

Personal Identity Verification II (PIV-II)

Quick Start Guides

Prepared for



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

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PIV-II Roles

Role Administrator



Who They Are

The HSPD-12 Role Administrator is responsible for identifying, verifying, and approving personnel to perform the Sponsor, Registrar, Adjudicator, and Activator roles, and to assign these roles to selected individuals in the HSPD-12 system.

There can be several levels of Role Administrator, with each assigned broad or specific duties:

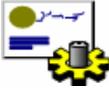
- The USDA Role Administrator assigns Agency Role Administrator, Security Officer, Sponsor, Registrar, Adjudicator, and Activator roles within USDA. The number of roles identified is up to the discretion of the USDA Role Administrator and Agency Role Administrator. Some dependencies may include: number of employees within the agency, geographic location of employees, and phased rollout of credentialing.
- Agency Role Administrators perform the same duties as the USDA Role Administrator. Agency Role Administrators may also designate Role Specific Administrators to concentrate on specific roles within their agency.
 - Role Administrators for Security designate the role of Security Officer to the appropriate individuals who meet the position guidelines and facilitate and monitor the responsibilities of the Security Officer. They decide how many Security Officers are needed in their Agency.
 - Role Administrators for Sponsors/Adjudicators identify Sponsors and Adjudicators within their agency and facilitate the training, credentialing, and responsibilities of the Sponsors and Adjudicators.
 - Role Administrators for Enrollment can be identified to facilitate the role of the Registrar for USDA leased stations or when GSA stops providing Registrars to USDA. Enrollment Role Administrators will identify Registrars needed for Enrollment stations if they are hosting an Enrollment within their Agency facilities.
 - All designated Agency Role Administrators will report to the lead Agency Role Administrator.

What They Need

All Role Administrators must complete the web-based HSPD-12 Role Administrator training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

Role Administrators have the following responsibilities:

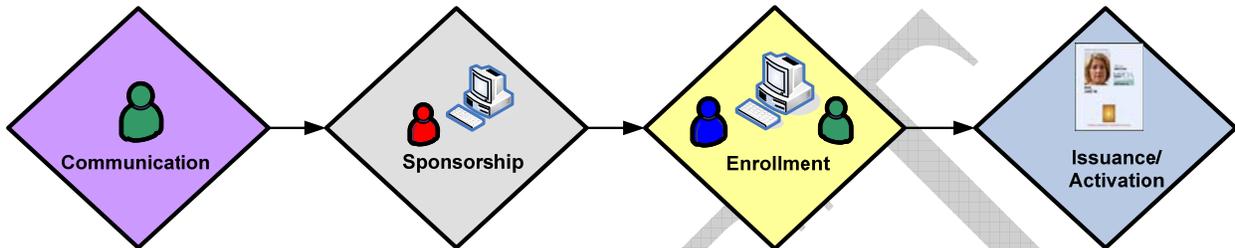
	<p>Verify that the appropriate separation of responsibilities are followed.</p>
	<p>Verify that all training certification requirements have been met.</p>
	<p>Assign personnel to the various HSPD-12 system roles.</p>
	<p>Determine the impact of assigning new duties to an individual, if any roles overlap.</p>

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LincPass Applicant

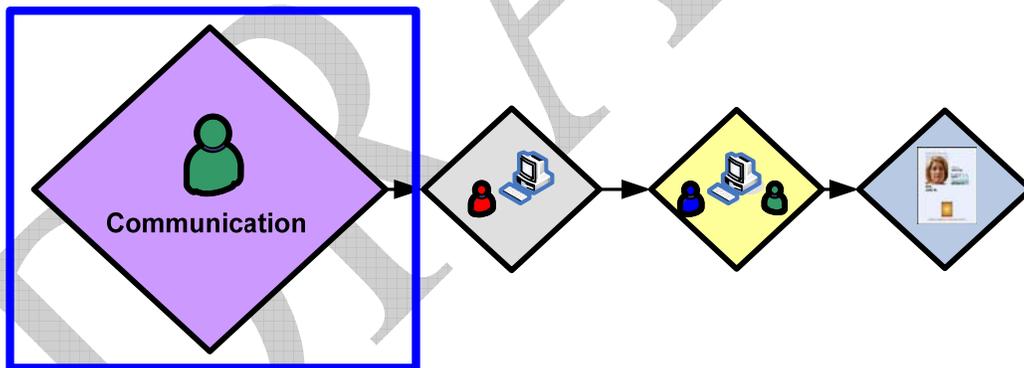
Overview

As the Applicant, you will participate in 4 steps to obtain your LincPass: Communication, Sponsorship, Enrollment, Issuance/Activation.



Once you have been informed about the need to be issued a LincPass, your information will be entered into a USAccess system that will manage the LincPass issuance and maintenance process. The following sections provide some basic details about what to expect during this process and what materials you will need or will be issued.

Step 1: Communication

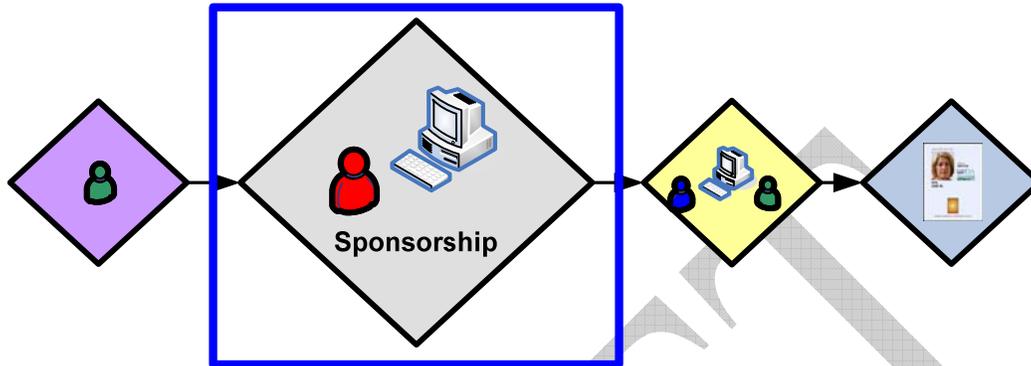


Purpose: To get your introductory information and instructions about getting a LincPass

What You Need to Do:

1. Thoroughly read the email communication sent to you.
2. Follow the included instructions on how to start the process for obtaining a LincPass.

Step 2: Sponsorship

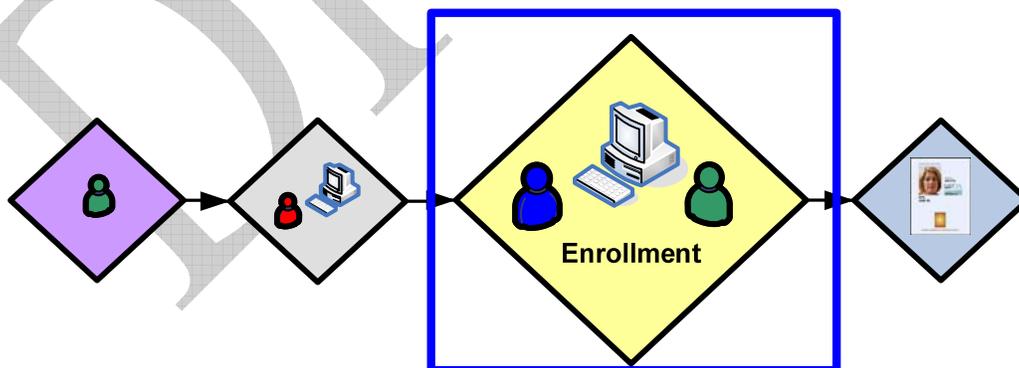


Purpose: To enter your identity record into the USAccess System and approve it for a LincPass.

What You Need To Do:

1. Work with your Sponsor to provide them any necessary information as they will be submitting your information to the USAccess System so that you can be issued a LincPass credential.
2. If you do not have a National Agency Check with Inquiries (NACI) background investigation completed or in progress, your Sponsor will initiate this process. You can then enter your information into e-QIP (if available) or fill out the appropriate SF-8X form.
3. Your Sponsor will request that you submit your fingerprints for a National Criminal History Check (NCHC).
4. Schedule an enrollment appointment through the scheduling tool.

Step 3: Enrollment

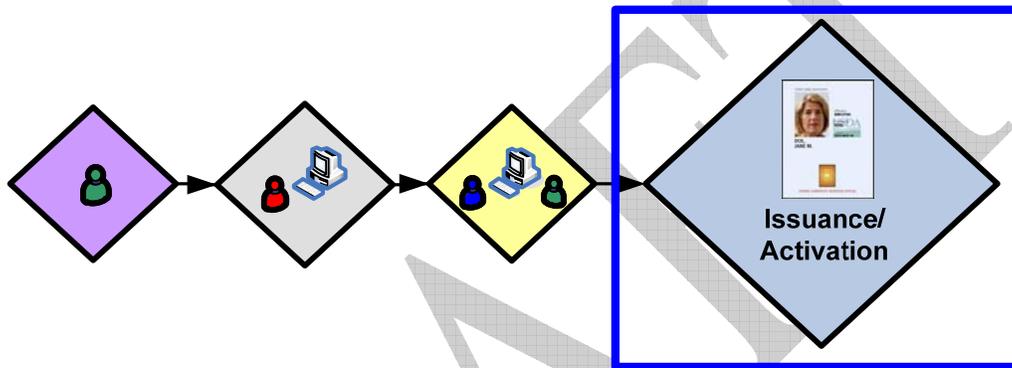


Purpose: To identity-proof and capture your identification information, identity source documents, and biometric data which will then be stored within the USAccess System.

What You Need To Do:

1. Appear for your enrollment appointment at the time and place scheduled.
2. Provide the Registrar with two I-9 listed identity documents. You will be given information about which documents are acceptable prior to enrollment.
3. Have a digital photo taken by the Registrar.
4. Provide 10 rolled fingerprints.
5. Receive instructions from Registrar on next steps.

Step 4: Issuance/Activation

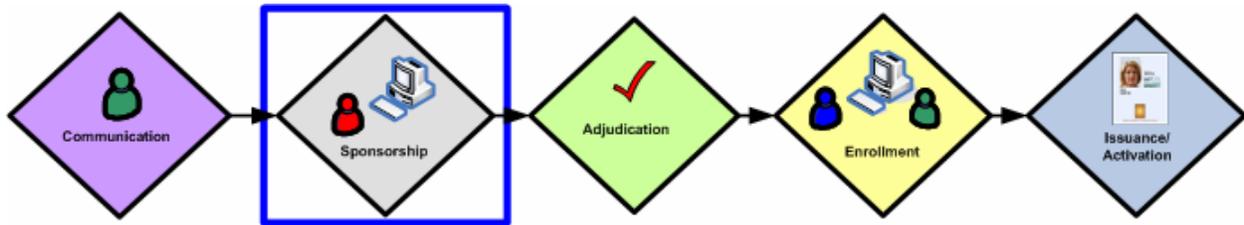


Purpose: To physically obtain your credential and activate it for use.

What You Need to Do:

1. When you receive notification that your credential has been printed and shipped, schedule your activation appointment through the scheduling tool.
2. Pick up your credential at the specified location.
3. Take your credential to an activation station. You will be required to verify your identity via biometrics.
4. Set a PIN for your credential at the activation station.

Sponsor



Who They Are

The HSPD-12 Sponsor acts on behalf of the Department to request LincPass credentials for USDA Applicants (employees, contractors, or affiliates). Depending on the Applicant's employment status, a Sponsor may be a federal supervisor, contracting officer, contracting officer's representative, or other federal official.

What They Need

All Sponsors must complete the web-based HSPD-12 Sponsor training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

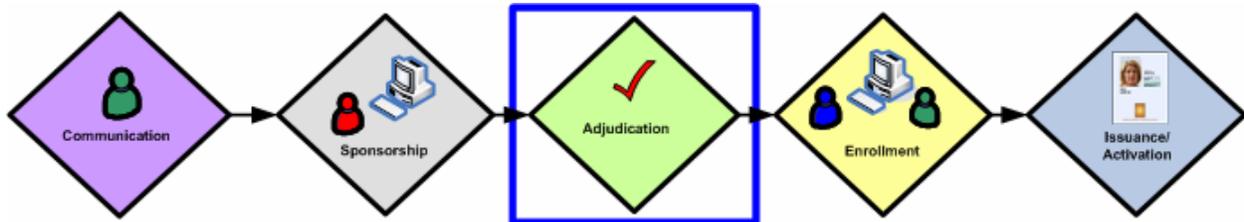
The Sponsor's basic responsibilities are to:

	<p>Determine if an applicant needs a LincPass. They do if they:</p> <ul style="list-style-type: none"> • Have a USDA email account, or • Have access to a level 2 or greater internal eAuthentication account or other protected resources, or • Have access to sensitive information, or • Require unescorted access in mission critical or National Capital Region areas or as an individual agency determines as a secure facility.
	<p>Enter Applicant's information into the appropriate authoritative HR data source. These may include EmpowHR, Payroll Personnel, NEIS or other HR systems.</p>
	<p>Determine if Applicant already has a favorably adjudicated background investigation via OPM for employees or through prior agency HR or Security offices for contractors.</p>
	<p>Set up Applicant for e-QIP, or facilitate the completion of the Applicant's appropriate SF-xx form, Questionnaire for Non-Sensitive Positions, and OF-306, Declaration for Federal Employment.</p>

	<p>Modify Applicant's record based on updates to user status and relevant information.</p>
	<p>Suspend or revoke LincPass via EmpowHR or the GSA web application.</p>
	<p>Initiate re-enrollments for current or previous cardholders.</p>
	<p>Recover suspended or revoked credentials from the Applicant.</p>

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Adjudicator



Who They Are

After an Applicant is sponsored and has enrolled in person at an enrollment station, a completed enrollment package is submitted for adjudication. The required background checks for a LincPass include a U.S. Federal Bureau of Investigation (FBI) check and a National Agency Check with Inquiries (NACI). It is the responsibility of the HSPD-12 Adjudicator at the agency to review and approve or reject the results of the background investigations.

What They Need

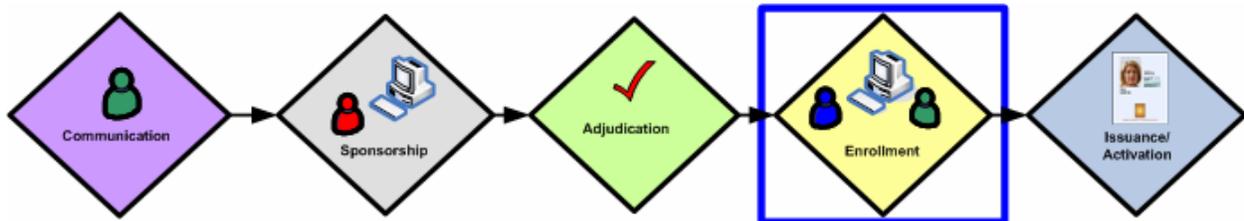
All Adjudicators must complete the web-based HSPD-12 Adjudicator training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

The Adjudicator's basic responsibilities are to:

	Review background investigation and FBI fingerprint results.
	Provide an "approve" or "reject" decision that notifies the system that a credential can be printed.
	Respond to any inquiry by Applicants as to the status or reason for suspension or revocation based on background checks

Registrar



Who They Are

The HSPD-12 Registrar is responsible for verifying the identity of the Applicant, verifying biographic information, a digital photo, biometrics, and documenting any issues encountered during the enrollment process.

What They Need

All Registrars must complete the web-based HSPD-12 Registrar training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

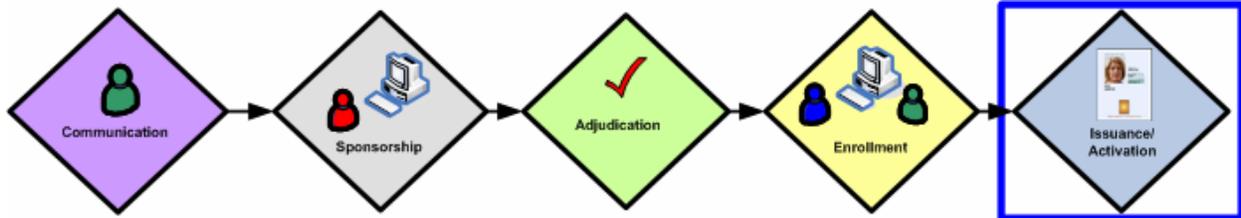
The Registrar's basic responsibilities are to:

	Manage schedule for enrollment workstations in case of scheduling conflicts.
	Answer any privacy or system related questions that an Applicant may have.
	Locate and open the Applicant's record, and verify the information matches the Applicant.
	Contact the Sponsor if the Applicant's record can not be found in the system to investigate and resolve the problem.
	Verify and scan the Applicant's two identity source (I-9) documents.
	Enter FBI-required Applicant data.
	Capture the Applicant's facial image in the system via a digital photograph.
	Capture ten rolled fingerprints

	<p>Verify the fingerprints to ensure that they will work when put on the credential.</p>
	<p>Flag any issues during enrollment</p>
	<p>Digitally sign and send enrollment package to Card Printing Facility, and inform Applicant of next steps (i.e. credential issuance and activation process)</p>

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Issuer/Activator



Who They Are

GSA MSO defines the Activator as the individual responsible for processing credential activations. However, since USDA uses unattended activation stations to activate credentials, an Activator as defined by GSA MSO is not required. Instead, USDA uses an “Issuer/Activator” who will be responsible for receiving the credential from the card printing facility, handing the credential to the applicant, and providing activation assistance to the Applicant if required.

What They Need

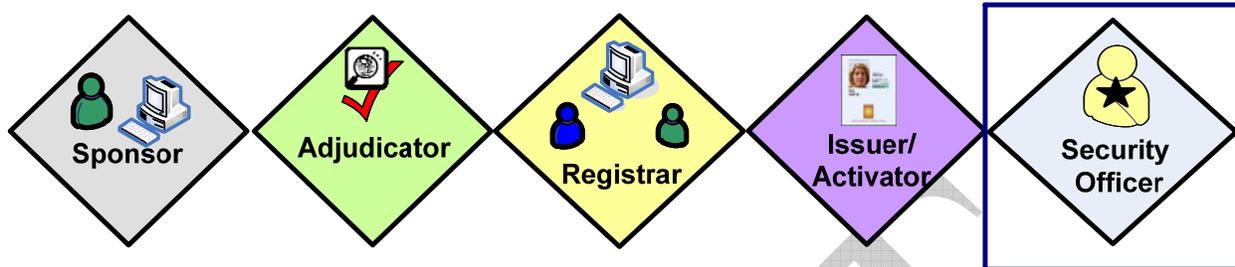
All Issuers/Activators must complete the web-based HSPD-12 Activation training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

The Issuer/Activator’s basic responsibilities are to:

	Receive the credential from the card printing facility
	Hand the credential to the individual after verifying their ID.
	Retrieve the credential if activation fails and note the reason for the failed activation.
	Provide activation assistance to the Applicant (if necessary).

Security Officer



Who They Are

There are three levels of Security Officers:

- USDA Department Security Officer (USDA SO) is responsible for all records.
- Agency Security Officer (Agency SO) is responsible for records designated to their agency. This officer must be in a physical security job category.
- Security Officer (SO) includes personnel, IT, or physical security officers.

NOTE: The person holding the Security Officer role is responsible for system actions as related to the security status of the LincPass and therefore can be a different person than the actual facility Security Officers. While USDA is using a 3-tier hierarchy to divide responsibility for user records among the Security Officers who are authorized in the system, the USAccess system uses a single Security Officer role. Therefore the Department, Agency, and other Security Officers who are using the system will have the same actual system permissions.

What They Need

USDA, Agency, and all other Security Officers must complete the web-based HSPD-12 Security Officers training, be certified, and be issued a LincPass before beginning HSPD-12 responsibilities.

What They Do

The Security Officer’s basic responsibilities are to:

Type	Responsibility
USDA SO	 USDA Department Security Officer is responsible for all records.
Agency SO	 Delegate authority to designated SOs for record access.
	 Make final determination on revocations with the Sponsor when required.

Type	Responsibility
	 <p>Provide oversight to SOs to ensure completed training, certification, and issuance of credentials.</p>
	 <p>Report to the Agency Role Administrator that designated Security Officers are trained, certified, and credentialed.</p>

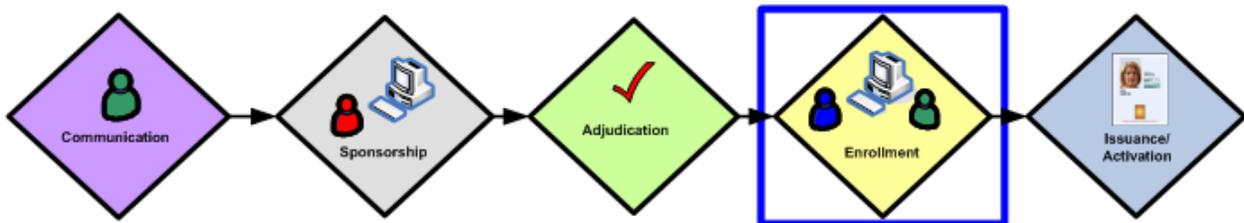
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Type	Responsibility	
		Manage employees', contractors' and affiliates' "credential status." Credential management may include an emergency suspension of the credential if a security event occurs.
		Investigate incidents with the Agency SO to resolve any discrepancies.
SO		Collect and destroy credentials <ul style="list-style-type: none"> • from credential holders whose sponsorship or status has been terminated • with anomalies identified at post printing inspection and pre-issuance • that are unclaimed when the Applicant left employment abruptly • when credential activation fails Update auditable records for destroyed credentials.

It is up to the Agency to determine how best to manage HSPD-12 Program's security needs with their current staffing levels.

PIV-II Processes

Daily Enrollment List



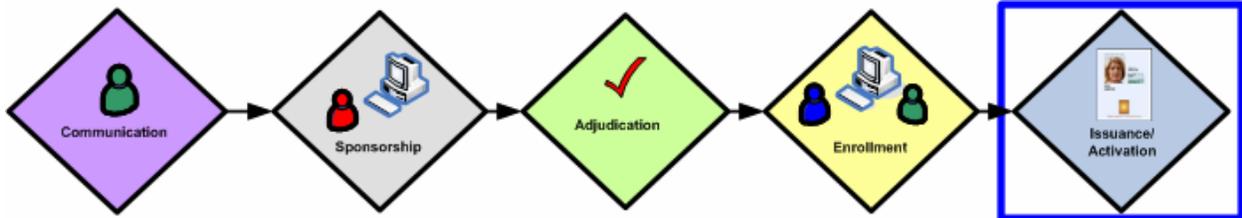
Who They Are

The Security Guard is authorized to regulate access to government facilities utilizing agency specific policy and procedures. During the credentialing process, Security Guards will regulate access of Applicants to government facilities which host enrollment stations.

The Security Guard's basic responsibilities to allow entry into enrollment facilities:

	Registrar prints out the "Expected Applicants" list from the scheduling tool 24 hours prior.
	Security Guards will receive a list of applicants expected that day with estimated arrival times.
	If Applicant does not appear on the list, the Security Guard will call the Registrar to check; entry into the facility may not be authorized.
	The non-listed applicant may be directed to use the scheduling tool to schedule a time to enroll.
	The Security Guard reviews the Applicant's ID to verify name listed.
	The Applicant signs into the facility visitation log and is properly escorted or directed to enrollment station.

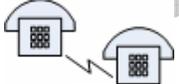
Receiving Credentials from Card Printing Facility



Who They Are

The HSPD-12 Issuer/Activator performs credential personalization operations and issues the identity credential to the Applicant after all identity proofing, fingerprint checks, and related approvals have been completed.

The Issuer/Activator’s responsibilities to receive cards from the printing facility:

	Receives package of credentials from authorized courier.
	Sign for package of credentials. Inspect the integrity of package and ensure that it is properly sealed.
	Alert the Security Officer immediately if the package is not sealed properly.
	Check credentials against the shipping list to ensure all shipped cards are in the package. Check the shipping list of credentials with Registrar’s list of credential packages submitted to the card production facility.
	Alert the Security Officer if the shipping list and Registrar’s list does not match.
	Log credentials into appropriate database: name, credential number, date of arrival
	Flag any credentials that are damaged, not correct, or shipped to the wrong address.
	Alert the Security Officer to investigate the anomalies and resolve the issues.
	Credentials are stored in the secured location or safe until activation process is initiated.

Other Processes

Data Preparation--EmpowHR

Data in the Human Resources (HR) systems must conform to requirements set forth by USAccess, the GSA Shared Services HSPD-12 system. HR personnel need to review and correct data in employee records in order to provide an authoritative source for the required identity proofing. USAccess requires a certain set of information which is missing from HR data sources.

Below are the tasks you will need to perform to prepare records:

	Identify active employees within your agency (or supported agency) who should receive an HSPD-12 LincPass
	Identify records based on Enrollment Station Location
	<ul style="list-style-type: none"> • Verify adjudication results have been entered into EmpowHR; if not, update those records* • If an employee needs a LincPass and does not have a favorably adjudicated background investigation on record, a NACI must be initiated for that individual.
	<ul style="list-style-type: none"> • Verify accuracy of employee name information in EmpowHR. Fix issues for all employees (i.e. Suffix combined in last name field). Make sure the employee's record contains his/her full middle name. • You may need to contact some employees to verify their information.
	Identify non-US citizens and update those records in the EmpowHR system *
	Identify all Emergency Response Officials and update those records in the EmpowHR system*
	Indicate LincPass Required
	Update Business Email and Phone <ul style="list-style-type: none"> • If Employees have been trained to use the EmpowHR self-service module, update this information by following the HSPD-12_ProcedureToVerifyEmplRecordsInEmpowHR_v3.doc. OR <ul style="list-style-type: none"> • Update in eAuthentication

	<p>Submit prepared records through the certification portal.</p>
	<p>Prepare sets of records to transmit to USAccess on a continual basis so that all employees can be enrolled by the October, 2008 deadline.</p>

*Update records according to the instructions in this document:
HSPD-12_ProcedureToVerifyEmpRecordsInEmpowHR_v3.doc

For more information call the HSPD-12 hotline at (202) 720-9042 or send an email to hspd12@ftc.usda.gov

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Data Preparation—Payroll Personnel

Data in the Human Resources (HR) systems must conform to requirements set forth by USAccess, the GSA Shared Services HSPD-12 system. HR personnel need to review and correct data in employee records in order to provide an authoritative source for the required identity proofing. USAccess requires a certain set of information which is missing from HR data sources.

	<p>Identify active employees within your agency (or supported agency) who should receive an HSPD-12 LincPass</p>
	<p>Identify records of employees to be enrolled based on Enrollment Station location</p>
	<ul style="list-style-type: none"> • Identify employees that have completed an • If an employee needs a LincPass and does not have a favorably adjudicated background investigation on record, a NACI must be initiated for that individual.
	<ul style="list-style-type: none"> • Verify accuracy of employee name information. Fix issues for all employees (i.e. suffix combined in last name field). Make sure the employee's record contains his/her full middle name. • You may need to contact some employees to verify their information. • Indicate if employee is a non-US citizen
	<ul style="list-style-type: none"> • Log into secure site in and select cleaned records from the agency list to be transmitted to USAccess. • The HSPD-12 Program Team will transmit the records to USAccess and will inform the Agency when it is complete
	<p>Add missing fields required for USAccess:</p> <ul style="list-style-type: none"> • Indicate if employee is an Emergency Response Official • Update business email in e-Authentication • Update business phone in e-Authentication • LincPass Required • Adjudication Results
	<p>Prepare sets of records to transmit to USAccess on a continual basis so that all employees can be enrolled by the October, 2008 deadline.</p>

For more information call HSPD-12 hotline at (202) 720-9042 or send an email to hspd12@ftc.usda.gov

LincPass/PACS Integration

Overview

As Employees begin being issued PIV-II compliant LincPass credentials, local PACS systems will need to update Employee access records to allow use of the newly issued credential. The status of each facility's PACS will determine (in the short term) if the Employee must carry both their site badge and LincPass or if they can use the LincPass exclusively. In the long term, it is expected that the facility will employ the ePACS solution to handle site badging needs.

	<p>Facility with a non-PIV-II Compliant PACS Until a facility has a fully PIV-II compliant PACS system (both software and hardware such as card readers). Employees will need to continue to use their current site badge even after they have been issued a LincPass.</p>
	<p>Facility with a PIV-II Compliant PACS If the facility does have a fully PIV-II compliant PACS system in place, then the Employee should take their LincPass to their local PACS Administrator once the credential has been activated. The PACS Administrator shall then revoke (but not delete for history purposes) the Employee's current PACS system record and then create a new record using the information from the Employee's new LincPass.</p> <p>NOTE: the PACS system must use a template that can accept LincPass credential information.</p>
	<p>Long Term ePACS Solution Once a facility employs the ePACS solution, an Employee's LincPass information will automatically be pushed to the regional PACS system when an Employee receives a LincPass. Local PACS Administrators will then need to pull information for Employees at the local facility, revoke the non-PIV-II site badge and apply the Employee's access permissions to the new LincPass.</p>