USDA HSPD-12
Sponsor Guide

Prepared for

**United States Department of Agriculture
Office of Security Services
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Revision Information

Version	Date	Revision Notes
1.0	8/13/2008	Initial Draft
1.1	9/18/2008	Added updated screenshots and verbiage regarding Sponsor Utility pages; split LincPass destruction into separate sub-section
2.0	12/04/2008	Record Editing Blocked during Card Printing Process

Table of Contents

Introduction

Purpose

This document serves as a guide to the HSPD-12 Sponsor processes and procedures. It details the role's major responsibilities and provides instructions on performing various HSPD-12 Sponsor duties. Specifically this document covers:

- Employee Applicant Data Preparation and Sponsorship
- Post-Sponsorship Activities
    - Employee Information Updates
    - Employment Status Changes
    - LincPass Destruction
    - Reissues/Renewals
    - Reprints
    - Card Delivery Email Resend
    - Marking the LincPass Destroyed
- USAccess Reports
- Applicant Record Tracking and Troubleshooting

Background

To comply with Homeland Security Presidential Directive 12 (HSPD-12), USDA is participating in a shared service offering from General Service Administration's Managed Services Office (GSA MSO). This shared service, called the USAccess program, provides participating departments/agencies the infrastructure to issue HSPD-12 compliant Personal Identity Verification (PIV) credentials to employees. USDA's PIV card, called the LincPass, utilizes "smart card" technology and will be an employee's key to accessing USDA facilities and information systems. To be issued a LincPass, the following steps need to take place for each employee applicant:

- Sponsorship – Sponsors verify applicant HR data and sponsor the applicant in the USAccess System

- Enrollment – Once sponsored, applicants are identity proofed at an enrollment station

- Adjudication – Once sponsored, Adjudicators record the results of an applicant's background investigation in USAccess

- Issuance – Once all issuance criteria are met, the applicant's LincPass is printed and shipped

- Activation – Once delivered, the employee picks up and activates their LincPass.

- Maintenance – Once activated, Sponsors perform various maintenance activities related to maintaining sponsorship information and performing card action functions

Prerequisites

Before proceeding, please make sure that you have met all the pre-requisites for performing HSPD-12 Sponsor Duties:

1. Sponsored in the USAccess system
2. Successfully completed either the EmpowHR Sponsor or USAccess Sponsor training in AgLearn
3. Your Agency Role Administrator has designated you as a Sponsor in USAccess
4. Received your USAccess user ID and password
5. Granted access to the USDA HSPD-12 Agency Certification Portal
6. Granted access and know how to perform actions in the appropriate HR system for your agency (i.e. EmpowHR or Payroll Personnel)

Section 1 Employee Sponsorship

The purpose of sponsorship is to validate all information required for sponsorship and then to initiate their sponsorship in the USAccess system. This process will vary somewhat depending on the agency's HR system (EmpowHR or Payroll Personnel). In general, the Sponsor verifies and if necessary updates all the required sponsorship information directly in the agency's HR system as the HR system serves as the authoritative source for sponsorship information. Payroll Personnel agencies are required to take an extra step within the USAccess system itself in order to complete sponsorship. Following is a general overview of the steps taken based on the HR system in use

1.1 EmpowHR Process

  a. Sponsor verifies/updates employee's sponsorship information in EmpowHR
  b. Employee verifies/updates email address in EmpowHR "My System Profile"
  c. Sponsor validates employee in Agency Certification Portal to send the record to USAccess
  d. Employee is Sponsored

1.2 Personnel Process

  a. Sponsor verified/updates available sponsorship information in EmpowHR
  b. Employee verifies/updates email address in eAuthentication
  c. Sponsor validates employee in Agency Certification Portal to send the record to USAccess
  d. Sponsor completes sponsorship directly in USAccess
  e. Employee is Sponsored

For detailed instructions on data preparation and Sponsorship activities, please see the appropriate **On-Board Guide** on the USDA HSPD-12 website's "Training" page.

Once Sponsorship is completed, the Sponsor's main duties are complete until the LincPass is activated. In between sponsorship and activation, the Sponsor may be called on to check on the status of the Applicant in the process (see Section 4) or to update incorrect information discovered during enrollment.

Section 2 Post-Sponsorship Activities

In addition to the initial sponsorship of an Employee Applicant, a Sponsor is responsible for maintaining an Applicant's record and performing various credential actions throughout the LincPass lifecycle. This section covers the following post-sponsorship activities:

- Maintaining Applicant sponsorship information

- Employment status changes

- Requesting Reissues and Renewals

- Requesting Reprints

- Marking the LincPass Destroyed

## 2.1 Maintaining Cardholder Sponsorship Information

Whenever an employee's sponsorship related information changes, the Sponsor should make sure this information is updated in the appropriate system. Generally, for EmpowHR agencies all information is maintained in EmpowHR, while PayPers agencies are split between PayPers, eAuthentication (email addresses) and USAccess (Card Ship Address, PIV Card Required, FERO designation) itself. Please see the On-Boarding Guides for information on where sponsorship data elements are maintained.

Depending on the type of change made, a reprint or a reissue may be required. Please see sections 3.3 and 3.4 for information on when to request a reprint or a reissue.

> **NOTE**: Once an employee has been sponsored in USAccess, a Sponsor does not need to re-validate the employee via the Agency Certification Portal again. Any changes to information in the authoritative HR system will flow automatically to USAccess.

2.1.1 Record Editing is Blocked During Card Printing

Sponsors see a warning message if card printing is in progress for the selected Applicant. The message states they can only terminate or suspend the employee's status since the card is being printed. This is part of the effort to "lock down" the Applicant's record from having change made (such as ship address) since these types of changes won't take affect while card printing is in progress. If changes need to happen, the Sponsor must wait until printing is completed and then take appropriate action.
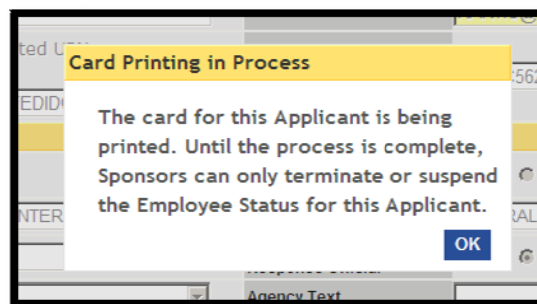
2.2 Employment Status Changes

A change to an employee's employment status has a direct effect on their LincPass' status. Any change to the employment status in the authoritative HR system causes a correlating change to the LincPass' status in USAccess. The change to the LincPass status will happen automatically within a day of the employment status changing in the authoritative HR system.

2.2.1 Status Correlation

Employee Active = Active LincPass
Employee Suspended = Suspended LincPass
Employee Terminated = Terminated LincPass

2.2.2 Handling the LincPass upon Status Change

The Sponsor will receive an automated email from USAccess whenever the LincPass status is changed due to an employment status change. Upon Suspension or Termination the LincPass must be confiscated from the employee and either securely stored (for suspensions) or destroyed (for terminations).

2.3 Suspension Process

- Sponsor suspends the employee in the authoritative HR system
- USAccess suspends the LincPass
- LincPass is confiscated from the employee

2.4 Termination Process

- Sponsor terminates the employee in the authoritative HR system
- USAccess terminates the LincPass
- LincPass is confiscated from the employee
- LincPass is physically destroyed
- LincPass is marked as destroyed in USAccess

2.5 Requesting Reissues and Renewals

Sponsors are responsible for requesting a reissue or a renewal when the situation arises. Both requests are made via a single option in the USAccess Sponsor portal and will necessitate the employee re-enrolling at an enrollment station. A brand new LincPass will be printed and delivered, and the employee will have to go to an activation station again to activate the new LincPass.

2.5.1 Reissue/Renewal Conditions

A reissue or renewal request should be made in the following circumstances:

- Information change that alters what is printed on the LincPass or on the chip. Exceptions are for a change in FERO designation or Employee type change; these result in a reprint.

- LincPass is permanently lost or stolen
- Manufacturer or process defects that can only be corrected by the employee enrolling again *
- The 5 year LincPass expiration date has been reached

> *** NOTE**: Be sure to keep track of card reissued due to a manufacturer or process defect so that proper reimbursement can be made back to USDA.

2.5.2 Reissue/Renewal Request Process

Step 1. Log into USAccess and search for the employee's record in USAccess.
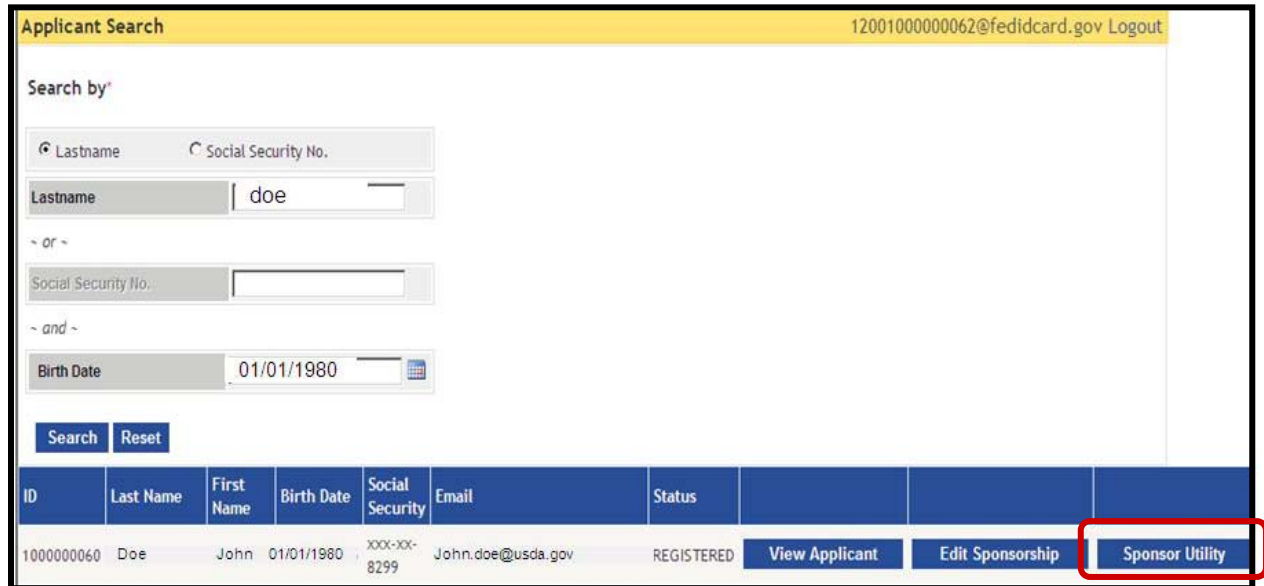
Figure 1: Applicant Search Screen

Step 2. Then click on **Sponsor Utility** when the record is found.

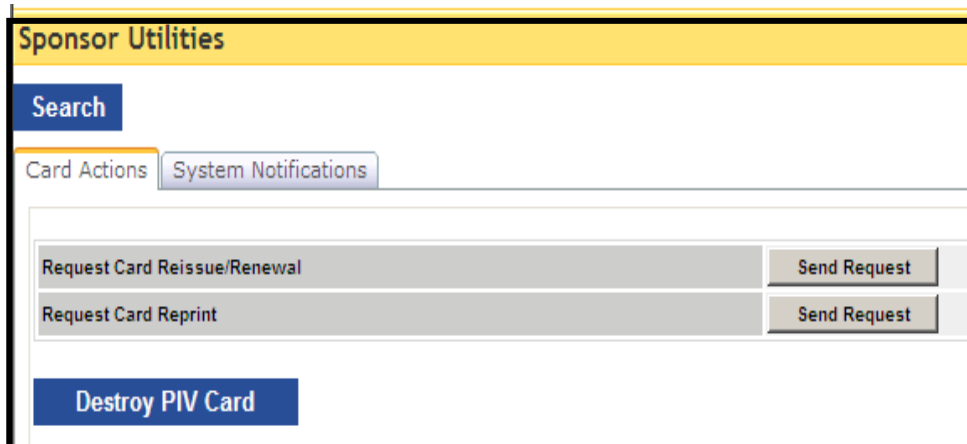*Figure 2: Applicant Search Screen*

Figure 3: Sponsorship Utility Screen

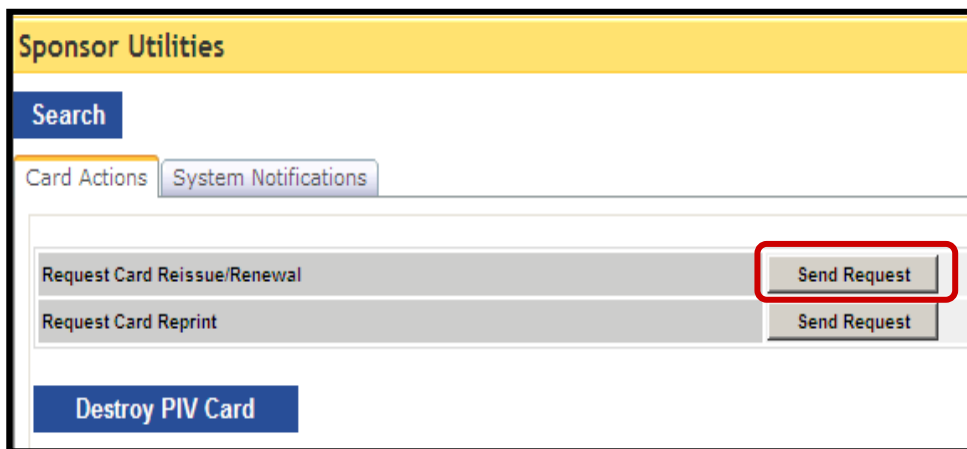**Step 3.** The Sponsor Utility screen appears.

Figure 4: Card Action Screen

Step 4. Click the **Send Request** button next to **Request Card Reissue/Renewal** to request either a reissue or a renewal.

Step 5. The Reissue/Renewal request will trigger an enrollment email to the employee asking them to make an enrollment appointment.

Step 6. The request will terminate the current LincPass. Confiscate and destroy the current LincPass (if not lost or stolen) using the guidance in section 3.2.2.

Step 7. Mark the LincPass as destroyed in USAccess once it has been physically destroyed.

> *** NOTE**: The Reissue/Renew functionality is also available thru the **Sponsorship Information** screens. Click through to the last screen to find the Reissue/Renewal function.

2.6 Requesting a Reprint

A reprint request is very similar to a reissue/renewal request except the Employee does not have to enroll again. Upon request, the LincPass will be printed again and the employee will just need to pick it up and activate it again.

2.6.1 Reprint Request Conditions

A reprint should be requested under the following circumstances:

- The FERO designation or Employee type has been changed
- LincPass damaged beyond repair
- Manufacturer defect (e.g. information printed wrong, card cannot activate upon delivery, etc.) that does not necessitate re-enrolling *

> * **NOTE**: Be sure to keep track of card reprinted due to a manufacturer or process defect so that proper reimbursement can be made back to USDA.

2.6.2 Reprint Request Process
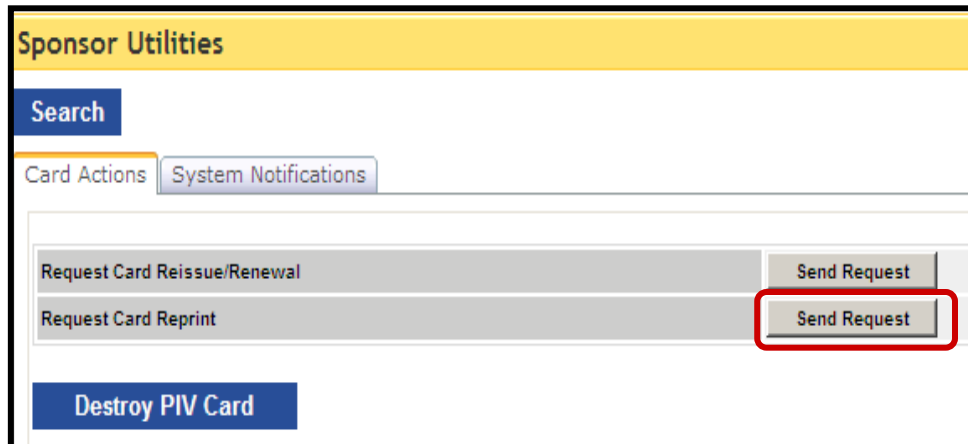
Step 1. Follow Steps 1-6 in the Reissue/Renewal process except choose the **Send Request** button next to **Request Card Reprint**.

Step 2. The request will terminate the current LincPass. Confiscate and destroy the current LincPass (if not lost or stolen) using the guidance in section 3.2.2.

Step 3. Mark the LincPass as destroyed in USAccess once it has been physically destroyed.

Step 4. The employee will receive an activation email when the LincPass has been delivered.

> * **NOTE**: The Reprint functionality is also available thru the **Sponsorship Information** screens. Click through to the last screen to find the Reprint function.

2.7 Resending System Emails

The Sponsor has the capability to resend the enrollment and card delivery emails to individual applicants. This may be necessary when Applicants did not receive the email from USAccess initially, they lost/deleted the email, or they forgot their activation PIN number (in the case of the card delivery email). The Sponsor can send the enrollment email to anyone with a complete sponsorship and incomplete enrollment status. The card delivery email can be sent to any Applicant with an Issuance Status of "Card Delivered".

Step 1. Follow the steps for Reissue/Reprint in section 3.3.2 up to Step 4. Click on the **System Notifications** tab.
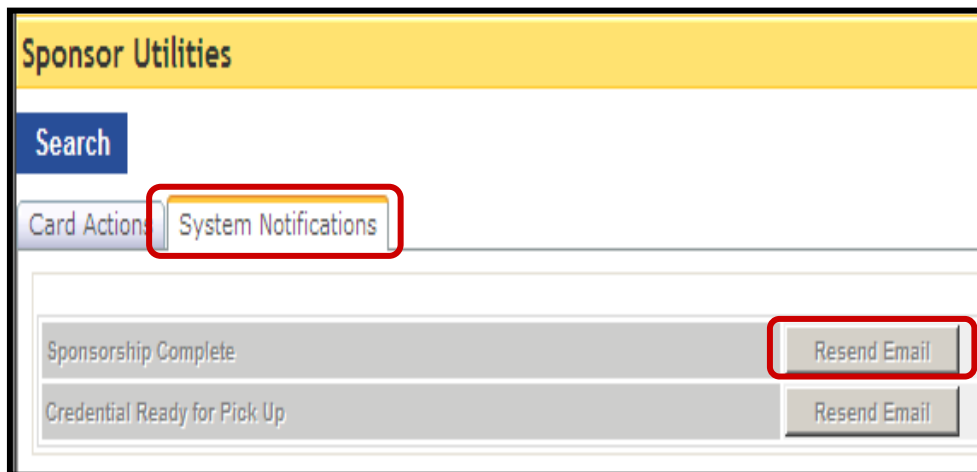

Figure 5: System Notifications tab

Step 2. Check the **Resend Credential Delivered Email** check box, and then click **Finish.**

Step 3. Click the **Resend Email** button next to the appropriate email type to send the email.

> * **NOTE**: The **System Notifications** functionality is also available thru the **Sponsorship Information** screens. Click through to the last screen to find these functions.

2.8 Marking the LincPass Destroyed

The Sponsor (along with the Security Officer) has the ability to mark a LincPass as destroyed after it has been terminated and physically destroyed. Each agency should develop a process that defines who is responsible for the physical actions on the LincPass as well as marking it destroyed in USAccess.   Please see the "**Marking LincPass Destroyed**" guide on the USDA HSPD-12 website's "Training" page for specific instructions on physically destroying the LincPass and marking its destruction in USAccess.
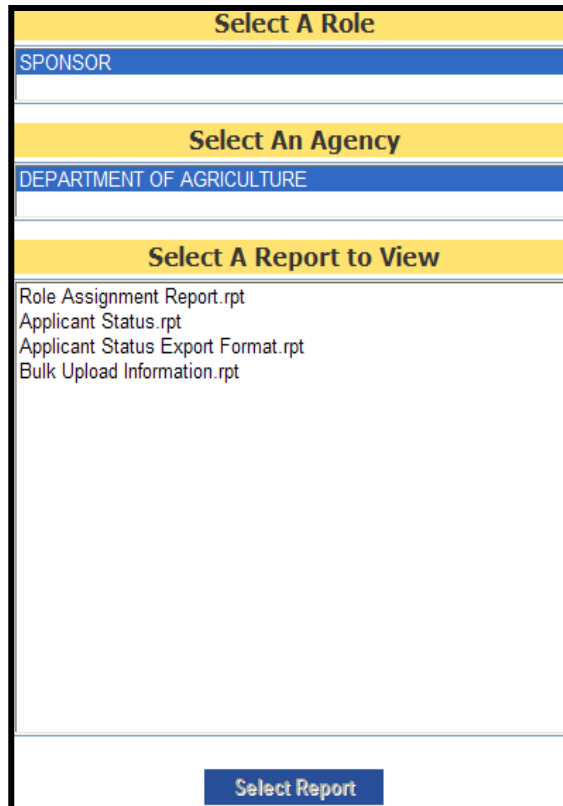
Section 3 USAccess Reports

The USAccess Reports Portal offers Sponsors several reports for tracking the status of their Applicants. A Sponsor has access to the following reports:

- Applicant Status Report – displays several status and sponsorship information data elements for individual applicants in a report style format on screen

- Applicant Status Report Export – same as above but in an Excel exportable format

- Bulk Upload Information – report that provides information for formatting the bulk upload of sponsorship data into the system

- Role Assignment Report – report listing who has been designated as a role in USAccess and what role they hold.

3.1 Accessing the Reports

The reports are in the USAccess reports portal (https://gsa.identitymsp.com/reportsportal).

Step 1. Log into the reports portal using your Sponsor portal user name and password

Figure 6: Report Selection Screen

Step 2. Select your role (e.g. "Sponsor") in the **Select A Role** box

Step 3. Select "Department of Agriculture" in the **Select an Agency** box

Step 4. Select the report you want to view in the **Select a Report to View** box.

Step 5. Click the **Select Report** button to run the report

3.2 Individual Reports

3.2.1 Applicant Status Report (Regular or Export)

The Applicant Status report is a useful report for quickly viewing the sponsorship information and process status of individual applicants. This report can be downloaded into Excel for easier sorting and filtering.

Please see the "**Using the Applicant Status Report**" guide on the USDA HSPD-12 website's "Training" page for detailed instructions on using the report.

In addition to investigating the status of individual Applicants, the Applicant Status Report is a useful tool for identifying overall problem areas within your agency. The report can help you find the "gap" areas in the process within your agency:
- Applicants Sponsored but not Enrolled
- Applicants Enrolled but whose LincPass has not been delivered
- Applicants with LincPass delivered but who have not activated

To find the "gap" areas in your agency, please see the "**Gap Analysis Using the Applicant Status Report**" guide on the USDA HSPD-12 website's "Training" page.

3.2.2 Bulk Upload Information Report

The Bulk Upload Information report provides the formatting information necessary to sponsor applicant via a bulk upload. It provides the USDA unique values to place into the various bulk upload spreadsheet columns.   In general, USDA does not bulk upload new applicants and does not need to reference this report.

3.2.2 Role Assignment Report

This report allows an agency to track who has been designated as a role holder in USAccess. The report provides the role holder's name and email address, the role they have been designated in and the date the Role Administrator designated them.

Appendix A – Help Resources

USDA HSPD-12 LincPass Website
- Sponsor page: http://hspd12.usda.gov/Sponsor.html
- FAQ Page: http://hspd12.usda.gov/faq.html
- Training Page: http://hspd12.usda.gov/training.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

USAccess Website: http://www.fedidcard.gov

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

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

EmpowHR help desk: NFCEMPOWHR@usda.gov

Payroll Personnel Operations and Security Center (OSC) Help Desk: 1-800-767-9641