



**Homeland Security
Presidential Directive
HSPD-12
PIV-1 Implementation
And
Suitability Processing

POLICIES & PROCEDURES**



U.S. Department of Commerce
National Oceanic and Atmospheric Administration
(Revised September 21, 2007)

1. Background

On August 27, 2004, President Bush signed Homeland Security Presidential Directive 12 (HSPD-12), “[Policy for a Common Identification Standard for Federal Employees and Contractors](#)”. Based upon this directive, the National Institute for Standards and Technology (NIST) developed Federal Information Processing Standards Publication (FIPS) 201 including a description of the minimum requirements for a Federal Personal Identification Verification (PIV) system. HSPD-12 directs the implementation of a new standardized badging process, which is designed to enhance security, reduce identity fraud, and protect the personal privacy of those issued government identification. The Department of Commerce (DOC) began implementing the HSPD-12 program department wide on October 27, 2005. The DOC implementation guidance and procedures and other related publications can be located at DOC Office of Security website at: <http://www.osec.doc.gov/osy/HSPD12/HSPD-12Information.htm>

1.1 Introduction

In response to the HSPD-12 and FIPS 201, the Department of Commerce issued PIV-I Compliance Implementation Handbook, which outlines DOC implementation instructions for compliance with HSPD-12, FIPS 201. The HSPD-12, FIPS 201 decision to issue a PIV Credential is governed by the results of the suitability background investigation required for all federal employees and contractors. Therefore full implementation of HSPD-12, PIV-1 is directly dependant upon the initiation and completion of the suitability background investigation process, as well as the positive proof of identity.

1.2 Purpose and Scope

The purpose of this instruction is not intended to duplicate the DOC HSPD-12 PIV-1 Implementation Handbook, but is provided to establish consistent processing procedures between the NOAA Workforce Management Office (WFMO) and the Department of Commerce servicing Security Office (SO) for the processing of suitability background investigations in the client base environment and procedures for the issuance of the PIV Credential to Applicants. In suitability process section of this instruction, procedures have been included to assist in the implementation of Electronic Questionnaires for Investigations Processing (e-QIP). All WFMO and OSY staff will use this instruction.

The suitability background investigative process and the issuance of the PIV Credential process are two very distinct processes. For the purpose of this instruction the term “Applicant” is an individual to whom WFMO has made: (a) a tentative job offer of employment; (b) an entry on duty date (EOD) has been established; (c) the selectee will require the issuance of a PIV Credential upon EOD.

1.3 Timelines

Implementation of these procedures will begin on October 27, 2005.

2. Governance

2.1 Work Force Management Office

The WFMO will adhere to OSY/OHRM memorandum titled “*Issuance of New Policy and Procedures for Processing of Suitability and National Security Investigations*” dated March 5, 2004. The WFMO will initiate the appropriate suitability background level investigation: at a minimum the National Agency Check with Inquiry (NACI) for all candidates for Federal employment unless there has been less than a 24 month break in federal service and verification of a previous background investigation for suitability that meets the investigative requirements of the new position in question can be certified by another federal agency. If the position sensitivity is determined to be at the Moderate (IT), High Risk, NCS, CS, or SS level, WFMO is required to obtain pre-appointment approval prior to the EOD of the selectee. WFMO reviews all suitability background investigations and makes suitability determinations for all employment actions.

WFMO as directed by FIPS 201 will serve as the PIV Sponsor for all new hire actions. The employee’s supervisor will serve as the PIV Sponsors for all current employees requiring a renewal PIV Credential. The PIV Sponsor substantiates the need for a PIV Credential to be issued to an Applicant and provides sponsorship to the Applicant. PIV Sponsors must complete the on-line PIV Sponsor training and be issued a PIV Sponsor certification number that is required on the Department of Commerce PIV Request Form, (CD-591).

2.2 Organization

The NOAA WFMO, Client Services Office is divided into three (3) Client Services Office Divisions (CSD) located in Kansas City, Missouri, Silver Spring, Maryland, Norfolk, Virginia, Seattle, Washington and Boulder, Colorado. Each CSD is co-located with the DOC SO except for the CSD located in Kansas City, Missouri. The SO located in Norfolk, Virginia Office will support both CSD Norfolk, VA and CSD Kansas City, MO.

To ensure process consistency each CSD will identify a single point of contact that will be responsible for coordinating with their respective SO for the resolution of suitability background investigation process issues or PIV process issues that may arise. The CSD coordinator will ensure resolution of process issues are disseminated to all of the CSD staff to assist in eliminating redundant process errors.

Each CSD will coordinate and transmit suitability background investigation packages on all applicants to the SO that services their client base. For example, the CSD located in Boulder, CO services NOAA OAR and NESDIS. Therefore, the completed investigation packages for all new employees and any other employee actions requiring a background investigation with OAR or NESDIS will be sent to the client based SO located in Boulder, CO. This includes OAR or NESDIS CSD staff members located in other geographic locations such as Silver Spring, Norfolk, Kansas City or Seattle. They too will send the completed suitability packages to the SO in Boulder, CO.

The SO is also client based for all background investigations, to include initial suitability, promotion to a position requiring a higher level investigation, change to higher position sensitive within a current position and other re-investigations due to conditions of employment.

All other security functions such as badging and renewal badging and contractor security investigations will occur based on geographic region. For example, Supervisor of DOC employees requiring renewal of badges for current employees in the greater Dallas, TX area will coordinate directly with the regional SO in Boulder, CO.

3. Development

3.1 Operations Plan

This plan provides the necessary operations plan for NOAA.

3.2 Recruitment for Positions

Under normal circumstances the OF-306 (Declaration for Federal Employment) is not required during the application submittal process, but under limited circumstances, e.g., other than low risk positions, a Vacancy Announcement may have a remark added that informs the applicant that a completed OF-306 must be submitted as part of the application process. The remark will state:

“This vacancy announcement also requires a completed Optional Form 306, Declaration for Federal Employment, be submitted in addition to the application. Applicants who do not submit a properly completed OF-306 will not be considered for the position. The OF-306 is available by contacting the servicing CSD to request a copy of the form or at:

<http://www.gsa.gov/Portal/gsa/ep/formslibrary.do?viewType=DETAIL&formId=047C39FC0226D01E85256AAB005DF2AD>”

Note: If the date of the applicants signature on OF-306 submitted as part the application process is older than 60 days, CSD will request a new OF-306 from the applicant. The most current OF-306 will be used for the suitability investigation process. If associated with an appointment, the OF-306 will be filed in the Official Personnel Folder (OPF); however, a copy must be submitted with the suitability background investigation package, that is forwarded too OPM through the Security Office.

3.2.1 New Hire Procedures

Prior to the advertising of a vacancy, CSD in consultation with the selecting official will ensure the position description is accurate and determine the correct position sensitivity level. CSD is required to process all suitability background investigations requiring the use of the Standard Form 85, 85P, and 86 in the web based OPM program e-QIP. The e-QIP procedures for processing background investigations are provided below.

3.2.2 Selectee Notification

Once a selection has been made by the selecting supervisor, the CSD reviews the position data to determine, based upon the position sensitivity, which investigation level is required and determines the appropriate suitability background forms to be sent to the selectee. The CSD will contact the selectee, notify them of the Tentative Job Offer, verify their legal name, date of birth, social security number (SSN), address, place of birth and e-mail address. If the position sensitivity is determined to be at the Moderate (IT), High Risk, NCS, CS, or SS level, CSD is required to obtain pre-appointment approval from the SO prior to the EOD of the selectee.

If low risk or moderate risk designated, the notification to the Selectee will include the following required information:

“You have been tentatively selected for the position of XXXXXX. Your final selection will be contingent upon the proper completion and submission of the Electronic Questionnaires for Investigations Processing (e-QIP) {select method and delete other form}, OF-306 (Declaration for Federal Employment) and Standard Form 87, (Fingerprint Chart). These forms must be properly completed and submitted to CSD. Entry on duty (EOD) date will not be established until the forms have been properly completed, returned and verified as complete by CSD. Upon verification of your completed forms, you will be provided a formal job offer letter that will include requirements, information about benefits and entitlement and identification that must be submitted for review on your EOD date. Please be advised that if you are unable or do not provide the required documentation within the deadline provided, you will not be in-processed as advanced receipt of this documentation is a prerequisite for employment.”

If moderate (IT) risk, high risk, NCS, CS, or SS designated, the notification to the Selectee will include the following required information:

“You have been tentatively selected for the position of XXXXXX. Your final selection will be contingent upon the proper completion and submission of the Electronic Questionnaires for Investigative Processing (e-QIP){select as appropriate and delete others}, OF-306 (Declaration for Federal Employment), Fair Credit Reporting Act Form and Standard Form 87, (Fingerprint Chart). These forms must be properly completed and submitted to CSD. Entry on duty (EOD) date will not be established until the forms have been properly completed, returned and verified as complete by CSD. Upon verification of your completed forms and approval by the Security Office, you will be provided a formal job offer letter that will include requirements, information about benefits and entitlement and identification that must be submitted for review on your EOD date. Please be advised that if you are unable or do not provide the required documentation within the deadline provided, you will not be in-processed as advanced receipt of this documentation is a prerequisite for employment.”

Note: If a waiver or interim clearance is requested by the supervisor/manager, additional form(s) and coordination with the SO will be required and should be initiated immediately by the CSD to avoid unnecessary delays.

It is explained to the Applicant that completion of the appropriate investigation is a condition of employment and the completed forms must be received prior to any appointment to initiate the process. Note: Entry on duty (EOD) date will not be established until the forms have been properly completed, returned and verified as complete for submission to the SO by CSD. If incomplete, CSD notifies the selectee that it must be completed and forwarded ASAP. The form or forms may be returned back to the selectee or new forms submitted. The selectee is again reminded that a failure or refusal to properly complete and return the form will result in delayed in-processing or possible non-selection.

The Selecting Official and/or other management officials in the serviced organization and the Human Resources Specialist or HR Advisor will be kept apprised of the status of the process by the SO.

The Selecting Official is responsible for providing correct and complete accounting data to the SO for the payment of fees associated with the completion of all investigations.

3.3 Suitability Investigation Process

3.3.1 Summer Interns, Associates, Volunteers, etc

In response to HSDP-12, The Office of Security issued interim guidance subject to revision of Chapter 11 of the Security Manual to meet HSDP-12 requirements for the investigative processing of summer interns, associates, volunteers, etc.

Facility managers must apply adequate controls to systems and facilities (i.e. ensuring temporary staff has limited/controlled access to facilities and information systems). Facility manager will provide temporary employees and contractors with clear documentation on the rules of behavior and consequences for violation before granting access to facilities and/or systems. Any security violations involving these employees must be reported to the appropriate SO within 24 hours.

Computer Access Procedures and Controls will be in accordance DOC IT Security Policy and subordinate Bureau IT security program policy.

3.3.1.1 Investigative Requirements for Summer Interns, Associates, Volunteers, etc

Summer interns, associates, volunteers and etc. on board at DOC **more than 180 days require a** National Agency Check and Inquiries (NACI) and the CAS finger print check. The CSD or the COR must process this applicant as a full time employee or contractor in regard to the type of back ground investigation and the request for a PIV credential. (Refer to section 3.3.2 of this document) The person must be identity proofed in accordance with the HSDP-12 requirements.

Summer interns, associates, volunteers and etc. **less than 180 days require at a minimum a** Special Agreement Check (SAC) and the CAS finger print check. The SAC consists of the following completed Forms: the OFI-86C and the FD-258, Fingerprint Chart. The person must be identity proofed in accordance with the HSDP-12 requirements. The person will

be issued a Non-PIV credential. A PIV credential cannot be issued due to the SAC investigation does not meet the HSPD-12 investigative requirements. If a PIV credential is required the applicant must submit to a NACI investigation instead of the SAC.

3.3.2 Suitability Investigative Process (e-QIP)

CSD issues Tentative Job Offer and initiates the selectee into the e-QIP Program as an Applicant. CSD instructs applicant to complete e-QIP questionnaire online and to print and forward original e-QIP questionnaire form/signature/release page(s). The selectee is informed that the OF-306 and the SF 87 will be forwarded to them to be properly completed and that the package must be returned to CSD by the deadline. The established deadline date to return investigative package is normally not to exceed 14 calendar days. The selectee is advised of various locations available to obtain the required fingerprints, e.g., police stations. (Import Note: The e-Qip program does not have an automatic notification feature to notify each functional role player that an action is waiting to be acted upon. There for if CSD or the SO is requesting electronic e-Qip action the requester must notify the other of action pending through email.)

3.3.2.1 CSD Review of e-QIP Submission and Consolidation Forms (e-QIP)

The CSD reviews the completed forms to include e-QIP electronic submission, if acceptable; CSD completes the agency header information in e-QIP program. CSD will create electronic “tif” file(s) by scanning in the e-QIP signature/release page(s), OF-306, Fair Credit Act Form (if required) and the resume into an electronic file record. The electronic file should be labeled so that the record is easily retrievable, e.g., applicant’s last name plus last four of social security number. (The electronic record should be maintained only until the investigation has been completed and then should be promptly purged.) CSD will electronically attach the scanned document file(s) to the applicant’s electronic e-QIP record. It is import that CSD identifies the contents of the file in the description block during the e-QIP attachment process (example: Resume/306/signature/release/creditform.tif). If the required documents identified above are not attached to the applicant’s e-QIP record prior to the SO review, the SO will reassign the e-QIP record to the CSD for corrective action. SO will notify CSD of the decision to return or reassign the package back to CSD.

During the review, if CSD identifies derogatory information on the OF-306 or any other forms, CSD will immediately make a pre-suitability determination as to whether the hiring process should continue. CSD notifies the Selecting Official of the responses and requests a determination if the final job offer should be proffered. When the Selecting Official makes the determination not to proceed with the final offer, (i.e. selection), the selectee is notified by CSD and the certificate is returned to the Selecting Official (if requested) to make another selection. CSD will also immediately cancel the e-QIP investigative record in e-QIP.

3.3.2.2 CSD Investigative Package Submission and Security Office Notification (e-QIP)

CSD forwards the required e-QIP documents [employee submitted questionnaire and original signature/release page(s)] and original fingerprint charts in a labeled file (penciled last name, first name and SSN) to SO. (If SO needs copies of the resume, OF-306, or the completed

questionnaire, it can be retrieved/forwarded by e-mail) The physical transfer of the file and paper package to the SO is the official notification to the SO that the applicants e-QIP package has been properly completed, all required documents have been scanned and attached to the applicants e-QIP record and the e-QIP record is ready to be approved by the SO for release to OPM.

When the SO receives the paper package from CSD, SO will submit the fingerprints through the electronic DOJ Civil Applicant System (CAS). After SO receives the CAS finger print results from DOJ, the SO will review CAS results. If derogatory results are found, SO notifies CSD of results for review. CSD will discuss with responsible parties involved and either advises SO to reassign the applicant e-QIP submission to CSD (because the offer of employment is being withdrawn) or to release the e-QIP submission to OPM (because the offer of employment is continuing.) If CSD instructs SO to continue with the e-QIP submission and release to OPM, SO will scan the CAS results into a tif file and attach the CAS file to the applicant's e-QIP submission along with the other CSD scanned files. SO will release the applicant e-QIP record to OPM and notify CSD that the package has been submitted to OPM.

CSD can contact the applicant and issue a Formal Job Offer once a favorable review of the CAS fingerprint results have been completed and the SO has released the suitability background investigation e-QIP package to OPM or a previous suitability background investigation of equal or higher level can be verified.

4. Formal Job Offer

4.1 CSD Initial Notification

The CSD contacts the applicant by telephone and tenders a tentative Job Offer. If the offer is accepted, a tentative EOD date is determined. It is explained that the Job Offer Letter will contain all instructions, deadlines, links to web sites for required forms (i.e., I-9 requirements) and orientation, employee benefits, entitlements, PIV training for mandatory training, etc. The letter will explain that all of the required forms and PIV training must be completed and provided at EOD. The applicant is advised of the location for in processing and the name of the point of contact (i.e. CSD/PIV Sponsor or Enrollment Official if at a remote site).

The applicant is instructed that on the EOD date and prior to the administering of the Oath of Office, they will be required to provide identification as per the I-9, Employment Eligibility Verification Form requirements. The CSD will describe the forms of identification required that prove their employment eligibility.

4.2 CSD/PIV Sponsor Required Notification

CSD also instructs the applicant that on the EOD date, they will be required to provide proof of identity in order to receive their HSPD-12, PIV Credential. The applicant must provide two original documents from the list of documents provided on the I-9 Form and provide their PIV Applicant Training Certification Number. The two identity proofing documents can be the same

two documents used to execute the I-9 Form, but one of the documents and only one must be a photo identification issued by a State or the U.S. Federal Government. CSD also informs the applicant must complete the PIV Applicant Training module at the DOC Office of Security web site: <http://www.osec.doc.gov/osy/HSPD12/Applicants.htm> and bring a copy of the certificate of completion or the certificate number issued at the end of the training module.

4.3 CSD Final Notification

The CSD will transmit the tentative Job Offer Letter and Package to the applicant. The CSD advises the selecting official and other appropriate management officials that the job offer was accepted and that the tentative EOD date has been established.

5. In Processing of New Hires

In processing of new hires can be performed either at the CSD location or at a remote site. Although the procedures and requirements are much the same, the actual person doing the In Processing and PIV Credential Identity Proofing will be a federal employee who has been granted the authority to perform the duties of the CSD and the PIV Sponsor or the Enrollment Official in remote locations.

5.1 On-site CSD In Processing Procedures:

On the EOD date, the applicant reports in person as directed to the CSD. The applicant must provide employment eligibility proofing documents in their original form, from the list of acceptable documents cited on the I-9 form. The CSD authenticates the I-9 forms of identification and completes/signs/dates the I-9 Form certifying the applicant meets the federal employment eligibility requirements. Applicant is sworn in and Appointment Affidavit is completed by the CSD who authenticated the I-9 forms of identification. The execution of the I9 document is strictly a CSD process and should not be confused with the PIV Identity Proofing requirement below.

5.1.1 HSPD-12, PIV-1 On-site Procedures

CSD is the only authorized PIV Sponsor for new hires. As the PIV Sponsor, CSD will perform the PIV-1 identity proofing and complete/certify the CD-591, PIV Request Form Section A and Section B. If the applicant has not completed the PIV-1 Applicant Training or has misplaced their training certification number, they can take the training again at the time of EOD by going to the DOC Office of Security web site: <http://www.osec.doc.gov/osy/HSPD12/Applicants.htm>. CSD/PIV Sponsor will give or explain the PIV Privacy document to the Applicant. (See Section 13. Privacy Concerns)

Where appropriate, the CSD/PIV Sponsor escorts the new employee to the SO and CSD provides SO with the CD-591, PIV Request Form and copies of the identity proofing documents and any other site-specific documentation required. At no time can the new employee deliver their PIV

request package to SO. The integrity of the PIV-1 process and documents must be protected at all times. The CSD/PIV Sponsor will either have the applicant supply a passport quality photo or an electronic photo will be taken at time of in processing so the SO can use it to create the PIV Credential.

The SO will review the PIV request package for completeness. SO must verify that the CAS fingerprint check results are favorable (must be current as of 30 days) and either a NACI or higher level of investigation has been initiated or completed favorable before issuing the PIV Credential. In some cases a Visitor's Pass may be issued to the selectee, in lieu of a PIV Credential, for escorted access on site in the event that the PIV Credential cannot be issued at the time of EOD pending receipt of the PIV Credential. The new employee is required and should be told to bring a current federal/state government -issued photo ID so the SO can verify identification prior to issuance of the PIV Credential.

5.2 Remote-site CSD Procedures:

If the applicant cannot report to the CSD (i.e. PIV Sponsor) in person and is required to in-process at a remote location the following procedures apply: LO will identify a federal employee at the relocation site to act as an Enrollment Official on behalf of the PIV Sponsor as the point of contact (POC), to perform the in-processing requirements as instructed by the CSD. The Enrollment Official serves as a PIV Sponsor proxy by performing identity proofing for Applicants located remotely from the PIV Sponsor or Registrar. The Enrollment Official is the only person who has been given delegated authority from the SO to perform remote PIV-1 identity proofing requirements. The PIV Sponsor and Enrollment Official are kept apprised by telephone contact and/or e-mail at all phases of the process.

The CSD instructs applicant to report to the remote location on EOD. CSD will give the applicant the remote site address, information (to include phone number) of the employee who will serve as the Enrollment Official and perform the in processing and the PIV-1 identity proofing. CSD will either send all the required forms to the applicant. When remote site does not have the capability to create electronic photo images, CSD will instruct applicant to bring a passport quality photo to the remote location on EOD. The PIV Sponsor will give or explain the PIV Privacy document to the Applicant. (See Section 13. Privacy Concerns)

On the EOD date, the applicant reports in person as directed by the CSD to the Enrollment Official. The applicant must provide employment eligibility proofing documents in their original form, from the list of acceptable documents cited on the I-9 form. The Enrollment Official authenticates the I-9 forms of identification and completes/signs/dates the I-9 Form certifying the applicant meets the federal employment eligibility requirements. Applicant is sworn in and Appointment Affidavit is completed by the Enrollment Official who authenticated the I-9 forms of identification.

5.2.1 HSPD-12, PIV-1 Remote Procedures

CSD is the only authorized PIV Sponsor for new hires. The PIV Sponsor will complete the CD-591, PIV Request Form Section A and send the CD-591 to the Enrollment Official at the remote site.

If the applicant has not completed the PIV-1 Applicant Training or has misplaced their training certification number, applicant can take the training again at the time of EOD by going to the DOC Office of Security web site: <http://www.osec.doc.gov/osy/HSPD12/Applicants.htm>.

The Enrollment Official will visually inspect, validate, and copy two identity source documents; verify that the picture on identity document is of Applicant. Enrollment Official will carefully inspect the Applicant's two forms of ID (one must be a Federal or State-issued photo ID). Applicant will either give the Enrollment Official the passport quality photo as requested and the Enrollment Official will verify that picture on photo is of Applicant or the Enrollment Official will take an electronic image of the Applicant. The Enrollment Official will complete Section B of the CD-591 and attach a copy of two forms of identification documentation and the photo and return the PIV Request package to the PIV Sponsor by a secured means (ie. FedEx, Registered Mail, etc.) In some cases a Visitor's Pass may be issued to the applicant, in lieu of a PIV Credential at the time of EOD pending receipt of the PIV Credential. The new employee is required and should be told to bring a current federal/state government -issued photo ID so that the Remote Issuer can verify identification prior to issuance of the PIV Credential.

Upon CSD receipt of the completed PIV Request package, PIV Sponsor ensures the CD-591 Sections A and B are complete, copies of the two PIV identity proofing documents and either a passport quality photo or electronic photo are attached. If the PIV Request package is acceptable CSD/PIV Sponsor submits the entire package to the SO for processing. If the PIV Request Package is not correctly prepared by the Enrollment Official the CSD/PIV Sponsor will contact the Enrollment Official to have the appropriate corrections made before submitting the PIV Request package to SO. When received by the SO, the SO prepares the PIV Credential and transmits by a secured means to the Remote PIV Issuer at the new employees' duty location.

The PIV Remote Issuer must personally issue the PIV Credential to the new employee. The Remote Issuer will inspect the applicants current Federal or State-issued photo ID and verify that the person standing in front of them is the same person on the State or Government-issued ID and the PIV Credential. The Remote Issuer will complete Section D of the CD 591 Form and require the Applicant to complete Section E of the CD-591 just prior to issuance of the PIV Credential.

A Visitors Pass may be issued to the selectee, in lieu of the PIV Credential, for escorted access on the site in the event that the PIV Credential has not been received for issuance to the Selectee at the time of EOD pending the receipt of the PIV Credential.

6. In Processing of Transferred:

Employees who have been selected for transfer from another Federal Agency to NOAA must have the appropriate level background investigation on record for the position in question. If the

position sensitivity is determined to be at the Moderate (IT) Risk, High Risk, NCS, CS, or SS level, CSD (i.e. the PIV Sponsor) is required to obtain pre-appointment approval from the SO prior to the EOD of the selectee. If the position sensitivity is determined to be at the Low or Moderate (non-IT) level a NACI or higher-level investigation must be verified prior to their entrance on duty (EOD). Completion of a NACI is verified by SF-75 information received from the previous agency prior to EOD. If the selectee has no record of the appropriate level of investigation for the position, the appropriate investigation form, OF-306, Fair Credit Reporting Act Form (if required) and SF-87 must be completed and reviewed by CSD prior to EOD and submitted to SO. (See New Hire Procedures, Section 3.2.1)

7. In Processing of Reassigned or Detailed Employees:

Employees who are reassigned or detailed to a new position within the DOC must have the appropriate level background investigation on record for the position in question. If the position sensitivity of the position is determined to be at the Moderate (IT) Risk, High Risk, NCS, CS, or SS level, CSD (i.e. the PIV Sponsor) is required to obtain pre-appointment approval from the SO prior to the reassignment or detail of the selectee. If the appropriate level background investigation cannot be verified by PIV Sponsor, the selectee will not be reassigned/detailed until the appropriate background investigation has been verified. The PIV Sponsor will inform the employee of the need to complete and submit the requisite investigative forms prior to establishment of an effective date.

Note: If a waiver or interim clearance is requested by the supervisor/manager, additional form(s) and coordination with the SO will be required and should be initiated immediately by the PIV Sponsor to avoid unnecessary delays.

8. Promotion Actions:

Promotion actions on selectees will not be effectuated until the appropriate background investigation paperwork has been initiated/verified by the PIV Sponsor and, if required, the appropriate security clearance level has been approved by OSY.

Employees who are promoted to a new position within the DOC must have the appropriate level background investigation on record for the position in question. If the position sensitivity of the position is determined to be at the Moderate (IT) Risk, High Risk, NCS, CS, or SS level, the PIV Sponsor is required to obtain pre-appointment approval from the SO prior to the promotion of the selectee. If the appropriate level background investigation cannot be verified by the PIV Sponsor, the selectee will not be promoted until the appropriate background investigation has been verified. The PIV Sponsor will inform the selectee of the need to complete and submit the requisite investigative forms prior to establishment of an effective date.

Note: If a waiver or interim clearance is requested by the supervisor/manager, additional form(s) and coordination with the SO will be required and should be initiated immediately by the PIV Sponsor to avoid unnecessary delays.

9. Security Clearances:

The DOC, Director for Security is the only person who has the authority to approve/grant security clearances for DOC. All requests for background investigations that require the use of the 86 investigative forms must be completed using the e-QIP web based program. Paper SF-86's will not be accepted by OPM as of March 1, 2006. Employees will not be assigned duties that require access to National Security (Classified) Information or secured facilities until the appropriate security clearance has been approved in writing from the DOC, Office of Security (OSY).

The employee's supervisor determines the need for a security clearance. A security clearance is attached to the position and not the employee. An employee who may have had a security clearance in another position in DOC or previously/currently in another DOD/federal agency does not retain a security clearance for the DOC position. Once the employee leaves his or her position the security clearance is administratively withdrawn. Each time an employee changes from one position to another position requiring a security clearance, the security clearance must be approved/granted by the OSY. Although the investigation level from the previous position may meet the investigative requirements for the new position, the security clearance will have to be approved/granted for the new position. If the selectee/employee has an investigation on record that meets the current requirement and it can be verified, the PIV Sponsor may not have to initiate a new investigation. The PIV Sponsor must review the position data to ensure the position sensitivity reflects the appropriate level for the clearance requirement. If the position sensitivity is determined to be at the NCS, CS, or SS level, the PIV Sponsor may be required to obtain pre-appointment approval from the SO prior to EOD or the affected date into the position. Due to the complexity of the security clearance process, the PIV Sponsor should consult directly with the SO in the planning stage of the request to eliminate any process delays on the part of the agency.

The supervisor must initiate the security clearance request through the PIV Sponsor located in the CSD. The PIV Sponsor will ensure the position description and position sensitivity reflects the security clearance requirement before requesting pre-appointment (if required) and the security clearance from the SO. The employee's supervisor must complete the CD-79, Request for Security Clearance and forward the original to the PIV Sponsor. The PIV Sponsor will enclose the original CD-79 with the e-QIP package that will be forwarded to SO. CSD reviews the position data to determine, based upon the position sensitivity, which investigation level is required and determines the appropriate suitability background forms to be sent to the selectee or the employee in question, or if a new investigation is required. If a new investigation is required the PIV Sponsor coordinates the completion and submission of the necessary forms with the employee through the employee's supervisor. The PIV Sponsor will invite the employee in question into the e-QIP process. **(See 3.3.2 e-QIP Investigative Process)**

10. PIV Credential Renewals:

Replacement or renewal PIV Credentials are issued to current employees and contract personnel by the SO. The procedures for obtaining a renewal PIV Credential are specified within the DOC Office of Security web site: <http://www.osec.doc.gov/osy/HSPD12/HSPD-12Information.htm>. The PIV Sponsor for a current federal employee is the supervisor and the PIV Sponsor for both current and existing contractors is the Contracting Officer Representative (COR). It is the responsibility of each DOC employee and their supervisor or COR to ensure they request a new PIV Credential prior to expiration of their PIV Credential.

11. PIV Credentialing Requirement for current Employees and Contractors

11.1 PIV Credentialing Requirement for Current Employees in Need of NACIs

In accordance with HSPD-12, FIPS 201 to receive a PIV Credential, the agency must verify that the employee has at a minimum a NACI investigation of record on file. The CSD will in coordination with the SO review employee listings to verify employee background investigation requirement. If necessary, the CSD will conduct a further review of the employee's Official Personnel Folder to determine if the employee is in need of a NACI.

For those current federal employees for whom a valid background investigation cannot be verified, the PIV Sponsor will instruct the employee to complete the e-QIP questionnaire online, print the entire questionnaire and forward the questionnaire/signature/release page(s). The employee is informed that the OF-306 and the Standard Form 87 (Fingerprint Chart) will be forwarded to them to be properly completed and that the package must be returned to PIV Sponsor by the deadline. The established deadline date to return the investigative package is normally not to exceed 14 calendar days. The employee is advised of various locations available to obtain the required fingerprints, e.g., police stations.

11.2 PIV Credentialing Requirement for Current Contractor Employees

In accordance with HSPD-12, FIPS 201 to receive a PIV Credential, the agency must verify that the contractor has at a minimum a NACI investigation of record on file. DOC Contracting Office Representatives (COR) will coordinate directly with the SO in the geographic region to verify contractor background investigation requirement compliance. CSD does not have any responsibility in the Contractor PIV process unless the CSD staff member is a COR. Due to on going changes in the procedures the COR is required to coordinate with the SO in their geographic region to obtain processing guidance.

12. Personal Identity Verification (PIV-1) Appeals Process

12.1 Initial Application

In the event the initial PIV Application is denied due to a disqualifying factor, the applicant has the option of beginning the appeals process:

- 1) Applicant will be notified by the PIV Sponsor and told the reason for the disqualification
- 2) Applicant will have the option to submit a letter of appeal along with any information supporting the claim to the PIV Sponsor
- 3) After the appeal is reviewed; applicant will be notified by the PIV Sponsor about a decision reversal or decision affirmation
- 4) Contractors and Foreign National Visitors do not have the option to appeal. A decision on PIV Application denial is final.

12.2 Revocation

In the event that PIV Application is revoked for a current employee, two options are available depending on length of employment: (Any adverse actions resulting from suitability investigations will be taken pursuant to 5 CFR 731 or 5 CFR 752, as appropriate)

- 1) Employed more than 12 months in a permanent appointment: Reviewed in accordance with the Suitability Adjudication Process.
- 2) Employed less than 12 months (probationary/trial period) or temporary appointment: Reviewed in accordance with Suitability Adjudication Process; however, temporary appointments do not have appeal rights and probationers/trial have limited appeal rights.
- 3) Contractors and Foreign National Visitors do not have the option to appeal. The decision on PIV Application denial is final.

13. Privacy Concerns:

The documents used in the aforementioned process will be maintained consistent with established law, OPM, DOC, NOAA and WFMO instructions and procedures. Disclosure of any records and maintenance of records will be consistent with Privacy Act of 1974 and the PIV Privacy Statement on the OSY website, http://www.osec.doc.gov/osy/HSPD12/PDF/piv_privacy_statement.pdf
CSD/PIV Sponsor is required to give or explain the PIV Privacy document to the Applicant.

14. Suitability Adjudication Process

If upon the completion of or during a background investigation, derogatory information is discovered about an employee or contractor*, the derogatory information is analyzed to determine if it negatively impacts the employee or contractor suitability (trustworthiness/loyalty) for continued employment or service in *any* position in the government.

No action to remove a person from employment is taken unless an adverse nexus is established between the particular conduct and:

- 1) The person's performance in any position, or

2) The agency's ability to perform its mission.

The conduct is characterized or ranked according to seriousness to determine if action is warranted. The rankings are as follows:

RANKING	DESCRIPTION	POTENTIAL FOR DISQUALIFICATION
A	MINOR	Conduct or issue which, standing alone, <i>would not</i> be disqualifying, under suitability, for any position.
B	MODERATE	Conduct or issue which, standing alone, <i>would probably not</i> be disqualifying, under suitability, for any position.
C	SUBSTANTIAL	Conduct or issue, which, standing alone, <i>may probably</i> be disqualifying, under suitability, for any position.
D	MAJOR	Conduct or issue, which, standing alone, <i>would</i> be disqualifying, under suitability, for any position.

5 CFR 731.202 outlines the factors and additional considerations to be used in making suitability determinations.

Guidance regarding the investigation and adjudication of suitability issues is contained within the DOC Suitability Handbook.

Any adverse actions resulting from suitability investigations will be taken pursuant to 5 CFR 731 or 5 CFR 752, as appropriate.

- Adjudication of suitability issues regarding NOAA contractors are the responsibility of the appropriate Contracting Office Representative (COR) and the SO.

IMPLEMENTATION OF THESE PROCEDURES WILL BE CONSISTENT WITH EXISTING COLLECTIVE BARGAINING UNIT AGREEMENTS AND THE FEDERAL LABOR MANAGEMENT RELATIONS STATUTE.