

# **USDA HSPD-12 Non-Employee Identity System (NEIS) and Applicant Status Report Guide**

Prepared for



**United States Department of Agriculture  
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## Revision Information

Version	Date	Revision Notes
1.0	8/7/2009	Initial Draft



# NON-EMPLOYEE IDENTITY SYSTEM (NEIS) AND APPLICANT STATUS REPORT GUIDE

## NEIS REPORT INTRODUCTION

The Non-Employee Identity System (NEIS) Report Service allows NEIS users to check Applicant status to determine where Applicants are in the LincPass sponsorship and adjudication process. The report can also be used to troubleshoot issues with specific Applicant records.

*Please note: You must be a designated role holder in NEIS to access the report service. If you require access, please consult your Agency Security Officer (ASO).*

## ACCESSING NEIS REPORTS

**Step 1.** To access this report, log in to NEIS (<https://icams.usda.gov/>) and log in using your NEIS user name and password.

**Step 2.** Select **Non-Employee Processing**, then **NEIS Reports**.

**Step 3.** Select the report you wish to run.



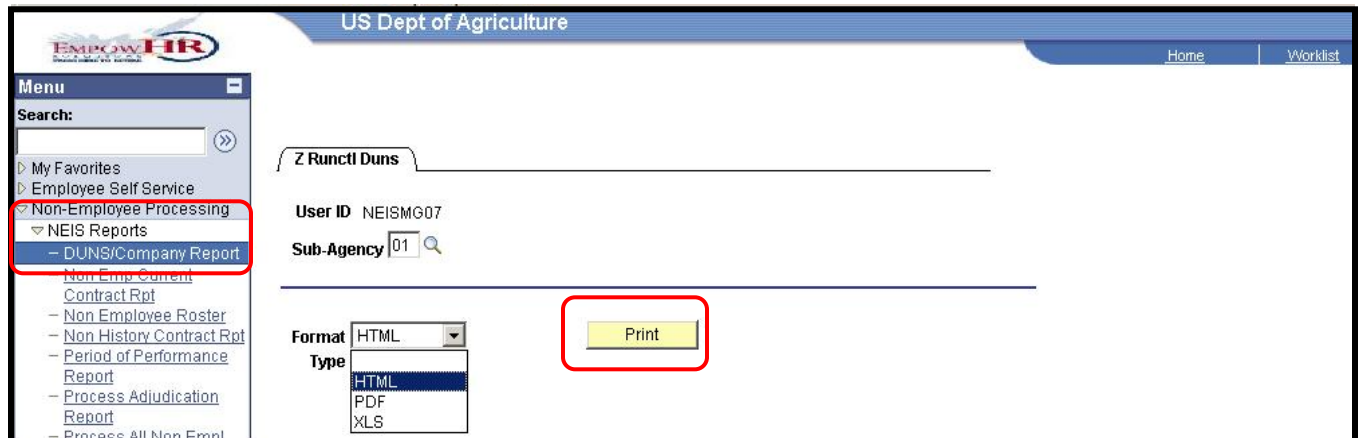
Figure 1: Accessing NEIS Reports

## CANNED REPORTS

NEIS provides eight different canned reports. Each report allows you to filter results by Sub-agency and some additional fields depending on the report. Three export formats are available: html, .pdf, and .xls. To sort report results, select the .xls format. You may need to turn off pop-up blockers before running reports.

### A. DUNS/Company Report

The DUNS/Company Report allows you to search for Contracting Companies and associated Contract Assignments.



**Figure 2: DUNS/Company Report**

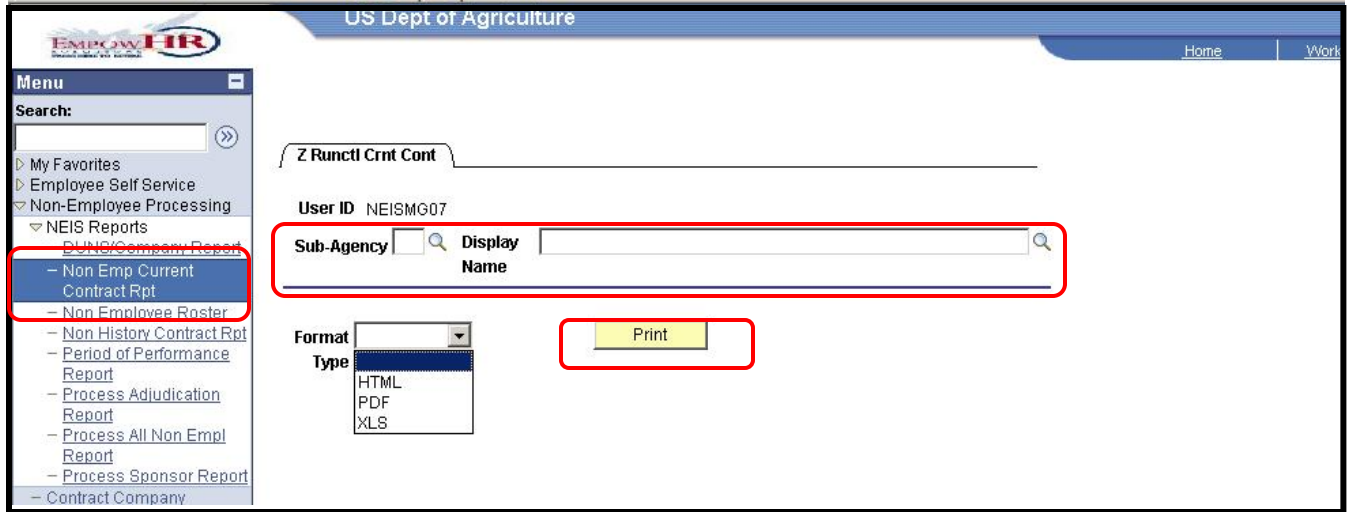
**Step 1.** Select **DUNS/Company Report** from the navigation menu.

**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** Select the format type and then click the **Print** button.

## **B. Non-Employee Current Contract Report**

The Non-Employee Current Contract Report allows you to view Non-Employees and active contracts to which they are assigned.



**Figure 3: Non-Employee Current Contract Report**

**Step 1.** Select **Non Emp Current Contract Rpt** from the navigation menu.

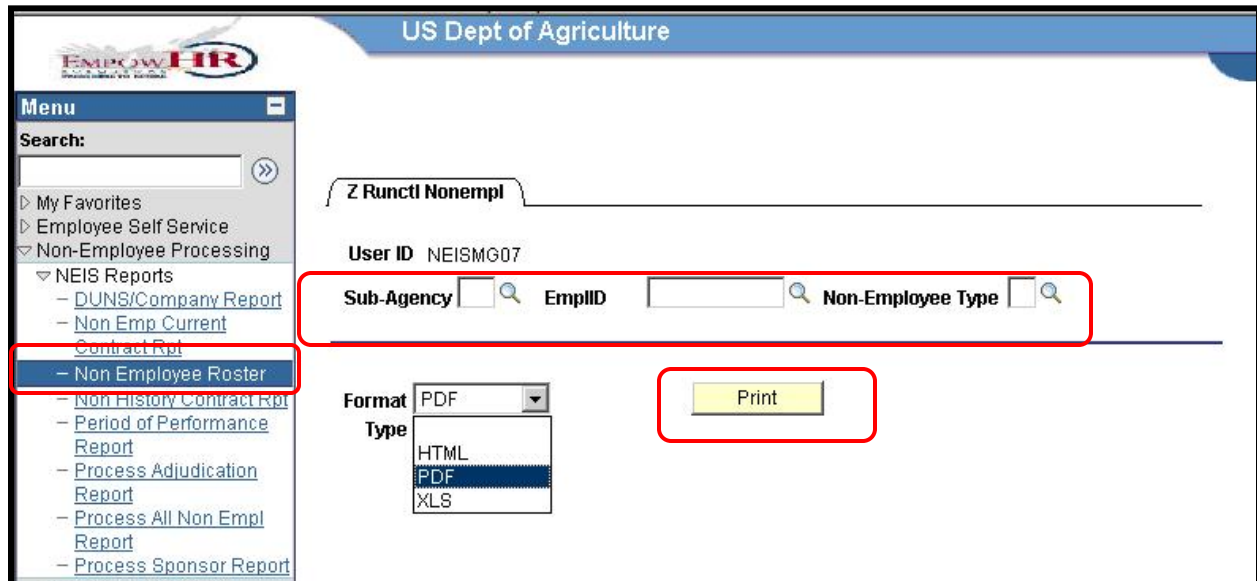
**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** To search for a specific Non-Employee, use the lookup function next to the **Display Name** field.

**Step 4.** Select the format type and then click the **Print** button.

### **C. Non-Employee Roster**

The Non-Employee Roster allows you to view Non-Employees in the system, their sponsorship status, Contract Assignments, and Contracting Company information.



**Figure 4: Non-Employee Roster**

**Step 1.** Select **Non Employee Roster** from the navigation menu.

**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** To search for a specific Non-Employee, use the lookup function next to the **EmplID** field.

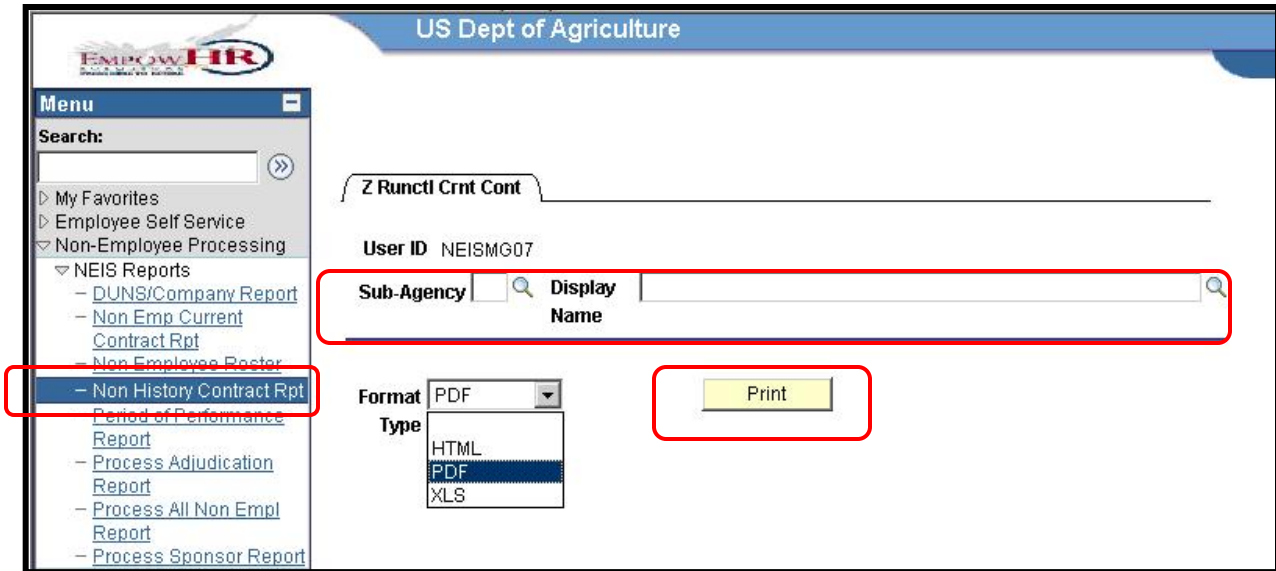
**Step 4.** To search for a specific Non-Employee type, such as Contractor or Affiliate, use the lookup function next to the **Non-Employee Type** field.

**Step 5.** Select the format type and then click the **Print** button.

## **D. Non-Employee History Contract Report**

The Non-Employee History Contract Report allows you to view Non-Employees and their Contract Assignment History.





**Figure 5: Non-Employee History Contract Report**

**Step 1.** Select **Non History Contract Rpt** from the navigation menu.

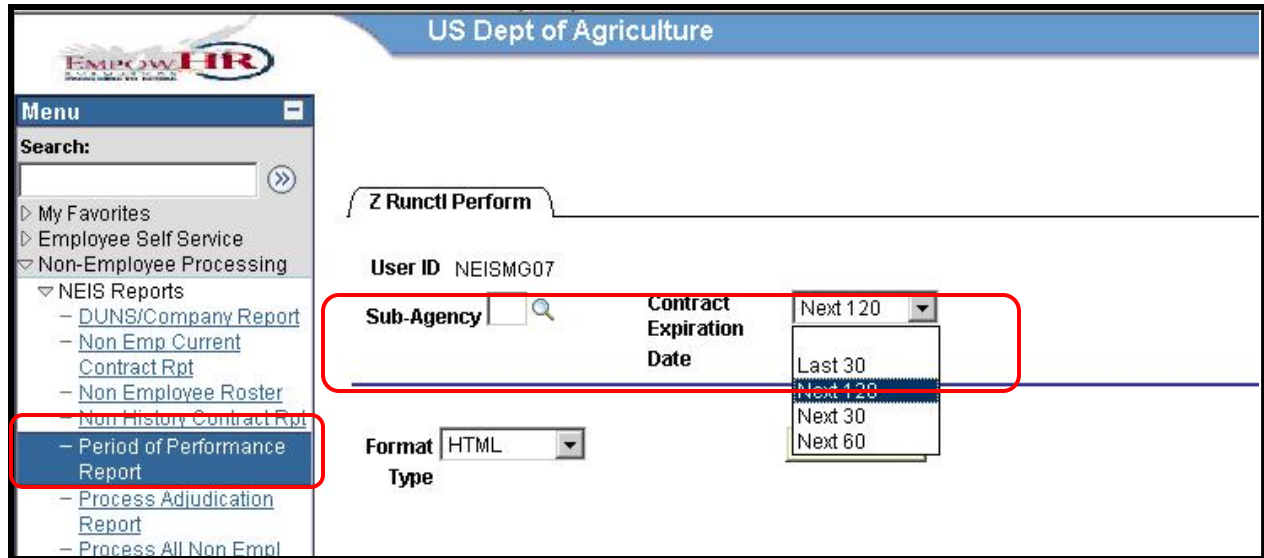
**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** To search for a specific Non-Employee, use the lookup function next to the **Display Name** field.

**Step 4.** Select the format type and then click the **Print** button.

## **E. Period of Performance Report**

The Period of Performance Report allows you to view contracts in the system, periods of performance and Contracting Company information.



**Figure 6: Period of Performance Report**

**Step 1.** Select **Period of Performance Report** from the navigation menu.

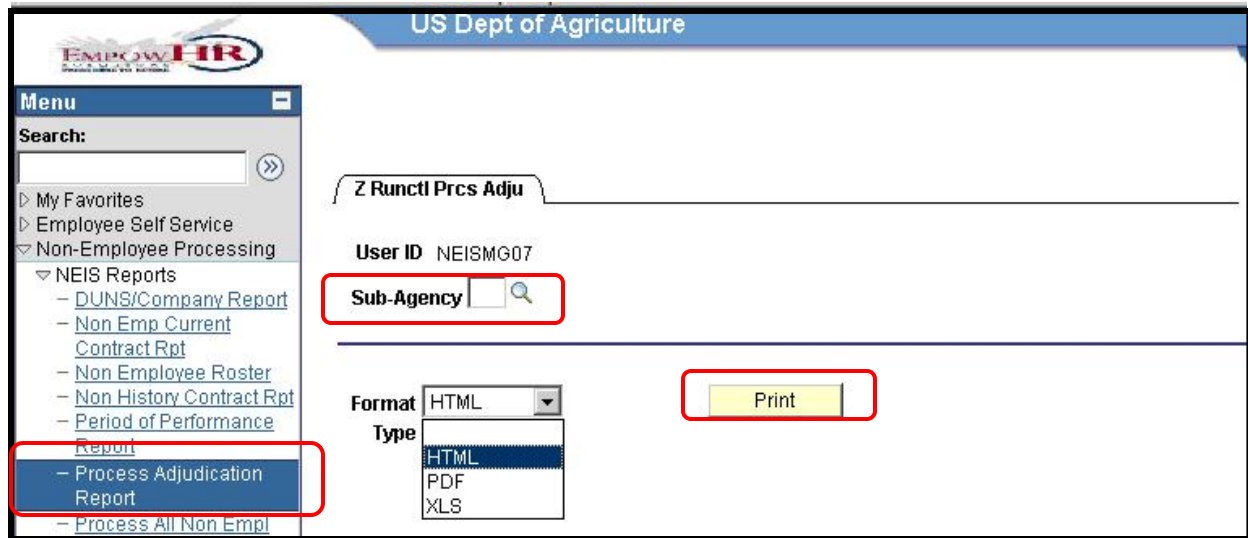
**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** To search for contract expiring within a specific date range, use the drop down list next to the **Contract Expiration Date** field.

**Step 4.** Select the format type and then click the **Print** button.

## **F. Process Adjudication Report**

The Process Adjudication Report allows you to view Non-Employee Adjudication status.



**Figure 7: Process Adjudication Report**

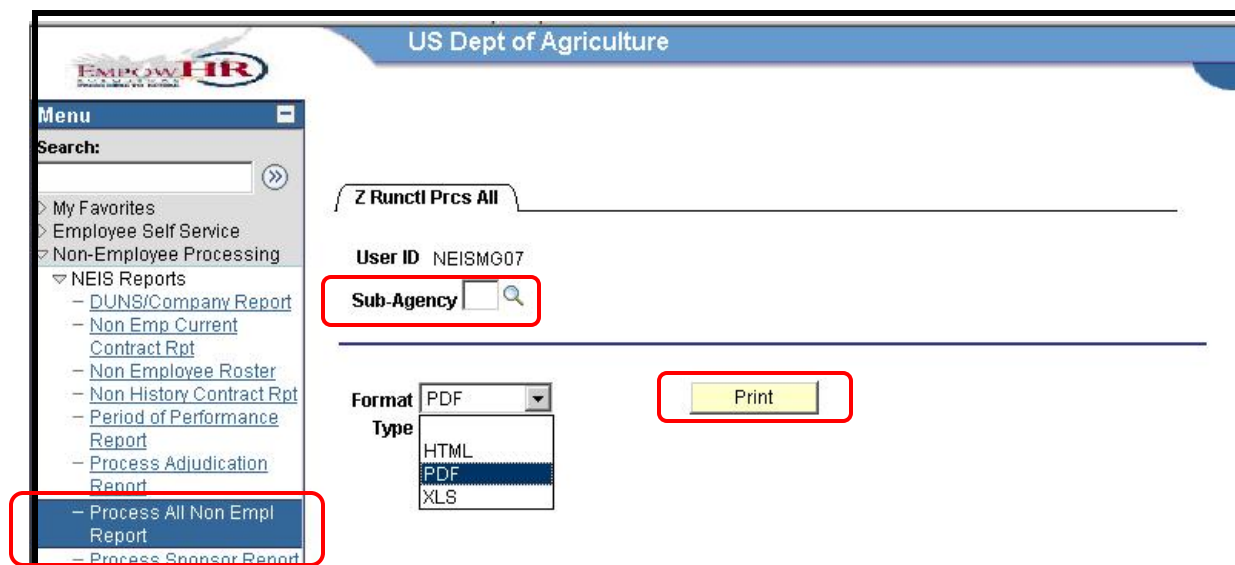
**Step 1.** Select **Process Adjudication Report** from the navigation menu.

**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** Select the format type and then click the **Print** button.

## G. Process All Non-Employees Report

The Process All Non-Employees Report allows you to view Non-Employees in the system, as well as information about their Sponsorship and Adjudication.



**Figure 8: Process All Non-Employees Report**

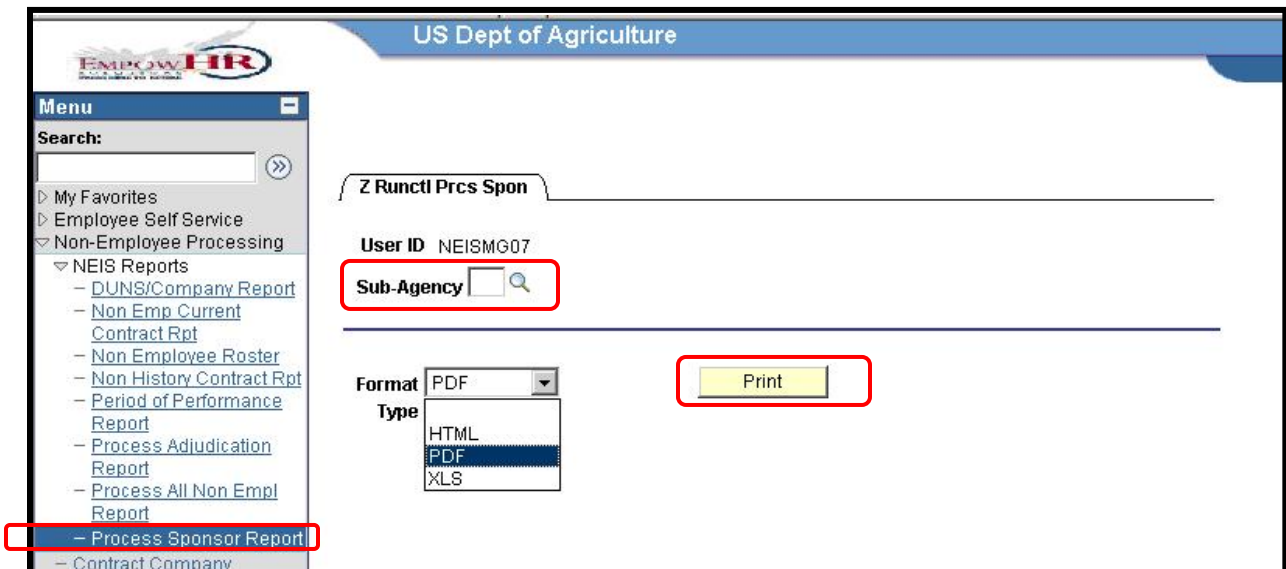
**Step 1.** Select **Process All Non Empl Report** from the navigation menu.

**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** Select the format type and then click the **Print** button.

## H. Process Sponsor Report

The Process Sponsor Report allows you to view Non-Employee Sponsorship status.



**Figure 9: Process Sponsor Report**

**Step 1.** Select **Process Sponsor Report** from the navigation menu.

**Step 2.** Use the lookup function to find the **Sub-Agency** code, or leave this field blank for a full report that includes all Sub-Agencies.

**Step 3.** Select the format type and then click the **Print** button.

## SORTING THE REPORT RESULTS

If you would like to sort the report results, choose the .xls format and select the print button to export the report. Below is an example of the DUNS/Company Report in .xls format.



# NON-EMPLOYEE IDENTITY SYSTEM (NEIS) AND APPLICANT STATUS REPORT GUIDE

NEIS Agency Maintenance									
DUNS/Company Report									
Run Date: 7/31/2009 13:10:39 PM									
Sub Agency: DA - Departmental Administration									
Company	Duns Num	PID/Contract	Assignment Dt	Expire Dt	Name	Last Name	First Name	Middle Name	Emplid
AND		12345676541	6/29/2009	6/14/2033	DOE,JOHN	DOE	JOHN		179521
AND		12345676541	7/9/2009	6/14/2033	TEST,SHOLA FAIL	TEST	SHOLA	FAIL	179518
CFC	260819802	DA123456789	7/20/2009	3/10/2013	FONTANELLI,ULYSSES I	FONTANELLI	ULYSSES	I	179567
CFC	260819802	DA123456789	7/20/2009	3/10/2013	GOSSLING,TALIA H	GOSSLING	TALIA	H	179566
CFC	260819802	DA123456789	7/20/2009	3/10/2013	HALIFAX,SAMUEL GERALD	HALIFAX	SAMUEL	GERALD	179565
CFC	260819802	DA123456789	7/20/2009	3/10/2013	INDIGO,RUBY F	INDIGO	RUBY	F	179564
CFC	260819802	DA123456789	7/20/2009	3/10/2013	JONES,QUINCY E	JONES	QUINCY	E	179563
CFC	260819802	DA123456789	7/20/2009	3/10/2013	KITCHINGS,PETER D	KITCHINGS	PETER	D	179562
CFC	260819802	DA123456789	7/20/2009	3/10/2013	LANCASTER,OLIVIA CHLOE	LANCASTER	OLIVIA	CHLOE	179561
CFC	260819802	DA123456789	7/16/2009	3/10/2013	MCGRADY,NICHOLAS B	MCGRADY	NICHOLAS	B	179547
CFC	260819802	DA123456789	7/16/2009	3/10/2013	NOKIA,MICHELLE A	NOKIA	MICHELLE	A	179546
CFC	260819802	DA123456789	7/17/2009	3/10/2013	OSHEA-LAMOTHE,LAURA Z	OSHEA-LAMOTHE	LAURA	Z	179543
CFC	260819802	DA123456789	7/17/2009	3/10/2013	PERKINS,KYLE YANCEY	PERKINS	KYLE	YANCEY	179542
CFC	260819802	DA123456789	7/17/2009	3/10/2013	QUINTANILLA,JENNA X	QUINTANILLA	JENNA	X	179541
CFC	260819802	DA123456789	7/17/2009	3/10/2013	ROBINSON,IKE WALKER	ROBINSON	IKE	WALKER	179540
CFC	260819802	DA123456789	7/17/2009	3/10/2013	SAMPTRAS,HANNAH V	SAMPTRAS	HANNAH	V	179539
CFC	260819802	DA123456789	7/17/2009	3/10/2013	TATAKI,GEORGE U	TATAKI	GEORGE	U	179538
CFC	260819802	DA123456789	7/17/2009	3/10/2013	TESTR,TEST	TESTR	TEST		179519
CFC	260819802	DA123456789	7/17/2009	3/10/2013	UNDERWOOD,FAYE TATIANA	UNDERWOOD	FAYE	TATIANA	OLD
CFC	260819802	DA123456789	7/17/2009	3/10/2013	VAUGHAN,EDWARD S	VAUGHAN	EDWARD	S	1234567890
CFC	260819802	DA123456789	7/17/2009	3/10/2013	WINKLE-SMITHSON,DAPHNE R	WINKLE-SMITHSON	DAPHNE	R	179538
CFC	260819802	DA123456789	7/17/2009	3/10/2013	XIAN,CARLOS QUINN	XIAN	CARLOS	QUINN	179533
CFC	260819802	DA123456789	7/17/2009	3/10/2013	YATES,BARBARA PENELOPE	YATES	BARBARA	PENELOPE	179532
CFC	260819802	DA123456789	7/17/2009	3/10/2013	ZWEIGHAFT,ANDREW OSCAR	ZWEIGHAFT	ANDREW	OSCAR	179530
	123		456789	7/20/2009	7/20/2017	AGAIN,SHOLA	AGAIN	SHOLA	179527
	123	234566777	456789	7/20/2009	7/20/2017	AGAIN,SHOLA	AGAIN	SHOLA	179527
Sub Agency: FA - Farm Service Agency									
Company	Duns Num	PID/Contract	Assignment Dt	Expire Dt	Name	Last Name	First Name	Middle Name	Emplid
	1	YINKS	7/7/2009	7/31/2009	TEST,SHOLA FAIL	TEST	SHOLA	FAIL	179518
	1	YINKS	7/7/2009	7/31/2009	TESTR,TEST	TESTR	TEST		179519

**Figure 10: Sorting the Report Results**

You will be prompted open or save the report in a location of your choosing.



# NON-EMPLOYEE IDENTITY SYSTEM (NEIS) AND APPLICANT STATUS REPORT GUIDE

## APPLICANT STATUS REPORT INTRODUCTION

The Applicant Status Report allows Agency Sponsors, Adjudicators, Security Officers, and Report Viewer role holders to check Applicant status in the USAccess system in order to determine where Applicants are in the LincPass issuance process. The report can also be used to troubleshoot issues with specific Applicant records, as it will highlight areas that require editing before an Applicant's card can be issued.

*Please note: You must be a designated role holder in USAccess to access the report. Please consult your agency's Role Administrator if you require access.*

## ACCESSING APPLICANT STATUS REPORT

**Step 1.** To access this report, go to the Reports portal (<https://gsa.identitymsp.com/reportsportal>) and log in using your USAccess user name and password.

**Step 2.** Select your role, then the "Applicant Status Export Format.rpt" report. Click the **Select Report** button to run the report.

The screenshot shows a web interface with three main sections, each with a yellow header and a blue selection bar:

- Select A Role:** The blue bar contains the text "SPONSOR".
- Select An Agency:** The blue bar contains the text "DEPARTMENT OF AGRICULTURE".
- Select A Report to View:** This section contains a list of reports: "Role Assignment Report.rpt", "Applicant Status.rpt", "Applicant Status Export Format.rpt", and "Bulk Upload Information.rpt".

At the bottom of the interface, there is a blue button labeled "Select Report", which is highlighted with a red rectangular box.

Figure 11: Selecting the Applicant Status Export Report



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**Step 3.** On the next screen, leave all selected defaults and click the **Show Report** button to return all USDA applicant records to the screen.

**Figure 12: Selecting the Agency and Sub-agency**

**Step 4.** Alternatively, you can click the **Advanced Search** button to apply filters to the report prior to running it. The next section details how to apply the advanced filters.

**NOTE:** It is *highly recommended* that you use the Advanced Search features to limit results to at least your agency. Because USDA has tens of thousands of applicants in the system, the processing time can be extremely long if filters are not applied to limit the data set returned.





# NON-EMPLOYEE IDENTITY SYSTEM (NEIS) AND APPLICANT STATUS REPORT GUIDE

## ADVANCED SEARCH CAPABILITIES

The Advanced Search will allow you to filter through the reports by Sub-agency, Sponsorship Status, Enrollment Status, Adjudication Status, and Issuance Status as well as by specific applicant names.

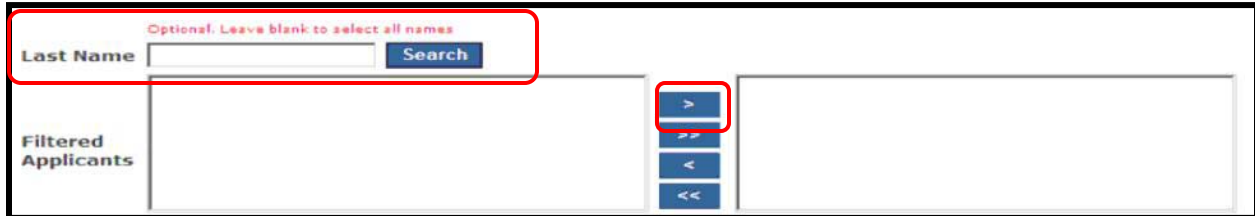
The screenshot displays the 'Search Criteria' page of the NEIS system. At the top, there is a navigation bar with 'Home > Search Criteria' and a user ID '12001000000062@fedidc'. Below this, the search method is set to 'Enrollment ID' (radio button selected) over 'Names'. There are input fields for 'Enrollment ID' and 'Last Name', with a 'Search' button and a note: 'Optional. Enter at least 2 characters to search on'. A 'Filtered Applicants' section contains two empty boxes with navigation arrows. Below this are buttons for 'Parameter Page 1', 'Show Report', and 'Reset'. The main section is divided into four filter categories: 'Sponsorship Search Options' (Date of Birth, Sub-agency Abbreviation, Sponsorship Status, Employment Status, Federal Emergency Response Indicator, Sponsor ID, Work Email, UPN), 'Enrollment Search Options' (Enrollment Status, Document Referral, Duplicate Check Status), 'Adjudication Search Options' (Adjudication Status, FBI/NCHC Status, NACI Status, FBI/NCHC Adjudicator ID, NACI Adjudicator ID), and 'Issuance Search Options' (Issuance Status). Each filter has a dropdown menu, mostly set to 'ANY'. At the bottom, there are buttons for 'Parameter Page 1', 'Show Report', and 'Reset'.

Figure 13: Report Filters



## A. Applicant Name Filters

The Applicant Name filter allows you to search on specific applicants. You can search for a single applicant or multiple applicants at a time.



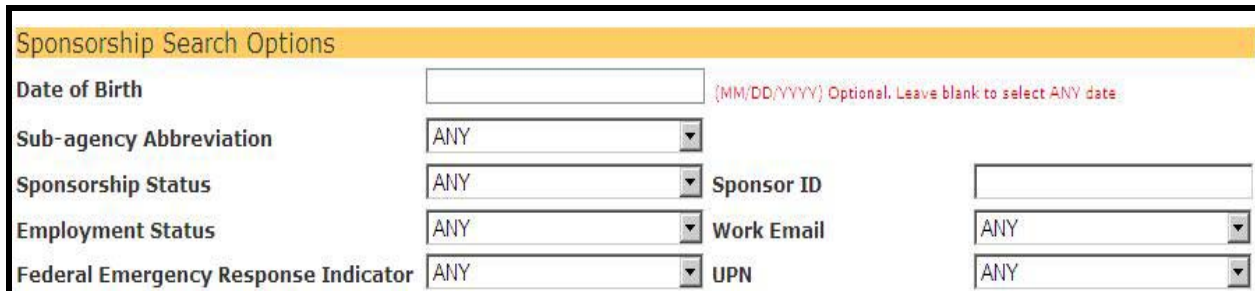
**Figure 14: Applicant Name Filter**

**Step 1.** Type in the applicant’s last name in the **Last Name** box and then hit the **Search** button.

**Step 2.** Select the Applicant’s name from the **Filtered Applicants** box and then click the “>” button to move the name to the right-hand box. All names in the right-hand box are the ones the report will search on.

## B. Sponsorship Search Option Filters

The “Sponsorship Search Options” allow you to filter the report on various Sponsorship related fields.



**Figure 15: Sponsorship Filters**

### Available Filters:

- Date of Birth: use this to search on a particular birth date.
- Sub-agency Abbreviation: use this to find applicants from a particular agency.
- Sponsorship Status: use this to find sponsored and incompletely sponsored applicants as well as applicants that have been terminated (i.e. due to retirement, separation from USDA, LincPass terminated) or whose LincPass has expired.
- Employment Status: search for applicants by HR employment status.
- Work Email: search for applicants who have (“Provided”) or do not have (“Missing”) an email address with their record.
- Federal Emergency Response Indicator: find applicants who have or do not have the FERRO designation.
- Sponsor ID: search for applicants associated with a Sponsor by using the Sponsor’s PID.
- Work Email: search for applicant by his/her work email address.
- UPN: search for applicants who have (“Provided”) or do not have (“Missing”) a UPN assigned to their record.



## C. Enrollment Search Options Filters

This filter allows you to search for applicants by enrollment status and flag status.

The screenshot shows a search interface titled "Enrollment Search Options". It contains three dropdown menus: "Enrollment Status" set to "ANY", "Document Referral" set to "ANY", and "Duplicate Check Status" set to "ANY".

Figure 16: Enrollment Filters

### Available Filters:

- **Enrollment Status:** use this filter to find applicants who have enrolled (“Complete”) or not enrolled yet (“Incomplete”).
- **Document Referral:** use this filter to find applicants who have enrolled but have an I-9 document referral flag (“YES”) or do not have one (“NO”).
- **Duplicate Check Status:** use this filter to find applicants who have enrolled but have a biometric duplicate check flag:
  - Unknown – generally the applicant has not enrolled yet
  - Duplicate Cleared – the SO has already reviewed and cleared the flag from the applicant’s record
  - Duplicate Confirmed – the SO has already reviewed the record and verified this was a duplicate record
  - Duplicate Found – there is a flag on the record that has not been reviewed yet
  - No Duplicate Found – the applicant enrolled and there were no flags

## D. Adjudication Search Options Filters

This filter allows you to search for applicants based on their adjudication status. You can search on the overall status or by the individual background check statuses.

The screenshot shows a search interface titled "Adjudication Search Options". It contains four input fields: "Adjudication Status" (dropdown set to "ANY"), "FBI/NCHC Status" (dropdown set to "ANY"), "NACI Status" (dropdown set to "ANY"), "FBI/NCHC Adjudicator ID" (text input), and "NACI Adjudicator ID" (text input).

Figure 17: Adjudication Search Filters

### Available Filters:

- **Adjudication Status:** use this filter to find applicants based on the overall adjudication status.
- **FBI/NCHC Status:** use this filter to find applicants based on just the FBI Fingerprint Check status.
- **NACI Status:** use this filter to find applicants based on just the NACI status.
- **FBI/NCHC Adjudicator ID:** search for applicants associated with an Adjudicator by using the Adjudicator’s PID.
- **NACI Adjudicator ID:** search for applicants associated with an Adjudicator by using the Adjudicator’s PID.

## E. Issuance Search Options Filters

Use this filter to find applicants based on the card issuance status.

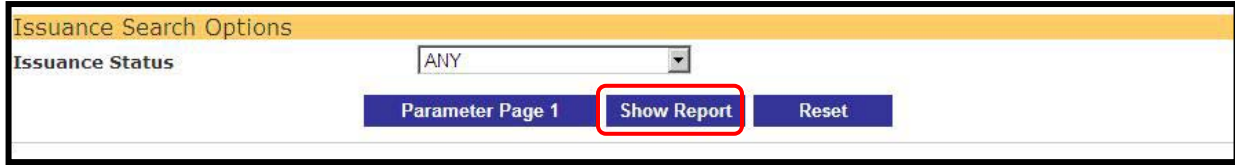


Figure 18: Issuance Search Filter

Options for this filter are:

- Active: applicants with activated LincPasses
- Card Delivered: applicants whose LincPass has been delivered but has not been activated yet
- Card Printing in Process: applicants whose LincPass is currently in the printing process
- No Status: applicants whose have not completed all of the issuance criteria yet and the LincPass has not gone to printing
- Terminated: applicants whose LincPass is now terminated
- Suspended: applicants whose LincPass is now suspended

## VIEWING THE REPORT RESULTS

Once all your filters have been placed (if you applied filters), click the **Show Report** button to run the report. You will be prompted to download the report to a CSV file if more than 250 records are returned.



Figure 19: Download Report to CSV

Click the **Download** button to download the report to your computer. You will be prompted to save the report in a location of your choosing.

**NOTE:** When downloading a full report the information will not be in real-time. There is a 24hr delay with the information to improve performance of the Applicant Status Report.



# NON-EMPLOYEE IDENTITY SYSTEM (NEIS) AND APPLICANT STATUS REPORT GUIDE

## TROUBLESHOOTING APPLICANT RECORDS

Once you have opened and saved the report you can now open it on your desktop to sort through and troubleshoot Applicant records. Use the following field legend as a guide to the fields available in the report. This legend describes the report fields, as well as how to interpret red highlighted areas. Red highlighted areas indicate information that must either be supplied or edited before the Applicant's record can be fully processed and the card issued.

Field Legend
<p><b>Applicant Information</b>  Last Name - Applicant Last Name  First Name - Applicant First Name  Middle Name - Applicant Middle Name  Suffix - Applicant Suffix  DOB - Applicant Date of Birth  Work Email - Applicant Work Email - if "MISSING" the Sponsor must provide the email address before card issuance can occur  Home Email - Applicant Home Email</p>
<p><b>Sponsorship Information</b>  Sponsorship Status - Applicant Sponsorship Status, if "INCOMPLETE" the Sponsor must complete the applicant sponsorship  Sponsorship Create Date - Date the Applicant Sponsorship record was created  Sponsorship Last Update - Date the Applicant Sponsorship record was last modified  Fed Emer Response - Indicates if the Applicant is a Federal Emergency Response Official  UPN - User Principal Name, if "MISSING" the Sponsor must provide the UPN before card issuance can occur  Ship To Address - Address where the Applicant PIV credential will be mailed after card printing  Employment Status - Applicant's employment status (active, terminated, suspended, future)  Org Association Category - The applicant's category for the sponsoring agency (contractor, employee, etc.)  Card Required - If YES, a card is required for this applicant  Zone 4 - Agency Specific Text - Text printed on the card in Zone 4  Zone 17 - Agency Specific Data - Text printed on the card in Zone 17  Zone 5 - Rank - The rank code for this applicant printed on the card in Zone 5  Sub-agency Abbreviation - codes used for agencies that do not have sub-agencies but want to have something to sort applicants on</p>
<p><b>Enrollment Information</b>  Enrollment Status - If "INCOMPLETE" the Applicant must appear in person for enrollment  Enrollment Create Date - Date the Applicant Enrollment record was created  Enrollment Last Update - Date the Applicant Enrollment record was last modified  Document Referral - If "YES" the Security Officer must review and approve the applicant-provided I-9 documents  Duplicate Check Status - DUPLICATE CLEARED - flagged applicant record has been cleared - no action required; "DUPLICATE CONFIRMED" - applicant record has been confirmed as a duplicate - no action required; "DUPLICATE FOUND" - applicant record has been flagged as a potential duplicate - security officer action required; NO DUPLICATE FOUND - applicant record has not been flagged as a duplicate - no action required  Enrollment ID - The applicant's unique identifier number</p>
<p><b>Adjudication Information</b>  Adjudication Status - Applicant Adjudication Status, if "INCOMPLETE" or "NO STATUS" the Adjudicator must provide the applicant adjudication  Adjudication Status - Applicant Adjudication Status, if "DENIED" the applicant's FBI/NCHC or NACI status has been set to REJECTED  Adjudication Create Date - Date the Applicant Adjudication record was created  Adjudication Last Update - Date the Applicant Adjudication record was last modified  NCHC/FBI - Status for the National Criminal History Check  NACI - Status for the National Agency Check with Inquiries</p>
<p><b>Issuance Information</b>  Issuance Status - Status of the credential, if "CARD DELIVERED" the Applicant must appear in person for card pickup and activation  Issuance Create Date - Date the Applicant Issuance record was created  Issuance Last Update - Date the Applicant Issuance record was last modified  Card Destroyed - Has the card been destroyed, YES or NO  CMS Card ID - Card serial number  Card ID - Issuance ID for this card  FASC-N - Federal Agency Smart Credential Number</p>

Figure 20: ASR Legend

Additionally, see the "Gap Analysis Using the Applicant Status Report" guide on the USDA HSPD-12 website's ["Training"](#) page for more instructions on conducting gap analysis.

## HELP RESOURCES

For technical issues with accessing/generating the ASR, please contact the USAccess Help Desk at 866-493-8391 or [usaccess.helpdesk@eds.com](mailto:usaccess.helpdesk@eds.com).

USDA LincPass website: <http://lincpass.usda.gov>

For USDA HSPD-12 questions or questions about instructions in this guide, please contact the USDA HSPD-12 Help Desk:

PH: 888-212-9309

Email: [hspd12@ftc.usda.gov](mailto:hspd12@ftc.usda.gov)