

USDA HSPD-12 Sponsor Guide

Prepared for



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

Version 3.2

October 4, 2010

Revision Information

Version	Date	Revision Notes
1.0	08/13/2008	Initial Draft
1.1	09/18/2008	Added updated screenshots and verbiage regarding Sponsor Utility pages; split LincPass destruction into separate sub-section
2.0	12/04/2008	Record Editing Blocked during Card Printing Process
3.0	02/03/2008	Re-Issue for Document Referrals
3.1	07/27/2009	Updated verbiage
3.2	10/04/2010	Updated verbiage, section 2.5.2,

Table of Contents

Introduction	
Purpose.....	1
Background.....	1
Prerequisites.....	2
Section 1 Employee Sponsorship	3
1.1 EmpowHR Process.....	3
1.2 Personnel Process.....	3
Section 2 Post-Sponsorship Activities	4
2.1 Maintaining Cardholder Sponsorship Information	4
2.2 Employment Status Changes	5
2.3 Suspension Process.....	5
2.4 Termination Process.....	5
2.5 Requesting Reissues and Renewals.....	6
2.6 Requesting a Reprint.....	10
2.7 Resending System Notifications.....	11
2.8 Marking the LincPass Destroyed.....	12
Section 3 USAccess Reports	12
3.1 Accessing the Reports.....	13
3.2 Individual Reports	14
Appendix A – Help Resources	A1

Table of Figures

Figure 1: Card Printing in Process Screen	5
Figure 2: Applicant Search Screen	7
Figure 3: Applicant Search Screen	7
Figure 4: Sponsorship Utility Screen.....	8
Figure 5: Card Action Request Wizard	9
Figure 6: Card Action Request Wizard	9
Figure 7: Card Action Request Wizard	9
Figure 8: Card Action Request Wizard	10
Figure 9: Card Action Request Wizard	11
Figure 10: System Notification Tab.....	12
Figure 11: Report Selection Screen	13

Introduction

Purpose

This document serves as a guide to the HSPD-12 Sponsor processes and procedures. It details the role's major responsibilities and provides instructions on performing various HSPD-12 Sponsor duties. Specifically this document covers:

- Employee Applicant Data Preparation and Sponsorship
- Post-Sponsorship Activities
 - Employee Information Updates
 - Employment Status Changes
 - LincPass Destruction
 - Reissues/Renewals
 - Reprints
 - Card Delivery Email Resend
 - Marking the LincPass Destroyed
- USAccess Reports
- Applicant Record Tracking and Troubleshooting

Background

To comply with Homeland Security Presidential Directive 12 (HSPD-12), USDA is participating in a shared service offering from General Service Administration's Managed Services Office (GSA MSO). This shared service, called the USAccess program, provides participating departments/agencies the infrastructure to issue HSPD-12 compliant Personal Identity Verification (PIV) credentials to employees. USDA's PIV card, called the LincPass, utilizes "smart card" technology and will be an employee's key to accessing USDA facilities and information systems. To be issued a LincPass, the following steps need to take place for each employee applicant:

- Sponsorship – Sponsors verify applicant HR data and sponsor the applicant in the USAccess System
- Enrollment – Once sponsored, applicants are identity proofed at an enrollment station
- Adjudication – Once sponsored, Adjudicators record the results of an applicant's background investigation in USAccess
- Issuance – Once all issuance criteria are met, the applicant's LincPass is printed and shipped
- Activation – Once delivered, the employee picks up and activates their LincPass
- Maintenance – Once activated, Sponsors perform various maintenance activities related to maintaining sponsorship information and performing card action functions

Prerequisites

Before proceeding, please make sure that you have met all the pre-requisites for performing HSPD-12 Sponsor Duties in USAccess:

1. Sponsored in the USAccess system
2. Completed USAccess HSPD-12 Sponsor Training
 - NEIS Sponsors must additionally complete HSPD-12 NEIS Sponsor Training in AgLearn
 - EmpowHR Sponsors must additionally complete HSPD-12 EmpowHR Sponsor Training in AgLearn
3. Designated by your Agency Role Administrator as a Sponsor in USAccess
4. Received your USAccess Sponsor User ID and Password
5. Granted access to the USDA HSPD-12 Agency Certification Portal

Section 1 Employee Sponsorship

The purpose of sponsorship is to validate all information required for sponsorship and then to initiate sponsorship in the USAccess system. This process will vary somewhat depending on the agency's HR system (EmpowHR or Payroll Personnel). In general, the Sponsor verifies and if necessary updates all the required sponsorship information directly in the agency's HR system as the HR system serves as the authoritative source for sponsorship information. Payroll Personnel agencies are required to take an extra step within the USAccess system itself in order to complete sponsorship. Following is a general overview of the steps taken based on the HR system in use:

1.1 EmpowHR Process

- a. Sponsor verifies/updates employee's sponsorship information in EmpowHR
- b. Employee verifies/updates email address in EmpowHR "My System Profile"
- c. Sponsor validates employee in Agency Certification Portal to send the record to USAccess
- d. Employee is Sponsored

1.2 Personnel Process

- a. Sponsor verified/updates available sponsorship information in Payroll Personnel
- b. Employee verifies/updates email address in eAuthentication
- c. Sponsor validates employee in Agency Certification Portal to send the record to USAccess
- d. Sponsor completes sponsorship directly in USAccess
- e. Employee is Sponsored

For detailed instructions on data preparation and Sponsorship activities, please see the appropriate **On-Board Guide** on the USDA HSPD-12 website's "[Training](#)" page.

Once Sponsorship is completed, the Sponsor's main duties are complete until the LincPass is activated. In between sponsorship and activation, the Sponsor may be called on to check on the status of the Applicant in the process (see Section 4) or to update incorrect information discovered during enrollment.

Section 2 Post-Sponsorship Activities

In addition to the initial sponsorship of an Employee Applicant, a Sponsor is responsible for maintaining an Applicant's record and performing various credential actions throughout the LincPass lifecycle. This section covers the following post-sponsorship activities:

- Maintaining Applicant sponsorship information
- Employment status changes
- Requesting Reissues and Renewals
- Requesting Reprints
- Marking the LincPass Destroyed

2.1 Maintaining Cardholder Sponsorship Information

Whenever an employee's sponsorship related information changes, the Sponsor should make sure this information is updated in the appropriate system. Generally, for EmpowHR agencies all information is maintained in EmpowHR, while PayPers agencies are split between PayPers, eAuthentication (email addresses) and USAccess (Card Ship Address, PIV Card Required, FERRO designation) itself. Please see the On-Boarding Guides for information on where sponsorship data elements are maintained.

Depending on the type of change made, a reprint or a reissue may be required. Please see sections 3.3 and 3.4 for information on when to request a reprint or a reissue.

NOTE: Once an employee has been sponsored in USAccess, a Sponsor does not need to re-validate the employee via the Agency Certification Portal again. Any changes to information in the authoritative HR system will flow automatically to USAccess.

2.1.1 Record Editing is Blocked During Card Printing

Sponsors see a warning message if card printing is in progress for the selected Applicant. The message states they can only terminate or suspend the employee's status since the card is being printed. This is part of the effort to "lock down" the Applicant's record from having changes made (such as shipping address) since these types of changes won't take affect while card printing is in progress. If changes need to happen, the Sponsor must wait until printing is completed and then take appropriate action.

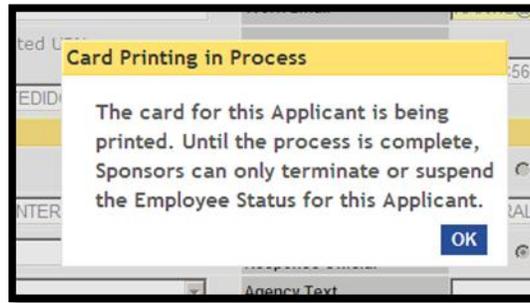


Figure 1: Card Printing in Process Screen

2.2 Employment Status Changes

A change to an employee's employment status has a direct effect on their LincPass status. Any change to the employment status in the authoritative HR system causes a correlating change to the LincPass status in USAccess. The change to the LincPass status will happen automatically within a day of the employment status changing in the authoritative HR system.

2.2.1 Status Correlation

Employee Active = Active LincPass
 Employee Suspended = Suspended LincPass
 Employee Terminated = Terminated LincPass

2.2.2 Handling the LincPass upon Status Change

The Sponsor will receive an automated email from USAccess whenever the LincPass status is changed due to an employment status change. Upon Suspension or Termination the LincPass must be confiscated from the employee and either securely stored (for suspensions) or destroyed (for terminations).

2.3 Suspension Process

An applicant's card may need to be suspended due to various circumstances (employee is being deployed overseas, maternity leave, medical leave, etc.) The process to suspend an employee's LincPass includes:

- Sponsor suspends the employee in the authoritative HR system
- USAccess suspends the LincPass
- LincPass is confiscated from the employee and locked in a secure area until employee is no longer suspended

2.4 Termination Process

- Sponsor terminates the employee in the authoritative HR system
- USAccess terminates the LincPass
- LincPass is confiscated from the employee
- LincPass is physically destroyed
- LincPass is marked as destroyed in USAccess

2.5 Requesting Reissues and Renewals

Sponsors are responsible for requesting a reissue or a renewal when the situation arises. Both requests are made via a single option in the USAccess Sponsor portal and will necessitate the employee re-enrolling at an enrollment station. The employee will need to visit an enrollment station to re-enroll. A brand new LincPass will be printed and delivered, and the employee will have to go to an activation station again to activate the new LincPass.

2.5.1 Reissue/Renewal Conditions

A reissue or renewal request should be made in the following circumstances:

- The Registrar flagged the applicant's I-9 documents during Enrollment and the Security Officer requests the Applicant to Re-Enroll with correct forms of I-9 documents.
- Information change that alters what is printed on the LincPass or on the chip, such as name change. Exceptions are for a change in Federal Emergency Response Official (FERO) designation or Employee type change such as contractor becomes a federal employee; these result in a reprint.
- LincPass certificates expire resulting in a terminated LincPass.
- LincPass is permanently lost or stolen.
- Manufacturer or process defects that can only be corrected by the employee enrolling again. *
- The 5 year LincPass expiration date on the actual card has been reached.

* **NOTE:** Be sure to keep track of card reissued due to a manufacturer or process defect so that proper reimbursement can be made back to USDA.

2.5.2 Reissue/Renewal Request Process

Step 1. Log into USAccess and search for the employee's record in USAccess.

ROLE: SPONSOR - DEPARTMENT OF AGRICULTURE

Applicant Search

Search by*

Lastname Social Security No.

Lastname

~ or ~

Social Security No.

~ and ~

Birth Date

[Search](#) [Reset](#)

Figure 2: Applicant Search Screen

Step 2. Click on **Sponsor Utility** when the record is found.

Applicant Search 12001000000062@fedidcard.gov Logout

Search by*

Lastname Social Security No.

Lastname

~ or ~

Social Security No.

~ and ~

Birth Date

[Search](#) [Reset](#)

ID	Last Name	First Name	Birth Date	Social Security	Email	Status			
1000000060	Doe	John	01/01/1980	xxx-xx-8299	John.doe@usda.gov	REGISTERED	View Applicant	Edit Sponsorship	Sponsor Utility

Figure 3: Applicant Search Screen

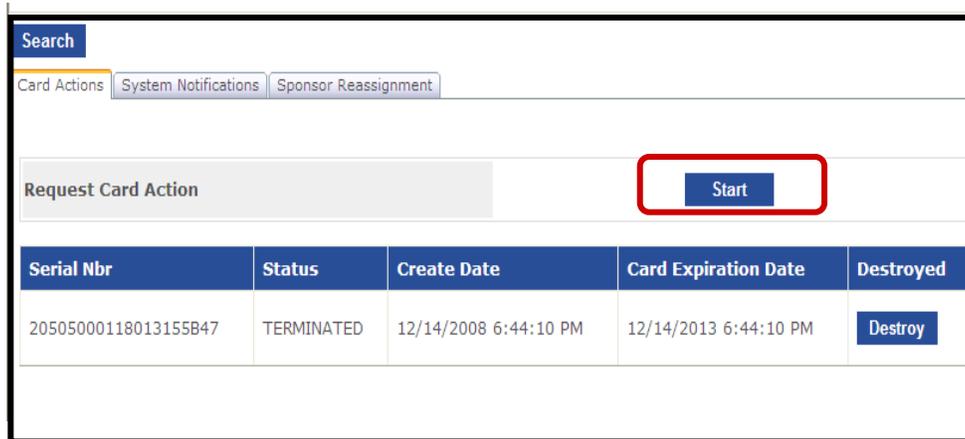


Figure 4: Sponsorship Utility Screen

Step 3. Select “Start” for Request Card Action. This card action wizard will walk you through a series of questions in order to help you decide if the card needs to be reprinted or reissued. In this example, the card will be reissued due to expired certificates.

Step 4. A pop-up question regarding the status of the applicant’s card will appear. Please respond accordingly. In this case, the applicant gave his expired card to his Sponsor, and the Sponsor marked “Yes” and selected “Next”.

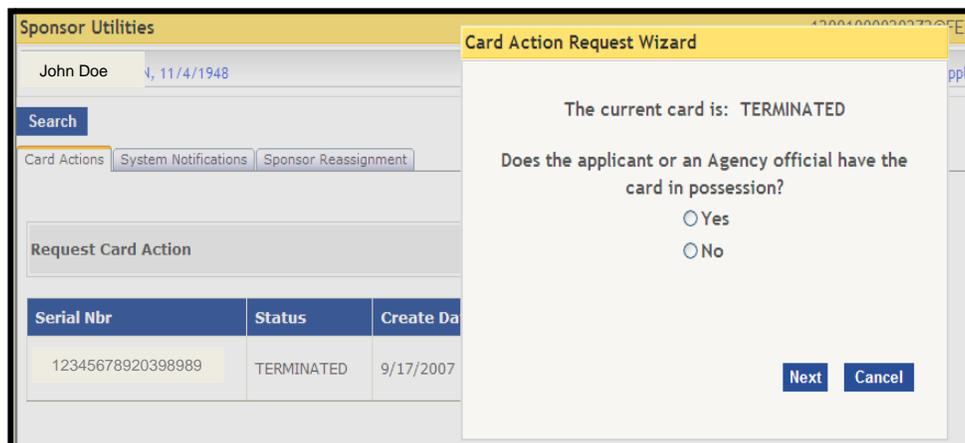


Figure 5: Card Action Request Wizard

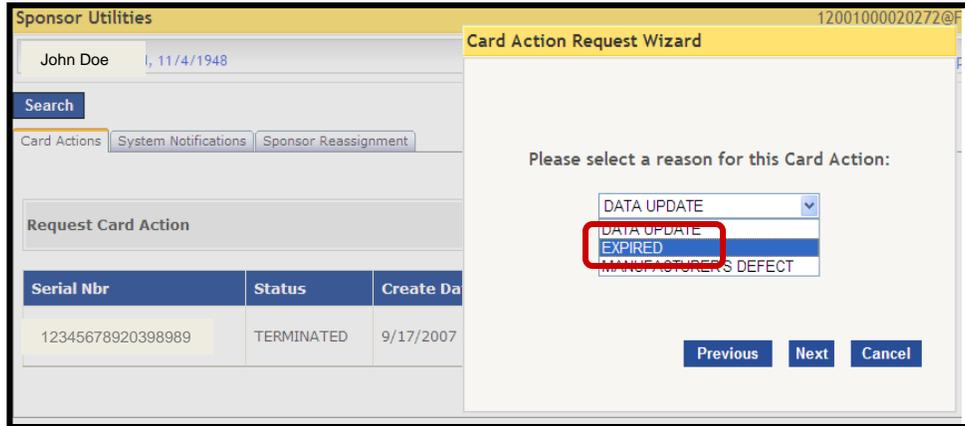


Figure 6: Card Action Request Wizard

Step 5. Next pop-up question regarding the reason for the card action appears. Please respond accordingly. In this case, the applicant's credentials certificates expired. The Sponsor marked "Expired" and selected "Next".

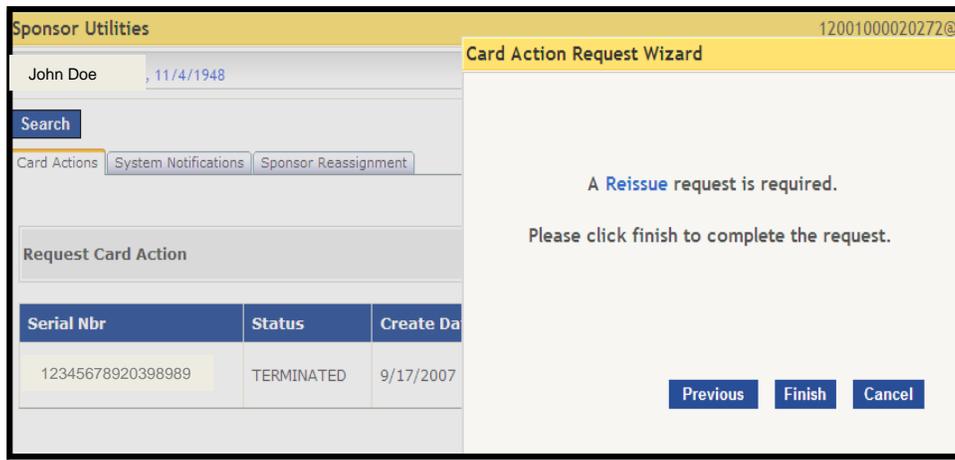


Figure 7: Card Action Request Wizard

Step 6. A reissue request pop-up window will appear. Please select "Finish" in order to complete the reissuance of the LincPass. A reissuance will terminate the current LincPass. Confiscate and destroy the current LincPass (if not lost or stolen) using the guidance in section 3.2.2.

Step 7. Mark the old LincPass as destroyed in USAccess once it has been physically destroyed.

2.6 Requesting a Reprint

A reprint request is very similar to a reissue/renewal request except the Employee does not have to enroll again. Upon request, the LincPass will be printed again and the employee will just need to pick it up and activate it again.

2.6.1 Reprint Request Conditions

A reprint should be requested under the following circumstances:

- The FERRO designation or Employee type has been changed
- LincPass damaged beyond repair
- Manufacturer defect (e.g. information printed wrong, card cannot activate upon delivery, etc.) that does not necessitate re-enrolling *

* **NOTE:** Be sure to keep track of cards reprinted due to a manufacturer or process defect so that proper reimbursement can be made back to USDA.

2.6.2 Reprint Request Process

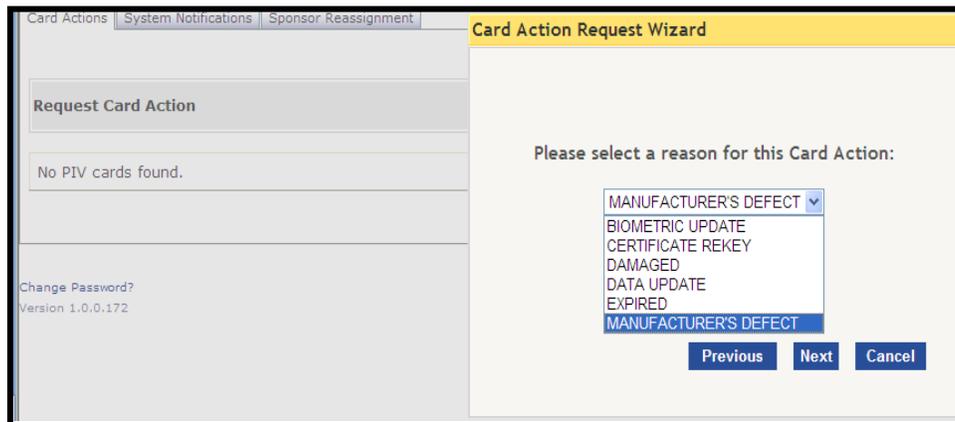


Figure 8: Card Action Request Wizard

Step 1. Follow Steps 1-5 in the Reissue/Renewal process except choose the reason for the Request Card Reprint.

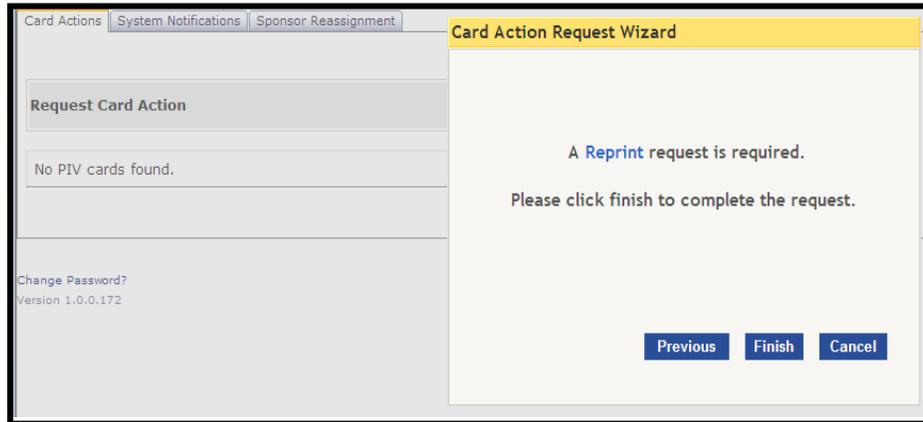


Figure 9: Card Action Request Wizard

Step 2. A reprint request pop-up window will appear. Please select “Finish” in order to complete the reissuance of the LincPass.

Step 3. The request will terminate the current LincPass. Confiscate and destroy the current LincPass (if not lost or stolen) using the guidance in section 3.2.2.

Step 4. Mark the LincPass as destroyed in USAccess once it has been physically destroyed.

Step 5. The employee will receive an activation email when the LincPass has been delivered.

2.7 Resending System Notifications

The Sponsor has the capability to resend the enrollment and card delivery emails to individual applicants. This may be necessary when Applicants did not receive the email from USAccess initially, they lost/deleted the email, or they forgot their activation PIN number (in the case of the card delivery email). The Sponsor can send the enrollment email to anyone with a complete sponsorship and incomplete enrollment status. The card delivery email can be sent to any Applicant with an Issuance Status of “Card Delivered”.

Step 1. Follow the steps for Reissue/Reprint in section 3.3.2 up to Step 4. Click on the **System Notifications** tab.



Figure 10: System Notification Tab

Step 2. Click the **Resend Email** button next to the appropriate email type to send the email, and then click **Finish**.

2.8 Marking the LincPass Destroyed

The Sponsor (along with the Security Officer) has the ability to mark a LincPass as destroyed after it has been terminated and physically destroyed. Each agency should develop a process that defines who is responsible for the physical actions on the LincPass as well as marking it destroyed in USAccess. Please see the “**Marking LincPass Destroyed**” guide on the USDA HSPD-12 website’s “[Training](#)” page for specific instructions on physically destroying the LincPass and marking its destruction in USAccess.

Section 4 USAccess Reports

The USAccess Reports Portal offers Sponsors and other designated role holders several reports for tracking the status of their Applicants. A Sponsor has access to the following reports:

- [Applicant Status Report](#) – displays several status and sponsorship information data elements for individual applicants in a report style format on screen
- [Applicant Status Report Export](#) – same as above but in an Excel exportable format
- [Bulk Upload Information](#) – report that provides information for formatting the bulk upload . Does not apply to USDA.
- [Role Assignment Report](#) – report listing who has been designated as a role in USAccess and what role they hold
- [Certificate Expiration Report](#) – report displaying the complete list of Credential Holders with certificates set to expire within 180 days

- Invalid Sponsor of Record – will list all Applicants (within the role holder’s scope) that have a Sponsor of Record who no longer holds the Sponsor role.
- Shipment Tracking Report - report will list Fed-Ex tracking number in order to track a credential shipment

3.1 Accessing the Reports

The reports are in the USAccess reports portal (<https://gsa.identitymsp.com/reportsportal>).

Step 1. Log into the reports portal using your Sponsor portal user name and password



Select A Role
SPONSOR
Select An Agency
DEPARTMENT OF AGRICULTURE
Select A Report to View
Certificate Expiration Report.rpt Invalid Sponsor of Record.rpt Role Assignment Report.rpt Shipment Tracking.rpt Applicant Status.rpt Applicant Status Export Format.rpt Bulk Upload Information.rpt
Select Report

Figure 11: Report Selection Screen

Step 2. Select your role (e.g. “Sponsor”) in the **Select A Role** box

Step 3. Select “Department of Agriculture” in the **Select an Agency** box

Step 4. Select the report you want to view in the **Select a Report to View** box.

Step 5. Click the **Select Report** button to run the report

3.2 Individual Reports

3.2.1 Applicant Status Report (Regular or Export)

The Applicant Status report is a useful report for quickly viewing the sponsorship information and process status of individual applicants. This report can be downloaded into Excel for easier sorting and filtering.

Please see the [“Using the Applicant Status Report”](#) guide on the USDA HSPD-12 website’s [“Training”](#) page for detailed instructions on using the report.

In addition to investigating the status of individual Applicants, the Applicant Status Report is a useful tool for identifying overall problem areas within your agency. The report can help you find the “gap” areas in the process within your agency:

- Applicants Sponsored but not Enrolled
- Applicants Enrolled but whose LincPass has not been delivered
- Applicants with LincPass delivered but not activated

To find the “gap” areas in your agency, please see the [“Gap Analysis Using the Applicant Status Report”](#) guide on the USDA HSPD-12 website’s [“Training”](#) page.

3.2.2 Bulk Upload Information Report

This report is not applicable to USDA Sponsors.

3.2.2 Role Assignment Report

This report allows an agency to track who has been designated as a role holder in USAccess. The report provides the role holder’s name and email address, the role they have been designated in and the date the Role Administrator designated them.

3.2.3 Certificate Expiration Report

This report will display the complete list of Credential Holders with certificates set to expire within 180 days. It will also display only those credentials that were terminated as a result of certificates not being rekeyed in time (i.e. certificates expired). Sponsors can use this report to send reminders to LincPass applicants to update their certificates prior to expiration. Information on the new report will include:

- Credential Holder First, Middle, Last Name and Suffix
- Work Email
- Agency
- Sub-Agency
- Enrollment ID
- Certificate Expiration Date
- ReKey Request Generated (indicates whether system generated a rekey request for Credential Holder’s certificates)
- Issuance Status (will only report credentials with active status or credentials that were marked terminated due to certificates expiring)
- Sponsor of Record

3.2.4 Invalid Sponsor of Record

The Invalid Sponsor of Record report will list all Applicants (within the role holder's scope) that have a Sponsor of Record who no longer holds the Sponsor role. Sponsors can use the report to re-assign Applicants within their scope to themselves and allow for several Applicant records to be updated at once. The reassignment of Sponsorship is completed in the USAccess Sponsorship Portal under the "Sponsor Reassignment" tab on the Sponsor Utility page for a particular applicant OR under "Sponsor Tools" tab on the "Applicant Search" page for more than one applicant.

*NOTE: After the reassignment tool is used, if another Sponsor makes an update to the record and saves it, that person becomes the new Sponsor of Record. Using the Sponsor Reassignment feature does not make a Sponsor the default Sponsor of Record; instead that person becomes the "present" Sponsor of Record. Any subsequent changes made by a person other than the present Sponsor of Record changes Sponsorship to this new person.

3.2.5 Shipment Tracking Report

To track a credential shipment, check the Shipment Tracking Report. Once you find the Applicant's credential on the list, you'll also see a Shipment Tracking ID. You can then visit the FedEx Web site and use their package tracking system to track the package containing the credential.

Appendix A – Help Resources

USDA HSPD-12 LincPass Website

- Sponsor page: <http://hspd12.usda.gov/Sponsor.html>
- FAQ Page: <http://hspd12.usda.gov/faq.html>
- Training Page: <http://hspd12.usda.gov/training.html>

USDA HSPD-12 Help Desk (for business process or Agency Certification portal)

- Toll Free: 888-212-9309, Local: 703-245-7888
- Email: USDAHSPD12Help@dm.usda.gov

USAccess Help Desk (for USAccess system questions/issues)

- Toll Free: 866-493-8391
- Email: usaccess.helpdesk@hp.com

USAccess Website: <http://www.fedidcard.gov>

GSA MSO Help Desk (for USAccess password resets or general policies)

- Phone: 202-501-4740
- Email: hspd12@gsa.gov

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

EmpowHR help desk: NFCEMPOWHR@usda.gov

Payroll Personnel Operations and Security Center (OSC) Help Desk: 1-800-767-9641