NFC
Procedures

National Finance Center
Office of the Chief Financial Officer
U.S. Department of Agriculture

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Security Entry and Tracking System (webSETS) Web-Based Version

TITLE I
Payroll/Personnel Processing Manual

Chapter 6
Security Entry and Tracking System (webSETS)

Latest Update Information

The Security Entry and Tracking System (webSETS) procedure has been updated as of November 22, 2010. Listed below is a summary of the changes to the webSETS procedure:

Description of Change	Page
Changed all reference to **SETS to webSETS**	iii–index–2
Updated the **Who to Contact for Help** information	v
Updated the **System Overview** information	1
Deleted the **Types of Investigations** information	2
Updated the **Investigation Process** information	2
Removed **WebSETS Reports** from the **System Overview**	3
Updated the **System Access** information	4
Added new user information to the **Login Window**	7
Updated the **WebSETS Key Fields** information	9
Updated the **System Edits** information	9
Updated the **Employee Search Window** information	10
Updated the **Employee Detail Window** information	11
Updated the **Entry on Duty Detail Window** information	12
Updated the **Security Package Detail Window** information	13
Updated the **Investigation Detail Window** information	14
Added the **Adjudicative Factors Detail Window**	15
Updated the **Clearance Detail Window** information	17
Updated the **Special Access Detail Window** information	18
Updated the **Reciprocity Verification Detail Window** information	19
Changed **Employee Search Window Field Instructions** to **Employee Search (Home Page) Field Descriptions**	24
Updated the **Employee Search (Home Page) Field Descriptions** information	24
Changed **Employee Detail Window Field Instructions** to **Employee Detail Field Descriptions**	25
Updated the **Employee Window Detail Field Descriptions** information	25
Added **Duty Station Field** to Employee Detail Field Descriptions	26
Changed **Other Names Used Detail Window Field Instructions** to **Other Names Used Field Descriptions**	27
Changed **Entry on Duty Detail Window Field Instructions** to **Entry on Duty Field Descriptions**	28
Deleted **NAC–NACI Waiver Requested** and **NAC–NACI Waiver Approved** fields under **Entry on Duty Field Descriptions**	30
Added new field **Pending Adj** to **Entry on Duty Field Descriptions**	30
Added new field **Adjudicator** to **Entry on Duty Field Descriptions**	30
Changed **Security Package Detail Window Field Instructions** to **Security Package Detail Field Descriptions**	31
Changed **Investigation Detail Window Field Instructions** to **Investigation Detail Field Descriptions**	32
Added new field **Transfer Inv Rec’d** to **Investigation Detail Field Descriptions**	33

Description of Change	Page
Added **N (No Clearance)** to **Clearance Level Requested** under **Investigation Detail Field Descriptions**	33
Updated the **Issue Code** information to **Investigation Detail Field Descriptions**	34
Changed **Adjudicative Management Window Field Instructions** to **Adjudicative Management Window Field Descriptions**	35
Added **Adjudicative Factors Window Descriptions** under **Adjudicative Management Window Field Descriptions**	36
Changed **Clearance Detail Window Field Instructions** to **Clearance Detail Window Field Descriptions**	36
Changed **Cancelled (C)** to **Adm Withdrawn (W)** under **Clearance Detail Window Field Descriptions**	37
Changed **Special Access Detail Window Field Instructions** to **Special Access Detail Window Field Descriptions**	39
Changed **Reciprocity Verification Detail Window Field Instructions** to **Reciprocity Verification Detail Window Field Descriptions**	39
Changed **Briefing Detail Window Field Instructions** to **Briefing Detail Window Field Descriptions**	41
Added new brief type **Admin Debrief** to **Briefing Detail Window Field Descriptions**	41
Updated the **Reports Section**	44
Updated **Appendix A** to **webSETS**	53

Deletions in the text are identified by ★★. Changes are identified by "▶ ◀".

Table Of Contents

About this Procedure

This procedure provides instructions for accessing and operating the Security Entry And Tracking System (▶web◀SETS) Web-based Version. The following information will help you use the procedure more effectively and locate further assistance if needed.

How The Procedure Is Organized

The major sections of this procedure are described below:

System Overview describes what the system is used for and provides related background information.

Automated Processing provides specific instructions for accessing and using ▶web◀SETS.

Field Instructions for ▶web◀SETS contains instructions for descriptions of the fields on ▶web◀SETS.

Reports contains information regarding ▶web◀SETS reports.

Appendixes contains reference information, such as codes for types of investigations.

Heading Index provides an alphabetical list of all headings in the procedure. When a heading is referenced, you can use this index to locate the page number.

To keep you informed about new or changed information related to this system, NFC issues short publications called bulletins. This procedure and all related bulletins are listed in the NFC Publications Catalog available online from the NFC Web site *(http:www.nfc.usda.gov)* home page. Users can choose to view and/or print bulletins from the list provided in the Publications Catalog.

Who To Contact For Help

For questions about payroll/personnel policies and regulations, contact your Committee For Agriculture Payroll/Personnel (CAPPS) representative.

For questions about NFC processing, contact the Payroll/Personnel Call Center at **504–255– 4630**.

For access to SETS, contact your agency’s ADP security officer.

For access to ▶web◀SETS, contact the Personnel and Document Security Division (PDSD) at **202–720–7373**. ▶See section on System Access for additional details.◀

System Overview

The United States Department of Agriculture (USDA) ▶utilizes◀ the Web-based Security Entry and Tracking System (▶referred to as web◀SETS) ▶as the system of record on all background investigations, suitability determinations, and security clearances at USDA. This information is tracked for all applicants, federal employees, contractors, and volunteers at USDA.◀

▶webSETS is maintained by the National Finance Center (NFC) and receives employee information automatically from the Payroll/Personnel System. This system receives daily updates on federal employees with USDA from the Personnel Edit Subsystem/Personnel Processing System (PINE/PEPL).◀

▶web◀SETS features include:

- ▶The ability to search by name or social security number (SSN)
- Historical record tracking
- Audit trail of updates by user ID
- Customized reports
- Employee Details screen to show basic position information
- Other Names Used screen to show name changes
- Entry on Duty screen to track low risk investigations
- Security Package screen to track security questionnaires
- Link to the Office of Personnel Management's (OPM) Electronic Questionnaires for Investigations Processing (e−QIP) site
- Ability to email the subject directly from webSETS
- Reciprocity screen to track investigations transferred from another agency
- Investigations screen to track public trust and national security investigations and suitability determinations
- Adjudication Management screen to track the flow of actions/correspondence handled by the assigned Adjudicator to resolve missing items or issues
- Clearance screen to track security clearances in any status (active to denied)
- Automated form to pass security clearance information to another agency
- Special Access screen to track access to NATO and SCI
- Briefings screen to track any briefings attended by the subject (initial to debriefing)
- Administrative screen to easily edit all drop−down listings
- Access to imaged personnel security folders (future development)
- Access to inactive records for 5 years from the date of separation◀

For more information, see:

The Investigation Process

Reports

The Investigation Process

▶Every position in the federal government is assigned a position designation. Proper position designation by Human Resources (HR) is paramount in order to have an effective and consistent personnel security program. The position designation determines what type of investigation is required (see Appendix A for investigation types) and how often a reinvestigation will occur. OPM provides the mechanism for proper position risk designation via the Automated Tool that is accessible for authorized users through OPM's Secure Portal. Position Designation Records are subject to review by OPM during periodic appraisals of personnel security programs, or on a case–by–case basis, to assure that USDA is considering all pertinent factors relative to the integrity and efficiency of the service.

Before a subject is requested to complete any new investigation paperwork, the handling agency must ensure there is no existing, favorably adjudicated investigation on record that can be used under reciprocity. Information on existing investigations can be found in OPM's Central Verification System (CVS), which includes records from the Joint Personnel Adjudication System (JPAS). If this system does not provide complete details, agencies may fax the Interagency Clearance (or Suitability) Verification Request form to the agency who handled the previous adjudication. These forms can be located on the PDSD website under Online Forms at http://www.dm.usda.gov/pdsd/forms.htm.

For Low Risk positions, agency HR offices (or delegated offices) task the subject in e–QIP to obtain the Standard Form (SF) 85 questionnaire and related documentation. This information is released to OPM via e–QIP to initiate the background investigation. Once the investigation has been completed and returned to USDA, the adjudications are handled by HR (or delegated office). All steps are recorded in webSETS on the Entry on Duty screen.

For Public Trust positions, designated agency points–of–contact (POC) task the subject in e–QIP to obtain the Standard Form (SF) 85P and related documentation. Once the e–QIP form is completed by the subject and returned to the POC, the POC reviews the information to ensure it is complete and accurate before releasing it in e–QIP to PDSD. PDSD reviews and releases the e–QIP package to OPM and handles the adjudication upon case closing. All steps are recorded in webSETS on the Security Package and Investigation screen.

For National Security positions, designated agency points–of–contact (POC) task the subject in e–QIP to obtain the Standard Form (SF) 86 and related documentation. Once the e–QIP form is completed by the subject and returned to the POC, the POC reviews the information to ensure it is complete and accurate before releasing it in e–QIP to PDSD. PDSD reviews and releases the e–QIP package to OPM and handles the adjudication upon case closing. All steps are recorded in webSETS on the Security Package and Investigation screen.

Fitness determinations are shown on the Entry on Duty screen. Suitability determinations and clearance eligibility determinations are shown on the Investigations screen. Information regarding security clearances is shown on the Clearance screen and the related briefings are shown on the Briefings screen.

The Certificate of Investigation (COI) forms and the Certificate of Suitability or Certificate of Clearance forms are signed and forwarded to the appropriate HR office for filing in the subject's Official Personnel Folder (OPF). Copies are maintained in the subject's personnel security folder.

Agencies must report their adjudicative decisions on background investigations to OPM in CVS. Security clearance information in webSETS is sent electronically in a batch file to OPM to update CVS on a monthly basis. In the future, the transaction file method will also be used to submit HSPD−12 information to CVS.◀

Note: The information provided above is a summary of the investigation process at USDA. ▶For additional guidance, contact your agency security point−of−contact or PDSD at 202−720−7373. You can also visit the PDSD website for access to forms, guidance, PDSD bulletins, and newsletters at http://www.dm.usda.gov/pdsd/◀.

Automated Processing

This section presents information regarding system access and security, operating features, and various other information related to processing within ▶web◀SETS.

For more information, see:

- System Access
- Login Window
- Operating Features
- Employee Search Window
- Employee Detail Window
- Entry on Duty Detail Window
- Security Package Detail Window
- Investigation Detail Window
- ▶Adjudicative Factors Detail Window◀
- Adjudication Management Detail Window
- Clearance Detail Window
- Special Access Detail Window
- Reciprocity Verification Detail Window
- Briefing Detail Window
- Administrative Screen Detail Window

System Access

▶Although webSETS is maintained by NFC, access to webSETS can only be authorized by PDSD. Prospective users who attempt to gain access to webSETS directly from NFC will be denied. The following procedures must be followed:

Each agency will ensure the employee has the appropriate level of position designation (that is accurately shown in the position management system and reflected on the Employee Details screen in webSETS) and investigation prior to submitting the request for access to webSETS to PDSD. Users must have a position designation that is, at a minimum, Moderate Risk (5), and they must have a favorably adjudicated background investigation at the appropriate level. Exceptions can be made by PDSD for employees who have a pending investigation underway at OPM. Any issues resulting from a pending investigation may result in a future denial of access to webSETS.◀

Employees who require access to ▶web◀SETS ▶in order to conduct their official duties as they relate to personnel security must complete the **webSETS User Request & Acknowledgment form**. This form can be accessed at http://www.dm.usda.gov/pdsd/forms.htm. The request form must be fully completed, to include the appropriate user role and the agency codes that the employee will require access to. **NOTE:** Employees are only authorized to view their agencies records unless an exception is approved by PDSD. The request form must be signed by the HR Mission Area Personnel Officer or delegated authority as approved by PDSD. The completed request form is faxed to PDSD at 202–720–1689 for processing.

Once the request is received, PDSD reviews the form for completeness and verifies the background investigation status. If approved, the Security Officer in PDSD signs the authorization section and forwards the request to NFC. If the user already has an existing NFC User ID, the webSETS application will be added to their profile. If not, the user will be assigned a new NFC User ID.

Once the user's account has been established by NFC, PDSD contacts the appropriate **AgLearn** team member to add the webSETS training module to the user's Learning Plan. The user is copied on the email. This email contains the **webSETS User Access Flowchart** as an attachment for the user to follow. The user has 30 days to complete the online training and fax the completed certificate to PDSD to 202–720–1689.

Once the user submits their AgLearn certificate, PDSD will contact them via email to read and sign the **Rules of Behavior** form. This form explains the conduct that is expected from all webSETS users when using the application. The signed form is returned to PDSD to 202–720–1689.

Once the signed Rules of Behavior form is signed, the user will receive a **Welcome to webSETS** email from PDSD. This email contains the User ID, webSETS link, a link to the user guide, and other helpful information to get started. A **webSETS Quick Reference Guide** is attached to the email to supplement the main user guide.

Questions concerning login/password issues should be directed to your agency Security Officer. Questions concerning the webSETS application should be directed to PDSD at pdsd@usda.gov.◀

Automated Processing

Sign-On

1. Sign-On to the Internet.

2. Connect to the SETS Banner Screen at *www.nfc.usda.gov*/sets.

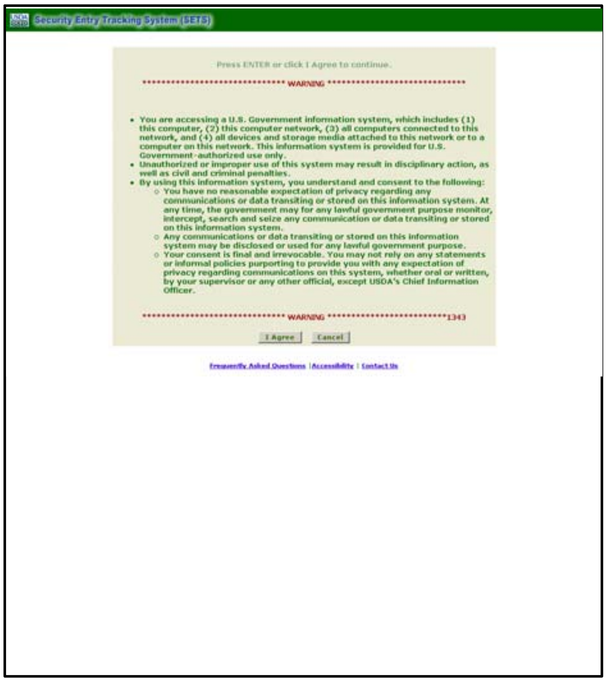

Figure 1. ▶web◀SETS Banner Window

3. Click **Accept**. The ▶web◀SETS Login Window (**Figure 2**) is displayed.

Login Window

The Login window will require the user to enter their user ID and Password. The user ID field will be alphanumeric, 8 positions.

Note: After verification of their current ID and Password, the user will be prompted to change their Password upon initial login.

The password is based on the following criteria:

- Password will be alphanumeric, 6 to 8 positions, and must contain 1 numeric
- Password can only be changed once a day
- Only one repeating character is allowed in the password
- Passwords that are similar to previous passwords cannot be used
- Password is compared to a restricted password list
- Password Expires every 90 days
- Passwords are maintained in history before reuse of it is allowed again

After entering the User ID and password, click **Login** and a successful entry will take the user to the ▶web◀SETS Employee Search Window. If unsuccessful, a message will be displayed notifying the user to re-enter their User ID and Password.

Figure 2. ▶web◀SETS Login Window

The User can change their password at any time by checking **Change Password** on **Login** Window.

▶New users must log into webSETS within 60 days or their account will be automatically disabled. Users should contact their agency Security Officer for assistance with password issues.◀

Log-Out

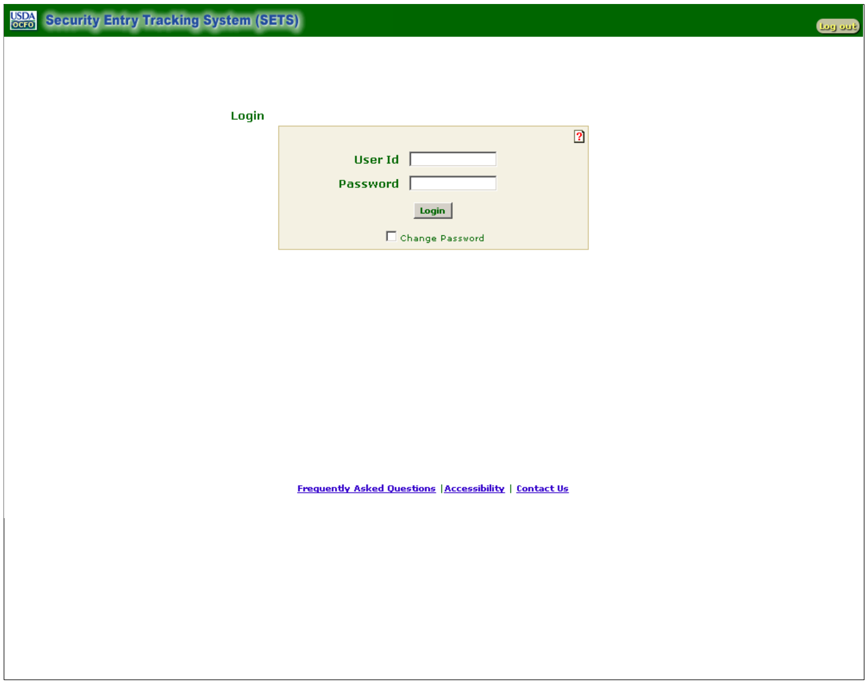

Figure 3. Enter Log out prompt

The User can log out of any ▶web◀SETS window by clicking **Log Out** (**Figure 3**).

The message *You have been successfully logged off of NFC's SETS* is displayed (**Figure 4**). You are now disconnected from the system. However, you are still connected to the SETS application and may select to sign on again.

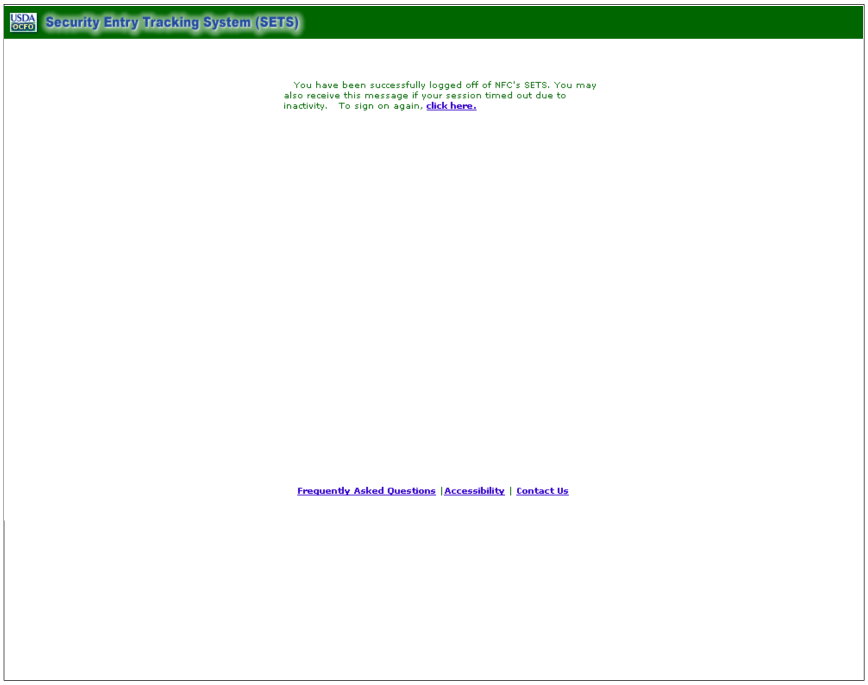

Figure 4. Log out

Operating Features

This section describes the system's basic operating features. For more information, see:

▶web◀SETS Key Fields
System Edits
▶web◀SETS Navigating Features

Key Fields

The key fields at the top of each ▶web◀SETS window are used to identify a specific record. The employee's name displays on each window to ensure that the social security number entered is for the correct employee.

The two ▶web◀SETS key fields, SSN and Name, are repeated on each ▶web◀SETS window once an account has been displayed. ▶The full SSN will only show on the Search results screen to allow you to select the correct record. A masked SSN (last 5) will appear on each screen thereafter.◀

System Edits

▶web◀SETS performs edit and/or validity checks on entered data. If the data does not pass these edits, an edit ▶(or error)◀ message is displayed ▶in red at the top of ◀the window. All data must be corrected before the record can be processed.

▶Select the **ADD** button to start a new investigation record. To update an existing investigation record, enter the data and hit **SAVE**. To start another investigation record, such as for a reinvestigation, select the **ADD** button and the existing investigation record will go into the **History** section (on the appropriate screens). Do not type over existing investigation data in order to add new information on another investigation. For questions regarding proper data entry after reading this user guide, please contact PDSD.◀

Navigating Features

▶web◀SETS is designed in a Web format, providing mouse-driven, point-and-click functionality. It is recommended that pop-up blockers be turned off when using ▶web◀SETS.

Employee Search Window

▶After the user logs into webSETS, the first screen to appear is the Home page, also referred to as the Employee Search screen, as shown below (**Figure 5**). This search will include federal employees, as well as applicants, contractors/consultants, and volunteers.

If you have a new applicant or contractor who does not have an existing record in webSETS, you will need to select the "Add Non–Fed" button to create the initial record. It is important to ensure you are entering accurate data, particularly the SSN, to ensure no duplicate records are created. Applicants who then become federal employees will automatically have their "Personnel Type" updated on the **Employee Details** screen after their first payroll action has processed.◀

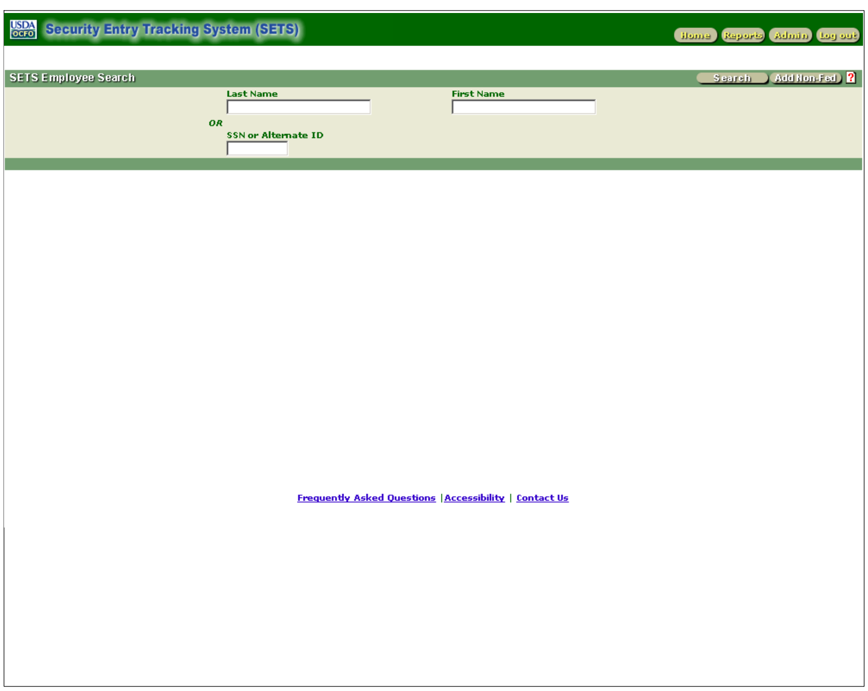

Figure 5. Security Entry And Tracking System (▶web◀SETS) Employee Search Window

To Search for an Employee:

1. At the **Employee Search Window**, complete the fields as indicated under **Employee Search Window Field Instructions**. The user can search by Last Name and First Name (optional) or Social Security Number (SSN). The SSN must be numeric and cannot include dashes.

2. Click **Search**. A name or list of names is returned in the ▶web◀SETS Employee Search Window for the user to select. Each unique record (SSN, Name, Department, Agency, and Personnel Office Identifier) for the employee will be displayed. If the list of names is greater than the screen allows, page numbers will appear at the bottom of the list.

3. To view the corresponding record, select the magnifying glass located next to the applicable record. The **Employee Detail Window** will be displayed.

To Add a New Record for a Non–Federal Employee (Contractor, Volunteer, Applicant):

1. At the **Employee Search** Page, click the **Add Non-Fed** button. A blank Employee Detail Window appears.

2. Complete the applicable fields as indicated under **Employee Detail Window Field Instructions**. Fields that do not pertain to non–Federal employees will be inactivated (grayed–out) on this screen.

3. Click **Save** after entering or updating any information.

Employee Detail Window

Employee Detail Window (**Figure 6**) displays specific employee specific data, including Name, Address, and Job Position. Most of the fields on the ▶web◀SETS Employee Detail Window will be populated from the Payroll/Personnel file. Blank fields will have to be populated by the ▶web◀SETS user. ▶This screen will also show the ”Date of Separation”, or inactive date, of an employee. This is automatically populated for federal employees. **Non–fed employees (contractors, applicants, etc.) will need to have their inactive date manually entered by the agency POC or PDSD in order to close out their record.**◀

▶You can also access the **Other Names Used** subscreen from the Employee Details screen to view any previous names used, such as maiden names, by selecting the magnifying glass next to the ”View Other Names” field.◀

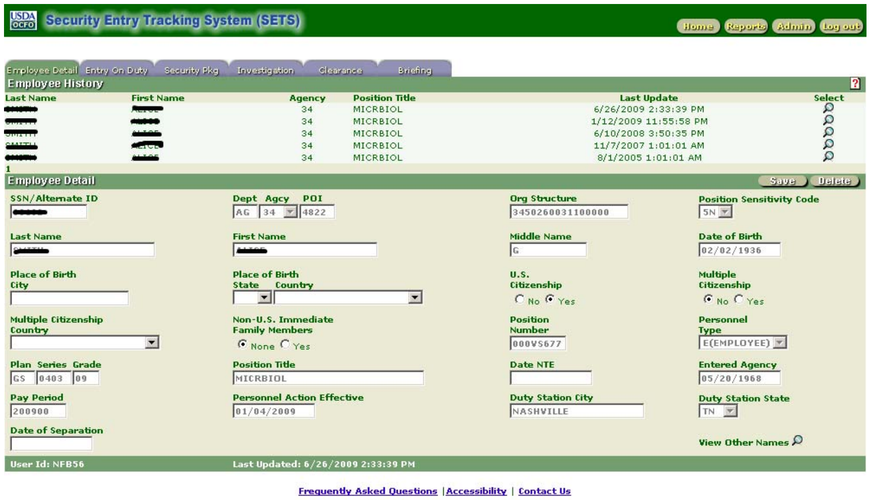

Figure 6. Security Entry And Tracking System (▶web◀SETS) Employee Detail Window

To Modify Employee Details:

At the Employee Detail Window, the current employee details are populated by the Payroll/Personnel file.

1. To modify employee details, complete the fields as indicated under **Employee Detail Window Field Instructions**.
2. Click **Save** after entering or updating any information.

To Delete an Employee Detail Record

Note: The delete option is only available for Non-Federal employee records.

1. At the Employee Detail window, click **Delete**.

Entry on Duty Detail Window

▶The **Entry on Duty** screen (**Figure 7**), also referred to as the **EOD** screen, allows the user to inquire and update information relating investigations handled by HR offices on Low Risk positions or for HSPD–12, such as National Agency Checks with Inquiries (NACI) or Advance Fingerprint checks. Each investigation has its own record. To start a new record for a new investigation, select the **Add** button. To update an existing investigation record, simply enter the data and hit **Save**.◀

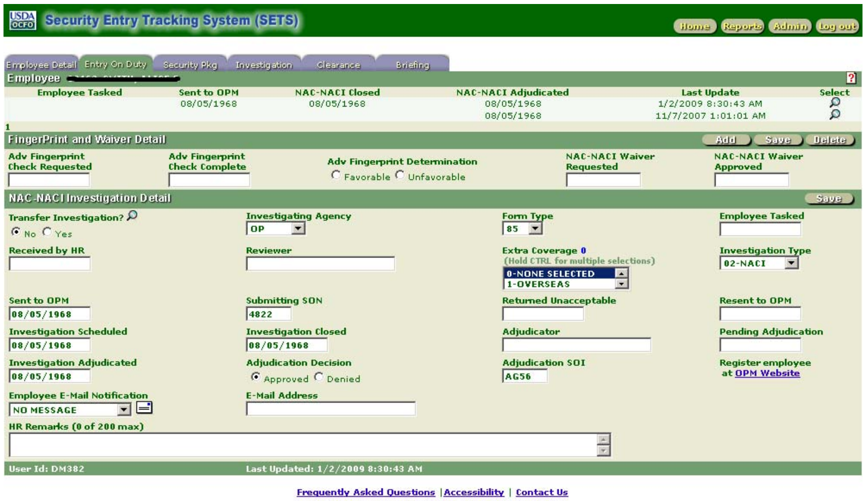

Figure 7. Security Entry And Tracking System (▶web◀SETS) Entry on Duty Detail Window

To Access Entry on Duty Detail Window:

1. At the Employee Detail Window, click the **Entry on Duty** tab to access the Entry on Duty Detail Window.

2. At the Entry on Duty Window, complete the fields as indicated under **Entry on Duty Detail Window Field Instructions**. The user can also create a new record by clicking the **Add** button.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

Security Package Detail Window

The ▶web◀SETS Security Package Detail Window (**Figure 8**) contains information that tracks the tasking and submission of all security questionnaires for suitability and national security background investigations between the Agency POC and PDSD. ▶Only HR Users and PDSD Users will have the ability to create and update security package records on this screen.◀

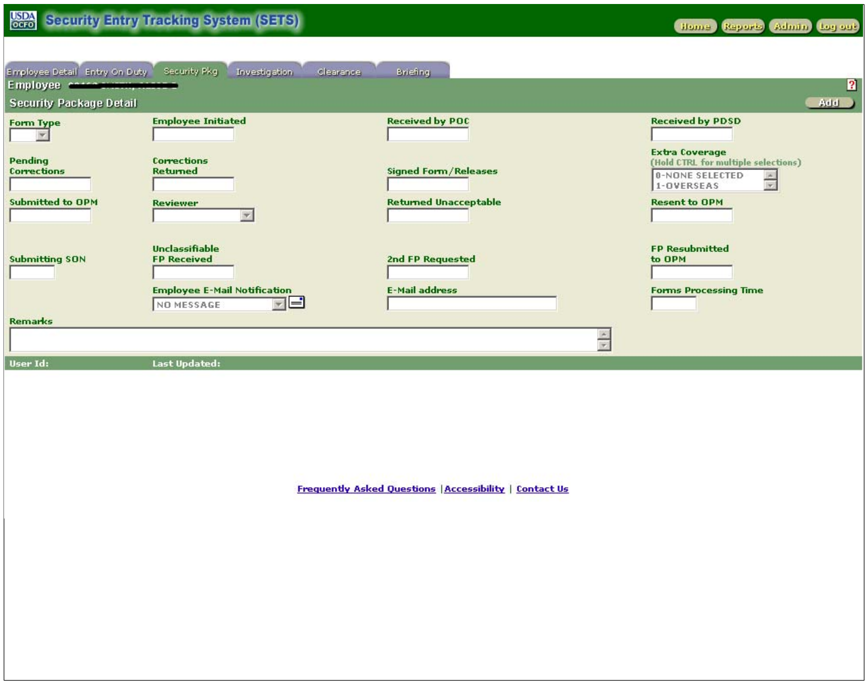

Figure 8. Security Entry And Tracking System (▶web◀SETS) Security Package Detail Window

To Access Security Package Detail Window:

1. At the Employee Detail Window, click the **Security Pkg** tab to access the Security Package Detail Window.

2. At the Security Package Detail Window, complete the fields as indicated under **Security Package Detail Window Field Instructions.** .The user can also create a new record by clicking the **Add** button.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

Investigation Detail Window

The ▶web◀SETS Investigation Detail Window (**Figure 9**) contains information on Public Trust and National Security background investigations handled by PDSD or an authorized, delegated USDA agency. These investigations are used to determine an employee's suitability for federal employment and/or eligibility for access to national security information. ▶Only PDSD Users will have the ability to create and update investigation records on this screen.◀

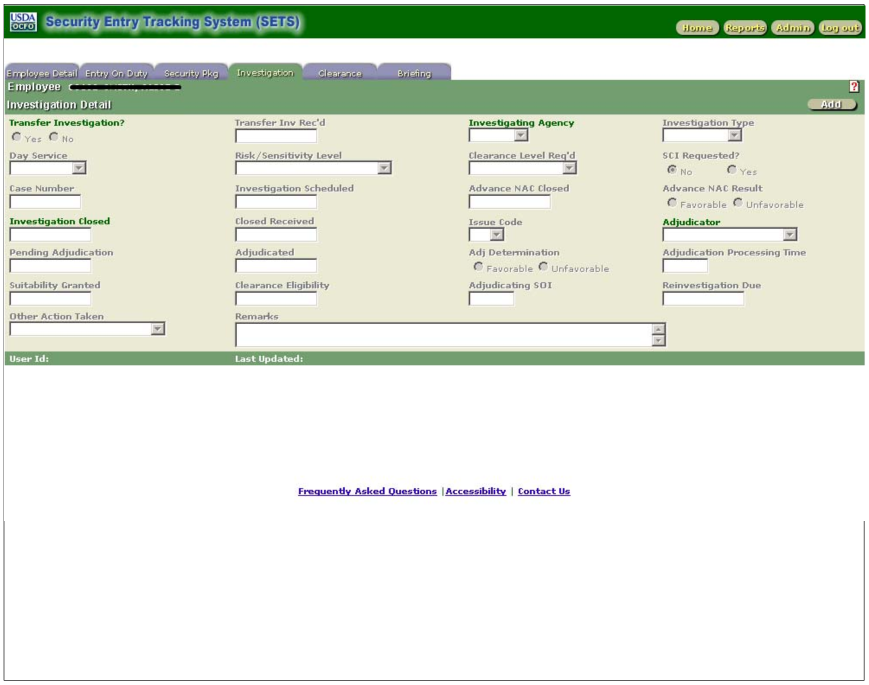

Figure 9. Security Entry And Tracking System (▶web◀SETS) Investigation Detail Window

To Access Investigation Detail Window:

1. At the Employee Detail Window, click the **Investigation** tab to access the Investigation Detail Window.

2. At the Investigation Detail Window, complete the fields as indicated under **Investigation Detail Window Field Instructions**. The user can also create a new record by clicking the **Add** button.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

▶Adjudicative Factors Detail Window

The Adjudicative Factors Detail Window (**Figure 10**)screen will highlight the factors, either for security or suitability determinations, applied when adjudicating issues in a case.

Public Trust positions at the Moderate Risk and High Risk designation levels are adjudicated by the Personnel Security Branch according to the Suitability Factors, 5CFR 731.202 (b). Suitability is defined as identifiable character traits and conduct sufficient to determine whether an individual is likely or not likely to be able to carry out the duties of a Federal job with appropriate integrity, efficiency, and effectiveness.

National Security positions hold sensitivity levels of Noncritical–Sensitive, Critical–Sensitive, or Special–Sensitive and they are evaluated against the Adjudicative Guidelines for Determining Eligibility for Access to Classified Information as revised on December 29, 2005. Access decisions take into account a person's reliability, trustworthiness, and ability to protect classified information. Eligibility for access to classified information is predicated upon the individual meeting these personnel security guidelines.

Figure 10. Security Entry And Tracking System (webSETS) Adjudicative Factors Detail Window

To Access Adjudicative Factors Detail Window:

1. At the Employee Detail Window, click the **Investigation** tab.
2. At the Investigation Detail Window, click the magnifying glass next to the Issue Code field.
3. Select the appropriate boxes under the Suitability Factors and/or Security Factors sections and click **Save**.◀

Adjudication Management Detail Window

The ▶web◀SETS Adjudication Management Detail Window (**Figure 11**) tracks any correspondence item or action taken by the assigned adjudicator during the adjudication process with the subject of investigation or third party.

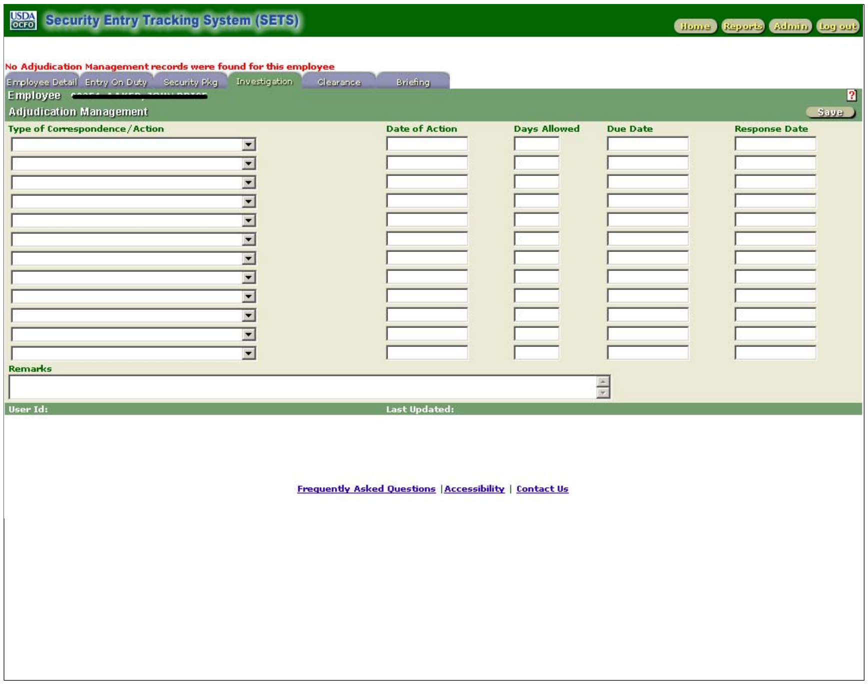

Figure 11. Security Entry And Tracking System (▶web◀SETS) Adjudication Management Detail Window

To Access Adjudication Management Detail Window:

1. At the Investigation Detail screen, click the **Pending Adjudication** magnifying glass to access the Adjudication Management Detail Window.

2. At the Adjudication Management Detail Window, complete the fields as indicated under **Adjudication Management Window Field Instructions**.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

Clearance Detail Window

The ▶web◀SETS Clearance Detail Window (**Figure 12**) displays the employee's security clearance data to include a sub-screen containing any Special Access, ▶including Sensitive Compartmented Information (SCI) compartments◀, the employee has been granted access to. Users will have the ability to create a new clearance record from this window.

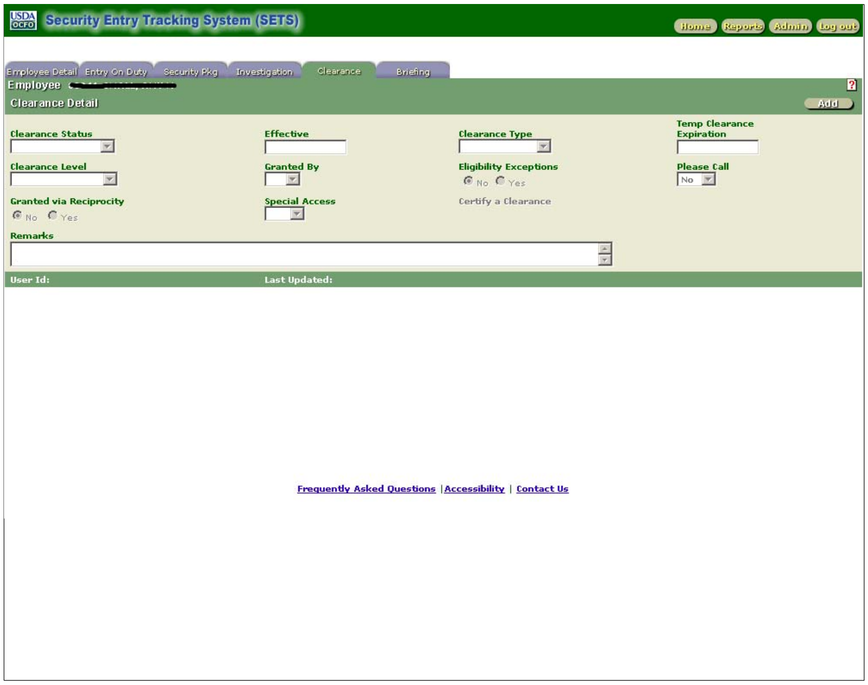

Figure 12. Security Entry And Tracking System (▶web◀SETS) Clearance Detail Window

To Access Clearance Detail Window:

1. At the Employee Detail Window, click the **Clearance** tab to access the Clearance Detail Window.
2. At the Clearance Detail Window, complete the fields as indicated under **Clearance Detail Window Field Instructions**.
3. Click **Add** after entering or updating any information or **Delete** to delete the record.

Special Access Detail Window

The ▶web◀SETS Special Access Detail Window (**Figure 13**) displays the Special Access, ▶including Sensitive Compartmented Information (SCI) compartments,◀ that an employee has been approved for by the CIA or DOE. The screen is accessed via the Clearance Detail Screen under the 'Special Access?' field. ▶An indication of 'Yes' under the "Special Access?" field does not indicate that an employee or contractor has been granted access to SCI. A 'Yes' selection indicates that the employee or contractor has a record on the Special Access screen and is in one of the stages (from Requested to Briefed) of SCI access. Contact PDSD for specific details regarding someone's access to SCI or any other Special Access. Only PDSD Users will have the ability to view, create and update records on this screen.◀

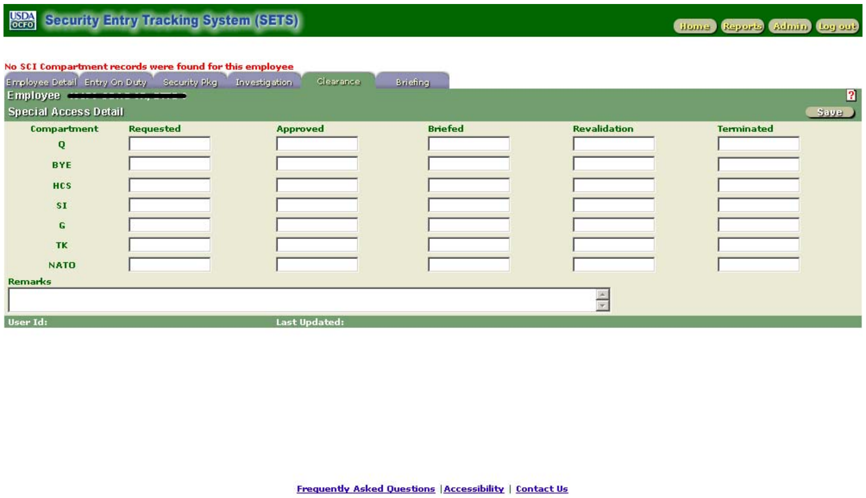

Figure 13. Security Entry And Tracking System (▶web◀SETS) Special Access Detail Window

To Access Special Access Detail Window:

1. At the Clearance Detail Window, select the magnifying glass located next to the ‘Special Access?’ record. To view an existing record, ‘Yes’ must have been checked under ‘Special Access?’.

2. At the Special Access Detail Window, complete the fields as indicated under **Special Access Detail Window Field Instructions**. The user can also create a new record by clicking the **Add** button.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

Reciprocity Verification Detail Window

The ▶web◀SETS Reciprocity Verification Detail Window (**Figure 14**) displays any previous investigative actions taken by another agency that will be used to grant reciprocity and eliminate duplicate investigative actions for both Public Trust and National Security positions. ▶This screen is accessible from the Entry on Duty screen, the Investigation Detail screen, or the Clearance Detail screen.◀

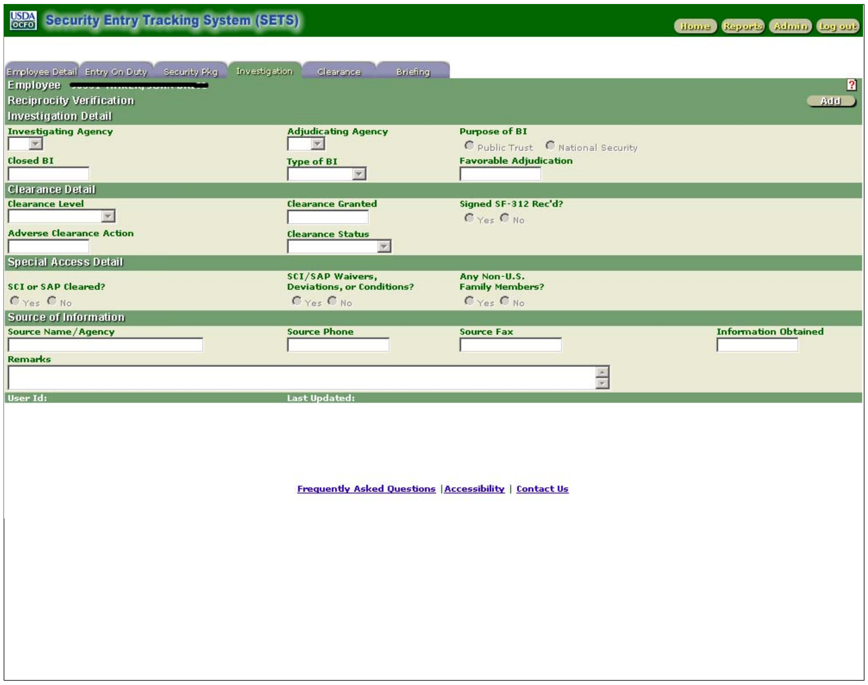

Figure 14. Security Entry And Tracking System (▶web◀SETS) Reciprocity Verification Detail Window

To Access Reciprocity Verification Detail Window:

1. At the Clearance Detail Window, select the magnifying glass located next to the 'Granted via Reciprocity' record. At the Investigation Detail Window, select the magnifying glass located next to the 'Transfer Investigation' record. At the Entry on Duty Detail Window, select the magnifying glass located next to the 'Transfer Investigation' record. To view an existing record, 'Yes' must have been selected from the 'Granted via Reciprocity?' or the 'Transfer Investigation?' fields.

2. At the Reciprocity Verification Detail Window, complete the fields as indicated under **Reciprocity Verification Detail Window Field Instructions**. The user can also create a new record by clicking the **Add** button.

3. Click **Save** after entering or updating any information or **Delete** to delete the record.

Briefing Detail Window

The ▶web◀SETS Briefing Detail Window (**Figure 14**) contains information on various security briefing types attended by the employee. Users can create a new record from this window.

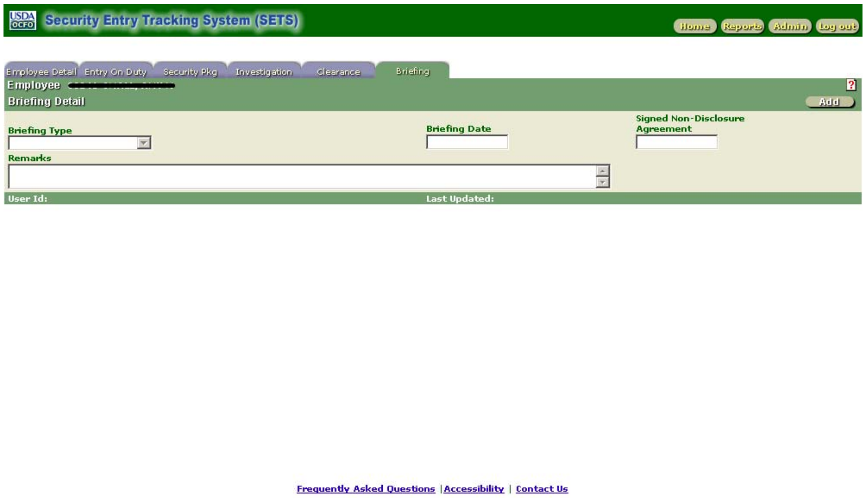

Figure 15. Security Entry And Tracking System (▶web◀SETS) Briefing Detail Window

To Access Briefing Detail Window:

1. At the Employee Detail Window, click the **Briefing** tab to access the Briefing Detail Window.

2. At the Briefing Detail Window, complete the fields as indicated under **Briefing Detail Window Field Instructions**.

3. Click **Add** after entering or updating any information or **Delete** to delete the record.

Administrative Screen Detail Window

The ▶web◀SETS Administrative Detail Window (**Figure 15**) allows ▶web◀SETS Administrators to update data element codes and descriptions in the drop–down listing on the webSETS screens.

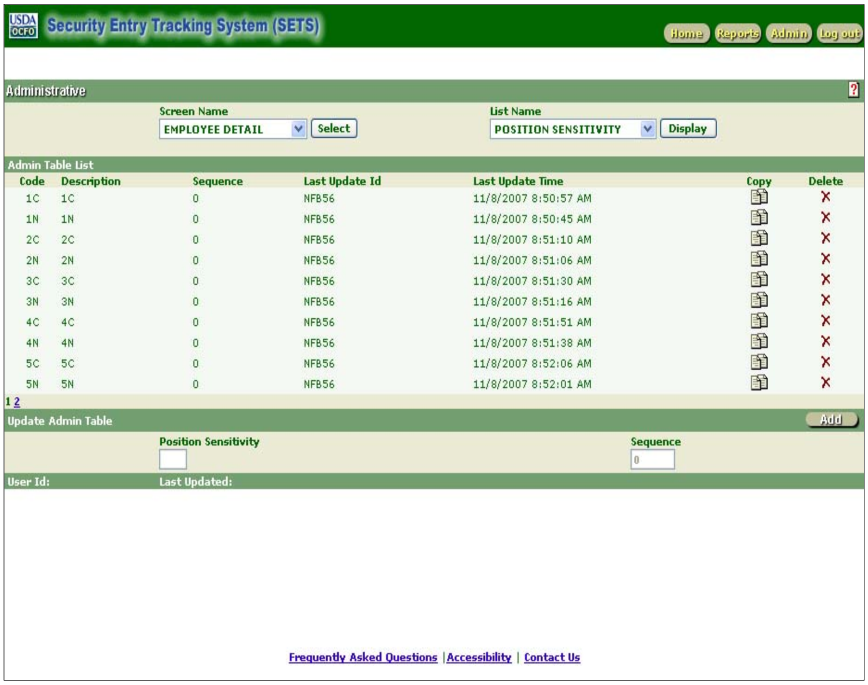

Figure 16. Security Entry And Tracking System (▶web◀SETS) Administrative Detail Window

To Access Administrative Detail Window:

1. Select the ’Admin’ button from the top right hand corner of any screen in ▶web◀SETS.
2. At the appropriate screen, select the appropriate elements in the ’List Name’ for updating. Press the **Display** button to go to the selected data element.
3. Click **Add** to add a record, **Copy** to copy a record, or **Delete** to delete the record.

Field Descriptions For ▶web◀SETS

This section presents the following topics:

Login Window Field Instructions

The Login window will require the user to enter their User ID and Password. The User ID field will be alphanumeric, 8 positions. The Password will be alphanumeric, 6 to 8 positions. After entering the User ID and password, click the Login button and a successful entry will take the user to the ▶web◀SETS Employee Search Window. If unsuccessful, a message will be displayed notifying the user to re-enter their User ID and Password. For more information, see Login Window.

User ID Type the User ID.

Password Type the User Password.

Change Password Type the new User Password.

Employee Search ▶(Home Page)◀ Field ▶Descriptions◀

The Employee Search ▶(Home Page)◀ Field ▶Descriptions◀ Window is used to access an existing account by Last Name or Social Security Number. For more information, see Employee Search (Home Page) Field Descriptions Window.

SSN/Alternate ID Type the employee's social security number. The SSN must be numeric and cannot include dashes.

Last Name — Type the employee's last name. Include Jr., Sr., as part of the last name, as applicable. ▶Do not use punctuation. For example, O'Brien would be O Brien with a space in place of the apostrophe.◀

First Name — Type the employee's first name.

Employee Detail Window Field ▶Descriptions◀

The Employee Detail ▶Field Descriptions◀ Window is used to view, modify, add, or delete account information. For more information, see **Employee Detail Window**.

Organization Structure Code — Agency assigned code for levels of the organizational structure.

Position Sensitivity Code — Appointee or employee suitability is determined commensurate with the position's designated risk level. Risk levels are designated in accordance with the degree of potential adverse impact on a program or the agency. The degrees of potential adverse impact inherent to each risk level designation for Public Trust positions are High Risk, Moderate Risk, and Low Risk. In addition to the position risk levels (suitability levels), all positions are evaluated to determine if they possess national security considerations, as well. The three national security position sensitivity levels are Special–Sensitive, Critical–Sensitive, and Noncritical–Sensitive. Positions that have access to Classified Information will be given one of these sensitive levels. The risk level and sensitivity level designations for positions determine what level of background investigation is required.

Last Name — Last name of employee.

First Name — First name of employee.

Middle Name — Full middle name of employee. If there is no middle name, enter NMN. If the middle name is an initial only, enter the initial and **IO** after it.

Date of Birth — Employee's date of birth.

Place of Birth-City — The city code where the individual was born.

Place of Birth-St-Country — The state or country where the individual was born.

U.S. Citizenship Indicator — Indicates if the employee is a U.S. Citizenship. Click the **Yes** or **No** radio button, as applicable.

Reports

Multiple Citizenship Indicator

This field shows if the individual is a dual citizen. Click the **Yes** or **No** radio button, as applicable.

Multiple Citizenship Country

This field shows what country the individual holds a dual citizenship with besides the United States.

Non-U.S. Immediate Family Members

This field shows if the individual has living immediate family members whom are not U.S. Citizens. Click the **Yes** radio button if any of the employee's living immediate family members (father, mother, brother, sister, spouse, son, daughter, or cohabitant) are not a U.S. Citizen. Include all variants; e.g. sister includes half–sister, stepsister, foster sister or adopted sister. Click the **None** radio button if all immediate family members are U.S. Citizens or not applicable.

Position Number

Specifically, identifies, by number, the position occupied by the employee.

Personnel Type

Includes various types of personnel – Applicant, Contractor/Consultant, Service Employee, Volunteer, and other. Applicant (A) refers to any individual who has applied for a position with USDA and who has not yet become a federal (service) employee. Contractor/Consultant (C) refers to an individual who is under contract with USDA, either directly, such as Advisory Committee Members, or through a government contracting company. ▶Volunteer (V) refers to interns.◀ Other (O) refers to individuals who carry out the work of the Secretary, but are not federal employees such as those under Cooperative Agreement, Extramural Agreement, County Employee, State Employee, etc. Personnel type 'E' (Service Employee) refers to all federal employees. This type is system generated via the Payroll/Personnel System and an individual cannot create a record for a federal employee ('E'); therefore, this option is not included in the drop–down listing.

▶Duty Station

This data is automatically populated from the Payroll/Personnel file and shows the individuals duty location by city and state.◀

Pay Plan

Pay plan applicable to the employee.

Occupational Series Code

Identifies the exact occupational group to which the employees' position has been classified.

Grade

Employees grade as provided under the pay plan for his postion.

Position Title

Describes the organizational or working title of the employees' position, as distinguished from the official or classification title.

Date NTE

The not-to-exceed day to be shown on the personnel action.

Date Entered Agency The date that the employee entered on duty.

Pay Period Year The number of the year that is currently being processed.

Pay Period The number of the pay period that is currently being processed.

Nature of Action Record by code and description, the type of personnel action being taken on the employee pursuant to his employment with the department.

CSC-Auth Code 1st NOA The first code assigned by the Office of Personnel to identify the legal authority for the first nature of action code.

CSC-Auth Code 2nd NOA The first code assigned by the Office of Personnel to identify the legal authority for the second nature of action code.

CSC-Auth Code 2nd 1st NOA The second code assigned by the Office of Personnel to identify the legal authority for the first nature of action code.

CSC-Auth 2nd Code 2nd NOA The second code assigned by the Office of Personnel to identify the legal authority for the second nature of action code.

Date Personnel Action Effective The day the personnel action is effective.

Date of Separation Month, day, and year the employee was separated.

User ID The user ID of the last person updating ▶web◀SETS.

Last Updated Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Other Names Used Field ▶Descriptions◀

The Other Names ▶Used Field Descriptions◀ is used to add other names used by the employee.

Other Last Name Any other last name used.

Other Suffix

Part of the last name, such as Jr., Sr.

Other First Name

Any other first name used.

Middle Name

Any other middle name used.

User ID

The user ID of the last person updating ▶web◀SETS.

Last Updated

Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Entry on Duty Field ▶Descriptions◀

The Entry on Duty Field ▶Descriptions◀ allows the user to track and update an employee's fingerprint and waiver information. Waivers allow new hires to begin work assignments before the necessary screenings and background checks are completed. Users have the ability to add fingerprint and waiver record from this window. The Entry on Duty Detail Window also allows the user to inquire and update information relating to National Agency Checks (NAC) and National Agency Checks and Inquiries (NACI). Human Resource users have the ability to create a new investigation record from this window. For more information, see Entry on Duty Detail Window.

Adv Fingerprint Check Requested

Date HR requested as advanced FP Check with OPM.

Adv Fingerprint Check Complete

Date HR received the completed Advanced FP check results from OPM.

Advanced Fingerprint Determination

Will show the initial decision made by HR on the subject based on the FP results. Click the **Favorable** or **Unfavorable** radio button, as applicable.

Transfer Investigation?

Shows whether or not HR has been requested to grant suitability to an individual based on an investigation completed by another agency. Click the **Yes** or **No** radio button, as applicable.

Investigating Agency

The agency that completed the background investigation. AT (Bureau of Alcohol, Tobacco and Firearms), BE (Bureau of Engraving and Printing), CI (Central Intelligence Agency), CO (Department of Commerce), CU (Customs Service), DE (Drug Enforcement Administration), DS (Defense Investigative Service), FB (Federal Bureau of Investigation), GA (Government Accountability Office), ID (Agency for International Development), IR (Internal Revenue Service), MS (U.S. Marshall Service), NI (Naval Investigation Service), NS (National Security Agency), OP (Office of Personnel Management), OT (Other), SS (Secret Service), ST (State Department).

Form Type

Type of form HR has requested.

Employee Tasked

Date HR has tasked an employee to complete a security questionnaire via e-QIP or hard-copy as permitted.

Received by HR

Date HR received the forms from the employee.

Extra Coverage

This field shows the OPM Extra Coverage Codes that personnel security has entered in Block B under the 'Agency Use Only' section of the security questionnaire. This field allows for up to 5 selections. A drop–down box with the following options is shown: 1 (Overseas), 3 (Advanced NAC), 7 (Attachments), H (INS), I (Spouse INS), L (BVS), and R (Reinvestigation). Hold the CTRL key to make multiple selections (see Appendix C).

Code 1 – Overseas Positions: This code is used for employees stationed outside of the United States and alerts the OPM Investigator to ask specific questions to the individual during the subject interview.

Code 3 – Advance NAC: The Advance on the National Agency Checks (NAC) consists of an itemized list of the NAC results and search status. This is a notification of item results only, no hardcopy is furnished. The Advance NAC report is available for all case types and is most commonly used in case where an interim security clearance has been requested.

Code 7 – Attachments: This code is used when information is attached to the investigative request, such as issue information, personnel folder or security file information, special handling instructions, or other information pertinent to the investigation.

Code H – INS: Automated scheduling of the Immigration and Naturalization Service (INS) search for the subject of the investigation. This is a required check for all individuals born outside of the United States or U.S. territories.

Code I – SINS: Automated scheduling of the Immigration and Naturalization Service (INS) search for the spouse of the subject of the investigation. This is a required check for all foreign–born spouses.

Code L – BVS: Automated scheduling of the Bureau of Vital Statistics (BVS) search.

Code R – Reinvestigation: This code alerts the Office of Personnel Management (OPM) that the investigation being requested is for a reinvestigation and eliminates the requirement to submit such documents as the fingerprint chart, OF–306, and resume.

Reviewer

Last name of the person in HR reviewing the questionnaire.

Investigation Type

Type of background investigation HR is requesting (see Appendix A) .

Sent to OPM

Date HR submitted forms to OPM to initiate an investigation.

Submitting SON

Will show what agency is submitting the NAC-NACI investigation request to OPM.

Reports

Returned Unacceptable	Date, if applicable, that OPM returned forms to HR as unacceptable.
Resent to OPM	Date, if applicable, that HR returned the corrected unacceptable forms to OPM.
NAC-NACI Scheduled	Date OPM scheduled the NAC/NACI investigation.
NAC-NACI Closed	Date OPM completed the NAC/NACI investigation.
▶**Pending Adj**	Shows the date the adjudicator requested additional information to complete an item check or mitigate an issue, from the subject of investigation or another source, to complete the adjudication process. ◀
NAC-NACI Adjudicated	Date the NAC/NACI investigation was adjudicated.
▶**Adjudicator**	Shows the last name of the person who adjudicated the background investigation.◀
Adjudication Decision	Will show if decision is approved or denied. Click the **Approved** or **Denied** radio button, as applicable.
Adjudication SOI	Will show what agency is making the NAC-NACI adjudicative decision.
Register employee at OPM Website	Allows employee to be entered at OPM Website.
Employee E–Mail Notification	This hyperlink opens up an automatically generated e-mail populated with the employee's e-mail address (from the e-mail address field), that will notify them of their e-QIP tasking. This e-mail can be edited for additional notification purposes.
E-Mail Address	Shows the individual's e-mail address. This address is what is used to populate the Employee Notification e-mail.
HR Remarks	Used to make general comments concerning the individual's NAC-NACI investigation by HR.
User ID	The user ID of the last person updating ▶web◀SETS.
Last Updated	Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Security Package Detail Field ▶Descriptions◀

The Security Package Detail Field ▶Descriptions◀ is used to view, modify, add, or delete account information. For more information, see **Security Package Detail Window** .

Form Type Type of security questionnaire the employee was tasked to complete.

Employee Initiated Date the employee was tasked by their personnel office or security point-of-contact to complete their security questionnaire via e-QIP or hard-copy as permitted.

Received by POC Date the personnel office or security point-of–contact received the completed security questionnaire.

Received by PDSD Date PDSD received the completed security package from the agency point-of-contact.

Pending Corrections Date the security questionnaire was returned for corrections to the security point-of-contact or the employee was contacted for corrections by PDSD.

Corrections Returned Date the security questionnaire was returned to PDSD with the necessary corrections made or the date the employee personally provided PDSD with the necessary corrections.

Signed Form/Releases Date the individual signed their security questionnaire releases. USDA agencies will provide a completed security package to the PDSD within no more than 7 calendar days of the Subject signing the form and required releases..

Extra Coverage The OPM Extra Coverage Codes that personnel security has entered into Block B under the ‘Agency Use Only’ section of the security questionnaire (See Appendix C).

Submitted to OPM Date the security package was forwarded/released to the Office of Personnel Management.

Reviewer The name of the person responsible for reviewing the security package and submitting it to OPM.

Returned Unacceptable Date the security questionnaire was rejected back to USDA by OPM as unacceptable on form FIPC 45A, Unacceptable Case Notice.

Resent to OPM
Date the security package was resubmitted to OPM after the necessary corrections were made to the unacceptable form.

Submitting SOI
The Security Office Identifier for the submitting office.

Unclassifiable FP Received
Date, if applicable, the fingerprint chart was returned unclassifiable to OPM by the FBI. Investigative requirements are satisfied on Non–sensitive (SF 85) and Public Trust (SF 85P) positions once the original submission is characterized as unclassifiable by the FBI. Agencies have the option of submitting one reprint for classification within one year of OPM's closing the investigation without incurring additional cost. For National Security (SF 86) positions, OPM will continue to require a second fingerprint submission if the original was unclassifiable.

2nd FP Requested
Date the personnel security specialist or assistant requested a second fingerprint chart from the agency POC.

FP Resubmitted to OPM
Date when the second fingerprint chart was resubmitted to OPM to run a second fingerprint chart.

Employee Notification Email
This hyperlink opens up an automatically generated e-mail populated with the employee's e-mail address (from the e-mail address field), that will notify them of their e-QIP tasking. This e-mail can be edited for additional notification purposes.

E-Mail Address
Shows the individual's e-mail address. This address is what is used to populate the Employee Notification e-mail.

Forms Processing Time
This field will automatically calculate the number of days between the 'Signed Release Date' and the 'Sent to OPM' date. This information will be used by PDSD to track the timeliness of forms submissions to OPM standards.

Remarks
Used to make general comments concerning the individual's security package by PDSD and agency point-of-contact.

User ID
The user ID of the last person updating ▶web◀SETS.

Last Updated
Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Investigation Detail Field ▶Descriptions◀

The Investigation Detail Field ▶Descriptions◀ contains information on Public Trust and National Security background investigations. These investigations are used to determine an employee's suitability for federal employment and/or eligibility for access to national security information. Personnel and Document Security Division users and Agency Point of Contacts will have the ability to create new investigation records from this window. For more information, see **Investigation Detail Window**.

Transfer Investigation? Shows whether or not HR has been requested to grant suitability to an individual based on an investigation completed by another agency. Click the **Yes** or **No** radio button, as applicable. If 'Yes' is selected, complete the information on the Reciprocity subscreen by selecting the magnifying glass.

▶Transfer Inv Rec'd Shows the date the transfer (or Reciprocity) request was received by PDSD from the field office.◀

Investigating Agency The agency that completed the background investigation. AT (Bureau of Alcohol, Tobacco and Firearms), BE (Bureau of Engraving and Printing), CI (Central Intelligence Agency), CO (Department of Commerce), CU (Customs Service), DE (Drug Enforcement Administration), DS (Defense Investigative Service), FB (Federal Bureau of Investigation), GA (Government Accountability Office), ID (Agency for International Development), IR (Internal Revenue Service), MS (U.S. Marshall Service), NI (Naval Investigation Service), NS (National Security Agency), OP (Office of Personnel Management), OT (Other), SS (Secret Service), ST (State Department).

Investigation Type Type of investigation requested for the employee (see Appendix A).

Day Service What type of day service was requested from OPM to complete the investigation.

Risk/Sensivity Level Code that identifies the level of risk (Public Trust) or sensitivity (National Security) designated for the employee's position. 5 (Moderate Risk), 6 (High Risk), 2 (Noncritical–Sens), 3 (Critical Sens), 4 (Special Sens).

Clearance Level Requested Level of security clearance requested by the agency as required by the employee's position designation. A drop–down field listing the following options is shown: C (Confidential), S (Secret), T (Top Secret) ▶N (No Clearance)◀.

SCI Requested? Indicates whether or not the agency has requested the employee be considered for special access as required by their position. Click the **Yes** or **No** radio button, as applicable.

Case Number The case number that OPM has assigned to an individual's investigation.

Investigation Scheduled Date OPM scheduled the investigation.

Advanced NAC Received Date the Advanced National Agency Check (NAC) results were received from OPM.

Advanced NAC Result Advanced NAC's are requested when an employee needs an interim security clearance. Click the **Favorable** or **Unfavorable** radio button, as applicable.

Investigation Closed Pending Date OPM closed the background investigation pending additional checks.

Investigation Closed Date OPM closed the background investigation.

Closed Received Date the Closed Investigation was received from OPM or another investigating agency.

Issue Code Shows the issue code that OPM assigned to the background investigation to represent the seriousness of the case. ▶The magnifying glass takes the adjudicator to a subscreen where they can select the Adjudicative Factors addressed in the background investigation.◀

Adjudicator Shows the adjudicator assigned to work on the closed investigation.

Pending Adjudication Date the adjudicator requested additional information from the Subject or another source in order to complete the adjudication process. If a date is entered in this field, the adjudicator should complete the 'Adjudication Management' subscreen by selecting the magnifying glass.

Adjudicated Date the adjudicator completed the adjudication of the background investigation.

Adj Determination Click the **Favorable** or **Unfavorable** radio button, as applicable.

Adjudication Processing Time This field automatically calculates the number of days between the 'Investigation Closed' date and the 'Adjudication' date. This information will be used by PDSD to track the timeliness of adjudications per OMB standards.

Suitability Granted Date PDSD or another authorized agency approved or denied (based on button selection) Suitability for Public Trust cases.

Clearance Eligibility The date of the most recent favorable adjudicated national security investigation and the date the employee became eligible for a security clearance even though one may not be required for their position at this time. Clearances may or may not be granted based on this favorable determination.

Adjudicating SOI Shows the SOI (Security Officer Identifier) Adjudicative Authority code and identifies which agency handled the adjudication.

Reinvestigation Due Date the employee is required to undergo a reinvestigation. This field is automatically calculated and populated. Reinvestigation Date is automatically calculated by using the following guidelines: If the Sens Level is Special–Sens (4) or Critical–Sens (3), the reinvestigation due date is 5 years from the Investigation Closed date. If the Sens Level is Non–Critical Sens (2), the reinvestigation due date is 10 years from the Investigation Closed date.

Other Action Taken This field shows the reason why an investigation was cancelled, not adjudicated or placed as inactive.

Remarks Used for making additional details about a case that is not covered in the fields above.

User ID The user ID of the person updating ▶web◀SETS.

Last Updated Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Adjudicative Management Window Field ▶Descriptions◀

The Adjudicative Management Window ▶Field Descriptions◀ tracks any correspondence item or action taken by the assigned adjudicator during the adjudication process with the subject of investigation or third party. For more information, see **Adjudication Management Detail Window**.

Type of Correspondence/Action Drop–down field listing the type of correspondence.

Day of Action Date field.

Days Allowed numeric field that will allow the adjudicator to specify the number of days allowed to complete the requested action.

Due Date Automated field that shows the calculated due date (calendar days) of the requested action. Date of Action + Days Allowed = Due Date.

Response Date Date field.

Remarks Text field will allow sufficient space to enter 3 to 4 lines of text.

▶*Adjudicative Factors Window Descriptions*

Suitability Factors

1 – Misconduct or Negligence in Employment
2 – Criminal or Dishonest Conduct
3 – Material Intentional False Statement or Deception or Fraud in Examination or Appointment
4 – Refusal to Furnish Testimony
5 – Alcohol Abuse
6 – Illegal Use of Narcotics Drugs or Other Controlled Substances
7 – Knowing and Willful Engagement in Acts or Activities Designed to Overthrow the U.S. Government by Force
8 – Statutory or Regulatory Bar

Security Factors

GUIDELINE A: Allegiance to the United States
GUIDELINE B: Foreign Influence
GUIDELINE C: Foreign Preference
GUIDELINE D: Sexual Behavior
GUIDELINE E: Personal Conduct
GUIDELINE F: Financial Considerations
GUIDELINE G: Alcohol Consumption
GUIDELINE H: Drug Involvement
GUIDELINE I: Psychological Conditions
GUIDELINE J: Criminal Conduct
GUIDELINE K: Handling Protected Information
GUIDELINE L: Outside Activities
GUIDELINE M: Use of Information Technology Systems◀

Clearance Detail Window Field ▶Descriptions◀

The ▶web◀SETS Clearance Detail Window ▶Field Descriptions◀ displays the employee's security clearance data to include a sub-screen containing any Special Access compartments the employee has been granted access to. Users will have the ability to create a new clearance record from this window. For more information, see **Clearance Detail Window**.

Clearance Status

Shows the status of an employee's clearance as required by the Central Investigative and Clearance System. **Active (A) –** Refers to any new clearance that has been granted. **Revalidated (V) –** Refers to any existing clearance that has been revalidated following the favorable adjudication of an individual's reinvestigation. ▶**Adm Withdrawn (W)**◀ **–** Refers to a clearance that is no longer active due to the individual's separation (inactive) from USDA, separation from their position in USDA that required the security clearance or if their position no longer requires a security clearance. **Denied (D) –** Refers to any clearance request that was denied (not granted) due to a non–favorable adjudication of the individual's background investigation. **Expired (E) –** Refers to a clearance that has not been revalidated due to not submitting new paperwork to initiate the individual's reinvestigation. **Revoked (R) –** Refers to a clearance that was granted, but has now been permanently revoked due to disqualifying factors that occurred after the clearance was initially granted. **Suspended (S) –** Refers to a clearance that was granted, but has now been temporarily suspended due to disqualifying factors that require additional investigation by personnel security and/or successful completion of a probationary period by the individual to mitigate the disqualifying factors such as rehabilitation.

Effective

The date the security clearance status determination was made.

Clearance Type

Type of clearance an individual has been granted. **Interim Access –** When a security clearance is required prior to completion of the background investigation, an interim clearance may be granted provided the proper justification has been submitted and the investigation has been expedited. Interim clearance approvals are also based on a favorable review of the SF–86. A favorable review means that no derogatory information is discovered. If derogatory information is disclosed in the SF 86, an interim clearance request is denied. **Temporary Access –** "Per Executive Order 12968, in exceptional circumstances where official functions must be performed prior to the completion of the investigative and adjudication process, temporary access to classified information may be granted to an employee while the initial investigation is underway. When such eligibility is granted, the initial investigation shall be expedited. Security personnel authorized by the agency head to make access eligibility determinations must find that such access: (1) is necessary to meet operational or contractual exigencies not expected to be of a recurring nature; (2) will not exceed 180 days; and (3) is limited to specific, identifiable information that is made the subject of a written access record." **Final Access –** The final, permanent security clearance granted based on a favorable adjudication. Reinvestigation requirements apply.

Temp Clearance Expiration

This field will have an automatic (this field should automatically add 180 days to the Effective Date IF the Clearance Type is temporary.

Clearance Level

Code for the National Security Clearance Level. The level of clearance an individual has been granted.

Granted By

The agency that completed the background investigation. AT (Bureau of Alcohol, Tobacco and Firearms), BE (Bureau of Engraving and Printing), CI (Central Intelligence Agency), CO (Department of Commerce), CU (Customs Service), DE (Drug Enforcement Administration), DS (Defense Investigative Service), FB (Federal Bureau of Investigation), GA (Government Accountability Office), ID (Agency for International Development), IR (Internal Revenue Service), MS (U.S. Marshall Service), NI (Naval Investigation Service), NS (National Security Agency), OP (Office of Personnel Management), OT (Other), SS (Secret Service), ST (State Department).

Eligibility Exceptions

When the determination of eligibility for access is conditional, the fact of such conditional access shall be conveyed to any other agency that considers affording the employee access to its information. This includes waivers (access eligibility granted or continued despite the presence of substantial issue information that would normally preclude access), conditions (access eligibility granted to continued with the provisions that one or more additional measures will be required, such as additional security monitoring, restrictions on access, and restrictions on an individual's handling of classified information), and deviations (access eligibility granted or continued despite either a significant gap in coverage, to include an overdue reinvestigation, or a significant deficiency in the scope of the investigation). Click the **Yes** or **No** radio button, as applicable.

Please Call

Alerts users to contact the granting security office for information on waivers, conditions, deviations, suspensions of access, revocations of access, denials of access, and ongoing investigations that could affect the person's continued eligibility for access. Click the **Yes** or **No** radio button, as applicable.

Granted via Reciprocity

Indicates if the clearance was granted under the reciprocity (based on another agencies certification that an appropriate investigation and subsequent clearance was granted). Click the **Yes** or **No** radio button, as applicable. If 'Yes' is selected, complete the information on the Reciprocity subscreen by selecting the magnifying glass.

Special Access

Indicates if the individual has been submitted for and/or been approved for access to Sensitive Compartmental Information (SCI) or access to Department of Energy material. These programs apply to extraordinary security measures to protect extremely sensitive information. Specific details about the activity of this access and what compartments have been granted can only be viewed by authorized PDSD personnel on the Special Access subscreen.

Certify a Clearance Link

This link will open the Certificate of Clearance template used by PDSD to pass an individual's clearances to another agency/company in order to attend classified meetings, conferences, seminars, briefings, or to gain building access.

Remarks

This field will allow the PDSD staff to enter remarks as needed concerning the individual's security clearance.

User ID The user ID of the last person updating ▶web◀SETS.

Last Updated Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Special Access Detail Window Field ▶Descriptions◀

The ▶web◀SETS Special Access Detail Window ▶Field Descriptions◀ displays the Special Access compartment that an employee has been approved for by the CIA or DOE. The screen is accessed via the Clearance Detail Screen under the 'Special Access?' field. Users will have the ability to create a new record from this window. For more information, see **Special Access Detail Window**.

Compartment This field will show what compartment that individual requires.

Requested Date that PDSD submitted the compartment request to the CIA.

Approved Date that CIA approved the individual's compartment request.

Briefed Date that PDSD briefed the individual into the compartment. The compartment is not active until the briefing is complete.

Revalidation Date Date that special access has been revalidated.

Terminated Date the individual's access to the compartment was terminated (either debriefed in-person or administratively terminated) due to separation from USDA or change in position that on longer required such access.

Remarks This field will allow the PDSD staff to enter remarks as needed.

User ID The user ID of the last person updating ▶web◀SETS.

Last Updated Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Reciprocity Verification Detail Window Field ▶Descriptions◀

The ▶web◀SETS Reciprocity Verification Detail Window ▶Field Descriptions◀ displays any previous investigative actions taken by another agency that will be used to grant reciprocity and eliminate duplicate investigative actions for both Public Trust and National Security positions. For more information, see **Reciprocity Verification Detail Window**.

Investigating Agency	This field will list all of the investigating agencies.
Adjudicating Agency	This field will list all of the agencies with adjudicative authority.
Purpose of BI	Radio buttons to select either "Public Trust" or "National Security". The default is blank, no section.
Closed BI	Date of closed BI.
Type of BI	This field will list the investigative types.
Clearance Level	This field will list the clearance levels.
Clearance Granted	Date clearance is granted.
Signed SF–312 Received?l	Yes or No drop down menu.
Adverse Clearance Action	Date of adverse Clearance action.
Clearance Status	This field will list the clearance status of the employee.
SCI or SAP Cleared	Yes or No options.
SCI/SAP Waivers	Yes or No options.
Any Non–U.S. Family Members	Yes or No options.
Source Name/Agency	This field will provide the source or agency name.
Source Phone Number	This field will provide the source phone number.
Source Fax Number	This field will provide the source fax number.
Information Obtained	This field will provide the date information is obtained.
Remarks	Text field will allow sufficient space to enter 3 to 4 lines of text.

User ID

The user ID of the last person updating ▶web◀SETS.

Last Updated

Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Briefing Detail Window Field ▶Descriptions◀

The Briefing Detail Window Field ▶Descriptions◀ contains information on various security briefing types attended by the employee. Users can create a new record from this window. For more information, see Briefing Detail Window.

Briefing Type

This field will show the type of briefing the employee attended. Listed below is an explanation of the briefing types:

Initial Security Indoc

The initial briefing conducted upon granting access to classified information to educate employees about individual responsibilities under Executive Order 12968 and to obtain a signed non–disclosure agreement.

Revalidation

A briefing conducted upon granting reinvestigated individuals access to classified information to educate the employees about individual responsibilities under Executive Order 12968 when no previously executed non–disclosure agreement is on hand. Employees shall not be granted access to classified information unless they have signed an approved nondisclosure agreement.

Annual Security Refresher

Annually, employees cleared for access to classified information will receive a refresher briefing covering their security responsibilities.

Annual SCI Refresher

As stated in DCID 6/4, all individuals nominated for or holding SCI access approval will be notified initially and annually thereafter of their responsibility to report to their cognizant security officers any activities or conduct such as described in Annex C that could conflict with their ability to protect classified information from unauthorized disclosure.

NATO

The North Atlantic Treaty Organization (NATO) security procedures are contained in the United States Security Authority for NATO Affairs, USSAN 1–69. Before gaining access to NATO information, all USDA personnel shall be briefed on NATO security procedures.

Debriefing

Upon termination of employment or contract responsibilities by separation, transfer, an administrative downgrade action, or a change in duties, each employee or other individual with a security clearance must receive a security debriefing explaining that their access to classified information has been removed and that they have a continuing responsibility to protect national security information. At the security debriefing, each individual shall sign the SF–312 acknowledging the debriefing and their continuing responsibility to protect classified information to which they can access.

▶Admin Debrief

Refers to a debriefing that was handled administratively by PDSD due to the subject leaving USDA prior to attending an in–person debriefing.◀

Briefing Date

This field will show the date the employee attended a security briefing or debriefing. This date may be earlier than the Clearance Granted date on reinvestigation cases where the SF 312 was previously signed.

Signed Non–Disclosure Agreement This field will show the date the individual signed the Non–Disclosure Agreement form SF–312 or previous versions of the SF–189 or SF–189A.

Remarks This field will allow the PDSD staff to enter remarks as needed.

User ID The user ID of the last person updating ▶web◀SETS.

Last Updated Date and time ▶web◀SETS was updated. (MM/DD/YYYY format for the date and 00:00:00 AM/PM format for time)

Periodic Reinvestigations Report Description

The Periodic Reinvestigations Report will show which employees are due for their reinvestigation within a particular agency. For more information, see **Periodic Reinvestigations Report**.

Periodic Reinvestigations Report The following fields will be displayed on the report: EMPLOYEE ID, Last Name, First Name, Risk/Sensitivity Level, Clearance Level, Investigation Type, Closed Investigation, and Reinvestigation Due.

Clearances by Agency Report Description

The Clearances by Agency Report will allow agencies to pull clearance listing within their agency. For more information, see **Clearances by Agency Report**.

Clearances by Agency Report The following fields will be displayed on the report: EMPLOYEE ID, Last Name, First Name, Risk/Sensitivity Level, Investigation Type, Investigation Closed, Clearance Status, Effective, Clearance Type, Clearance Level, and Special Access.

Reports

▶The Reports screen in webSETS is accessible by all users except those in an Auditor role. There are two sections of Reports: Administrative and Agency. The Administrative reports are only accessible by PDSD Users. The Agency reports are accessible, with exceptions, by PDSD Users, HR Users, and Agency POC users. When pulling reports, please keep in mind the large number of records that are searched and the amount of results expected to avoid timeouts. It is best to run specific reports by one agency at a time. For example, instead of running the "Clearances by Agency" report for all level of clearances, run separate reports for Top Secret holders and Secret holders◀.

When the user selects the **Reports** option at the top of any of the ▶web◀SETS screens, they will be taken to a reports menu screen that provides two categories of reports to select from (Administrative and Agency).

For more information, see:

▶Administrative Reports◀

▶Agency Reports◀

▶Administrative Reports◀

The following is a description of the reports available under the Administrative section:◀

Closed Cases on Hand by Adjudicator – ▶A bar chart showing how many closed cases are assigned to each adjudicator that have had no action (no date in the "Pending Adj" field) taken on them.◀

Forms on Hand – ▶A bar chart showing how many forms are assigned to each reviewer that have had no action (no date in the "Pending Corrections" field) taken on them.◀

Overdue Staff Actions – ▶These reports will show any overdue actions that a Reviewer or a Specialist has assigned to them. These reports will automatically eliminate any inactive records. The following search options are included:

- Reviewer: drop–down listing showing the name of each Reviewer **or**
- Adjudicator: drop–down listing showing the name of each Adjudicator◀

  Overdue – ▶drop–down listing showing the type of overdue action the user wants to search by: Forms, Closed Investigations, Pending Adjudications, Suitability Certificates, or Clearance Certificates.◀

  ▶Explanation of each Overdue Report Selection:◀

  - Forms – ▶Selecting this search criterion under "Overdue:" will show all forms that have not been submitted to OPM within the timeframe goal of 14 days by Reviewer.◀
  - Closed Investigations – ▶Selecting this search criterion under "Overdue:" will show all closed investigations that have not been adjudicated within the timeframe goal of 30 days from the OPM Closing BI date by Adjudicator.◀

- Pending Adjudications – ▶Selecting this search criterion under "Overdue:" will show all pending adjudications that have past due response deadlines.◀
- Suitability Certificates – ▶Selecting this search criterion under "Overdue:" will show all completed Public Trust adjudications where the signed Certificate of Suitability has not been returned within 5 days from the adjudication date.◀
- Clearance Certificates – ▶Selecting this search criterion under "Overdue:" will show all completed national security adjudications where the signed Certificate of Clearance has not been returned within 5 days for No Access cases and within 30 days for cases requiring a security briefing.◀
- ▶Staff Stats by Reviewer – This report will show all completed actions that a Reviewer has accomplished in a given timeframe. If the user selects a name under REVIEWER, the report will produce numbers for the "Pending Corrections" and the "Forms to OPM" fields.
- Staff Stats by Adjudicator – This report will show all completed actions that a Specialist has accomplished in a given timeframe. If the user selects a name under ADJUDICATOR, the report will produce the total number of "Pending Adjudication", "Adjudicated", "Suitability Granted", and "Clearance Eligibility" actions.◀

Overdue OPM Actions – ▶This report will show investigative requests submitted to OPM by PDSD that have not been completed (closed) within the requested timeframe (day service). This report will automatically eliminate any inactive records.

Public Trust selections will pull all records with a Risk/Sens Level of Moderate Risk or High Risk from the Investigations screen and National Security selections will pull all records with a Risk/Sens Level of Noncritical Sens, Critical Sens, or Special Sens.

If the "Day Service" field has "Priority" selected, the report should list all records where a form was submitted to OPM over 90 days ago. If the "Day Service" search field has "Standard" selected, the report should list all records where a form was submitted to OPM over 180 days.

The following search options are included:

- Type of Position: (drop–down listing showing Public Trust or National Security)
- Day Service: (drop–down listing showing Priority/35–day and Standard/75–day/120–day).◀

PDSD Stats – ▶The results on this report are reflected as totals. This report **will not** eliminate inactive records from its totals. The following search options are available:

- Show Results For: drop–down listing each of the titles below and an ALL option with ability to make multiple selections using CTRL key
- Timeframe: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX

The following areas are calculated:

Number of Total Forms Rec'd by PDSD: within the date parameters, number of records completed (Not NULL) under the "Received by PDSD" field

Number of Forms Rec'd by PDSD PER AGENCY: break out Total Forms Rec'd by PDSD result into how many were received from each agency

Number of Forms Sent to OPM: within the date parameters, number of records completed (Not NULL) under the "Sent to OPM" field

Average Forms Processing Time: within the date parameters, average time between the "Received by PDSD" and "Sent to OPM" dates

Number of Unacceptable Forms Returned: within the date parameters, number of records completed (Not NULL) under the "Returned Unacceptable" field

Number of Investigations Closed: within the date parameters, number of records completed (Not NULL) under the "Investigation Closed" field

Number of Adjudications Completed: within the date parameters, number of records completed (Not NULL) under the "Adjudicated" field

Average Adjudication Processing Time (Closed to Adjudication): within the date parameters, average time between the "Investigation Closed" and "Adjudicated" dates

Average Adjudication Processing Time (Receipt to Adjudication): within the date parameters, average time between the "Closed Received" and "Adjudicated" dates

Number of Suitability Factors Addressed by Type: broken out by each factor, total number of times a factor was addressed within the given timeframe; timeframe based on "Adjudicated" field

Number of Security Factors Addressed by Type: broken out by each factor, total number of times a factor was addressed within the given timeframe; timeframe based on "Adjudicated" field

Number of Letter of Interrogatories (LOI) Issued: within date parameters, number of records that have "Letter of Interrogatory (LOI)" selected under the 'Type of Correspondence/Action" field on the Adjudication Management subscreen

Number of Statement of Reasons (SOR) Issued: within date parameters, number of records that have "Statement of Reasons (SOR)" selected under the 'Type of Correspondence/Action" field on the Adjudication Management subscreen

Number of Drug & Alcohol Questionnaires Issued: within date parameters, number of records that have "Drug & Alcohol Questionnaire" selected under the 'Type of Correspondence/Action" field on the Adjudication Management subscreen

Number of Dual Citizenship Questionnaires Issued: within date parameters, number of records that have "Dual Citizenship Questionnaire" selected under the 'Type of Correspondence/Action" field on the Adjudication Management subscreen

Number of Interim Clearances Granted: within the date parameters, number of interim clearances granted broken down by clearance levels Confidential, Secret, and Top Secret; select ”Interim” under the ’Clr Type’ field and then separate between ’Clr Type’

Number of Conditional Clearances Granted: number of records that have ”yes” selected under the ’Eligibility Exceptions” field on the Clearance screen and the ”Effective” date is within the date parameters

Number of Final Clearances Granted: within the date parameters, number of Final clearances granted broken down by clearance levels Confidential, Secret and Top Secret; select ”Final” under the ’Clr Type’ field and then separate between ’Clr Type’

Number of Clearances Suspended: number of records that have ”Suspended” selected under the ’Clearance Status” field on the Clearance screen and the ”Effective” date is within the date parameters

Number of Clearances Revoked: number of records that have ”Revoked” selected under the ’Clearance Status” field on the Clearance screen and the ”Effective” date is within the date parameters

Number of Clearances Denied: number of records that have ”Denied” selected under the ’Clearance Status” field on the Clearance screen and the ”Effective” date is within the date parameters

Number of Suitability Determinations: within the date parameters, number of Suitability determinations approved broken down by risk levels; Records with ”Suitability Granted” field completed (NOT NULL) and then separated between ’Risk/Sensitivity Level’ moderate or high risk

Number of SCI Briefings: within the date parameters, number of employees/contractors who were ”Briefed” into Special Access, regardless of compartment received, as shown under the ’Special Access’ screen

Number of SCI Terminations: within the date parameters, number of employees/contractors who were ”Terminated” from Special Access, regardless of compartments held, as shown under the ’Special Access’ screen

Number of Annual Refresher Briefings: within the date parameters, number of employees/contractors who received their ”Annual Security Refresher” briefing as shown under the ’Briefing’ screen

Number of Collateral Debriefings: within the date parameters, number of employees/contractors who received a ”Debriefing” as shown under the ’Briefing’ screen

Number of Reciprocity Actions: within the date parameters, number of clearances granted where the ’Yes’ box is checked under ”Granted via Reciprocity” field◀

Special Access – ▶This report will list employees holding Sensitive Compartmented Information (SCI) compartments, NATO access, or Q (DOE) access.

The following search options are included:

- Agency: drop–down box listing all USDA agencies and an ALL option. Ability to select more than one agency name if needed.
- Status of Access: drop–down box listing the following options: Approved, Briefed, Terminated, ALL; The "Approved" option will pull all records that have a date in the "Approved" field for a compartment, but no date in the "Briefed" or "Terminated" field. The "Briefed" option will pull all records that have a date in the "Briefed" field, but no date in the "Terminated" field. The "Terminated" option will pull all records that have a date in the "Terminated" field. The "ALL" option, will pull all records within the Special Access table. Ability to select more than one status if needed.
- Compartment Level(s): drop–down box listing the following: BYE, HCS, SI, G, TK, Q, ALL (ALL should include any blank fields); Ability to select more than one compartment if needed.
- Briefed Timeframe: ability to enter timeframe parameters manually or via calendar selections. If no timeframe is entered, records from all periods, including blanks, will appear.◀

Annual Security Briefings – ▶This report will allow the user to pull a report showing all individuals who are due for an annual security briefing. This report will automatically eliminate any inactive records.

The following search criteria are included:

- Agency: drop down box listing the name of each agency and agency code, such as "01 – Office of the Secretary"; allow for multiple selections using the CTRL button
- Briefing Type: drop–down listing showing the following options: Annual Security Refresher, Annual SCI Refresher
- Annual Briefing Due: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX
- If the selected "Briefing Type" is 'Annual Security Refresher', the system will pull any records where the latest "Initial Security Indoc", "Revalidation", or "Annual Security Refresher" is dated over one year from the selected parameters.

Open Reciprocity Requests – This report will allow the user to pull a report showing all reciprocity requests that have not been completed (adjudicated). This report will automatically eliminate inactive records.

The following search criteria are included:

- Adjudicator: select the name of the assigned Adjudicator or ALL of all records◀

▶Agency Reports

The following is a description of the reports available under the Agency section.

Periodic Reinvestigations – This report will show which employees are due for a reinvestigation within a particular agency. This report will automatically eliminate any inactive records. The reinvestigation date is automatically calculated and populated in the "Reinvestigation Due" field on the Investigation Detail screen.

The following search criteria are included:

- Agency: drop down box listing the name of each agency and agency code, such as ”01 – Office of the Secretary”; allow for multiple selections using the CTRL button
- Clearance Level: drop down box listing the different clearance levels, to include an ALL option; allow for multiple selections using the CTRL button
- Risk/Sens Level: drop down box listing the different sensitivity levels, to include an ALL option; allow for multiple selections using the CTRL button. NOTE: this data will pull from the ”Risk/Sensitivity Level” field under the ’Investigation Details’ screen and NOT the Position Sensitivity Code controlled by HR on the Employee Details screen
- Reinvestigation Due: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX

Clearances by Agency – This report will allow agencies to pull clearance listings within their agency. For example, all employees holding a Top Secret clearance. This report will automatically eliminate any inactive records. This report is sorted by agency and alphabetized within each agency. The following search options are included:

- Agency: drop–down listing showing each agency and agency code, such as ”01 – Office of the Secretary”. Allows for multiple selections using the CTRL button.
- Clearance Level: drop–down listing showing C (Confidential), S (Secret), T (Top Secret), IS (Interim Secret), and IT (Interim Top Secret). Allows for multiple selections using the CTRL button.
- Duty Station: (OPTIONAL) drop–down listing showing all U.S. states plus U.S. territories. Allows for multiple selections using CTRL button.

Overdue Appointment Suitability/Security Taskings – This report will list new appointments placed in Moderate Risk, High Risk, Non-Critical Sensitive, Critical Sensitive, or Special Sensitive positions that have not submitted new paperwork to initiate their suitability or security background investigation to PDSD within 14 days from appointment. This report will automatically eliminate any inactive records.

NOTE: The ”Position Sensitivity Code” queried in this report will come from the ’Employee Details’ page from the Position Management System vs. the ’Investigation Details’ page entered by PDSD

NOTE: The ”Employee Tasked” field for this report is pulled from the ’Security Package’ screen vs. the ’Entry on Duty (EOD)’ screen.

The following search options are included:

- Agency: drop–down listing showing each agency and agency code, such as ”01 – Office of the Secretary”; allow for multiple selections using the CTRL button
- Sensitivity Level: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX
- Entered Agency: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX to search the ”Entered Agency” field

Overdue Appt NACI Taskings – This report will list the names of new appointments placed in Moderate Risk, High Risk, Non–Critical Sensitive, Critical Sensitive, or Special Sensitive positions that have NOT submitted new paperwork to initiate their suitability or security background investigation to PDSD within 14 days from appointment. This report will automatically eliminate any inactive records.

NOTE: The "Position Sensitivity Code" queried in this report will come from the 'Employee Details' page from the Position Management System vs. the 'Investigation Details' page entered by PDSD.

NOTE: The "Employee Tasked" field for this report is pulled from the 'Security Package' screen vs. the 'Entry on Duty (EOD)' screen.

The following search options are included:

- Agency: drop–down listing showing each agency and agency code, such as "01 – Office of the Secretary"; allow for multiple selections using the CTRL button Sensitivity Level: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX
- Entered Agency: the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX to search the "Entered Agency" field

Contractor Employees – This report will list all Contractors/Volunteers within a particular agency. This report will automatically eliminate any inactive records.

The following search options are included:

- Agency: (drop down box listing the name of each agency and agency code, such as "01 – Office of the Secretary"; allow for multiple selections using the CTRL button)

Suitability/No Access Determinations – This report will allow agencies to pull suitability and no access national security determinations within their agency. This report will eliminate all inactive records.

The following search options are included:

- Agency: drop–down listing showing each agency and agency code, such as "01 – Office of the Secretary". Allows for multiple selections using the CTRL button
- Risk/Sensitivity Level: drop–down listing showing Moderate Risk, High Risk, Noncritical Sensitive, and Critical Sensitive. Allows for multiple selections using the CTRL button
- Granted: (OPTIONAL) the ability to enter their own date parameters, XX/XX/XXXX to XX/XX/XXXX

Personnel Actions – This section includes basic HR reports on Accessions, Separations, Changes

Investigations by Org Code – This report will allow HR offices to pull, by their agency and then by the specific Org Structure Code (at least down to the third or fourth level), a list of completed investigations. This report will automatically eliminate any inactive records.

The following search options are included:

- Agency Name: drop down box listing the name of each agency and agency code, such as "01 – Office of the Secretary"; allow for multiple selections using the CTRL button
- Org Structure: drop down box listing the different clearance levels, to include an ALL option; allow for multiple selections using the CTRL button
- Timeframe: the ability to enter your own date parameters, XX/XX/XXXX to XX/XX/XXXX (optional)

Agency Stats – Similar to the PDSD Stats report that is currently available under Administrative reports, this report that will show, within any timeframe, the number of forms submitted to OPM, the number of closed cases received, and the number of completed adjudications by each agency from the **Entry on Duty** screen.

The results on this report are reflected as totals and not lists of records. This report **does not** eliminate inactive records from its totals.

The following search criteria are included:

- Show Results For: drop–down listing each of the titles below and an ALL option with ability to make multiple selections using CTRL key
- Timeframe: the ability to enter your own date parameters, XX/XX/XXXX to XX/XX/XXXX

The areas that calculated are:

- Number of Total Forms Rec'd by HR: (within the date parameters, number of records with a date (Not NULL) in the "Received by HR" field)
- Number of Forms Sent to OPM: (within the date parameters, number of records completed (Not NULL) under the "Sent to OPM" field)
- Average Forms Processing Time: (within the date parameters, average time between the "Received by HR" and "Sent to OPM" dates)
- Number of Unacceptable Forms Returned: (within the date parameters, number of records completed (Not NULL) under the "Returned Unacceptable" field)
- Number of Investigations Closed: (within the date parameters, number of records completed (Not NULL) under the "NAC–NACI Closed" field)
- Number of Pending Adjudication Actions: (within the date parameters, number of records with a date (Not NULL) in the "Pending Adjudication" field. NOTE: New field)
- Number of Adjudications Completed: (within the date parameters, number of records completed (Not NULL) under the "NAC–NACI Adjudicated" field)
- Average Adjudication Processing Time: (within the date parameters, average time between the "NAC–NACI Closed" and "NAC–NACI Adjudicated" dates)
- Number of Favorable Determinations: (within the date parameters, number of adjudications with "Approved" selected on the Entry on Duty screen)
- Number of Denied Determinations: (within the date parameters, number of record with a completed "NAC–NACI Adjudicated" date with "Denied" selected on the Entry on Duty screen)

Low Risk Determinations – Similar to the existing report for Suitability/No Access Determinations, this report will allow you to run a report, within any timeframe, to show who was found favorable to occupy a Low Risk position as shown on the **Entry on Duty** screen. This report will eliminate all inactive records.

The following search criteria are included:

- Agency: drop–down listing showing each agency and agency code, such as ”01 – Office of the Secretary”; allow for multiple selections using the CTRL button
- Granted: (OPTIONAL) the ability to enter your own date parameters for the Adjudication Date, XX/XX/XXXX to XX/XX/XXXX

HR Staff Stats – Similar to the Staff Stats report for PDSD under the Administrative reporting section, this report will show all completed actions that a Reviewer or a Specialist has accomplished in a given timeframe in HR per the **Entry on Duty** screen. This report will not eliminate inactive records.

The following search criteria are included:

- Reviewer: text field for the user to enter the last name to obtain results on the number of e–QIP forms released, **or**
- Adjudicator: text field for the user to enter the last name to obtain results on the number of investigations adjudicated
- Timeframe: the ability to enter your own date parameters, XX/XX/XXXX to XX/XX/XXXX

Employee Investigations/PSD – This report will show, by selected agency, the position sensitivity level (from the Employee details screen) vs. the Type of Investigation (latest one, from either the Investigation details screen or Entry on Duty) that was conducted. Agencies can use this report to correct discrepancies with the position designation that originates in PMSO (or entered manually in webSETS for contractors).

The following search criteria are included:

- Agency: drop–down listing showing each agency and agency code, such as ”01 – Office of the Secretary”; allows for multiple selections using the CTRL button
- *Personnel Type: drop–down listing to select ALL, Federal, or Contractor records
- Position Sensitivity: drop–down listing showing the different levels of risk and sensitivity levels; allows for multiple selections using the CTRL button
- *Entered Agency: the ability to enter your own date parameters for the date the employee entered the agency per the Employee Details screen, XX/XX/XXXX to XX/XX/XXXX◀

*Pending update

Appendixes

This section contains the following appendixes:

A. Types of Investigation – Others

Public Trust Positions

MBI–15	The MBI is the initial investigation for Moderate Risk positions. Use the SF85P, Questionnaire for Public Trust Positions, to request this investigation. Case service code A does not relate to case completion time, rather it refers to expedited law record searches.
NACL–08	The NACLC is the proposed reinvestigation type for Moderate Risk Public Trust positions. Use the SF85P to request this investigation.
BI– 25	The BI is the initial investigation for High Risk positions. Use the SP85P to request this investigation.
PRI–11	The PRI is the proposed reinvestigation type for High Risk Public Trust positions. Use the SP85P to request this investigation.

National Security Positions

ANACI–09	The ANACI is the initial investigation for Non–Critical Sensitive positions at the Confidential or Secret level. Use the SF86, Questionnaire for National Security Positions, to request this investigation.
NACLC–08	The NACLC is the reinvestigation type for Non–Critical Sensitive positions at the Confidential or Secret level. Use the SF86 to request this investigation.
SSBI–30	The SSBI is the initial investigation for Critical Sensitive or Special Sensitive positions at the Top Secret or TS/SCI level. Use the SF86 to request this investigation.
SSBI–PR–18	The SSBI–PR is the reinvestigation type for Critical Sensitive or Special Sensitive positions at the Top Secret or TS/SCI level **IF** there **ARE** self–disclosed security concerns on the questionnaire. Use the SF86 to request this investigation.
PPR– 19	The PPR is the reinvestigation type for Critical Sensitive or Special Sensitive positions at the Top Secret or TS/SCI level **IF** there **ARE NO** self–disclosed security concerns on the questionnaire. Use the SF86 to request this investigation.

Highlights

Eliminated Investigations

LBI
PRIR
PTSBI
BGI

Reciprocity

There will be no negative effect on reciprocity as a result of the aligned OPM investigative products as of FY11. All old investigations will stand. For example. we can accept a previously completed LBI for a Moderate Risk position.

B. Other Investigating Agency

Code	Definition
AC	ACTION
AT	Bureau of Alcohol, Tobacco, and Firearms
BE	Bureau of Engraving and Printing
CI	Central Intelligence Agency
CO	Department of Commerce
CU	Customs Service
DE	Drug Enforcement Agency
DS	Defense Investigative Service
FB	Federal Bureau of Investigation
GA	General Accounting Office
ID	Agency for International Development
IR	Internal Revenue Service
MS	U. S. Marshal Service
NI	Naval Investigation Service
NS	National Security Agency
OP	Office of Personnel Management
OT	Other
SS	Secret Service
ST	State Department

C. OPM Extra Coverage Codes

Code	Definition
1	Overseas (Subject & Spouse)
2	Credit
3	Advanced Report Of NAC
4	Managerial & Supervisory
5	Public Contact
6	Law Enforcement
7	Attached Information, Issues Or Requests By The Agency
A	Investigator Positions
B	Astronaut Positions
C	Fellow Positions
D	Executive Exchange Positions
E	Activities In Hostile Countries
F	CIA
G	Spouse CIA
H	INS
I	Spouse INS
J	Selective Service
K	State Department Security
L	BVS
M	Lexis/Nexis
N	Pre-Appointment Investigation
P	DEA Special Agent Update
Q	DEA Special Agent Applicant
R	By-Pass Administrative Edits In Data Entry
X	Schedule FP/FBI Items; Agency Will Reimburse OPM
Y	Criminal Justice Position

D. Role Definitions

PDSD Administrator – The PDSD Administrator role allows for full editing access to the system, to include all screens and reports, except those generated automatically by the Personnel/Payroll System. The PDSD Administrator will also have access to the Maintenance screen to make design modifications.

PDSD User – The PDSD User role allows for full editing access to all fields, except those generated automatically by the Personnel/Payroll system, on all screens. This role does have permission to use the "Certify a Clearance" tool. The following reports may be accessed under this role (may expand):

Staff Stats

Overdue Staff Actions

Forms on Hand chart

Closed Cases on Hand chart

Agency Security POC – The Agency Security POC role allows for read–only access on all screens except Adjudication Management and Special Access. Under the Employee Details screen, ability to ADD, SAVE, DELETE non–Fed records. Under the Entry on Duty screen, ability to ADD and SAVE. Under the Security Package screen, ability to ADD and SAVE in the following fields: Form Type, Employee Initiated, Received by POC, and Email Address. They will also have the ability to use the OPM e–QIP website link on this screen, as well as the Employee Email Notification tool. This role does not have permission to use the 'Certify a Clearance' tool. They will have access to the following reports (may expand):

Periodic Reinvestigation

Clearances by Agency

Accessions, Separations, and Changes

Overdue Appt Security/Suitability Taskings

Contractor Employees

Suitability/No Access Determinations

Agency Security POC – The Agency Security POC role allows for read–only access on all screens except Adjudication Management and Special Access. Under the Employee Details screen, ability to ADD, SAVE, DELETE non–Fed records. Under the Entry on Duty screen, ability to ADD and SAVE. Under the Security Package screen, ability to ADD and SAVE in the following fields: Form Type, Employee Initiated, Received by POC, and Email Address. They will also have the ability to use the OPM e–QIP website link on this screen, as well as the Employee Email Notification tool. This role does not have permission to use the 'Certify a Clearance' tool. They will have access to the following reports (may expand):

Periodic Reinvestigation

Clearances by Agency

Accessions, Separations, and Changes

Overdue Appt Security/Suitability Taskings

Contractor Employees

Suitability/No Access Determinations

HR User – HR offices will be required to update ▶web◀SETS on all background investigations conducted at the time of hiring, such as NAC and NACI's. The HR User role allows for read−only access on all screens except the Adjudication Management and the Special Access. This role has the ability to ADD, SAVE, and DELETE non−Fed records under the Employee Details screen and on all fields on the Entry on Duty screen and the Reciprocity screen. This role can update the non−automated fields from the Personnel/Payroll system on the Employee Details screen. This role does not have permission to use the 'Certify a Clearance' tool. They will have access to the following reports (may expand):

Accessions, Separations, and Changes

Overdue Appt NAC/NACI's

Overdue Appt Security/Suitability Taskings

Contractor Employees

Suitability/No Access Determinations

Auditor – Read−only access to all screens except Adjudication Management and Special Access.

Heading Index

This index provides an alphabetical list of all headings in the procedure. When a heading is referenced, you can use this index to locate the page number.

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