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

Prepared for

United States Department of Agriculture
Office of Homeland Security

1400 Independence Ave, SW
Whitten Bldg, Suite 12B
Washington DC 20250

Version 3.5

September 26, 2019

Table of Contents

Table of Contents

Revision Information

Version	Date	Revision Information
1.0	12/10/2008	Initial Draft
2.0	4/25/2008	Updated page headers and formatting, card shipping code selection information, ACP screen shots, and help resources; added FAQ section
3.0	6/4/2008	Added card shipping code selection for mobile stations, email address precedence rules, and notes that records of non-US citizens are not currently being processed.
3.1	7/24/2008	Updated business process flow diagram, Added information about mandatory Sponsor and Adjudicator designation in USAccess. Updated reminders that Sponsor and Adjudicator must be two separate people; added FAQ.
3.2	8/14/2008	Added instructions for editing record to allow only 2 digital certificates; added post-validation steps. Moved all FAQ to the Sponsor FAQ document on the USDA LincPass website
3.2	9/8/2008	Added note about updating employee email via My System Profile
3.3	8/08/2009	Added optional card pick up instructions
3.4	12/27/2010	Pulled out section D: pgs 21-26 covering ACP; removed mobile credentialing information
3.5	09/26/2019	Added in AltLinc details; updated Help Desk contact information; modifications to USAccess Sponsorship Functions; replacement of outdated screenshots; general formatting updates; updated 508 compliance standards

How to Use this Guide

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

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

- Completion of Sponsorship for the Applicant

- Completion of Adjudication for the Applicant

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

The first half of this guide provides a high level overview of where on-boarding fits into the overall LincPass/ AltLinc 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:
- Toll Free: 833-682-4675
- Email: usdahspd12help@dm.usda.gov

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

 GSA MSO Help Desk (general policy questions):
- Phone: 202-501-4740
- Email: hspd12@gsa.gov

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

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

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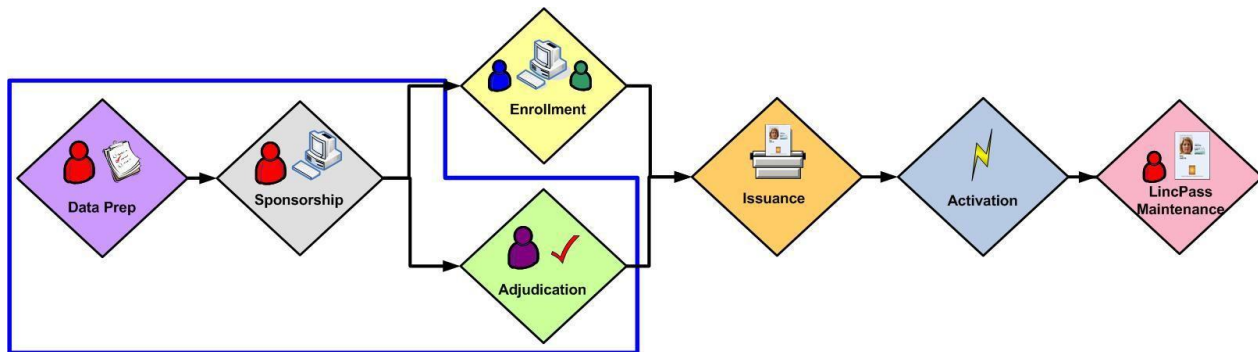
Part I: Overview and Business Process

Figure 1 - LincPass/ AltLinc Issuance Process

A. On-boarding Process Overview

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

- Sponsor selects records to prepare and then review and update data in EmpowHR Employee is
- Sponsored and Adjudicated once the data is submitted
- Employee receives notice to enroll at an Enrollment Station

Prerequisites:

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

- Completed the Sponsor or Adjudicator (whichever is appropriate for your role) training in AgLearn
- Received access to and a user ID and password for USDA's EmpowHR system.
- Received access to EmpowHR user guides and procedure manuals.
- Designated as a Sponsor or Adjudicator (whichever is appropriate for your role) in USAccess by your Agency Role Administrator
- Received your USAccess user name and password

B. On-Boarding Business Process

B (i). Business Process Workflow

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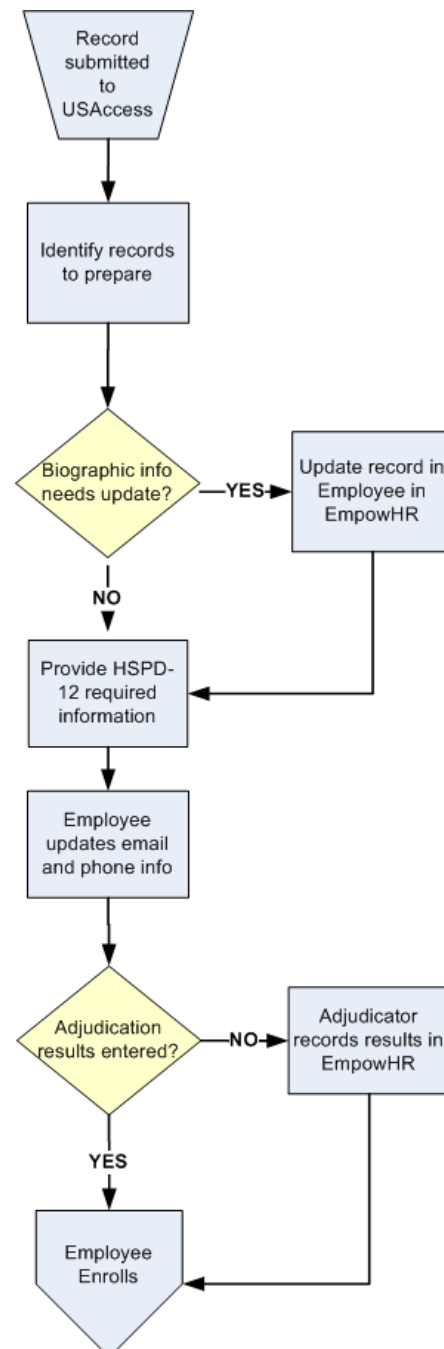

Figure 2 - Business Process

1. Sponsor identifies the new Employee record and checks if they already have a BI on file. A minimum of a NACI (National Agency Check with Inquires) is required for complete LincPass Issuance. A minimum of an FBI fingerprint check is required for complete AltLinc issuance.

2. If the Employee's record requires updates to the required biographic information (e.g. name, home address, citizenship status, etc.), Sponsor makes the updates in EmpowHR. *If this is a new Employee, HR will create a new record in EmpowHR for this Employee.* **NOTE: All biographic information for an applicant should be input/ updated in EmpowHR only; these updates SHOULD NOT be added directly into USAccess as this will cause issues down the road. The Authoritative source for this information is EmpowHR. If data is not flowing over correctly to USAccess, please contact the USDA HSPD-12 Help Desk for assistance.**

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

    a. Selecting Card Type (LincPass, AltLinc or No LincPass/ AltLinc)

    b. Indicating if Employee is an Emergency Response Official

    c. Card Shipping Address

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

5. If the Employee's record in EmpowHR does not already contain their adjudication results, the Adjudicator enters the type of BI and results in EmpowHR. (Note: The Adjudicator must obtain the BI (e.g., FBI or higher) adjudication information for these Employees, either from Office of Personnel Management (OPM) records or USDA HR records.)

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

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

**If the Employee does not have a BI or record of it cannot be found, the BI should be initiated. Once at least the FBI Fingerprint Check is returned and favorably adjudicated, complete steps 5-7 and a card will be printed. The Employee's record can be updated at a later date after the full BI results have been favorably adjudicated.

B (ii). Additional Business Process Rules

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

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

3. <u>Authoritative Data Source</u> – **EmpowHR serves as the authoritative data source for all sponsorship and adjudication information. Therefore all changes to sponsorship and adjudication data must be made in EmpowHR and not USAccess. Any data changed directly in USAccess will be overwritten by what is currently in EmpowHR or duplicate records could be created causing activation issues.**

Part 2: Detailed Instructions

A. Select Records to Sponsor

The first step in the process is to identify Employee records in need of Sponsorship in USAccess.

B. Verify and Update Records in EmpowHR

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

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

- Citizenship Status
- Business Email Address
- Business Phone Number
- Emergency Response Official
- Card Type Adjudication
- Information Card Shipping
- Address Code

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

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

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

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

Figure 3 - EmpowHR Login

Step 1. Sign in to the EmpowHR System with your **eAuthentication credentials** and LincPass card.
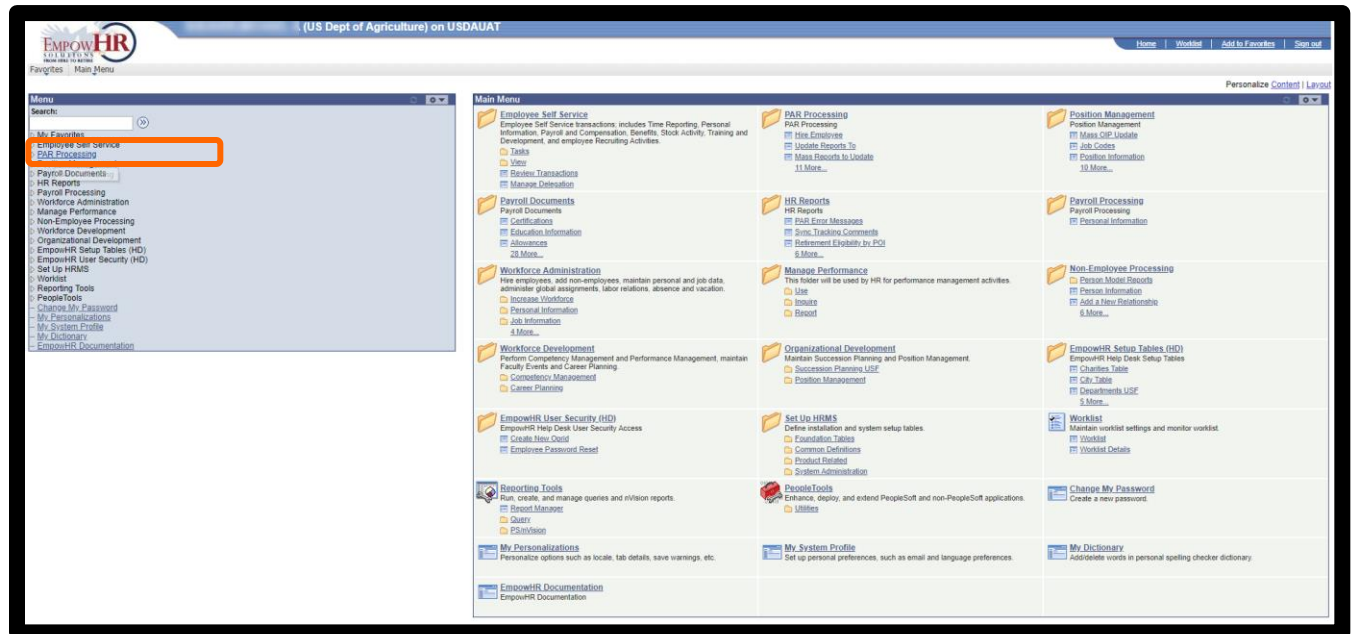
Figure 4 - EmpowHR Menu

Step 2. Click on the **PAR Processing.**
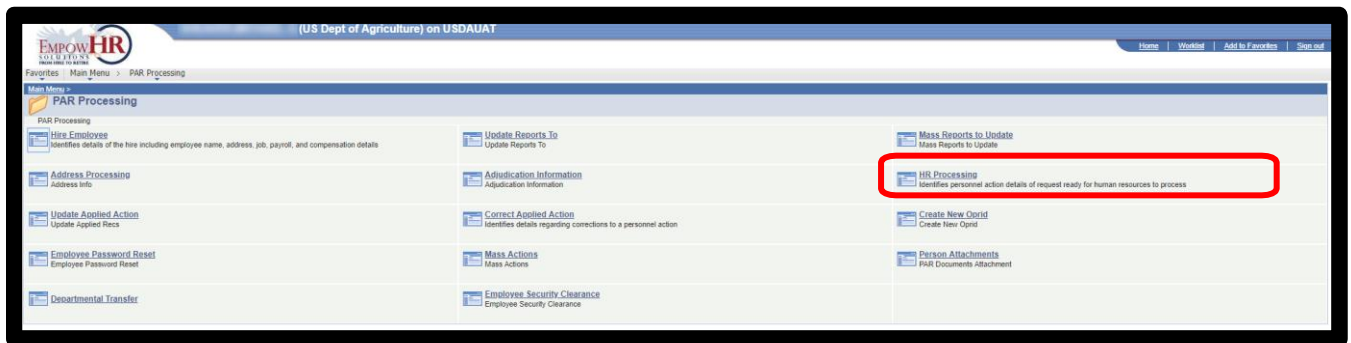
Figure 5 - HR Processing Link

Step 3. Click on **HR Processing**.

Figure 6 - Employee Search

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

Step 5. Click on the **Search** button.

Figure 7 - Data Control Screen

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

Figure 8 - Verifying Personal Data

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

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

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

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

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

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

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

B (ii). Provide Sponsorship Information in EmpowHR
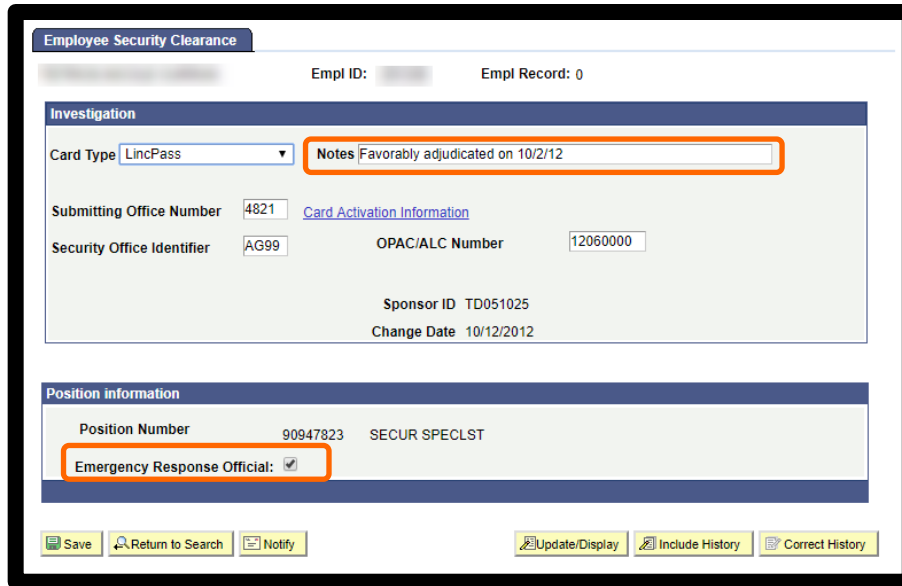

Figure 9 - Security Clearance Link

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

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

Figure 10 - Card Type dropdown

Step 3. Use the USDA Credential Matrix to determine what kind of credential a person requires. The Credential Matrix can be found in the USDA DM 4620-002 (https://lincpass.usda.gov/ref_lincpass.html). Once a credential type is identified, then you can sponsor the applicant. In the Investigation block, select the **Card Type** you wish to sponsor (LincPass, AltLinc, No LincPass/ AltLinc).

Figure 11 - Completing Security Clearance Screen

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

> **Note:** If the Employee has not completed his/her background investigation, the Employee's Submitting Office Number (SON), Security Office Identifier (SOI) and OPAC/ALC must also be entered.
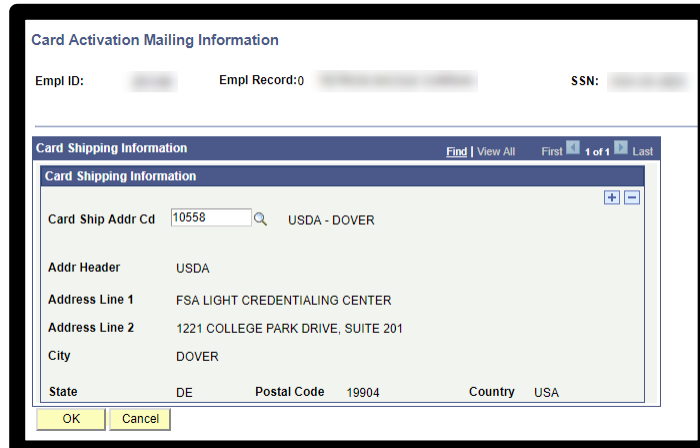
Step 5. Click on **Emergency Response Official** check box if applicable.

Figure 12 - Card Activation Information Link

Step 6. Click the **Card Activation Information** link.

Figure 13 - Card Shipping Information

Step 7. Use the Card Activation Information link to specify the Card Shipping Address Code. This will be the site that the HSPD-12 LincPass/ AltLinc will be delivered to for activation. For example, if an Employee is in Fort Collins, CO, you should specify this location as the Card Shipping Address.

Use the lookup feature to find the appropriate code.

Step 8. Save the updates by clicking the **Save** button.

Note: The address selected is where the card will be delivered, but does not dictate where the Applicant will enroll. Applicants have the choice to enroll at any station of their choosing.
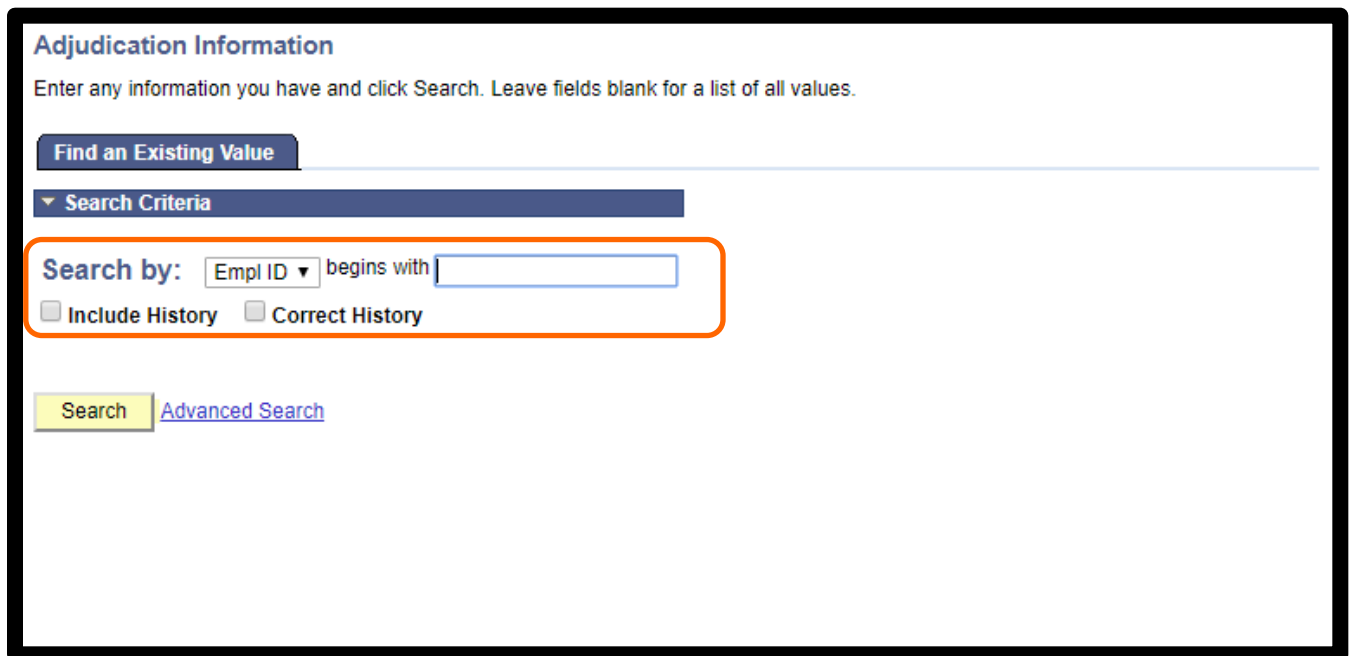
B (iii). Verify and/or Update Adjudication Information in EmpowHR

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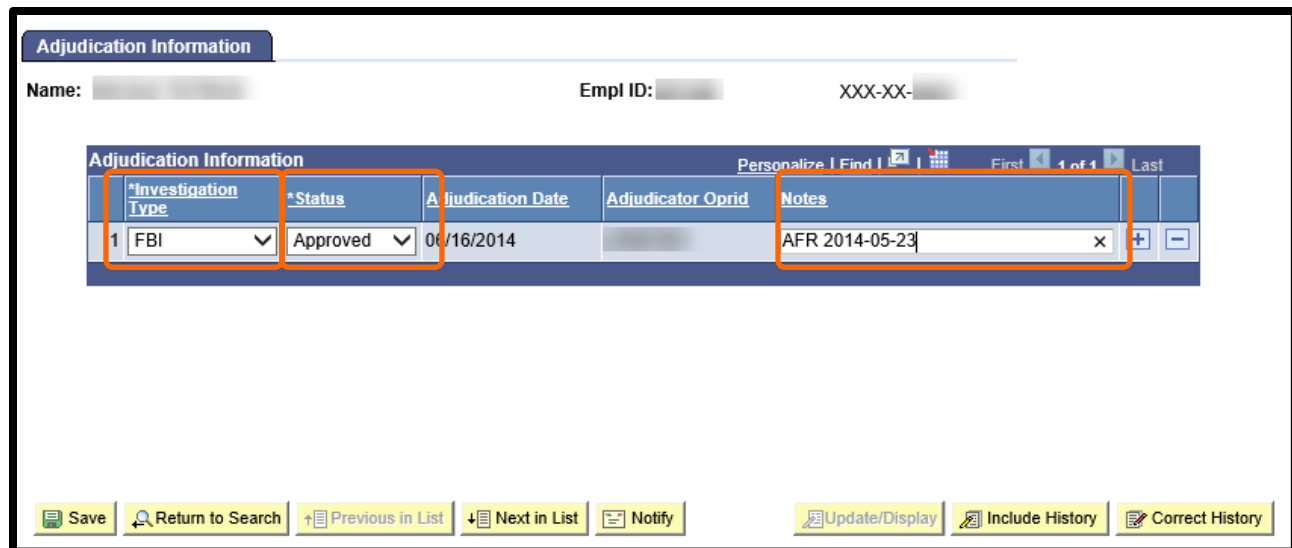

Figure 14 - Adjudication Information Link

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

Figure 15 - Search for Employee

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

Figure 16 - Completing the Adjudication Information Screen

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

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

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

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

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

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

C. Update Employee Personal Information

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

If the Applicant has a work email address, it should be up to date in EmpowHR so that they can receive emails from USAccess and can use the digital signature and encryption certificates on the card. 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. **(NOTE: the email address update should be made in EmpowHR and not USAccess).**

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

Note: The email address in EmpowHR takes precedence over the email address in eAuthentication. The EmpowHR email address will be used for the Applicant's Sponsorship record. If there is no email address in EmpowHR, then the eAuthentication email address will be used for the Applicant's Sponsorship record.

If the email address is updated and the changes are not reflected in USAccess, have the Employee change their email address using the EmpowHR "My System Profile" feature instead. If this still does not work, you (the Sponsor) should contact the NFC EmpowHR help desk. DO NOT make these changes directly in USAccess.

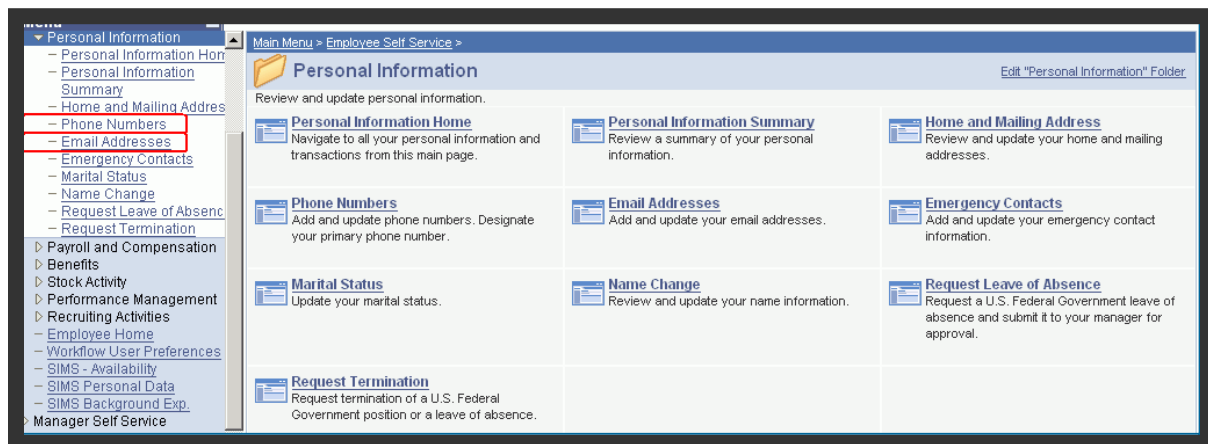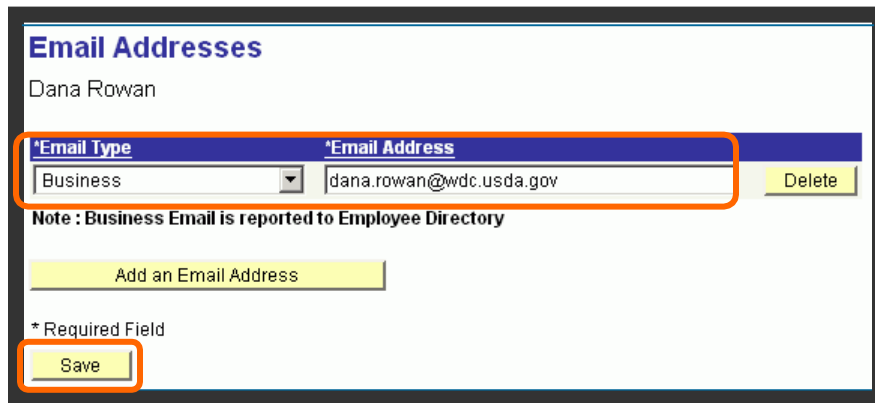**C (i). Employees who use EmpowHR's Self-Service Module:**

Figure 17 - Self-Service Menu

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

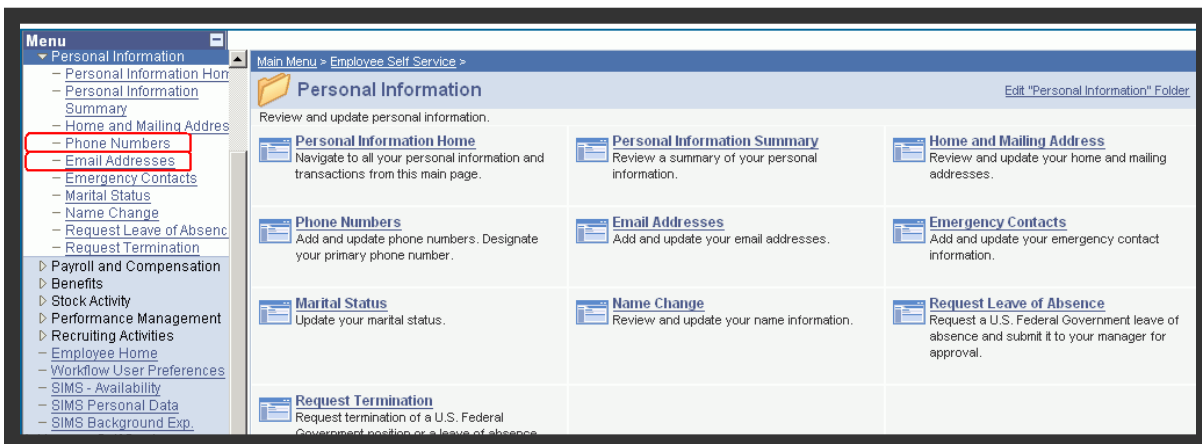
Step 2. To verify/update your business email address, click the Email Addresses link.

Figure 18 - Updating Business Email

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

Figure 19 - Self-Service Menu

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

Figure 20 - Updating Business Phone No

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

C (ii). Employees who use eAuthentication:

For eAuthentication help, please see the eAuthentication Help page:
https://www.eauth.usda.gov/MainPages/eauthHelp.aspx
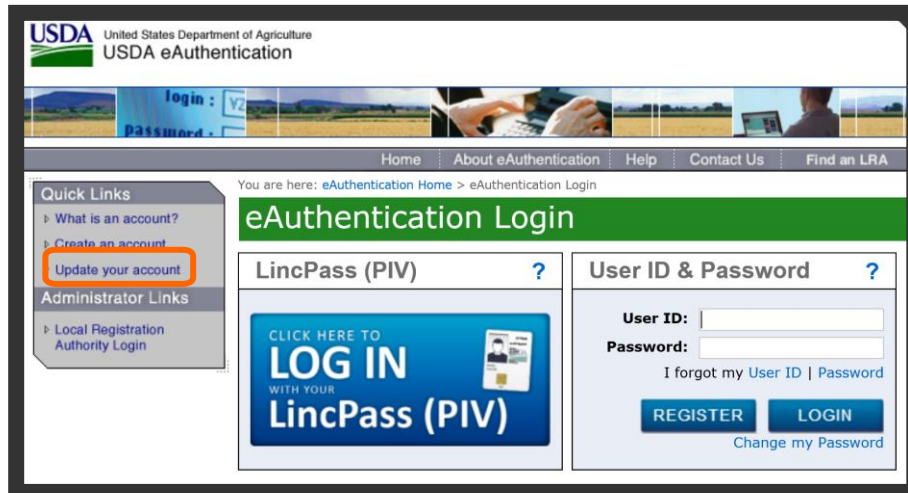
Figure 21 - eAuthentication Log-in Screen

Step 1. Browse to https://www.eauth.usda.gov/Login/login.aspx

Step 2. Click **Update your account**.

Step 3. Log in with your eAuth Credentials and LincPass card or you're your provided Authentication User ID and password. The "Welcome to EEMS Identity Manager" screen will display.

Note: The Employee MUST have a single Employee-type eAuthentication account (not a webuser or other type of account or more than one account) in order for the email address in eAuthentication to be used for the Employee's Sponsorship record.
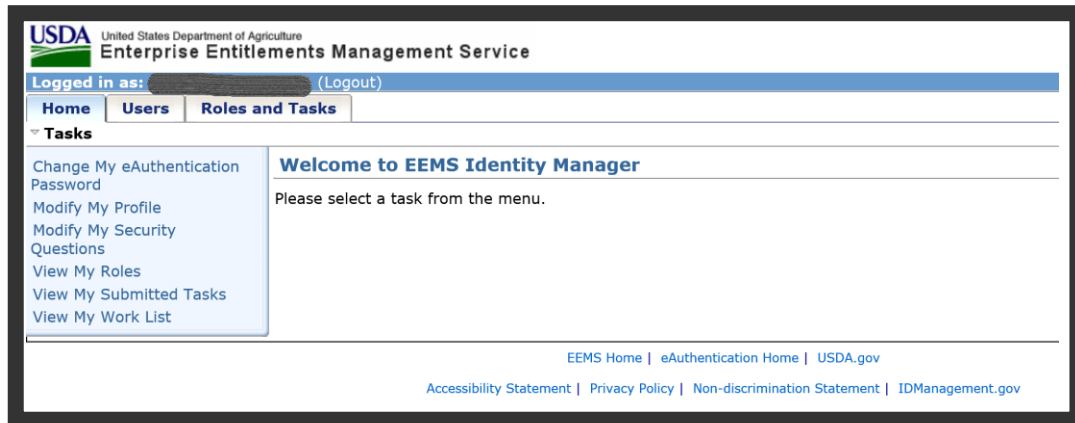
Figure 22 - EEMS Identity Manager screen

Step 4. Click on "Home".

Step 5. Click on "Modify My 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 USAccess.

Part 3: USAccess Sponsorship Functions

A. Login and Search for Applicant

1. Enter https://portal.usaccess.gsa.gov/aisso/UserLogin.aspx into your Internet browser.
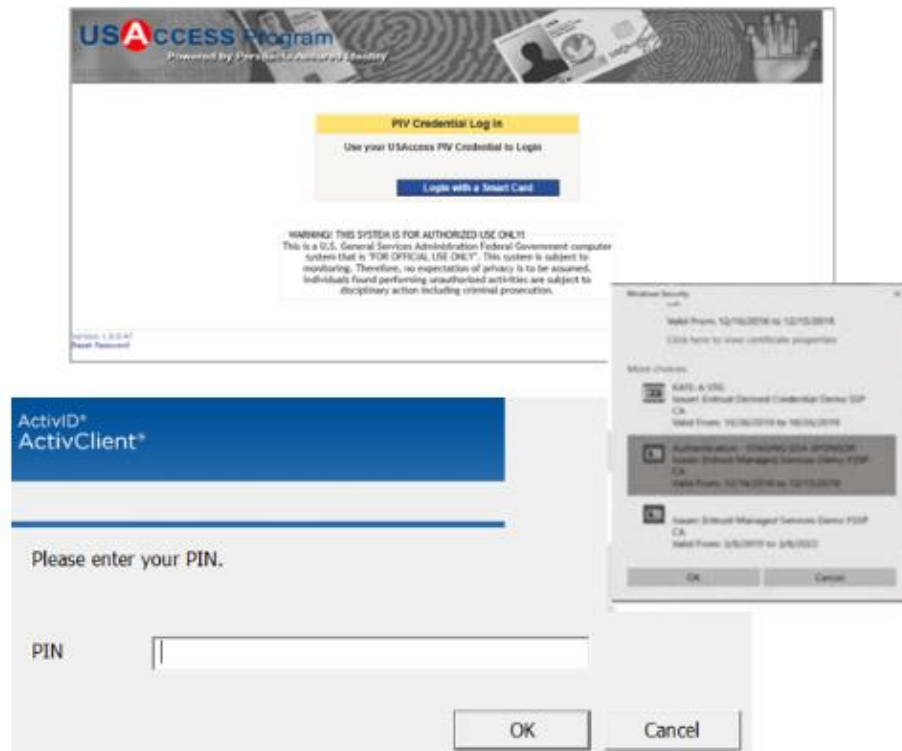

Figure 23 - USAccess Login Screen

2. Insert your credential into the card reader attached to your computer. When prompted, enter the PIN associated with your LincPass card (It will now be required to log on using a PIV credential) and select **OK**.

3. In the **Choose a digital certificate** dialog box, choose your name from the digital certificate list and select the **OK** button.

4. In the ActivClient Login window, enter your PIN and select the **OK** button.

NOTE: If you select the Cancel button, you will have to start over beginning with Step 2.

Figure 24 - USAccess Portal Selection Screen

5. Select the portal you wish to access (i.e. if performing Sponsor functions, select the Sponsor portal).
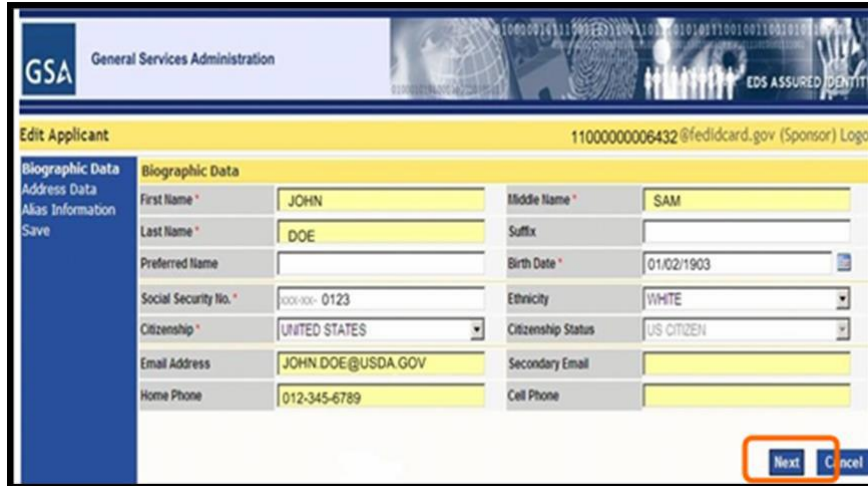
Figure 25 - USAccess Applicant Search Screen

6. When the search results appear, you will be presented with the option to view the Federal Employee record or edit the sponsorship. Select **View Applicant** to view Federal Employee's Biographic Data.

7. Verify all required Biographic Data fields have current and correct information. Red asterisks (*) indicate required fields. Select **Next** to go to the next screen.

Note: If any of the information is incorrect, missing, or needs updating, changes must be made in EmpowHR and not in USAccess.

B. Validate Applicant Data

Figure 26 - USAccess Edit Applicant Screen

1. Verify all required Address Data have current and correct information. Red asterisks (*) indicate required fields. Select **Next** to go to the next screen. If any of the information is incorrect, missing, or needs updating, changes **must be made in EmpowHR and not in USAccess**.

2. No action is required on the **Alias Information** screen. The EmpowHR **Alias** field is hidden to prevent data entry, so information on this USAccess screen will not be populated. Select **Next** to go to the next screen.

Figure 27 - USAccess Edit Applicant Screen

3. Select **Finish** to save the record. USAccess will direct you to the Sponsorship Search page.

4. Verify the following required Sponsorship Information fields have current and correct information.

Note: If any of the information is incorrect, missing, or needs updating, changes must be made in EmpowHR and not in USAccess.

Figure 28 - USAccess Sponsor Applicant Screen

- **Agency**
- **Employee Type:** Should read "Contractor" or "Associate or Dignitary".
- **Employee Status:** Should be set to Active.
- **Work Email Address**
- **Credential Option:** Should be set to appropriate Card Type (PIV = LincPass; PIV-I = AltLinc)
- **Require Digital Signature and Encryption Certificates:** Should say "Yes".
- **PIV Card Type:** The PIV Card Type should be consistent with the Federal Employee Type. The PIV Card Type will be printed on the Federal Employee's LincPass. Federal Employee PIV Card Type =Employee.

- **FERO:** If the applicant is a Federal Emergency Response Official, this option should be set to "Yes."

Note: If any of the information is incorrect, missing, or needs updating, **changes must be made in EmpowHR and not in USAccess**.

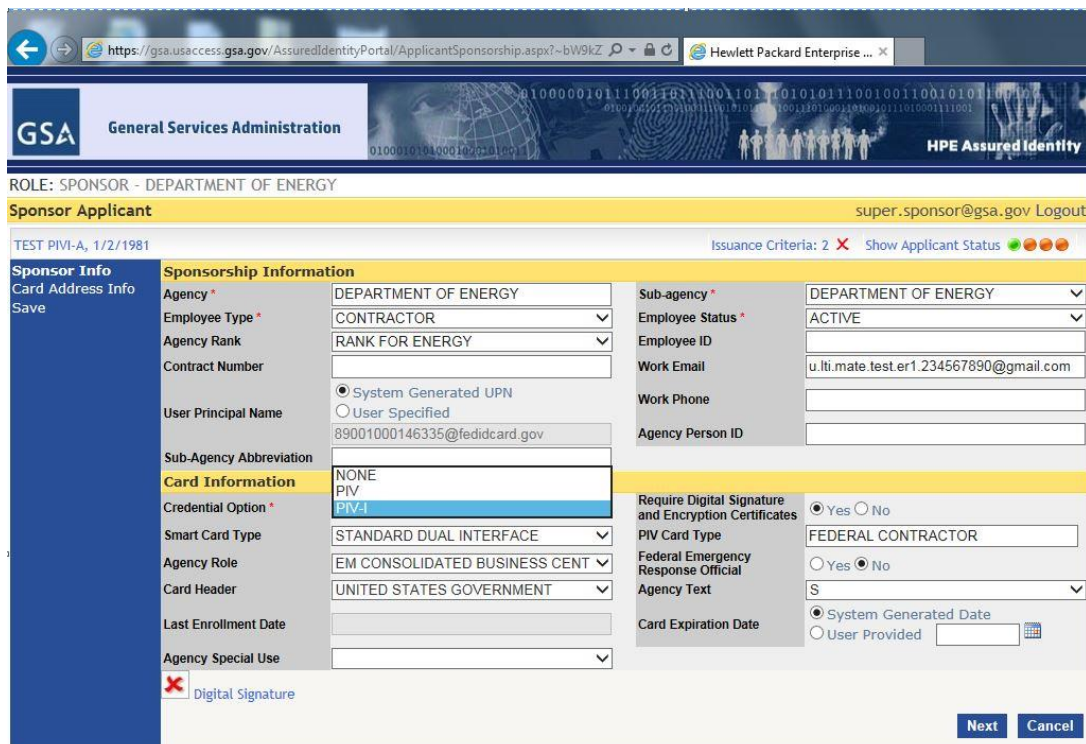*Figure 29 - USAccess Sponsor Applicant Screen*

5. Verify the **Shipping Address** fields have current and correct information. Select **Next** to go to the next screen.

Figure 30- USAccess Sponsor Applicant Screen

6. Select **Finish** to save the record. USAccess will direct you back to the search page.

C. Enrollment & Activation

1. Upon sponsorship in EmpowHR, the Federal Employee will receive email notification and instructions to schedule their enrollment.

   a. The Sponsor may perform functions in USAccess as needed, such as resending USAccess sponsorship notifications to the applicant. For detailed instructions on performing functions in USAccess, refer to the Sponsor Post-Sponsor Training at https://lincpass.usda.gov/training.html.

2. The Federal Employee goes to an HSPD-12 enrollment station and enrolls for a LincPass/ AltLinc.

   a. After enrollment and entry of a favorable fingerprint result in EmpowHR, the LincPass/ AltLinc is printed and shipped.

3. When the LincPass/ AltLinc is printed and arrives at an HSPD-12 activation station, the Federal Employee receives email notification and instructions to schedule their card activation.

   a. The Sponsor may need to perform functions in USAccess as needed, such as resending USAccess card delivery notifications to the applicant. For detailed instructions on performing functions in USAccess, refer to the Sponsor Post-Sponsor Training at https://lincpass.usda.gov/training.html.

4. The Federal Employee goes to an HSPD-12 activation station to activate their LincPass/ AltLinc.

5. Process continues according to DM 4620-002 available at: http://lincpass.usda.gov/ref_lincpass.html.

Part 4: On-Boarding FAQ

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

Appendix A – On-boarding Checklist

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

Step	Instructions	Complete
HR Instructions		
1	Identify records based on Enrollment Station Location.	
2	Identify active Employees within your agency (or supported agency) who should receive an HSPD-12 LincPass/ AltLinc.	
3	Identify US citizens from the active employees	
4	Identify Federal Employees from that location that have successfully completed an FBI or higher background investigation.	
5	Verify accuracy of Employee name information in EmpowHR. Fix issues for all Employees (i.e. Suffix combined in last name field) in the EmpowHR system following the instructions in Part 2, Section B(i).	
6	Provide Sponsorship related information such as Card Type, Emergency Response official, and Card Shipping info in EmpowHR following the instructions in Part 2, Section B(ii).	
7	Verify adjudication result has been entered into EmpowHR, if it hasn't, update those records following the instructions in Part 2, Section B (iii).	
Employee Instructions		
8	Update Business Email and Phone using EmpowHR's Self-Service module or eAuthentication following the instructions in Part 2, Section C.	