant goes by another name.

Step 15. Click **NEXT** to go the next screen

Figure 20: Applicant Save Record Screen

Step 16. Click **FINISH** to save the record

E (ii). Complete Applicant Sponsorship

Figure 21: Applicant Sponsorship Information Screen

Step 1. USAccess will direct you to the Sponsorship information page.

Step 2. Verify the following required fields have current and correct information:
- Agency
- Employee Type
- Employee Status
- Work Email Address

Step 3. Set PIV Card Required to **YES**

Step 4. If the applicant is a Federal Emergency Response Official set the button to **YES**

Step 5. If the applicant does not have a work email address (and has no need for one), click **NO** under **Require Digital Signature and Encryption Certificates**

**Step 6.** Click **NEXT** to go the next screen

Figure 22: Applicant Card Shipping Address Screen

Step 7. Click on the **State** field drop down next to the **SELECT ADDRESS** field to choose the card shipping address.

Step 8. When you identify the **State,** click on the **Site** field. The site field will list all the enrollment/activation stations. Once the location has been selected, all the other information (specific address) will populate.

Step 7a. If the Applicant's work location is serviced by a mobile enrollment station, please select "Colorado" as the state and then "USDA – 2150 Centre Avenue" in the Site list in order to assign the Mobile Enrollment shipping code. Applicants with the mobile shipping code receive a different enrollment notification template with instructions specific to mobile enrollment.

Figure 23: Mobile Ship Code

Step 9. Click **NEXT** to go the next screen

> **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.
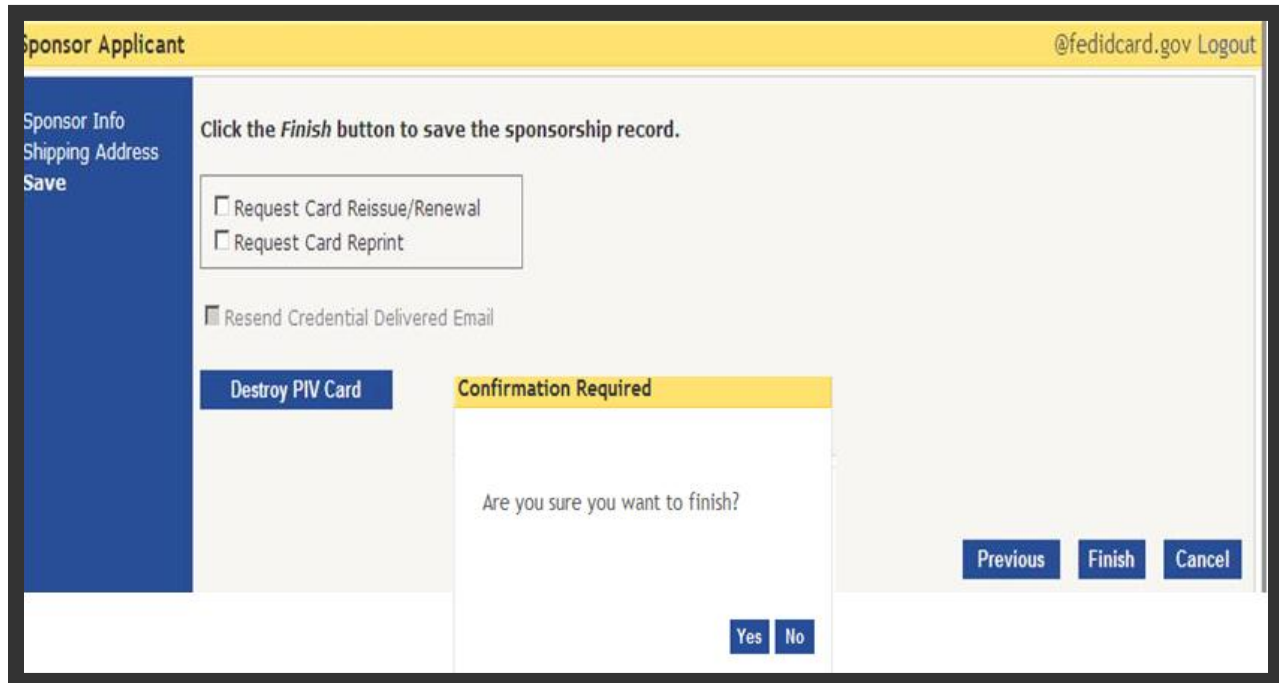
Figure 24: Applicant Save Sponsorship Record Screen

Step 10. Click **FINISH** to save the record

Step 11. USAccess will direct you back to the search page.

> On-boarding of the Employee is now complete. The Employee has been Sponsored 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. The Adjudicator may also complete the adjudication information for this Employee (see Section F).

F. Entering Adjudication Results in USAccess

Once the Employee's Sponsorship information has been verified and completed in USAccess, the Adjudicator can now enter the Adjudication results for this Employee. The Adjudicator will ensure that the following fields are completed in USAccess in order to adjudicate the Employee:

- FBI/NAC Date Recorded
- FBI/NAC Result
- NACI or Higher Date Recorded
- NACI or Higher Date Result

Prerequisites:

- You have been designated as an Adjudicator by your Agency Role Administrator
- You have taken HSPD-12: Adjudicator Training.
- You have access to and a user ID and password for USAccess system.
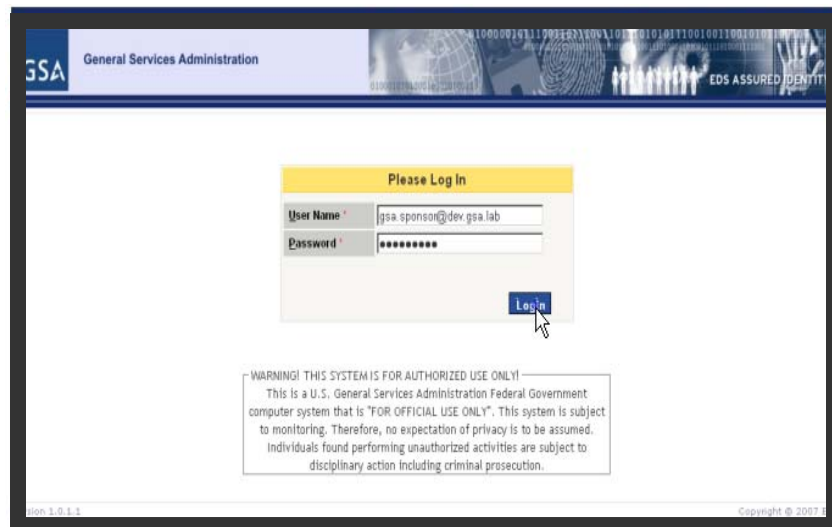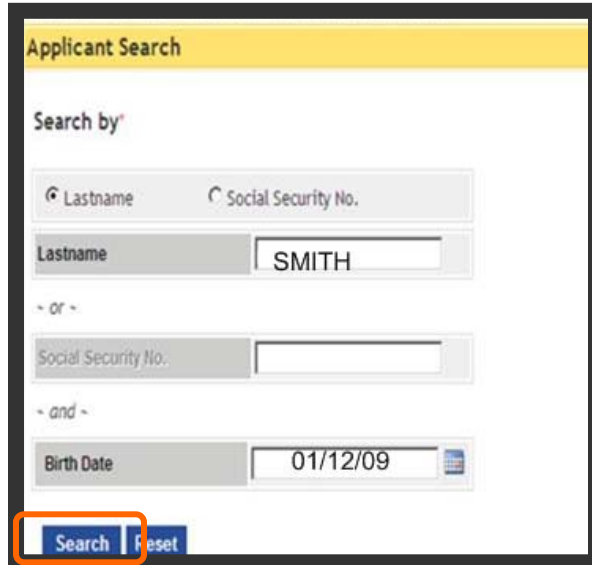

Figure 25: USAccess Log-In Screen

Step 1. On the Log In screen, type in your user name in the **User Name** field.

Step 2. Type in your password in the **Password** field.

Step 3. Click the **Login** button to log in.

Figure 26: Applicant Search Screen

Step 4. Select "Last Name" in the **Search By** drop-down list to start searching for the Applicant you want to sponsor. Select "Social Security Number" in the **Search By** drop-down list to search by the Applicant's Social Security Number.

Step 5. Type in the Applicant's last name or Social Security Number in the field next to the drop-down list.

Step 6. Type in the Applicant's birth date or click on the calendar icon next to the **Birth Date** field to select a date from the calendar.

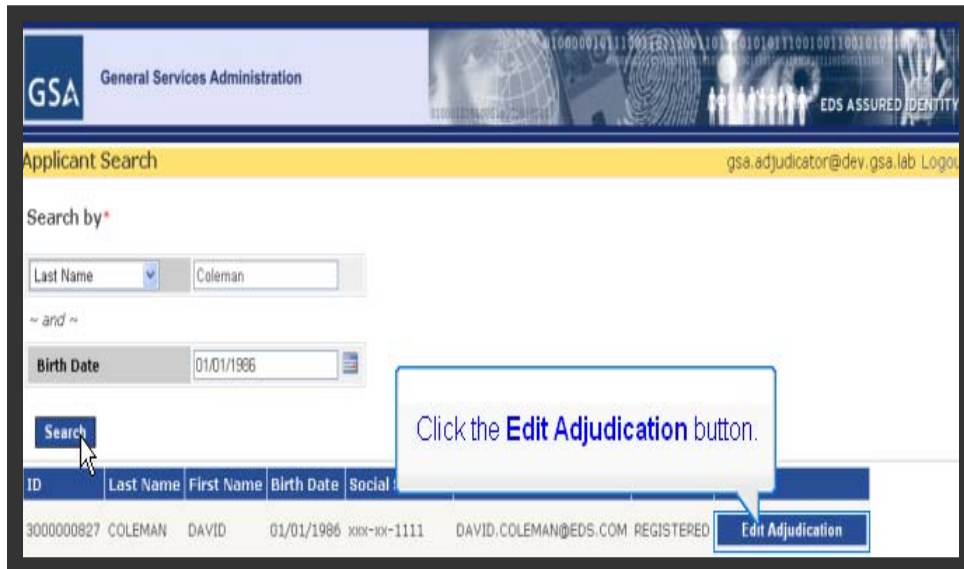**Step 7.** Click the **Search** button to begin the search.

Figure 27: Search Results Screen

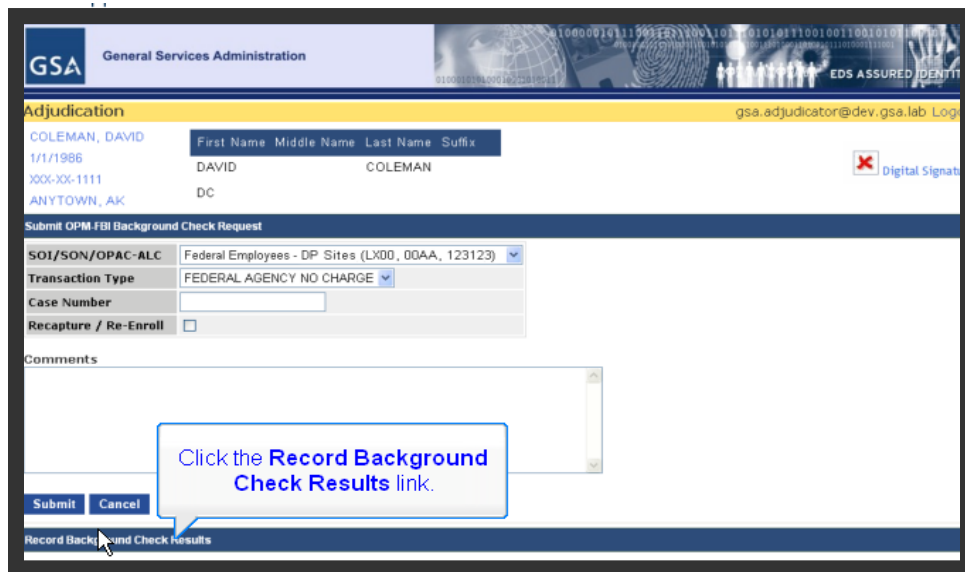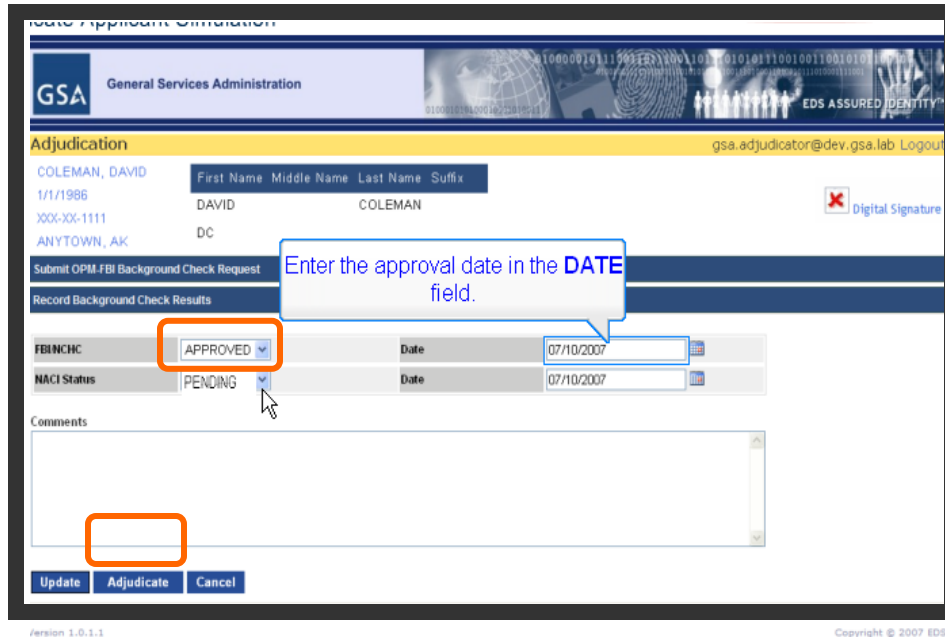**Step 8.** When the search result appears, click on **Edit Adjudication**.

Figure 28: Adjudication Information Screen

Step 9. Click the **Record Background Check Results** link at the bottom left of the screen.

Figure 29: Fingerprint Check Adjudication Results Entry Screen

Note: Initially, both the FBI/NCHS status and NACI Status fields are set to "Pending", but can be set to either "Pending", "Approved", or "Rejected".
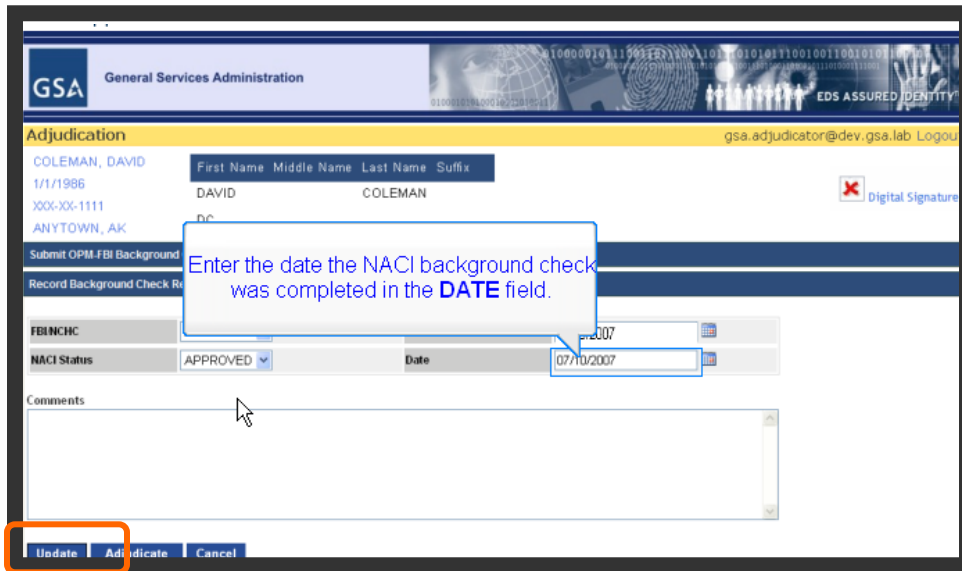
Step 10. Update the **FBI/NCHC** status by choosing "Approved" from the drop-down.

Step 11. Then enter an adjudication date in the **Date** field.

Step 12. If you want to provisionally approve an Applicant after the FBI fingerprint check is completed, but before the NACI is completed, check the **Adjudicate** button. Then proceed to Step 18.

Step 13. If you want to wait until you receive the NACI results, then click the **Update** button now and proceed to Step 14 once the NACI results are received.

Figure 30: NACI Adjudication Results Entry Screen

Step 14. When the NACI results are received, update the NACI Status field to "Approved" if you are entering a favorable adjudication or "Rejected" if you are entering an unfavorable adjudication.

Step 15. Provide an adjudication date in the Date field.

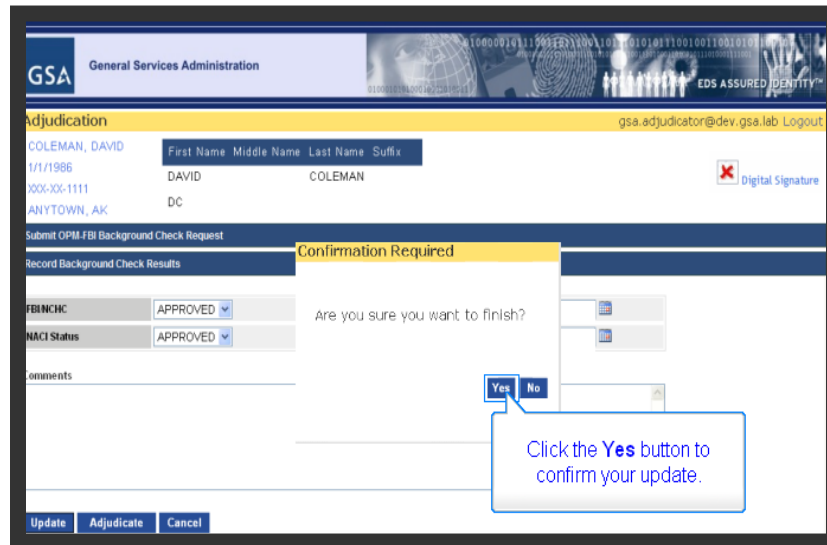**Step 16.** Click the Update button to save the adjudication results.

Figure 31: Adjudication Results Confirmation Screen

Step 17. Click on the Yes button to confirm the update. The Applicant's record is now updated.
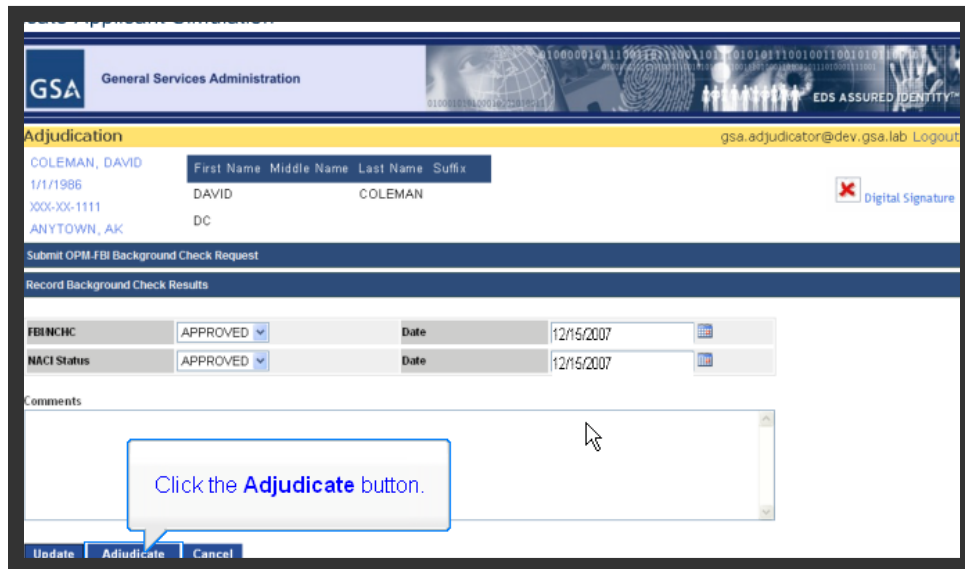

Figure 32: Submit Adjudication Results Screen

Step 18. Submit the adjudication of the Applicant by clicking the **Adjudicate** button.
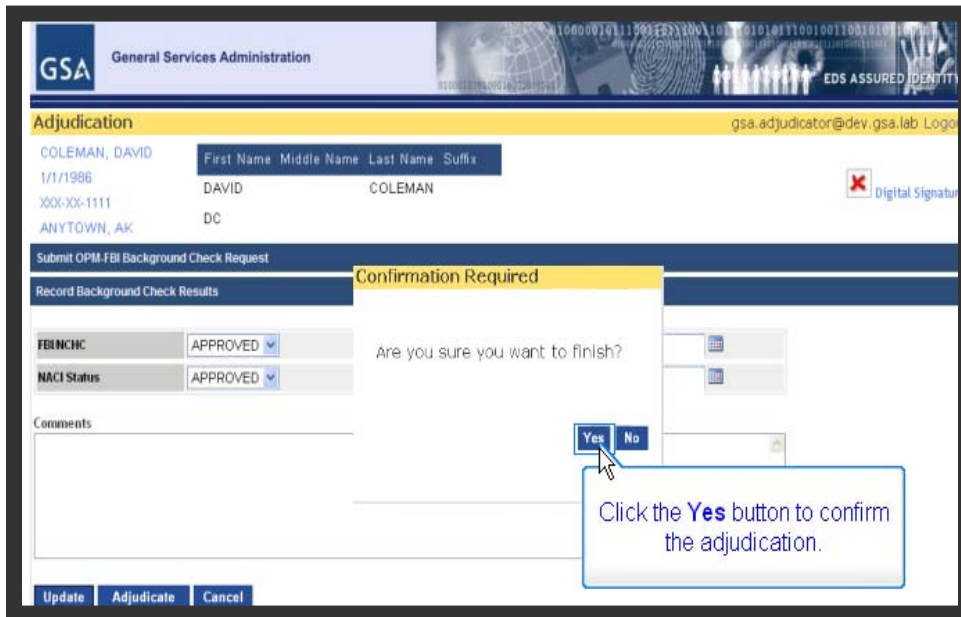
Figure 33: Adjudication Results Confirmation Screen

Step 19. Verify you are authorizing a credential and that you are satisfied with the choice you are making.

Step 20. Click on the Yes button on the confirmation box to confirm the adjudication. The system may take a minute or two to process the record and return a confirmation.

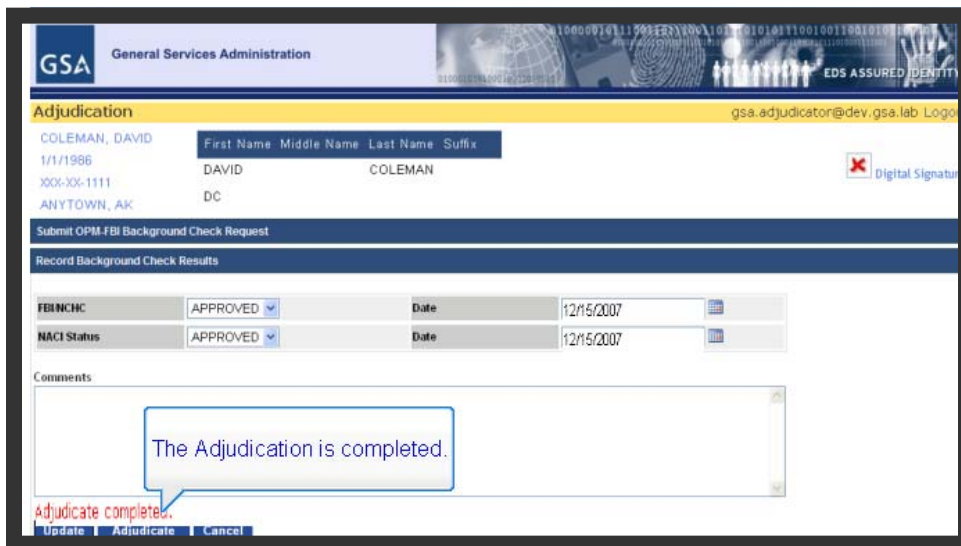

Figure 34: Adjudication Completion Screen

Step 21. When the record has been successfully completed, "Adjudication Completed" will appear on the screen. The adjudication process is now complete and an issuance request has been initiated.

Part 3: 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 the front-end system that feeds Payroll Personnel, i.e. EPIC. Fix issues for all employees (i.e. Suffix combined in last name field) in the front-end HR system	
Employee Instructions		
6	Update Business Email and Phone within eAuthentication	
HR Instructions		
7	Ensure you have access to the Agency Certification Portal (See Part 3 for requesting access). (https://hspd12p.sc.egov.usda.gov/hspd12preparedness/)	
8	Flag, certify and submit the prepared records (Part 2, Section D)	
9	Complete Sponsorship of the Applicant after their record has been sent to USAccess (Part 2, Section E)	
10	Verify adjudication result has been entered into GSA web portal, if it hasn't, update those records following GSA's instructions. (Part 2, Section F)	