

DOL Policy For PIV Card Issuance For New Federal Employees and Contractors (HR/SC 10/20/05)

A. Purpose

Each Federal agency is required to develop a program to ensure that all employees and contractor employees who require access to DOL facilities and information systems are issued Personal Identity Verification (PIV) cards that satisfy the standard issued by the National Institute of Standards and Technology (NIST), Department of Commerce. These instructions describe the Department's process for implementation of Part I (PIV-I) of the NIST standard for new Federal employees and contractor employees.

B. Background

1. Homeland Security Presidential Directive (HSPD) 12, Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 27, 2004. This document establishes the requirement for the development and agency implementation of a mandatory, government-wide standard for secure and reliable forms of identification for Federal employees and contractors.

2. Federal Information Processing Standards Publication (FIPS) 201, Personal Identity Verification (PIV) of Federal Employees and Contractors, published by NIST, dated February 25, 2005. This document describes the standard for identification credentials issued by Federal agencies to Federal employees and contractors under HSPD-12. The PIV standard consists of two parts: PIV-I describes the minimum requirements for a Federal agency identification system that meets the control and security objectives of HSPD-12, including the personal identity proofing, registration, and issuance. PIV-II provides detailed technical specifications of components and processes required for interoperability of PIV cards with the personal authentication, access control, and PIV card management systems across the Federal government.

3. Office of Management and Budget Memorandum M-05-24, Implementation of Homeland Security Presidential Directive (HSPD) 12 – Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 5, 2005. This document provides guidance to Federal agencies on the implementation of HSPD-12 using the FIPS 201 standard.

C. Implementation Schedule

This process applies to all new Federal employees and contractors who begin work with the Department on or after October 27, 2005. DOL will issue guidance regarding current Federal employees and contractors at a future date.

D. Definitions

Applicant

An individual for whom a PIV card is being requested.

Contractor Employee.

An individual under contract to the Department who requires routine access to Federally controlled facilities and/or Federally controlled information systems and to whom the Department would issue an identity card, consistent with its existing security policies.

Does not apply to individuals under contract to a department or agency, requiring only intermittent access to federally controlled facilities.

Federal Employee

A Federal employee working for the Department who requires routine access to Federally controlled facilities and/or Federally controlled information systems and to whom the Department would issue agency identity credentials, consistent with its existing security policies. This also includes employees from non-Federal organizations who are working for the Department under the Intergovernmental Personnel Act.

Federally Controlled Facilities

These include the following:

- Federally-owned buildings or leased space, whether for single or multi-tenant occupancy, and its grounds and approaches, all or any portion of which is under the jurisdiction, custody or control of the Department.
- Federally controlled commercial space shared with non-government tenants. For example, if the Department leased the 10th floor of a commercial building, only the 10th floor would be a Federally controlled facility.
- Government-owned contractor-operated facilities.
- Facilities under a management and operating contract, such as for the operation, maintenance, or support of a Government-owned or-controlled research, development, special production, or testing establishment.

Federally Controlled Information Systems

These include the following:

- Information technology systems (or information systems), as defined by the Federal Information Security Management Act of 2002 (44 U.S.C. § 3502(8)).
- Information systems used or operated by an agency or by a contractor of an agency or other organization on behalf of an agency (44 U.S.C. § 3544(a) (1) (A)).
- Applicability for access to Federal systems from a non-Federally controlled facility (e.g., a researcher up-loading data through a secure website or a contractor accessing a government system from their own facility) should be based on the risk determination required by existing National Institute of Standards and Technology (NIST) guidance.

Note: Any identification associated with national security systems as defined by the Federal Information Security Management Act of 2002 (44 U.S.C. § 3542(2) (A)) is excluded.

Issuer

This is the individual (s) who adds the applicant's information into the DOL ID database and/or physically produces and issues the PIV Card. The Issuer may revoke the PIV card if requested by the Registrar due to unsatisfactory background investigation.

Others

Guest researchers, volunteers, and occasional visitors to facilities to whom the Department may issue a temporary identification.

Personal Identity Verification (PIV) Card

Each DOL PIV card is printed on a color-coded 2 ½ x 3 ½ white polyvinyl chloride (PVC) card with: United States Department of Labor, a picture of the bearer on the right with an unobstructed background, the DOL litho printed seal on the left, a 2 or 3 letter abbreviation representing the region they work in (or near), an PIV number, the bearer's name, DOL agency and the expiration date. The Applicant's photograph is a one-inch by one-inch color photograph clearly showing the Applicant's face. (See Attachment #7.) The PIV card is laminated with an official DOL seal hologram overlay. Located on the back of each card is: "This card is the property of the U.S. Government and its counterfeiting, alteration or misuse is a violation of Section 499, Title 18 U.S. Code. If found, drop in mailbox. Postmaster, postage guaranteed. Return to: U.S. Department of Labor, Washington, D.C. 20210." The language on the back of DOL PIV cards may be different for those facilities with an electronic access control system. The color codes are as follows:

- **Blue:** Issued to all DOL employees. Permits full access to DOL properties.
- **Red:** Issued to DOL contractors, with limited access to DOL properties. The word "Contractor" appears after the DOL agency name.
- **Green:** Issued to DOL contractors, with full access to DOL properties. The word "Contractor" appears on the card after the DOL agency name.

PIV Folder

The PIV Folder is used to document the completion of activities necessary for the issuance of an Applicant's PIV Card and into which to file original and photo static copies of PIV Card processing documents, as appropriate. The PIV Folder contains sensitive personal information and must be maintained in accordance with the Privacy Act. Documents to be filed in the PIV Folder include, but are not limited to:

- PIV Processing Checklist. (See Attachment #1.) Instructions for completion of the actions on the Checklist are found on Attachment #8.
- Applicant's current photograph, which the Applicant presented at PIV Processing. (Note: This photograph is different from the photograph taken of the Applicant and placed on his/her PIV card.)
- Photo static copy of the Form I-9, Employment Eligibility Verification, with photo static copies of the documents used for identity verification attached (A copy of the Form I-9 can be obtained at: <http://uscis.gov/graphics/formsfee/forms/files/i-9.pdf>).
- Photo static copies of background investigation forms (i.e., Standard Forms (SF) 85, 85P, or 86) and the Security Clearance Record (DL Form 1-189).

- Original Fingerprint Card (SF 87, revised 4-84) for Federal employees and FD-258 (revised 12-29-82) for Contractors, until transmitted as part of the security investigative package sent to OPM when a photo static copy of the Fingerprint Card will be made.
- Request for PIV Card Issuance (Attachment #3).
- Remote Location Receipt for Issuance of PIV Card (Attachment #4).

Note: The PIV Folder and associated documents will remain in the secure possession of the PIV Processor, Registrar, or Issuer at all times; at no time will the Applicant be given access to his/her PIV Folder.

PIV Package

This is the package of documents that must be completed and/or brought by the Applicant to his or her PIV Processing and consists of:

- Two (2) forms of identification in original form at least one of which must be a valid State or Federal government-issued picture identification (ID) as listed on the Form I-9, Employment Eligibility Verification. A copy of the Form I-9 can be obtained at: <http://uscis.gov/graphics/formsfee/forms/files/i-9.pdf>.
- The completed background investigation form (i.e., SF 85, 85P or 86, as appropriate (See Attachment #6 for guidance on determining the appropriate form.), and
- An original, current photograph of the Applicant. (Note: The photograph will not be returned to him or her.)

PIV Processor.

This is the individual (Federal employee) that escorts the Applicant during PIV processing and maintains the chain of custody and security of the PIV Folder until transferred to the Registrar. In National and Regional Offices, the default PIV Processor, unless otherwise designated by the PIV Requesting Official, will be a staff person within the servicing Human Resources Office.

PIV Requesting Official (Sponsor).

The management official(s) designated within an agency with the authority to request the issuance of a PIV card.

Registrar. This is the individual(s) in the servicing Human Resources Office designated to approve the issuance of an Applicant's PIV card.

Temporary Federal Employees.

Individuals on appointments that are short-term (less than 6 months), intermittent, or seasonal to whom the Department would issue a temporary identification.

E.1 Roles and Responsibilities – For Processing Federal Employees

The roles of Applicant, Requesting Official (Sponsor), Registrar and Issuer must be filled by four different people.

Applicant

- Physically report for PIV Processing

- Provide two (2) forms of identification in original form at PIV Processing at least one of which must be a valid State or Federal government-issued picture identification (ID) as listed on the Form I-9, Employment Eligibility Verification. A copy of the Form I-9 can be obtained at: <http://uscis.gov/graphics/formsfee/forms/files/i-9.pdf>.
- Report to PIV Processing with the completed SF 85, 85P or 86. (See Attachment #6.)
- Provide an original, current photograph of himself or herself. (This photograph will not be returned to the Applicant.)

Servicing Human Resource Office (HRO)

- Appoint at least one Registrar.
- Prepare the PIV Folder.
- Coordinate with the Applicant's employing Agency to identify position risk and sensitivity.
- Provide instructions in the Applicant's Entry on Duty (EOD) Notification Letter about the documents to bring to EOD. (See Attachment #2.).
- Submit the Applicant's background investigation forms (SF 85, 85P, or 86; and fingerprint chart) to the Office of Personnel Management (OPM).
- Provide a copy of the DL Form 1-189, which documents successful completion of the background investigation requirement, to the PIV Card Issuer.

PIV Requesting Official or Designee

- Initiate Request for PIV Card Issuance, Part 1. (See Attachment #3.)
- Designate a PIV Processor (in National and Regional Offices, the default PIV Processor will be a designated staff person within the servicing Human Resources Office).

PIV Processor

- Escort the Applicant to complete Fingerprinting and document verification.
- Ensure all PIV processing activities are completed.
- Maintain the chain of custody and secure the PIV Folder until transferred to the Registrar.

Office of Executive Resources and Personnel Security

- Notify the servicing Human Resource Office when the successful FBI Fingerprint Report, National Agency Check (NAC), and final investigation results have been completed.

Registrar

- Verify that PIV identity proofing has been completed.
- Verify successful completion of background investigation.
- Maintain and secure the PIV Folder until it is transferred to the Issuer.
- Enter data into the PIV Card database when applicable.

Issuer

- Appoint a person to add the applicant's information into the DOL ID database.
- Verify that the Request for PIV Card Issuance (Attachment #3) has been completed by an authorized Registrar and Requester.
- Verify the identity of the Applicant prior to card issuance.

- Issue a PIV card to the Applicant upon receipt of authorization from the Registrar and obtain the Applicant's signature documenting his or her receipt of the PIV card. The Applicant will sign either Part 5 of the Request for PIV Card Issuance (Attachment #3) or Part 2 of the Remote Location Receipt for Issuance of PIV Card (Attachment #4), as appropriate.
- Notify the Registrar and PIV Requesting Official of PIV card issuance.
- Document issuance of the PIV card to the Applicant.
- Maintain and secure the PIV Folder.

E.2 Roles and Responsibilities – For Processing Contractors

The roles of Applicant, Requesting Official (Sponsor), Registrar and Issuer must be filled by four different people.

Applicant

- Physically report as directed by the COTR, to the COTR or the COTR's designated PIV Processor, for PIV Processing
- Provide two (2) forms of identification in original form at least one of which must be a valid State or Federal government-issued picture identification (ID) as listed on the Form I-9, Employment Eligibility Verification (a copy of the Form I-9 can be obtained at: <http://uscis.gov/graphics/formsfee/forms/files/i-9.pdf>), completed SF 85, 85P or 86 (as appropriate), and an original current photograph (which will not be returned) at PIV processing

Firm Holding a DOL Contract

- Notify the COTR that the Firm is proposing a new employee requiring a PIV Card
- Ensure that the Applicant brings a complete PIV package to PIV Processing.

Servicing Human Resource Office (HRO)

- Appoint at least one Registrar.
- Prepare the PIV Folder.
- Submit the Applicant's background investigation forms (SF 85, 85P, or 86; and fingerprint chart) to the Office of Personnel Management (OPM).
- Provide a copy of the DL Form 1-189, which documents successful completion of the background investigation requirement, to the PIV Card Issuer and the COTR.

PIV Requesting Official (COTR/Contracting Officer)

- Initiate Request for PIV Card Issuance, Part 1. (Attachment #3)
- Identify position risk and/or sensitivity of the Applicant's position.
- Designate a PIV Processor (in National and Regional Offices, the default PIV Processor will be a staff person within the servicing Human Resources Office).
- Separate guidance for COTR's and Contracting Officers will be provided by the DOL Procurement Executive.

PIV Processor

- Escort the Applicant to complete Fingerprinting and document verification.

- Ensure all PIV Processing activities are completed.
- Maintain the chain of custody and secure the PIV Folder until transferred to the Registrar.

Office of Executive Resources and Personnel Security

- Notify the servicing Human Resource Office when the successful FBI Fingerprint Report, NAC, and final investigation results have been completed.

Registrar

- Verify that PIV identity proofing has been completed.
- Verify completion of background investigation
- Notify the COTR of final background investigation results
- Maintain and secure the PIV Folder until it is transferred to the Issuer.
- Enter data into the PIV Card database when applicable.

Issuer

- Appoint a person to add the applicant's information into the DOL ID database.
- Verify that the Request for PIV Card Issuance (Attachment #3) has been completed by an authorized Registrar and PIV Requesting Official.
- Verify the identity of the Applicant prior to card issuance.
- Issue a PIV Card upon receipt of authorization from the Registrar.
- Notify the Registrar and PIV Requesting Official of PIV Card issuance.
- Document issuance of the PIV Card to the Applicant.
- Maintain and secure the PIV Folder.

F. PIV Card Processing

- The PIV Processing Checklist will be used for all PIV Card Processing Activities.
- The photograph provided by the Applicant, located in the PIV Folder, will be used to verify the Applicant's identity at the start of each Activity.
- Alternative resources, e.g., local law enforcement agency or Federal agency, may be used to complete the PIV Fingerprint Card activity. If an alternative resource is used, the PIV Processor must physically escort the Applicant to the location where the fingerprinting will occur.
- PIV Processing Activities may be completed prior to the actual PIV processing date.
- The PIV Folder and associated documents will remain in the secure possession of the PIV Processor, Registrar, or Issuer at all times; at no time will the Applicant be given access to his or her PIV Folder.
- Each Departmental agency will provide a list of authorized Requesting Officials to their servicing Human resources Office.

G. PIV Card Use

The DOL PIV card is to be used to gain access to Department of Labor facilities and/or information systems. It may be used as identification to gain access to other federal buildings and/or information systems while the bearer is on official business.

H. Approval of PIV Card Issuance

The Registrar will approve the issuance of a PIV card to the Applicant once both the identity proofing and background investigation requirements are successfully completed. The documents required for identity proofing are described above in the Applicant's Roles and Responsibilities. The background investigation requirement is satisfied when:

- (1) The National Agency Check and Inquiries (NACI) or other appropriate background investigation is initiated (i.e., the completed investigation forms have been sent to OPM); and
- (2) One of the following successful investigation results occurs:
 - (a) Favorable results are received on the NACI or other investigation; or
 - (b) Favorable results are received on the National Agency Check (NAC) portion of the background investigation; or
 - (c) If the NAC results are not received within 5 days after the initiation of the background investigation, favorable results are received on the FBI National Criminal History Check (i.e., the fingerprint check) .

I. PIV Card Replacement

- Lost or Stolen Card

The Applicant must submit a request for a new card to the PIV Requesting Official explaining the date and circumstances involving loss of the PIV card as soon as possible. The PIV Requesting Official will submit the Applicant's request and the Request for PIV Card Issuance, Part 1, to the Registrar who will follow established procedures.

- Expired Card

The PIV card expires 5 years after the date of issuance. The Applicant must apply for renewal no more than 6 weeks prior to expiration date. The PIV Requesting Official will submit the Applicant's request and the Request for PIV Card Issuance, Part 1, to the Registrar who will follow the established identity proofing procedures described in this policy. However, the Applicant does not have to undergo another background investigation, unless otherwise subject to reinvestigation (e.g., reinvestigation is required for a security clearance).

- Damaged Card

The Issuing Office will exchange a damaged DOL PIV card without written notice from the Registrar.

- Employment Status/Attributes Change (Name change, agency change, federal-to-contractor, contractor-to-federal):

The Applicant must submit a request for a new card to the PIV Requesting Official explaining the reasons for the request as soon as possible. The PIV Requesting Official will submit the Applicant's request and the Request for PIV Card Issuance, Part 1, to the Registrar who will follow established procedures.

J. PIV Process for Separating Federal and Contractor Employees

- All DOL Federal and contractor employees must relinquish their PIV cards upon separation or any circumstances (e.g., transfer or reassignment) under which the continued possession or use of the card is inappropriate.
- The Federal employee's supervisor or the COTR/Contract Officer must ensure that the employee's PIV Card is collected. The supervisor or COTR/Contract Officer will document the collection of the PIV card on item 1n of DL Form 1-107, Separation Clearance (Attachment #5).
- The Federal employee's supervisor or the COTR/Contract Officer must return the separating employee's PIV card to the Issuer.
- The Issuer will notify the Registrar and the employee's former Requesting Official of the returned PIV card.

K. Requesting the Appropriate Background Investigation

Attachment #6 contains guidance for determining the appropriate background investigation to initiate on an Applicant, based on the position risk level and/or sensitivity. This attachment also explains how to request that OPM provide results on the fingerprint check and NAC portions of the background immediately, rather than when the entire investigation has been completed.

PIV Processing Checklist

Servicing HRO or PIV Processor: Actions to be completed:

1. Create PIV Folder
2. Obtain the *PIV Request*
3. Verify the *PIV Request* is signed by an authorized Requesting Official
4. Attach the *PIV Request* to the PIV Folder

Completed By: _____
(Printed Name, Signature and Date)

PIV Processor: Actions to be completed in the presence of the Applicant:

5. Obtain a photo of the applicant and verify it is a recognizable likeness of the applicant
6. Attach the applicant photo to the PIV Folder
7. Verify the applicant's identity using a government issued picture ID
8. Verify the applicant's identity using a second ID from the approved list
9. Attach the completed *Evidence of Identity Proofing* to the PIV Folder
10. Attach copies of both IDs to the PIV Folder
11. Obtain completed background investigation form (one of SF 85, SF 85P, or SF 86.)
12. Obtain the applicant's fingerprints

Completed By: _____
(Printed Name, Signature and Date)

PIV Processor: Actions to be completed:

13. Attach a copy of the applicant's fingerprints to the PIV Folder
14. Attach a copy of the completed background investigation forms to the PIV Folder
15. Submit background investigation forms and original fingerprints to the Servicing HRO
16. Transfer the PIV Folder to the designated Registrar

Completed By: _____
(Printed Name, Signature and Date)

Registrar: Actions to be completed:

17. Acknowledge receipt and custody of the PIV Folder
18. Verify the *Evidence of Identity Proofing* is present and complete
19. Obtain notification of successful FBI Fingerprint Check or NAC
20. Complete the *PIV Approval* and attach to PIV Folder
21. Notify Issuer, Requesting Official, and PIV Processor of approval
22. Transfer the PIV Folder to the Issuer

Completed By: _____
(Printed Name, Signature and Date)

Issuer: Actions to be completed:

23. Acknowledge receipt and custody of the PIV Folder
24. Verify the *PIV Request* is complete and signed by an authorized PIV Requesting Official
25. Verify the *PIV Approval* is complete and signed by the authorized Registrar
26. Enter applicant's information into the DOL ID database.

Completed By: _____
(Printed Name, Signature and Date)

Issuer: Actions to be completed in the presence of the Applicant:

27. Verify applicant's identity using the photo attached to the PIV Folder
28. Verify applicant's identity using the two IDs presented for *Evidence of Identity Proofing*
29. Issue the PIV Card
30. Obtain applicant's signature on *Applicant Acknowledgement of PIV Receipt*

Completed By: _____
(Printed Name, Signature and Date)

PIV Statements to be Placed on EOD Notification Letter

The below statements should be included in the current EOD Notification Letter:

You must also bring a current color photograph of yourself to your EOD processing appointment. The photograph must reflect your physical appearance on the day of your EOD processing, e.g., a photograph with a beard and moustache would not be acceptable if you are clean-shaven when you report. The photograph will not be returned to you.

You are required to provide two (2) forms of identification in original form at your EOD processing appointment. At least one of these documents must be a valid State or Federal government-issued picture identification (ID).

Failure to bring the required documents may result in your being re-scheduled for EOD processing at the next available EOD date. EOD processing is scheduled every two weeks on the first workday of a pay period.

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Part 5: To be completed by the Applicant on Receipt of PIV Card

I certify that I have received a PIV Card as identified below.

I understand that I must return the PIV Card to my Supervisor upon my separation from the Department of Labor.

PIV Card Type:

Federal Employee Contractor

Card Number: _____

Applicant's Printed Name/Signature

Date

Organization

Phone Number

DRAFT

Separation Clearance

U.S. Department of Labor
Office of the Chief Financial Officer



| | | |
|--|--------------------------------------|---|
| Name of Employee (Last, First, Middle Initial) | Effective Date of Action | Log Control Number (Optional) |
| Home Address | Social Security Number | DOL Bill Date |
| | Telephone (Office) | Type of Action (Check one) |
| | Telephone (Home) | <input type="checkbox"/> Separation from the DOL |
| Agency | Organizational Unit and Duty Station | <input type="checkbox"/> Intra-Region Transfer |
| | | <input type="checkbox"/> Inter-Agency Transfer |
| | | <input type="checkbox"/> N.O./Region Transfer |
| | | <input type="checkbox"/> Intra-Agency Transfer (N.O.) |
| | | <input type="checkbox"/> Inter-Agency Transfer (N.O.) |

See the instructions on the reverse of this form. Below is an inventory of documents to be obtained and materials to be returned as a result of termination or transfer of employment. This inventory to be initiated promptly by the employee's supervisor (preferably two weeks PRIOR to employee's exit date). The appropriate finance and payroll office must ensure all items are completed prior to release of employee's final paycheck and payment.

1. Certification of Supervisor: I certify that the above named employee has accounted for the items indicated below and that appropriate items have been forwarded to the appropriate offices for disposition. I also certify that all appropriate information systems or systems managers have been contacted to cancel IT User IDs. I further certify that an official request for personnel action has been initiated, where appropriate, and transmitted to the receiving personnel office.

| Signature: | Date: | Phone: |
|---|---|--|
| Accountable Items (To be completed by Supervisor) (Supervisor's initial or N/A) | | |
| <input type="checkbox"/> a. Travel Advance(s) \$ _____ | <input type="checkbox"/> j. Telephone Calling Cards | <input type="checkbox"/> r. Accountable Property Items (Computers and Peripherals, Software, Scientific Equipment, Cell Phones, Backfiles, etc.) |
| <input type="checkbox"/> b. Salary Overpayment \$ _____ | <input type="checkbox"/> k. SIN/IT Communications Keys, and Biometric Items | |
| <input type="checkbox"/> c. Salary Advance \$ _____ | <input type="checkbox"/> l. Classified Documents | <input type="checkbox"/> s. Transfer of Property (Account by DL 155 (Attached) (By Accountable Property Officer only)) |
| <input type="checkbox"/> d. Overtime Leave \$ _____ HOURS | <input type="checkbox"/> m. Keys: Special Access (Cards), Computers, Doors, Res, Keys, Secure IDs, etc. | |
| <input type="checkbox"/> e. Government Transportation Reports \$ _____ | <input type="checkbox"/> n. Realtime Access Card and/or Security Pass | <input type="checkbox"/> t. IT User ID to be cancelled, Reactivate PIN Certificate, and Remote Access |
| <input type="checkbox"/> f. Travel Charge Card | <input type="checkbox"/> o. Credentials (Inter-Agency, Specialized Agency IDs) | |
| <input type="checkbox"/> h. Government Travel Purchase Card | <input type="checkbox"/> p. Parking Permit | <input type="checkbox"/> u. Other (Specify) _____ |
| | <input type="checkbox"/> q. Library Materials | |

Reminder: Agencies are loaned to Records Management File.

2. Certification of Employee: I certify that I have notified Government property, correspondence, or records, and I am not otherwise indebted to the US Government.

Signature: _____

3. Certification of Sending Finance and Payroll Official: I certify that Accountable Items to, to, to, to, to and to, above, have been researched and (Official's initial or N/A)

| | |
|---|--|
| 3a. (1) The above named employee has satisfied these obligations _____; and/or | 3b. Deductions from the paycheck, lump-sum, and/or retirement annuity for: |
| (2) The obligations of the above named employee will be satisfied by the deduction(s) entered in item 3b) _____; and/or | \$ _____ Travel Advance |
| (3) The employee's getting sending finance office has been informed of employee's indebtedness _____ | \$ _____ Salary Overpayment |
| Signature and Title: _____ | \$ _____ Salary Advance |
| Date: _____ | \$ _____ Overtime Leave |
| | \$ _____ Total Amount to be withheld |

4. Certification of Document Security Officer (Only required if there is a security clearance)

I certify that the above named employee has met all of the requirements in the Classified Information Non-Disclosure Agreement as required by Executive Order 12858 which includes destroying and returning of all classified documents.

| | |
|------------|---|
| 6. Remarks | 8. Authorization of Agency Branch Manager or RPO/SAM, to release final paycheck and/or lump-sum payment or process of the noted in item 3, above. |
| | Signature and Title: _____ |
| | Date: _____ |

Guidance for Completing Security Investigation Request Forms

A. Determining Risk/Sensitivity Level and Minimum Investigations Requirement

The following table shows the manner in which the Agency determines the Final Risk Level, Assigned Position Sensitivity Level, and Minimum Investigation Required for the position. Once this has been done, the Agency must record these items in the space provided at “IV. Final Designation” on the Position Designation Record form for the position.

Determining Risk/Sensitivity Level and Minimum Investigations Requirement

| If the Public Trust Risk Level Is | And the Computer Risk Level Is | And the National Security Sensitivity Level Is | Then the Final Risk/Sensitivity Level Is | And the Minimum Investigation Is | And the Investigation Questionnaire Is |
|--|---------------------------------------|---|---|---|---|
| Low | Low or N/A | N/A | Low (1) | NACI | SF-85 |
| | | Noncritical | Noncritical (2) | MBI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | Moderate | N/A | Moderate (5) | MBI | SF-85P |
| | | Noncritical | Noncritical (2) | MBI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | High | N/A | High (6) | BI | SF-85P |
| | | Noncritical | Noncritical (2) | BI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| Moderate | Low or N/A | N/A | Moderate (5) | MBI | SF-85P |
| | | Noncritical | Noncritical (2) | MBI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | Moderate | N/A | Moderate (5) | MBI | SF-85P |
| | | Noncritical | Noncritical (2) | MBI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | High | N/A | High (6) | BI | SF-85P |
| | | Noncritical | Noncritical (2) | BI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| High | Low or N/A | N/A | High (6) | BI | SF-85P |
| | | Noncritical | Noncritical (2) | BI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | Moderate | N/A | High (6) | BI | SF-85P |
| | | Noncritical | Noncritical (2) | BI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |
| | High | N/A | High (6) | BI | SF-85P |
| | | Noncritical | Noncritical (2) | BI | SF-86 |
| | | Critical | Critical (3) | SSBI | SF-86 |

B. Additional Information on Background Investigation Processing and PIV Card Issuance

1. The Applicant must undergo a National Agency Check with Inquiries (NACI) (or another OPM investigation whose content is equivalent or greater than the NACI), and the NAC portion of the NACI investigation must be completed and favorably adjudicated before the Registrar can approve issuance of the permanent PIV card. However, if the Department does not receive the NAC results within 5 days of submission to OPM, the Registrar can approve issuance of the temporary PIV card based on favorable results from the Federal Bureau of Investigation National Criminal History Check (i.e., the fingerprint check).

NOTE: If the Registrar approves the issuance of the PIV card based on the fingerprint check or the NAC, the full NACI must still be completed.

2. The NACI requirement may be satisfied by locating and referencing a previously completed and favorably adjudicated NACI on the Applicant

3. The Registrar does not have to re-adjudicate the NACI on an Applicant who is transferring to DOL from another Federal agency provided:

- The Applicant's former employing Federal agency can verify his or her possession of a valid PIV card, and
- The Applicant has undergone the required NACI or other investigation at the former Federal agency.

4. Upon the Applicant's successful completion of a NACI, NAC, or fingerprint check, the Registrar will complete and sign the Applicant's PIV Card Request Form and notify the Issuer to issue a PIV card to the Applicant. The Applicant's PIV Card Request Folder will accompany the Registrar's notification.

5. The Applicant must appear in person before the Issuer, or his or her designee at a remote location, to receive his or her PIV card. The Applicant must produce two forms of identification documents included in the acceptable documents list on the Form 1-9, Employment Eligibility Verification, one of which must be a valid state or Federal issued picture identification.

6. The Issuer must validate that the picture and name on the Applicant's identification document matches the picture and name on the new PIV card. The Issuer must also validate that the appearance of the Applicant matches the picture being printed on the PIV credential.

C. Coding of Agency Information the SF-85, SF-85P, and SF-86

When coding the investigation questionnaire, ensure that the following entries are made on the appropriate investigation questionnaire, so that OPM will provide the results of the FBI fingerprint check and the NAC to the Department as soon as they are completed:

1. Advance Fingerprint Check. To request the advance fingerprint check, enter the code "R" on the investigation questionnaire in the following locations:

- For the SF-85 and SF-85P. Enter in the “**Codes**” box of the “**OPM Use Only**” section at the top of the questionnaire.
 - For the SF-86. Enter in the “**Codes**” box of the “**Investigative Agency Use Only**” at the top of the questionnaire.
2. Advance NAC. To request the advance NAC, enter the code “**3**” in box “**B**” of the “**Agency Use Only**” section of the investigation questionnaire.

For further information on proper coding of the investigation questionnaires, consult (1) **Section 6, Request Procedures**, in Chapter 2 of the Department’s **Personnel Suitability and Security Handbook** on LaborNet, and (2) OPM’s **Requesting OPM Personnel Investigations** at the following website: <http://www.opm.gov/extra/investigate/>

For case status and other case-related information, such as questions about the forms, contact the OPM Federal Investigation Processing Center Liaison at (724) 794-5612.

For information on the results of the fingerprint check and NAC, as well as other parts of the background investigation, contact the DOL Office of Executive Resources and Personnel Security at (202) 693-7800.

REQUIREMENTS FOR THE NEW DOL ID PICTURES

Taking the Picture:

1. Photos need a light or pale blue background. If not available, a white or plain wall will be acceptable. No home photos with flowers, mini-blinds, stripped walls, etc.



2. Position your camera **no more than 3 feet** from the employee.
3. Always use a flash.
4. Subject needs to look straight at the camera. No side view or special posing.



5. If employee wears glasses, have them position them a little downward on their face, (see photo). Having the employee lower their chin helps too. If you still get a glare, then ask them to remove their glasses for the picture. Dark glasses or nonprescription glasses with tinted lenses are not acceptable unless you need them for medical reasons.



Submitting photos to the Processing Office

1. Have someone take your picture with a digital camera. Download pictures from a digital camera to a CD. Or if 35mm film is used have the photos processed to a CD.
2. The preferred method of receiving the photos would be on a CD or disk but if this is not possible then they can be sent by email.
3. If photos can only be sent by email, then please only one or two pictures per email. Any more than that, could cause the receiver's email to become overloaded and crash their system.

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Servicing HRO or PIV Processor: Actions to be completed prior to the arrival of Applicant

Step 1. Create PIV Folder

The PIV folder must be created. This includes ensuring that a copy of the PIV Folder Checklist is attached to the outside front cover and labeling the folder

Step 2. Obtain the *PIV Request*

The PIV Issuance Process begins with a PIV Request. No further action towards PIV Issuance (including identity proofing and registration) should take place until there is a PIV Request.

Step 3. Verify the *PIV Request* is signed by an authorized Requesting Official

The validity PIV Request should be established. The Servicing HRO or PIV Processor should verify that the PIV Request is completely filled out and signed by an authorized *PIV Requesting Official*. Although signature verification is desired, it is not strictly required, as this will be done by the Issuer.

Step 4. Attach the *PIV Request* to the PIV Folder

The PIV request should be attached to the PIV Folder so that the two cannot inadvertently become separated.

PIV Processor: Actions to be completed in the presence of the Applicant

***At no time may the Applicant be in possession of the PIV Folder.
The PIV Processor must secure the PIV Folder to assure its "Chain of Custody"***

Step 5. Obtain a photo of the applicant and verify it is a recognizable likeness of the applicant

This photo will be used by the Issuer to verify that the individual appearing for the PIV Card is the same individual who registered and whose fingerprints were used for the background check. At least for the short-term, this is the mechanism DOL is using to satisfy the requirement to make sure that no substitution is made after the applicant's identity has been verified.

If the PIV Processor has access to the proper equipment (i.e. digital camera, printer), then the photo can be obtained using that equipment. It is expected that most DOL

locations will not initially have this equipment, so applicants have been instructed to provide their own photograph, and that it will not be returned.

If the applicant provided photo is used, the PIV Processor should verify that it is a recognizable likeness of the individual beyond a reasonable doubt. Applicants have been instructed that the photo must be current, and that changes in appearance (beard vs. clean-shaven) are not acceptable.

If in the judgment of the PIV Processor the applicant provided photo is not a reasonable likeness, the applicant should be sent away and told to return with a more suitable photo.

The applicant should be reminded that the photo will not be returned.

Step 6. Attach the applicant photo to the PIV Folder

The photo of the applicant should be attached to the PIV Folder so that the two cannot inadvertently become separated.

Step 7. Verify the applicant's identity using a government issued picture ID

The applicant's identity must be verified using a government issued picture ID that is on the either list A or list B of *List of Acceptable Documents* contained in the Employment Eligibility Verification Form (OMB 1115-0136). The complete list is provided in Step 8.

Step 8. Verify the applicant's identity using a second ID from the approved list

The applicant's identity must be verified using a second form of ID that is on the either list A or list B of *List of Acceptable Documents* contained in the Employment Eligibility Verification Form (OMB 1115-0136). These are:

- A1. U.S. Passport (unexpired or expired)
- A2. Certificate of U.S. Citizenship (INS Form N-560 or N-561)
- A3. Certificate of Naturalization (INS Form N-550 or N-570)
- A4. Unexpired foreign passport, with I-551 stamp or attached INS Form I-94 indicating unexpired employment authorization
- A5. Permanent Resident Card or Alien Registration Receipt Card with photograph (INS Form I-151 or I-551)
- A6. Unexpired Temporary Resident Card (INS Form I-688)
- A7. Unexpired Employment Authorization Card (INS Form I-688A)
- A8. Unexpired Reentry Permit (INS Form I-327)
- A9. Unexpired Refugee Travel Document (INS Form I-571)
- A10. Unexpired Employment Authorization Document issued by the INS which contains a photograph (INS Form I-688B)

- B1. Driver's license or ID card issued by a state or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address
- B2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address
- B3. School ID card with a photograph
- B4. Voter's registration card
- B5. U.S. Military card or draft record
- B6. Military dependent's ID card
- B7. U.S. Coast Guard Merchant Mariner Card
- B8. Native American tribal document
- B9. Driver's license issued by a Canadian government authority

For persons under age 18 who are unable to present a document listed above:

- B10. School record or report card
- B11. Clinic, doctor or hospital record
- B12. Day-care or nursery school record

Illustrations of many of these documents appear in Part 8 of the Handbook for Employers (M-274)

Step 9. Attach the completed *Evidence of Identity Proofing* to the PIV Folder

The *Evidence of Identity Proofing* must be completed and then attached to PIV Folder so that the two cannot inadvertently become separated. (This may be a separate form, or contained as part of the PIV Request that is already attached to the PIV Folder.)

Step 10. Attach copies of both IDs to the PIV Folder

Photocopies of each of the two IDs used to establish the applicant's identity must be obtained and then attached to PIV Folder so that they cannot inadvertently become separated.

Step 11. Obtain completed background investigation form (one of SF 85, SF 85P, or SF 86.)

This form must be obtained so that a background investigation can be requested. Verify that the form has been completely filled out and signed.

Step 12. Obtain the applicant's fingerprints

The fingerprints are required for the background investigation. These must be obtained in the presence of the PIV Processor. This may be done at the PIV Processor's location, either by the PIV Processor or another individual, if the necessary equipment

and expertise are available. Otherwise, the fingerprints may be obtained at an alternate government location. (e.g. a local police station.) Either way, DOL policy requires that the PIV Processor be present when the fingerprints are taken. The PIV Processor must then provide a “chain of custody” for the fingerprints (i.e. to assure that another set of fingerprints cannot be substituted for them.)

At no time may the Applicant be in possession of the fingerprints.

PIV Processor: Actions to be completed

Step 13. Attach a copy of the applicant’s fingerprints to the PIV Folder

The original fingerprints will be submitted as part of request for a background investigation. A photocopy of the applicant’s fingerprints should be obtained and attached to the PIV Folder so that the two cannot inadvertently become separated.

Step 14. Attach a copy of the completed background investigation forms to the PIV Folder

The original completed background investigation forms should be attached to the PIV Folder so that the two cannot inadvertently become separated.

Step 15. Submit background investigation forms and original fingerprints to the Servicing HRO

The complete package for the background investigation must be submitted.

Step 16. Transfer the PIV Folder to the designated Registrar

The PIV Folder must be provided to the Registrar.

For PIV Processors located at DOL Headquarters and Regional Offices this transfer must occur in person. The Registrar must acknowledge receipt and sign for the PIV Folder.

For PIV Processors located in remote locations not within commuting distances of a Regional Office or Headquarters, the transfer must be by a carrier (e.g. USPS, UPS, FedEx). The PIV Processor must notify the Registrar via email that the folder has been sent via carrier together with appropriate tracking information. Once the PIV Folder arrives, the Registrar will acknowledge receipt via a return email.

Once PIV Folder has been transferred and acknowledged, the PIV Processor’s responsibility for this Applicant’s Folder is complete.

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| Registrar: Actions to be completed |
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| <p><i>At no time may the Applicant be in possession of the PIV Folder. The Registrar must secure the PIV Folder to assure its "Chain of Custody"</i></p> |
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Step 17. Acknowledge receipt and custody of the PIV Folder

For PIV Processors located at DOL Headquarters and Regional Offices, the Registrar must acknowledge receipt in person and sign for the PIV Folder. The Registrar must acknowledge in writing (by signing the PIV Checklist) that custody of the PIV Folder has been transferred from the PIV Processor to the Register.

For PIV Processors located in remote locations not within commuting distances of a Regional Office or Headquarters, the Registrar must acknowledge receipt by the PIV folder by return email.

Step 18. Verify the *Evidence of Identity Proofing* is present and complete

The Registrar must verify that the PIV Processor followed the proper process and verified proper documents to establish the applicant's identity.

Step 19. Obtain notification of successful FBI Fingerprint Check or NAC

The Registrar maintains custody of the PIV Folder while the appropriate background check is being performed.

Step 20. Complete the *PIV Approval* and attach to PIV Folder

The Registrar may approve PIV card issuance when any of the following are true:

1. The background investigation in its entirety completes successfully
2. The National Agencies Check (NAC) portion of the background investigation completes successfully
3. The FBI Fingerprint Check portion of the background investigation completes successfully and more than 5 business days have elapsed since the background investigation was submitted to OMB.

The *PIV Approval* must be completed and then attached to PIV Folder so that the two cannot inadvertently become separated. (This may be a separate form, or contained as part of the PIV Request that is already attached to the PIV Folder.)

Step 21. Notify Issuer, Requesting Official, and PIV Processor of approval

The Registrar should notify the (a) Issuer. (b) Requesting Official, and (c) PIV Processor via email that the PIV Request has been approved.

Step 22. Transfer the PIV Folder to the Issuer

For Issuers located at DOL Headquarters and Regional Offices this transfer must occur in person. The Issuer must acknowledge receipt and sign for the PIV Folder.

For Issuers located in remote locations not within commuting distances of a Regional Office or Headquarters, the transfer must be by a carrier (e.g. USPS, UPS, FedEx). The Registrar must notify the Issuer via email that the folder has been sent via carrier together with appropriate tracking information. Once the PIV Folder arrives, the Issuer will acknowledge receipt via a return email.

Once PIV Folder has been transferred and acknowledged, the Registrar's responsibility for this Applicant's Folder is complete.

Issuer: Actions to be completed in the presence of the Applicant:

***At no time may the Applicant be in possession of the PIV Folder.
The Issuer must secure the PIV Folder to assure its "Chain of Custody"***

Step 23. Acknowledge receipt and custody of the PIV Folder

For Issuers located at DOL Headquarters and Regional Offices, the Issuer must acknowledge receipt in person and sign for the PIV Folder. The Issuer must acknowledge in writing (by signing the PIV Checklist) that custody of the PIV Folder has been transferred from the Register to the Issuer.

For Issuers located in remote locations not within commuting distances of a Regional Office or Headquarters, the Issuer must acknowledge receipt by the PIV folder by return email.

Step 24. Verify the *PIV Request* is complete and signed by an authorized *PIV Requesting Official*

The validity *PIV Request* must be verified. The Issuer must verify that the *PIV Request* is completely filled out and signed by an authorized *PIV Requesting Official*.

Step 25. Verify the *PIV Approval* is complete and signed by the authorized Registrar

The validity *PIV Approval* must be verified. The Issuer must verify that the *PIV Approval* is completely filled out and signed by an authorized *Registrar*.

Step 26. Verify applicant's identity using the photo attached to the *PIV Folder*

The Issuer must verify that the photo of the applicant attached to the *PIV Folder* is a recognizable likeness beyond a reasonable doubt of the individual standing before them and claiming to be the Applicant.

Step 27. Verify applicant's identity using the two IDs presented for *Evidence of Identity Proofing*

The Issuer must:

1. Verify the Applicant is presenting the same two forms of identification shown during registration. This is done using in the *Evidence of Identity Proofing* and the photocopies of the two forms of identification contained in the *PIV Folder*.
2. Verify the forms of identity are on the approved list. (Documented in step 8)
3. Verify the authenticity of at least the government issued picture ID. This is done by comparing that ID to the samples presented in the *US Identification Manual*.

Step 28. Issue the *PIV Card*

The issuer must employ a two-man rule to assure that a *PIV Card* cannot be issued by a DOL official acting alone. Two different individuals must server as issuing agents:

- The first issuing agent enters the information in the ID Card Application.
- The second issuing agent causes the card to be printed.

The issuer is responsible for assuring that the issuing agents' accounts have privileges to perform at most one of *PIV* data entry and *PIV* printing. Issuing agents must protect their passwords to ensure that the effective implementation of the two-man rule is not compromised.

The Issuer must provide adequate physical security to assure that blank cardstock and laminate supplies are physically protected and accounted for at all times.

Step 29. Obtain applicant's signature on *Applicant Acknowledgement of PIV Receipt*

The *Acknowledgement of PIV Receipt* must be completed and then attached to PIV Folder so that the two cannot inadvertently become separated. (This may be a separate form, or contained as part of the PIV Request that is already attached to the PIV Folder.)

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