

USDA HSPD-12 Gap Analysis Using the Applicant Status Report

Prepared for



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Coordination
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Revision Information

Version	Date	Revision Notes
1.0	8/14/2008	Initial Draft
1.1	10/4/2010	Updated helpdesk information
1.2	9/30/2011	Person Model information



Introduction

The Applicant Status Report (ASR) allows designated role holders to check each of their Applicants' status in the USAccess system. As a result, the ASR can be used to track the overall progress of an agency through the various stages of the LincPass issuance process. This guide provides some tips and instructions on how to use the ASR to perform gap analysis for your agency. Specifically this guide will show you how to determine the following gaps:

- A. Enrollment Gap - Determine Applicants who are Sponsored, but not Enrolled.
- B. Card Delivery Gap – Determine Applicants who are Enrolled, but whose LincPass has not gone to printing yet.
- C. Card Activation Gap – Determine Applicants whose card is delivered but need to pick up and activate their card.

Please note: You must have access to USAccess in order to use this report. Please contact your agency Role Administrator about being designated as a role holder or as a report viewer.

Generate The Applicant Status Report

1. Run a report from the USAccess Sponsor portal by applying the agency abbreviation filter using your agency. After the report has generated, export it to Excel and save to your computer.

If you are unfamiliar with how to access and generate an ASR, please see the “Using the Applicant Status Report” guide on the USDA LincPass website’s [“Training”](http://hspd12.usda.gov/training.html) page via the following link; <http://hspd12.usda.gov/training.html>.

2. Open the report in Excel and apply filters to the columns.

Find Agency Gaps

The first step is to restrict the report to only the Applicants actively employed or suspended (suspended Applicants may have already completed parts of the process or will complete them upon reactivation). Use the filter on the [Employment_Status](#) column to limit the report to ACTIVE and SUSPENDED records. If you want to count Terminated Applicants as well, do not apply any filters to the [Employment_Status](#) column.

As you move from one analysis to the next, be sure to clear any previous filters applied (unless otherwise noted) except for the [Employment_Status](#) column filter. That filter should be left on for each gap you are analyzing.

For each gap analysis, be sure to follow the steps in order.

A. Enrollment Gap

These will tell you how many Applicants are sponsored and therefore, able to enroll, but have yet to do so.



1. **Isolate Sponsored Applicants** – set the filter on the [Sponsorship Status](#) column to “SPONSORED”
2. **Isolate Applicants Yet to Enroll** – set the filter on the [Enroll Status](#) column to “INCOMPLETE”.

The resulting list is those who can enroll but have not. You can use this list to contact those that still need to enroll and send them a reminder email.

B. Card Delivery Gap

This lists Applicants who have enrolled, but whose LincPass will not print until all the issuance criteria are met. “No Status” indicates one of the issuance criteria has not been met and therefore the card has not gone into the printing process. Additionally, an Applicant may have multiple items preventing the LincPass from being printed.

Not Adjudicated: Determine the Applicants whose card is prevented from printing due to their Adjudication not being recorded in USAccess yet. These Applicants have enrolled, but have not had either the BI or the FP check adjudication results recorded. At least one of these adjudication results must be recorded in USAccess in order to issue a LincPass.

1. **Isolate Sponsored Applicants** – set the filter on the [Sponsorship Status](#) column to “SPONSORED”.
2. **Isolate Enrolled Applicants** – set the filter on the [Enroll Status](#) column to “COMPLETE”.
3. **Isolate Incomplete Adjudicated Applicants** – set the filter on the [Adjudication Status](#) column to “INCOMPLETE”.

The resulting list shows you who still needs at least one of the adjudications recorded in USAccess. For Person Model (Non-Employee Role Holders), the adjudication results will be entered directly into Person Model. For Employee (Employee Role Holders) agency processing adjudication results will be entered in EmpowHR,, Person Model or USAccess, based on the agencies process.

I-9 Document Flag: Determine the Applicants whose card is prevented from printing due to a document referral flag placed during Enrollment. These Applicants have an I-9 document flag to be reviewed and cleared by the Security Officer.

1. **Isolate Sponsored Applicants** – set the filter on the [Sponsorship Status](#) column to “SPONSORED”.
2. **Isolate Enrolled Applicants** – set the filter on the [Enroll Status](#) column to “COMPLETE”.
3. **Isolate I-9 Document Referral Flagged Applicants** – set the filter on the [DocumentReferral](#) column to “YES”.

The resulting list shows you all the Applicants for whom the Security Officer must review and, if appropriate, clear the document referral flag.



GAP ANALYSIS USING THE APPLICANT STATUS REPORT

Duplicate Check Flag: Determine the Applicants whose card is prevented from printing due to a biometric duplicate flag placed after enrollment. The system has found an Applicant record already in the system that too closely matches this applicant. This flag must be reviewed by the Security Officer.

1. **Isolate Sponsored Applicants** – set the filter on the **Sponsorship Status** column to “SPONSORED”.
2. **Isolate Enrolled Applicants** – set the filter on the **Enroll Status** column to “COMPLETE”.
3. **Isolate Biometric Duplicate Flagged Applicants** – set the filter on the **DuplicateCheckPending** column to “YES”.

The resulting list shows you all the Applicants for whom the Security Officer must review and, if appropriate, clear the biometric duplicate flag.

Card Not Required: Determine the Applicants whose card is prevented from printing because their record currently says they do not require a LincPass. These Applicants do not have the PIV Card/LincPass Required box set to "Yes".

1. **Isolate Sponsored Applicants** – set the filter on the **Sponsorship Status** column to “SPONSORED”.
2. **Isolate Enrolled Applicants** – set the filter on the **Enroll Status** column to “COMPLETE”.
3. **Isolate Applicants falsely recorded DO NOT Require Card** – set the filter on the **Card Required** column to “NO”.

The resulting list shows which Applicant records need to be updated so that the card is required. For Non-Employee processing in Person Model, the “LincPass Required” box needs to be checked by the Sponsor in Person Model. For Employee processing, the “PIV Card Required” box needs to be checked by the Sponsor in EmpowHR, Person Model, or USAccess depending on the agency specific process.

Enrolled But Not Sponsored: Determine the Applicants whose card is prevented from printing because their sponsorship status is incomplete. Occasionally, the Applicants’ Sponsorship Status was reset to Incomplete.

1. **Isolate Enrolled Applicants** – set the filter on the **Enroll Status** column to “COMPLETE”.
2. **Isolate Un-Sponsored Applicants** – set the filter on the **Sponsorship Status** column to “INCOMPLETE”.

The resulting list shows the Applicants whose record needs to be updated to properly complete sponsorship of record. Non-Employee Sponsors should verify all required fields have been entered, and the “LincPass Required” box is checked in Person Model. For Employee processing, the role holder must verify all required fields have been entered in the system and



the record is saved in EmpowHR, Person Model, or USAccess depending on the agency specific process.

C. Card Activation Gap

This displays Applicants whos' LincPass has been delivered to the card shipping address, but have not picked-up nor Activated the LincPass.

1. **Isolate Sponsored Applicants** – set the filter on the **Sponsorship Status** column to “SPONSORED”
2. **Isolate Enrolled Applicants** – set the filter on the **Enroll Status** column to “COMPLETE”.
3. **Isolate Delivered Cards yet to be Activated** – set the filter on the **Issuance Status** column to “CARD DELIVERED”.

The resulting Applicants are the ones who need to pick up and activate their LincPass. Sponsors can resend the Card Delivery email to the Applicant via USAccess. For detailed instructions on resending USAccess Card Delivery notifications, Non-Employee role holders should refer to the Non-Employee Person Model Sponsor Training via the following link; <http://hspd12.usda.gov/training.html>. All Employee agencies should refer to the Sponsor Guide via the following link; <http://hspd12.usda.gov/training.html>.

Help Resources

For technical issues with accessing/generating the ASR, please contact the USAccess Help Desk at 1-866-493-8391 or usaccess.helpdesk@hp.com

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

Toll Free Telephone: 1- 888-212-9309

Email: USDAHSPD12Help@dm.usda.gov

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