Prepared for the

DEFENSE SECURITY SERVICE

NATIONAL INDUSTRIAL SECURITY SYSTEM (NISS)
USER GUIDE FOR EXTERNAL USERS
NISS-DOC-UG-CRQ3507
VERSION 1.0

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Revisions

Date	Version	Description of Change
07/25/2017	0.1	Increment I Initial version
09/27/2017	1.0	Address government review comments Incorporate application changes General cleanup

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1 Introduction

The U.S. Department of Defense (DoD) Defense Security Service's (DSS) National Industrial Security System (NISS) provides an integrated and automated Facility Clearances process for stakeholders under the National Industrial Security Program (NISP) operating under the NISP Operating Manual (NISPOM).

Existing users will be familiar with the overall business processes. While some business processes currently done manually will be automated in the NISS, the actual process will not change.

1.1 Purpose

The NISS External User Guide is to provide the NISP industry stakeholders with guidance on how to use the new system to process Facility Clearances.

This document will be updated as additional functionality is incorporated and released to the NISS users.

1.2 System Overview

The NISS is a web-enabled application providing automated lifecycle support for industry Facility Profiles under the DSS NISPOM. This includes:

- Submitting a Sponsorship Package
- Submitting a Facility Clearance Level (FCL) Package
- Submitting and Viewing Facility Clearance Verification Requests

1.3 User Guide Conventions

1.3.1 Screen Captures

The screen captures used through this user guide are expansive in presentation; all fields that can be triggered are displayed and described. This means that individual users may or may not see all the fields described as some fields are linked to responses. If a user selects a field a supporting field will be displayed; if they don't select the field, the supporting field is not displayed.

1.3.2 Instructions

Table 1 provides the conventions used in this instructions within this user guide.

Table 1. Instruction Conventions

Item	Convention	Examples
Keyboard keys	**[Enclosed In Brackets and Bolded]**	When complete, press the **[Enter]** key.
Options, buttons, icons, links, menu items, and hardware switches	**Bold**	Click the **Edit** icon.
Page and field names	Page names appear in title case and quotation marks.	After the information is processed, the "Facilities" page appears.

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Item	Convention	Examples
Expected results	*Italicized*	Click the **My Facilities** link. *The "My Facilities" page is displayed.*
The terms "click" and "select"	• Click a button. • Select an item from a menu.	• Click the **History** button. • Select the **Facilities Management** link from the "System Navigation" menu.
Notes highlight conditions or procedures that require emphasis	"NOTE" headings and instructions appear within a blue box.	See Figure 1-1 Sample Note below.
Tips provide helpful information	"*TIP*" headings and instructions appear within a green box.	See Figure 1-2 Sample Tip below.

The examples below display how a Note and a Tip will appear in this document.

Figure 1. Sample Note

NOTE

Do not use special characters, numbers, or name titles (e.g., Mr., Mrs., Jr., II, etc.) in the name fields. The maximum length of an office name, facility legal name, and street address is 200 characters. The maximum length of all other fields is 50 characters.

Figure 2. Sample Tip

TIP

For the fastest results, use only the Commercial and Government Entity (CAGE) Code. Adding additional information may increase the search time.

2   Getting Started

2.1   Pre-requisites

NISS is web-based and does not require an application to be installed; however, before you begin using NISS, verify that Microsoft Internet Explorer (v8.0 or greater) is installed on your computer.

Once the user account is created and the user logs into NISP Central Access Information Security System (NCAISS), the user will be able to request access to integrated applications/resources and access those applications/resources to which they are authorized.

2.1.1   Requesting Accounts

Instructions for establishing an account are located in the National Industrial Security Program (NISP) Central Access Information Security System (NCAISS) Project NCAISS User Guide, Version 1.3 or above. The NCAISS user guide covers information specific to NISS Internal and External account requests, approvals, and management.

2.1.2   Logging into the NISS System

Access to the NISS is through the Defense Security Service (DSS) enterprise single sign-on (SSO) service provided by NCAISS. All NISS users must have established an account with NCAISS before they can access the NISS.

2.2   Navigation

Many of the pages will span multiple screens and will require using the scroll bar on the right of the screen to navigate through all the material. The screen captures are displayed as would be seen on the screen and span multiple figures.

2.2.1   Dashboard

The first webpage a user sees, the dashboard, can be interactively designed with selected widgets to provide users with custom overviews that are visible to everyone, individually-assigned, assigned to specific roles, or to selected teams.

On accessing the NISS, the role-specific 'dashboard' is presented; this is the NISS home page for each user and is customized based on the user permissions within NISS. Figure 3 displays a sample of the NISS dashboard and provides a description of the dashboard elements.

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Figure 3. NISS Dashboard Sample
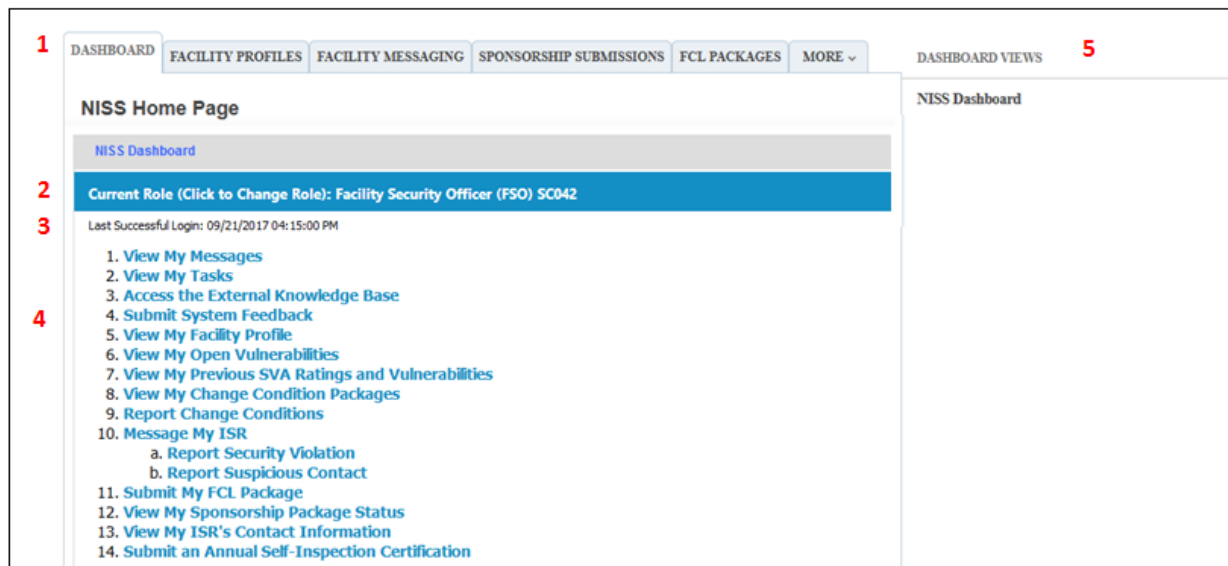
1.	**DASHBOARD.**	These tabs are for navigating within NISS by task type. The six (6) tabs shown here are default tabs for all NISS users; Dashboard, Facility Profiles, Facility Messaging, Sponsorship Submissions, FCL Packages, and More'. The "MORE" tab will expand out with additional options based the user role's authorizations.
2.	**Current Role.**	This is where the user's logged-in role is displayed and where a user can toggle to another role they have been authorized for. This is a drop-down list of roles you have been assigned to. You can go to your other role-based dashboards using this menu.
3.	**Last Successful Logon.**	For security purposes, all users are provided with a last login date and time. If you did not access the system on the stated date and time, contact security to investigate.
4.	*Ordered list:*	This list provides link-based task-based navigation within the NISS.
5.	**DASHBOARD VIEWS.**	This is a header for the filtered views.

2.2.2 Tabs

Tabs are core navigation controls with NISS. Tabs are unique to the role of the user. Once a user has logged on the tabs available will also vary based on the page the user is on. Instructions are included for alternate navigation through the instructions for executing a specific task further in this UG.

2.2.3 Links

Starting with the dashboard, links are integrated throughout NISS. The NISS dashboard incorporates the role-specific tasks authorized to the user in links under "I would like to….." header.

The links will be a subset of the catalog of tasks within the NISS application listed below. Not all links are available to all NISS roles and may not be available in the current increment.

- View My Messages
- Submit System Feedback
- View Facilities in my Organization
- View My Organization's Open Vulnerabilities
- View My Organization's Previous SVA Ratings and Vulnerabilities
- View My Open Vulnerabilities
- View My Previous SVA Ratings and Vulnerabilities
- View my Change Condition Packages (Open and Closed)
- Report Change Conditions

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- Report Security Violation
- Report Suspicious Contact
- Submit my FCL Package
- View my Sponsorship Package Status
- View My ISR's Contact Information
- Submit an Annual Self-Inspection Certification
- View My ISR's and ISSP's Contact Information
- View Open Sponsorship Requests
- View Previously Submitted Sponsorship Requests

2.2.4 Views

A view selects and organizes data for a single object. You can customize and save views by specifying column Order, adding Filters, and adding Computed Fields.

2.3 User Interface Data Entry/Selection

2.3.1 Information Fields

Table 2. Information Fields

Field	How to Use
Free Text	To edit open fields, click the field with the mouse, delete the old information if necessary, and enter the new information. Most of the free text fields offer a toolbar to insert content and apply formatting.
Text Field ✏	Select the pencil icon to open a field for text input.
Checkboxes	Used to select the item next to the box.
Drop-down Menus ⌄	To edit fields with dropdown options, click the arrow (⌄) to the right of the field to display the complete list of available values, and use the mouse to select an item from the dropdown options provided.
Multiple Select	To edit lists which allow multiple items to be selected, hold the **[Shift]** key to select a consecutive list or the **[Ctrl]** key to select individual values while clicking the mouse.
Date Pickers 📅	To select a date, click the Calendar icon on the right hand side of the element, and use the popup calendar to make your selection.
Search 🔍	Click on magnifying glass to start a search

2.3.2 Validation

The application validates certain input values throughout the application to assist users with entering correct values. When an invalid value is entered, the border of the input box and its label will be colored red. If any fields within a form are invalid, any **Save** button on that page will be grayed out until the error is corrected.

Table 3. Input Validation

Heading	Heading
Required Field	Denoted with red asterisk or annotated with "(Required)". These fields must have some value entered.
Email Address	Format must be 'name@organization'
Zip/Postal Code	Format must be 0-9 digits, #####-#### or ##### or #########
Social Security Number	Format must be 0-9 digits, ######### or ###-##-####
Date	If using the Calendar date picker function, the correct format will be applied. If manually entering the date, the format must be YYYY/MM/DD. Some date fields are restricted to specific criteria by the system. This would be if the date cannot be in the future or that the date must be in alignment to another date such as start and end dates (end date will be restricted to occur after start date).
File Name Length	If an uploaded document exceeds the file length threshold, an error will be displayed at the top of the page. For example,

2.3.3 Icons and Buttons Controls

Figure 4. Icon/Button Controls

Icons and Buttons	How to Use
Free Text	To edit open fields, click the field with the mouse, delete the old information if necessary, and enter the new information. Most of the free text fields offer a toolbar to insert content and apply formatting.
Text Field/Edit Icon ✎	Select the pencil icon to open a field for text input or to open a field to change the input.
Checkboxes	Used to select the item next to the box.
Drop-down Menus ⌄	To edit fields with dropdown options, click the arrow (⌄) to the right of the field to display the complete list of available values, and use the mouse to select an item from the dropdown options provided.

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Icons and Buttons	How to Use
Multiple Select	To edit lists which allow multiple items to be selected, hold the **[Shift]** key to select a consecutive list or the **[Ctrl]** key to select individual values while clicking the mouse.
Date Pickers	To select a date, click the Calendar icon on the right hand side of the element, and use the popup calendar to make your selection.
Search	Click on magnifying glass to start a search.
Save	The information is submitted to the record.
Return to dashboard	Display returns to the user's dashboard (home page).
Edit	Opens a window for editing the data field.
ⓘ	Information icon, returns information on the associated field.
✕	Close icon, closes current window.
▲▼	Sort ascending or descending icons.

2.3.4 Toolbars

Free text fields that display a toolbar as shown below offer Rich Text Formatting (RTF). The RTF toolbar provides controls and content controls. The text within the field can be formatted (Bold, italic, etc.) and hyperlinks and other capabilities are available.

Figure 5. Rich Text Toolbar

2.3.5 Pagination

Table 4 describes the pagination controls within the NISS application.

Table 4. Pagination Controls

Control	Description
Page	Current page as well as the total page count.
Items	Minimum and maximum record index for the current page.
Total Items	Total record count for the list.
Items Per Page	Drop-down specifying how many records of the list are shown at once. Selecting a new value will refresh the displayed list of records to the designed number.
First/Last	Displays the first or last page of the list.
Previous/Next	Displays the previous or next page of the list.

Control	Description
Numbered Pages	Displays the list results in pages; the current page is highlighted.

2.4 Data Validation Error Feedback

2.4.1 Error Notification

NISS provides multiple forms of error notification to the user. The examples below were taken from the FCL Package records.

2.4.1.1 Errors Identified in Navigation Buttons

When navigating the FCL Package, the NISS will highlight navigation buttons with errors that need to be addressed by highlighting the title in red as shown in Figure 6.

Figure 6. Navigation Button Error Notification
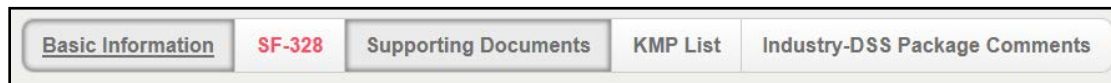
2.4.1.2 Required Field Information Missing

NISS provides field validation reporting for missing information as shown in Figure 7.

Figure 7. Field Validation - Required Information Missing Example

2.4.1.3 Incorrect Data Entry

NISS provides field validation reporting for incorrect data entry as shown in Figure 8.

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Figure 8. Field Validation - Input Incorrect Example
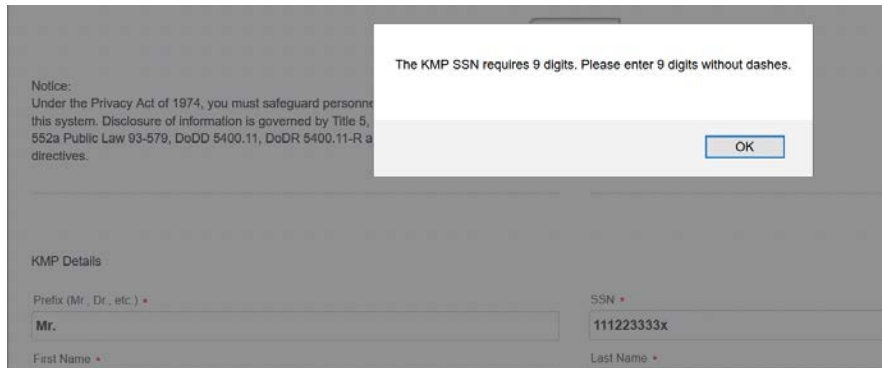
2.5 NISS Processing

2.5.1 Facility Clearance Processing

One of the reasons the DoD DSS Industrial Security Program, developed NISS was for contractors to submit facility clearance applications to DSS in an electronic format. The FCL facility clearance application, referred to as a "package", is electronically reviewed and processed by DSS Industrial Security personnel using NISS. This section of the NISS User Guide is designed to assist users of NISS who are external to DSS better understand how they go about applying for a clearance by submitting an FCL package. Contractor FCL Submission Packages contain all facility clearance forms submitted by a contractor for DSS review. An organization may have multiple packages in the NISS, but will only have one "open" package at a time. A package is considered "open" until a Final Determination is rendered.

2.5.1.1 Package Type(s)

There are two basic types of packages:

1.	Initial Package	Forms submitted by an organization to apply for a facility clearance for the first time or the first time the organization is entering data into the system.
2.	Changed Condition	(NISPOM 1-302g) Forms submitted when a significant change occurs at an organization that requires full review of an active facility clearance. This package type allows all previously submitted FCL information to be modified.

2.5.1.2 Initial Packages

Initial Packages contain all required standard facility clearance and Foreign Ownership, Control, or Influence (FOCI) forms and attachments based on the business structure of the contracting entity. Different forms may be required based on the business structure of the contracting entity but certain basic forms are required for all packages.

The system will automatically display and require the information the contractor must provide based on the business structure indicated when the company completed its registration in the NISS.

- SF-328 - Certificate Pertaining to Foreign Interests (exception: contractors operating under a consolidated SF-328 or as a branch or division)
- Summary FCL data
- Key Management Personnel (KMP) data

- Parents facility information (when applicable)
- Follow-up explanations or descriptions for each "yes" answer on the SF-328 (when applicable)
- Electronic copies of Articles of Incorporation, By-Laws, Meeting Minutes, and other corporate documents (when applicable)
- Exclusion Resolution documents (when necessary these documents are required by DSS via the NISS)
- Additional supporting documents as applicable based on business structure, mitigation requirements, or other factors
- Contractors who have submitted facility clearance packages can retrieve their data when it is time to submit an updated facility clearance package. Subsequent packages will be automatically populated based on previously submitted forms whenever possible rather than re-entering information already provided.

2.5.1.3   Submitting Sponsorship Requests

The Facility Clearance Branch (FCB) will only be responsible for companies that are in-process for a new facility clearance. Once the DD-254 and sponsorship submission request from a sponsor are received for a company via the NISS, the FCB will register that company with an assigned Commercial and Government Entity (CAGE) Code.

The contracting company Facility Security Officer (FSO) will receive a "Welcome" e-mail from the NISS once the company has been registered. The Welcome e-mail will provide instructions for logging into the NISS. The FSO, or someone they delegate, will serve as the company's point of contact for the NISS. This point of contact will provide basic information about the company once they log into NISS and proceed to the forms and documents they are required to provide to DSS.

The FSO is the person designated to receive all of the organization's e-mail correspondence generated by the NISS and update organizational information as needed.

If there is a FSO change, (the FSO should contact their ISR (via the NISS dashboard option "Message My ISR") informing them of the FSO change.

2.5.1.4   Submitting FCL Packages

When the Sponsorship Submission request has been successfully submitted and has been approved by DSS, an initial FCL Package will be created and automatically populated with the relevant information provided on the Sponsorship Submission. The FSO or person designated by the FSO can access their FCL Package via the NISS dashboard by selecting "Submit My FCL Package". This is how the company point of contact can complete and submit their FCL Package to DSS.

NISS provides contractors with an easy process for completing facility clearance submission packages. They may go in and out of the process (via "Submit My FCL Package" on the NISS dashboard) as many times as needed while entering information. The FCL package will not be evaluated by DSS industrial security personnel until after the final submission of the package. Before an FCL package can be submitted, it must contain all data and document attachments required for your company's clearance application submission.

To submit a completed FCL Package, the FSO simply clicks the "Submit" button at the bottom of their FCL Package form. If information or document attachments are missing or appear to be incorrect, NISS will display messages informing you what is wrong. An FCL Package cannot be successfully submitted until these issues are corrected.

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2.5.1.5   FCL Package Review

All DSS industrial security personnel will use the NISS to review the contents of facility clearance packages submitted by contracting companies in order to analyze the SF328 and accompanying document attachments as well as to render determinations for facility clearances.

3 All Users

3.1 NISS Home Page, the "DASHBOARD" tab

Once logged on through NCAISS, the NISS dashboard is displayed as shown in Figure 9. Each user's dashboard will be tailored for their specific role. The role-based tasks available to the individual's role are displayed under the NISS dashboard heading as links. The instructions throughout this guide will start with "From the NISS dashboard" as each user's dashboard is unique to their role and tasks can be performed by multiple roles.

Figure 9. NISS Dashboard
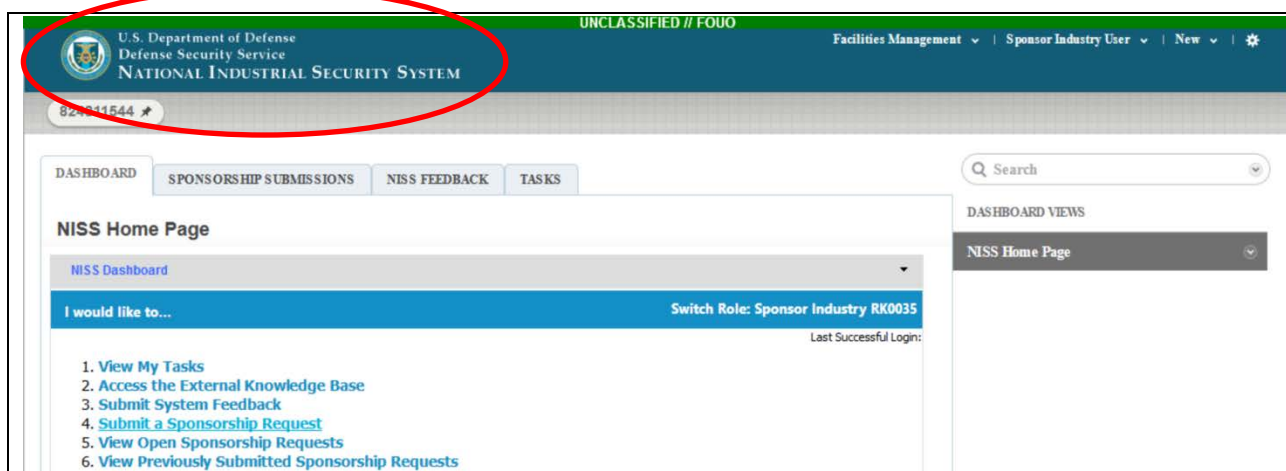
3.2 Access DSS' Homepage

From the dashboard,

1. Click **DSS icon** in the upper left corner of the page as shown in Figure 10.

Figure 10. NISS Dashboard - Link to DSS Home Page
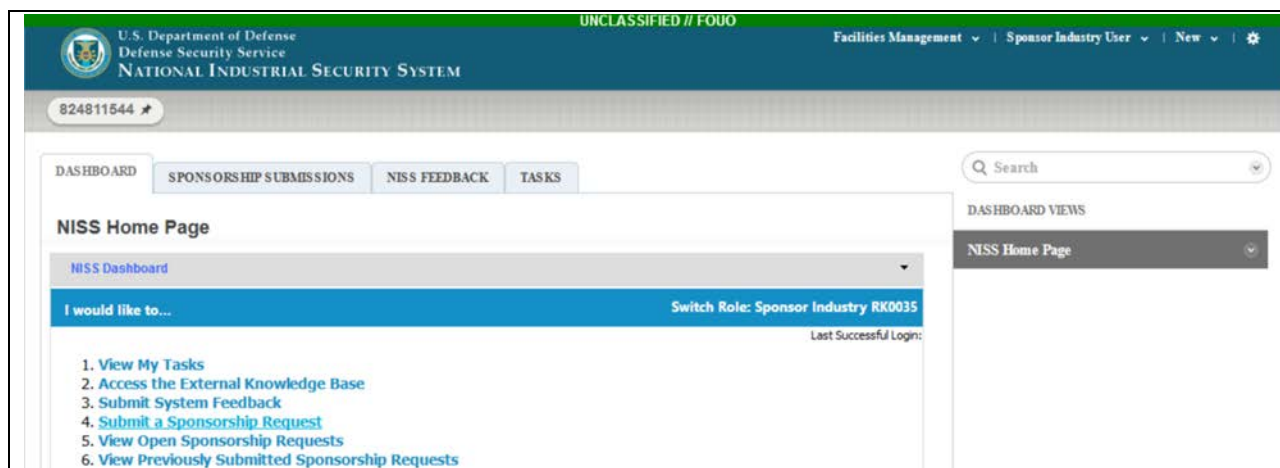
The DSS Home Page is displayed as shown in Figure 11.

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Figure 11. DSS Home Page

3.3   Messages

3.3.1   *View My Messages*

From the NISS dashboard,

1.   Click **View My Messages** link.

The *"FACILITY MESSAGING"* tab is displayed as shown with "View My Message" default list view as shown in Figure 12.

Figure 12. Facility Messaging Tab

3.3.2 Reply to Message

To send a Reply to a message, such as received in Facility Profiles, Section 4.2.2.2.5.4.

1. Click *on Message to open and reply to.*

Figure 13. Message List

2. Click *Message to open*.

The Message - Basic Information page is displayed as shown in Figure 14.

Figure 14. Message- Basic Information Page

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3. Click **ADD REPLY** as shown above.

The Message - Basic Information page is displayed as shown in Figure 15.

Figure 15. Message- Basic Information Page

4. Click **Send Message**.

The "FACILITY MESSAGING" message list is updated with the "Reply Status" as "Reply Unread" as shown in Figure 16.

Figure 16. Facility Messaging List with Unread Reply

3.3.3 New Message (Message My ISR)

From the NISS dashboard,

1. Click **Message My ISR** as shown in Figure 17.

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Figure 17. Dashboard - Message My ISR
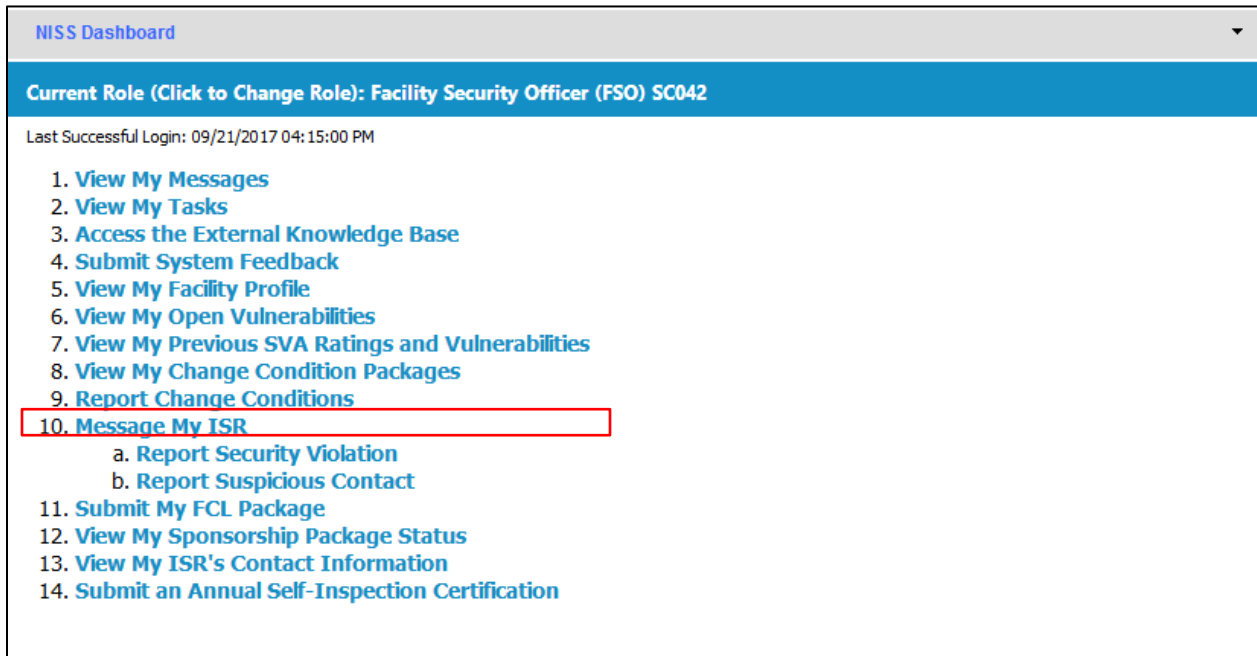
The "New Facility Messaging" page is displayed as shown in Figure 18.

Figure 18. New Facility Messaging Page
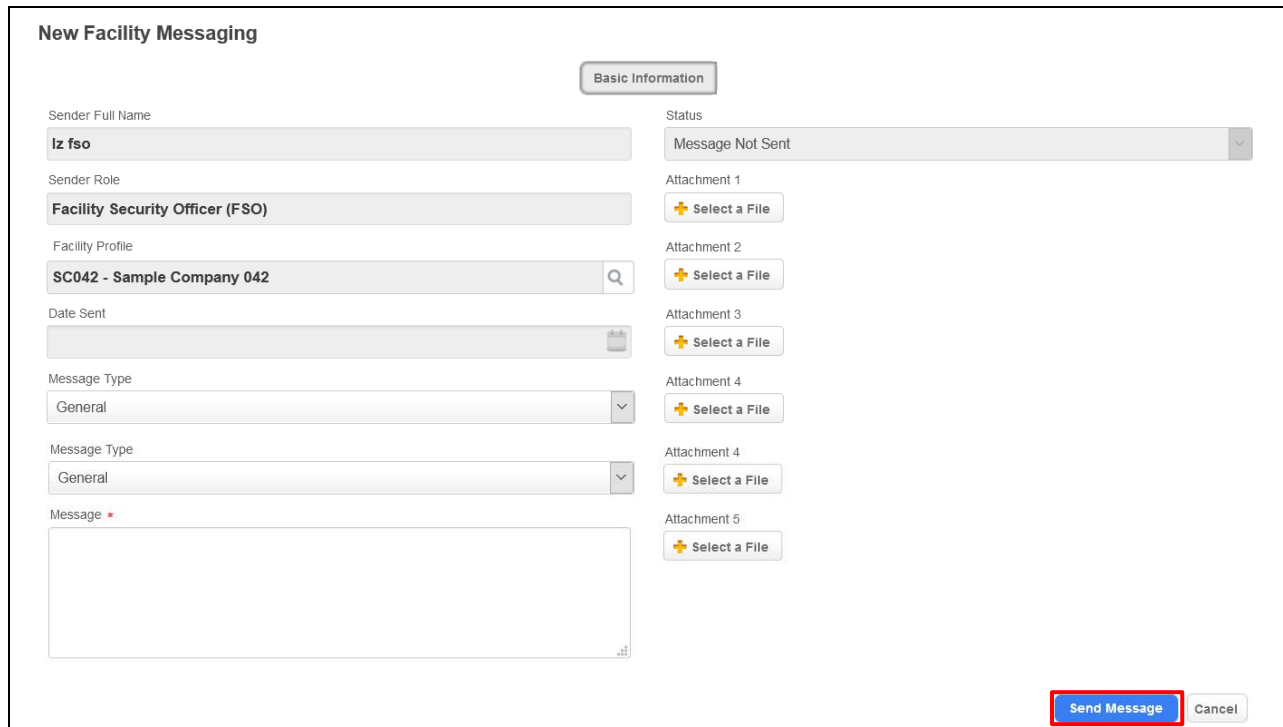
2. Enter as much information as appropriate.

    The fields for "Facility Messaging: General" are described in Table 5.

Table 5. Facility Messaging: General Fields

Field	Values
Sender Full Name	Automatically Populated
Sender Role	Automatically Populated
Facility Profile	Using the Search symbol, Select the **Facility Profile**
Date Sent	Automatically Populated
Message Type	Using the picklist, Click **the Message Type** *(General, Suspicious Contact Report, Security Violation, and FOCI Annual Certification)*
Message*	Enter [**Message text**]
Status	Automatically Populated
Attachment 1	Click **+Select a File** Double-click **File to be uploaded**
Attachment 2	Click **+Select a File** Double-click **File to be uploaded**
Attachment 3	Click **+Select a File** Double-click **File to be uploaded**
Attachment 4	Click **+Select a File** Double-click **File to be uploaded**
Attachment 5	Click **+Select a File** Double-click **File to be uploaded**

3. Click **Send Message**.

3.4 Tasks

3.4.1 View My Tasks

From the NISS dashboard,

1. Click **View My Tasks** link as shown in Figure 19.

Figure 19. Dashboard - View My Tasks Link
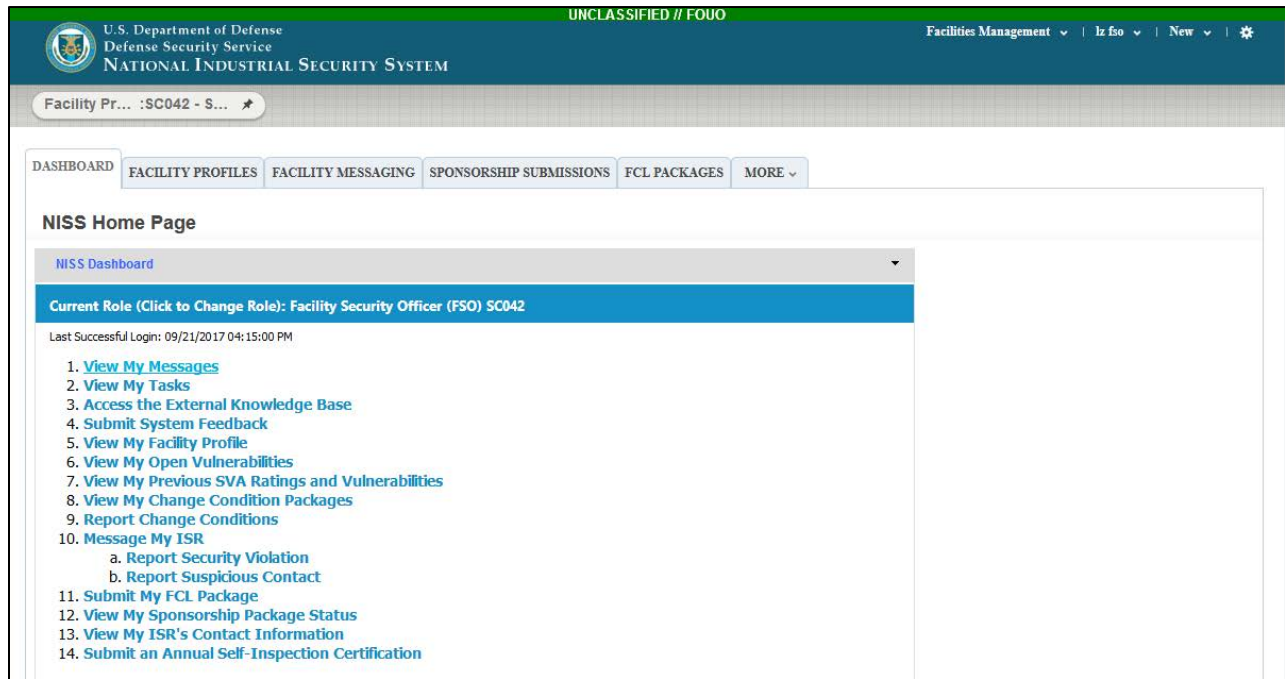
The "TASKS" tab is displayed showing tasks filtered in a view specifically to tasks assigned to the user, "*My Tasks*", as shown in Figure 20.

Figure 20. Tasks Tab - My Tasks View
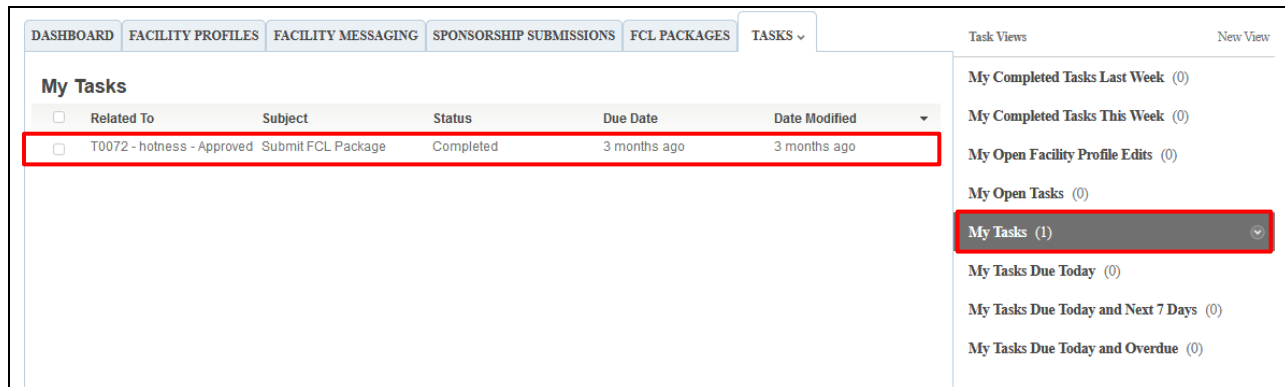
2. Click **Task** to open and view the task

The selected task page is displayed as shown in Figure 21.

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Figure 21. Open Task

3.5 Access the External Knowledge Base

The Knowledge Base contains links to external resources and articles posted by other NISS users.

From the NISS dashboard,

1. Click **Access the External Knowledge Base** link.

    The dashboard displays the "Popular Help Items" page as shown in Figure 22.

Figure 22. Popular Help Items
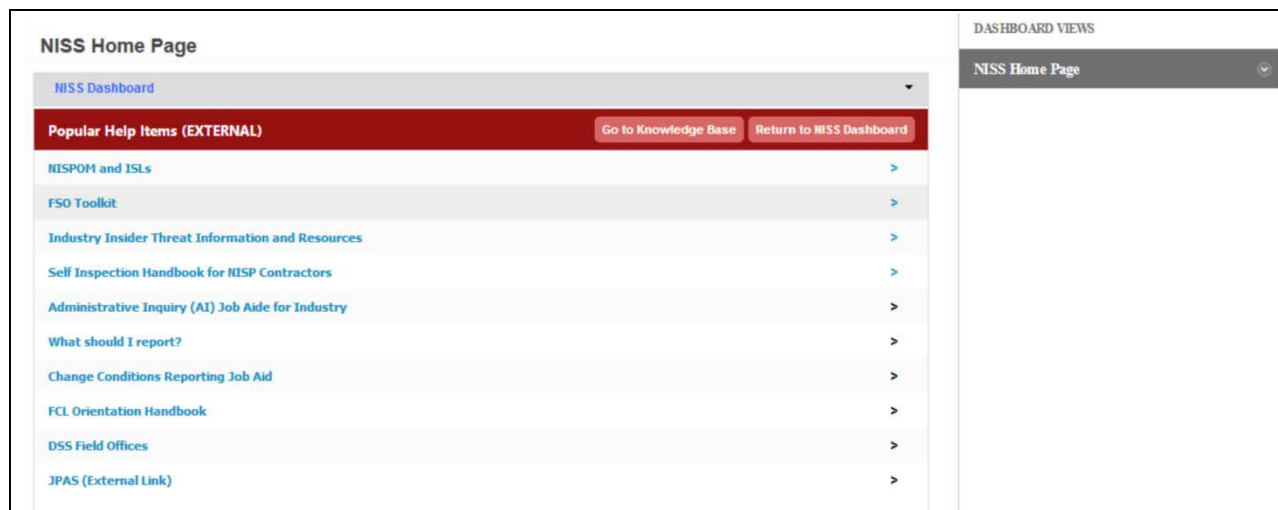
Table 6 lists *Popular Help Items* links and their contents.

Table 6. Popular Help Items

Popular Help Items	Descriptions
NISPOM and ISLs	National Industrial Security Program Operating Manual (NISPOM) DOD 5220.22-M and Industry Security Letters (ISLs). NISPOM: Provides baseline standards for the protection of classified information released or disclosed to industry in connection with classified contracts under the National Industrial Security Program (NISP). ISLs: Industrial Security Letters (ISLs) are issued periodically to inform cleared contractors, government contracting activities and DoD activities of developments relating to industrial security. These letters are for information and clarification of existing policy and requirements.
FSO Toolkit	This link is to the CDSE site. The toolkit identifies resources to aide individuals performing the FSO role.
Industry Insider Threat Information and Resources	This link is to the CDSE site. The web page contains links to training products on the deterrence, detection and mitigation for the Insider Threats.
Self-Inspection Handbook for NISP Contractors	This link is to the CDSE site. The link is to the pdf *Self-Inspection Handbook for NISP Contractors.*
Administrative Inquiry (AI) Job Aide for Industry	This link is to the CDSE site. The toolkit provides instructions for conducting an AI.

Popular Help Items	Descriptions
What should I report?	This link is to the CDSE site. The link is to the job aid "What Should I Report?" in pdf format. The pdf consists of a table that lists by topic and NISPOM cross-reference *what* is to be reported, *how* to report it, and what role/organization is to be the *recipient* of the report.
Change Conditions Reporting Job Aid	This is a link to a pdf on CDSE Job Aide on change conditions. The job aid assists security personnel with practical guidance for Change Conditions reporting. It does not replace or modify directions found in the NISPOM, or Industrial Security Letters issued by DSS.
FCL Orientation Handbook	This link is to the CDSE site's Facility Clearance site's pdf of the handbook. The handbook identifies resources to aid the FSO in understanding facility clearances.
DSS Field Offices	This link is to the DSS Field Office Locations site. The field offices for Industrial Security Representatives fall under four separate regions: the Northern Region, the Capital Region, the Western Region, and the Southern Region.
JPAS (External Link)	This external link is to the Joint Personnel Adjudication System (JPAS) system.

2. Click **Go to Knowledge Base** shown in blue in Figure 23.

Figure 23. Go to Knowledge Base Link

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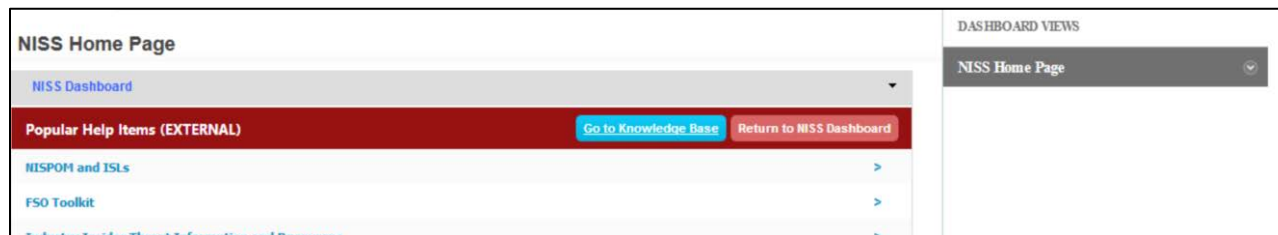
3.5.1 Knowledge Base Tab (Articles)

The "KNOWLEDGE BASE" tab is displayed as shown in Figure 24.

Figure 24. Knowledge Base tab - Default View
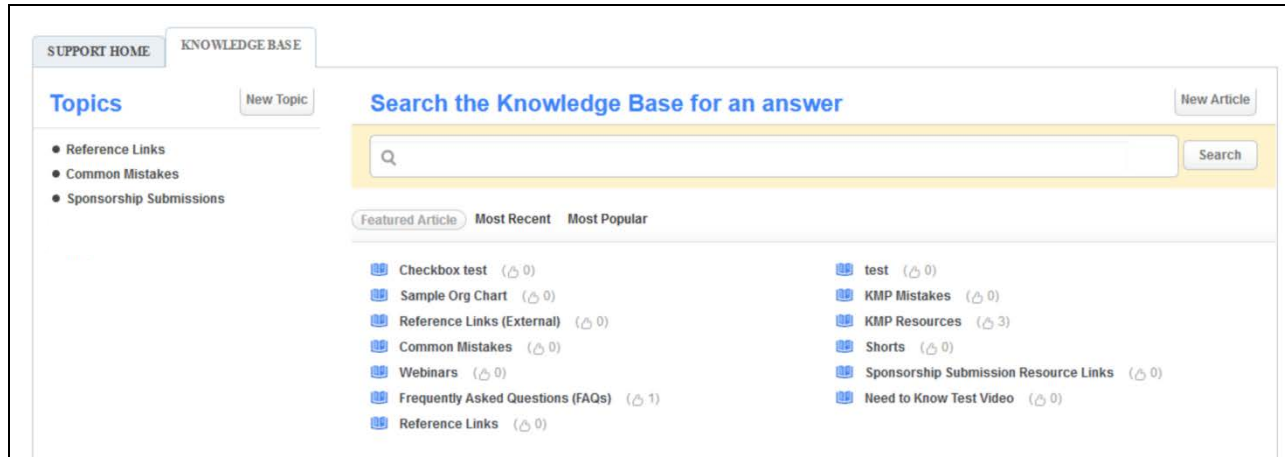
Table 7 lists the *Knowedge Base Topics* links and their contents.

Table 7. Knowledge Base Topics

Topics	View Contents
Reference	
Common Mistakes	
Sponsorship Submission	
FAQS	

3.5.1.1 Search Knowledge Base for an Article

On the "Knowledge Base*"* tab,

1. Enter [***Keyword***] into the *Search the Knowledge Base* field

2. Click **SEARCH** as shown in Figure 25.

Figure 25. Knowledge Base - Search

Search results are displayed as links to articles as shown in Figure 26.

Figure 26. Knowledge Base - Search Results
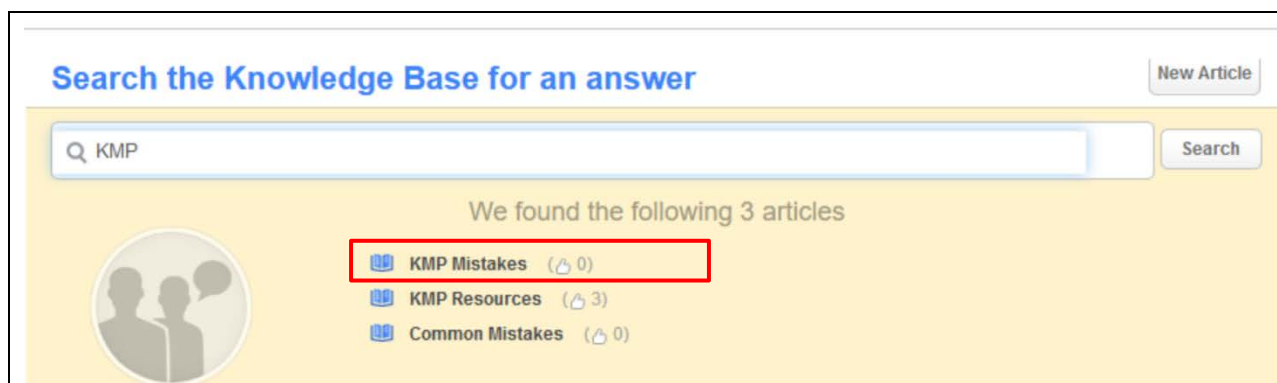
To view an article,

1. Double-Click *an Article to view* and it is displayed within the "Knowledge Base" tab as shown in Figure 27.

Figure 27. Open Knowledge Article
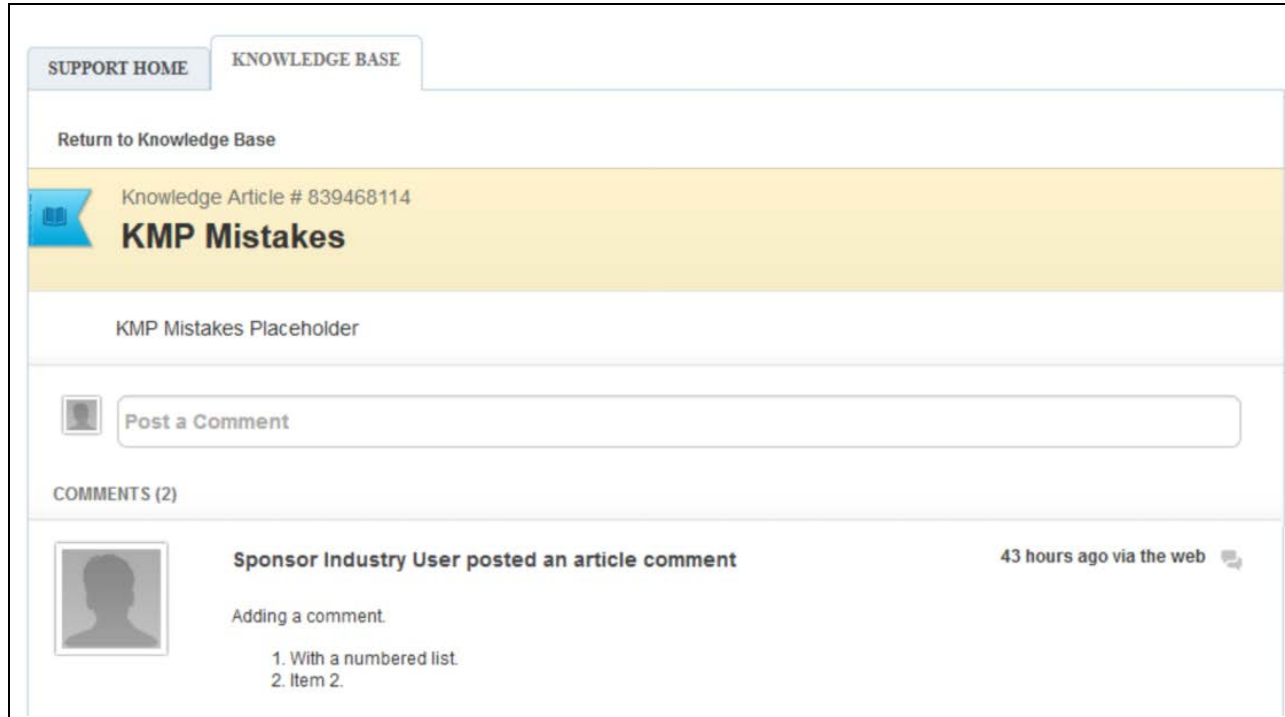
3.5.1.2   Vote on an Knowledge Base Article

1. On the "Knowledge Base" tab, go to the right side of the page under *Summary* as shown in Figure 28.

Figure 28. Article Voting

2. Click **LIKE**, the number of people listed to the right will increase by one.

3.6 Submit System Feedback

From the NISS dashboard,

1. Click *Submit System Feedback*.
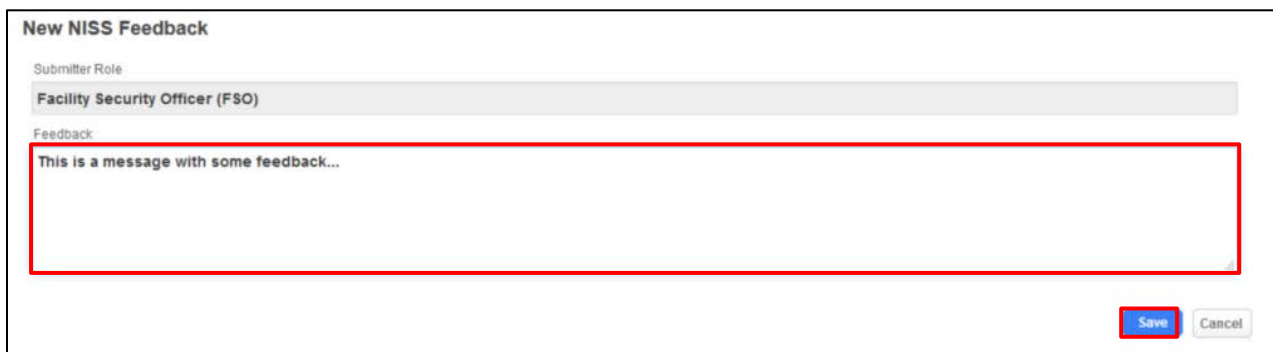
    The NISS displays the "New NISS Feedback" popup as shown in Figure 29.

Figure 29. NISS Feedback Field

2. Enter **[text]** as shown in Figure 30.

Figure 30. NISS Feedback - Sample Text

3. Click *Save.*

    NISS will assign a number in the upper right hand corner and list the feedback under *Activity History* at the bottom of the page as shown in Figure 31.

> **NOTE**
> NISS assignment of a feedback number is a system record number and is not applicable to the user (user cannot use the number to retrieve the feedback entry).

Figure 31. NISS Feedback in Activity History Pane

4   External Users (Industry)

4.1   Sponsorship Packages

4.1.1   Submit a Sponsorship Request

From the NISS dashboard,

1. Click **Submit a Sponsorship Request** link. The "New Sponsor Submission" page is displayed with tabs for:
   - Instructions
   - Sponsored Facility Information
   - Business Information
   - FSO Information
   - Contact Information
   - Program-Specific GCA POC
   - Sponsor Information
   - Upload Support Documents

4.1.1.1   Instructions Tab

From the NISS dashboard,

1. Click **Submit a Sponsorship Request** link.

   The "New Sponsorship Submission" page is displayed showing the "Instructions" tab titled "FACILITY CLEARANCE (FCL) SPONSORSHIP INSTRUCTIONS" (see Figure 32)

2. **Read** the instructions using the **scroll bar** on the left side to scroll through the text.

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Figure 32. Instructions Page

After reading,

3. Click
   - **Save** *(to commit entered or altered input)*
   - **Cancel** *(to not save any changes)*

4.1.1.2 Sponsored Facility Information Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.
2. Click **Sponsored Facility Information** tab.

The content of the "Sponsored Submission Information" page is displayed as shown below in Figure 33.

NOTE
If there is not an assigned CAGE Code, a temporary CAGE code may be requested by following the directions on the screen; this temporary CAGE Code is good for 19 days. If a permanent CAGE Code is not acquired and entered by 20 days into the FCL process, the FCL process for this facility will be discontinued. Click the Information icon, ⓘ , for additional information.

Figure 33. Sponsored Facility Information Page

3. Enter as much information as appropriate.

> **NOTE:**
> The fields that require data are designated by either a "*" or "(Required)
> in the field table below.

The fields for "Sponsored Facility Information" are described in Table 8.

Table 8. Sponsored Facility Information Fields

Field	Values
CAGE Code*	Enter [**Facility Cage Code**]
Facility Legal Name*	Enter [**Facility's Legal Name**]
Check the box below if the Sponsored Facility does not have an assigned CAGE Code. I request that the DSS assign a temporary CAGE Code in Order to initiate the facility clearance (FCL) process. I understand and have advised the sponsored facility that a facility cannot complete the FCL process without a permanent CAGE Code and that the FCL process for this facility will be discontinued if a permanent CAGE Code is not obtained by day 20 of the FCL process. Please visit www.sam.gov to obtain or update a CAGE Code.	
No Assigned CAGE Code checkbox	Click the **checkbox**
1a. Physical Street Address 1 (Required)	Enter **[Facility's Physical Street Address]**
1b. Physical Street Address 2	Enter **[Facility's Physical Street Address 2]**
1c. Physical City Address (Required)	Enter **[Facility's Physical Street Address 2]**
1d. Physical State (Required)	Using the picklist, Click *the State*
1e. Physical Zip Code (Required)	Enter **[Facility's Physical Zip Code]**
2. Company Website	Enter **[Company's Website]**

If the Sponsored Facility has Other Registered Names,

4. Click **Add Record.**

The "Add Record" page is displayed as shown in Figure 34.

Figure 34. New Sponsored Submission Tab - Add Record

5. Enter as much information as appropriate.

NOTE:
The fields that require data are designated by either a "*" or "(Required) in the field table below.

The fields for "Add Record" are described in Table 9.

Table 9. New Sponsored Submission Tab - Add Record Fields

Field	Values
Alias Type *	Using the picklist, Click *the Alias Type*
Alias Name*	Enter **[Alias Name]**

6. Click
   - **Save** *(to commit entered or altered input)*
   - **Cancel** *(to not save any changes)*

4.1.1.3 Business Information Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link
2. Click **Business Information** tab.

    The content of the "Business Information" pages is displayed as shown in Figure 35.

Figure 35. Business Information Page

3. Enter as much information as appropriate.

The fields for "Business Information" are described in Table 10.

Table 10. Business Information Fields

Field	Values
3. Date of Incorporation/Organization (Required)	Using the calendar icon, navigate to the appropriate date and Click *the date*.
4. State of Incorporation/Organization (Required)	Using the picklist, Click *a state*.
5. Business Structure (Required)	Using the picklist, Click *a Business Structure*
Note: DSS does not process new FCLs for division or branch offices that will not require Safeguarding for contract performance under DSS Cognizance.	
This is a branch/division office	Click **checkbox**
5a. Please provide home office CAGE Code (Note: If the Home Office is not cleared please submit a Sponsorship for that CAGE Code as well)*	Using the Search symbol, Select the **Sponsor CAGE Code**
Note: In order to be eligible for an FCL, a JV must also be a legal entity (e.g., a Corporation or LLC) and must be populated as required by NISPOM 1-201, 2-102b, and 2-104.	
6. Is the legal entity organized and existing in one of the 50 United States or DC or U.S. Territories? (Required)	Select **Yes** or **No**
7. Facility Located on Government installation? (Required)	Select **Yes** or **No**
8. Facility holds FCL with another Government agency besides DSS? (Required)	Select **Yes** or **No**
8a. Specify Government Agency	Using the picklist, Click *a Government Agency*
9. Primary Type of Business (Required)	Using the picklist, Click *a Business Type*
10. Principal Product/Service (Required)	Using the picklist, Click *Product/Service.*

4. Click
   - **Save** *(to commit entered or altered input)*
   - **Cancel** *(to not save any changes)*

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4.1.1.4   FSO Information Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.
2. Click **FSO Information** tab.

The content of the "FSO Information" page is displayed as shown in Figure 36.

Figure 36. FSO Information Page

3. Enter as much information as appropriate.

The fields for "FSO Information" are described in Table 11.

Table 11. FSO Information Fields

Field	Values
11a. FSO Legal First Name (Required)	Enter **[FSO Legal First Name]**
11b. FSO Legal Last Name (Required)	Enter **[FSO Legal Last Name]**
11c. FSO Phone (Required)	Enter **[FSO Phone]**
11d. FSO Email (Required)	Enter **[FSO Email]**
11e. FSO Phone Extension	Enter **[FSO Phone Extension]**
12a. FSO Work Location Same as Facility Address?	Select **[checkbox]**
12b. Street Address (Required)	Enter **[FSO Work Location Street Address]**
12c. Street Address 2	Enter **[FSO Work Location Street Address]**
12d. City Address (Required)	Enter **[FSO Work Location City]**
12e. State (Required)	Using the picklist, Click *a state*
12f. Zip Code (Required)	Enter **[FSO Zip Code]**
13a. Alternate POC Legal First Name	Enter **[Alternate POC Legal First Name]**
13b. Alternate POC Legal Last Name	Enter **[Alternate POC Legal Last Name]**
13c. Alternate POC Phone	Enter **[Alternate POC Phone]**
13d. Alternate POC Title	Enter **[Alternate POC Title]**
13e. Alternate POC Email	Enter **[Alternate POC Email]**

4. Click
    - **Save** *(to commit entered or altered input)*
    - **Cancel** *(to not save any changes)*

4.1.1.5 Contact Information Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.
2. Click **Contact Information** tab.

   The content of the "Contact Information" page is displayed as shown in Figure 37.

Figure 37. Contact Information Page

Note: A requirement to have background investigations is not the same as a requirement to have access to classified information. The GCA is responsible for funding, submitting, and managing investigations for purposes other than access to classified information (such as access to secure area, unclassified IT positions). Companies that do not require access to classified information are not eligible for an FCL and these investigations should not be processed under the National Industrial Security Program (NISP). If an FCL is being requested for a service contract in which access to classified information cannot be precluded by implementing basic security procedures, a compelling need letter from the GCA clearly explaining the rationale for the request must be included with the sponsorship package.

22. Unclassified description of type of information the sponsored company will require access. (Required)

23a. Request based on a subcontract issued to the Sponsored Facility? (Required)
○ Yes ○ No

23c. Will CNWDI or SCI or non-SCI Intelligence or COMSEC or NATO information be disclosed?
○ Yes ○ No

If this is a subcontract that will involve the disclosure of CNWDI, COMSEC, or NATO information to the subcontractor, you must obtain written GCA authorization to share this information with the Sponsored Facility in accordance with NISPOM requirements. If it involves the disclosure of Non-SCI or SCI Intelligence information, written authorization from the originating Intelligence Community element is required. A copy of the applicable authorization(s) must be included with your sponsorship request. If concurrence is not provided, the request will be rejected. Please see NISPOM 9-204, 9-300, 9-407, and 10-711 at http://www.dtic.mil/whs/directives/corres/pdf/522022M.pdf.

[Save] [Cancel]

3. Enter as much information as appropriate.

    The fields for "Contact Information" are described in Table 12.

Table 12. Contact Information Fields

Field	Values
14a. Prime Contract Number Requiring Access to Classified Information (Required)	Enter **[Prime Contract Number Requiring Access to Classified Information]**
14b. Government Customer (Required)	Using the picklist, Click *Government Customer*
14c. Program Name (Required)	Enter **[FSO Phone]**
15. Level of Clearance Required (Required)	Using the picklist, Click **Classification Level**
16. Level of Safeguarding Required (Required)	Using the picklist, Click **Level of Safeguarding Required**
17. Total number of employees at Sponsored Facility (approx.) (Required)	Enter **[approx.. number of employees at Sponsored Facility]**
18a. Does the Sponsored Facility have two or more employees who will work on the classified contract? (Required)	Select **Yes** or **No**
18b. Explain why the person cannot work as a consultant if FCL is requested only for one person*	Enter **[explanation of why individual cannot work as a consultant]**
19. Primary Industrial Base Technology Category applicable to this contract (Required)	Using the picklist, Select the **Primary Industrial Base Technology Category**
20a. Sponsorship request based on a contract that is in a pre-award stage? (Required)	Select **Yes** or **No**
20b. Is access to classified information required during the pre-award stage?	Select **Yes** or **No**

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Field	Values
Note: A company must have a valid procurement need to access classified information at the time of the FCL sponsorship. If the sponsored company is in the pre-award stage, access to classified information must be required during the pre-award stage in order for DSS to accept this request and this should be clearly indicated on the request. For a subcontract, Government Contracting Activity (GCA) written approval must be provided to confirm that access to classified information is required for the subcontractor during the pre-award stage.	
21. Access to classified information required in performance of this contract? (Required)	Select **Yes** or **No**
21b. Is this a service contract in which access to classified information cannot be precluded?	Select **Yes** or **No**
Note: A requirement to have background investigations is not the same as a requirement to have access to classified information. The GCA is responsible for funding, submitting, and managing investigations for purposes other than access to classified information (such as access to secure area, unclassified IT positions). Companies that do not require access to classified information are not eligible for a FCL and these investigations should not be processed under the National Industrial Security Program (NISP). If an FCL is being requested for a service contract in which access to classified information cannot be precluded by implementing security procedures, a compelling need letter from the GCA clearly explaining the rationale for the request must be included with the sponsorship package.	
22. Unclassified description of type of information the sponsored company will require access to. (Required)	Enter **[unclassified description of information sponsored company will require access to]**
23a. Request based on a subcontract issued to the Sponsored Facility? (Required)	Select **Yes** or **No**
23b Subcontract Number (Required)	Enter **[Subcontract Number]**
23c. Will CNWDI or SCI or non-SCI Intelligence or COMSEC or NATO information to be disclosed?	Select **Yes** or **No**
If this is a subcontract that will involve the disclosure of CNWDI, COMSEC, or NATO information to the subcontractor, you must obtain written authorization to share this information with the Sponsored Facility in accordance with NISPOM requirements. If it involves the disclosure of Non-SCI or SCI Intelligence information, written authorization from the originating Intelligence Community (IC) element is required. A copy of the applicable authorization(s) must be included with your sponsorship request. If concurrence is not provided, the request will be rejected. Please see NISPOM 9-204, 9-300, 9-4-07, and 10-711 at http://www.dtic.mil/whs/directives/corres/pdf/522022M.pdf	

4. Click
    - **Save** *(to commit entered or altered input)*
    - **Cancel** *(to not save any changes)*
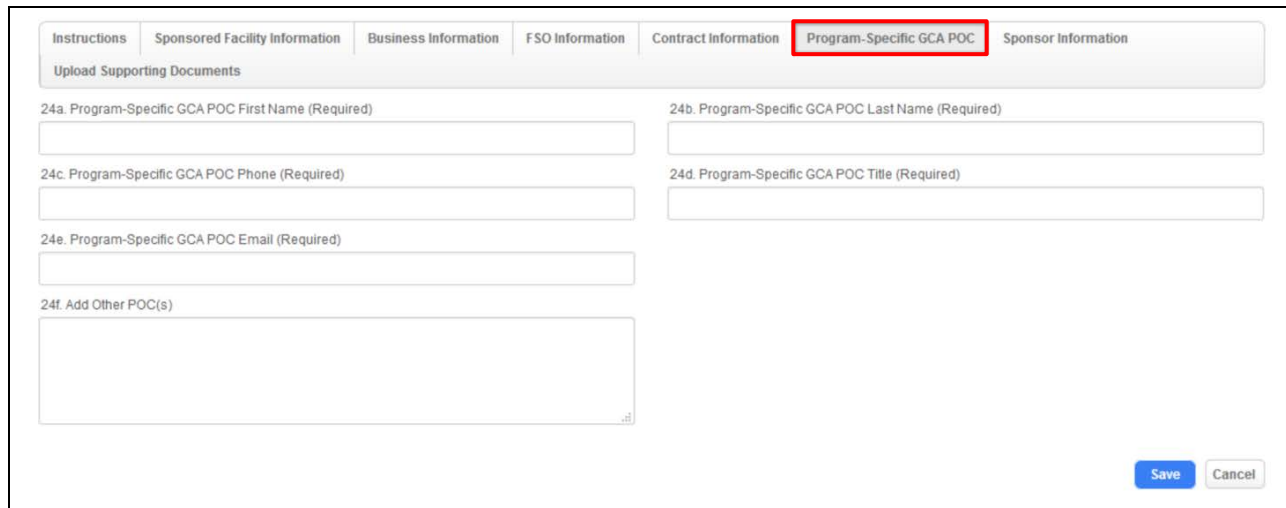
4.1.1.6 Program-Specific GCA POS Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.
2. Click **Program-Specific GCA POC** tab.

The content of the "Program-Specific GCA POC" page is displayed as shown in Figure 38.

Figure 38. Program-Specific GCA POC Page

3. Enter as much information as appropriate.

The fields for "Program-Specific GCA POC" are described in Table 13.

Table 13. Program-Specific GCA POC Fields

Field	Values
24a. Program-Specific GCA POC First Name (Required)	Enter **[Program-Specific GCA POC First Name]**
24b. Program-Specific GCA POC Last Name (Required)	Enter **[Program-Specific GCA POC Last Name]**
24c. Program-Specific GCA POC First Name (Required)	Enter **[Program-Specific GCA POC First Name]**
24d. Program-Specific GCA POC Title (Required)	Enter **[Program-Specific GCA POC Title]**
24e. Program-Specific GCA POC Email (Required)	Enter **[Program-Specific GCA POC Email]**
24f. Add Other POC(s)	Enter **[Other POC(s)]**

4. Click
   - **Save** *(to commit entered or altered input)*
   - **Cancel** *(to not save any changes)*

4.1.1.7 Sponsor Information Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.
2. Click *Sponsor Information* tab.

    The content of the "Sponsor Information" page is displayed as shown in Figure 39.

Figure 39. Sponsor Information Page

3. Enter as much information as appropriate.

    The fields for "Sponsor Information" are described in Table 14.

Table 14. Sponsor Information Fields

Field	Values
25a. Sponsor Type (Required)	Using the picklist, Select the **Sponsor type**
25b. Sponsor CAGE Code (Required)	Using the Search symbol, Select the **Sponsor CAGE Code**
25c. First Name (Required)	Enter **[Sponsor's First Name]**
25d. Last Name (Required)	Enter **[Sponsor's Last Name]**
25e. Phone (Required)	Enter **[Sponsor's Phone Number]**
25f. Title (Required)	Enter **[Sponsor's Title]**
25g. Sponsor Email (Required)	Enter **[Sponsor's Email address]**

4. Click
   - **Save** *(to commit entered or altered input)*
   - **Cancel** *(to not save any changes)*

4.1.1.8   Upload Supporting Documents Tab

From the dashboard,

1.   Click **Submit a Sponsorship Request** link.
2.   Click *Upload Supporting Documents* tab.

The content of the "Upload Supporting Documents" page is displayed as shown in Figure 40.

Figure 40. Upload Supporting Documents Page

Instructions	Sponsored Facility Information	Business Information	FSO Information	Contract Information	Program-Specific GCA POC	Sponsor Information

Upload Supporting Documents

ADD RECORD

Document Type

No Records Present

Save   Cancel
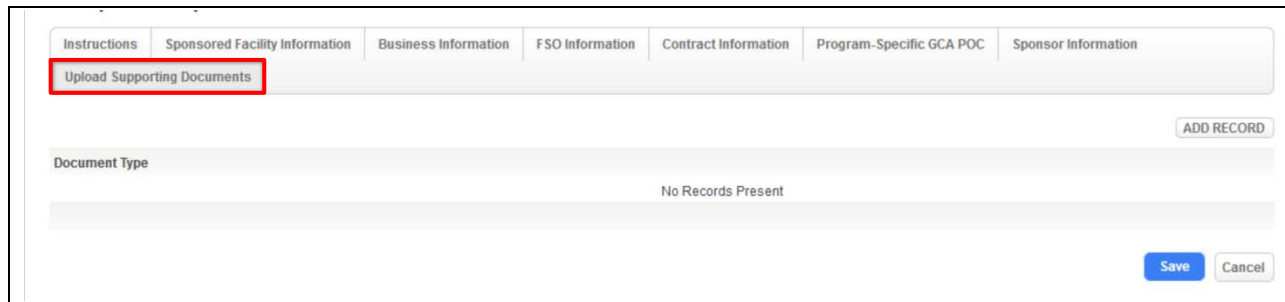
3.   Click **ADD RECORD**

The "ADD RECORD" page is displayed as shown in Figure 41.

Figure 41. Upload Supporting Documents - Add Record Page

Add Record

Basic Information

Document Type *   Supporting Document *

[⌄]   + Select a File

Save   Cancel
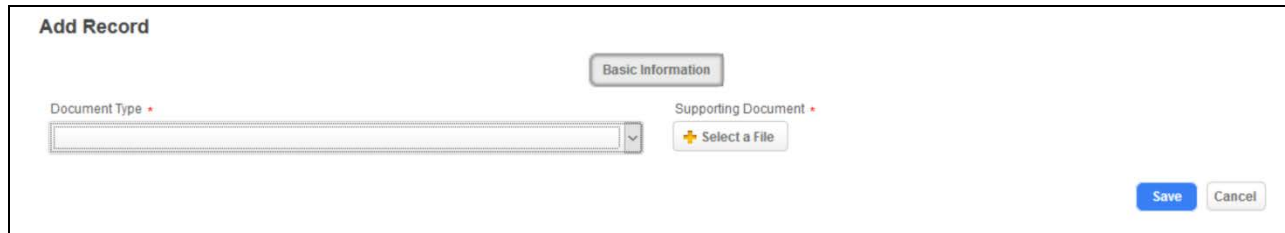
4.   Enter as much information as appropriate.

The fields for "ADD RECORD" are described in Table 15.

Table 15. Upload Supporting Documents - Add Record Fields

Field	Values
Document Type*	Using the picklist, Select the **Document Type**
Supporting Document*	Click **+Select a File** Double-click *File to be uploaded*

5.   Click
   *   **Save** *(to commit entered or altered input)*
   *   **Cancel** *(to not save any changes)*

4.1.1.9 Submit Sponsorship Package Tab

From the dashboard,

1. Click **Submit a Sponsorship Request** link.

   Once you have completed all required input and attachments, on any of the "New Sponsorship Submission" pages:

   - Instructions
   - Sponsored Facility Information
   - Business Information
   - FSO Information
   - Contact Information
   - Program-Specific GCA POC
   - Sponsor Information
   - Upload Support Documents

2. Click
   - **Save** *(to commit entered or altered input)*
   - **Submit** *(if package is ready to submit)*
   - **Cancel** *(to not save any changes)*

The Sponsorship Submission review page is displayed as shown in Figure 42.

Figure 42. Sponsorship Submission Review Page

Business Information ▾

Date of Incorporation/Organization	12/22/2009	State of Incorporation/Organization	VA
Business Structure	Branch or Division		
Is the legal entity organized and existing in one of the 50 United States or DC or U.S. Territories?	Y		
Are the FSO and SMO employees of the Joint Venture?			
Facility Located on Government installation?	Y		
Facility holds FCL with another Government agency besides DSS?	N		
Specify Government Agency		Specify FCL	
Primary Type of Business	Engineering	Principal Product/Service	B12: Electronics - Digital signal processors
Specify Type of Business			

Facility Security Officer Information ▾

FSO Legal First Name	Jane	FSO Legal Last Name	Doe
FSO Phone	(222) 333-4444	FSO Email	Jane.A.Doe@Mail.mil
FSO Street Address	1 Main Street		
FSO Street Address 2			
FSO City Address	Quantico		
FSO State	VA		

Alternate Point of Contact ▾

Alternate POC Legal First Name		Alternate POC Legal Last Name	
Alternate POC Phone		Alternate POC Title	
Alternate POC Email			

Contract Information ▾

Contract Number Requiring Classified Access	234567
Level of Clearance Required	Secret
Level of Safeguarding Required	Secret
Total number of employees at Sponsored Facility (approx.)	100
Does the Sponsored Facility have two or more employees who will work on the classified contract?	Y
Explain why the person cannot work as a consultant if FCL is requested only for one person.	
Sponsorship request based on a contract that is in a pre-award stage?	Y
Is access to classified information required during the pre-award stage?	Y
Access to classified information required in performance of this contract?	Y
Unclassified description of type of information the sponsored company will require access.	Functional description of component.
Service contract with access to classified information that cannot be sanitized to preclude access?	
Request based on a subcontract issued to the Sponsored Facility?	Y
Will CNWDI or SCI or non-SCI Intelligence or COMSEC or NATO information be disclosed?	N

Program-Specific GCA POC ▾

Program-Specific GCA POC First Name	John	Program-Specific GCA POC Last Name	Noname
Program-Specific GCA POC Phone	(222) 333-4444	Program-Specific GCA POC Title	GCA
Program-Specific GCA POC Email	John.j.nonname.ctr@mail.com		

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3. Click **Submit Sponsorship Package**

The NISS will process the package and display a confirmation when the system has confirmed the required information and data validity of the record as shown in Figure 43.

Figure 43. Sponsorship Package Submission Confirmation

4.1.2 View My Sponsorship Package Status

From the NISS dashboard,

1. Click **View Open Sponsorship Requests** link.

   The "SPONSORSHIP SUBMISSIONS" page is opened in the "Open Sponsorship Package View" displayed listing the submissions as shown in Figure 44.

Figure 44. Open Sponsorship Packages View
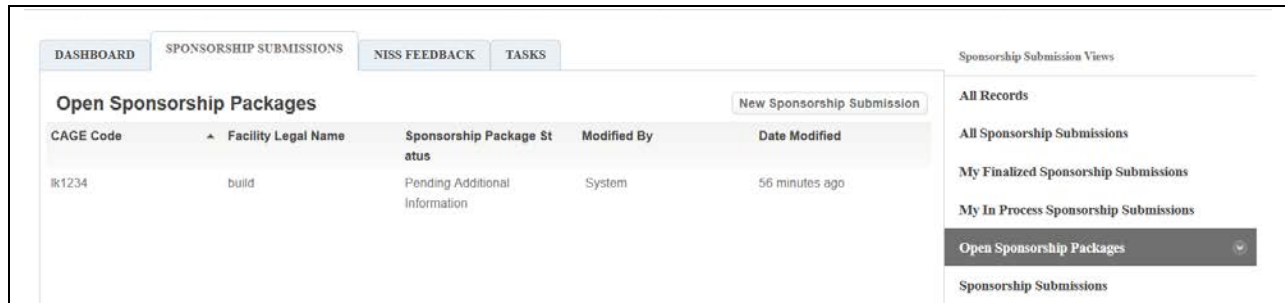
4.1.3 View Open Sponsorship Requests

From the NISS dashboard,

1. Click **View Open Sponsorship Requests** link.

   The "SPONSORSHIP SUBMISSIONS" page is opened displaying the submitted package under the "Open Sponsorship Packages" view as shown in Figure 45.

Figure 45. Open Sponsorship Packages View
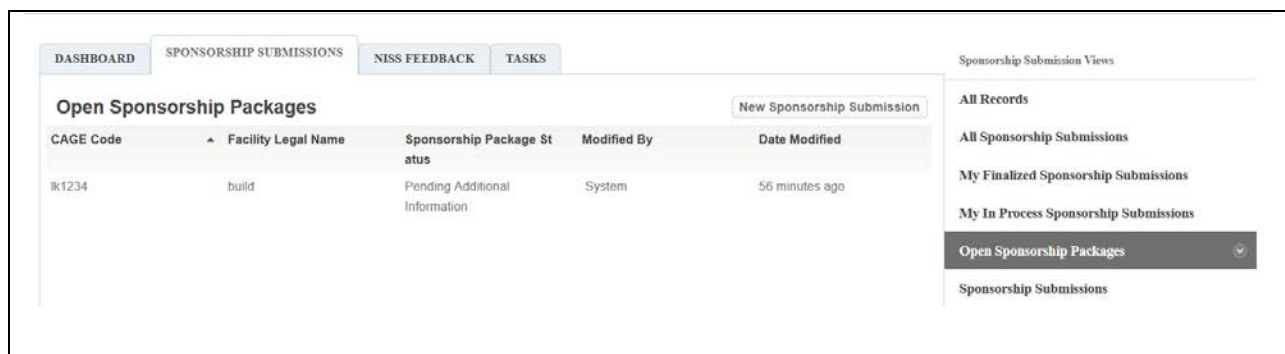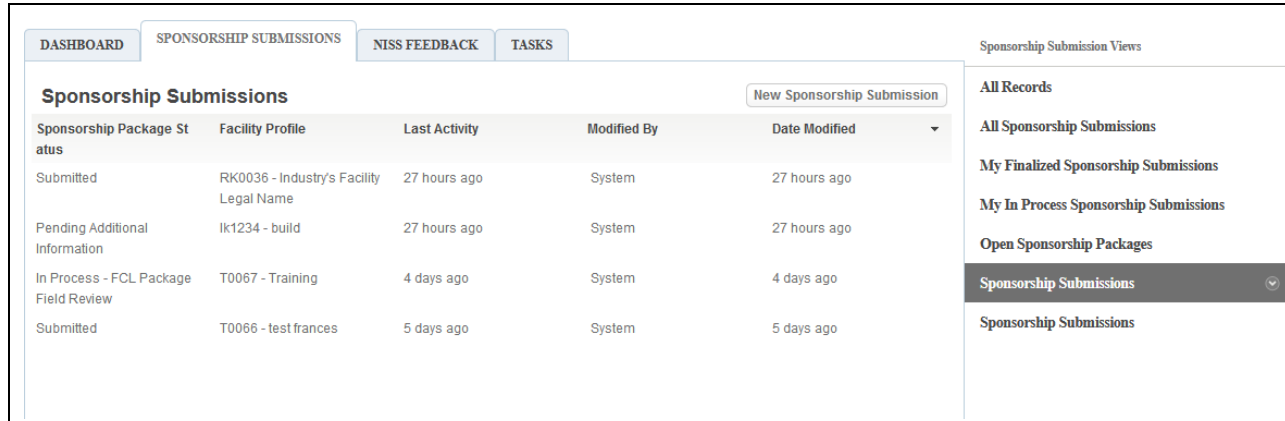
2. Single-click *a Sponsorship Package*.

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4.1.4 View Previously Submitted Sponsorship Requests

From the NISS dashboard,

1. Click **View Previously Submitted Sponsorship Requests** link.

   The "SPONSORSHIP SUBMISSIONS" tab is opened displaying the submitted package and displaying "Sponsorship Submission Views."

2. Click **Sponsorship Submissions** view as as shown in Figure 46.

Figure 46. Sponsorship Submissions View

4.2 Facility Profile

4.2.1 ISR

4.2.1.1 View My ISR's Contact Information

From the dashboard,

1. Click **"View My ISR's Contact Information"** link.

    The content of the "FACILITY PROFILE" page is displayed. The ISR contact information is located in the "Oversight Team" section as shown in Figure 47.

Figure 47. Facility Profile Tab - ISR Contact Information

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ISSP Team Lead   ⓘ

CISA

Quick Look

Last Assessment (mm/dd/yyyy)

[Assessment History]

Assessment Rating

[Cancel]

4.2.2 FCL Packages

The FCL Package consists of the following components:

- Facility Overview
  - Overview
  - FCL Information
  - Addresses
  - KMP
  - Contacts
  - Aliases
- Business Information
  - Basic Information
  - Legal Structure
  - Customers and Programs
  - Subcontractors
- FOCI & International
  - FOCI
  - Foreign Visits
  - Foreign Travel
  - FGI
  - Exports
- Safeguarding
  - Safeguarding
  - COMSEC
  - Off-Sites
- Actions & Documentation
  - Actions
  - Sponsorship Submissions
  - Self-Inspections
  - Messaging

4.2.2.1 Facility Profile Navigation

Facility profile navigation is through the use of 'buttons' located at the top and bottom of each page of a profile as shown in Figure 48.

Figure 48. Facility Profile Navigation Buttons

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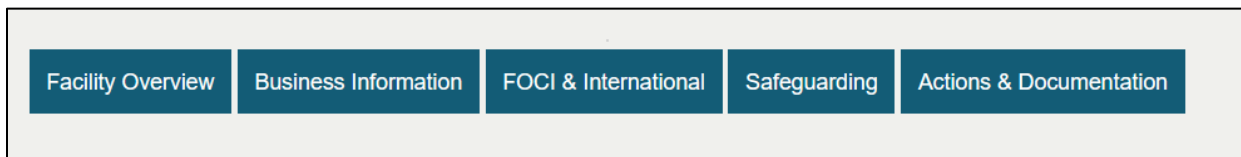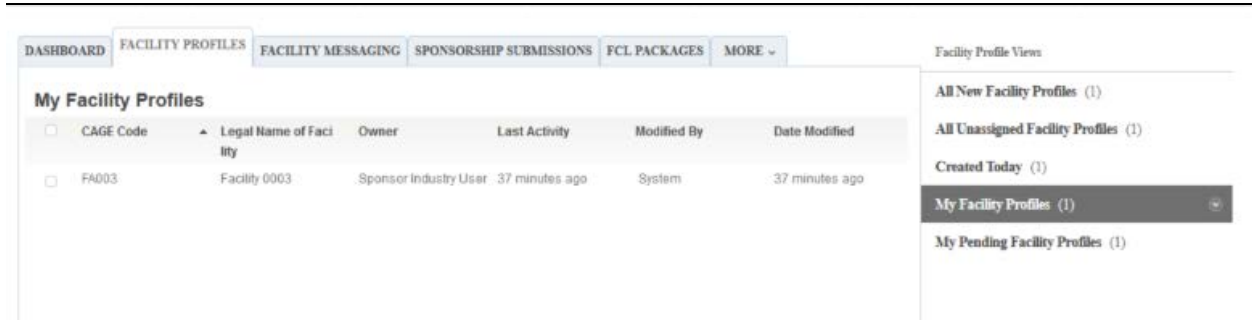
4.2.2.2   View My Facility Profile

From the dashboard,

1.   Click **View My Facility Profile** link.

The content of the "FACILITY PROFILES" is displayed as shown in Figure 49.

Figure 49. Facility Profiles Tab

2.   Single-click *a Facility Profile*.

The "FACILITY PROFILES" tab displays the selected record as shown in Figure 50.

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Figure 50. Selected Profile in Facility Profiles Tab

4.2.2.2.1   Facility Overview

The "Facility Overview" button provides access to the following information:

- Overview
- FCL Information
- Addresses
- KMP
- Contacts
- Aliases

4.2.2.2.1.1   Overview

From the "Facility Profiles" tab,

1. Click **Facility Overview** button.

2. Select **Overview**.

   The "Overview" page is displayed as shown in Figure 51.

Figure 51. Overview

4.2.2.2.1.2   FCL Information

From the "Facility Profiles" tab,

1. Click **Facility Overview** button.

2. Select **FCL Information**.

   The "FCL Information" page is displayed as shown in Figure 52.

Figure 52. FCL Information Page

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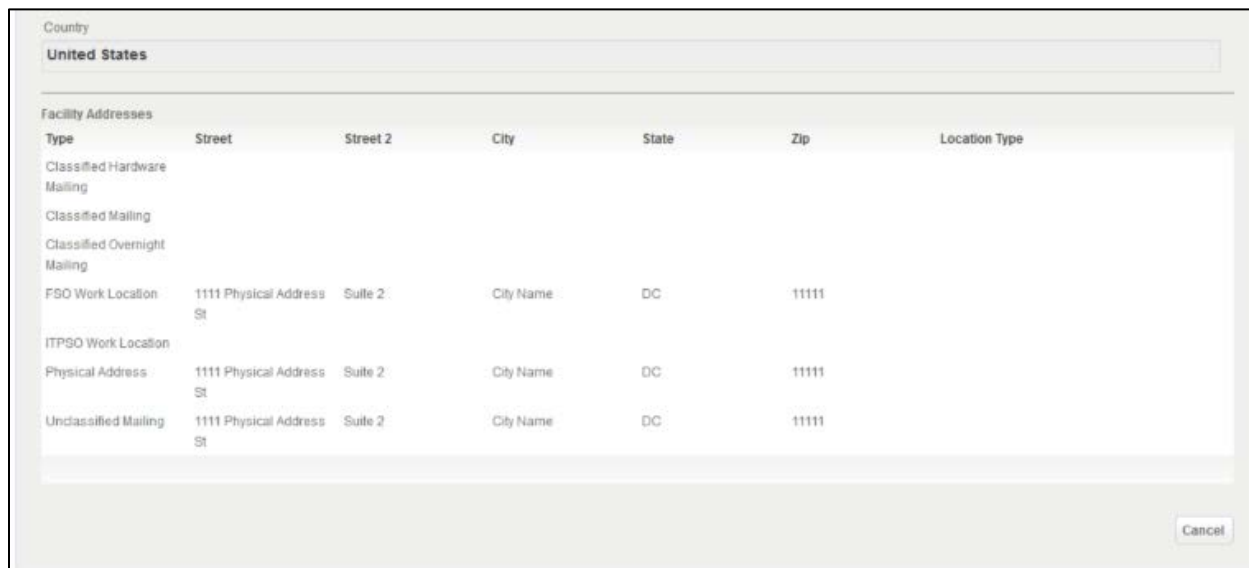
4.2.2.2.1.3   Addresses

From the "Facility Profiles" tab,

1. Click **Facility Overview** button.

2. Select **Addresses**.

   The "Facility Addresses" page is displayed as shown in Figure 53.

Figure 53. Facility Addresses Page

Country

United States

Facility Addresses

Type	Street	Street 2	City	State	Zip	Location Type
Classified Hardware Mailing						
Classified Mailing						
Classified Overnight Mailing						
FSO Work Location	1111 Physical Address St	Suite 2	City Name	DC	11111	
ITPSO Work Location						
Physical Address	1111 Physical Address St	Suite 2	City Name	DC	11111	
Unclassified Mailing	1111 Physical Address St	Suite 2	City Name	DC	11111	

Cancel

4.2.2.2.1.4 KMP

From the "Facility Profiles" tab,

1. Click **Facility Overview** button.

2. Select **KMP**.

> The "KMP" page is displayed as shown in Figure 54.

Figure 54. KMP Information Page

3. Click **KMP entry** to open as shown in Figure 54.
    The KMP Details page is displayed as shown in Figure 55.

Figure 55. KMP Details Page

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Essential KMP (Required to be cleared in connection with FCL) ⓘ

Role

Ownership Percentage

Position Titles

Select all that apply:

Other

FSO

Birth Information

D.O.B (mm/dd/yyyy)

City

KMP Exclusion

Excluded ⓘ

No

Temporary Exclusion ⓘ

No

Exclusion Date (mm/dd/yyyy)

State

Country

Citizenship

Check for Dual Citizenship ⓘ

No

Immigration Status

FOCI Related KMP

Inside Director

No

Street 1

Street 2

City

State

Zip Code

Country

Outside Director/Proxy Holder

No

Phone ⓘ

Email ⓘ

Cancel

4.2.2.2.1.5   Contacts

From the "Facility Profiles" tab,

1.   Click **Facility Overview** button.

2.   Select **Contacts**.

The "Contacts" page is displayed as shown in Figure 56.

Figure 56. Contacts Page

3. Click **Contact to View**. The "Basic Information" page is displayed as shown in Figure 57.

Figure 57. Contact Basic Information Page

4. Click **Cancel**

4.2.2.2.1.6   Aliases

From the "Facility Profiles" tab,

1.   Click **Facility Overview** button,

2.   Select **Aliases**.

The "Aliases" page is displayed as shown in Figure 58.

Figure 58. Aliases Page

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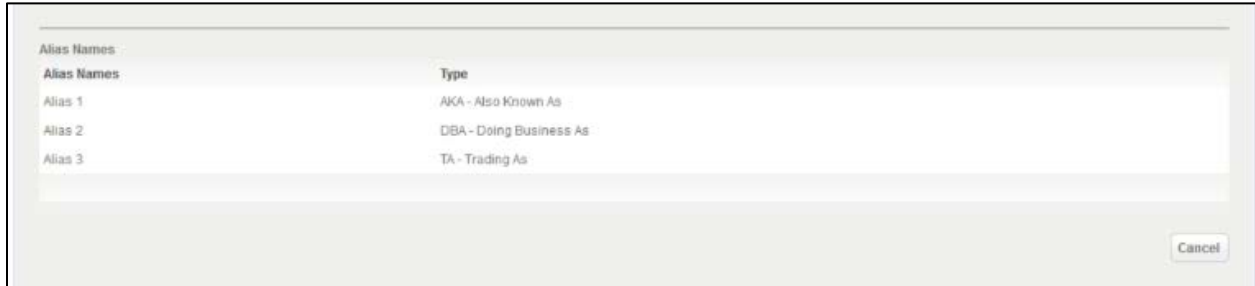
4.2.2.2.2   Business Information Button

The "Business Information" button provides access to the following information:

- Business Information
- Legal Structure
- Customers and Programs
- Subcontractors
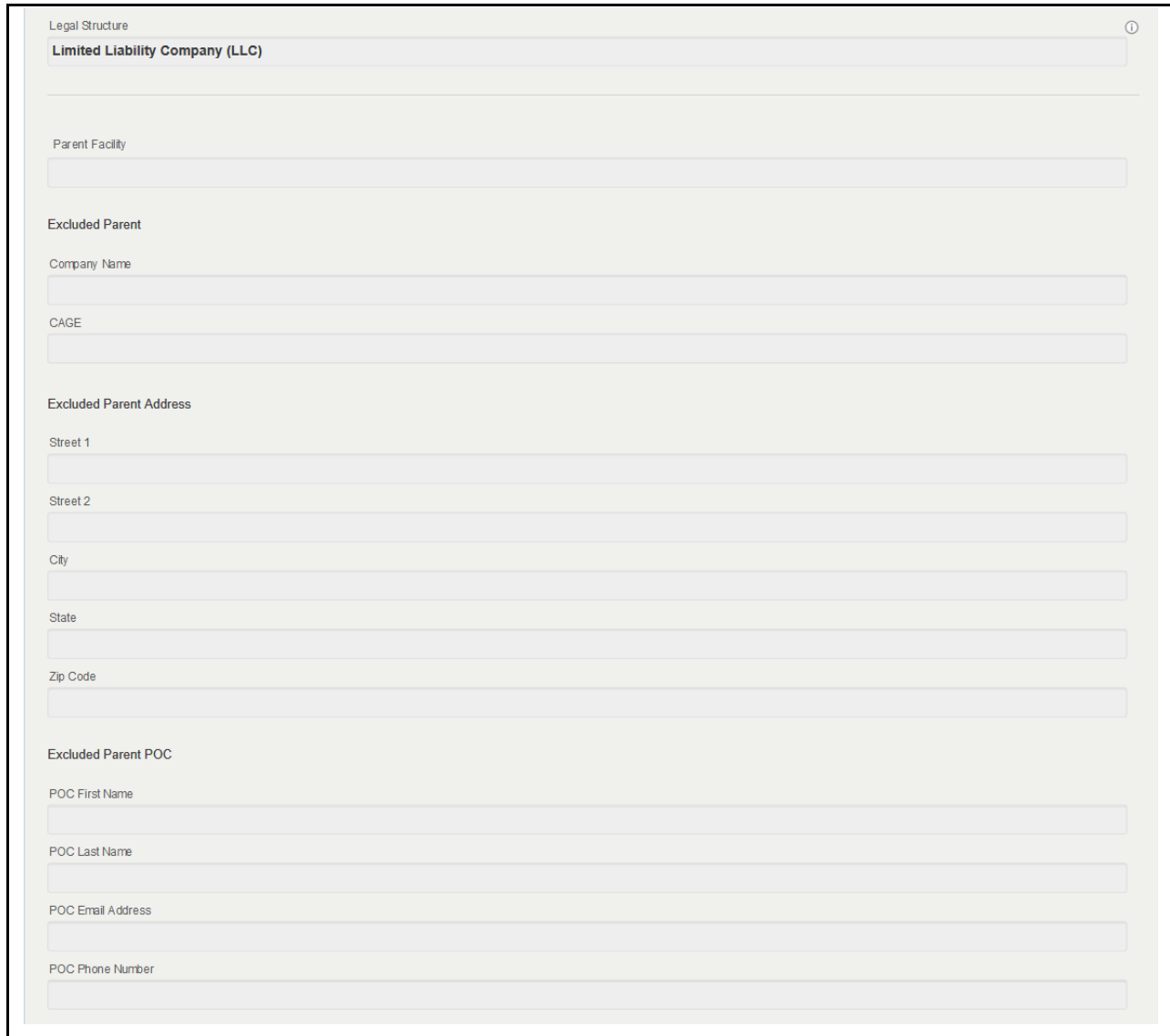
4.2.2.2.2.1   Legal Structure

From the "Facility Profiles" tab,

1. Select **Business Information** button,
2. Select **Legal Structure**.

The "Legal Structure" page is displayed as shown in Figure 59.

Figure 59. Legal Structure Page

LIST OF IMMEDIATE BRANCH/DIVISIONS OR SUBSIDIARIES AND PARTNERS, MEMBERS

CAGE Code	Legal Name	Type	Excluded?	Excluded Date	Percent Ownership	FCL Level	Facility Status

No Records Present

Visual Depiction of Legal Structure

Export Diagram

SC042
Sample Company 042
Alexandria, VA
None

Cancel

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4.2.2.2.2.2   Customers and Programs

From the "Facility Profiles" tab,

1. Select **Business Information** button.

2. Select **Customers and Programs**.

   The "Customers and Programs" page is displayed as shown in Figure 60.

Figure 60. Customers and Programs Page

Government Activity	%
Defense Advanced Research Projects Agency	0

Program Name	Contract Number	Type	Expiration Date	
Program Name	HS-01-P-01-09	Subcontract		

Cancel

3. Click **'Government Activity'** record to open.

   The "Basic Information" page is displayed as shown in Figure 61.

Figure 61. Customers and Programs Basic Information Page

Basic Information

Contract type
Subcontract

Prime Contractor CAGE Code

Prime Contract   ⓘ

Program Name   ⓘ
Program Name

Prime Contract Number
HS-01-P-01-09

Subcontract Number
SUB_01

Revision Number

Date of DD254

Contract Expiration Date

FCL Required   ⓘ
Top Secret

Safeguarding Required   ⓘ
None

Safeguarding Required   ⓘ
None

Required Accesses (DD254 Section 10)   ⓘ

 Government Activity

DARPA - Defense Advanced Research Projects Agency

Government Program Office

GCA POC Information

Title (Mr., Mrs., etc)

COR

First Name

Maria

Last Name

Thomas

Email

_gca_gat@devcloud.dss.mil

Telephone

(123) 456-7890

Position Title

GCA Unclassified Mailing Address

Address Line 1

Address Line 2

City

State

Zip

DD 254 Attachment

Cancel

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4.2.2.2.2.3   Subcontractor2

From the "Facility Profiles" tab,

1. Select **Business Information** button.

2. Select **Subcontractors**.

   The "Subcontractors" page is displayed as shown in Figure 62.

Figure 62. Subcontractors Page

3. Click *Subcontractor Record to open*.

   The Subcontractor Basic Information page is displayed as shown in Figure 63.

Figure 63. Subcontractors Basic Information Page

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4.2.2.2.3   FOCI & International Button

The "FOCI & International" tab provides access to the following information:
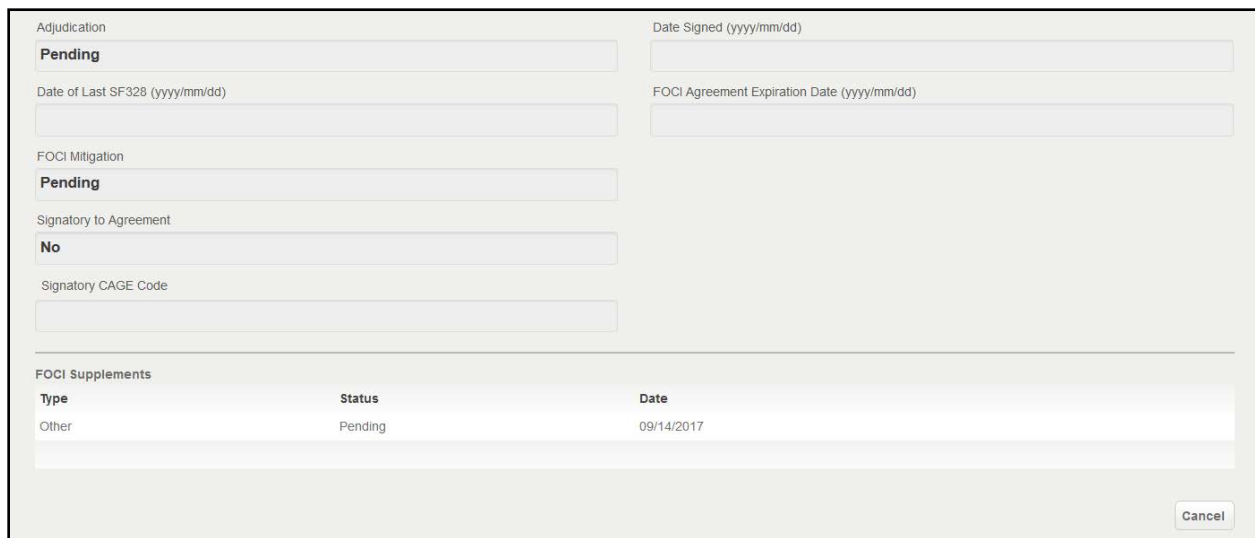
- FOCI
- Foreign Visits
- Foreign Travel
- FGI
- Exports

Within the "Facility Profiles" tab,

1. Click **FOCI & International** button.

2. Select **FOCI**

   The "FOCI" information is displayed as shown in Figure 64.

Figure 64. FOCI Page

3. Click **FOCI Supplements to view**.

The "FOCI Supplements - Basic Information" page is displayed as shown in Figure 65.

Figure 65. FOCI Supplements - Basic Information Page

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4.2.2.2.3.1   Foreign Visits

Within the "Facility Profiles" tab, "FOCI & International" button,

1.   Select **Foreign Visits**.

The "Foreign Visits" information is displayed as shown in Figure 66.

Figure 66. Foreign Visits Page

Add Foreign Visits				
Type	**Country**	**# Visitors**	**Date From**	**Date To**
Unclassified Short-Term Foreign Visitors	United States	2	09/14/2017	09/15/2017
Total Number of Foreign Visitors:		2		

Cancel

2.   Click **Foreign Visit record to view**.

The "Foreign Visit - Basic Information" page is displayed as shown in Figure 67.

Figure 67. Foreign Visits - Basic Information Page

Basic Information

Type of Foreign Visit	Date From (yyyy/mm/dd)
Unclassified Short-Term Foreign Visitors	**09/14/2017**
Country Name	Date To (yyyy/mm/dd)
United States	**09/15/2017**
# Visitors	
2	

Cancel

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4.2.2.2.3.2   Foreign Travel

Within the "Facility Profiles" tab, under "FOCI & International" button,

1. Select **Foreign Travel**.

    The "Foreign Travel" information is displayed as shown in Figure 68.

Figure 68. Foreign Travel Page

2. Click *Foreign Travel record to view*.

    The "Foreign Travel - Basic Information" page is displayed as shown in Figure 69.

Figure 69. Foreign Travel - Basic Information Page

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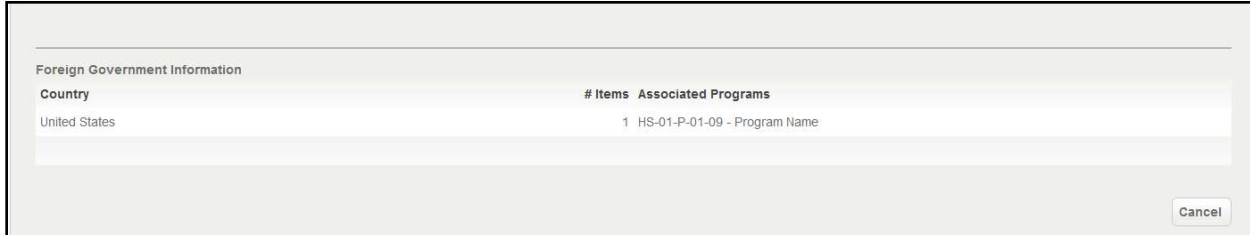
4.2.2.2.3.3   FGI

Within the "Facility Profiles" tab, under "FOCI & International" button,

1.   Select **FGI**.

The "FGI" information is displayed as shown in Figure 70.

Figure 70. FGI Page
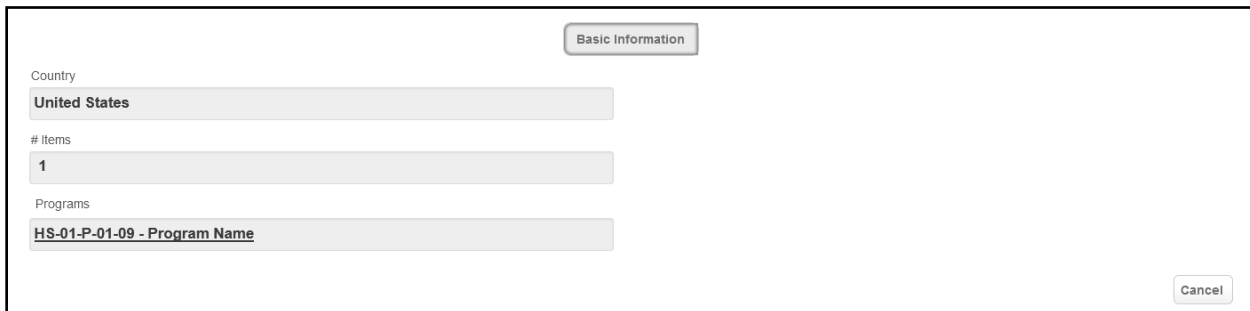
2.   Click ***FGI record to view***.

The "FGI - Basic Information" page is displayed as shown in Figure 71.

Figure 71. FGI - Basic Information Page

4.2.2.2.3.4   Exports

Within the "Facility Profiles" tab, under "FOCI & International" button,

1. Select **Exports**.

    The "Exports" information is displayed as shown in Figure 72.

Figure 72. Exports Page

2. Click *Export record to view*.

    The "Export - Basic Information" page is displayed as shown in Figure 73.

Figure 73. Export - Basic Information Page

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4.2.2.2.4   Safeguarding Button

The "Safeguarding" tab provides access to the following information:

- o   Safeguarding
- o   COMSEC
- o   Off-Sites

From the "Facility Profiles" tab, under "Safeguarding" button,

1.   Select **Safeguarding**.

The "Safeguarding" information is displayed as shown in Figure 74.

Figure 74. Safeguarding Page

Overall Safeguarding Level
None

Employees

	Total	TS	S	C	Uncleared
Employee	0	0	0	0	0
Consultants	0	0	0	0	
Employees Assigned Overseas	0	0	0	0	0
Employees with Limited Access Authorizations	0		0	0	
Foreign National Employees/Consultants	0				0

Cleared Employees at Off-Sites: 32

Classified Holdings

	Total	TS	S	C
Documents	0	0	0	0
Hardware	0	0	0	0
GSA Containers	0	0	0	0
Closed Areas	0	0	0	0
Restricted Areas	0	0	0	0
Vaults	0	0	0	0
Approved Off-Sites	1	0	0	1

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Supplemental Controls	Other Approvals	Additional Controls	Other Considerations
☐ Approved Alarms	☐ Security In-Depth	☐ Proprietary Alarm	☐ After Hours Processing
☐ Grandfathered Guards	☐ Open Storage for Documents	☐ Proprietary Guards	☐ Proscribed Information
		☐ Badges	

Cancel
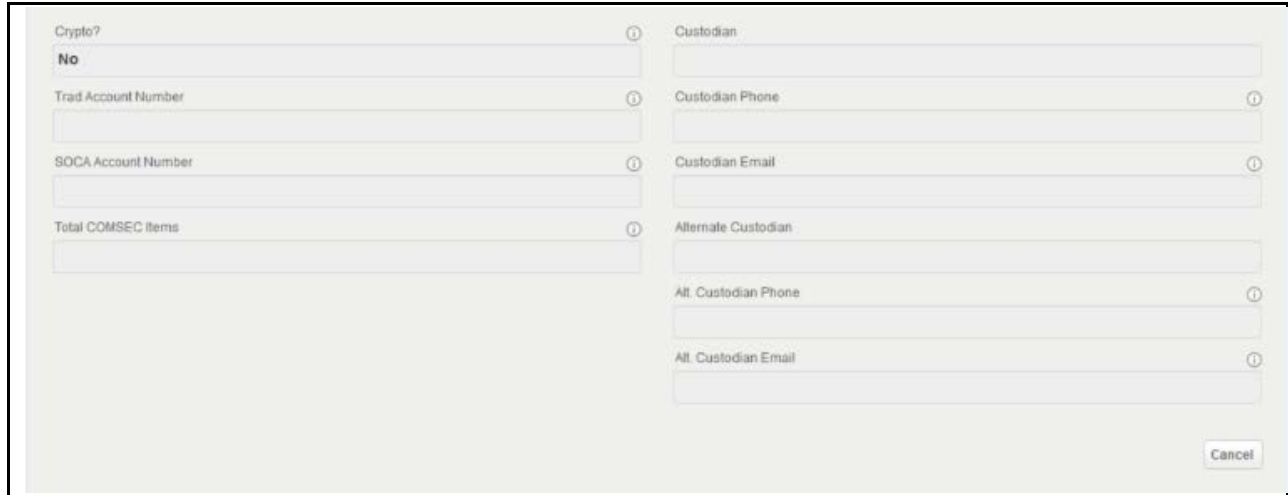
4.2.2.2.4.1   COMSEC

From the "Facility Profiles" tab, under "Safeguarding" button,

1.   Select **COMSEC**.

The "COMSEC" information is displayed as shown in Figure 75.

Figure 75. COMSEC Page

4.2.2.2.4.2   Off-Sites

Within the "Facility Profiles" tab, under "Safeguarding" button,

1.   Select **Off-Sites**.

The "Off-Sites" information is displayed as shown in Figure 76.

Figure 76. Off-Sites Page

2.   Click *Off-Sites record to view*.

The "Off-Sites - Basic Information" page is displayed as shown in Figure 77.

Figure 77. Off-Sites - Basic Information Page

4.2.2.2.5   Actions & Documentation Button

> o   Actions
> o   Sponsorship Submissions
> o   Self-Inspections
> o   Messaging

4.2.2.2.5.1   Actions

Within the "Facility Profiles" tab, under "Actions & Documentation" button,

1.   Select **Actions**.

The "Facility Actions" page is displayed as shown Figure 78.

Figure 78. Facility Actions Page

2.   Click *Action to view*

The "Facility Action - Core Information" page is displayed as shown in Figure 79.

Navigating the Action record is through two buttons:

•   Core Information (default display on opening)
•   Assessment

Figure 79. Facility Action - Core Information Page

3.   Click   **Assessment** button

The "Facility Action - Assessment" page is displayed as shown in Figure 80.

Figure 80. Facility Action - Assessment Page

4.2.2.2.5.2   Sponsorship Submissions

Within the "Facility Profiles" tab, under "Actions & Documentation" button,

1. Select **Sponsorship Submissions**.

    The "Sponsorship Submissions" information is displayed as shown in Figure 81.

Figure 81. Sponsorship Submissions

Sponsorship Package Status	15. Level of Clearance Required (Required)	16. Level of Safeguarding Required (Required)
In Process - FCL Package Pending Industry Submission	Top Secret	None

2. Click *Sponsorship Package to view*.

    The Sponsored Facility Information page is displayed as shown in Figure 82.

Sponsored Facility Information	Business Information	FSO Information	Contract Information	Program-Specific GCA POC	Sponsor Information

The navigation buttons through this record are:
- Sponsored Facility Information
- Business Information
- FSO Information
- Contact Information
- Program-Specific GCA POC
- Sponsor Information

Figure 82. Sponsorship Submission Page

Sponsored Facility Information	Business Information	FSO Information	Contract Information	Program-Specific GCA POC	Sponsor Information

Check the box below if the Sponsored Facility does not have an assigned CAGE Code. I request that DSS assign a temporary CAGE Code in order to initiate the facility clearance (FCL) process. I understand and have advised the sponsored facility that a facility cannot complete the FCL process without a permanent CAGE code and that the FCL process for this facility will be discontinued if a permanent CAGE code is not obtained by day 20 of the FCL process. Please visit www.sam.gov to obtain or update a CAGE code.

No Assigned CAGE Code

No

1a. Physical Street Address 1 (Required)   ⓘ

12 Main Street

1b. Physical Street Address 2

1c. Physical City Address (Required)

Alexandria

1d. Physical State (Required)

VA

1e. Physical Zip Code (Required)

12345

2. Company Website

www.sample.com

Cancel

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3. Click Business Information button.
   The Business Information page is displayed as shown in Figure 83.

Figure 83. Business Information Page

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4. Click FSO Information button.
   The FSO Information button page is displayed as shown in Figure 84.

Figure 84. FSO Information button Page

5. Click Contact Information button
   The Contact Information page is displayed as shown in Figure 85.

Figure 85. Contact Information Page

Note: Justification for the FCL must be included with your request and must validate the FCL and Safeguarding levels requested. The most common form of justification is a DD Form 254 issued from the Sponsor to the Sponsored Facility. For assistance with completing the DD254, please visit https://stepp.dss.mil/courseware/dd254/ddform254fillable.pdf

Contract Type

14a. Prime Contract Number Requiring Access to Classified Information (Required)   ⓘ

HS-01-P-01-09

14b. Government Customer (Required)

DARPA - Defense Advanced Research Projects Agency

14c. Program Name (Required)   ⓘ

Program Name

15. Level of Clearance Required (Required)   ⓘ

Top Secret

16. Level of Safeguarding Required (Required)

None

17. Total number of employees at Sponsored Facility (approx.) (Required)

23

18a. Does the Sponsored Facility have two or more employees who will work on the classified contract? (Required)   ⓘ

Yes

19. Primary Industrial Base Technology Category applicable to this contract (Required)

Lasers

20a. Sponsorship request based on a contract that is in a pre-award stage? (Required)   ⓘ

No

Note: A company must have a valid procurement need to access classified information at the time of FCL sponsorship. If the sponsored company is in the pre-award stage, access to classified information must be required during the pre-award stage in order for DSS to accept this request and this should be clearly indicated on the request. For a subcontract, Government Contracting Activity (GCA) written approval must be provided to confirm that access to classified information is required for the subcontractor during the pre-award stage.

21. Access to classified information required in performance of this contract? (Required)   ⓘ

Yes

Note: A requirement to have background investigations is not the same as a requirement to have access to classified information. The GCA is responsible for funding, submitting, and managing investigations for purposes other than access to classified information (such as access to secure area, unclassified IT positions). Companies that do not require access to classified information are not eligible for an FCL and these investigations should not be processed under the National Industrial Security Program (NISP). If an FCL is being requested for a service contract in which access to classified information cannot be precluded by implementing basic security procedures, a compelling need letter from the GCA clearly explaining the rationale for the request must be included with the sponsorship package.

22. Unclassified description of type of information the sponsored company will require access. (Required)   ⓘ

Unclassified data here.

23a. Request based on a subcontract issued to the Sponsored Facility? (Required)   ⓘ

Yes

23b. Subcontract Number (Required)

SUB_01

23c. Will CNWDI or SCI or non-SCI Intelligence or COMSEC or NATO information be disclosed?   ⓘ

Yes

If this is a subcontract that will involve the disclosure of CNWDI, COMSEC, or NATO information to the subcontractor, you must obtain written GCA authorization to share this information with the Sponsored Facility in accordance with NISPOM requirements. If it involves the disclosure of Non-SCI or SCI Intelligence information, written authorization from the originating Intelligence Community element is required. A copy of the applicable authorization(s) must be included with your sponsorship request. If concurrence is not provided, the request will be rejected. Please see NISPOM 9-204, 9-300, 9-407, and 10-711 at http://www.dtic.mil/whs/directives/corres/pdf/522022M.pdf.

Cancel

6.   Click Program-Specific GCA POC button

The Program-Specific GCA POC page is displayed as shown in Figure 86.

Figure 86. Program-Specific GCA POC Page

24a. Program-Specific GCA POC First Name (Required)	24b. Program-Specific GCA POC Last Name (Required)
Maria	Thomas
24c. Program-Specific GCA POC Phone (Required)	24d. Program-Specific GCA POC Title (Required)
(123) 456-7890	COR
24e. Program-Specific GCA POC Email (Required)	
gca_gat@devcloud.dss.mil	
24f. Add Other POC(s)	
	Cancel

7. Click Sponsor Information button
   The Sponsor Submission page is displayed as shown in Figure 87.

Figure 87. Sponsorship Submission Page

25a. Sponsor Type (Required)	
Facility	
25b. Sponsor CAGE Code (Required)	25b. Sponsor Company Name (Required)
PC0005 - Prime Contractor Company Inc.	Prime Contractor Company Inc.
25c. First Name (Required)	25d. Last Name (Required)
Anna	Stockton (Sponsor)
25e. Phone (Required)	25f. Title (Required)
(123) 456-7890	FSO
25g. Sponsor Email (Required)	
fso_gat@devcloud.dss.mil	
	Cancel
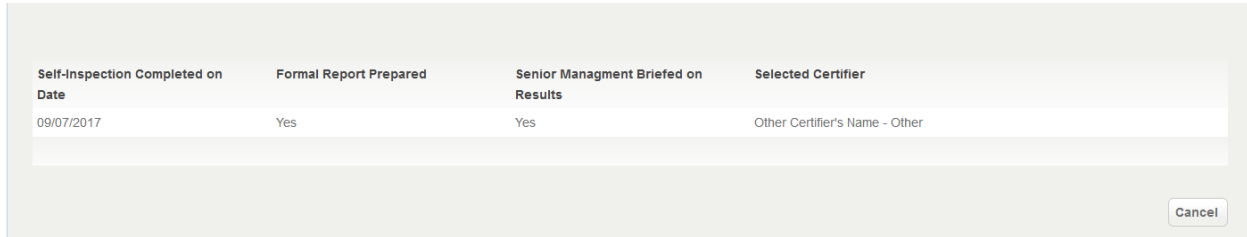
4.2.2.2.5.3   Self-Inspections

Within the "Facility Profiles" tab, under "Actions & Documentation" button,

1.   Select **Self-Inspections.**

The "Self-Inspections" information is displayed as shown in Figure 88.

Figure 88. Self-Inspections

Self-Inspection Completed on Date	Formal Report Prepared	Senior Managment Briefed on Results	Selected Certifier
09/07/2017	Yes	Yes	Other Certifier's Name - Other

Cancel

2.   Click *Self-Inspection record to view*.

The "Self-Inspection - Basic Information" page is displayed as shown in Figure 89.

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Figure 89. Self-Inspection- Basic Information Page

Basic Information

NISPOM 1-207b. Contractor Reviews. Contractors shall review their security system on a continuing basis and shall also conduct a formal self-inspection, including the self-inspection required by paragraph 8101h of chapter 8 of this Manual, at intervals consistent with risk management principles.

(1) These self-inspections will be related to the activity, information, information systems (ISs), and conditions of the overall security program, to include the insider threat program; have sufficient scope, depth, and frequency; and management support in execution and remedy.

(2) The contractor will prepare a formal report describing the self-inspection, its findings, and resolution of issues found. The contractor will retain the formal report for CSA review through the next CSA inspection.

(3) A senior management official at the cleared facility will certify to the CSA, in writing on an annual basis, that a self-inspection has been conducted, that senior management has been briefed on the results, that appropriate corrective action has been taken, and that management fully supports the security program at the cleared facility.

(4) Self-inspections by contractors will include the review of representative samples of the contractor's derivative classification actions, as applicable.

Please complete the following:

A formal report describing the self-inspection, its findings, and resolution of issues found has been prepared and will be retained for CSA review through the next CSA inspection.

Yes

Selected Certifier

Other Certifier's Name - Other

, a senior management official at the cleared facility, certifies to the CSA that a self-inspection has been conducted, that senior management has been briefed on the results, that appropriate corrective action has been taken, and that management fully supports the security program at the cleared facility.

Self-Inspection Completed on Date

09/07/2017

Upload Self Inspection Attachment

Self-Inspection Report.pdf

Facility

SC042 - Sample Company 042

Submitted By

lz fso

Date Submitted

09/25/2017

Cancel

4.2.2.2.5.4   Messaging

Within the "Facility Profiles" tab, under "Actions & Documentation" button,

1.   Select **Messaging.**

The "Messaging" information is displayed as shown in Figure 90.

Figure 90. Messaging

Status	Reply Status	Date Sent	Message Type	Sender Full Name	Role	
Unread		09/24/2017 10:40 AM	Suspicious Contact Report	lz fso	Facility Security Officer (FSO)	gat1 isrep
Unread		09/24/2017 10:39 AM	Security Violation	lz fso	Facility Security Officer (FSO)	gat1 isrep
Unread		09/24/2017 10:34 AM	Security Violation	lz fso	Facility Security Officer (FSO)	gat1 isrep

FACILITY MESSAGING   NEW FACILITY MESSAGING

Cancel

2.   Click *Message to open*.

The Message - Basic Information page is displayed as shown in Figure 91.

Figure 91. Message- Basic Information Page

Basic Information

Sender Full Name
lz fso

Status
Unread

Sender Role
Facility Security Officer (FSO)

Attachment 1
Select a File

Facility Profile
SC042 - Sample Company 042

Attachment 2
Select a File

Date Sent
09/24/2017 10:40 AM

Attachment 3
Select a File

Message Type

Attachment 4
Select a File

Message *
Sending the ISR a Suspicious Contact Report from dashboard link.

Attachment 5
Select a File

Go to Profile

Select Message Text

Replies   ADD REPLY

No Records Present

Cancel

4.2.2.3   Submit My FCL Package

From the NISS dashboard,

1. Click **"Submit My FCL Package"** link as shown in Figure 92.

Figure 92. Select Submit My FCL Package link
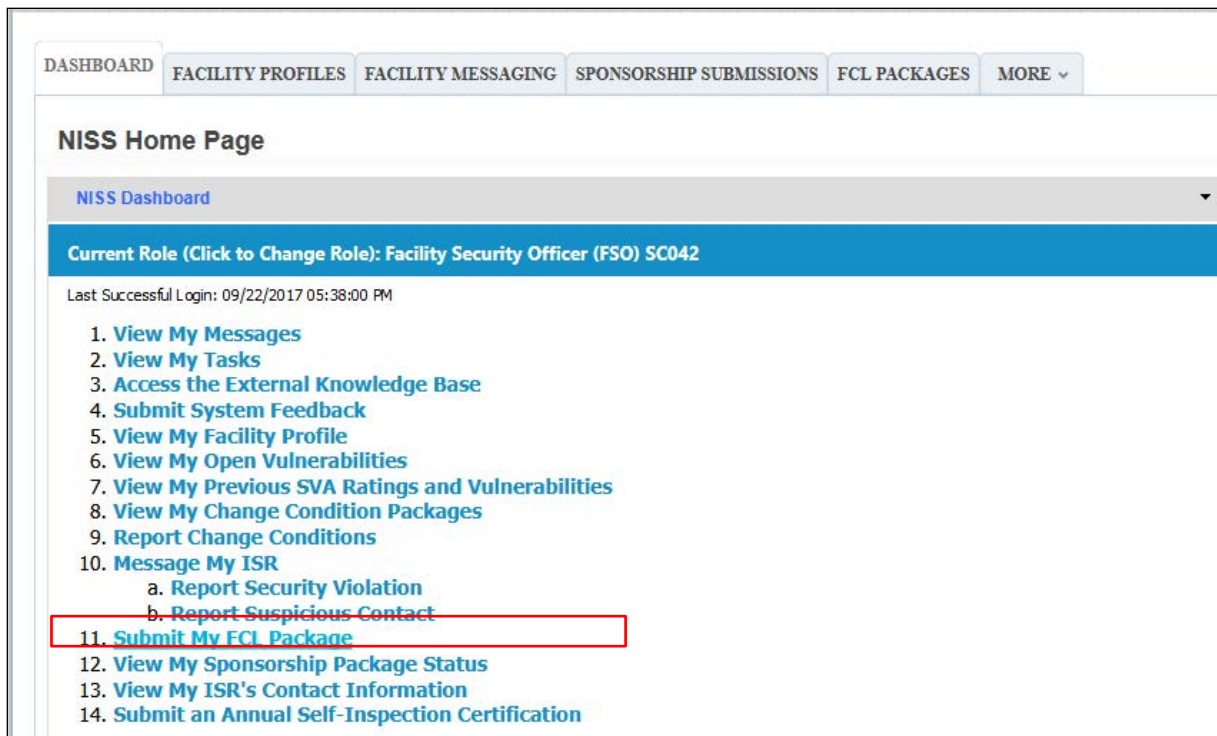
The "FCL PACKAGES" tab is opened displaying the "My FCL Packages to be Submitted" page as shown in Figure 93.

Figure 93. My FCL Packages to be Submitted Tab
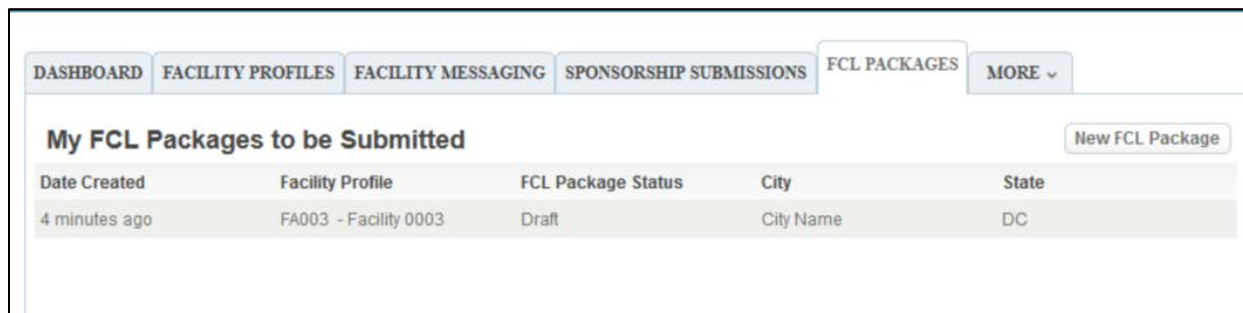
2. Single-Click **FCL Package** *(marked Draft)*.

    NISS displays the selected *FCL Package* as shown in Figure 95.

    There are Four (4) components to a FCL Package:

    • Basic Information

- SF-328
- Supporting Documents (upload documents and other artifacts)
- KMP List
- Industry-DSS Package Comments

4.2.2.3.1   Navigation within the FCL Package

Navigating of the FCL Package is through the use of 'buttons' located at the top of each page of a package as shown in Figure 94.

Figure 94. Submitted FCL Package Navigation Buttons

| Basic Information | SF-328 | Supporting Documents | KMP List | Industry-DSS Package Comments |
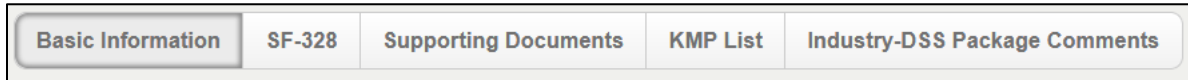
4.2.2.3.2   Basic Information Button

From "FCL PACKAGES" tab, Opened FCL Package,

1. Click **Basic Information** button**,** the page is displayed as shown in Figure 95.

Figure 95. FCL Packages - Basic Information Page

2. Enter as much information as appropriate.

   The fields for "FCL Packages - Basic Information" are described in Table 16.

Table 16. FCL Packages - Basic Information Fields

Field	Values
Facility Profile	Automatically populated

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Field	Values
FCL Package Status	Automatically populated
FCL Package Type*	Automatically populated
If changing the Business Structure, please save to have your Supporting Documents list updated.	
Business Structure*	Using the picklist, Select **Business Structure**
Tax ID	Enter **[Tax ID]**
Prior Legal names	Enter **[Prior Legal names]**
Prior Addresses	Enter **[Prior Addresses]**

NOTE:

If changing the Business Structure, please save (the page) to have your Supporting Documents list updated. The information cannot be submitted without completing the Basic Information page.

TIP

If on saving, one of the FCL Package navigation buttons title turns red, it is indicating that an error was found.

3. Click
   - **Save** *(to commit entered or altered input)*
   - **Submit** *(if package is ready to submit)*
   - **Cancel** *(to not save any changes)*

4.2.2.3.3   SF-328 Button

From opened FCL Package from the "FCL PACKAGES" tab,

1.   Click **SF-328** button.

The "SF-328" page is displayed as shown in Figure 96,

Figure 96. FCL Packages - SF-328

2. Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest? ⓘ

◉ Yes ○ No

Identify the foreign interest by name, country, percentage owned, and personnel who occupy management positions with the organizations.

If there are personnel from your organization who occupy management positions with the foreign firm(s), identify the name(s), title, and extent of involvement in the operations of the organizations, (to include access to classified information).

3. Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials? ⓘ

◉ Yes ○ No

Identify the foreign person(s) by name, title, citizenship, immigration status and clearance or exclusion status.

Attach copies of applicable by-laws or articles of incorporation, which describe the affected position(s). However, if you have already provided such copies to the Cognizant Security Agency Industrial Security Representative, so state.

4. Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization?

(4) Foreign Person(s) Control ⓘ

◉ Yes ○ No

Identify the foreign person(s) by name, title, citizenship, and all details concerning the control or influence.

Note: If any foreign person(s) have such power, this question shall be answered in the affirmative even if such power has not been exercised, and whether or not it is exercisable through ownership of your facility's securities, if such power may be invoked by contractual arrangements or by other means.

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5. Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)?   ⓘ

◉Yes ◯No

If Yes, for each instance, provide the name of the foreign person, country, percentage of gross income derived, and nature of involvement, including:

-Whether defense/nuclear related or not

-Involvement with classified or export controlled technology

-Compliance with export control requirements

-Where the organization has a large number of involvements and where these involvements are not defense/ nuclear related and represent a small percentage of gross income; the explanation can be a generalized statement addressing the totals by country.

(5) Foreign Person(s) Details

[text field]

Note: We do not expect and will not require the contractor to ask every customer if he/she falls within the NISPOM definition of a foreign person. We will ask the contractor to provide ongoing security education to those individuals who negotiate and/or administer such agreements regarding their responsibilities to report agreements with a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question to "the best of his/her knowledge" or "through his/her best efforts".

6. Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)?   ⓘ

◉Yes ◯No

If yes, with respect to indebtedness or liability to a foreign person, indicate to whom indebted or liable, what collateral has been furnished or pledged, and any conditions or covenants of the loan agreement. If stock or assets have been furnished or pledged as collateral, provide a copy of the loan agreement or pertinent extracts thereof (to include procedures to be followed in the event of default).

Provide your overall debt-to-equity ratio (in percentage).

[text field]

(6) To Whom Indebted or Liable, Collateral, and Conditions or Covenants of Loan Agreement

[text field]

If any debentures are convertible, provide specifics.

[text field]

If loan payments are in default, provide details.

[text field]

This question should be answered in the affirmative if the debt is with a U.S. entity that is owned or controlled either directly or indirectly by a foreign person. If unknown, so state.

[text field]

Note: As stated above, we do not expect and will not require the contractor to ask every lender if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle lending arrangements regarding their responsibilities to report any such arrangements with a foreign person lender, to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

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7. During your last fiscal year, did your organization derive:

a. 5 percent or more of its total revenues or net income from any single foreign person?

⦿Yes ◯No   ⓘ

b. In the aggregate 30 percent or more of its revenues or net income from foreign persons?

⦿Yes ◯No   ⓘ

Provide overall percentage of income derived from foreign sources *by country*, nature of involvement, and type of services or products.

```



```

Indicate if any single foreign source represents in excess of 5% of total revenues or net income.

```



```

Indicate whether any classified information is involved.

```



```

State whether facility is in compliance with applicable export control requirements.

```



```

Note: As previously stated, we do not expect and will not require the contractor to ask every customer if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle information about company revenues regarding their responsibility to report revenues derived from a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

8. Is 10 percent or more of any class of your organization's voting securities held in 'nominee' shares, in 'street names' or in some other method which does not identify the beneficial owner?   ⓘ

⦿Yes ◯No

If yes, include copies of SEC Schedule 13D 13G.

Identify each foreign institutional investor holding 10% or more of the voting stock by name and address and the percentage of stock held.

```



```

Indicate whether any investor has attempted to, or has exerted any control or influence over appointments to management positions or influenced the policies of the organization.

```



```

9. Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)?

(9) Positions With or Consultants for Foreign Person(s)   ⓘ

⦿Yes ◯No

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9. Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)?

(9) Positions With or Consultants for Foreign Person(s)   ⓘ

◉ Yes ○ No

Provide the name, title, citizenship, immigration status and clearance or exclusion status on all such persons.

[text box]

Identify, by name and address, each foreign organization with which such persons serve and indicate the capacity in which they are serving.

[text box]

Include a Statement of Full Disclosure of Foreign Affiliations for every cleared individual who is a representative of a foreign interest.

[text box]

Note: We expect the contractor to be able to answer this question fully for those individuals holding such positions with his/her foreign subsidiaries and any foreign interests. However, we do not expect and will not require the contractor to ask every individual to ascertain if he/she is serving as a director, officer or manager of a foreign person. We will ask the contractor to provide ongoing security education to all key management personnel of their responsibilities to report serving as an interlocking director or in any other type of positions with a foreign person to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

10. Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization?   ⓘ

◉ Yes ○ No

Describe the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.

[text box]

Remarks   ⓘ

[text box]

Certification Information

Witness Name

[   ]

Authorized Contractor Representative Name

[   ]

Authorized Contractor Representative Title

[   ]

Street 1

[12 Main Street   ]

Street 2

[   ]

City

[Alexandria   ]

State

[VA   ▾]

Zip Code

[12345   ]

WHEN READY TO SIGN COMPLETED SF-328:
When you've completed and validated the information on this page, you can generate a PDF of this SF-328 information by clicking the "Print SF-328 to PDF" button below and save the PDF to your desktop. (The "Print SF-328 to PDF" button will only appear when all required fields on the SF-328 have been populated.)

Once generated, print the PDF, sign and certify it as indicated, scan the signed printout, and attach the scan to this form as an "SF-328" Supporting Document attachment. Then you should be able to Save and Submit your completed FCL Package.

Note: be sure to Save your changes to this form before generating your PDF.

[Submit] [Save] [Cancel]

2. Enter as much information as appropriate. The responses to the questions will determine which of the following fields are displayed.

> ***TIP***
>
> For assistance with SF-328 1a or 1b, see the guidance in the 'Contractor Ownership and Control' document provided by link in "Supporting Documents" tab.

The fields for "SF-328" are described in Table 17.

Table 17. FCL Packages - SF-328 Fields

Field	Values
PENALTY NOTICE Failure to answer all questions or any misrepresentation (by omission or concealment, or by misleading, false or partial answers) may serve as a basis for denial of clearance for access to classified information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment, $15,000 fine or both, knowingly to make a false statement or representation to any Department or Agency of the United States, as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly incorrect, incomplete or misleading in any important particular. PROVISIONS 1. This report is authorized by the Secretary of Defense, as Executive Agent for the National Industrial Program, pursuant to Executive Order 12829. While you are not required to respond, your eligibility for a facility security clearance cannot be determined if you do not complete this form. The retention of facility security clearance is contingent upon your compliance with the requirements of DoD 5220.22-M for submission of a revised form as appropriate. 2. When this report is submitted in confidence and is so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold it from public disclosure.	

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Field	Values
3. Complete all questions on this form. Mark "Yes" or "No" for each question. If your answer is "Yes", furnish, in full, the complete information under the appropriate corresponding fields. QUESTIONS and ANSWERS 1. (Answer 1a or 1b)	
Check this box if your organization is a branch/division or your tier parent is submitting a consolidated SF-328 (checking this box will delete the SF-328 and its attachments from this package)	Select **checkbox** If checked, provide information in the following two 'Consolidated SF-328'' fields.
Consolidated SF-328 Parent CAGE Code*	Enter **[Consolidated SF-328 Parent CAGE Code]**
Consolidated SF-328 Parent Facility Name*	Enter **[Consolidated SF-328 Parent Facility Name]**
Does your company issue stock?*	Select **Yes** or **No** *If "No", continue to Question 1b.*
1a. (For entities which issue stock): Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5 percent or more of the outstanding shares of any class of your organization's equity securities?	Select **Yes** or **No** *If "Yes", continue to Question 1a* *If "No", continue to Question 2.*
Note: Ownership of less than 5% should be included if the holder is entitled to control the appointment and tenure of any management position.	
(1a) Percentage of Stock or Other Securities Details. I*dentify the percentage of any class of stock or other securities issued which are owned by foreign persons, broken down by country. Include indirect ownership through one or more intermediate level(s) of subsidiaries. Indicate voting rights of each class of stock.*	Enter [**Percentage of Stock or Other Securities Details**]
Are there shareholder agreements? If yes, attach a copy(ies), and if none, so state. *(Upload in "Supporting Documents")*	Select **Yes** or **No**
Shareholder Agreement Comment	Enter [**Shareholder Agreement Comment**]
Indicate whether a copy of SEC Schedule 13D/13G report has been received from any investor. If yes, attach a copy(ies). *(Upload in "Supporting Documents")*	Select **Yes** or **No**
b. (for entities which do not issue stock): Has any foreign person directly or indirectly subscribed 5% or more of your organization's total capital commitment?	Select **Yes** or **No** *If "No", continue to Question 2*
Identify the percentage of total capital	Enter [**percentage of total capital**

Field	Values
commitment which is subscribed by foreign persons.	**commitment which is subscribed by foreign persons**]
Is there an agreement(s) with the scriber(s)? If yes, attach a copy(ies), and if none, so state. *(Upload in "Supporting Documents")*	Select **Yes** or **No**
Subscriber Agreement Comment	Enter **[Subscriber Agreement Comment]**
2. Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest.	Select **Yes** or **No** *If "No, continue to Question 3.*
Identify the foreign interest by name, country, percentage owned, and personnel who occupy management positions with the organization	Enter [**Foreign interest by name, country, percentage owned, and personnel who occupy management positions with the organization**]
If there are personnel from your organization who occupy management positions with the foreign firm(s), identify the name(s), title, and extent of involvement in the operations of the organizations, (to include access to classified information).	Enter [**Personnel from your organization who occupy positions with foreign firm(s) by Name(s), title, and extent of involvement in the operations of the organizations, (to include access to classified information**)]
3. Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials?	Select **Yes** or **No** *If "No", continue to Question 4.*
Identify the foreign person(s) by name, title, citizenship, immigration status and clearance exclusion status.	Enter [**Foreign person(s) name, title, citizenship, immigration status and clearance exclusion status**]
Attach copies of applicable by-laws or articles of incorporation, which describe the affected position(s). However, if you have already provided such copies to the Cognizant Security Agency Industrial Security Representative, so state. *(Upload in "Supporting Documents")*	Enter ["**Attachments" or state "provided to Cognizant Security Agency Industrial Security Representative**"]
4. Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization?	

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Field	Values
Note: If any foreign person(s) have such power, this question shall be answered in the affirmative even if such power has not be exercised, and whether or not it is exercisable through ownership of your facility's securities, if such power may be invoked by contractual arrangements or by other means.	
(4) Foreign Person(s) Control	Select **Yes** or **No** *If "No", continue to Question 5.*
Identify the foreign person(s) by name, title, citizenship, and all details concerning the control or influence.	Enter **[Foreign person(s) by name, title, citizenship, and all details concerning the control or influence.]**
5. Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)?	Select **Yes** or **No** *If "No", continue to Question 6.*
If Yes, for each instance, provide the name of foreign person, country, percentage of gross income derived, and nature of involvement including: • Whether defense/nuclear related or not • Involvement with classified or export controlled technology • Compliance with export control requirements • Where the organization has a large number of involvements and where these involvements are not defense/nuclear related and represent a small percentage of gross income; the explanation can be a generalized statement addressing the totals by country. **Note:** We do not expect and will not require the contractor to ask every customer if he/she falls within the NISPOM definition of a foreign person. We will ask the contractor to provide ongoing security education to those individuals who negotiate and/or administer such agreements regarding their responsibilities to report agreements with a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question to "the best of his/her knowledge" or "through his/her best efforts".	
(5) Foreign Person(s) Details	Enter **[Name of foreign person, country, percentage of gross income derived, and nature of involvement** (as detailed above)**]**
6. Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to foreign person(s)? With respect to indebtedness or liability to a foreign person, indicate to whom indebted or liable, what collateral has been furnished or pledged, and any conditions or covenants of the	Select **Yes** or **No** *If "No", continue to Question 7*

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Field	Values
loan agreement. If stock or assets have been furnished or pledged as collateral, provide a copy of the loan agreement or pertinent extracts thereof (to include procedures to be followed in the event of default).	
Provide your overall debt-to-equity ratio (in percentage)	Enter **[Percentage of overall debt-to-equity]**
(6) To whom indebted or Liable, collateral, and conditions or covenants of Loan Agreement	Enter **[To whom indebted or Liable, collateral, and conditions or covenants of Loan Agreement]**
If any debentures are convertible, provide specifics.	Enter **[Specifics of debentures that are convertible]**
If loan payments are in default, provide details.	Enter **[Details of loan in default]**
This question should be answered in the affirmative if the debt is with a U.S. entity that is owned or controlled either directly or indirectly by a foreign person. If unknown, so state.	Enter **[This question should be answered in the affirmative if the debt is with a U.S. entity that is owned or controlled either directly or indirectly by a foreign person. If unknown, so state.]**
7. During your last fiscal year, did your organization derive:	
a. 5 percent or more of its total revenues or net income from any single foreign person?	Select **Yes** or **No** *If "No", continue to Question 7b.*
b. In the aggregate 30 percent or more of its revenue or net income from foreign persons?	Select **Yes** or **No** *If 7a and 7b "No", continue to Question 8.*
Provide overall percentage of income derived from foreign sources *by country*, the nature of involvement, and type of services or products.	Enter **[By country, the overall percentage of income derived from foreign sourced, the nature of involvement, type of services or products]**
Indicate if any single foreign source represents in excess of 5% of total revenues or net income	Enter **[Indicate if any single foreign source represents in excess of 5% of total revenues or net income]**
Indicate whether any classified information is involved.	Enter **[Indicate whether any classified information is involved.]**
State whether facility is in compliance with applicable export control requirements.	Enter **[State whether facility is in compliance with applicable export control requirements]**

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Field	Values
Note: As previously stated, we do not expect and will not require the contractor to ask every customer if he/she falls within the NISPOM definition of a foreign person. We will ask the contractor to provide ongoing security education to those individuals who negotiate and/or administer such agreements regarding their responsibilities to report agreements with a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question to "the best of his/her knowledge" or "through his/her best efforts".	
8. Is 10 percent or more of any class of your organization's voting securities held in 'nominee' shares, in 'street names' or in some other method which does not identify the beneficial owner? If yes, include copies of SEC Schedule 13D 13G. *(Upload in "Supporting Documents")*	Select **Yes** or **No** If **"No"**, *continue to Question 9.*
Identify each foreign institutional investor holding 10% or more of the voting stock by name and address and the percentage of tock held.	Enter **[the identity of each foreign institutional investor holding 10% or more of the voting stock by name and address and the percentage of tock held]**
Indicate whether any investor has attempted or, or has exerted any control or influence over appointments to management positions or influenced the policies of the organization.	Enter **[Indicate whether any investor has attempted or, or has exerted any control or influence over appointments to management positions or influenced the policies of the organization]**
9. Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)?	
(9) Positions With or Consultants for Foreign Person(s)	Select **Yes** or **No**
Provide the name, title, citizenship, immigration status and clearance or exclusion status of all such persons.	Enter **[Provide the name, title, citizenship, immigration status and clearance or exclusion status of all such persons.]**
Identify, by name and address, each foreign organization with which such persons serve and indicate the capacity in which they are serving.	Enter **[Identify, by name and address, each foreign organization with which such persons serve and indicate the capacity in which they are serving.]**
Include a Statement of Full Disclosure of Foreign Affiliations for every cleared individual who is a representative of a foreign interest.	Enter **[Include a Statement of Full Disclosure of Foreign Affiliations for every cleared individual who is a**

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Field	Values
	representative of a foreign interest.]
10. Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization?	Select **Yes** or **No** If **"No"**, continue to "Remarks"
Describe the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.	Enter **[A description of the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.]**
Remarks	Enter **[Remarks]**
Certification Information	
Witness Name	Enter **[Witness Name]**
Authorized Contractor Representative Name	Enter **[Authorized Contractor Representative Name]**
Authorized Contractor Representative Title	Enter **[Authorized Contractor Representative Title]**
Street 1	Enter **[Street Address]**
Street 2	Enter **[Street Address]**
City	Enter **[City name]**
State	Using the Picklist, Select **the State**
Zip Code	Enter **[Zip Code]**
WHEN READY TO SIGN COMPLETED SF-328: When you've completed and validated the information on this page, you can generate a PDF of this SF-328 information by clicking the "Print SF-328" button below and save the PDF to your desktop. (The "Print SF-328 to PDF" button will only appear when all required fields on the SF-328 have been populated.) Once generated, print the PDF, sign and certify it as indicated, scan the signed printout, and attach the scan to this form as an "SF-328" Supporting Document attachment. Then you should be able to Save and Submit your completed FCL Package. Note: be sure to Save your changes to this form before generating your PDF.	

> ***TIP***
>
> If on saving, one of the FCL Package navigation buttons title turns red, it is indicating that an error was found.

3. Click
   - **Save** *(to commit entered or altered input)*
   - **Print SF-328 to PDF** *(only available when all required fields populated)*
   - **Submit** *(if package is ready to submit)*
   - **Cancel** *(to not save any changes)*

4.2.2.3.4   Supporting Documents Button

Opened FCL Package from the "FCL PACKAGES" tab,

1.   Click **Supporting Documents** button.

The "Supporting Documents" page is displayed as shown in Figure 97.

Note
The "Supporting Documents" page will provide the status of REQUIRED documents as "(NOT Uploaded)" in red or list the required document (indicating it has been uploaded).

Figure 97. FCL Packages - Supporting Documents Page

4.2.2.3.4.1   ADD RECORD

Note that Figure 97 shows the status of information, specifically note the "(Not Uploaded) Legal Organizational Chart". This status will change by adding a record (uploading the Legal Organizational Chart) using the following instructions.

1.   Click **ADD RECORD** button as shown in Figure 97**.**

The "Add Record" page is displayed as shown in Figure 98.

Figure 98. Upload Supporting Documents - Add Record Page

Add Record

Basic Information

Document Type *   ⓘ   Supporting Document *   ⓘ
[_____ ▾]   ➕ Select a File

Description   FCL Package
[_____]   [_____]

Save   Cancel

2. Enter as much information as appropriate.

The fields for "Add Record" are described in Table 18.

Table 18. Upload Supporting Documents - Add Record Fields

Field	Values
Document Type*	Using the picklist, Select the **Document Type**
Description	Enter **[Description]**
Supporting Document*	Click **+Select a File** Double-click *File to be uploaded*
FCL Package	Field unavailable for input.

3. Click
   - **Save** *(to commit entered or altered input)*
   - **Submit** *(if package is ready to submit)*
   - **Cancel** *(to not save any changes)*

When a required document is uploaded, FCL Packages - Supporting Documents Page will now show the status change from "(Not Uploaded)" to "(Uploaded) as shown when the "Legal Organizational Chart" is uploaded as displayed in Figure 99.

Figure 99. FCL Packages - Supporting Documents Page - Updated Document Status

| Basic Information | SF-328 | Supporting Documents | KMP List | Industry-DSS Package Comments |

- A sample Legal Organization Chart PDF is available here: Click here for Sample_Org_Chart.pdf
- A fillable PDF version of the Ownership and Control Worksheet is available here: Click here for Contractor_Ownership_and_Control.pdf

  The following documents are REQUIRED for your type of FCL package. Additional documents may be uploaded.

- KMP List - see KMP List tab
- **(Not Uploaded) SF-328**
- **(Not Uploaded) Articles of Organization or Certificate of Formation**
- **(Not Uploaded) Meeting Minutes***
- **(Not Uploaded) DD Form 441**
- (Uploaded) Legal Organization Chart
- **(Not Uploaded) Operating Agreement**

4.2.2.3.5   KMP List Button

Open FCL Package from the "FCL PACKAGES" tab,

1.   Click **KMP List** button as shown in Figure 100**.**

The KMP List page is displayed as shown in. The current status of required KMP List data is displayed at the top; red items need to be addressed.

The "(Not Identified) FSO" will be corrected in section 4.2.2.3.5.2.

Figure 100. FCL Packages - KMP List Page
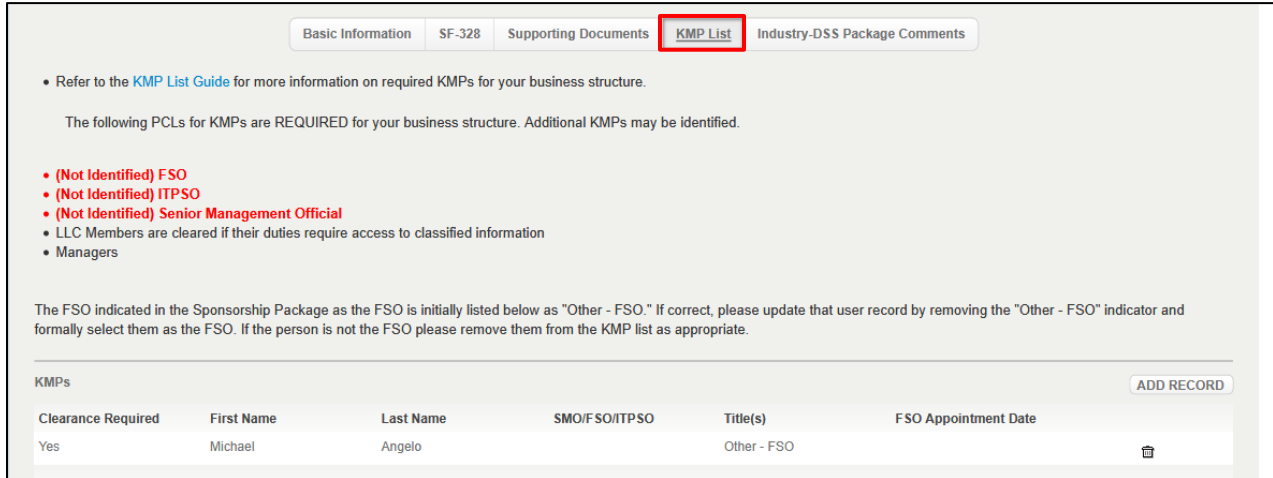
4.2.2.3.5.1   Modify KMP List Record

Open FCL Package from the "FCL PACKAGES" tab, KMP List page,

1.   Click **_KMP record to open/modify_** as shown in Figure 101.

Figure 101. FCL Packages - KMP List - Select KMP Record to Open
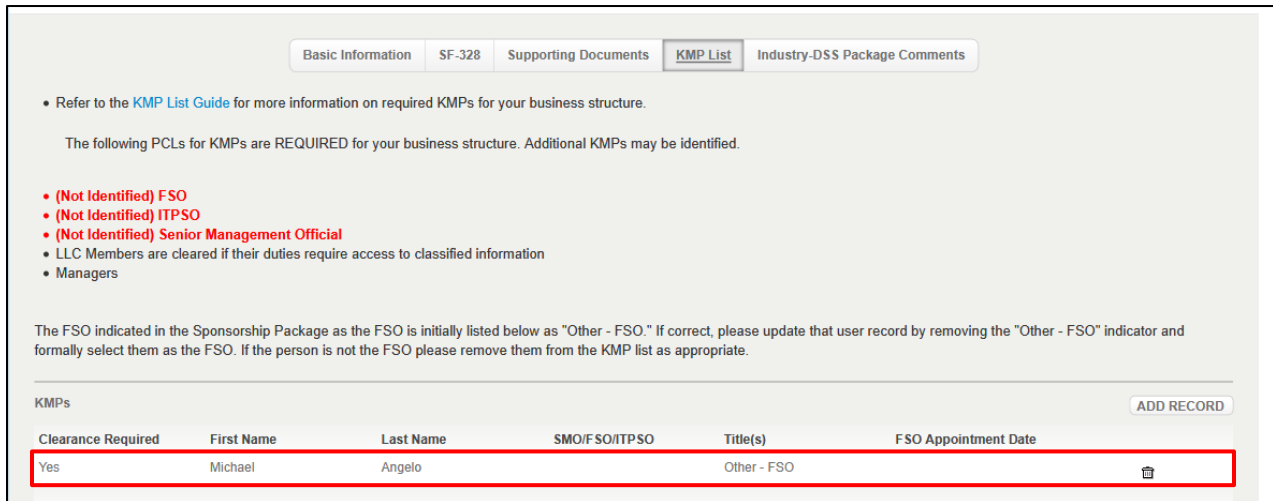
2.   Modify and save the record using the field descriptions in section 4.2.2.3.5.2.

4.2.2.3.5.2   ADD RECORD

Note that Figure 100 shows the status of information, for example, "(Not Identified) FSO".

1.   Click **ADD RECORD** button as shown in Figure 102**.**

Figure 102. FCL Packages - KMP List Page

The "KMP Details" page is displayed as shown in Figure 103.

Figure 103. Add Record - KMP Details Page

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Position Titles

Select all that apply:
- ☐ CEO
- ☐ Partner
- ☐ President
- ☐ Vice President
- ☐ Secretary
- ☐ Treasurer
- ☐ Chairman
- ☐ Director
- ☐ Member
- ☐ Manager
- ☑ Other

(Please Specify)

FSO

Ownership Percentage

KMP Exclusion

Excluded ⓘ
☐

Temporary Exclusion ⓘ
☐

Exclusion Date (mm/dd/yyyy)
📅

Birth Information

D.O.B (mm/dd/yyyy)
📅

City

State

Country

Citizenship

Check for Dual Citizenship ⓘ
☐

Immigration Status

Country

FOCI Related KMP

Inside Director
☐

Street 1

Street 2

City

State

Zip Code

Outside Director/Proxy Holder
☐

Phone ⓘ

Email ⓘ

Save   Cancel

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2. Enter as much information as appropriate.

The fields for "Add Record - KMP Details Page" are described in Table 19.

Table 19. FCL Packages - Add Record - KMP Details Fields

Field	Values
KMP Details	
Prefix (Mr., Dr., etc.) ("*" Required for Essential KMP)	Enter **[KMP Prefix]**
First Name*	Enter **[First Name]**
Middle Name ("*" Required for Essential KMP)	Enter **[Middle Name]**
Last Name*	Enter **[Last Name]**
SSN ("*" Required for Essential KMP)	Unavailable field
Suffix ("*" Required for Essential KMP)	Enter **[KMP Suffix]**
Essential KMP (Required to be cleared in connection with FCL)*	Select **Yes** or **No**
Role	Select **[checkbox]**.
Ownership Percentage	Enter **[Percent of ownership]**
KMP Exclusion	
Excluded	Select **checkbox**
Temporary Exclusion	Select **checkbox**
Exclusion Date	Using the calendar picker, Select **Exclusion Date**
Position Titles	
Select all that apply:	Select **[checkbox(s)]** as applicable
Birth Information	
D.O.B (mm/dd/yyyyy) ("*" Required for Essential KMP)	Using the calendar picker, Select **Date of Birth**
City ("*" Required for Essential KMP)	Enter **[City of birth]**
State ("*" Required for Essential KMP)	Enter **[State of birth]**
Country ("*" Required for Essential KMP)	Enter **[Country of birth]**
Citizenship	
Check for Dual Citizenship	Select **checkbox** if Dual Citizenship
Immigration Status	Enter **[Immigration Status]**
Country ("*" Required for Essential KMP)	Enter **[Country of birth]**
FOCI Related KMP	
Inside Director	Select **checkbox** if FOCI KMP is Inside Director

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Field	Values
Street 1	Enter **[Street 1]**
Street 2	Enter **[Street 2]**
City	Enter **[City]**
State	Using Picklist, Select **[State of birth]**
Zip Code	Enter **[Zip code]**
Outside Director/Proxy Holder	Select **checkbox** if FOCI KMP is Outside Director/Proxy Holder
Phone	Enter **[Phone number]**
Email	Enter **[Email Address]**

3. Click
   - **Cancel** *(to not save any changes)*
   - **Save**
     - *To commit newly entered or altered input.*
     - *Performs data entry validation and error reporting as described in Section 4.2.2.3.1*

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4.2.2.3.6   Industry-DSS Package Comments

From opened FCL Package from the "FCL PACKAGES" tab,

1.   Click **Industry-DSS Package Comments,** the page is displayed as shown in Figure 104.

Figure 104. FCL Packages - Industry-DSS Package Comments Page
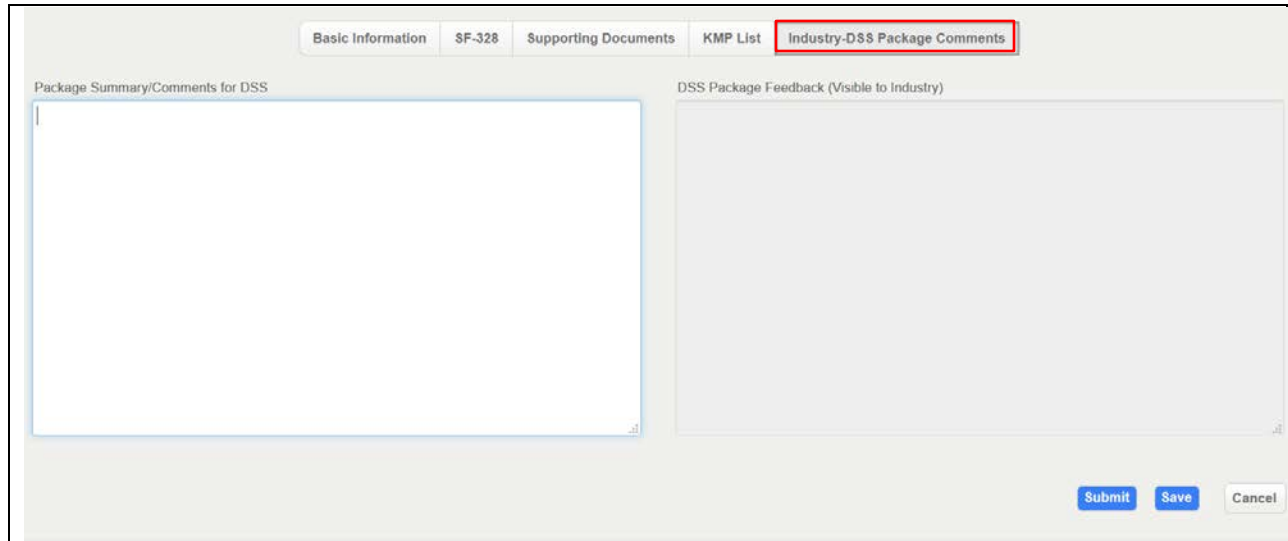
2.   Enter as much information as appropriate.

The fields for "FCL Packages - Industry-DSS Package Comments" are described in Table 20.

Table 20. FCL Packages - Industry-DSS Package Comments Fields

Field	Values
Package Summary/Comments for DSS	Enter **[Package Summary/Comments for DSS]**
DSS Package Feedback (Visible to Industry)	Not available for modification.

3.   Click
     - **Save** (to updated business structure attached artifacts or modified information) or
     - **Submit** (to submit the package) or
     - **Cancel** (to not save any changes)

4.2.3 Verification Requests
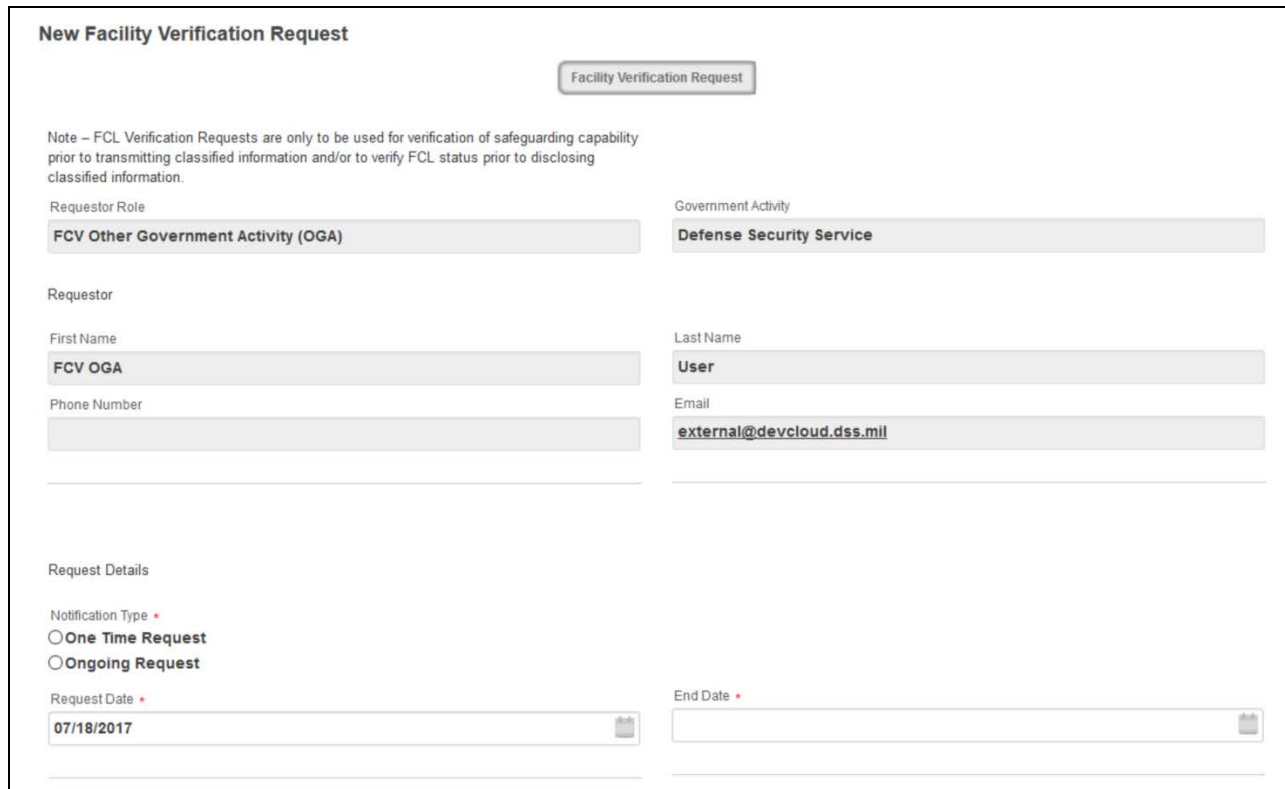
4.2.3.1 Submit Facility Verification Requests (FVR)

From the dashboard,

1. Click **"Submit Facility Verification Requests"** link.

   The "New Facility Verification Request" page is displayed as shown in Figure 105.

Figure 105. New Facility Verification Request Page

2. Enter as much information as appropriate.

The fields for "New Facility Verification Request" are described in Table 21.

Table 21. New Facility Verification Request Fields

Field	Values
Requestor Role	Enter **[Requestor Role]**
Government Activity	Enter **[Government Activity]**
First Name	Enter **[Requestor's First Name]**
Last Name	Enter **[Requestor's Last Name]**
Phone Number	Enter **[Requestor's Phone Number]**
Email	Enter **[Requestor's Email]**
Notification Type*	Select **Notification Type**
Request Date*	Using the calendar icon, Navigate **to the appropriate date** Click **day**.
End Date*	Using the calendar icon, Navigate **to the appropriate date** Click **day**.
Enter CAGE Code or Facility Name*	Enter **[*first three characters of cage code*]** Click **Search symbol**,
Facility Legal Name	Automatically populated
Cage Code	Automatically populated
Street Address 1	Enter **[Physical location Street Address]**
Street Address 2	Enter **[Physical location Street Address2]**

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Field	Values
City	Enter **[Physical location City]**
State	Enter **[Physical location State]**
Zip Code	Enter **[Physical location Zip Code]**

3. Click **Submit**

A confirmation dialog is displayed as shown in Figure 106.

Figure 106. Notification Submission Confirmation

Your submission has been received.

Please click "Notifications" at the top of the screen to view your notifications.

OK
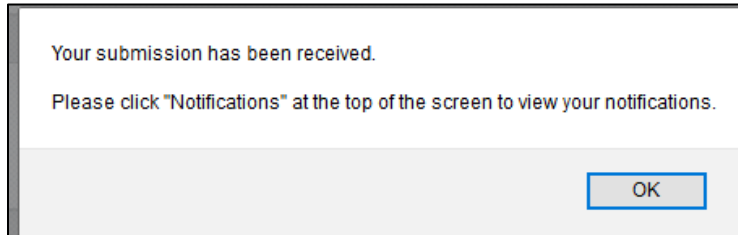
4. Click **OK**

See the description for view Notifications in Section 4.2.3.3.

4.2.3.2 View Facility Verifications

From the NISS dashboard,

1. Click **"View Facility Verifications"** link.

The "FACILITY VERIFICATION REQUEST" tab is opened displaying the submitted packages filtered by the "My Facility Verification Requests" as shown in Figure 107.

Figure 107. Facility Verification Rrequest Tab - My Facility Verification Requests View

| DASHBOARD | FACILITY VERIFICATION REQUEST | NISS FEEDBACK | TASKS | | Facility Verification Request Views |

My Facility Verification Requests | New Facility Verification Request | **My Facility Verification Requests**

CAGE Code	Facility Legal Name	Request Date	End Date
FA003	Facility 0003	07/18/2017	07/18/2017
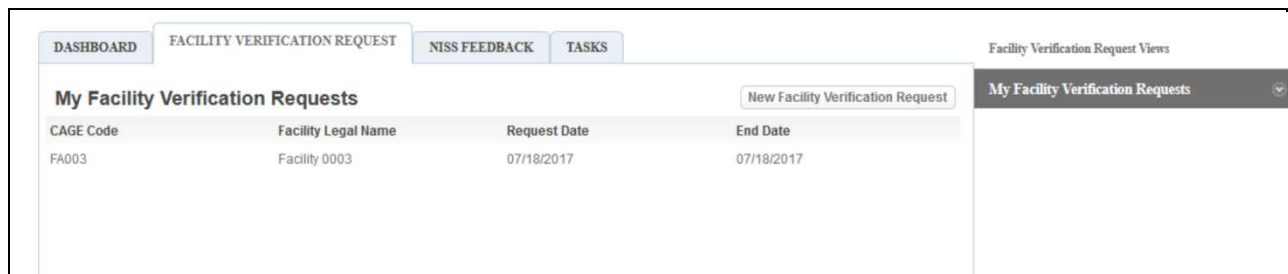
2. Single-Click *Facility record to display.*

The "FACILITY VERIFICATION REQUEST" page is displayed as shown in Figure 109.

Navigating a Facility Verification Request record is through the use of 'buttons' located at the top of each page of a request as shown in Figure 108.

Figure 108. Submitted FCL Package Navigation Buttons

Facility Verification Request | Notifications
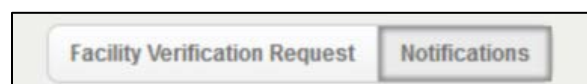
Figure 109. Facility Verification Request Page

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4.2.3.3 View My FVR Notifications

On the dashboard,

Click **View My FVR Notifications**

1. Click **Notifications** button.
The Notifications page is displayed as shown in Figure 110.

Figure 110. Facility Verification Request - Notifications Button
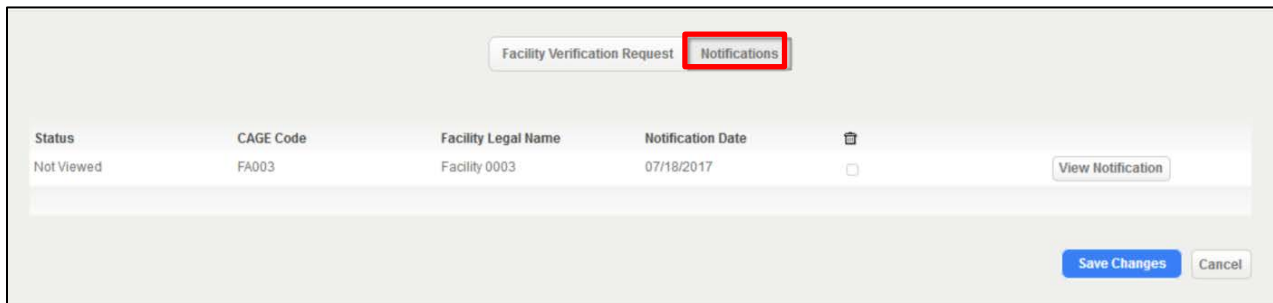
2. **Click View Notification** as shown in Figure 111.

Figure 111. Facility Verification Request - View Notifications Button
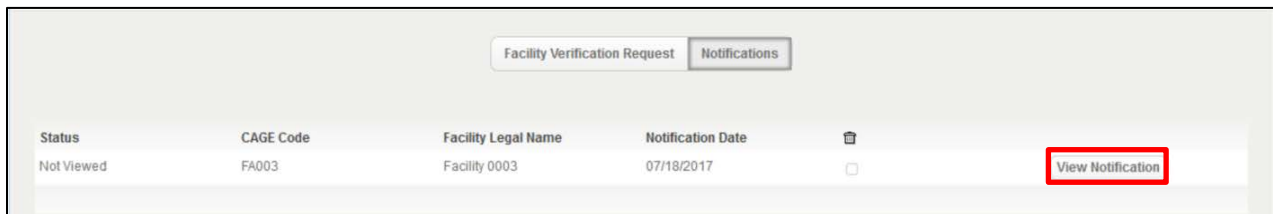
A popup is displayed with options to "Open" or "Save" the Notification.

3. Select **Open** *(you can also save the file as it is a pdf)*

The notification is displayed as shown in Figure 112.

Figure 112. Facility Verification Request Notifications Page

View Notification

The following changes have occurred for PC0005 Prime Contractor Company Inc.:

A verification request was created for this facility.

*This information is valid as of 09/25/2017

This is to advise you that the following information is current verification information for the facility.

|	
CAGE Code:	PC0005
Facility Name:	Prime Contractor Company Inc.
Physical Location:	10 Alexandria Boulevard Suite 10 Alexandria VA 12345
Classified Mailing Address:	10 Alexandria Boulevard Suite 10 Alexandria VA 12345
Classified Hardware Mailing Address:	
Classified Overnight Address:	
Facility Clearance Status/Level:	Active / Top Secret
Status Date:	06/12/2017
Document Safeguarding Level:	Secret
Authorized Access to:	
FCL Limitations:	Special Security Agreement
Special Limitation Notes:	Special Limitation Notes here.
Facility Security Officer:	Walker, Marie T
Facility Security Officer Phone Number:	(123) 456-7890
DSS Field Office:	Alexandria2 Field Office
DSS Field Office Phone Number:	571-551-7940

You will be notified of changes in this information until 09/25/2017

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4.2.4 Submit an Annual Self-Inspection Certification

From the NISS dashboard,

1. Click **Submit an Annual Self-Inspection Certification** link.

   The "New Self Inspection" page is displayed as shown in Figure 113.

Figure 113. Self-Inspection Tab

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2. Enter as much information as appropriate.

The fields for "Self-Inspection" are described in Table 22.

Table 22. Self Inspection Fields

Field	Values
A formal report describing the self-inspection, its findings, and resolution of issues found has been prepared and will be retained for CSA review through the next CSA inspection.*	Select **Yes** or **No**
If selected "**NO**", NISS displays "Formal Report Prepared and Senior management briefed on results must be answered "Yes" before Self-Inspection Certification can be saved"	Click **OK**
SMOs*	Using the picklist, Click *the SMOs*
Other Certifier	Enter *[Other Certifier's Name]*
Senior Management Briefed on Results*	Select **Yes** or **No**
Self-Inspection Completed on Date*	Using the calendar icon, Navigate *to the appropriate date* Click *the date*.
Upload Self Inspection Attachment	Click **+Select a File** Double-click *File to be uploaded*
Facility	Using the Search symbol, Enter [**the first three characters**] Select **Sponsor CAGE Code**
Submitted By	This field is automatically populated.
Date Submitted	Using the calendar icon, Navigate *to the appropriate date* Click *day*.

3. Click **Save Changes**

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4.2.5 View My Open Vulnerabilities

From the dashboard,

1. Click **View My Open Vulnerabilities** link.

   The "My Open Vulnerabilities" is displayed as shown in Figure 114.

Figure 114. My Open Vulnerabilities View

2. Click *Open Vulnerability to view* as shown above.

   The "Facility Action Vulnerability - Basic Information" page is displayed as shown in Figure 115.

Figure 115. Facility Action Vulnerability - Basic Information

Vulnerability Mitigation *

Personnel due for training take training or provide training records showing completion within the last 365 days

Mitigation Action Taken

Save Changes   Cancel

Email or Add a note to 517335663

ACTIVITY HISTORY   Show All Activities

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4.2.6 View My Previous SVA Ratings and Vulnerabilities

From the dashboard,

1. Click **View My Previous SVA Ratings and Vulnerabilities** link.

   The "My SVA Ratings and Vulnerabilities" page is displayed as shown in Figure 116.

   Verbiage highlighted with underscore can be viewed.

Figure 116. My SVA Ratings and Vulnerabilities

2. Click **Mitigated** (under Mitigation Status, highlighted in red above)

   The "Facility Action Vulnerability - Basic Information" of the Mitigated record is displayed in shown in Figure 117.

Figure 117. Facility Action Vulnerability - Basic Information - Mitigated Sample

3. Click **Unmitigated** (under Mitigation Status, highlighted in red above)

The Facility Action Vulnerability - Basic Information of the unmitigated record is displayed in shown in Figure 118.

Figure 118. Facility Action Vulnerability - Basic Information - Unmitigated Sample

4.2.7 Reporting

4.2.7.1 Report Security Violation

From the dashboard,

1. Click **"Report Security Violation"** link.

   The "Facility Messaging - Basic Information" page is displayed with "Messaging Type" selected for a Security Violation as shown in Figure 119.

Figure 119. Facility Messaging - Basic Information Page - Security Violation Selected

2. Enter as much information as appropriate.

   The fields for "New Facility Messaging" are described in Table 23.

Table 23. Facility Messaging Fields - Security Violation Fields

Field	Values
Sender Full Name	Automatically populated
Sender Role	Automatically populated
Facility Profile	Using the Search symbol, Enter [**the first three characters**] Select **Sponsor CAGE Code**
Date Sent	Automatically populated
Message Type	Using picklist, Select **Security Violation**
Message	Enter [**Message text**]

Field	Values
Status	Using the Search symbol, Enter [**the first three characters**] Select **Sponsor CAGE Code**
Attachment 1	Click **+Select a File** Double-click *File to be uploaded*
Attachment 2	Click **+Select a File** Double-click *File to be uploaded*
Attachment 3	Click **+Select a File** Double-click *File to be uploaded*
Attachment 4	Click **+Select a File** Double-click *File to be uploaded*
Attachment 5	Click **+Select a File** Double-click *File to be uploaded*

3. Click **Send Message**

The record is created and displayed in the "FACILITY MESSAGING: Security Violation" page as shown in the Figure 120.

Figure 120. Facility Messaging Tab - Security Violation Recorded

4.2.7.2 Report Suspicious Contact

From the dashboard,

1. Click **"Report Suspicious Contact"** link.

   The "Facility Messaging - Basic Information" page is displayed with "Messaging Type" selected for a Suspicious Contact Report as shown in Figure 121.

Figure 121. Facility Messaging - Basic Information Page - Suspicious Contact Selected

2. Enter as much information as appropriate.

   The fields for "Facility Messaging" are described in Table 24.

Table 24. Facility Messaging - Suspicious Contact Report Fields

Field	Values
Sender Full Name	Automatically populated
Sender Role	Automatically populated
Facility Profile	Using the Search symbol, Enter [**the first three characters**] Select **Sponsor CAGE Code**
Date Sent	Automatically populated
Message Type	Using picklist, Select **Suspicious Contact**
Message	Enter **[Message text]**
Status	Using the Search symbol,

Field	Values
	Enter [**the first three characters**]
	Select **Sponsor CAGE Code**

3. Click **Send Message**

4.2.7.3   Report Change Conditions

From the dashboard,

1. Click **"Report Change Conditions"** link.

   The "New FCL Package" "Basic Information" page is displayed by default as shown in Figure 122.

4.2.7.3.1   Navigation

The Navigation of the Change Conditions report utilizes three pages of the FCL Package, presented as command buttons:

- Basic Information
- Change Conditions Questionnaire
- Industry-DSS Package Comments

4.2.7.3.2   Change Conditions - Basic Information

The New FCL Package opens and displays the "Basic Information" page as shown in Figure 122.

Figure 122. New FCL Package Page - Change Conditions- Basic Information Button

2. Enter as much information as appropriate.

   The fields for "Basic Information" are described in Table 25.

Table 25. New FCL Package Window - Change Condition- Basic Information Fields

Field	Values
Facility Profile	Prepopulated
FCL Package Status	Automatically populated
FCL Package Type*	Automatically populated

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Field	Values
If changing the Business Structure, please save to have your Supporting Documents list updated.	
Business Structure*	Prepopulated
Prior Legal Names	Enter **[Prior Legal Names]**
Prior Addresses	Enter **[Prior Addresses]**

3. Click **Save.**

4.2.7.3.3   Change Condition Questionnaire

From the dashboard, link to "Report Change Conditions", "New FCL Package" "Basic Information" page,

1. Click **Change Condition Questionnaire** button.

The "Change Condition Questionnaire" page is displayed as shown in Figure 123.

Figure 123. New FCL Package - Change Condition Questionnaire Page

New FCL Package

Basic Information | **Change Condition Questionnaire** | Industry-DSS Package Comments

A "Changed Condition", according to the NISPOM Section 3 (1-302g), is a change to a contractor's organizational and financial structure which could affect the organization's facility clearance. Changed conditions are required to be reported to the Defense Security Service.

In addition to completing this form, all applicable forms and uploaded documents previously submitted using this system must be reviewed and updated according to the changes reported below.

Click on the box next to all changed conditions that apply to your facility. In addition, please provide greater detailed information in the corresponding sections below.

IMPORTANT NOTES: If you say "Yes" to Change in KMP below, when you successfully save this FCL Change Condition package for the first time, it will be pre-populated with current KMP data associated with the corresponding Facility Profile.

Likewise, if your initial selections indicate that an SF-328 is required, when you save this package for the first time, the SF-328 tab form will be pre-populated with the most recent SF-328 data available for your facility.

Change in Ownership *
◯ Yes ◯ No

Change in Operating Name (to include changes in legal structure) *
◯ Yes ◯ No

Change in Address *
◯ Yes ◯ No

Change in Key Management Personnel (KMP) *
◯ Yes ◯ No

Change in Foreign Ownership or Control or Influence (FOCI) *
◯ Yes ◯ No

1. Change in Ownership - Please provide detailed information regarding the change in ownership. Note that your FCL Changed Condition package must include applicable supporting documentation which may include an organization chart with percentages of ownership, stockholder list, merger & acquisition agreement, purchase agreement, amended articles / by laws.

Change in Ownership Details

2. Change in Operating Name - Please provide detailed information regarding the change in ownership. Note that your FCL Changed Condition package must include applicable supporting documentation which may include a revised Security Agreement (DD-441), meeting minutes, amended articles / by laws.

Change in Operating Name Details

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2. Enter as much information as appropriate.

   The fields for "Change Condition Questionnaire" are described in Table 26.

Table 26. New FCL Package Page - Change Condition Questionnaire Fields

Field	Values
A "Change Condition", according to the NISPOM Section 3 (1-320g), is a change to a contractor's organizational and financial structure which could affect the organization's facility clearance. Change conditions are required to be reported to the Defense Security Service. In addition to completing this form, all applicable forms and uploaded documents previously submitted using this system must be reviewed and updated according to the changes reported below. Click on the box next to all changed conditions that apply to your facility. In addition, please provide detailed information in the corresponding sections below. IMPORTANT NOTES: If you say "Yes" to Change in KMP below, when you successfully save this FCL Change Condition package for the first time, it will be pre-populated with current KMP data associated with the corresponding Facility Profile. Likewise, if your initial selections indicate that an SF-328 is required, when you save this package for the first time, the SF-328 tab form will be pre-populated with the most recent SF-328 data available for your facility.	
Change in Ownership*	Select **Yes** or **No**
Change in Operating Name (to include changes in legal structure)*	Select **Yes** or **No**

Field	Values
Change in Address*	Select **Yes** or **No**
Change in Key Management Personnel (KMP)*	Select **Yes** or **No**
Change in Foreign Ownership or Control or Influence (FOCI)*	Select **Yes** or **No**
1. Change in Ownership - Please provide detailed information regarding the change in ownership. Note that your FCL Changed Condition package must include applicable supporting documentation which may include an organizational chart with percentages of ownership, stockholder list, merger & acquisition agreement, purchase agreement, amended articles / by laws.	
Change in Ownership Details.	Enter **[Change in Ownership Details]**
2. Change in Operating name - Please provide detailed information regarding the change in ownership. Note that your FCL Changed Condition package must include applicable supporting documentation which may include a revised Security Agreement (DD-441), meeting minutes, amended articles / by laws.	
Changed Facility Name	Enter **[Changed Facility Name]**
Change in Operating Name Details	Enter **[Change in Operating Name Details]**
3. Change in Address - Please provide detailed information regarding the change in address. Note that your FCL Changed Condition package must include applicable supporting documentation which may include a revised Security Agreement (DD-441), meeting minutes, amended articles / by laws.	
Physical Street 1	Enter **[Physical Street 1]**
Physical Street 2	Enter **[Physical Street 2]**
Physical City	Enter **[Physical City]**
Physical State	Using picklist, Select **State**
Physical Zip Code	Enter **[Physical Zip Code]**
Change in Address Details	Enter **[Change in Address Details]**
4. Change in Key Management Personnel (KMP) - Please provide detailed information regarding the change in personnel. Note that your FCL Changed Condition package must include applicable supporting documentation which may include a revised KMP list, exclusion resolution for KMP who have been temporarily or permanently excluded from having access to classified information, meeting minutes.	
Change in KMP Details	Enter **[Change in KMP Details]**
5. Change in Foreign Ownership, control or Influence (FOCI) - Please provide detailed information regarding the change in FOCI. Note that your FCL Changed Condition package must include applicable supporting documentation which may include a revised Certificate Pertaining to Foreign Interest (SF-328) and supporting documentation relevant to each change being reported.	
Change in FOCI Details	Enter **[Change in FOCI Details]**

Click **Save**

4.2.7.3.4 Change Condition - Industry-DSS Package Comments

From the dashboard, link to "Report Change Conditions", "New FCL Package" "Basic Information" page,

1. Click **Industry-DSS Package Comments** button.

The "Industry-DSS Package Comments" page is displayed as displayed in Section 4.2.2.3.6.

4.2.7.3.5 Package modifications and Submission

Depending on the type of 'change' documented in the report, other facility information may be required to change and the package will need to be resubmitted. Submitting the report will identify what additional changes are necessary before the change can be recorded for the facility (submitted). See Section 4.2.2.3 for instructions on completing any required changes.

Once all changes have been made, NISS will provide a confirmation of the change condition submission as shown in Figure 124.

Figure 124. Change Condition Submission Confirmation
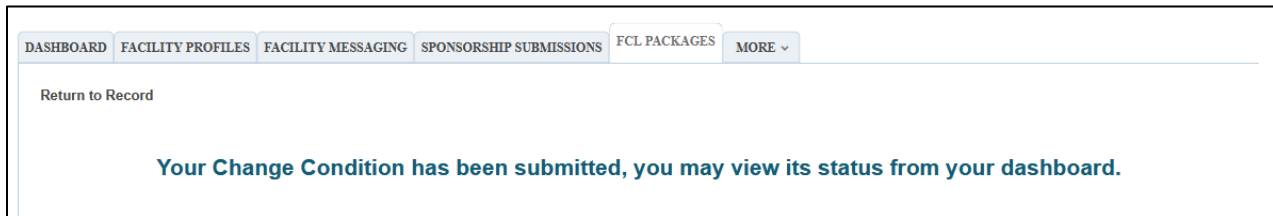
4.2.8 View My Change Condition Packages

From the dashboard,

1. Click **View My Change Condition Packages** link.

   If there is only one package, it will be displayed bypassing the "FCL Packages" tab. Otherwise, the "FCL PACKAGES" tab is displayed as shown in Figure 125.

Figure 125. View My ISR's Contact Information Tab

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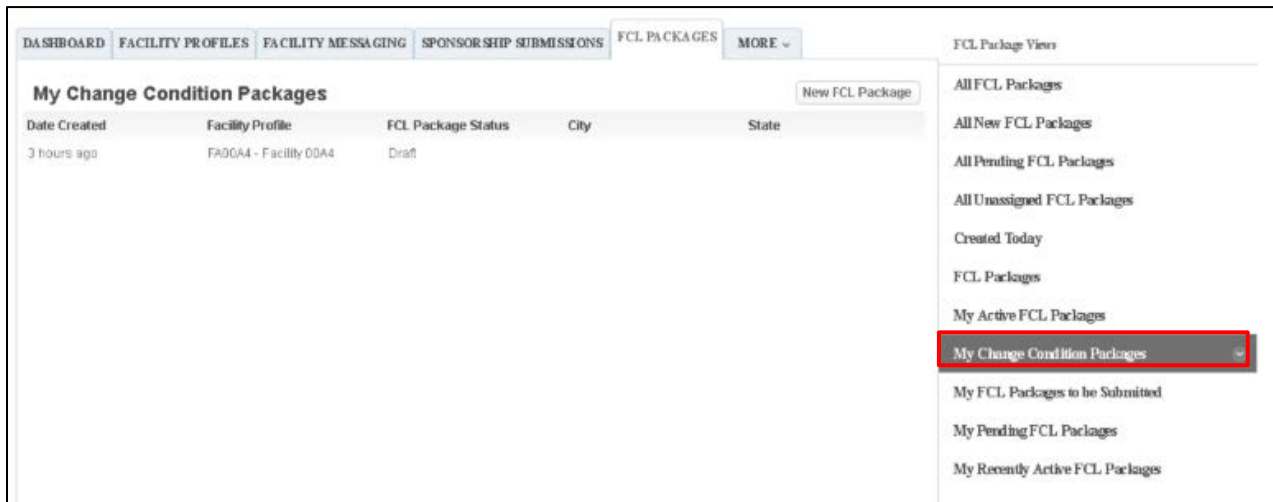
2. Click **Change Condition Package** to view**.**

The "Change Condition Package" page is displayed as shown in Figure 126.

Figure 126. Opened Change Condition Package Navigation

| Basic Information | Change Condition Questionnaire | SF-328 | Supporting Documents | Industry-DSS Package Comments |

Navigate through the Change Condition Package on the "FCL PACKAGES" pages using the tabs:

- Basic Information, see screen description in Section 4.2.2.3.2.
- Change Condition Questionnaire; see screen description in Section 4.2.7.3.3.
- SF-328, see screen description in Section 4.2.2.3.3.
- Supporting Documents see screen description in Section 4.2.2.3.4.
- Industry-DSS Package Comments, see screen description in Section 4.2.2.3.6.

Appendix A: List of Acronyms

Acronym	Meaning
CAGE Code	Commercial and Government Entity Code
DoD	Department of Defense
DSS	Defense Security Service
FCB	Facility Clearance Branch
FCL	Facility Clearance Level
FOCI	Foreign Ownership, Control, or Influence
FOUO	For Official Use Only
FSO	Facility Security Officer
FVR	Facility Verification Request
IFCL	Initial Facility Clearance
ISFO	Industrial Security Field Operations
ISSP	Information Security System Professional
JPAS	Joint Personnel Adjudication System
KMP	Key Management Personnel
NCAISS	NISP Central Access Information Security System
NISP	National Industrial Security Program
NISPOM	National Industrial Security Program Operating Manual
NISS	National Industrial Security System
OGA	Other Government Agency
SSO	Single-Sign-On
USG	United States Government

Appendix B: NISS External User Access Matrix

	FCV Industry	FCV Other Government Activity (OGA)	FCV Government Contracting Activity (GCA)	Corporate Security Officer	Facility Security Officer (FSO)	Assistant Facility Security Officer (AFSO)	Information System Security Manager (ISSM)	Key Management Personnel (KMP)	Other Security Staff	Sponsor Industry	Sponsor Government Contracting Activity (GCA)
View My Inbox				X	X	X	X	X	X		
Access the Knowledge Base	X	X	X	X	X	X	X	X	X	X	X
Submit System Feedback	X	X	X	X	X	X	X	X	X	X	X
Submit Facility Verification Requests	X	X	X								
View Facility Verification Requests	X	X	X								
Message My ISR				X	X	X	X	X	X		
View Facility Profile Data and Documents for my Organization				X							
View and Submit Updates to My Facility Profile and Documents					X	X			X		
View Only My Facility Profile and Documents							X	X			
Report Security Violation					X	X			X		
Report Suspicious Contact					X	X			X		
Report Change Condition					X	X			X		
View My Change Condition Packages (Open and Closed)					X	X			X		
Submit My FCL Package					X	X			X		
View My Sponsorship Package Status					X	X		X	X		
View My ISR's Contact Information				X	X	X	X	X	X		
Submit an Annual Self-Inspection Certification					X	X			X		
Submit a Sponsorship Request										X	X
View Open Sponsorship Requests										X	X
View Previously Submitted Sponsorship Requests										X	X

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