



Reporting a Change Condition Industry User Guide

DEFENSE SECURITY SERVICE (DSS)
NATIONAL INDUSTRIAL SECURITY SYSTEM (NISS)

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What is a Change Condition?

In accordance with paragraph 1-302g of the National Industrial Security Program Operating Manual (NISPOM), cleared contractors are required to report certain changes affecting the facility clearance (FCL) to the Defense Security Service (DSS). These changes can involve one or more of the following: Ownership, Legal Structure, Operating Name, Address, Key Management Personnel (KMP), and Foreign Ownership, Control or Influence (FOCI).

Follow the steps below to report a change condition to DSS.

Submitting a Change Condition Package

1. As an FSO, AFSSO, or Other Security Staff user, navigate to the NISS Homepage Dashboard, scroll to Quick Links, and select **Report Change Conditions**. (Please note: you **must** be logged in as FSO, AFSSO, or Other Security Staff in order to report a change condition.)



2. A window will appear with 3 tabs: Basic Information, Change Condition Questionnaire, and Industry-DSS Package Comments.
 - a. Basic Information tab – the Business Structure field is pre-populated with your facility's current business structure. If your facility's business structure is changing, click the **Business Structure dropdown** menu to select the new business/legal structure.
 - b. Basic Information tab – add any prior legal names for your facility in the **Prior Legal Names** box. If the facility name is changing as part of this change condition package, include the prior facility name here.
 - c. Basic Information tab – add any prior addresses for your facility in the **Prior Addresses** box. If the facility address is changing as part of this change condition package, include the prior address here.
 - d. Click the **Change Condition Questionnaire tab** to advance to the next tab when done.

Note: DO NOT click Save yet.

Note: In this example, Test Facility is not changing its private corporation business structure, but it is changing its name and address.

New FCL Package

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

Facility Profile
K55555 - TEST FACILITY - Initial FCL Process

FCL Package Status
Draft

FCL Package Type
Change Condition

Business Structure
Corporation - Private

Prior Legal Names
Test Facility

Prior Addresses
123 Prior Address Ave.
Quantico, VA 22554

Save Cancel

3. Change Condition Questionnaire tab – using the radio buttons, answer the required questions (include red asterisk). If you responded “Yes” to any of these questions, use the corresponding text boxes in the following section of the page to provide more details (see next step).

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

4. Change Condition Questionnaire tab – using the text fields, provide detailed information on the change condition(s).

Note: In this example, the facility is changing operating name and address, so the text fields for question 2 and 3 are where additional details have been provided. Include prior name and address, date of change, and note any additional corresponding documentation that will be provided.

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

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

Physical Street 2

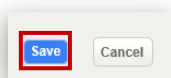
Physical City

Physical State

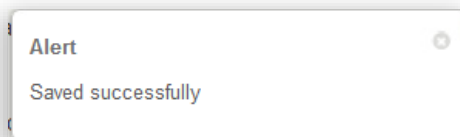
Physical Zip Code

Change in Address Details

5. Change Condition Questionnaire tab – click **Save** button upon completion.



Note: Upon saving successfully, the Alert prompt below will appear towards the top of your page.



6. Upon saving, additional tabs will generate based on the responses in the Change Condition Questionnaire. Click the **subsequent tab** to move forward.
7. SF-328 tab - If your responses to the Change Condition Questionnaire added a tab labeled SF-328, see the [SF-328 Tab section](#) of this guide for instructions on completing it. If not, proceed to the next step.

Note: In this example, facility name and address change generates SF-328 and Supporting Documents tabs. The Supporting Documents tab will also update with a list of required documents based on the change condition(s) submitted in the Change Conditions Questionnaire.

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

According to the NISPOM Section 3 (1-302g), is a change to a contractor's organizational and could affect the organization's facility clearance. Changed conditions are required to be reported to

8. Supporting Documents tab – This tab is where you can upload files to document the details of your change condition.

Based on the responses from your Change Conditions Questionnaire, a corresponding list of required documents will be listed in bold red font as shown below.

Note: For more information on the required supporting documents by type of change condition, see [Annex – Supporting Documents by Change Condition Type](#).

Resources - If changes are being made to your facility's ownership as part of this change condition package, click on the sample Legal Organization Chart; or if reporting a FOCl change, you may click on the fillable PDF version of the Ownership and Control Worksheet. These will be links to PDF files in blue font as shown below.

Note: In this example, the facility is changing name and address so an updated SF-328 and DD Form 441 are required.

Basic Information | Change Condition Questionnaire | SF-328 | **Supporting Documents** | 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.

- **(Not Uploaded) SF-328**
- **(Not Uploaded) DD Form 441**

Upload Supporting Documents ADD RECORD

Document Type

9. Click **Add Record** to upload a document.

Upload Supporting Documents **ADD RECORD**

Document Type

No Records Present

Submit Save Cancel

10. Supporting Documents tab – click the **Document Type dropdown** menu to select the document type that is being uploaded. Then click **Select a File** to upload the file from your computer.

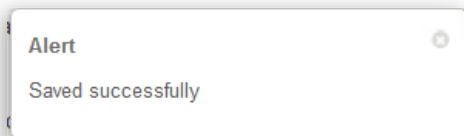
Note: The FCL Package field in a non-editable field.

The screenshot shows the 'Add Record' form with the 'Basic Information' tab selected. The 'Document Type' dropdown menu is open, displaying a list of document types. A red arrow labeled '1' points to the dropdown menu. The 'Supporting Document' field is empty, and a red arrow labeled '2' points to the 'Select a File' button. The 'FCL Package' field is also empty. The 'Save' and 'Cancel' buttons are visible at the bottom right.

11. Supporting Documents tab – use the Description field to add a brief description of the document. Click **Save** when ready to upload.

The screenshot shows the 'Add Record' form with the 'Basic Information' tab selected. The 'Document Type' dropdown is set to 'SF-328'. The 'Supporting Document' field is filled with 'Test file.docx (11.16KB)'. The 'Description' field is highlighted with a red box and contains the text 'Current SF-328 Signed 4/17/2019'. The 'FCL Package' field is empty. The 'Save' and 'Cancel' buttons are visible at the bottom right.

12. Supporting Documents tab – upon clicking Save, the Alert prompt below will appear towards the top of your page.



After which, your document will appear listed under the column labeled Document Type.

Note: Support documents are listed by document type.

 A screenshot of a web application interface. At the top, there are tabs: "Basic Information", "Change Condition Questionnaire", "SF-328", "Supporting Documents" (selected), and "Industry-DSS Package Comments". Below the tabs, there are two bullet points with links: "A sample Legal Organization Chart PDF is available here: [Click here for Sample_Org_Chart.pdf](#)" and "A fillable PDF version of the Ownership and Control Worksheet is available here: [Click here for Contractor_Ownership_and_Control.pdf](#)". A line of text states: "The following documents are REQUIRED for your type of FCL package. Additional documents may be uploaded." Below this, there are two bullet points: "(Uploaded) SF-328" and "(Not Uploaded) DD Form 441". A section titled "Upload Supporting Documents" has an "ADD RECORD" button. Below this is a table with one row: "Document Type" with the value "SF-328". To the right of the table is a trash can icon. At the bottom right are "Submit", "Save", and "Cancel" buttons.

Note: To remove an uploaded file, click the **trashcan icon** next to the file.

13. Supporting Documents tab – repeat the document upload steps above for each document. All uploaded documents should be listed under Document Type as shown below. Click **Save** then click **Industry-DSS Package Comments tab** to proceed.

 A screenshot of the same web application interface as above, but with more documents listed. The "Upload Supporting Documents" section now contains a table with four rows: "Articles of Incorporation", "DD Form 441", "SF-328", and "Shareholder Agreement". Each row has a trash can icon to its right. A red arrow with the number "2" points to the "Industry-DSS Package Comments" tab. Another red arrow with the number "1" points to the "Save" button at the bottom right.

14. Industry-DSS Package Comments – to provide DSS with additional information regarding your change conditions package, use the Package Summary Comments for DSS text box, as needed. Click **Save** to save information and submit later, or click **Submit** if you're ready to submit the package to DSS.

Note: Upon successful submission, the message below will appear.

Note: Once your Change Condition Package has been submitted, the assigned Industrial Security Representative (ISR) will receive an automatically generated email to notify them.

Note: Once your package has been either approved, returned to you for changes, or archived, you will receive an email alert to notify you of this update.

15. If your change condition package has been approved, the corresponding changes will be made to your Facility Profile. **Note:** In this example, Facility Name has changed from “Test Facility” to “New Test Facility”, and the Physical Address has changed from “123 Test Street - - Quantico – VA – 22134” to “456 New Address Ave - - Stafford – VA – 22554”.

SF-328 Tab:

If your responses to the change questionnaire tab generates an SF-328 tab, follow these steps:

Note: *If your change condition results in any changes to your existing SF-328, including name or address changes, you must submit an updated SF-328 as part of the change condition package. Use the following instructions to update, print and upload the completed, signed SF-328 in the Supporting Documents tab.*

1. SF 328 tab – If your facility is a branch/division office, or if your tier parent company is submitting a consolidated SF-328, check the check box that appears at the top of the form. If checked, you will need to enter the CAGE code and facility name of the parent/home office of the Consolidated SF-328 in the two fields immediately below the checkbox. After that, you will not be required to complete the SF 328.

The screenshot shows the SF-328 tab of a web form. At the top, there are five tabs: "Basic Information", "Change Condition Questionnaire", "SF-328", "Supporting Documents", and "Industry-DSS Package Comments". The "SF-328" tab is selected. Below the tabs, there is a checkbox 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 package)". The checkbox is currently unchecked. Below this checkbox are two input fields: "Consolidated SF-328 Parent CAGE Code" and "Consolidated SF-328 Parent Facility Name".

2. SF 328 tab – The next question concerns companies that issue stock. Consult resources within your organization if you require assistance answering this question. Use the radio button to answer “Yes” or “No.” If “Yes” is selected, the follow on question, 1a, will be available. If “No” is selected, question 1b (for entities which do not issue stock) will be available.

Note: Refer to [SF-328 instruction sheet](#) for additional guidance on completing this form.

The screenshot shows the SF-328 tab of a web form, continuing from the previous one. The "SF-328" tab is still selected. Below the input fields for CAGE Code and Facility Name, there is a question: "Does your company issue stock? *". There are two radio buttons: "No" and "Yes". The "Yes" radio button is selected. Below this question is a "PENALTY NOTICE" section with the text: "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".

3. SF-328 tab – Scrolling down the page, you will see the questions of an SF-328 form with “Yes” or “No” radio buttons. Selecting a “Yes” response will generate a text box for users to provide additional information (see example responses below).

Note: In this example, the facility does issue stock and answered “Yes” to question 1a, so additional information has been provided in the corresponding text fields.

QUESTIONS and ANSWERS

1. (Answer 1a or 1b)

a. (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? ⓘ

Yes No

If yes, identify 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.

(1a) Percentage of Stock or Other Securities Details

5%, common stock, Jacque Smith, France, directly owned, no voting rights.

Are there shareholder agreements? If yes, attach a copy(ies), and if none, so state.

Yes No

Shareholder Agreement Comment

Copies attached under "Supporting Documents" tab.

Indicate whether a copy of SEC Schedule 13D/13G report has been received from any investor. If yes, attach a copy(ies).

Yes No

Note: Ownership of less than 5% should be included if the holder is entitled to control the appointment and tenure of any management position.

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

Yes No

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

- SF-328 tab – fill in the text fields under Certification Information. Once you have entered the requested information on the SF-328 tab, click the **Save** button.

Certification Information

Witness Name
Jane Doe

Authorized Contractor Representative Name
John Smith

Authorized Contractor Representative Title
Contractor Representative Title

Street 1
456 New Address Ave

Street 2

City
Stafford

State
VA

Zip Code
22554

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.

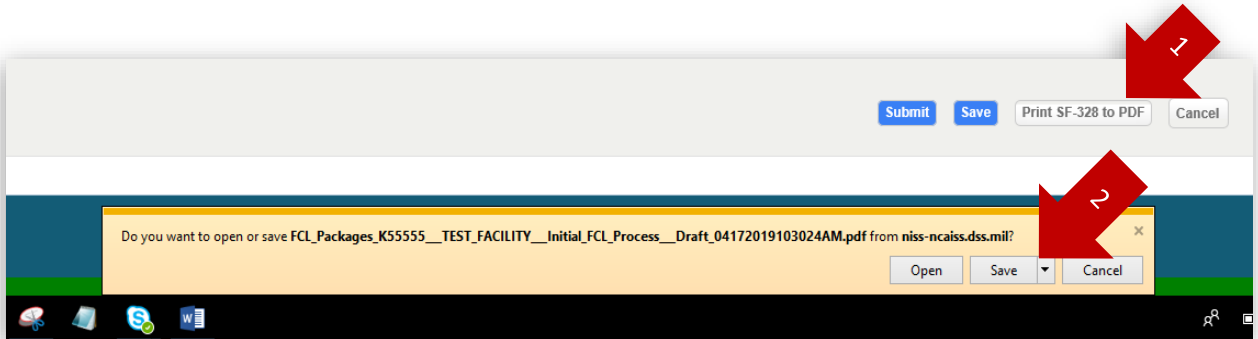
Note: Upon clicking save, text at the bottom of the page will turn red to highlight instructions on how to sign your SF-328 form.

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.

- Once you click Save, a Print SF-328 to PDF button will appear. Click the **Print SF-328 button** to generate a PDF file of your SF-328. A prompt will appear at the very bottom of your browser, select **Save** to save the PDF file to your computer.



- SF-328 PDF File – open the SF-328 PDF file, print a copy, then have the designated Witness and Authorized Contractor Representative sign in the corresponding fields. Scan and save the SF-328 to your computer. Click **Supporting Documents tab** to move forward and to upload the completed, signed SF-328.

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:

| | |
|----------------------|------------------|
| (Signature and Date) | (Date Certified) |
| Jane Doe | |

(Signature of Authorized Contractor Representative)

John Smith

(Typed Name of Contractor)

Contractor Representative Title

(Title of Authorized Contractor Representative)

456 New Address Ave , Stafford VA 22554

(Address)

NOTE: The witness must be a person who personally observed the Contractor Representative sign this form. The witness cannot be the same person who accepts this form as the Government Representative. The name of the witness should be typed or printed under the witness' signature and date.

By executing this form, the Contractor Representative certifies that he or she is the ___ Contractor Representative Title ___ of the business entity identified above, and has the authority to bind the business entity to the terms of this agreement.

STANDARD FORM 328 (REV. 3/2017) BACK

Submitting a Change in Key Management Personnel (KMP)

Submitting a change condition package is the only way to update your facility's KMP list; this includes updates to an existing KMP's individual record and changes to any exclusion resolutions.

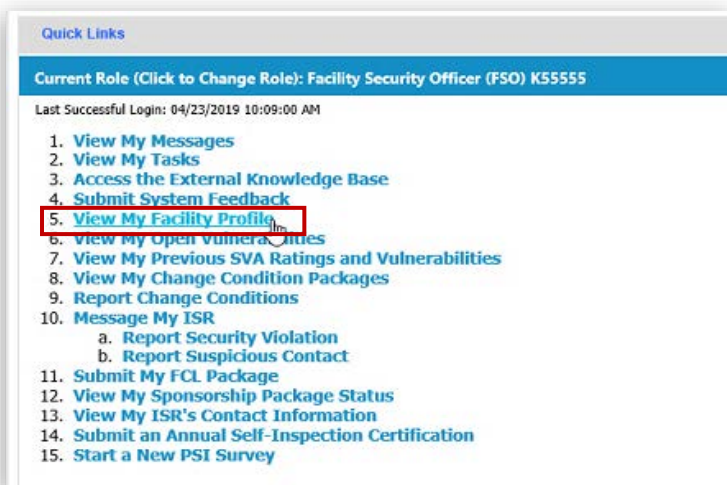
Note: When making any changes to the KMP List, the potential/revised KMP entries will be incorporated into the existing KMP List in the Facility Profile. While you have an open change condition package, you will see both the original and the potential/revised entries together in your KMP List on the facility profile, with the potential/revised entries being preceded by "Awaiting Approval." This will occur even if you don't submit the package. Please note: The KMP records marked "Current" are the official record according to DSS and those records can only be modified by DSS personnel. Industry has the ability to modify "Awaiting Approval" records when submitting a change condition package.

Note: If the KMP change condition is **Approved** by ISR, then these KMP entries will replace the original entries in the KMP List of the Facility Profile and their status will update to "Current."

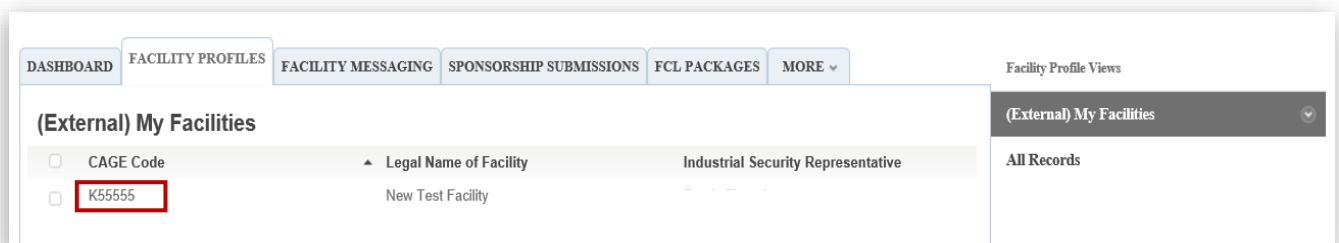
Note: If the KMP change condition is **Archived or Discontinued**, the potential/revised entries will be deleted from the KMP List and the original KMP entries will remain.

Follow the steps below to submit a KMP change condition:

1. To view your current KMP list, navigate to your NISS Dashboard and select **View My Facility Profile** from your Quick Links.



2. From the (External) My Facilities view, click the CAGE Code of the facility to view the Facility Profile. **Do not** click the check box next to the CAGE code.



3. From the Facility Overview dropdown menu, select **KMP**. Your KMP list will display.

You do not have permission to update this record

Facility Overview
Business Information
FOCI & International
Safeguarding
Actions & Documentation

Notice:

Under the Privacy Act of 1974, you have the right to know what information retrieved through this system. Disclosure of information is governed by Title 5, United States Code, Section 552a Public Law 93-579, DoDD 5400.11, DoDR 5400.07, and DoD 5400.06. For more information, see the service directives.

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

| Status | Clearance Required | Last Name | First Name | SMO/FSO/ITPSO | Title(s) | SSN | FSO Appointment Date |
|---------|--------------------|-----------|------------|---------------|-----------|-----------|----------------------|
| Current | No | Doe | Jane | | Treasurer | | |
| Current | Yes | Doe | John | ITPSO | Secretary | 654456545 | |
| Current | Yes | Smith | John | FSO | Partner | 456454654 | |
| Current | Yes | Smith | Jane | SMO | President | 654454565 | |

Cancel

Note: Your original KMP List, prior to making any changes, will have “Current” as the status preceding each entry.

4. To submit a KMP change, navigate to the NISS Dashboard and select **Report Change Conditions** from your Quick Links.

Quick Links

Current Role (Click to Change Role): Facility Security Officer (FSO) K55555

Last Successful Login: 04/23/2019 10:09:00 AM

1. [View My Messages](#)
2. [View My Tasks](#)
3. [Access the External Knowledge Base](#)
4. [Submit System Feedback](#)
5. [View My Facility Profile](#)
6. [View My Open Vulnerabilities](#)
7. [View My Previous SVA Ratings and Vulnerabilities](#)
8. [View My Change Condition Packages](#)
- 9. [Report Change Conditions](#)**
10. [Message My ISK](#)
 - a. [Report Security Violation](#)
 - b. [Report Suspicious Contact](#)
11. [Submit My FCL Package](#)
12. [View My Sponsorship Package Status](#)
13. [View My ISR's Contact Information](#)
14. [Submit an Annual Self-Inspection Certification](#)
15. [Start a New PSI Survey](#)

5. Click the **Change Condition Questionnaire** tab.

New FCL Package

Basic Information
Change Condition Questionnaire
Industry-DSS Package Comments

6. Select "Yes" to the question regarding change in Key Management Personnel (KMP). If you are submitting an additional change(s), answer the remaining questions accordingly.

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

7. Using the text box corresponding to **question 4**, provide details regarding the change in KMP, see example below. Once you have completed the Change Condition Questionnaire, click **Save**.

Note: DO NOT click Submit yet.

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

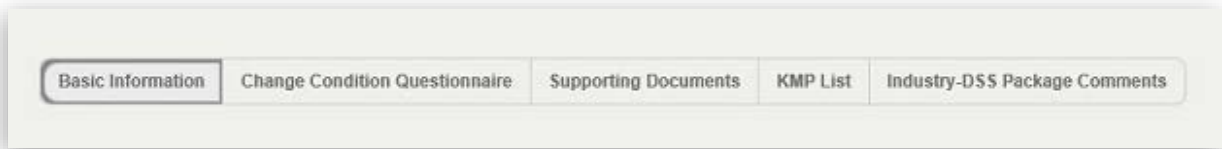
Identifying Chairman of the Board who is company President Jane Smith.
Adding Vice Chairman of the Board as Non-Essential KMP.
Removing Treasurer who has resigned from their post.
Treasurer is now a VACANT position.

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

Submit Save Cancel

8. Upon clicking Save, both the Supporting Documents tab and KMP List tab will be generated, based on the “Yes” response in the questionnaire.



9. Click the Supporting Documents tab – based on the type of KMP change condition being submitted, you may need to upload supporting documentation.

Note: For more information on the required supporting documents by type of change condition, see [Annex – Supporting Documents by Change Condition Type](#).

To add a supporting document, click **Add Record** button.

 The 'Supporting Documents' tab is active. Below the navigation tabs, there are two bullet points with links to sample documents. A text line states: 'The following documents are REQUIRED for your type of FCL package. Additional documents may be uploaded.' Below this is a section titled 'Upload Supporting Documents' with an 'ADD RECORD' button on the right. Underneath is a 'Document Type' dropdown menu and a table area that currently says 'No Records Present'. At the bottom right are 'Submit', 'Save', and 'Cancel' buttons.

10. Click the **Document Type dropdown** menu to select the document type that is being uploaded. Then click **Select a File** to upload the file from your computer.

Note: The FCL Package field in a non-editable field.

 The 'Add Record' form is shown. A red arrow labeled '1' points to the 'Document Type' dropdown menu, which is open and shows a list of document types including 'Articles of Incorporation', 'Articles of Organization', 'Business License', 'By-Laws', 'Certificate of Formation', 'Certificate of Incorporation', 'Certificate of Limited Partnership', 'Charter', 'DD Form 254', 'DD Form 441', 'DD Form 441-1', 'Exclusion Resolution for KMP (Directors or Officers)', 'Exclusion Resolution for KMP (LLC Member)', 'Exclusion Resolution for Parent Organization', 'Exclusion Resolution for Subsidiary Organization (Noting Parent's Exclusion)', 'FSO Appointment Letter', 'Fictitious Name Certificate', 'JV Agreement', 'Legal Organization Chart', 'Meeting Minutes', 'Most Recent SEC Filings', 'Operating Agreement', 'Other', 'Ownership and Control Worksheet', 'PWS/SOW', 'Partnership Agreement', 'Proof of Citizenship', 'SEC Schedule 13D/13G', 'SF-328', and 'Shareholder Agreement'. Another red arrow labeled '2' points to the '+ Select a File' button in the 'Supporting Document' section. Below this is an 'FCL Package' field and 'Save' and 'Cancel' buttons.

11. Use the **Description** field to add a brief description of the document. Click **Save** when ready to upload.

Note: In the example, we are uploading Meeting Minutes as a supporting document to provide additional information regarding the election of the Facility's Chairman of the Board.

Add Record

Basic Information

Document Type * Meeting Minutes

Supporting Document * Test file.docx (11.16KB)

Description Electing Chairman of the Board

FCL Package

Save

Save Cancel

12. The uploaded document should now appear under Document Type. Click the **KMP List tab** to move forward.

Basic Information Change Condition Questionnaire Supporting Documents **KMP List** Industry-DSS Package Comments

KMP List Tab

The KMP List tab is where you can modify, delete, or add individuals to your facility's KMP List. A bullet list of positions that are required to be included on your KMP List will be shown at the top of the tab. When you are updating an existing KMP List, if you've already included one of these positions, it will be preceded by "(Identified)" as shown in the example below.

Note: Refer to the [KMP List Guide](#) linked at the top of the KMP List tab for more information on which KMPs you are required to list based on your business structure and which additional KMPs you may need to identify.

Basic Information Change Condition Questionnaire Supporting Documents **KMP List** Industry-DSS Package Comments

Refer to the [KMP List Guide](#) for more information on required KMPs for your business structure.

The following PCLs for KMPs are REQUIRED for your business structure. Additional KMPs may be identified.

Note: If KMP position is vacant, then type "VACANT" for corresponding KMP First and Last Name.

- (Identified) FSO
- (Identified) ITPSO
- (Identified) Senior Management Official
- Chairman of the Board
- Vice Chair of Board, if provisions for rotating or Pro Tem duties
- Corporate Officials are cleared if their duties require access to classified information

The FSO indicated in the Sponsorship Package as the FSO is initially listed below as "Other - FSO." If correct, please update that user record by removing the "Other - FSO" indicator and formally select them as the FSO. If the person is not the FSO please remove them from the KMP list as appropriate.

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|-----------|----------------------|
| Awaiting Approval | No | Jane | Doe | | Treasurer | |
| Awaiting Approval | Yes | Jane | Smith | SMO | President | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |

KMPs ADD RECORD

Note: As you make changes to the KMP List, the new entries will be preceded by “Awaiting Approval” under the Status column. Remember, “Awaiting Approval” records are draft/working copy records of your proposed KMP List for DSS to review.

Modifying a KMP:

You can modify an existing KMP record to update details such as indicating if they are a Facility Security Officer (FSO), Senior Management Official (SMO), or Insider Threat Program Senior Official (ITPSO); you can also edit details such as their position titles, ownership percentage, and exclusion resolution status, among other details.

1. KMP List tab – your current KMP list is listed. To edit a KMP, **single click the record**.

The FSO indicated in the Sponsorship Package as the FSO is initially listed below as "Other - FSO." If correct, please update that user record by removing the "Other - FSO" indicator and formally select them as the FSO. If the person is not the FSO please remove them from the KMP list as appropriate.

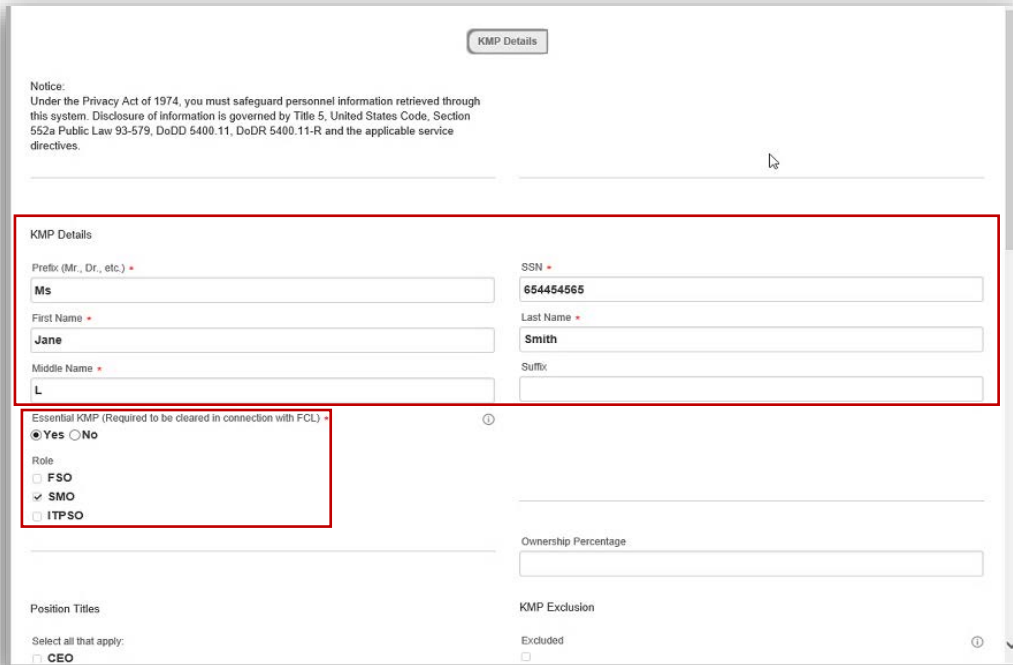
| KMPs | | | | | | | ADD RECORD |
|-------------------|--------------------|------------|-----------|---------------|-----------|----------------------|------------|
| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date | |
| Awaiting Approval | No | Jane | Doe | | Treasurer | | 🗑 |
| Awaiting Approval | Yes | Jane | Smith | SMO | President | | 🗑 |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | | 🗑 |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | | 🗑 |

Submit Save Cancel

2. KMP List tab – a KMP Details window appears. Review and update the information as needed.

Essential KMP: Use the Essential KMP radio buttons to select whether this KMP is essential or non-essential (refer to the KMP List Guide for more information on essential KMPs).

Role: For essential KMPs, use the radio buttons immediately below to indicate if they are a Facility Security Officer (FSO), Senior Management Official (SMO), or Insider Threat Program Senior Official (ITPSO). Make sure to check the box associated with FSO/SMO/ITPSO. **Do not** click the words “FSO,” “SMO,” or “ITPSO.” Clicking the check box will ensure proper business logic is applied. You can expect the check box response time to be delayed.



KMP Details

Notice:
Under the Privacy Act of 1974, you must safeguard personnel information retrieved through this system. Disclosure of information is governed by Title 5, United States Code, Section 552a Public Law 93-579, DoDD 5400.11, DoDR 5400.11-R and the applicable service directives.

KMP Details

Prefix (Mr., Dr., etc.) *
Ms

SSN *
654454565

First Name *
Jane

Last Name *
Smith

Middle Name *
L

Suffix

Essential KMP (Required to be cleared in connection with FCL) *
 Yes No

Role
 FSO
 SMO
 ITPSO

Ownership Percentage

Position Titles
Select all that apply:
 CEO

KMP Exclusion
Excluded

- Use the Position Titles checkboxes to add any applicable titles.

Note: In this example, the President of the Facility has been recently appointed as Chairman of the Board so we're selecting the checkboxes corresponding to Chairman as well as President.

The screenshot shows a form with several sections. On the left, under 'Position Titles', there is a list of roles with checkboxes: CEO, Partner, President (checked), Vice President, Secretary, Treasurer, Chairman (checked), Director, Member, Manager, and Other. To the right, there are fields for 'Ownership Percentage', 'KMP Exclusion' (with 'Excluded' and 'Temporary Exclusion' options), and 'Exclusion Date (mm/dd/yyyy)'. At the bottom, there is a 'State' dropdown menu set to 'CA'.

- Upon completion, scroll down and click **Save**.

The screenshot shows the bottom portion of the form, including 'State' and 'Zip Code' fields. At the bottom right, there are three buttons: 'Save', 'Save In', and 'Cancel'. The 'Save In' button is highlighted with a red box and has a mouse cursor over it.

- The KMP list should now be updated.

Note: In this example, the "Chairman" title now appears in the KMP list in addition to "President."

The screenshot shows a table titled 'KMPs' with the following columns: Status, Clearance Required, First Name, Last Name, SMO/FSO/ITPSO, Title(s), and FSO Appointment Date. The table contains four rows of data. The 'Title(s)' column for the second row is highlighted with a red box and contains the text 'President, Chairman'.

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|
| Awaiting Approval | No | Jane | Doe | | Treasurer | |
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | |

Deleting a KMP:

1. To delete a KMP, simply click the **trashcan icon** corresponding to the record you wish to delete.

Note: In this example, we will delete the entry for company Treasurer, Jane Doe.

KMPs

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|
| Awaiting Approval | No | Jane | Doe | | Treasurer | |
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | |

ADD RECORD

Delete KMP

Submit Save Cancel

2. Upon click the trashcan icon, a popup message will appear. Click **OK** to confirm deletion.

The FSO indicated in the Sponsorship Package as the FSO is initially listed below as "Other - FSO." If correct, please update that user record by removing the "Other - FSO" indicator and formally select them as the FSO. If the person is not the FSO please remove them from the KMP list as appropriate.

KMPs

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|
| Awaiting Approval | No | Jane | Doe | | Treasurer | |
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | |

ADD RECORD

Message from webpage

Are you sure you want to delete this KMP?

OK Cancel

Submit Save Cancel

3. The "Treasurer" KMP will be removed from the list.

KMPs

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | |

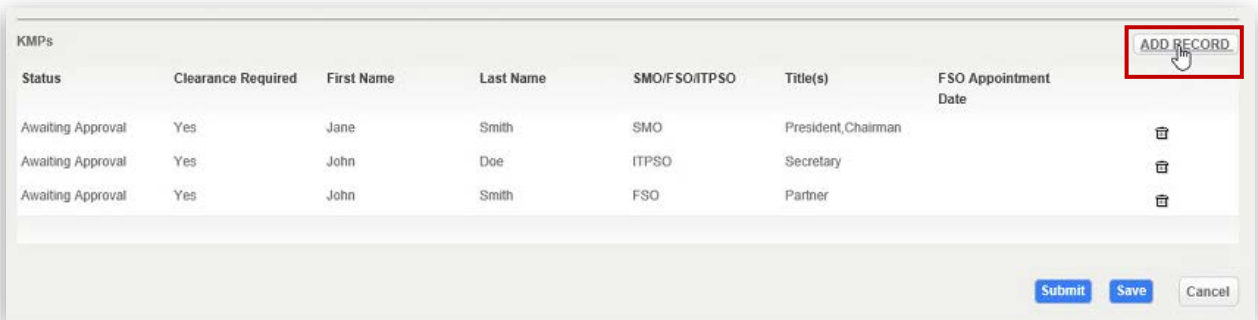
ADD RECORD

Submit Save Cancel

Adding a KMP:

Note: In this example, we will add a KMP record for the Treasurer position:

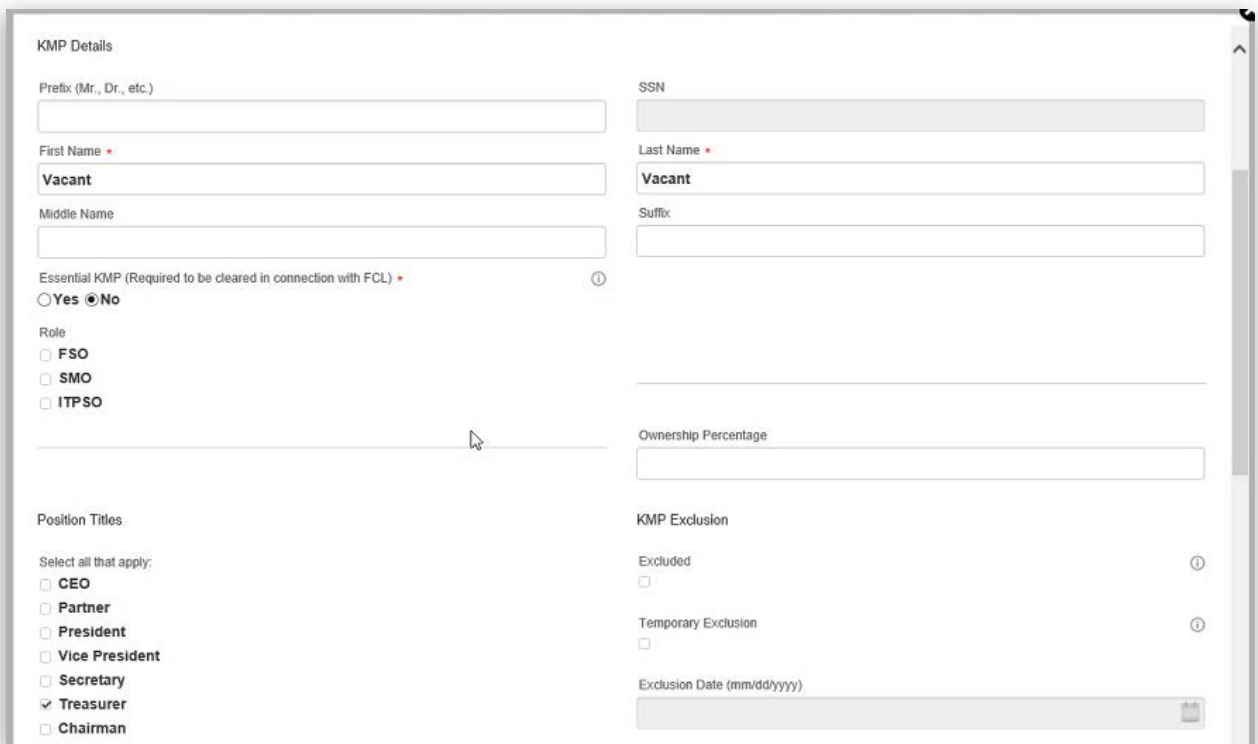
1. Click **Add Record** to add a KMP to your Facility Profile.



| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | |

2. A KMP Details window will appear – fill in the required fields accordingly. Use the Position Titles checkboxes to indicate the position of the new KMP being added. Make sure to check the box associated with FSO/SMO/ITPSO. **Do not** click the words “FSO,” “SMO,” or “ITPSO.” Clicking the check box will ensure proper business logic is applied. You can expect the check box response time to be delayed.

Note: Depending on whether the record is for an essential or non-essential KMP, different fields will be required (essential KMP requires more information) and different fields may be grayed out.



KMP Details

Prefix (Mr., Dr., etc.)

First Name

Middle Name

Essential KMP (Required to be cleared in connection with FCL) Yes No

Role

FSO

SMO

ITPSO

Position Titles

Select all that apply:

CEO

Partner

President

Vice President

Treasurer

Chairman

SSN

Last Name

Suffix

Ownership Percentage

KMP Exclusion

Excluded

Temporary Exclusion

Exclusion Date (mm/dd/yyyy)

- Upon completion, scroll to the bottom of the window and click **Save**.

Zip Code

Save Save Cancel

Note: You will receive a “Saved Successfully” alert to confirm your changes have been saved.

Basic Information Change Condition Questionnaire Supporting Documents **KMP List** Industry-DSS Package Comments

Alert
Saved successfully

Vacant Positions:

- If the position was previously filled and the previous individual’s record now needs to be removed from the KMP List, delete the record. **Note:** refer to [Delete KMP](#) for instructions.
- Add a new record to act as the place holder for the vacant position. Click **Add Record** to add a KMP to your Facility Profile.

| Status | Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date | |
|-------------------|--------------------|------------|-----------|---------------|---------------------|----------------------|----|
| Awaiting Approval | Yes | Jane | Smith | SMO | President, Chairman | | 🗑️ |
| Awaiting Approval | Yes | John | Doe | ITPSO | Secretary | | 🗑️ |
| Awaiting Approval | Yes | John | Smith | FSO | Partner | | 🗑️ |

Submit Save Cancel

Excluding a KMP:

1. To add an exclusion, **single click the KMP record** that you wish to exclude then use the checkboxes available under the KMP Exclusion header.

Note: In this example, we will be adding an exclusion for the Secretary KMP. Only non-essential KMPs are typically excluded. In rare cases, essential KMP may be considered for temporary exclusion. Please contact your ISR to make this determination.

The screenshot shows a form with two main sections. On the left, under 'Position Titles', there is a list of roles with checkboxes: CEO, Partner, President, Vice President, Secretary (checked), Treasurer, Chairman, Director, Member, Manager, and Other. On the right, the 'KMP Exclusion' section is highlighted with a red box. It contains:

- 'Excluded' with a checked checkbox and a help icon.
- 'Temporary Exclusion' with an unchecked checkbox and a help icon.
- 'Exclusion Date (mm/dd/yyyy)' with a text input field containing '04/23/2019' and a clear button (X).

2. Upon completion, hit **Save**.

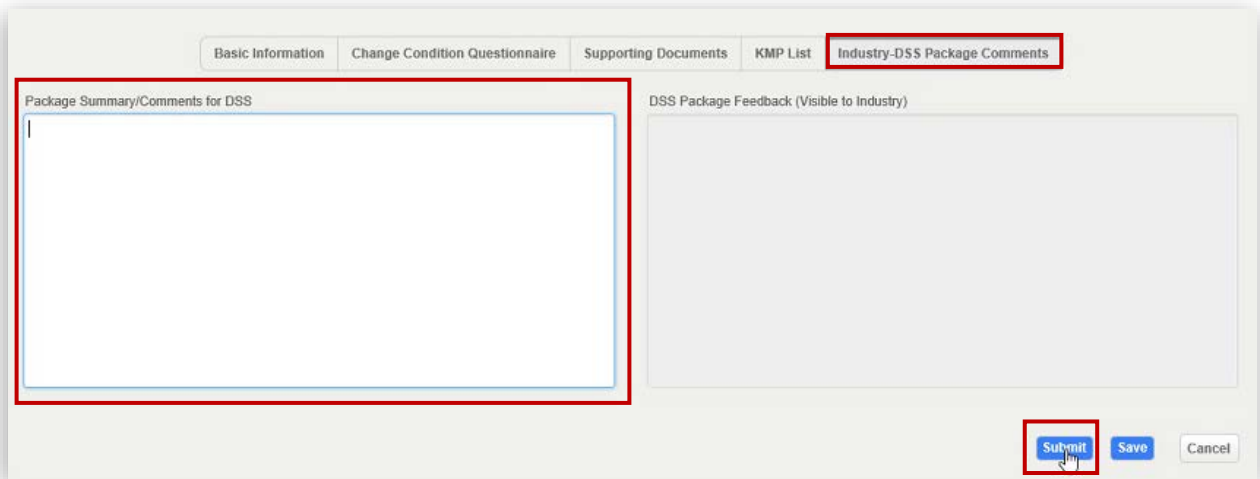
This screenshot shows the bottom of the form with three buttons: 'Submit', 'Save', and 'Cancel'. The 'Save' button is highlighted with a red box.

Note: You will receive a “Saved Successfully” alert to confirm your changes have been saved.

This screenshot shows the 'KMP List' tab selected in a navigation bar. Below the navigation bar, there is a message: 'Refer to the KMP List Guide for more information. The following PCLs for KMPs are REQUIRED: [list of PCLs] may be identified.' An alert box is overlaid on the message, displaying 'Alert Saved successfully'.

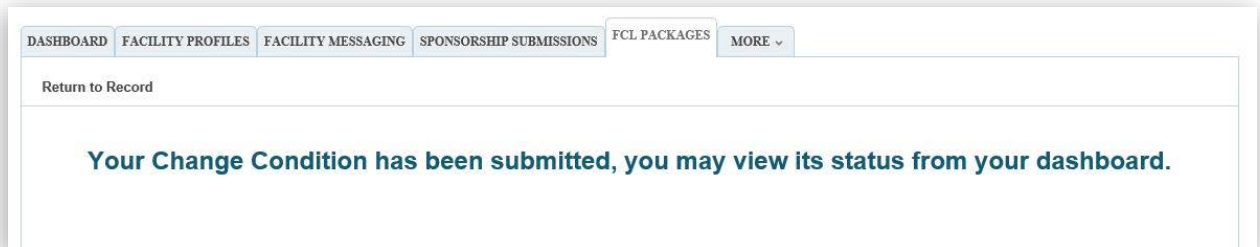
Submitting the KMP Change Condition Package

1. Click the **Industry-DSS Package Comments** tab to move forward. Use the Package Summary/Comments for DSS text box to provide your ISR with any additional information regarding your change conditions package, as needed.
2. Click **Save** to save information and submit later, or click **Submit** if you're ready to submit the package to DSS.



The screenshot shows a web application interface with a navigation bar at the top containing tabs: 'Basic Information', 'Change Condition Questionnaire', 'Supporting Documents', 'KMP List', and 'Industry-DSS Package Comments'. The 'Industry-DSS Package Comments' tab is selected and highlighted with a red border. Below the tabs, there are two main text input areas. The left area is titled 'Package Summary/Comments for DSS' and is currently empty. The right area is titled 'DSS Package Feedback (Visible to Industry)' and is also empty. At the bottom right of the form, there are three buttons: 'Submit' (highlighted with a red box), 'Save', and 'Cancel'.

3. Upon successful submission, user will receive the message below to confirm.



The screenshot shows a confirmation message in a web application. The message reads: "Your Change Condition has been submitted, you may view its status from your dashboard." The message is displayed in a white box with a light blue border. Above the message is a navigation bar with tabs: "DASHBOARD", "FACILITY PROFILES", "FACILITY MESSAGING", "SPONSORSHIP SUBMISSIONS", "FCL PACKAGES", and "MORE".

Note: Once your Change Condition Package has been submitted, the assigned ISR will receive an automatically generated email to notify them. Once your package has been either approved, returned back to you, or archived, you will receive an email alert to notify you of this update.

4. DSS review – if your KMP change condition is **Approved** by the IS Rep, then these KMP changes will be reflected in the KMP List of your Facility Profile, and their status will update to “Current” as shown below.

DSS review - If the KMP change condition is **Archived or Discontinued** by your IS Rep, the potential/revised entries will be deleted from the KMP List and the original KMP entries will remain.

Facility Overview Business Information FOCI & International Safeguarding Actions & Documentation

Notice:
Under the Privacy Act of 1974, you must safeguard personnel information retrieved through this system. Disclosure of information is governed by Title 5, United States Code, Section 552a Public Law 93-579, DoDD 5400.11, DoDR 5400.11-R and the applicable service directives.

KMPs

| Status | Clearance Required | Last Name | First Name | SMO/FSO/ITPSO | Title(s) | SSN | FSO Appointment Date |
|---------|--------------------|-----------|------------|---------------|---------------------|-----------|----------------------|
| Current | Yes | Smith | Jane | SMO | President, Chairman | 654454565 | |
| Current | Yes | Smith | John | FSO | Partner | 456454654 | |
| Current | Yes | Doe | John | ITPSO | Secretary | 654456545 | |
| Current | No | Vacant | Vacant | | Treasurer | | |

Cancel

Note: In this example, Jane Smith now has the added title of “Chairman” and the “Treasurer” position is now updated to reflect a vacancy. The changes we have made now reflect “Current” status.

Returning to a Draft Change Condition Package

1. To return to an open draft Change Condition package that has not yet been submitted, navigate to your NISS Dashboard and click **View My Change Condition Packages**.

Quick Links

Current Role (Click to Change Role): Facility Security Officer (FSO) K5555

Last Successful Login: 04/17/2019 09:24:00 AM

1. [View My Messages](#)
2. [View My Tasks](#)
3. [Access the External Knowledge Base](#)
4. [Submit System Feedback](#)
5. [View My Facility Profile](#)
6. [View My Open Vulnerabilities](#)
7. [View My Previous SVA Ratings and Vulnerabilities](#)
8. [View My Change Condition Packages](#)
9. [Report Change Conditions](#)
10. [Message My ISR](#)
 - a. [Report Security Violation](#)
 - b. [Report Suspicious Contact](#)
11. [Submit My FCL Package](#)
12. [View My Sponsorship Package Status](#)
13. [View My ISR's Contact Information](#)
14. [Submit an Annual Self-Inspection Certification](#)

2. Click **(External) My Open Change Conditions** from the FCL Package Views pane on the right-hand side. Click the Draft record that you wish to open then follow the instructions above to submit the Package.

DASHBOARD FACILITY PROFILES FACILITY MESSAGING SPONSORSHIP SUBMISSIONS FCL PACKAGES MORE ▾

(External) My Open Change Conditions

| Facility Profile | FCL Package Status | FCL Package Type | Date Modified | Date Created |
|--|--------------------|------------------|----------------|--------------|
| K55555 - TEST FACILITY - Initial FCL Process | Draft | Change Condition | 33 minutes ago | 1 hour ago |
| K55555 - TEST FACILITY - Initial FCL Process | Draft | Change Condition | 22 hours ago | 22 hours ago |
| K55555 - TEST FACILITY - Initial FCL Process | Submitted | Change Condition | 48 hours ago | 48 hours ago |

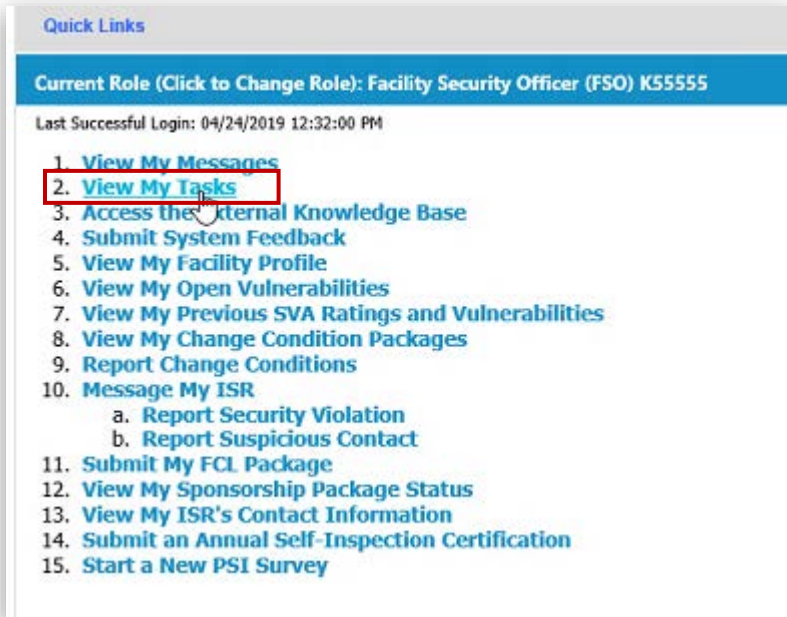
FCL Package Views

- (External) My Closed Packages
- (External) My Open Change Conditions
- (External) My Open Initial FCL Packages
- All Records

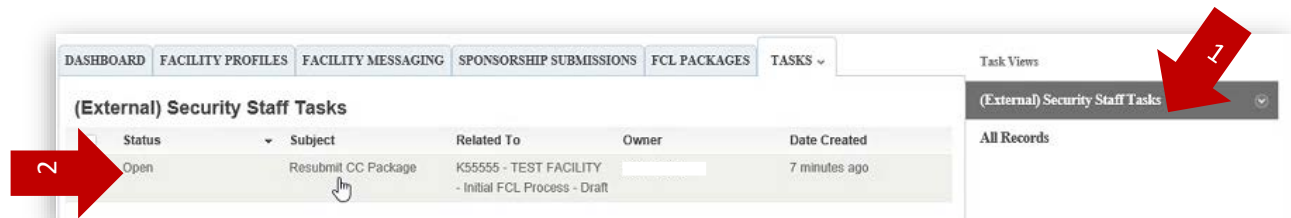
Resubmitting a Change Condition Package

If your package has been returned to you by DSS for changes, follow these steps to resubmit the package.

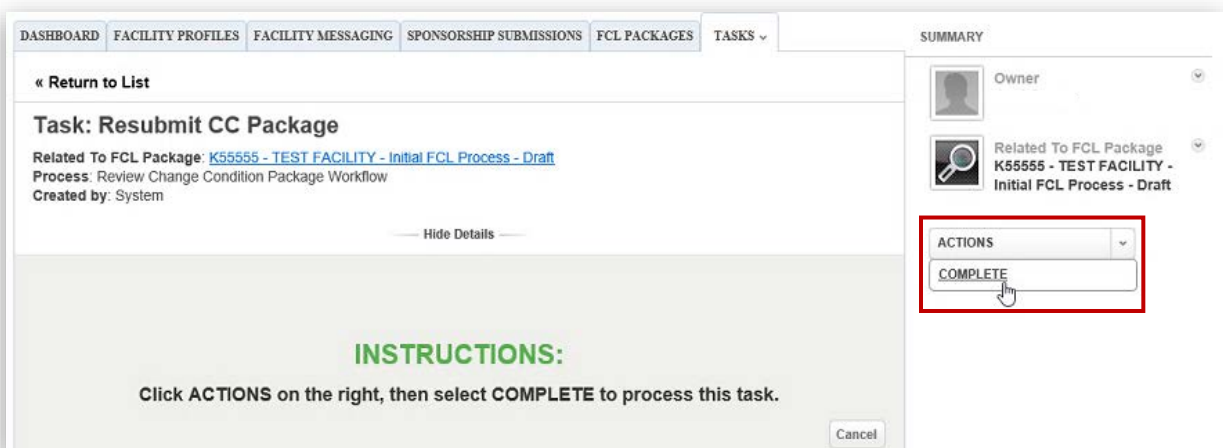
1. To resubmit your change condition package, navigate to the NISS Dashboard and click **View My Tasks** from your Quick Links.



2. On the right bar, click **(External) Security Staff Tasks**. Find the open task called **Resubmit CC Package**. Click the record to open it (**DO NOT** click the check box on the far left side).



3. When the task page opens, click **Actions** on the right bar, and then select **Complete**.



- Upon clicking Complete, a Resubmit CC Package task window will appear; initially it will be on the Resubmit Task tab. Click the **Industry-DSS Package Comments tab** to find feedback from DSS explaining why the package was returned.

The screenshot shows a task window titled "Task Resubmit CC Package". At the top, there is a horizontal tab bar with six tabs: "Resubmit Task", "Basic Information", "Change Condition Questionnaire", "SF-328", "Supporting Documents", and "Industry-DSS Package Comments". The "Industry-DSS Package Comments" tab is highlighted with a red border. Below the tabs, there is a section for "Resubmit Change Condition" with two radio buttons: "Send to ISR" (selected) and "Discontinue". Below that is a "Task Completion Comment" text area. At the bottom right, there are three buttons: "Print SF-328 to PDF", "Complete", and "Cancel".

- Refer to the **DSS Package Feedback** box to view notes from your IS Rep on why this package was returned. Based on their feedback, **navigate through each tab** and update the pertinent information accordingly.

Note: *DO NOT* click the Complete button until you're ready to resubmit the package. You must make all changes at once in order to submit the package. There is no "Save" button.

The screenshot shows the same task window as above, but now the "Industry-DSS Package Comments" tab is active. The tab bar is at the top. Below it, there are two main sections. On the left, under "Package Summary/Comments for DSS", there is a text area with the prompt "Add additional comments here." On the right, under "DSS Package Feedback (Visible to Industry)", there is a text area with the prompt "Returned to Industry for the following reasons:". Below these sections is a "Task Completion Comment" text area. At the bottom right, there are three buttons: "Print SF-328 to PDF", "Complete", and "Cancel".

6. Making edits to the SF-328 tab – if you need to update the entries to your SF-328 as part of resubmitting, go to the SF-328 tab to make changes. Refer to the [SF-328 section](#) for guidance on how to update the information.

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

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 package)

Consolidated SF-328 Parent CAGE Code

Consolidated SF-328 Parent Facility Name

Does your company issue stock? *

No Yes

7. Making edits to the Supporting Documents tab – if you need to update your supporting documentation as part of resubmitting, go to the Supporting Documents tab to make changes. For guidance on how to add or delete supporting documents, follow [these steps](#).

Note: When making updates to the Supporting Documents below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes.

Task
Resubmit CC Package

Resubmit Task Basic Information Change Condition Questionnaire SF-328 **Supporting Documents** Industry-DSS Package Comments

Alert! When making updates to the Supporting Documents below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes. Once ALL changes have been made within this FCL package Change Condition, click the 'Complete' button to submit the package.

Note: This is a known issue that will be resolved shortly.

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

Upload Supporting Documents ADD RECORD

| Document Type | |
|---------------------------|--------------------------|
| Articles of Incorporation | <input type="checkbox"/> |
| DD Form 441 | <input type="checkbox"/> |
| Meeting Minutes | <input type="checkbox"/> |
| SF-328 | <input type="checkbox"/> |
| Shareholder Agreement | <input type="checkbox"/> |

Task Completion Comment

Print SF-328 to PDF Complete Cancel

8. Making edits to the KMP List tab – if you need to update your KMP List information as part of resubmitting, go to the KMP List tab to make changes to KMP List including individual KMP details. For guidance on how to add, delete or modify the details of a KMP record, follow [these steps](#).

Note: When making updates to the Supporting Documents below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes.

Task
Resubmit CC Package

Resubmit Task Basic Information Change Condition Questionnaire Supporting Documents **KMP List** Industry-DSS Package Comments

Alert! When making updates to the KMP List below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes. Once ALL changes have been made within this FCL package Change Condition, click the 'Complete' button to submit the package.

Note: This is a known issue that will be resolved shortly.

The FSO indicated in the Sponsorship Package as the FSO is initially listed below as "Other - FSO." If correct, please update that user record by removing the "Other - FSO" indicator and formally select them as the FSO. If the person is not the FSO please remove them from the KMP list as appropriate.

The following PCLs for KMPs are REQUIRED for your business structure. Additional KMPs may be identified.

KMPs ADD RECORD

| Clearance Required | First Name | Last Name | SMO/FSO/ITPSO | Title(s) | FSO Appointment Date | |
|--------------------|------------|-----------|---------------|---------------------|----------------------|--------------------------|
| Yes | Jane | Smith | SMO | President, Chairman | | <input type="checkbox"/> |
| Yes | John | Doe | ITPSO | Secretary | | <input type="checkbox"/> |
| No | Vacant | Vacant | | Treasurer | | <input type="checkbox"/> |
| Yes | John | Smith | FSO | Partner | | <input type="checkbox"/> |

Task Completion Comment

Complete Cancel

9. Once all of the updates have been made to the package, click the **Industry-DSS Package Comments** tab. Use the **Package Summary/Comments for DSS** box to confirm that the requested revisions have been made, and also to add any additional comments or notes.

Task
Resubmit CC Package

Resubmit Task Basic Information Change Condition Questionnaire SF-328 Supporting Documents **Industry-DSS Package Comments**

Package Summary/Comments for DSS
Add additional comments here.
4/24/19 - Requested revisions completed.

DSS Package Feedback (Visible to Industry)
Returned to Industry for the following reasons:

10. Click to return to the **Resubmit Task** tab. Select the **Send to ISR** radio button. Click **Complete** button to resubmit the package.

Note: The **Discontinue** option can be used to archive a package. If discontinue is selected, any FCL changes, and any KMP changes that are “Awaiting Approval” will be deleted.

Task
Resubmit CC Package

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

Resubmit Change Condition +
 Send to ISR Discontinue

Task Completion Comment

Print SF-328 to PDF **Complete** Cancel

Note: The ISR will receive an email alert once the FSO resubmits.

11. To confirm your package has been submitted – check your task list to confirm that the status has changed from “Open” to “Completed”. Follow [29](#) to get to your tasks.

| Status | Subject | Related To | Owner | Date Created |
|---|---------------------|---|-------|----------------|
| <input type="checkbox"/> Open | Resubmit CC Package | K55555 - TEST FACILITY - Initial FCL Process - Draft | | 38 minutes ago |
| <input checked="" type="checkbox"/> Completed | Resubmit CC Package | K55555 - TEST FACILITY - Initial FCL Process - Submitted | | 1 hour ago |

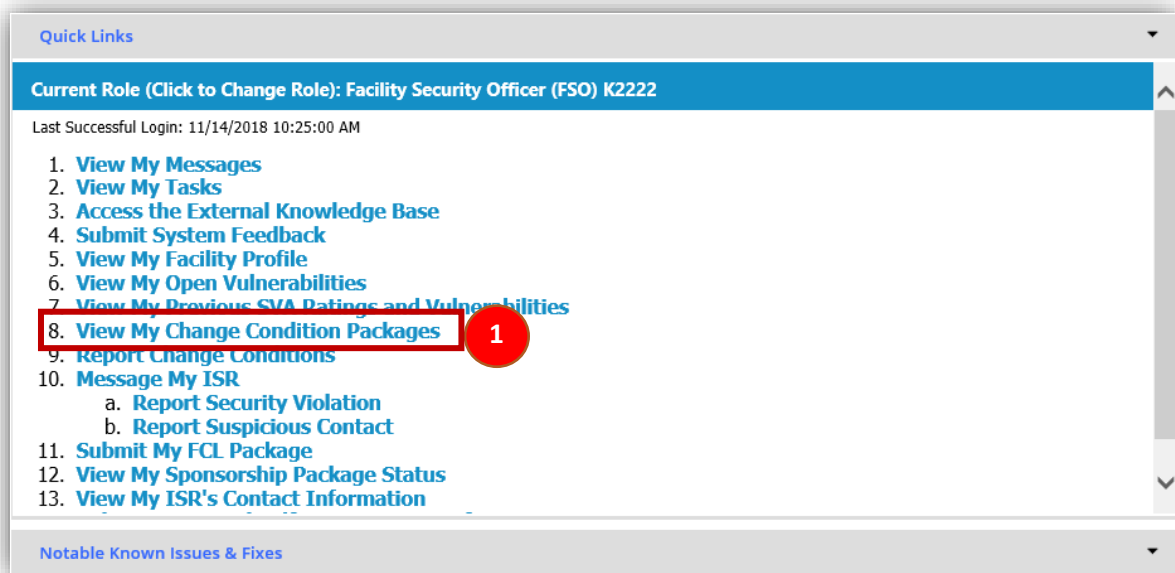
Deleting a Change Condition Package

Requesting a Draft Package be Archived (For Packages Not Yet Submitted to DSS)

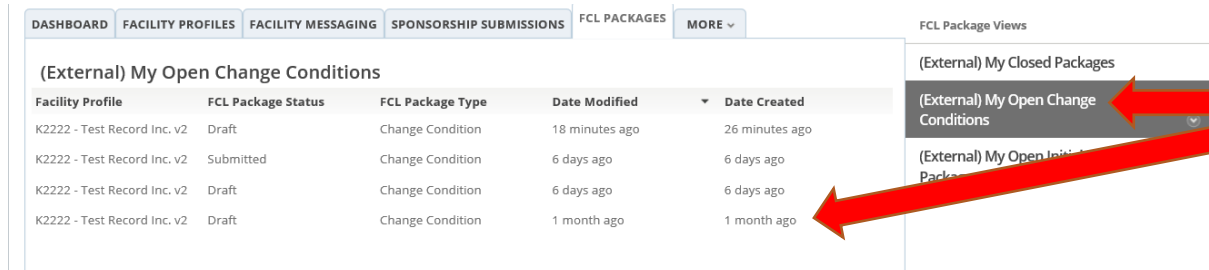
If you have begun a change condition package that is still in Draft status (e.g. that has never been submitted to DSS), you can request the package be archived. To do this, you will still need to submit the package to DSS; however, you will include a comment requesting it be archived. DSS will then process the package as Archived in order for the package to be deleted. Please note that when package is changed to an archived status, any potential changes awaiting approval, including “Awaiting Approval” KMP will be deleted.

To submit the package with a request to archive, complete the following steps:

1. From the Dashboard, click on **“View My Change Condition Packages”**.



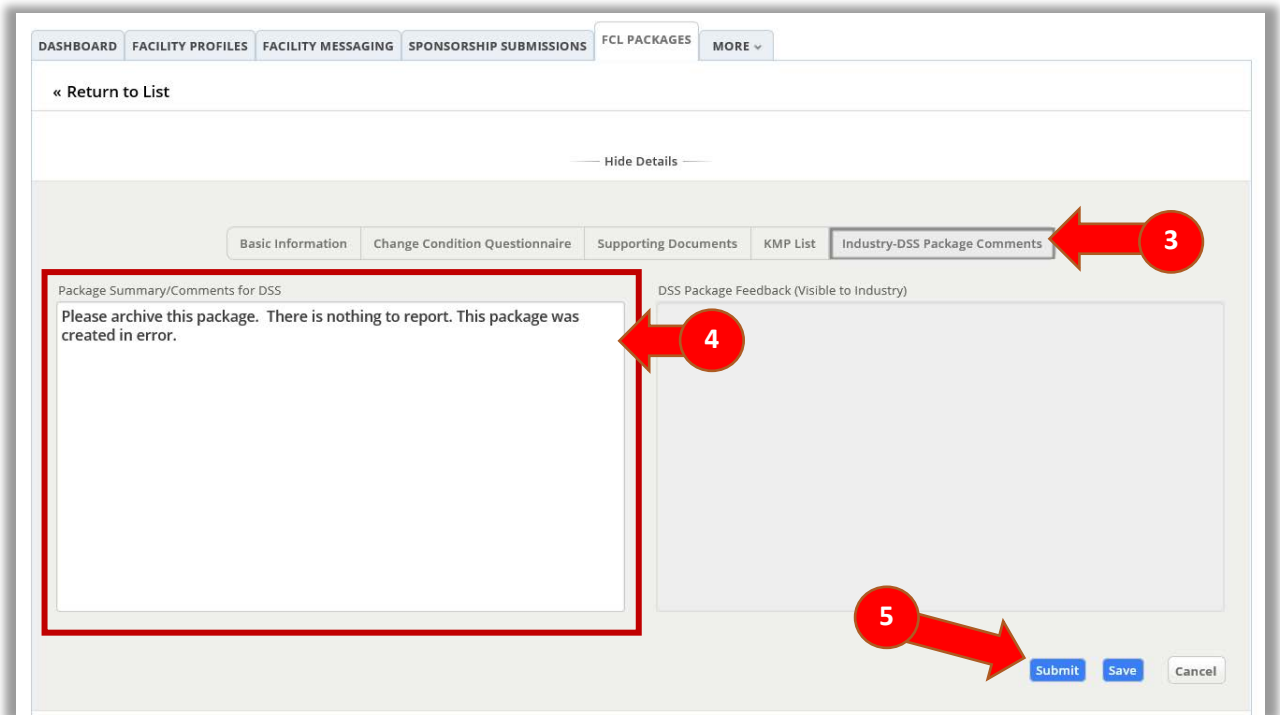
2. Click on **“(External) My Open Change Conditions.”** Then, click on the package to be archived.



Note: You can only request packages for archive that are in a “Draft” status.

3. Navigate to the **“Industry-DSS Package Comments”** tab.
4. Update **“Package Summary/Comments for DSS”** comment box with a request to remove the package and include your reason; for example: “Please remove this package. There is nothing to report. This package was created in error.”

- Click on the **Submit** button located in the lower right of the window.



Once the ISR has archived the package, the system will send you a system email notification to login to NISS.

- To verify the archive status (after your ISR has archived the package), go to your Dashboard, select “8. View My Change Condition Packages”, and click on “(External) My Closed Packages”. The system will display all completed packages with the FCL Package Status.

The screenshot shows the 'FCL Package Views' dropdown menu with '(External) My Closed Packages' selected. Below the menu is a table showing package details. A red box highlights the first row of the table, and a red arrow with the number 6 points to the dropdown menu.

| Date Modified | Facility Profile | FCL Package Type | FCL Package Status | Date Created |
|---------------|-----------------------------|------------------|--------------------|--------------|
| 6 days ago | K2222 - Test Record Inc. v2 | Change Condition | Archived | 1 month ago |
| 13 days ago | K2222 - Test Record Inc. v2 | Change Condition | Discontinued | 14 days ago |

Deleting a Package (For Packages Already Submitted to DSS)

If a change condition package has already been submitted to DSS (e.g. you have an open task called "Resubmit CC Package"), you can delete the package. Please note that when package is deleted, the package status is changed to "Archive," and any potential changes awaiting approval, including "Awaiting Approval" KMP will be deleted. To request that a change condition package be deleted, complete the following steps once the ISR has returned your package.

1. From the Dashboard, click "**View My Tasks**".

Quick Links

Current Role (Click to Change Role): Facility Security Officer (FSO) K55555

Last Successful Login: 04/17/2019 09:24:00 AM

1. View My Messages
2. View My Tasks
3. Access the External Knowledge Base
4. Submit System Feedback
5. View My Facility Profile
6. View My Open Vulnerabilities
7. View My Previous SVA Ratings and Vulnerabilities
8. View My Change Condition Packages
9. Report Change Conditions
10. Message My ISR
 - a. Report Security Violation
 - b. Report Suspicious Contact
11. Submit My FCL Package
12. View My Sponsorship Package Status
13. View My ISR's Contact Information
14. Submit an Annual Self-Inspection Certification

2. Click **(External) Security Staff Tasks** from the Tasks Views pane on the right-hand side then click the "Resubmit CC Package" task to archive.

DASHBOARD FACILITY PROFILES FACILITY MESSAGING SPONSORSHIP SUBMISSIONS FCL PACKAGES TASKS

Task Views

(External) Security Staff Tasks

| Status | Subject | Related To | Owner | Date Created |
|--------|---------------------|---|-------|---------------|
| Open | Resubmit CC Package | K55555 - TEST FACILITY - Initial FCL Process - Draft | | 7 minutes ago |

(External) Security Staff Tasks

All Records

3. When the task page opens, click **Actions** on the right bar, then select **Complete**.

DASHBOARD FACILITY PROFILES FACILITY MESSAGING SPONSORSHIP SUBMISSIONS FCL PACKAGES TASKS SUMMARY

« Return to List

Task: Resubmit CC Package

Related To FCL Package: [K55555 - TEST FACILITY - Initial FCL Process - Draft](#)

Process: Review Change Condition Package Workflow

Created by: System

Hide Details

INSTRUCTIONS:

Click **ACTIONS** on the right, then select **COMPLETE** to process this task.

Cancel

OWNER

Related To FCL Package
K55555 - TEST FACILITY -
Initial FCL Process - Draft

ACTIONS

COMPLETE

4. Click the **Industry-DSS Package Comments** tab. Update the **Package Summary/Comments for DSS** comment box with your request to delete the package including your reason(s).
Click **Resubmit Task** tab.

Note: In this example, the package was submitted in error so the comment states: "Please archive this package. There is nothing to report. This package was created in error."

Task
Resubmit CC Package

Resubmit Task Basic Information Change Condition Questionnaire SF-328 Supporting Documents **Industry-DSS Package Comments**

Package Summary/Comments for DSS
Add additional comments here.
Please archive this package. There is nothing to report. This package was created in error. |

DSS Package Feedback (Visible to Industry)
Returned to Industry for the following reasons:

Task Completion Comment

Print SF-328 to PDF **Complete** Cancel

5. From the Resubmit Task tab, select the **Discontinue** radio button, then click **Complete** button to delete the package.

Note: Once you select *Discontinue* and complete the task, the package status is changed to "Archive," and any potential changes awaiting approval, including "Awaiting Approval" KMP will be deleted.

Task
Resubmit CC Package

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

Resubmit Change Condition *
 Send to ISR **Discontinue** ← 1

Task Completion Comment

Print SF-328 to PDF **Complete** Cancel ← 2

6. To verify the archive status, go to your Dashboard, select **View My Change Condition Packages**, and click **(External) My Closed Packages**. The system will display all completed packages with the FCL Package Status.

| Date Modified | Facility Profile | FCL Package Type | FCL Package Status | Date Created |
|----------------|----------------------------|------------------|--------------------|--------------|
| 22 minutes ago | K55555 - New Test Facility | Change Condition | Archived | 8 days ago |
| 1 hour ago | K55555 - New Test Facility | Change Condition | Approved | 71 hours ago |
| 2 hours ago | K55555 - New Test Facility | Change Condition | Approved | 9 days ago |
| 72 hours ago | K55555 - New Test Facility | Initial | Issued | 22 days ago |

Note: Once the package has been archived, none of the changes reported in the package will be processed by DSS or in NISS, and your Facility Profile will return to same state as prior to drafting/submitting change condition package (e.g. KMPs with an “Awaiting Approval” status will be deleted).

Closing out an e-FCL Package

e-FCL packages migrated to NISS but are only available for DSS users at this time. If you need to close out an e-FCL package that was pending during the data migration to NISS, please work directly with your ISR to close the package. You can use the NISS Messaging feature to exchange messages and documents.

Annex – Supporting Documents by Change Condition Type

Depending on the type of change condition being submitted, the requested supporting documents will vary. Below are a few examples of different types of change and the supporting documents for each to include as part of your change condition package.

| Type of Change | Supporting Documents |
|-------------------------|--|
| Address Change: | <ul style="list-style-type: none"> - SF-328 (current version) - DD-441 - Modified DD 254s - Business Documentation* |
| KMP Change: | <ul style="list-style-type: none"> - KMP List - Business Documentation* |
| Name Change: | <ul style="list-style-type: none"> - SF-328 - DD-441 - Business Documentation* - State tax information and SAM information showing the change (<i>preferred, not required</i>) |
| Ownership Change: | <ul style="list-style-type: none"> - Business Documentation* - KMP List - Stock Ledger - Voting Rights and Control of all the owners |
| Legal Structure Change: | <ul style="list-style-type: none"> - New Business Documentation (By-Laws/Operating Agreement) - DD-441 - New Articles of Organization/Incorporation |

*Meeting Minutes, Amendment to By-Laws/Operating Agreement, and/or Memo on letterhead from the SMO