

**U. S. Department of Defense  
Defense Security Service  
Industrial Security Program**

## **DSS Electronic Facility Clearance System (e-FCL) Submission Site User Guide**

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# e-FCL Submission Site User Guide

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# DSS e-FCL Submission Site User Guide

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## Introduction

Welcome to the Defense Security Service Electronic Facility Clearance System (e-FCL) Submission Site for Contractors. The e-FCL Submission Site is accessed via the Internet at

<https://submission.dssfcl.anl.gov>

The e-FCL Submission Site was developed for contractors to submit facility clearance applications to DSS in an electronic format. The e-FCL facility clearance application, referred to as an e-FCL “package”, is electronically reviewed and processed by DSS Industrial Security personnel using the e-FCL Processing Site. This User Guide is designed for contractors who are users of the DSS e-FCL Submission Site.



## Registration

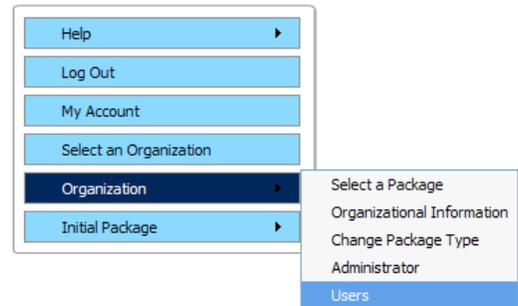
Every contractor required to submit a facility clearance application to DSS using the e-FCL Submission Site must first be registered. A DSS Representative will enter the initial registration of the contractor. Preliminary data including contact information for the designated agent of the contracting company (usually the Facility Security Officer who is the e-FCL Administrator for their company) is required. Once registered, an e-mail will be generated by the e-FCL System and sent to the e-FCL Administrator that includes a temporary password and directions to access the e-FCL Submission Site. The e-FCL Administrator will complete the contractor portion of the registration process the first time they access the e-FCL Submission Site.

## e-FCL Administrator

The e-FCL Administrator is the designated agent of the company. The e-FCL Administrator has permission to add new users to the company account or transfer administrative privileges to another user. The e-FCL Administrator is the company's point of contact for e-mail correspondence generated by the system.

### Additional Companies

A user can be assigned as the e-FCL Administrator for multiple companies. If that is the case the e-FCL Administrator will have one User ID and one password that they use to access the e-FCL Submission Site. Upon login the user can choose the "Select an Organization" menu option to choose the particular company package they wish to access.



### Add New User

To add a new user for the organization, the e-FCL Administrator needs to select the "Organization" option from the static menu and then select "Users". The e-FCL System takes the e-FCL Administrator to the Manage Users page.

Click on the "Add New User" icon. The e-FCL System will redirect the e-FCL Administrator to the Add New User page.

Once the information is completed an e-mail will automatically be generated containing a temporary password and sent to the new user. If the user has an existing account, a message stating "A user with this e-mail address already exists for this organization" appears.



### Change User Status

On the Manage Users page, the e-FCL Administrator right clicks on the icon representing the user. A menu will display options: View, Deactivate, and Set as New Administrator.

**View** allows the e-FCL Administrator to edit User Information.

**Deactivate** renders the account inactive.

**Set as New Administrator** transfers e-FCL Administrator privileges to the user who was selected.

## Submission Site Overview/Navigation

Help Icons  appear throughout the site. Detailed instructions and definitions are provided to users when the mouse is hovered over these icons.

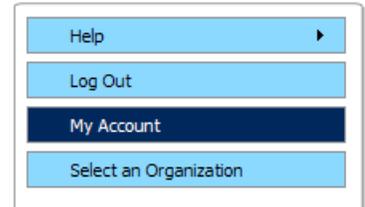
The main options on the static menu of the e-FCL Submission Site are:

My Account, Select an Organization, Organization, and Package

## My Account

### User Information

When choosing “My Account”, the e-FCL System redirects the user to the User Information page. Personal information and the Challenge Question can be updated. Inaccurate/incomplete information will delay the facility clearance process. Once changes are saved, the user has the option to “Select an Organization” or “Log Out” of the system.



### User ID

The e-mail address entered when the User was registered by the DSS or by the company’s e-FCL Administrator is the User ID.

## Passwords

### Password Requirements

The e-FCL System requires passwords to be changed every six months. The System will send an automated reminder prior to the password expiring.

### Password Criteria:

- Minimum of 9 characters
- Maximum of 24 characters
- Combination of upper and lower case letters
- Minimum of one number, not in the first or last position
- Minimum of one special character within the first seven positions
- Four of the characters must not have been used in previous password
- Do not use common words, names, phrases or numbers
- Avoid using simple pattern of letters or numbers

### Temporary Password

Temporary passwords are issued when a User account is established or when a password was forgotten. Temporary passwords are valid for 14 calendar days. If the temporary password expires or needs to be reset, contact the e-FCL Help Desk at 630.252.6566 or via e-mail at [fclserver@anl.gov](mailto:fclserver@anl.gov). The system will prompt you to change the password upon login with the temporary password.

### Change Password

The system requires the user to change their password when logging into the e-FCL Submission Site for the first time. If already logged into the system the user should select “My Account” on the static menu. Choose the “Change Password” option. The old password needs to be entered prior to submitting a new password.

User Information

**Change Password**

[Help and Password Rules](#)

Enter the old password:

Enter the new password:

Confirm new password:

## Password Generator

The system allows the user to either create a password or select from a list of randomly generated passwords that fit the required password criteria. The randomly generated passwords are provided on a drop down list.

User Information

**Change Password**

[Help and Password Rules](#)

Enter the old password:

Enter the new password:

Confirm new password:

- cXRiC2'hD7cG
- YVC(%8YDiF
- tn5m~hnbR.rJBz
- rifCP+ez8'n
- SYMR!o2d'AL
- tW7R\*BlqJ
- mF;4p)dPvPi
- eusP2'u48)iYQ
- v3o2i+mDCh
- Is?eC=nM8k

Once the change is accepted the system displays a confirmation message.

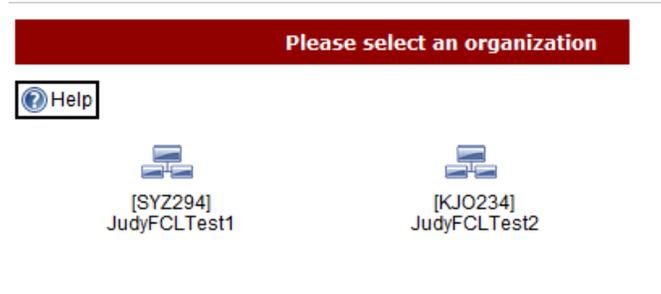
Password successfully reset

## Forgot Password

If you forgot your password and it has not expired proceed to the login page. Enter your e-mail address and click on the “forgot password” link to the right of the password text box. The system will send an e-mail to you containing a link to change your password. This link is only valid for 30 minutes. If you do not change your password within 30 minutes you will need to start the process again.

## Select an Organization

The “Select an Organization” option is exclusively for users who are authorized to access multiple companies. The system displays the organizations including the Permanent or Temporary CAGE Code assigned.



Alternate Icons	
 <p>My Company</p>	A question mark on the icon indicates that the organization needs to add the business structure and EIN/SS number to the organization information. Clicking the icon directs the user to the contractor portion of the registration.
 <p>My Co</p>	A lock on the icon indicates that the current package has been Archived or Discontinued and is not accessible. Contact your DSS Industrial Security Representative to reactivate.

## Organization

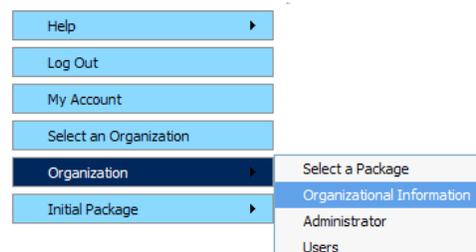
The “Organization” menu item provides information for a specific company. It offers the following options: Select a Package, Organizational Information, Administrator, and User.

### Select a Package

A history of packages is maintained in the e-FCL System. The user can view the current package or previous determinations.

### Organizational Information

The Organizational Information menu option redirects the user to the Organizational Information Page. General information about the organization, i.e., business structure, address, and Field Office the Industrial Security Representative that will review the e-FCL Submission, is found on this page. The information can be updated by the e-FCL Administrator or user

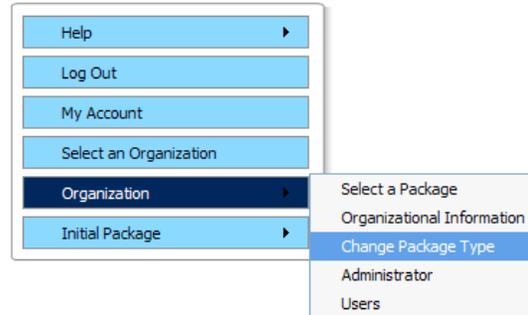


assigned to the company. Organization Information changes may also be made under Step 1 by accessing the information contained within the Organization Information pane.

### Change Package Type

The e-FCL Submission Site allows users to change the Package type. DSS requires that an Initial Package is completed and submitted by each organization. If the current package is an Initial Package, the system will not provide an option to change the package type.

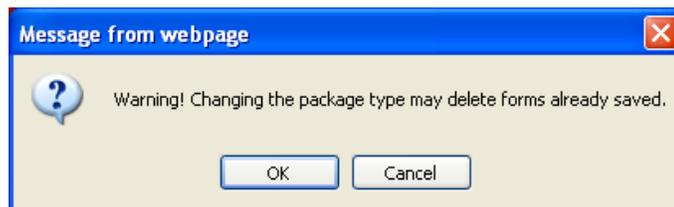
The package type can be changed for Change Condition, KMP Update, and Annual Certification Packages. From the static menu, select Organization and then Change Package Type.



Click on the package icon to change the package type.



Keep in mind that changing package type may delete forms that have already been saved.



### Administrator

The Administrator menu option redirects the user to the Administrator Page. Contact information for the e-FCL Administrator of the organization is displayed.

## Users

The e-FCL Administrator can view and manage all users assigned to the company. All other users view only the user information for their own account.

## Request Reactivation

The e-FCL Administrator can request that an archived package be reactivated. If the e-FCL package for your organization has been archived you can click on the “Request Reactivation” button and DSS will be notified that you have asked that the package be reactivated. If DSS approves reactivation you will have access to the previously completed forms for your organization.

**This organization has been archived and is not accessible. Please contact your DSS Industrial Security Representative to reactivate.**

 Request  
Reactivation

## Package Information

### Package Summary Page

The e-FCL User can access all forms from the Package Summary Page. The company name, type of package, package status, CAGE/Facility Code and the DSS Representative's contact information are displayed.

### Package Type

DSS requires that all companies requesting new facility clearances submit an Initial/First-Time Submission as a baseline for the e-FCL System. If a Determination was rendered on the Initial Package and there are significant changes to the original information that need to be reported then the DSS Representative may request the organization create and submit a Change Condition package containing the updated information.

### Package Status

The status of a package that the contractor has not yet sent to the DSS Field Office for review is referred to as "Submission Pending". Once the package is sent and the DSS Representative begins analysis, the package is "Under Review". If a determination has not been rendered and information needs to be updated, the e-FCL Administrator or authorized user can request to "Unlock" the active package. The DSS Representative has the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.



## Steps to Submit a Package

The e-FCL Submission Site provides Users with an easy five step process for completing and submitting e-FCL submission packages. The package consists of all of the forms and attachments required for a facility clearance submission. The user can navigate among the steps as needed and move in and out of the package as many times as needed before sending the final submission.

### Step 1 – Complete Forms

A minimum of three forms are required in order to process an Initial/First-Time Package in the e-FCL System. Note that additional forms may be necessary depending on the contractor business structure and positive responses to questions on the SF328, the "Certificate Pertaining to Foreign Interests" form.



## Required Forms:

- e-FCL Summary Data Sheet
- Key Management Personnel List (KMP)
- Certificate Pertaining to Foreign Interests (SF328); and if applicable all attachments corresponding to “yes” responses to questions on the SF328

Note: The SF328 form is not required for Branch/Divisions or organizations that are operating under a consolidated SF328.

The screenshot shows the 'Initial Package' interface. At the top, there is a blue banner with 'STEP 1 Complete Forms'. Below this is a red header for the 'Required Forms List'. The list contains one entry: 'Certificate Pertaining to Foreign Interests (sf328)' with a status of 'Complete' and a green checkmark. To the left of this entry is a 'Help' icon. Below the entry, there are two document icons: a yellow folder icon labeled 'Certificate Pertaining to Foreign Interests (sf328) e-Form' and a PDF icon labeled 'NovTestCo1sf328.pdf (93358 bytes) Tuesday, November 2, 2010'. To the right of these icons is a checkbox that is currently unchecked, with the text: 'Check this box if your organization is a branch/division or your tier parent is submitting a consolidated SF328 (checking this box will delete the SF328 and its attachments from this...'.

Click the available check boxes where the form or upload document does not apply to the organization, as noted in the diagram above. A copy of the electronic version of the SF328 form with signatures and corporate seals is required. Users must complete the electronic SF328 form then print the form and add the necessary signatures and seals. Then the user must scan and upload the signed form into the e-FCL System using the Upload icon.

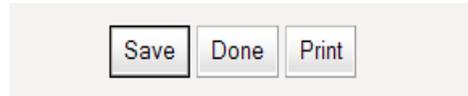
The icon on the right hand side of an accordion pane indicates the status of the form: Complete, Incomplete, Not Applicable, Updatable, or Not Required.

The screenshot shows the 'Initial Package' interface. At the top, there is a blue banner with 'STEP 1 Complete Forms'. Below this is a red header for the 'Required Forms List'. The list contains four entries:

Form Name	Status	Icon	Action
Certificate Pertaining to Foreign Interests (sf328)	Complete	Green checkmark	+
Summary Data Sheet	Complete	Green checkmark	+
Key Management Personnel List (KMP)	Incomplete	Yellow exclamation mark	+
Tier Parents List	Not Applicable	Red circle with slash	+

Below the list is a section for 'Organizational Information'.

Choose “Save” for the information to be updated in the system. Once saved, select “Done” when the form is completed. Note that although the information has been saved, the e-FCL Administrator or authorized user can return to update those forms at any time until the package is submitted to the DSS Representative.

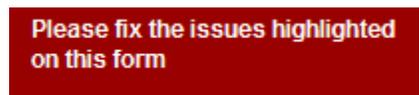


**Save:** Updates the e-FCL records of your account with the information that was entered into the form. The system will verify acceptance of the form, or if additional information is required:

“Form Saved Successfully” Indicates the information is stored in the e-FCL System.



“Please fix the issues highlighted on this form” indicates that additional information is required or the format entered is not accepted by the e-FCL System. The e-FCL System will highlight the section that needs to be edited.



**Date Certified:** The system provides the option for the user to select the date of certification for the following forms: Sf328 Certificate of Foreign Interests, the KMP, the Tier Parents List, and Exclusion Resolutions. A date box is provided when users click on the “Date Certified” text box on the forms.

**Done:** The user is redirected to Step 1 to complete remaining forms.

**Print:** The system translates the electronic data into a PDF form that can be saved and printed.

**Key Management Personnel (KMP) Form:** There are additional options with the electronic format of the KMP form:

**OFFICIAL USE ONLY (WHEN COMPLETED)**  
**Key Management Personnel (KMP)**

[Instructions](#)

Complete Name	Titles/Positions Held	Is FSO	% of Ownership	Date of Birth/Place of Birth/Citizenship	Social Security Number	Security Clearance Level(s)*	Modify Action	
Mo Jo Dojo	Pres	<input type="checkbox"/>	100	01/10/1950 / Sunny, California, United States / United States	N/A	N/A	Edit	Delete

\* Individual's Security Clearance Level(s), Issuing U.S. Government Agency(ies) or Exclusion and Date

**OFFICIAL USE ONLY (WHEN COMPLETED)**

**Edit:** Allows the user to update the record.

**Delete:** Removes the record from the KMP list.

**Add Individual:** Provide information for each person who directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization’s securities or who has directly or indirectly subscribed 5 percent or more of the organization’s total capital commitment.

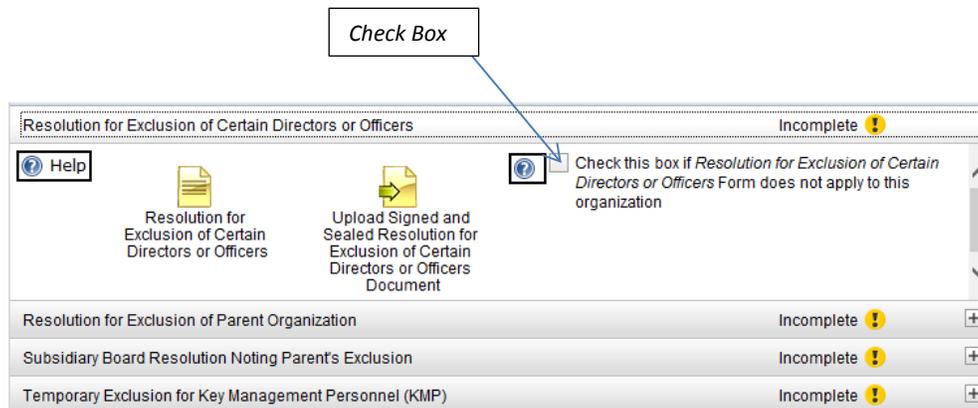
**Add Organization:** Provide information for each legal entity which directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization’s securities or which has directly or indirectly subscribed 5 percent or more of the organization’s total capital commitment.

**Add Vacancy:** This option allows the organization to document vacant positions in the Key Management Personnel List.

**Click when Done:** Once entering and saving the KMP information is finished; the system redirects the user to Step 1 to complete remaining forms.

**Print Saved Form:** The system translates the electronic data into a PDF form that can be saved and printed.

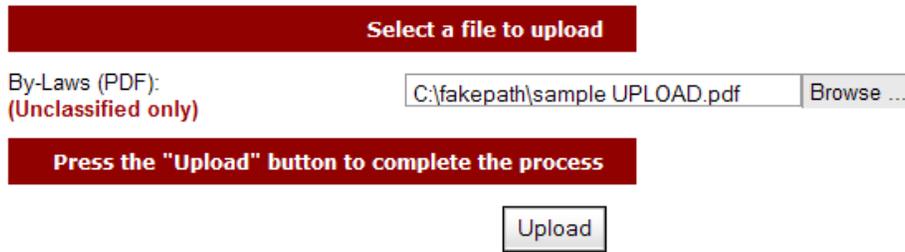
**Exclusion Resolution Forms:** All Exclusion Resolution forms will appear in the Initial Package by default. If the Exclusion does not apply to your organization, check the box that indicates that the form does not apply:



## Step 2 – Upload Documents

Accordion panes for uploading corporate documents and other files are displayed in Step 2. The corporate documents presented to the user are dependent on the business structure of the organization, and may include Articles of Incorporation, Bylaws, Meeting Minutes, agreements, and other forms. Step 2 also has separate categories for uploading DD254, DD441, and DD441-1 forms, as well as excluded parent and miscellaneous documents.

There are icons on the right side of the accordion panes that reference the status of the form: Complete, Incomplete, Not Applicable, Updatable or Not Required.



The e-FCL System directs the user to the Upload Document Page. Choose Browse to find the file that needs to be uploaded. Once the file is found, select it. Note that a temporary path will automatically appear. Click the Upload button. The uploaded document will be added to the current package.

Clicking on the minus in the icon allows the user to delete the file; clicking on the arrow offers the option to upload a new file.



### Shared Files

If DSS has uploaded files into the e-FCL System that they designate as "Shared Files" to be viewed both by the contractor and DSS personnel the files will be listed in Step 2 under the "Shared DSS Files" accordion pane.



### Step 3 – Requested Forms

Step 3 will be empty when users first access the system. If the DSS Representative requests that additional forms be completed, such as Mitigation Instrument forms, these forms will be provided under Step 3.

## Initial Package

 **STEP 3**  Requested Forms

**Forms Requested by the Reviewer**

**No additional forms are requested at this time.**

Complete, save and print the form. The printed document must be signed; if the organization is a corporation, a corporate seal is required. The file must then be scanned into a PDF file and uploaded using the icon labeled “Upload Signed and Sealed...”

### Step 4 – Review Forms

This step will ensure that all required documentation is complete. All of the required forms are listed as either Incomplete or Complete on the right side of the accordion pane. Links to all forms are available to review and verify the information submitted.

 **STEP 4**  Review Forms

**Incomplete Forms**

Meeting Minutes	Incomplete 
 Upload Meeting Minutes Document	<input type="checkbox"/> Check this box if <i>Meeting Minutes</i> documents do not apply to this organization

**Completed Forms**

Certificate Pertaining to Foreign Interests (sf328)	Complete 
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***All forms must be completed before the e-FCL will allow a final submission. Incomplete packages will not be accepted. NOTE: Once the “Send Final Submission” button has been clicked, the package is sent to DSS and is locked. The contractor will be able to view/print the forms that have been submitted. However, it is not possible to edit the information unless the DSS Representative unlocks the package.***

## Step 5 – Send Final Submission

In order to send your final package to the DSS Representative for review, go to Step 5 and click “Send Final Submission.” The e-FCL System will verify that the package has been submitted.

**Initial Package**

STEP 5 Send Final Submission

Help

**Warning!**

Clicking on the "Send Final Submission" button will send this package to the Defense Security Service for processing. Please review all forms for accuracy and completion before sending the final submission. You will not be able to edit this information once it is submitted. After final submission DSS will be notified and the facility clearance review process will begin."

**Compose E-mail Message to Representative (optional)**

Send Final Submission

## Help

### Contact e-FCL Help Desk

Additional instructions are available throughout the site. The Help Desk technical support team is located at Argonne National Laboratory in Argonne, Illinois. The staff can be reached Monday-Friday 7:00a.m. – 6:00pm CST at 630.252.6566 or via e-mail at [fclserver@anl.gov](mailto:fclserver@anl.gov).

**Welcome to the e-FCL Submission Site!**