

USDA HSPD-12 Applicant Status Report Guide

Prepared for



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Office of Homeland Security and Emergency
Coordination
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Revision Information

Version	Date	Revision Notes
1.0	2/21/2008	Initial Draft
2.0	4/1/2008	Added advanced search capability details
3.0	6/6/2008	Verbiage tweaks
4.0	8/14/2008	Updated screen shots and verbiage to coincide with USAccess system update 4.0
4.1	7/27/2009	Updated screenshots to coincide with USAccess system update 4.8. Sponsor and Adjudicator PIDs filter added.
4.2	10/4/2010	Updated screenshots to coincide with USAccess system software release 4.13. "Card Check-In" fields and Pending Request fields added to legend.
4.3	9/30/2011	Agency contacts reference link.



INTRODUCTION

The Applicant Status Report allows Agency Sponsors, Adjudicators, Security Officers, and Report Viewer role holders to check an Applicant's 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.

You must be a designated role holder in USAccess to access the report. Please consult your agency's Role Administrator if you require access. For a list of agency contacts, visit the following link; (Employee agency contacts) http://lincpass.usda.gov/team_poc.html, or (Non-Employee agency contacts) http://lincpass.usda.gov/team_poc.html.

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.

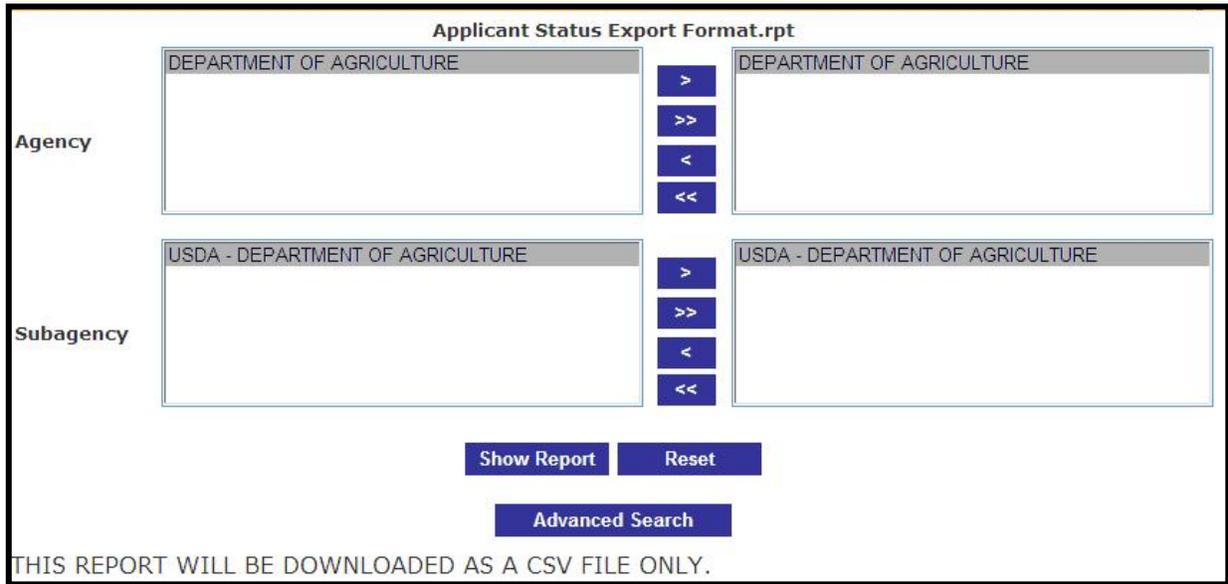
The screenshot shows a web interface with three main sections, each with a yellow header:

- Select A Role:** A dropdown menu with "SPONSOR" selected.
- Select An Agency:** A dropdown menu with "DEPARTMENT OF AGRICULTURE" selected.
- Select A Report to View:** A list of reports with "Applicant Status Export Format.rpt" highlighted in blue.

At the bottom of the interface is a blue button labeled "Select Report".

Figure 1: Selecting the Applicant Status Export Report

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.



The screenshot displays the 'Applicant Status Export Format.rpt' interface. It features two rows of selection boxes. The top row is labeled 'Agency' and contains two boxes, both with 'DEPARTMENT OF AGRICULTURE' selected. The bottom row is labeled 'Subagency' and contains two boxes, both with 'USDA - DEPARTMENT OF AGRICULTURE' selected. Between the rows are four navigation buttons: '>', '>>', '<', and '<<'. Below the selection boxes are three buttons: 'Show Report', 'Reset', and 'Advanced Search'. At the bottom of the interface, a note reads: 'THIS REPORT WILL BE DOWNLOADED AS A CSV FILE ONLY.'

Figure 2: 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.



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 'Advanced Search' interface. At the top, there is a navigation bar with 'Home > Search Criteria' and a user ID '12001000000062@fedid'. Below this, the search criteria are set to 'Enrollment ID' and '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 a large empty box and four blue arrows pointing up and down. Below this are buttons for 'Parameter Page 1', 'Show Report', and 'Reset'. The interface is divided into four filter sections: '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 section has a 'Parameter Page 1', 'Show Report', and 'Reset' button at the bottom.

Figure 3: 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.

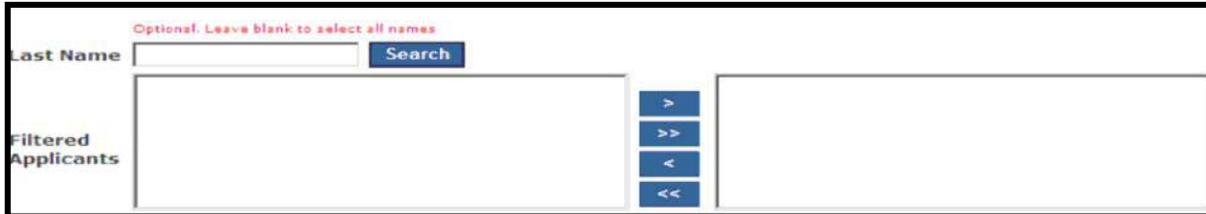


Figure 4: Applicant Name Filter

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.

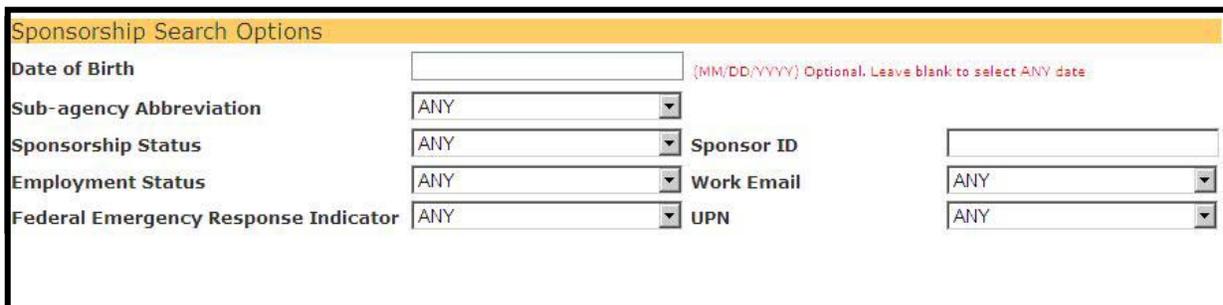


Figure 5: Sponsorship Filters

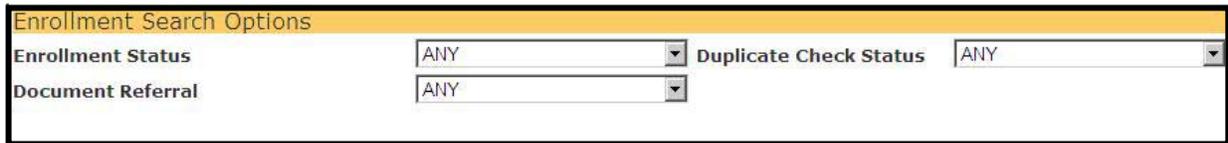
Available Filters:

- 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 FERO 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 form titled "Enrollment Search Options" with a yellow header. It contains three dropdown menus: "Enrollment Status" (set to ANY), "Document Referral" (set to ANY), and "Duplicate Check Status" (set to ANY).

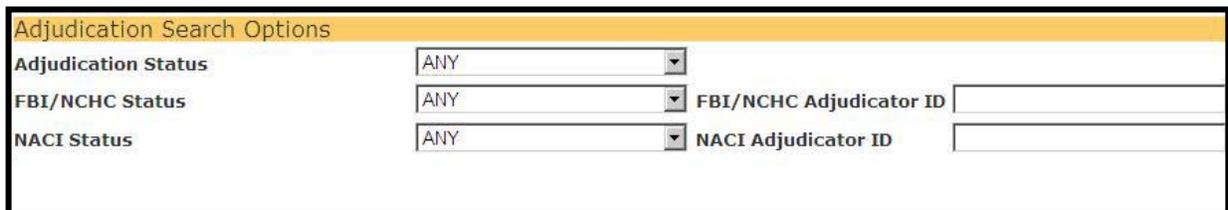
Figure 6: Enrollment Filters

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 form titled "Adjudication Search Options" with a yellow header. It contains four input fields: "Adjudication Status" (dropdown set to ANY), "FBI/NCHC Status" (dropdown set to ANY), "NACI Status" (dropdown set to ANY), and two text input fields for "FBI/NCHC Adjudicator ID" and "NACI Adjudicator ID".

Figure 7: 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 8: 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
- Card Destroyed: applicants whose LincPass has been physically destroyed

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 9: 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.



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

Applicant Information
 Enrollment ID - Applicant enrollment ID number
 Last Name - Applicant last name
 Suffix - Applicant Suffix - Will appear after last name. There is no heading for this field in the formatted version of the report. The export versions do show a field heading.
 First Name - Applicant first name
 Middle Name - Applicant middle name
 DOB - Applicant date of birth

Sponsorship Information
 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
 Employment Status - Applicant's employment status (active, terminated, suspended, future)
 Sub-agency Abbreviation - Codes used for agencies that do not have sub-agencies but want to have something to sort applicants on
 Card Required - If YES, a credential is required for this applicant
 Fed Emer Response - Indicates if the applicant is a Federal Emergency Response Official
 Org Association Category - The applicant's category for the sponsoring agency (contractor, employee, etc.)
 Zone 4 - Agency Specific Text - Text printed on the credential in Zone 4
 Zone 17 - Agency Specific Data - Text printed on the credential in Zone 17
 Sponsor ID - Enrollment ID of the Sponsor of record for this applicant
 Agency Person ID - Agency provided identifier for the applicant
 Work Email - Applicant work email - if **"MISSING"** the Sponsor must provide the email address before card issuance can occur
 Home Email - Applicant home email
 UPN - User Principal Name, if **"MISSING"** the Sponsor must provide the UPN before card issuance can occur
 Zone 5 - Rank - The rank code for this applicant printed on the credential in Zone 5
 Ship To Address - Address where the applicant's PIV credential will be mailed after card printing
 Credential Check-In Address/Name - The name and address of the last location where this credential was checked-in
 Credential Check-In Address Description - Entered by the creator of this address to help describe the location
 Credential Check-In Email Sent - Indicates if an email was sent to the applicant directing them to a location to pick-up their credential

Enrollment Information
 Enrollment Status - If **"INCOMPLETE"** The applicant has not yet enrolled. 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 the applicant-provided I-9 documents. If **"INVALID"** the Security Officer has reviewed the document(s) presented by the applicant at enrollment and marked them as Invalid. This applicant must appear again at enrollment with valid I-9 documents and re-enroll.
 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; **NO FP ON CARD** - The applicant's fingerprints were not collected
 Enrollment Site ID/Description - The site ID/descriptive name for the enrollment site used to enroll the applicant
 Enrollment Site Address - The address of the site ID where the applicant was enrolled

Adjudication Information
 Adjudication Status - Applicant Adjudication Status, if **"INCOMPLETE"** or **"NO STATUS"** the Adjudicator must provide the applicant adjudication, 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
 NCHC/FBI Adjudicator ID - The Enrollment ID of the adjudicator on record for the FBI/NCHC
 NACI - Status for the National Agency Check with Inquiries
 NACI Adjudicator ID - The Enrollment ID of the adjudicator on record for the NACI

Issuance Information
 Issuance Info For Card - A value of CURRENT means the issuance data displayed is for the applicant's current credential. A value of NEW means the issuance data displayed is for the new credential that is progressing through the issuance process.
 Issuance Status - Status of the credential, if **"CARD DELIVERED"** the applicant must appear in person for credential pickup and activation
 Issuance Create Date - Date the applicant issuance record was created
 Issuance Last Update - Date the applicant issuance record was last modified
 CMS Card ID - Card serial number
 Card Destroyed - Has the credential been destroyed, YES or NO
 Card ID - Issuance ID for this credential
 FASC-N - Federal Agency Smart Credential Number

Pending Request
 Cert Reissue Request - A certificate reissue or a rekey has been requested. Values are: CERTIFICATE UPDATE FAILURE - the request failed, REKEY REQUEST FAILURE - the request failed, CERTIFICATE UPDATE REQUESTED - a request has been made, REKEY REQUESTED - a request has been made, NO - there are no rekey or certificate update requests pending
 Cert Reissue Request Date - The date the certificate reissue was requested. Once complete, the date will show an empty value
 Reprint Request - Shows a pending reprint request. Values are YES, NO, and CARD PRINTING - Card Printing means the process has started.
 Reprint Request Date - The date the reprint was requested. Once complete, the date will show an empty value
 Reissue Request - Shows a pending card reissue request. Values are NOT ENROLLED (applicant needs to enroll before the process can continue), ENROLLED, CARD PRINTING, and NO.
 Reissue Request Date - The date the card reissue was requested. Once complete, the date will show an empty value

Figure 10: ASR Legend



APPLICANT STATUS REPORT GUIDE

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@hp.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: USDAHSPD12HELP@dm.usda.gov