Defense Security Service
Electronic Facility Clearance System (e-FCL) Submission Site for Contractors

Florida Industrial Security Working Group

December 2011

e-FCL Outline

* History
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* When to submit
* Registration
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* Initial submission
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e-FCL History

* The Defense Security Service (DSS) deployed the Electronic Facility Clearance System (e-FCL) in January 2010

* e-FCL is based on the Department of Energy's (DOE) Electronic Foreign Ownership, Control or Influence (e-FOCI) System
    * DSS used the DOE e-FOCI system from June 2009 until e-FCL deployed in January 2010
    * All data input by contractors in e-FOCI was migrated to the e-FCL system

* e-FCL was developed to:
    * Improve facility clearance and foreign ownership, control or influence (FOCI) mitigation processing
    * Reduce paperwork – Government Reduction of Paperwork Act (GPEA)
    * Create a repository for facility clearance and FOCI mitigation required forms and supporting documentation

e-FCL Sites

* The e-FCL has two interfaces:

* The e-FCL Submission Site for Contractors
  * Web based system to submit company data in an electronic format for facility clearance and FOCI mitigation processing
  * e-FCL Submission Site URL: https://submission.dssfcl.anl.gov

* The e-FCL Processing Site for DSS Employees
  * Web based system used by DSS to process facility clearance packages, render Determinations, and to request and process Mitigation Instruments as necessary

The e-FCL Submission Site for Contractors

The e-FCL Processing Site for DSS Personnel
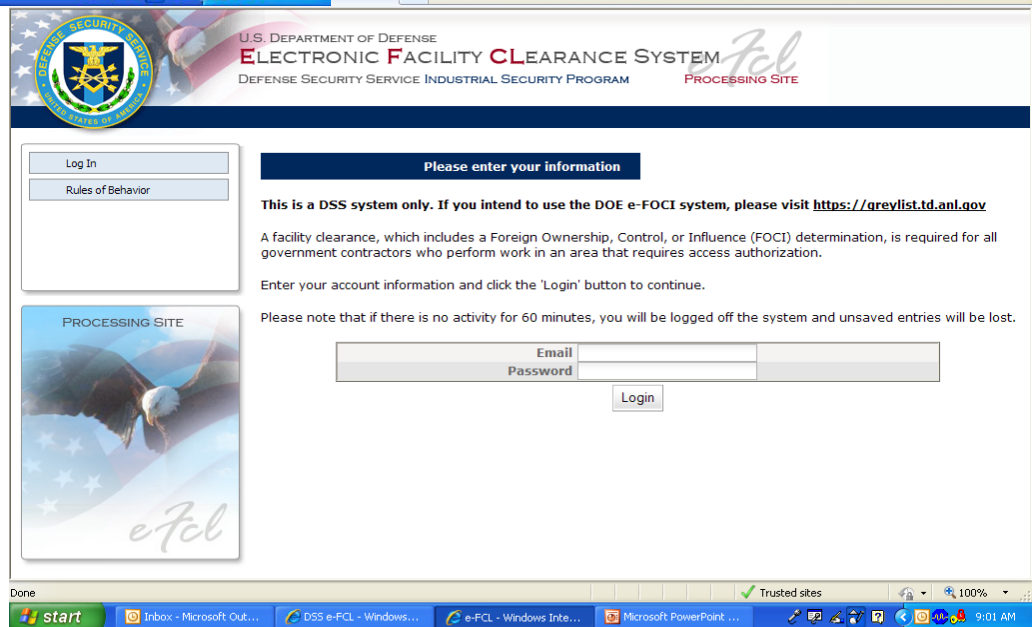
When to Submit

* New facility being processed for a Facility Security Clearance (FCL)

* Existing companies:
  * Facility has a change on the SF 328 – Certificate Pertaining to Foreign Interests
  * Key Management Personnel (KMP) changes
  * Ownership change
  * Facility address change
  * Facility name change
  * Annual certification for companies operating under DSS FOCI mitigation

  General Rule – before submitting… first confirm with your Industrial Security Representative (ISR)

Registration

* A new facility being processed for a FCL will be automatically registered by the Facility Clearance Division (FCD)
  * Based upon a legitimate request from a Government Contracting Activity (GCA) or cleared contractor
  * Happens automatically – no need to contact the FCD

* A facility with a current FCL will be registered by your Industrial Security Representative (ISR)
  * Please contact your ISR

Prior to Logging In

* It is recommended that you download the e-FCL "Submission Site User Guide" prior to logging in
  * Can be found on the e-FCL page on dss.mil
  * Also available within the Submission Site under the "Help" tab

* Reviewing the guide prior to logging in will help you anticipate what is required from the system

* All facilities, new or currently cleared, must complete an "Initial Package" as their first submission in e-FCL

Logging In

* Upon registration, the system will generate a "Welcome" e-mail
  * Typically to the FSO (set as Administrator)

* The log-in ID is the user's e-mail address. The user will be asked to choose a permanent password when they log in to the system for the first time

* One time only at first login:
  * Organization's Employer Identification Number (EIN) Tax ID or SSN must be entered
  * Organization type must be entered

e-FCL automatically generates the forms required by organization type as well as a list of required document uploads

Complete Registration

Choose Business Structure Type

Input EIN Tax ID Number or SSN

The e-FCL 5 Step Submission Process

* The e-FCL submission process is covered in five easy steps:
  * Step 1 – Complete Forms
    * Electronic copies of all required forms are provided for completion based on the type of contractor organization.
  * Step 2 – Upload Documents
    * Uploads are requested of key corporate documents.
  * Step 3 – Requested Forms
    * Forms requested by DSS such as Exclusion Resolutions or Mitigation Forms are stored here, this Step will be empty the first time an Initial Package is submitted.
  * Step 4 – Review Forms
    * Review all documents and uploads, the system checks to ensure that all forms and uploads have been completed and displays those that still need to be completed.
  * Step 5 – Send Final Submission
    * Final submission, once the package is submitted the contractor cannot edit the package unless DSS "unlocks" it .

The Submission Process: Step 1

* Complete Forms:

    * All required forms are provided as e-forms that the user completes and submits electronically.

    * 4 required forms must be completed in order to submit to DSS:
        * SF-328 – Certificate Pertaining to Foreign Interests
        * Key Management Personnel (KMP) form
        * Summary Data Sheet
        * Tiered Parents List

    * Each form has an "electronic pane" that the user clicks on that provides the e-form and an upload icon for the forms.

    * The SF-328 and KMP forms require signatures.

    * All required forms must be completed and uploaded or the e-FCL will not allow submission of the package.

    * A box is provided in the SF-328 electronic pane for contractors operating under a consolidated SF-328 that can be checked so the system will allow submission without the SF-328 form.

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ELECTRONIC FACILITY CLEARANCE SYSTEM eFcl
DEFENSE SECURITY SERVICE INDUSTRIAL SECURITY PROGRAM   SUBMISSION SITE

JudyFCLTest7

Initial Package

STEP 1 — Complete Forms

Instructions

Required Forms List	
Certificate Pertaining to Foreign Interests (sf328)	Incomplete ⚠

Instructions

Certificate Pertaining to
Foreign Interests (sf328) e-
Form

Upload Signed and Sealed
Certificate Pertaining to
Foreign Interests (sf328)
Document

☐ your organization is a
branch/division or your
tier parent is
submitting a
consolidated SF328

Summary FOCI Data Sheet	Incomplete ⚠ +
Key Management Personnel List (KMP)	Incomplete ⚠ +
Tier Parents List	Incomplete ⚠ +

1C 2U 3R 4R 5S →

Help ▸
Log Out
My Account
Select an Organization
Organization ▸
Initial Package ▸

SUBMISSION SITE

SF328 e-form

Upload feature for e-forms

Initial Package - Windows Internet Explorer

https://submission.dssfcl.anl.gov/dsssub/uframe.page#%2Forganizations%2F9CD347C2%2Fpackages%2F1%2Fsteps%2F1

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Initial Package

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Lindquist Tester

Initial Package

STEP 1   Complete Forms

Instructions

Required Forms List

Certificate Pertaining to Foreign Interests (sf328)		Incomplete ⚠

Instructions

Certificate Pertaining to Foreign Interests (sf328) e-Form

Upload Signed and Sealed Certificate Pertaining to Foreign Interests (sf328) Document

Form	Status	
Certificate Pertaining to Foreign Interests Attachment 1a	Incomplete ⚠	＋
Certificate Pertaining to Foreign Interests Attachment 7	Incomplete ⚠	＋
Certificate Pertaining to Foreign Interests Attachment 9	Incomplete ⚠	＋
Summary Data Sheet	Incomplete ⚠	＋
Key Management Personnel List (KMP)	Incomplete ⚠	＋
Tier Parents List	Incomplete ⚠	＋

Help
Log Out
My Account
Select an Organization
Organization
Initial Package

SUBMISSION SITE

eFcl

1C 2U 3R 4R 5S →

Done   Trusted sites   100%

Start   Calendar - Microsoft ...   DISS Gateway - e-FC...   I:\FOCI\e-FCL\e-FCL ...   Initial Package - W...   Joint ISAC 10-27-10   FCL Rigor Meeting 10...   8:49 AM

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DEFENSE SECURITY SERVICE INDUSTRIAL SECURITY PROGRAM   SUBMISSION SITE
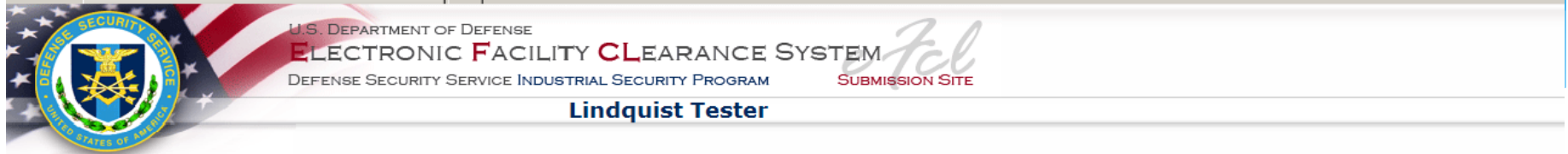
Lindquist Tester

| Help ▶ |
| Log Out |
| My Account |
| Select an Organization |
| Organization ▶ |
| Initial Package ▶ |

SUBMISSION SITE

eFcl

Certificate Pertaining to Foreign Interests

Attachment 9

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

• Furnish the legal name(s) of the foreign person(s); foreign person's address; the country of legal residence of the foreign person(s) and/or country of legal residence of foreign person's ultimate owner; your organization's affiliation, if any, with the identified foreign person (s).

• For any of your organization's board members (or similar type of governing body), officers, executive personnel, or general partners who hold any type of position with or serve as consultants or agents with the identified foreign person(s) provide:

    a. individual's complete name,
    b. citizenship, immigration status and clearance or exclusion status on all such persons.
    c. titles of his/her position(s) with the U.S. company and within the identified foreign person(s); and
    d. what personnel security access authorization(s), if any, the identified individual possesses or is in; the process of obtaining, to include identification of the U.S. government agency(ies) which granted or is processing the access authorization(s).

Done   Trusted sites   100%

Start | Calendar - Microsoft ... | DISS Gateway - e-FC... | I:\FOCI\e-FCL\e-FCL ... | e-FCL - Windows In... | Joint ISAC 10-27-10 | FCL Rigor Meeting 10...   8:53 AM

The Submission Process: Step 2

* Upload Documents:
    * A list of required corporate document file uploads is provided by the e-FCL based on the type of organization.
    * Each upload area is contained within an "electronic pane" and a box is provided that the user can check to circumvent the requirement for the upload if it does not apply to their organization.
    * File uploads are restricted to Adobe Acrobat files for cyber security reasons.
    * File uploads are restricted to 5MG, if documents are larger than 5MG they need to be split into parts.
    * There is a Miscellaneous Documents pane that can be used by contractors to upload any other documents they wish to send to DSS as part of their e-FCL package.

Upload Documents electronic panes with upload icons

Upload feature is displayed when users click on the upload icon

The Submission Process: Steps 3 & 4

* ## Step 3 – Requested Forms
  * This Step will be empty the first time the user completes an Initial Package. If DSS requests an Exclusion Resolution or Mitigation Instrument, the forms the contractor needs to fill out will appear in this step once DSS "unlocks" the contractor package.
    * The company receives an e-mail instructing them to go back into the e-FCL to Step 3 and complete the additional forms.

* ## Step 4 – Review Forms
  * The e-FCL checks the entire package and displays any e-form that has not been completed or an upload that has been missed. Submission cannot occur until all actions have been completed.

The Submission Process: Step 5

* ## Step 5 – Send Final Submission
  * Once the contractor hits the "Final Submission" button in Step 5 they cannot edit the e-FCL package contents.
    * Documents can be viewed and printed, but the package cannot be edited in any way unless it is "unlocked" by DSS.

Upon receipt, the ISR will review your materials. If additional information is needed they will request the information through e-FCL letting you know what is still required in your package.

Package Options After Initial Package Submission

* Once a contractor organization has an Initial Package in the e-FCL System the e-FCL Administrator has the ability to submit Changed Conditions, KMP Updates and Annual Certifications (if under FOCI mitigation) for that organization. This is what the user will see when logging in:

Additional e-FCL Features

* The e-FCL Administrator may add other users from their organization to e-FCL. When personnel transitions occur they can delete company users and add others if necessary, but there is only one e-FCL Administrator per contractor organization.

* The e-FCL Submission Site Menu provides the tools necessary to:

    * Select one of many organization packages to view if one FSO is covering multiple contracting organizations.

    * View detailed organization information for each contracting organization and edit as necessary.

    * Change the e-FCL Administrator for a company.

    * Manage users for a company.
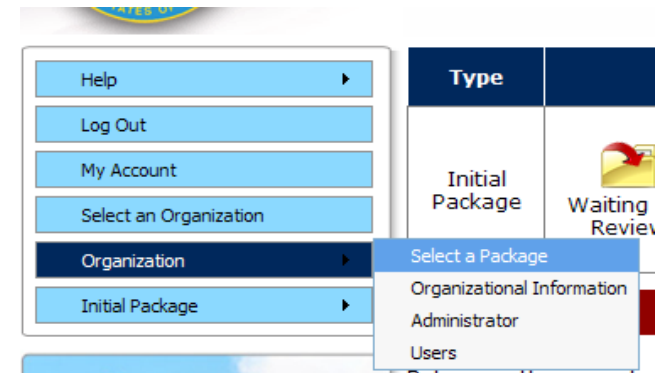
Common Issues

* Not selecting the correct type of organization (LLC, General Partnership, Sole Proprietorship, Corporation, Branch/Division)

* Missing and incomplete information on the Summary Data Sheet
    * No website listed (if you have one)
    * Stock information not listed
    * Missing previous business names
    * Missing tier parents
    * Number of directors not matching articles of organization or bylaws
    * Previous addresses going back 10 years not listed

Common Issues - continued

* Complete information being provided for a "yes" answer on the SF 328. The program explains what information **must be** provided for a "yes" response.

* The SF 328 not completed correctly
  * Corporation – complete the "CERTIFICATION" section, but not the witnesses section. Complete also the "CERTIFICATE" section and apply corporate seal.
  * Not a Corporation – complete **only** the "CERTIFICATION" section, two witnesses sign and print their names.

SF 328 Signature Block

CERTIFICATION

I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

WITNESSES:

_____ (Date Signed)
(Date Certified)

(Signature of Witness)
(Typed Name of Witness) _____

By (Signature of Authorized Official) _____
(Signature of Authorized Contractor Representative)

(Signature of Witness)
(Typed Name of Witness) _____

(Name of Corporation) _____
(Typed Name of Contractor)

(Title of Authorized Official) _____

NOTE: In case of a corporation, a witness is not required but the certificate below must be completed. Type or print names under all signatures.

(Title of Authorized Contractor Representative)
(Address of Corporation)

_____
(Address)

NOTE: Contractor, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.

CERTIFICATE

I, (Typed Name) _____, certify that I am the Secretary _____

of the corporation named as Contractor herein; that (Name of Authorized Official) _____

who signed this certificate on behalf of the Contractor, was then (Title of Authorized Official) _____
of said corporation; that said certificate was duly signed for and in behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.

_____
(Signature of Secretary)

_____
(Corporate Seal)   (Signature and Date)

STANDARD FORM 328 (BACK) (Revised 6/2008)

Reset

Common Issues - continued

* KMP list missing or incorrect information
    * Names not completely spelled out
    * KMP list not signed – FSO signature is fine
    * Social Security Number is not required for excluded KMPs
    * KMPs do not match the articles of organization, by-laws or amendments

* Corporate documents not loaded
    * Examples – articles of organization, by-laws, amendments and meeting minutes changing corporate documents.

* Not loading documents under the correct tabs

Bottom Line: If you have questions, contact your Industrial Security Representative

Resources

* www.dss.mil
  * e-FCL page
    * "Submission Site User Guide"
    * Frequently Asked Questions
    * Notices and Alerts

e-FCL Support

* For e-FCL technical assistance:
  * e-FCL Help Desk
    * e-mail: fclserver@anl.gov
    * Phone: (630) 252-6566

* For process questions, please contact your Industrial Security Representative.

* For system suggestions or general comments:
  * email: efcl@dss.mil

Questions?