



Version	Date	Author	Description of Change
1.2	2/26/14	[REDACTED]	Incorporates updated USGS guidance on physical security and Information Technology (IT) access requirements
1.3	4/22/14	[REDACTED]	Added requirement for completion of Volunteer Services Agreement Form OF-301A by the USGS Sponsor of a volunteer.

USGS EROS ADMINISTRATIVE PROCEDURE

COORDINATION:

[REDACTED]

EROS Director

Deputy Director

Administrative Officer

SUBJECT / TITLE: In-Processing of Non-Federal Personnel

DATE: April 22, 2014

VOL / INDEX #: EROS-GEN-07

PREPARED BY: Copies will be provided to:
[REDACTED]

Preparer Date Supervisor Date

OTHER COORDINATION: GS-N-EDC Federal Employees
CORs distribute to contracts.

STATUS: X Permanent
___ Temporary

EXPIRATION DATE: April 21, 2016

PROCEDURE / MEMO: ___ Original
X Supersedes EROS-GEN-07 In-Processing of Non-Federal Personnel, 2/26/14

ATTACHMENT TO: N/A

PURPOSE: To serve as a procedure for in-processing newly reporting non-Federal personnel.

UTILIZATION: X Daily, ___ Weekly, ___ Monthly, ___ Other (specify other)

TEXT: Procedure follows on next page.

1.0 References.

- DOI-Access Card Program; <http://internal.usgs.gov/smartcards/>
- Interior Property Management Directives DM 114-60 (410 Addition); http://www.doi.gov/pam/programs/property_management/index.cfm
- Updated Guidance on Physical Security and Logical (Information Technology) Access Requirements for Employees, Contractors, Affiliates, and Visitors (USGS AEI memo – 9/27/2013) <http://internal.usgs.gov/ops/security/smartcards/references.html>
- Checklist for Processing Employees, Contractors, Affiliates, and Visitors
- USGS Physical Security Program, Survey Manual 440.2; <http://www.usgs.gov/usgs-manual/410/440-2.html>
- DOI IT Security Policy Handbook, <http://internal.usgs.gov/gio/security/>
- USGS Records Management Program, Survey Manual 431-1; <http://www.usgs.gov/usgs-manual/410/431-1.html>
- EROS-GEN-18 Affiliate Personnel (≥ 180 days) Sponsorship and Support; https://edchome.cr.usgs.gov/#/Shared/EROS_Policies_Procedures/Home
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2.0 Purpose.

This procedure establishes U.S. Geological Survey (USGS) Earth Resources Observation and Science (EROS) Center's in-processing policy for contractor personnel and sponsored visitors. It applies to personnel located at either EROS or a remote site facility if he/she requires regular access to the EROS facility or to EROS Information Technology (IT) systems. This procedure addresses physical security standards, computing resources protection, Government records management responsibilities, personal conduct requirements, and ensures familiarity with EROS.

3.0 Definitions.

Contracting Officer's Representative (COR) – A Federal employee appointed by a Contracting Officer to a specific Contract Number for a specific named Project Title and Location with responsibility for technical oversight, contract administration, and day-to-day inspection of the work to be performed.

In-Processing Personnel – A person who enters on duty at EROS as an employee of an on-site contractor, or is sponsored by the USGS. This does not include Federal employees of the USGS EROS or other Federal agency employees; in-processing for these people is covered under EROS-GEN-14 In-Processing of Federal Personnel. Hereafter "in-processing personnel" is referred to as "employee".

Sponsored Visitor/Personnel – A person who stays at EROS for usually longer than two weeks, has a USGS Sponsor, and is not connected to an on-site contract. If there

is doubt about whether or not a visitor needs to be in-processed, the USGS sponsor will make the determination. However, if the person is granted access to EROS systems they are considered to need in-processing regardless of the length of their visit. Examples of sponsored personnel include visiting scientists, Intergovernmental Personnel Act Agreements (IPAs), and USGS volunteers.

Supervisor – A contractor who supervises or manages an EROS contract employee.

Transferring Personnel – A person working at EROS who is transferring from one employer to a different employer (e.g., employee working for one EROS contract company becomes the employee of a different EROS contract company).

USGS Sponsor – A Federal employee who is responsible for support of sponsored visitor/personnel working at EROS who are not covered by a contract for which a COR has been assigned. See the referenced EROS-GEN-18 Visitor Sponsorship and Support procedure for more information.

4.0 Procedure.

4.1 Roles and Responsibilities.

CORs are responsible for ensuring that the contracts they oversee comply with this procedure. If an EROS contractor does not have a Human Resources (HR) representative onsite, the USGS COR for that contract will be responsible for ensuring all HR office in-processing functions are completed. New physical security and information (IT) access requirements went into effect in 2010. As a result, there are now a number of required steps to ensure new contractor staff have access to EROS IT systems. Details are available in the Appendix A.

The **EROS Information Security Office (EISO)** oversees the status of Active Directory (AD) accounts required for credentialed access to the USGS systems and networks. When the AD account for a new contractor becomes active, the EISO notifies the COR that the account is now active and eligible for further account creation as required.

Contractor HR Offices are responsible for initiating the in-processing of their employees and performing the steps outlined in Section 4.2.

The **Badging Office** issues parking passes and information to the employee on physical facility access during in-processing steps. Office hours are Monday – Thursday, 9:00 – 11:00 a.m. for day shift personnel, and 3:30 – 4:00 p.m. for night shift personnel.

The **Supervisor** is the key facilitator in the employee's transition to the new work situation. The Supervisor completes his/her portion of the "Checklist for EROS In-Processing of Non-Federal Personnel" (Appendix B) and explains any unique

contract policies for the work group. The Supervisor performs steps outlined in Section 4.2.

USGS Sponsors, for the purpose of this procedure, will complete the same actions assigned to “Contract HR Offices”, “COR”, and “Supervisor” for their sponsored visitors and volunteers outlined in Section 4.2.

The Employee/Visitor/Volunteer will immediately begin working with his/her Supervisor or Sponsor to complete all the requirements of the “Checklist for EROS In-processing of Non-Federal Personnel” (Appendix B) within the first 5 working days of employment. The Employee is required to sign the EROS Checklist acknowledging having completed all necessary in-processing steps.

Transferring Personnel must follow the EROS Checklist to ensure that all appropriate steps are taken, such as reinitiating system access, reissuing of identification badges, and updating employee directory records. Personnel transferring from one EROS employer to another are required to out-process and then in-process. Transferring Personnel must sign the EROS Checklist as acknowledgement of having completed all necessary in-processing steps. If the transferring person had access to the computer rooms, archives, etc., under their old contract employer, that access will be revoked and will require a new EROS Card Key Access form to be submitted requesting permissions identified by their new employer. Note: personnel who transfer from one position to another without changing contracts (e.g., Technical Support Services Contract (TSSC) Operations to TSSC System Engineering) do **not** complete in-processing; however, the prior manager and acquiring manager shall ensure appropriate changes in personnel computers, databases and cardkey access are implemented. (For the remainder of this procedure references to “employee” include both in-processing and transferring personnel.)

The **EROS Physical Security Manager** offers quarterly (or as needed) training sessions on physical security and safety to USGS employees. This training is also open to contractor employees. The Physical Security Manager verifies the EROS Checklist has been turned in for all new employees.

The **EROS Archivist** provides records management requirements training to in-processing personnel during the quarterly session mentioned above.

4.2 Procedure.

More detailed information relating to current in-processing steps for non-Federal staff is located at <https://edchome.cr.usgs.gov/#/Shared/ASB/Security>. In general:

The **Contractor HR Office (or USGS Sponsor for Sponsored Visitors/Volunteers)** will take the following actions:

- Ensures the electronic Personnel Security Action Request Form 9-3056 and DOI Access Request are submitted by the time a hiring selection has been made or when the initial background information packet is submitted to the USGS Regional Security Office.
- (For volunteers only) The USGS Sponsor ensures the OF-301A Volunteer Services Agreement for Natural Resources Agencies form is filled out for all volunteers and signed.
- Encourages new employee to get fingerprinted at Credentialing Center as soon as possible.
- Provides employee with the Rules of Behavior for the Computer Systems of the USGS EROS when offer is accepted, and returns signed form to Center Information Technology Team (CITT).
- When notified of an employee's entry-on-duty date, sends an EROS e-mail notification to the Bison group "GS-N-EROS Emp In-Processing" in the following format:

E-mail Subject Line: In-Processing (Employee's Name), (Effective Date)

Body of Message:

In-Processing

Employee Name: XX

Contract Affiliate: XX

Directorate/Division: XX

Effective Date: XX

Supervisor or Functional Manager/Sponsor: XX

Comments: (If necessary)

- Greets the employee at the Main Lobby entrance (Door S2) and asks the security guard to issue a visitor sticker.
- Ensures any privately owned property entering with the employee is inventoried and reported on a property pass.
- When possible, accompanies employee to various points of contact for completing Appendix B.
- Orients the employee on expectations of personnel conduct at a USGS facility.
- Gives the employee the "Checklist for EROS In-Processing of Non-Federal Personnel".

After HR submits the Form 9-3056, the **COR** is notified by email and electronically signs the employee's 9-3056. This signature notifies the DOI Access System that the appropriate employee in-processing steps have been completed. Additionally, the COR completes the on-line DOI Access Expedited Account Request Form for the employee, and when notified by the EROS IT Security Manager that an Active Directory (AD) account is active, contacts Desktop Support Services to setup the employee's user account. When the

COR is notified by the DOI Access Program that the Federal Bureau of Investigation (FBI) fingerprint check results are in, he/she in turn notifies the EROS Physical Security Manager and the Contract HR.

The **EROS Badging Office** issues the employee a DOI badge once the FBI fingerprint check comes back approved. Until that time the new employee will be issued a temporary ID. The employee is required to leave a Government-issued picture ID (e.g., State driver's license) with the security guard until the temporary ID is returned. (This is a daily requirement until a permanent ID is issued.)

As the **Employee** completes the EROS Checklist, several of the various blocks have a space for the printed name and signature of the area representative authorized to initial and oversee the task delineated in the respective block.

The **Supervisor/USGS Sponsor** insures the new employee has the equipment he/she needs to begin work and sees that appropriate system access forms are submitted. When the EROS Checklist is complete the Supervisor/Sponsor ensures the completed form is returned to the Badging Office.

5.0 Appendices.

Appendix A. (1) Memorandum on Updated Guidance on Physical Security and Information Technology (IT) Access Requirements for Contractor and Other Affiliate Personnel. (2) USGS Checklist of In-Processing of Contractor/Other Affiliate Personnel Security Scenarios.

Appendix B. Checklist for EROS In-Processing of Non-Federal Personnel.

Appendix A. (1) Memorandum on Updated Guidance on Physical Security and Information Technology (IT) Access Requirements for Contractor and Other Affiliate Personnel. (2) USGS Checklist of In-Processing of Contractor/Other Affiliate Personnel Security Scenarios.

In Reply Refer To:
Mail Stop 201
GS12000989

September 27, 2012

Memorandum

To: Cost Center Managers

From: Diane K. Wade
Associate Director for Administration and Enterprise Information
and Acting Associate Director for Human Capital

Subject: Updated Guidance on Physical Security and Logical (Information Technology) Access Requirements for Employees, Contractors, Affiliates, and Visitors

The purpose of this memorandum is to provide updated guidance for physical security and logical (information technology) security access in accordance with new Department of the Interior (DOI) policy, "Policy for the Issuance, Management, and Use of Federal Personal Identity Verification (PIV) Cards (DOI Access Cards)".

This memorandum supersedes the memorandum entitled "Updated Guidance on Physical Security and Information Technology (IT) Access Requirements for Contractor and Other Affiliate Personnel" issued on December 21, 2010. A copy of the memorandum is located at <http://communities.usgs.gov/blogs/news/2010/12/23/updated-guidance-on-physical-security-and-information-technology-it-access-requirements-for-contractor-and-other-affiliate-personnel/>. Please note that the new guidance contains significant changes to requirements and procedures.

A summary of the new categories of personnel and the corresponding DOI Access requirements is found below. For specific requirements and procedures please refer to the checklist located at <http://internal.usgs.gov/ops/security/smartcards/docs/Updated%20Guidance%20on%20Physical%20and%20IT%20Access%20Checklist%20June%202012.docx>. "Affiliates" are defined as volunteers, Scientist Emeriti, cooperators, visiting scientists, and so forth:

- For all USGS Civil Service employees, DOI Access registration and all associated paperwork are required.
- For contractors and other affiliates requiring regular and recurring physical access for 180 days or more, and (or) logical (information technology) access for any duration of time, DOI Access registration and all associated paperwork to initiate background investigation are required.

- For contractors and other affiliates requiring only regular and recurring physical access for less than 180 days, only a favorably adjudicated Federal Bureau of Investigation (FBI) fingerprint check is required.
- Contractors or other affiliates who require only intermittent physical access will be processed as visitors.
- Visitors who require logical (information technology) access must either be restricted to an internet only zone or through a technical solution that allows access to only those resources deemed necessary for mission related activities. Technical solutions for restricted internal logical access specific to a visitor's mission must be documented in a request memorandum from the site IT Security POC and be pre-approved by the Information System Security Officer and the System Owner or no access other than "Internet only" will be granted.

For the first two cases bulleted above, DOI Access registration and all affiliated paperwork will result in the issuance of a DOI Access card in the majority of cases. There may be some situations where a card cannot be issued due to remote locations or length of appointment. These situations will be handled on a case-by-case basis through the processing Human Resources or Security Office.

Please note that a DOI Access card may be issued before the results of the background check are available. If the results are not favorable, the physical and logical access must be terminated immediately and the DOI Access card must be confiscated.

To assist Managers, Supervisors, and Contracting Officer Representatives (CORs) during the in-processing of employees, contractors, affiliates, and visitors, the checklist will provide guidance on the minimum security requirements for access to Federally-controlled facilities and IT resources under a variety of scenarios. Cost Center Managers should ensure that Managers, Supervisors, Administrative Officers, and CORs responsible for these processes receive a copy of this guidance.

If you have questions regarding physical access requirements, please contact [REDACTED] Security Management Branch, at [REDACTED]. For questions regarding logical (information technology) access requirements, please contact [REDACTED] Information Security Officer, at [REDACTED].

Appendix A (Continued). USGS Checklist of In-Processing of Contractor/Other Affiliate Personnel Security Scenarios.

<p>Situation</p> <p>1. Contractor or other affiliate (Volunteer, Scientist Emeriti, Cooperator, Visiting Scientist, etc.) who requires regular and recurring physical access and/or regular and recurring logical access for 180 days or more to a federally-controlled facility and/or Information Technology (IT) system.</p> <p>* logical access - defined as requiring a USGS User Login Account</p>	<p>Minimum Requirements for Access</p> <p>Physical Access – Request the initiation and adjudication of a favorably adjudicated FBI Fingerprint Check for issuance of a DOI-Access card along with a scheduled background investigation meeting the investigative (NACI or higher) requirements for the position in accordance with the DIAPR 2010-04. Individual is screened as a visitor according to local security requirements before the DOI-Access card is issued. If the FBI Fingerprint Check or final background investigation adjudication is unacceptable, physical access must be terminated immediately and the DOI-Access card is confiscated.</p> <p>Logical Access - Request the initiation and adjudication of a favorably adjudicated FBI Fingerprint Check for issuance of a DOI-Access card along with a scheduled background investigation meeting the investigative (NACI or higher) requirements for the position. If an expedited logical access request is necessary while the FBI Fingerprint Check and investigation are being conducted, see: http://ead.usgs.gov/doiaccess_scenarios.html If the FBI Fingerprint Check or final background investigation adjudication is unacceptable, logical access must be terminated immediately and the DOI-Access card is confiscated.</p>
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<p>2. Contractor or other affiliate (Volunteer, Scientist Emeriti, Cooperator, Visiting Scientist, etc.) who requires regular and recurring physical access and/or regular and recurring logical access for less than 180 days to a federally-controlled facility and/or Information Technology (IT) system.</p> <p>* logical access - defined as requiring a USGS User Login Account</p>	<p>Physical Access – Process individual as a visitor meeting local security requirements for a visitor’s badge. May issue a Temporary Access Badge based on a favorably adjudicated FBI Fingerprint Check.</p> <p>Logical Access - Request the initiation and adjudication of a favorably adjudicated FBI Fingerprint Check. If an expedited logical access request is necessary while the FBI Fingerprint Check is being conducted, see: http://ead.usgs.gov/doiaccess_scenarios.html If the FBI Fingerprint Check adjudication is unacceptable, logical access must be terminated immediately.</p>
<p>3. Contractor or other affiliate who requires only intermittent physical and/or logical access* to a federally-controlled facility and/or Information Technology (IT) system.</p> <p>*intermittent logical access - defined as vendor who is performing services requiring only intermittent logical access for maintenance of IT equipment on an “as needed” basis</p>	<p>Physical Access – Process individual as a visitor meeting local security requirements for a visitor’s badge.</p> <p>Logical Access - Supervised IT access for temporary circumstances where a USGS employee oversees the access.</p>
<p>4. Individuals requiring only internet access while visiting our facilities (e.g., news media).</p>	<p>Physical Access – Process individual as a visitor meeting local security requirements for a visitor’s badge.</p> <p>Logical Access - see: http://ead.usgs.gov/doiaccess_scenarios.html</p>
<p>5. Other scenarios handled on a case-by-case basis. If you have questions regarding the application of these requirements, please contact the USGS Bureau Security Manager at [REDACTED]</p>	



Appendix B. Checklist for EROS In-Processing of Non-Federal Personnel

Checklist Instructions: Completion of the Checklist is required for in-processing of personnel entering on duty at EROS as a non-Federal employee. Contract Human Resource Offices (and USGS Sponsors for sponsored visitors and volunteers) are responsible for ensuring the employee is aware of and completes the Checklist within 5 working days of his/her arrival to EROS. It applies to personnel located at EROS or a remote site facility if he/she requires regular access to EROS facilities or IT systems.

Name: _____ Ext: _____ Organization/Affiliation: _____ Start Date: _____
(Print Name of Employee/In-Processed Personnel)

Table with 2 columns: ACTION, Initials. Rows include Contract Human Resource (HR) Office, Contracting Officer's Representative (COR), Badging Office, and Property Office sections.

I certify that I have completed the Checklist in accordance with EROS-GEN-07 In-Processing of Non-Federal Personnel.

Signature: _____ Date: _____
(Employee/In-Processed Personnel)

Upon receipt of the completed original Checklist, the Badging Office will provide a copy to the contract's COR or USGS Sponsor.