

Mod 5 Job Aid: Security Control Agreement Compliance Checklist

Annual Implementation and Compliance Report to DSS Checklist

This is a sample of some of the questions the Government Security Committee (GSC) should consider addressing in the Annual Implementation and Compliance Report and meeting.

The Company CEO and the Chairman of the GSC should jointly submit at least a draft Annual Report to DSS one year from the effective date of this Agreement and annually 30 days prior to the Annual Implementation and Compliance Meeting certifying compliance with the FOCI Agreement to include the Implementation plans (Electronic Control Plan (ECP), Technology Control Plan (TCP), Affiliated Operations Plan (AOP), and Facility Location Plan (FLP), and Visitation Policy and Procedures)

<input type="checkbox"/>	<ul style="list-style-type: none"> Whether this Agreement is working in a satisfactory manner;
<input type="checkbox"/>	<ul style="list-style-type: none"> Is the company in compliance with the Agreement, the NISPOM, or other applicable laws and regulations; if not, did the GSC/FSO report any acts of noncompliance to DSS?
<input type="checkbox"/>	<ul style="list-style-type: none"> Did the Company or GSC request the necessary guidance or assistance from DSS regarding problems or impediments associated with the practical application or utility of this Agreement and implementation plans?
<input type="checkbox"/>	<ul style="list-style-type: none"> Do any of the security controls, practices or procedures warrant the need for adjustment? If so, what changes should be considered?
<input type="checkbox"/>	<ul style="list-style-type: none"> The report should include the following information:
	Organization Changes
<input type="checkbox"/>	<ul style="list-style-type: none"> Any changes or impending changes, to any of the Company's management including the reasons for such changes;
<input type="checkbox"/>	<ul style="list-style-type: none"> A list of any changes, or impending changes to the Key Management Personnel (KMP) or key board members, including the reasons for the change; or any changes?
<input type="checkbox"/>	<ul style="list-style-type: none"> Impending changes in the organizational structure or ownership, including any acquisitions, mergers or divestitures;
<input type="checkbox"/>	<ul style="list-style-type: none"> Has the company entered into new or open bids for classified contracts and is the list of active classified contracts up-to-date?
<input type="checkbox"/>	<ul style="list-style-type: none"> Has the company acquired any new subsidiaries or filed CFIUS in the past year? If so, list the new subsidiaries. List the CFIUS or a summary of the new acquisition and merger, divestitures.
	Implementation of the Agreement
<input type="checkbox"/>	<ul style="list-style-type: none"> A detailed description of how the Company is carrying out its obligations under this Agreement; (example: implementing an online security and counterintelligence training program)
<input type="checkbox"/>	<ul style="list-style-type: none"> A chronological record of all visit notifications of all visits to the company or its U.S. subsidiaries by any director or executive officer of the Affiliates, including information concerning completed visits, date, place and personnel involved, and available for DSS review;
<input type="checkbox"/>	<ul style="list-style-type: none"> Any other issues that may have a bearing on the effectiveness or implementation of this Agreement.
<input type="checkbox"/>	<ul style="list-style-type: none"> A certification that any affiliated operations and/or collocation do not circumvent the requirements or intent of the agreement;

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<input type="checkbox"/>	<ul style="list-style-type: none"> • A certification on the effectiveness of the ECP, TCP, AOP, and FLP, if applicable; and
<input type="checkbox"/>	<ul style="list-style-type: none"> • Any other issues that could have a bearing on the effectiveness of the applicable agreement.
<input type="checkbox"/>	<ul style="list-style-type: none"> • Are all the resolutions and certificates up to date?
Government Security Committee Meetings	
<input type="checkbox"/>	<ul style="list-style-type: none"> • Summary of Quarterly and any additional meetings (including dates, location, meeting minutes), with the affiliates.
Meeting dates and minutes of the Board of Directors	
Communications between the FOCI company and the Affiliates	
<input type="checkbox"/>	<ul style="list-style-type: none"> • A statement, as appropriate, that a review of the records concerning all visits and communications between representatives of the Corporation and the Affiliates have been accomplished and the records are in order;
Affiliated shared services provided to the FOCI company and subsidiaries	
<input type="checkbox"/>	<ul style="list-style-type: none"> • A list of any new or unreported shared services, as well as discontinued services.
Security events or violations of the Agreement during this period	
<input type="checkbox"/>	<ul style="list-style-type: none"> • A detailed description of any acts of noncompliance, whether inadvertent or intentional, and the steps taken to prevent such acts from occurring again in the future;
Technology Transfer	
<input type="checkbox"/>	<ul style="list-style-type: none"> • A detailed description of any technology transfers and violations with resolutions by the company
Audits by DSS	
Financial Audits and reports to the Affiliates.	
Security Posture	
<input type="checkbox"/>	<ul style="list-style-type: none"> • Changes to security procedures, implemented or proposed, and the reasons for those changes and security initiatives implemented;
<input type="checkbox"/>	<ul style="list-style-type: none"> • Any security audits or inspections of Special Access Programs (SAP) or Sensitive Compartmented Information (SCI) by the government contracting activity, if applicable?
<input type="checkbox"/>	<ul style="list-style-type: none"> • A list of the Company's (including its cleared divisions and cleared subsidiaries) current classified contracts and the percentage of income derived from each such classified contract; and
Export Control Information	
<input type="checkbox"/>	<ul style="list-style-type: none"> • Include any audits from the International Trade and Export Compliance, to include reviews and assessments of export compliance programs, if applicable.
<input type="checkbox"/>	<ul style="list-style-type: none"> • A detailed chronological summary of all transfers of classified and/or controlled unclassified information or Export Controlled Information, if any, from the Company to the Affiliates, including an explanation of the U.S. Government authorization relied upon to affect such transfers. Copies of approved export licenses covering the reporting period shall be appended to the report;
<input type="checkbox"/>	<ul style="list-style-type: none"> • List of licenses to affiliates/logs of Exports/Export training records, if applicable.
<input type="checkbox"/>	<ul style="list-style-type: none"> • Independent Audits
Visitation Policy and Procedures	