

Overview

The purpose of the business structure slick sheets is to provide industry the steps, documentation requirements, and resources for each business structure type to assist in submitting a complete and accurate facility clearance (FCL) package. Some organizational structures may include multiple business structures with different requirements, so it is important to ensure you are reviewing the sheet for all relevant business structures.

Who needs to submit business structure specific documentation?

- All facilities who have been sponsored for an initial FCL
- Uncleared parents of cleared facilities (a parent is an entity that owns at least a majority of another entity's voting securities [*source: 32 CFR 117.3(b) "Parent"*])
- Cleared facilities reporting a changed condition impacting any of the required documentation, such as changes in ownership; foreign ownership, control, or influence; business structure; etc. Changes in ownership resulting in a new parent will require documentation from the new parent to be submitted as part of the cleared company's package.
 - Note: The Defense Counterintelligence and Security Agency may request additional or updated documentation as part of the FCL or changed condition review process.

Limited Liability Company (LLC)

Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
Request for
Information
(RFI)

Required Information & Documentation



1. **Articles of Organization**
2. **Operating Agreement (OA)**
 - a) If not identified in the OA, please provide list of ownership/membership
3. **Business License**
4. **LLC Meeting Minutes (if applicable)**
 - a) Provide appointments of members, managers, and/or officers as defined in the OA, if not included in OA
5. **Fictitious Name Certificate (if applicable)**
6. **Legal Organizational Chart**
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - c) Members with 5% or greater ownership, identify by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
7. **Signed and witnessed DD-441**
8. **Signed and witnessed SF-328**
9. **Personal email addresses for all essential KMP to facilitate creation of eAPP accounts**
10. **Citizenship Verification**
 - a) Required for KMP who do not possess an active PCL
11. **Exclusion Resolutions (if applicable)**
 - a) See FCL Orientation Handbook Appendix
12. **Does your facility have a Parent Company?**
 - a) Parent Company = Member (Entity) holding >50% interest in your facility
 - b) If yes, refer to the FCL Orientation Handbook for guidance

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. **Senior Management Official (SMO)***
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Senior Official (ITPSO)***
4. **Manager(s)***
 - a) If manager-managed
5. **Member(s)**
 - a) Persons only
 - b) Required* (if member-managed)
6. **Officer positions **ONLY** if supported in the OA**
 - a) Titles/Roles/Responsibilities must be outlined in OA



**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

*An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL*

***MUST** be marked "No" for clearance required on the KMP list in NISS*

Tips for Success

1. Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website
2. Review all required information and documentation for accuracy, completion, and consistency
3. Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA
4. Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email
5. When in doubt, reach out to the VTD Knowledge Center

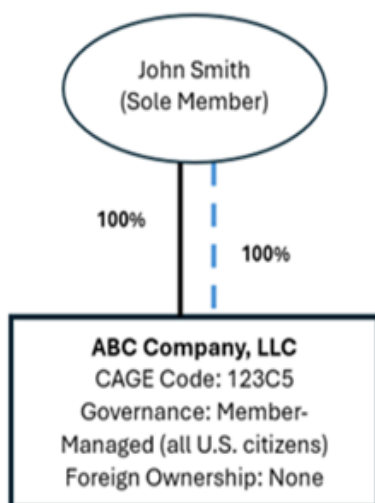
Additional Resources

1. **32 CFR Part 117**
2. **DoDM 5220.32 Volumes 1 and 2**
3. **FCL Orientation Handbook**
4. **FCL Videos**
5. **DCSA website: www.dcsa.mil**
6. **DCSA FCL Knowledge Center:**
878-274-2000 (option 2, then 1)
dcsa.quantico.mbx.ev-vtd@mail.mil



Member-Managed LLC

ORGANIZATIONAL CHART (Sample: Member-Managed LLC)

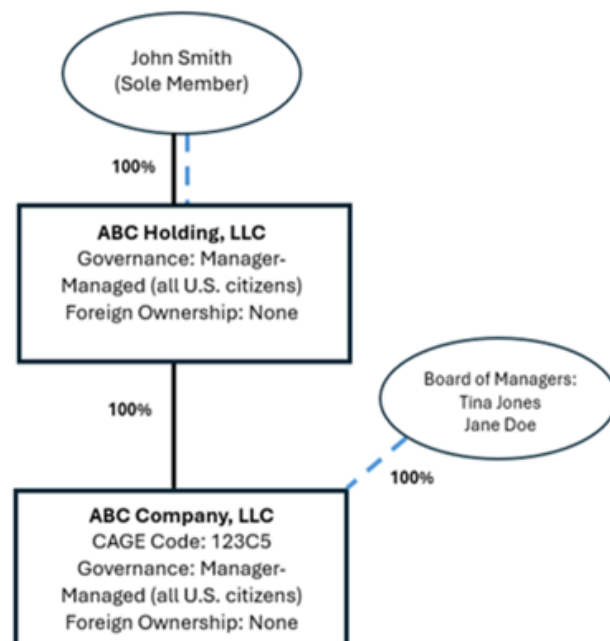


LEGEND



Manager-Managed LLC

ORGANIZATIONAL CHART (Sample: Manager-Managed LLC)



LEGEND



Limited Liability Partnership (LLP)

Steps, Requirements, and Resources



Required Information & Documentation



1. Articles of Organization
2. Partnership Agreement
 - a) Other governance documents
3. Business License (if applicable)
4. Meeting Minutes (if applicable)
5. Fictitious Name Certificate (if applicable)
6. Legal Organizational Chart
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - c) For partners with 5% or greater ownership, identify by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
7. Signed and witnessed DD-441
8. Signed and witnessed SF-328
9. Signed and witnessed SF-328 must be executed by the ultimate GP
10. Citizenship Verification
 - a) Required for KMP who do not possess an active PCL
11. Exclusion Resolutions (if applicable)
 - a) See FCL Orientation Handbook Appendix
12. Does your facility have a Parent Company?
 - a) Parent Company = LLC Member (Entity) holding >50% interest in your facility
 - b) If yes, refer to the FCL Orientation Handbook for guidance

KMP List Identification



NOTE: An individual may hold more than one of the following positions

1. Senior Management Official (SMO)*
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
2. Facility Security Officer (FSO)*
3. Insider Threat Program Senior Official (ITPSO)*
4. Partners
 - a) Managing Partners **MUST** be cleared*
5. Officer positions **ONLY** if supported in the OA/Partnership Agreement
 - a) Titles/Roles/Responsibilities must be outlined in governance document

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

*An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL*

***MUST** be marked "No" for clearance required on the KMP list in NISS*

Tips for Success

1. Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website
2. Review all required information and documentation for accuracy, completion, and consistency
3. Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA
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Additional Resources



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Steps, Requirements, and Resources

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(RFI)

Required Information & Documentation



1. Articles of Incorporation
2. By-Laws
3. Stock Ledger/Capitalization Table
 - a) All shares **MUST** be accounted for
4. Business License
5. Meeting Minutes (if applicable)
 - a) Provide appointments of directors and officers as defined in the By-Laws
6. Fictitious Name Certificate (if applicable)
7. Legal Organizational Chart
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - c) Shareholders with 5% or greater ownership, identify by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
8. Signed and witnessed DD-441
9. Signed and witnessed SF-328
10. Personal email addresses for all essential KMP to facilitate creation of eAPP accounts
11. Citizenship Verification
 - a) Required for KMP that do not possess an active PCL
12. Exclusion Resolutions (if applicable)
 - a) See FCL Orientation Handbook Appendix
13. Does your facility have a Parent Company?
 - a) Parent Company = Entity holding >50% interest in your facility
 - b) If yes, refer the FCL Orientation Handbook for guidance

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. Senior Management Official (SMO)
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
2. Facility Security Officer (FSO)*
3. Insider Threat Program Senior Official (ITPSO)*
4. Directors of the Board
 - a) Required if no Chairman has been appointed
5. Chairman of the Board* (if appointed)
 - a) If appointed, all other directors may be formally excluded
6. Vice-Chairman of the Board (if appointed)
 - a) Required if on a rotational or Pro Tem basis*
7. Officer positions **ONLY** if supported in the By Laws
 - a) CEO and/or President (if appointed)*
 - b) Titles/Roles/Responsibilities must be outlined in By Laws

An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL

MUST be marked "No" for clearance required on the KMP list in NISS

*Denotes position required to be cleared in connection w/FCL in accordance with company governance documents

Tips for Success

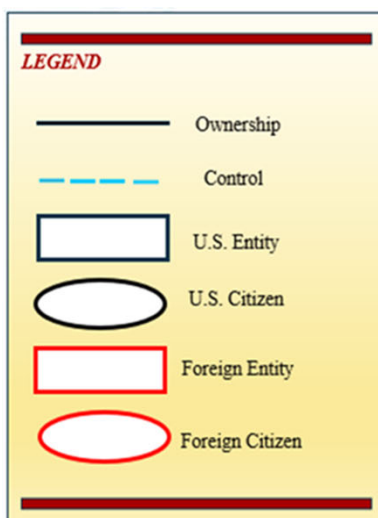
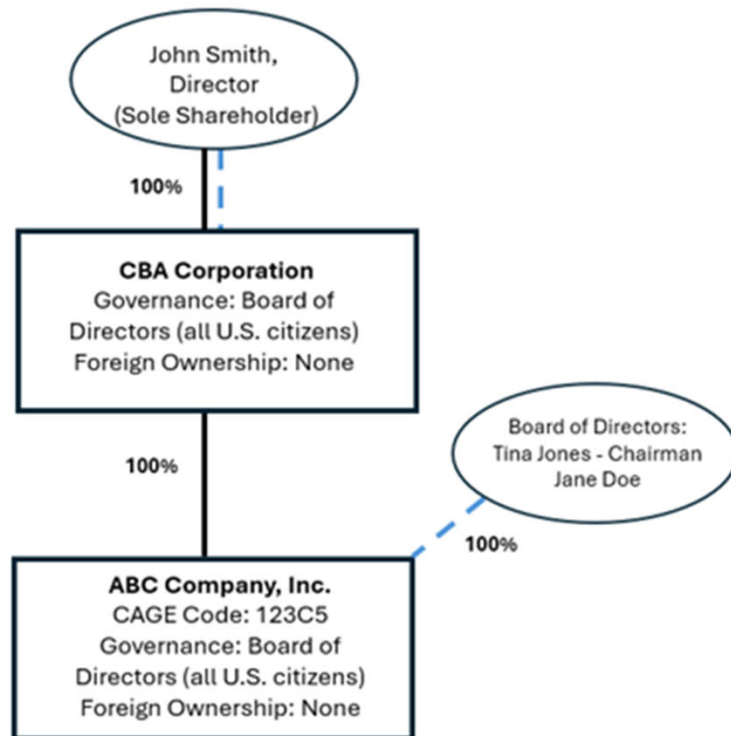
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3. Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA
4. Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email
5. When in doubt, reach out to the VTD Knowledge Center

Additional Resources

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2. DoDM 5220.32 Volumes 1 and 2
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ORGANIZATIONAL CHART (Sample: Corporation)



Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
Request for
Information
(RFI)

Required Information & Documentation



1. Articles of Incorporation
2. By-Laws
3. Stock Ledger/Capitalization Table
 - a) All shares **MUST** be accounted for
4. Most Recent SEC Filings
5. Business License
6. Meeting Minutes (if applicable)
 - a) Provide appointments of directors and officers as defined in the By-Laws
7. Fictitious Name Certificate (if applicable)
8. Legal Organizational Chart
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - c) Shareholders with 5% or greater ownership, identify by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
9. Signed and witnessed DD-441
10. Signed and witnessed SF-328
11. Personal email addresses for all essential KMP to facilitate creation of eAPP accounts
12. Citizenship Verification
 - a) Required for KMP who do not possess an active PCL
13. Exclusion Resolutions (if applicable)
 - a) See FCL Orientation Handbook Appendix
14. Does your facility have a Parent Company?
 - a) Parent Company = Entity holding >50% interest in your facility
 - b) If yes, refer the FCL Orientation Handbook for guidance

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. **Senior Management Official (SMO)***
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Security Officer (ITPSO)***
4. **Directors of the Board**
 - a) Required if no Chairman has been appointed*
5. **Chairman of the Board* (if appointed)**
 - a) If appointed, all other directors may be formally excluded**
6. **Vice-Chairman of the Board (if appointed)**
 - a) Required if on a rotational or Pro Tem basis*
7. **Officer positions **ONLY** if supported in the By Laws**
 - a) CEO and/or President (if appointed)*
 - b) Titles/Roles/Responsibilities must be outlined in By Laws

**Denotes position required to be cleared in connection w/FCL in accordance with company governance document.*

*An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL*

***MUST** be marked "No" for clearance required on the KMP list in NISS*

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

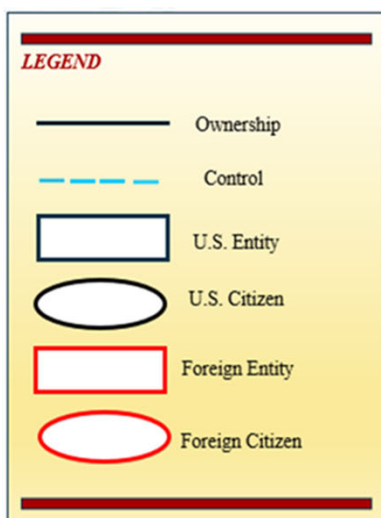
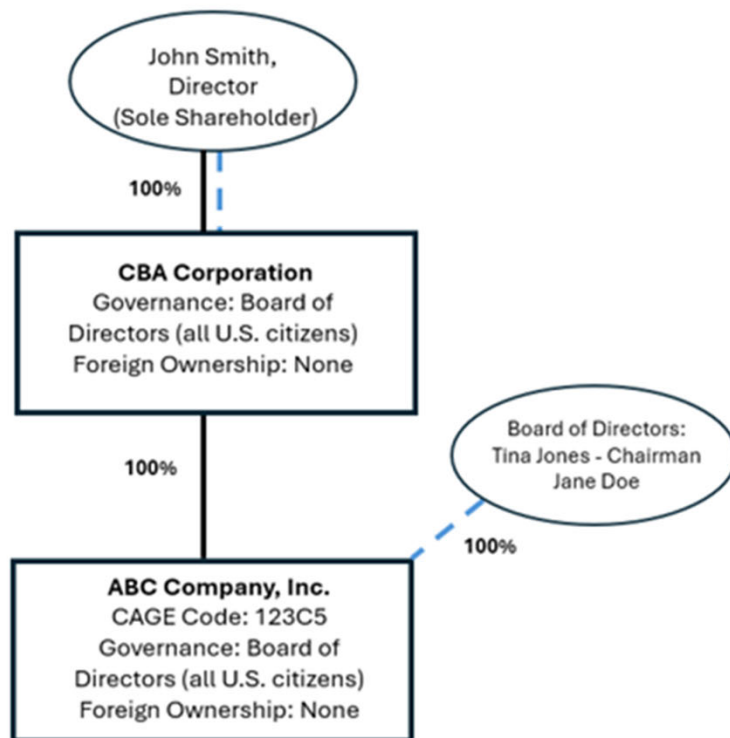
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Additional Resources

1. 32 CFR Part 117
2. DoDM 5220.32 Volumes 1 and 2
3. FCL Orientation Handbook
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ORGANIZATIONAL CHART (Sample: Corporation)



Joint Venture (JV)

Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
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Required Information & Documentation



There are two common forms of JVs:

- Created as a legal entity - organized in the form of a partnership, corporation, or limited liability company; FCL processed based upon business structure type.
- Joint Venture by contract - [DTM 24-004](#) provides clarification "covered JV," in which all venturers maintain active FCLs granted by DCSA.

1. **Formation Documentation**
2. **Governance Documentation** (appropriate to business structure, and JV Agreement)
3. **Business License**
4. **Meeting Minutes (if applicable)**
5. **Fictitious Name Certificate (if applicable)**
6. **Legal Organizational Chart**
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - i. Ownership and control must also be identified for each JV Member
7. **Signed and witnessed DD-441**
8. **Signed and witnessed SF-328**
9. **Citizenship Verification**
 - a) Required for KMP who do not possess a Personnel Clearance
10. **Exclusion Resolutions (if applicable)**
 - a) See FCL Orientation Handbook Appendix

A joint venture (JV) is not a business structure. It is an association of two or persons or business engaged in a defined project with all parties contributing assets and efforts, and sharing in the management, profits and losses. KMP and documentation requirements are in accordance with the JV's specific business structure

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. **Senior Management Official (SMO)***
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Senior Official (ITPSO)***
4. **Other titles, ONLY if supported in the governance documentation**
 - a) Titles/Roles/Responsibilities must be outlined in the governance documentation
 - i. **May be required depending on management authority and/or access to classified information*

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL

MUST be marked "No" for clearance required on the KMP list in NISS

To create eAPP accounts, provide personal email address for all KMP.

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

When in doubt, reach out to the VTD Knowledge Center

Additional Resources

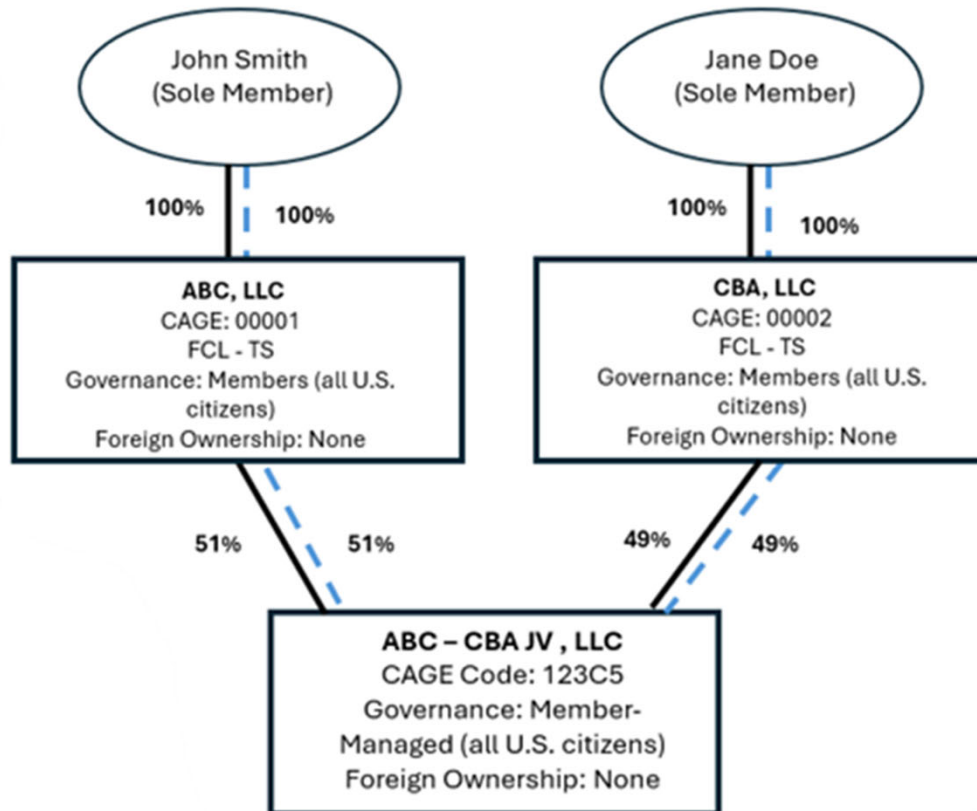


1. **32 CFR Part 117**
2. **DTM 24-004**
3. **DoDM 5220.32 Volumes 1 and 2**
4. **FCL Orientation Handbook**
5. **FCL Videos**
6. **DCSA website: www.dcsa.mil**
7. **DCSA FCL Knowledge Center:**
878-274-2000 (option 2, then 1)
dcsa.quantico.mbx.ev-vtd@mail.mil



Joint Venture (JV) Cont'd

ORGANIZATIONAL CHART (Sample: Joint Venture)



LEGEND

- Ownership
- - - Control
- U.S. Entity
- U.S. Citizen
- Foreign Entity
- Foreign Citizen



Steps, Requirements, and Resources

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Required Information & Documentation



1. Charter

- a) If the charter does not describe how the organization is run or managed, a separate document, such as bylaws or a constitution, must be provided

2. Meeting Minutes (if applicable)

- a) If not identified in the Charter, please provide recorded appointments for Officers and Board of Regents/Trustees/Directors/Managers, or other type of governing body

3. Fictitious Name Certificate (if applicable)

4. Legal Organizational Chart

- a) See FCL Orientation Handbook Appendix
- b) Ownership and control **MUST** each be identified by percentage

5. Signed and witnessed DD-441

6. Signed and witnessed SF-328

7. Personal email addresses for all essential KMP to facilitate creation of eAPP accounts

8. Citizenship Verification

- a) Required for KMP that do not possess an active PCL

9. Exclusion Resolutions (if applicable)

- a) See FCL Orientation Handbook Appendix

10. Does your facility have a Parent Company?

- a) Parent Company = Entity holding >50% interest in your facility
- b) If yes, refer the FCL Orientation Handbook for guidance

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. Senior Management Official (SMO)*

- a) Individual with ultimate authority over facility; The SMO position cannot be delegated

2. Facility Security Officer (FSO)*

3. Insider Threat Program Senior Official (ITPSO)*

4. Board of Regents/Trustees/Directors/Managers

- a) Required* (if no Chairman has been appointed)
- b) Chairman of the Board* (if appointed)
 - i. If appointed, all other directors may be formally excluded*
- c) Vice-Chairman of the Board (if appointed)
 - i. Required* if on rotational or temporary basis

5. Other titles, **ONLY** if supported in the governance documentation (Titles/Roles/Responsibilities must be outlined in governance documentation)

- a) President* or similar role(if appointed)
- b) Program Manager; position responsible for

*Denotes position required to be cleared in connection w/FCL in accordance with company governance documents

An exclusion resolution **MUST** be drafted for KMP not required to be cleared in connection with the FCL

MUST be marked "No" for clearance required on the KMP list in NISS

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

When in doubt, reach out to the VTD Knowledge Center

Additional Resources



1. 32 CFR Part 117

2. DoDM 5220.32 Volumes 1 and 2

3. FCL Orientation Handbook

4. FCL Videos

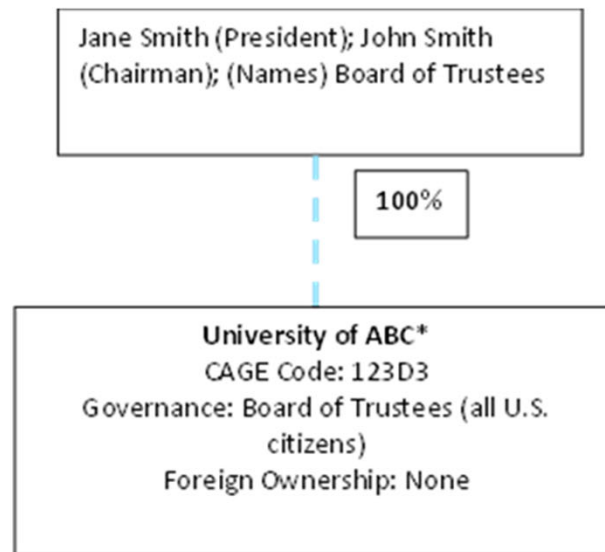
5. DCSA website: www.dcsa.mil

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878-274-2000 (option 2, then 1)

dcsa.quantico.mbx.ev-vtd@mail.mil





**Organized as a 501(c)(3) nonprofit organization that is not beneficially owned by one individual or company: chartered by the government of the State of ABC.*



General Partnership (GP)

Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

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Package in NISS

Respond to
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Required Information & Documentation



- Partnership Agreement or other Governance Documentation** demonstrating the entity is legally organized and existing as a sole proprietorship, identifying the jurisdiction whose laws it is operating under, detail ownership, control and management.
- Business License**
- Meeting Minutes (if applicable)**
- Fictitious Name Certificate (if applicable)**
- Legal Organizational Chart**
 - See FCL Orientation Handbook Appendix
 - Ownership and control **MUST** each be identified by percentage
 - For partners with 5% or greater ownership, identify by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
- Signed and witnessed DD-441**
- Signed and witnessed SF-328**
- Personal email addresses for all essential KMP to facilitate creation of eAPP accounts**
- Citizenship Verification**
 - Required for KMP who do not possess a Personnel Clearance
- Does your facility have a Parent Company?**
 - Parent Company = General Partner (Entity) holding >50% interest in your facility
 - If yes, refer to the FCL Orientation Handbook for guidance

KMP List Identification



NOTE: An individual may hold more than one of the following positions

- Senior Management Official (SMO)***
 - Individual with ultimate authority over facility; The SMO position cannot be delegated
- Facility Security Officer (FSO)***
- Insider Threat Program Senior Official (ITPSO)***
- General Partners***
- Management Committee* (if applicable)**
 - All committee members must be cleared

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents.*

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

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When in doubt, reach out to the VTD Knowledge Center

Additional Resources

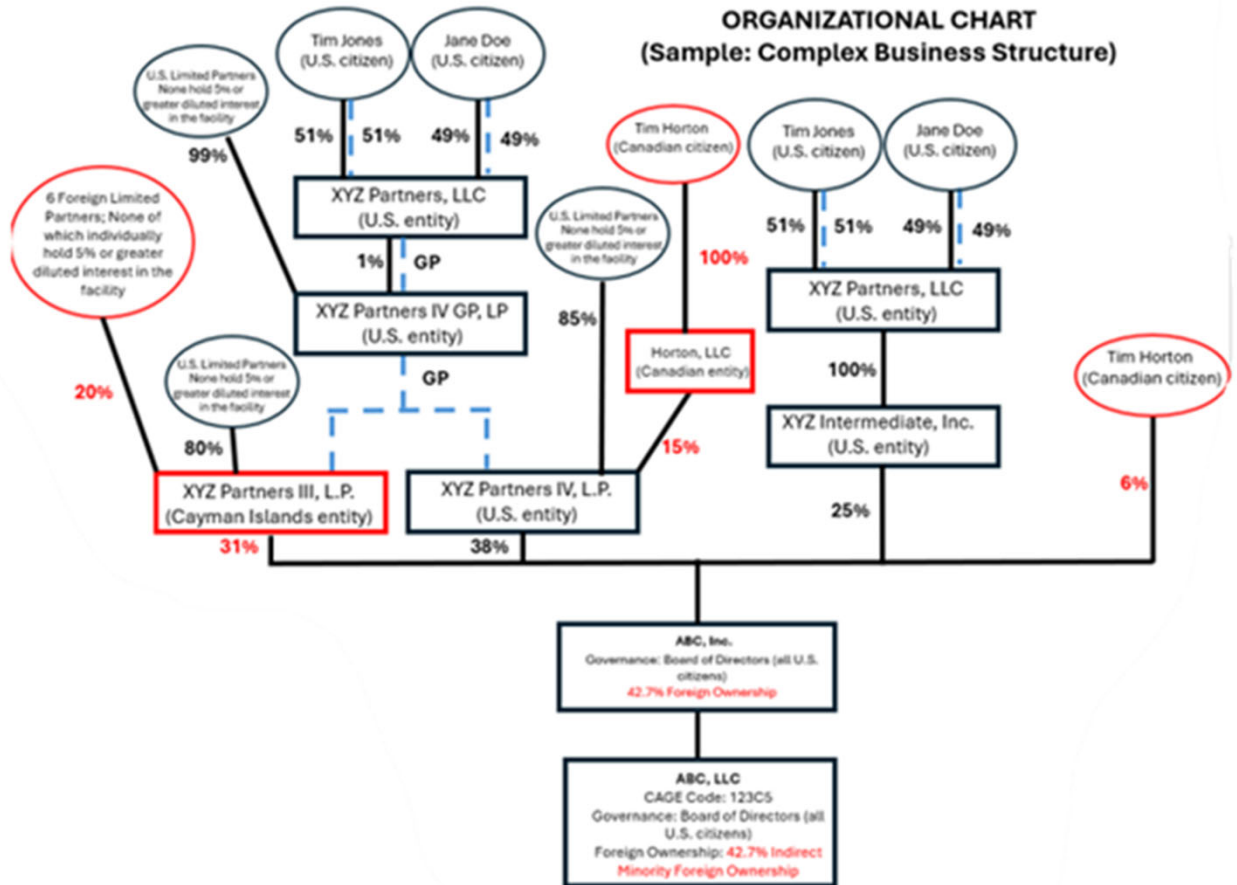


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General Partnership Cont'd

ORGANIZATIONAL CHART
(Sample: Complex Business Structure)



LEGEND

- Ownership
- Control
- U.S. Entity
- U.S. Citizen
- Foreign Entity
- Foreign Citizen

Note: Identify any LPs with 5% or greater ownership (identify if U.S. or foreign)

Note: Identify GPs (identify if U.S. or foreign)

Note: Identify the total percentage of individuals or entities with less than 5% ownership (in aggregate).

Note: Identify if any foreign country's ownership aggregates to 5% or greater



Limited Partnership (LP)

Steps, Requirements, and Resources

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and
Documentation

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Required Information & Documentation



1. Certificate of Limited Partnership
2. Partnership Agreement
3. Business License
4. Meeting Minutes (if applicable)
5. Fictitious Name Certificate (if applicable)
6. Legal Organizational Chart
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
7. Ownership & Control Documentation
 - a) Identify **ALL** General Partners (GPs)
 - i. The ultimate GP **MUST** be identified, to include beneficial ownership & control of the ultimate GP
 - b) Identify **ALL** Limited Partners with 5% or greater, fully diluted ownership in the in-process facility
 - i. Please identify partner name & citizenship/country of domicile and exact percentage of ownership
8. Signed and witnessed DD-441
9. Signed and witnessed SF-328 must be executed by the ultimate GP
10. Personal email addresses for all essential KMP to facilitate creation of eAPP accounts
11. Citizenship Verification
 - a) Required for KMP who do not possess a Personnel Clearance

Tips for Success

Additional Resources



1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

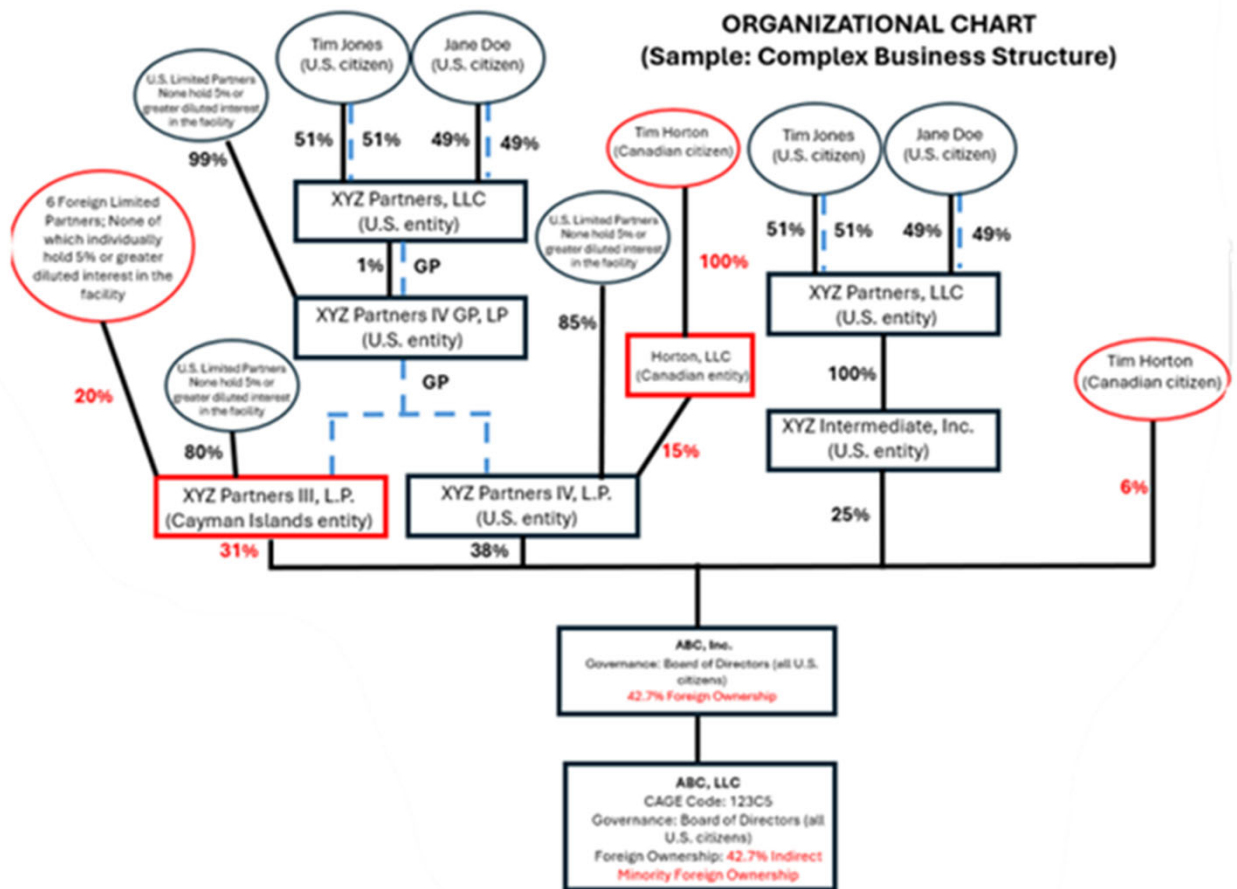
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Limited Partnership/General Partnership Cont'd

ORGANIZATIONAL CHART
(Sample: Complex Business Structure)



LEGEND

- Ownership
- - - Control
- U.S. Entity
- U.S. Citizen
- Foreign Entity
- Foreign Citizen

Note: Identify any LPs with 5% or greater ownership (identify if U.S. or foreign)

Note: Identify GPs (identify if U.S. or foreign)

Note: Identify the total percentage of individuals or entities with less than 5% ownership (in aggregate).

Note: Identify if any foreign country's ownership aggregates to 5% or greater



Sole Proprietorship

Steps, Requirements, and Resources

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Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
Request for
Information
(RFI)

Required Information & Documentation



1. **Governance Documentation** demonstrating the entity is legally organized and existing as a sole proprietorship, identifying the jurisdiction whose laws it is operating under, detail ownership, control and management.
2. **Business License**
3. **Meeting Minutes (if applicable)**
4. **Fictitious Name Certificate (if applicable)**
5. **Legal Organizational Chart**
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
6. **Signed and witnessed DD-441**
7. **Signed and witnessed SF-328**
8. **Citizenship Verification**
 - a) Required for KMP who do not possess a Personnel Clearance
9. **Personal email addresses for all essential KMP to facilitate creation of eAPP accounts**

KMP List Identification

NOTE: An individual may hold more than one of the following positions



1. **Senior Management Official (SMO)***
 - a) Individual with ultimate authority over facility; the SMO position cannot be delegated
 - b) The Sole Proprietor* must be identified as the SMO
 - c) Within the KMP record, select "Other" and then specify "Sole Proprietor" as an applicable title
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Senior Official (ITPSO)***

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

When in doubt, reach out to the VTD Knowledge Center

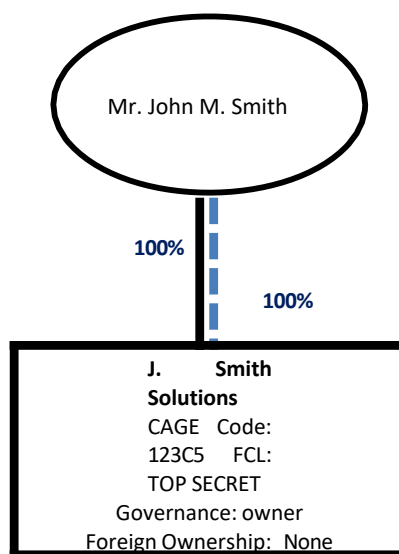
Additional Resources



1. **32 CFR Part 117**
2. **DoDM 5220.32 Volumes 1 and 2**
3. **FCL Orientation Handbook**
4. **FCL Videos**
5. **DCSA website: www.dcsa.mil**
6. **DCSA FCL Knowledge Center:**
878-274-2000 (option 2, then 1)
dcsa.quantico.mbx.ev-vtd@mail.mil



ORGANIZATIONAL CHART (Sample: Sole Proprietorship)



Branch or Division

Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
Request for
Information
(RFI)

Required Information & Documentation



A branch or division facility is a separate location of an existing legal entity, sharing the same legal name as its home office (HOF). Only documentation specific to the branch office is required.

Please ensure the "Business Structure" field on the "Basic Information" tab of the FCL Package is marked as "Branch or Division".

NOTE: The HOF SMO is required to certify all legal documents for the branch/division office

1. **Signed and witnessed DD441-1**
2. **Citizenship Verification**
 - a) Required for KMP that do not possess Personnel Clearance
3. **Personal email addresses for all essential KMP to facilitate creation of eAPP accounts**
4. **Legal Organizational Chart**
 - a) Must include **ALL** branch/division office locations
5. **Meeting Minutes (if applicable)**
 - a) Specific to branch/division office only

KMP List Identification



NOTE: An individual may hold more than one of the following positions

1. **Senior Management Official (SMO)***
 - a) SMO of the overall company
 - i. SMO with Ultimate Authority must retain accountability of the security program IAW [32 CFR 117.7\(b\)\(2\)\(v\)](#)
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Senior Official (ITPSO)***

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

Tips for Success

1. Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website
2. Review all required information and documentation for accuracy, completion, and consistency
3. Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA
4. Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email
5. When in doubt, reach out to the VTD Knowledge Center

Additional Resources



1. **32 CFR Part 117**
2. **DoDM 5220.32 Volumes 1 and 2**
3. **FCL Orientation Handbook**
4. **FCL Videos**
5. **DCSA website: www.dcsa.mil**
6. **DCSA FCL Knowledge Center:**
878-274-2000 (option 2, then 1)
dcsa.quantico.mbx.ev-vtd@mail.mil



ORGANIZATIONAL CHART (Sample: Branch Office)

Mr. John Smith

100%

100%

JS Solutions

LLC CAGE

Code: 123C5

FCL: TOP

SECRET

Governance: Manager

Foreign Ownership: None

JS Solutions, LLC

Jacksonville, FL

CAGE Code: 34GF3

Governance: Home Office

FCL: Top Secret

Foreign Ownership: None

JS Solutions, LLC

Washington, DC

CAGE Code: 55GF3

Governance: Home Office

FCL: Top Secret

Foreign Ownership: None

JS Solutions, LLC

San Diego, CA

CAGE Code: 44GF3

Governance: Home Office

FCL: Secret

Foreign Ownership: None

LEGEND

— Ownership

- - - Control

□ U.S. Entity

○ U.S. Person

□ Foreign Entity

○ Foreign Person

A cleared branch office requires the home office to hold the same or higher FCL, and the branch location must have a safeguarding requirement.

Facility Clearance (FCL) Upgrade

Steps, Requirements, and Resources

Obtain Systems
Access &
Review
Resources

Upload
Information
and
Documentation

Populate KMP
List

Submit FCL
Package in NISS

Respond to
Request for
Information
(RFI)

Required Information & Documentation



The facility should ensure the SF-328 and business documents are current and updated, as necessary.

A DD-441 is required for every FCL Upgrade Package. If there are changes to report, as defined in 32 CFR 117.8(c)(7), the facility must include applicable supporting documentation. These include changes to ownership, legal structure, operating name, address, KMP, and/or FOCI.

In NISS, the Upgrade FCL Package will ask, "Is there a Material Change associated with this Upgrade?" If yes, the facility will be required to complete a questionnaire, outlining the changes.

1. **Signed and witnessed DD441**
2. **Appropriate governance documentation (if applicable)**
3. **Legal Organizational Chart**
 - a) See FCL Orientation Handbook Appendix
 - b) Ownership and control **MUST** each be identified by percentage
 - c) Identify ownership of 5% or greater by individual name/entity name, citizenship/country of domicile, and exact percentage of ownership
4. **Meeting Minutes (if applicable)**
5. **Business License (if applicable)**
6. **Meeting Minutes (if applicable)**
7. **Fictitious Name Certificate (if applicable)**
8. **Citizenship Verification (if applicable)**
 - a) *Required for KMP that do not possess Personnel Clearance*
9. **Personal email addresses for all essential KMP to facilitate creation of eAPP accounts**
10. **Exclusion Resolutions (if applicable)**
 - a) Required if ownership and/or KMP changes result in new excluded parent company(s) and/or KMP
 - b) See FCL Orientation Handbook Appendix
11. **Does your facility have a Parent Company? (if applicable)**
 - a) Review if ownership change results in new parent company(s)
 - i. *Parent Company = Entity holding >50% interest in your facility*
 - ii. *If yes, refer to section 5 of the FCL Orientation Handbook for detailed guidance*

KMP List Identification

NOTE: An individual may hold more than one of the following positions

1. **Senior Management Official (SMO)***
2. **Facility Security Officer (FSO)***
3. **Insider Threat Program Senior Official (ITPSO)***
4. **Other titles, **ONLY** if supported in the governance documentation**
 - a) *Titles/Roles/Responsibilities must be outlined in the governance documentation; refer to corresponding business structure slick sheet for guidance on required KMP*

**Denotes position required to be cleared in connection w/FCL in accordance with company governance documents*

Tips for Success

1.

Refer to resources provided in the Welcome Email, FCL Orientation Handbook and on the DCSA website

2.

Review all required information and documentation for accuracy, completion, and consistency

3.

Ensure supporting documentation is up-to-date and relevant to what is requested by DCSA

4.

Submit a complete FCL Package by the 20-day deadline furnished in the Welcome Email

5.

When in doubt, reach out to the VTD Knowledge Center

Additional Resources

1. **32 CFR Part 117**
2. **DoDM 5220.32 Volumes 1 and 2**
3. **FCL Orientation Handbook**
4. **FCL Videos**
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