

**U. S. Department of Energy
Office of Environment, Health, Safety and Security (AU-50)**

**DOE Electronic Facility Clearance System (e-FOCI)
Submission Site User Guide
June 2023**



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Submission Site User Guide

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DOE e-FOCI Submission Site User Guide

1 Introduction

Welcome to the e-FOCI Submission Site for contractors. You will use this electronic system to complete all of the forms and attachments you must submit to the Department of Energy (DOE) or the National Nuclear Security Administration (NNSA) for the Foreign Ownership, Control or Influence (FOCI) portion of your facility clearance application. These FOCI submissions are referred to as **packages** throughout this User Guide.

The e-FOCI Submission Site is accessed via the Internet at <https://foci.anl.gov>. It was developed for contractors to submit facility clearance applications to DOE in an electronic format. The e-FOCI package is electronically reviewed and processed by DOE, NNSA, and Naval Reactors industrial security personnel using the e-FOCI Processing Site. This User Guide is designed for contractors who are users of the DOE e-FOCI Submission Site.



2 Contractor Registration

2.1 Overview

Registration is the first step required of every contractor using the e-FOCI Submission Site. DOE/NNSA/Naval Reactors (NR) industrial security personnel will direct the contractor to the e-FOCI Submission Site. Preliminary data including contact information for the designated agent of the contracting company — typically the Facility Security Officer who is the e-FOCI Administrator for their company — is required.

2.2 Contractor Registration by Users without e-FOCI Accounts

The process for registering a new contractor organization by a user without an e-FOCI account is as follows:

1. Click the *New User Registration* button on the e-FOCI home page (<https://foci.anl.gov>)
2. Enter your email address and the Captcha text in the resulting page and click Request Access

e-FOCI Registration

If you are the first person in your organization to register in this system, you will become the FOCI Submission Administrator for your organization. The FOCI Submission Administrator is the only person who can create other accounts if more than one person in your organization needs to use this system. If you are not the FOCI Submission Administrator for your organization, you must contact your FOCI Submission Administrator to create a new account.


If you don't know if you have a FOCI administrator, please contact the FOCI webmaster at fociserver@anl.gov.

To access or enter your organizational data, you must first log into the system. The following personal information is required in order to create a user account for you.

Email Address:

Verify human intervention >

Read this text:



Enter the above text:

3. Check your email for a Verification Code.
4. On the next page, enter the Verification Code and your personal information.

e-FOCI Registration

If you are the first person in your organization to register in this system, you will become the FOCI Submission Administrator for your organization. The FOCI Submission Administrator is the only person who can create other accounts if more than one person in your organization needs to use this system. If you are not the FOCI Submission Administrator for your organization, you must contact your FOCI Submission Administrator to create a new account.

If you don't know if you have a FOCI administrator, please contact the FOCI webmaster at fociserver@anl.gov.

Personal Information >

Please check your email for a verification code

Verification Code:

First Name:

Middle Name/Initial:

Last Name:

Business Phone Number: Ext.:

Job Title:

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1. Provide the required registration information for the new contracting organization
2. Click the "Proceed to Enter Contract/Solicitation Number(s)" button
3. Enter one or more Contract/Solicitation Numbers
4. Click "Finalize Account Request" button
5. Upon submission, personnel at the Field Office you selected are notified of your account request. Once your request is reviewed and approved, you will receive an email notification for accessing the e-FOCI Submission Site.

2.3 Contractor Registration by Users with e-FOCI Accounts

Users having e-FOCI accounts register new contracting organizations by performing the following steps.

1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. On the Organization Selection page, click the “Add New Organization” icon



3. Provide the required registration information for the new contracting organization
4. Click the “Proceed to Enter Contract/Solicitation Number(s)” button
5. Enter one or more Contract/Solicitation Numbers
6. Click “Finalize Account Request” button
7. Upon submission, personnel at the Field Office you selected are notified of your account request. Once your request is reviewed and approved, you will receive an email notification indicating that the new contracting organization has been added to your account.

3 Authentication


As of October 1, 2016, the Submission Site of DOE’s Electronic Foreign Ownership, Control or Influence (e-FOCI) system requires multifactor authentication (MFA). While some DOE contractors possess Personal Identity Verification (PIV) cards—which could facilitate Assurance Level 4-compliant authentication—many others do not. Therefore, implementing a PIV authentication solution for the e-FOCI Submission Site is not feasible currently. Instead, the multifactor authentication strategy implemented for e-FOCI more closely conforms to common practices used for financial institution web interfaces. This section outlines the scenarios and steps needed for users to access the e-FOCI Submission Site using the new authentication mechanism.

The primary user role associated with the Submission Site is the submitter—an individual who submits FOCI information on behalf of a contractor organization. Though the submitter will continue to enter both their email address and a password for authentication, this only accounts for a single factor: something the submitter *knows*. To effect multifactor authentication, the system must also require proof of a second factor: something the submitter *has*. For this second factor, the system requires that the submitter prove possession of this email address.

3.1 Authentication for Existing Users

For users with an active e-FOCI account, the following steps are required to log in for the first time from a unique device.

1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. Enter your email address and password.
3. If the entered credentials are valid, e-FOCI emails a randomly-generated, six-character Verification Code to your email address.
4. Enter the Verification Code on the screen and click *OK*.



The screenshot shows a rectangular form with a blue header that reads "Please check your email for a verification code". Below the header, there is a label "Verification Code:" followed by a white text input field. At the bottom right of the form is a small button labeled "OK".

5. If you submitted the correct code within the allotted time, you receive access to e-FOCI content.

At the point of authentication (step 2, above), e-FOCI also captures a device fingerprint. To simplify subsequent logins from this same device, this fingerprint may be used in lieu of emailing a Verification Code. If, however, the user logs in from a different device—or browser—or there is a material change to the user’s environment, the user will again need to enter an emailed Verification Code —at which point e-FOCI will capture a new device fingerprint.

3.2 Authentication for Newly Created User Accounts

This scenario is for users who had a new account created for them by their organization’s FOCI Administrator. The FOCI Administrator is the primary person responsible for the organization’s e-FOCI accounts and submissions. An account created by a FOCI Administrator is known as a *secondary account*.

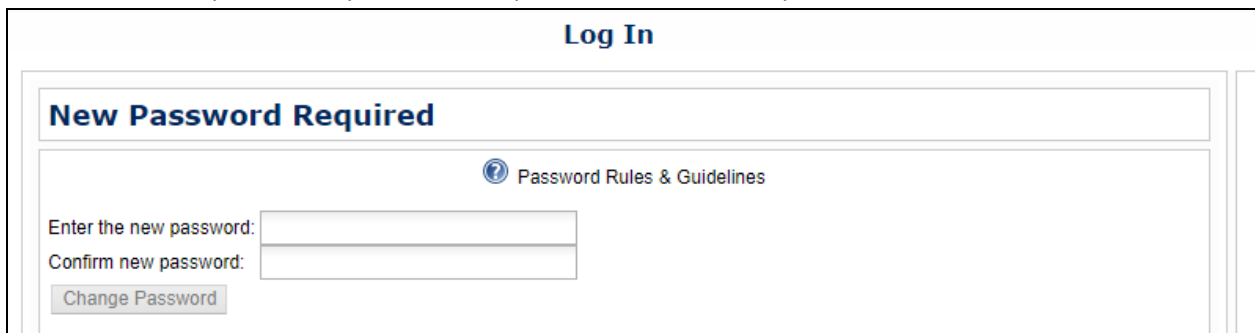
1. When a secondary account is created, the new user receives an email containing their user ID and a temporary password.
2. Go to the e-FOCI Submission Site and click the Registered User Login button.
3. Enter the user ID and temporary password received via email and click OK.
4. To log in for the first time, the new user must also enter an Account Key. This will usually be communicated to the new user by the FOCI Administrator. Enter the Account Key in the next screen.



Please enter the *account key* that you received from your FOCI Administrator.

Account Key:

5. If the Account Key matches, you will be required to create a new password.



Log In

New Password Required

[Password Rules & Guidelines](#)

Enter the new password:

Confirm new password:

3.3 Forgot Password Utility

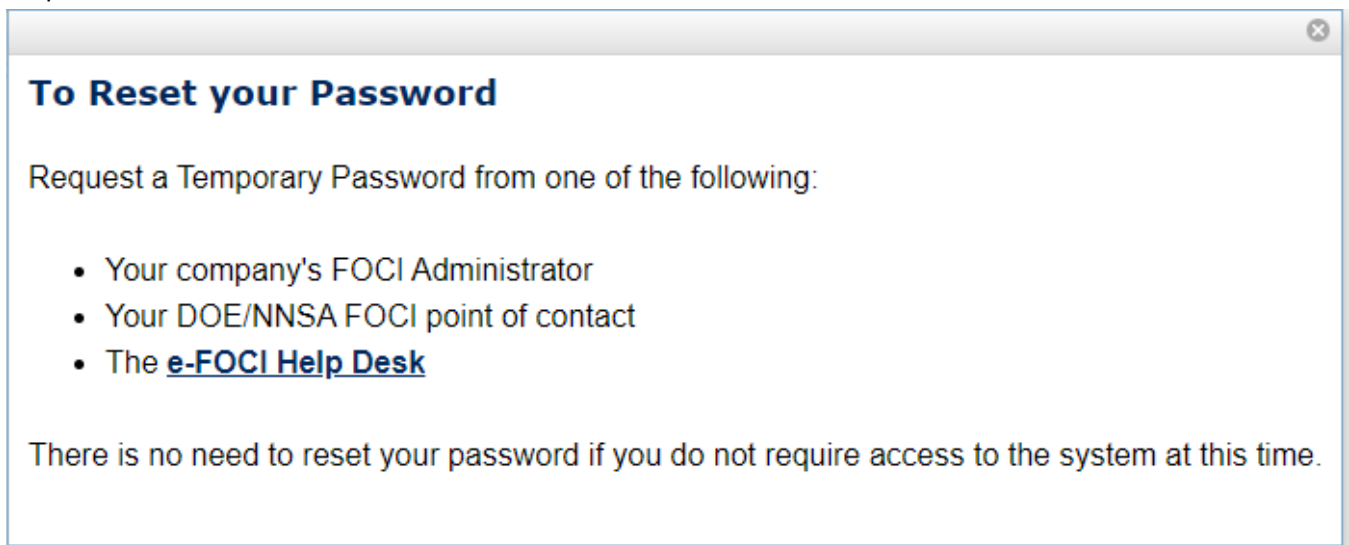
The following steps are followed if you forget your password. *Please note there is no need to reset your password unless you have a present need to access the system.*

1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>).
2. On the resulting page, click the Forgot Password button.



The screenshot shows a login form with two input fields: 'Email:' and 'Password:'. Below the 'Password:' field is an 'OK' button. To the right of the 'Password:' field is a button labeled 'Forgot Password', which is highlighted with a red rectangular border.

3. A dialog instructs from whom to request a temporary password. If you are the FOCI Administrator for your organization, ignore the first option and contact either your DOE/NNSA FOCI POC or the e-FOCI Help Desk.



4. The individual who created the temporary password for you must share it with you in one of the following ways:
 - a. In person
 - b. Via a phone call that they originated
 - c. Via encrypted email

Temporary passwords are valid for 24 hours.

5. Upon receiving your temporary password by one of the methods above, go to the main login screen and enter your new credential.
6. Upon successful login, you will be prompted to change your password.

Log In

New Password Required

[Password Rules & Guidelines](#)

Enter the new password:

Confirm new password:

3.4 Rules of Behavior

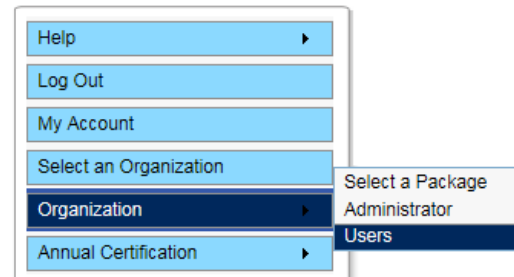
The first time a user logs into the site, the Rules of Behavior form is presented and must be accepted to proceed. This form is presented whenever a user logs in to the system and it has been more than a year since the user last indicated their consent. The contents of the form are also available anytime via the Help menu.

4 User Accounts and Roles

Users of the e-FOCI Submission will possess one of two roles:

- e-FOCI Administrator
- Secondary User

Both user roles can create complete and submit FOCI submission packages, including accessing and modifying all submission forms. The e-FOCI Administrator alone, however, can manage e-FOCI user accounts for a facility. They are also the facility's primary point of contact for e-mail correspondence generated by the system. There can only be one e-FOCI Administrator per facility.



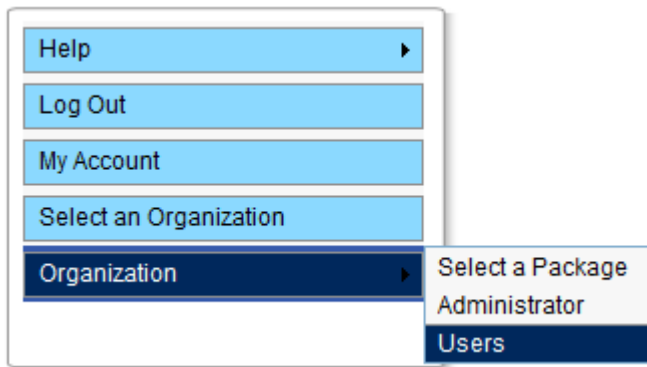
4.1 Multiple Companies

Users can have an account for multiple companies. Each company to which a user has access will be displayed on the main page after logging in to the site. This same list can also be accessed via the **Select an Organization** menu option.

4.2 Create Secondary Account

Only the e-FOCI Administrator can manage user accounts for a facility. To create a secondary account, the administrator should perform the following steps.

1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. On the Organization Selection page, click on an organization for which you are the FOCI Administrator
3. Select Organization/Users from the menu



4. Click the Add New User icon

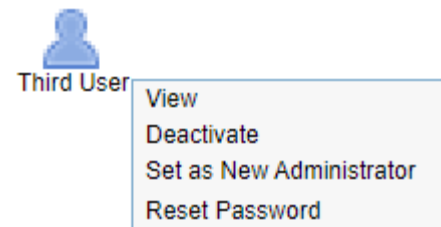


5. Input the user's name, phone number, title, and email address, then click Save.
6. At this time, an email is sent to the new user containing their temporary password.
7. For the new user to log in, an additional *factor* is required. In this scenario, an Account Key is the additional factor.

4.3 Manage User Accounts

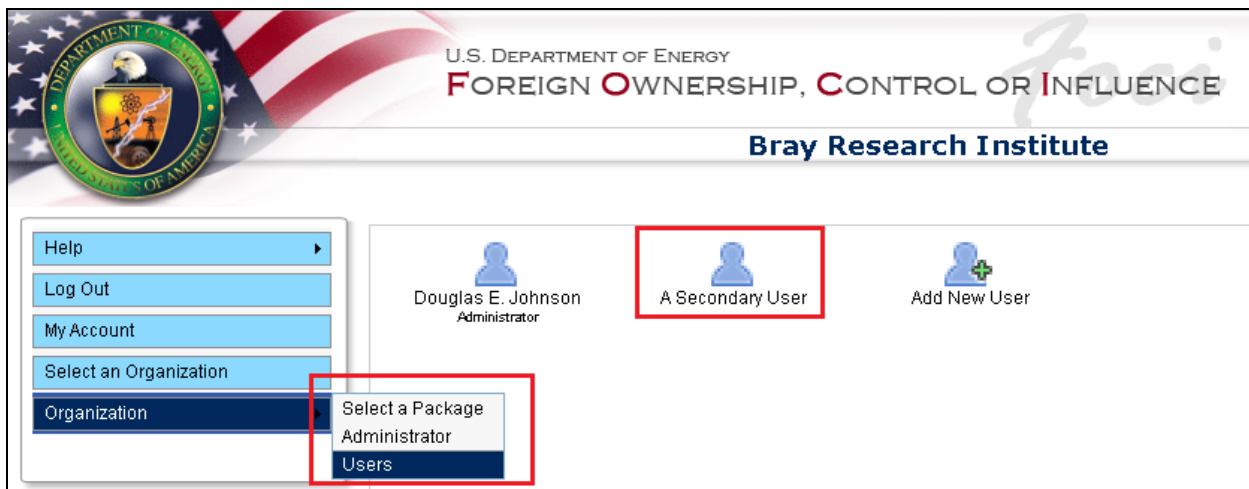
On the Manage Users page, the e-FOCI Administrator right clicks on the icon representing the user. A menu will display options: View, Deactivate, and Set as New Administrator.

- **View** allows the e-FOCI Administrator to edit User Information.
- **Deactivate** renders the account inactive.
- **Set as New Administrator** transfers e-FOCI Administrator privileges to the user who was selected.
- **Reset Password** allows a secondary user's password to be reset. See section 4.3.1 below.

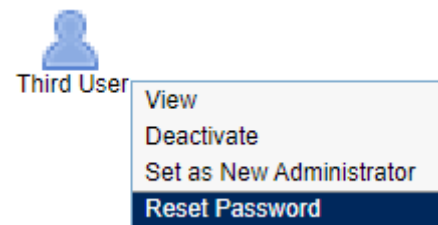


4.3.1 Resetting a Secondary User's Password

A company's e-FOCI Administrator can reset their secondary users' passwords. This can be done for new users or for those who already have established accounts and are simply unable to log in. To do this, the e-FOCI Administrator should first select the Organization/Users menu item, and then right-click the user's icon and select Reset Password.

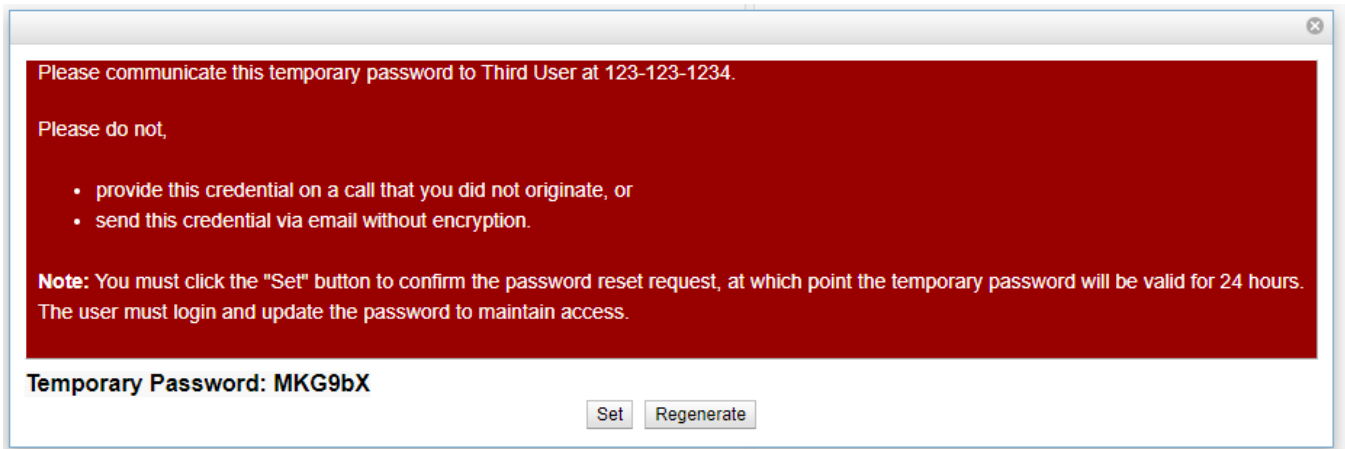


This displays a new dialog containing the temporary password and instructions for sharing it with the user. *Please make note of the case-sensitive temporary password to share with the user, such copying and pasting it into a temporary text file or encrypted email before clicking the Set button. The password does not take effect until the Set button is clicked, but the password disappears after doing so.*



After the temporary password is created, which is valid for 24 hours, you have the responsibility to securely deliver it to the new user. It can be communicated in person, by encrypted email, or a phone call that you originated. It is imperative that you do not:

- a. provide this key on a call that you did not originate, or
- b. send the credential via email without encryption



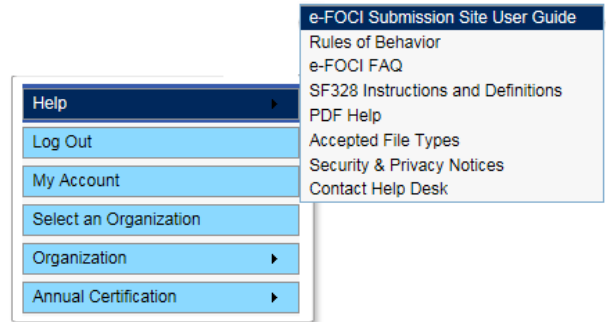
Please note that temporary passwords can also be generated by both federal industrial security personnel as well as the e-FOCI Help Desk. In most scenarios, however, the e-FOCI Administrator for the contracting organization is the primary party responsible for supplying them to their secondary users.


5 Submission Site Overview/Navigation

The site navigation menu is located at the top left side of each page and includes the following menu items: Help, Log Out, My Account, Select an Organization. After selecting an organization, the system presents the Organization. The Package menu item will only appear if there is an active Package in Progress.

5.1 Help

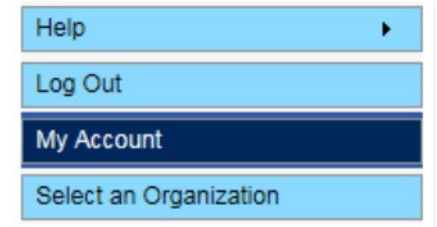
The Help menu item presents additional resources: e-FOCI Submission Site User Guide, Rules of Behavior, e-FOCI FAQ, SF328 Instructions and Definitions, PDF Help, Accepted File Types, Security & Privacy Notices and Contact Help Desk.



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

5.2 Logging Out

Selecting **Log Out** ends the session.



5.3 My Account

When choosing **My Account**, the e-FOCI System redirects the user to the User Information page.

5.3.1 User Information

Personal contact information can be updated by selecting **My Account** from the static menu. Note that if you change your email address, after the update is saved, you will need to log out of the system and log back in using the new email address.

5.3.2 User ID

The e-mail address on record in the e-FOCI system is the User ID used to log into the system. This is the e-mail address entered at registration or by the e-FOCI Administrator when creating a new secondary user account.

5.4 Passwords

5.4.1 Password Requirements

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

5.4.2 Password Criteria

- Minimum of 12 characters
- The password must be different than the previous 24 passwords used
- Passwords should not contain any common English dictionary word(s), spelled forwards or backwards
- Passwords should also not employ common names, spelled either forwards or backwards

- Passwords should not contain commonly used numbers such as social security numbers, employee serial numbers, birthdates, phone numbers, etc.
- Avoid using any simple pattern of letters or numbers such as “qwertyx” or “xyz123xx”

5.4.3 Temporary Password

Temporary passwords are issued when a user account is first established or when a password was forgotten. Temporary passwords associated with newly created accounts are valid for 14 days; those generated for existing users are valid for only 24 hours. If the temporary password expires or needs to be reset, contact your e-FOCI Administrator, your DOE/NNSA FOCI POC, or the e-FOCI Help Desk at (630) 252-6566 or via e-mail at fociserver@anl.gov. The system will prompt you to change the password upon login with the temporary password.

5.4.4 Change Password

The system requires the user to change their password when logging into the e-FOCI Submission Site with a temporary password. If already logged into the system, the user should click **My Account** on the menu. Select the **Change Password** pane. The system will not allow reuse of the user’s last 24 saved passwords.

Password successfully reset

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



6 Selecting an Organization

Clicking **Select an Organization** in the main menu displays an icon for each facility to which you have access. If a Facility Code has been entered for a facility by DOE/NNSA/NR personnel, it will be displayed above the company name. Clicking on an organization’s icon displays the Organization Summary page for that facility, which allows access to submission packages and additional features for that facility, such as user management.



6.1 Organization Status

The system presents the following icons corresponding to the organization’s status within e-FOCI:

Icon	Organization Status
<p data-bbox="337 210 431 235">No Icon</p>	<p data-bbox="555 210 1380 273">This indicates either the user is not authorized to access the company information or the facility has been Terminated in the e-FOCI System.</p>
 <p data-bbox="289 352 467 378">Demo Company</p>	<p data-bbox="555 285 1380 348">This standard icon indicates that FOCI submission information for this facility can be reviewed and/or edited.</p>
 <p data-bbox="347 483 415 508">My Co</p>	<p data-bbox="555 399 1338 567">A lock on the icon indicates that DOE has taken one of the following actions: Archive or Discontinue. Contact your DOE FOCI Office to request that the facility account to be reactivated in the e-FOCI System. Access to the company information in the system is not accessible until DOE takes the action to reactivate.</p>

7 Organization Summary Page

FOCI packages consist of one or more forms that are completed and then submitted to your submission office. In turn, these packages are then reviewed by federal industrial security personnel as part of establishing or maintaining a facility clearance for your organization.

7.1 FOCI Packages Page

The FOCI Packages page is accessed by clicking a company’s icon in the Organizations page or, if a company has already been loaded, under Organization/Select a Package from the menu. This page contains one or two different sections, depending on information previously submitted.

Hart Industries International

FOCI Package Options

Package in Progress ▾

 Help

To make changes to your existing forms, click the icon below.



Recertification
Submission Pending

Review Previous Determinations ▾

 Help

Please note that forms and packages in this section are not editable. To modify existing forms, click the Recertification icon above.



Forms In Force



Recertification
Monday, January 21, 2002

- **Package in Progress**

If a package is currently “open”, the **Package In Progress** section will be displayed that contains an icon for the currently open package. Clicking the icon will load the package in the browser for review and/or modification. Do note that if a magnifying glass is part of the icon, the package has been submitted to DOE/NNSA/NR for review and cannot be edited at this time.

- **Create a New Package**

If no package is currently “open”, the **Create a New Package** section will be displayed that contains an icon for each type of package that can be created. *Unless you have been instructed otherwise by DOE/NNSA/NR industrial security personnel, always choose “Significant Changes” to submit updated information.* Clicking the icon will load the package in the browser for modification.

- **Review Previous Determinations**

The **Review Previous Determinations** section is displayed if there is a determination on at least one package for the facility, and displays an icon for each determination, as well as its determination date. The **Forms in Force** provides a complete list of the most recently updated documents from *approved* packages.

7.2 Package Types

There are four types of FOCI submission packages. While an Initial Package is required of each new contractor, each subsequent package simply requires updating previously submitted information.

- **Initial Package**

Initial Packages are required of all contractors and is the only type of package available to newly registered facilities. This package contains the full set of forms required for the facility’s business structure.

- **Significant Changes**

Significant Changes packages are generally used by all contractors to report changes in their information after an Initial Package has been approved.

- **Annual Certification**

Annual Certification packages should only be completed by facilities covered under a mitigation agreement and instructed to do so by DOE/NNSA/NR industrial security personnel.

- **Recertification**

Recertification packages are only available to NNSA contractors and should only be completed if instructed to do so by NNSA industrial security personnel. Recertification packages are unavailable to NNSA contractors with the Branch/Division business structure.

7.3 Package Lifecycle

There are two main concepts governing the lifecycle of FOCI packages:

- **One “Open” Package at any given Time**

A facility may have at most one “open” package at any given time. A package is considered “open” if a determination has yet to be rendered on it. This means that even after a contractor submits a package to their federal industrial security representative, the package is still “open” until it has either been approved or denied. While it is still open, the package will be reviewed and may be returned to the contractor for additional modifications.

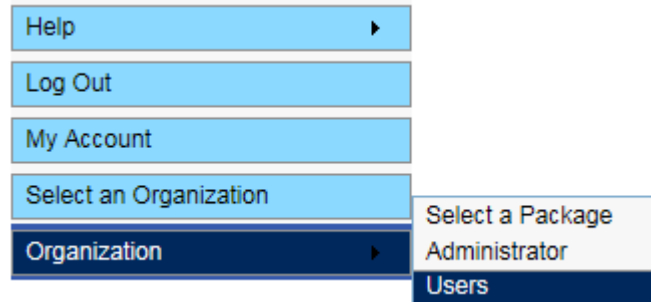
- **One Site has Control at any given Time**

A package can only be modified by one site at any given time. A contractor can modify the contents of the package via the Submission Site when first creating and working on a package, and if DOE/NNSA/NR industrial security personnel “unlocks” a package, returning it to the contractor for additional changes.

A package is in the control of the Processing Site when it has been submitted by the contractor, has not been unlocked and has not been determined. While the contents of the FOCI forms cannot be edited by Processing Site users, review, analysis, and routing to additional offices are routinely performed prior to a determination being rendered.

8 Organization Menu

The **Organization** menu is available when a company has been loaded into the browser by clicking on an icon in the Organizations page. It offers the following options: Select a Package, Administrator, and Users.



8.1 Select a Package

Choosing **Select a Package** redirects the user to the FOCI Packages page where one can access the current package, create a new package and/or access previous determinations for the facility.

8.2 Administrator

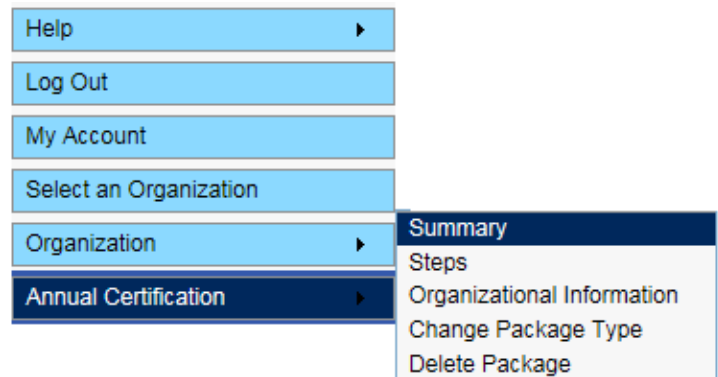
The **Administrator** menu option presents contact information for the designated e-FOCI Administrator for the facility.

8.3 Users

Through the Users link, the e-FOCI Administrator can view and manage all e-FOCI users for the facility. Secondary users can view only the user information for their own account.

9 Package Menu


The last menu item is presented once a specific submission package has been loaded into the browser. It has the name of the package type currently being viewed, and has the following submenu items: Summary, Steps (or Select a Form), Organizational Information, Change Package Type and Delete Package.



9.1 Package Summary Page

Selecting the **Summary** menu option redirects the user to the Package Summary page. The Package Summary page provides information on the following areas of the package selected: Package Type, Package Status, Facility Code and the Submission Office.

Significant Changes

Type	Status	Facility Code	Submission Office
Significant Changes	 Submission Pending		Argonne National Laboratory CSO (NNSA) <u>Douglas Johnson</u> (630) 252-6324

9.1.1 Package Type

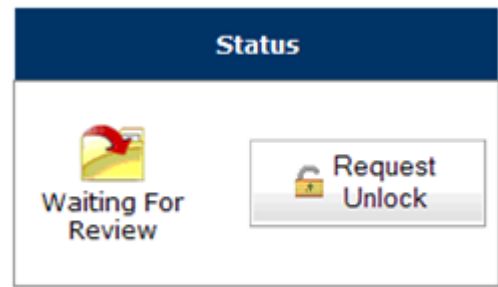
DOE requires that all companies requesting new facility clearances submit an Initial Package as a baseline for the e-FOCI System. If a Determination was rendered on the Initial Package and there are changes to the original information that need to be reported, then DOE/NNSA/NR industrial security personnel may request that the organization create and submit a Significant Changes package containing the updated information.

9.1.2 Package Status

The status of a package that the contractor has not yet sent to the DOE Field Office for review is referred to as **Submission Pending**. Once the package is sent and DOE/NNSA/NR industrial security personnel begin analysis, the package is **Under Review**. If a determination has not been rendered and information needs to be updated, the e-FOCI Administrator or authorized user can request to Unlock the active package. DOE/NNSA/NR personnel have the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.

9.1.2.1 Request Unlock

If a package has been submitted to the Processing Site and a determination has not been rendered, any authorized user for a facility can make a request to Unlock the active package. DOE/NNSA FOCI Operations personnel have the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.



9.1.2.2 Request Reactivation

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



9.2 Steps (or Select a Form)

For Submission Pending and Unlocked packages, the Steps menu option redirects the user to the five steps home page for editing and submitting the package.

If a package is not editable via the Submission Site, **Select a Form** will be displayed and will redirect to a single page containing all of the forms within the package.

9.3 Organizational Information

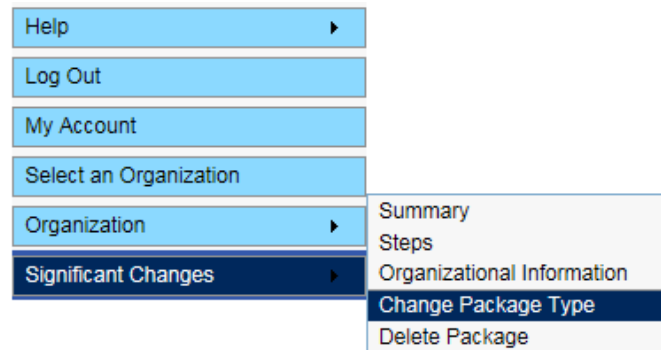
The Organizational Information menu option redirects the user to the Organizational Information page. General information about the organization, such as the business structure, addresses, and submission office, is found on this page. This information can be updated by any authorized user for the facility if the currently loaded package is editable. Note that the company name and address from this page are auto-populated into several other forms throughout the system. Organizational Information changes may also be made under Step 1 by accessing the information contained within the Organizational Information pane.



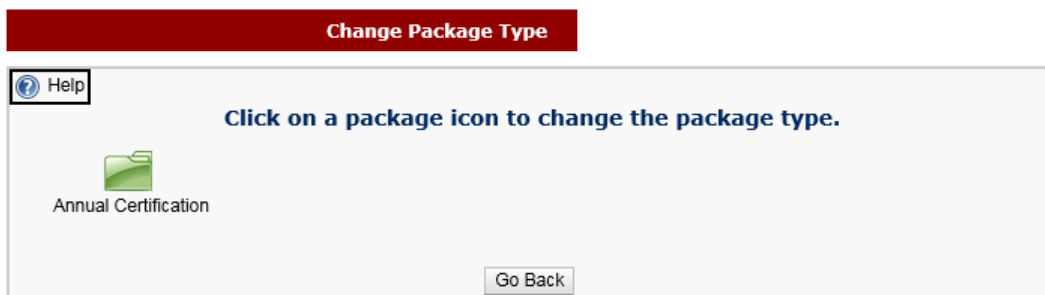
9.4 Change Package Type

For non-Initial Packages that are editable via the Submission Site, users can change the *type* of the package if needed. From the static menu, select Organization and then Change Package Type.

The resulting page displays the types of packages available to convert the existing package to. Click the package icon to change the package type. The system will present a warning message indicating that changing the package type may delete forms that have already been saved. Click **OK** to change the package type.

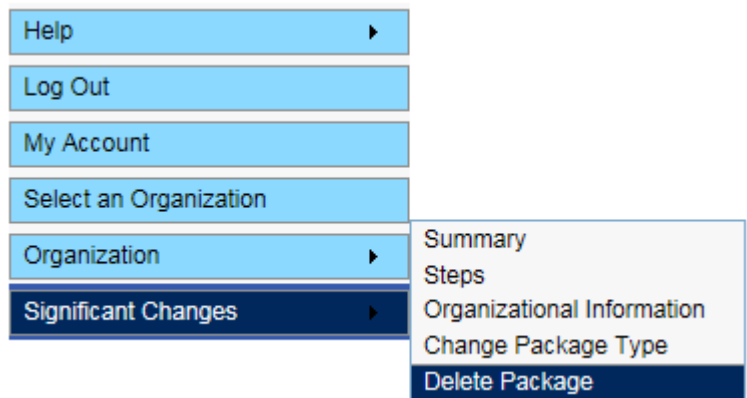


Significant Changes



9.5 Delete Package

The Delete Package option is available for packages that have not yet been submitted. Users are authorized to delete packages that are not required to be processed or have been created in error. An Initial Package cannot be changed or deleted. If the package has been submitted to DOE, then the DOE FOCI Office is authorized to take the action to delete the package from the system. Deleting the package will have no effect on previous Determinations and will allow the creation of a new package.



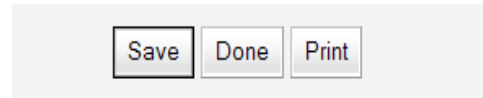
10 Steps to Submit a Package

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



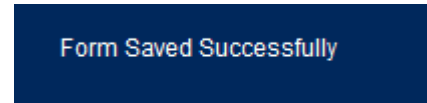
10.1.1 Saving Forms

Choose **Save** for the information to be updated in the system. Once saved, select **Done** to return to the accordion pane list of forms and/or uploads. Note that although the information has been saved, any user for the facility can return to update those forms at any time until the package is submitted to DOE/NNSA/NR industrial security personnel.

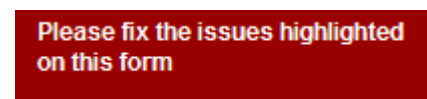


Save: Updates the e-FOCI records of your account with the information that was entered into the form. The system will verify acceptance of the form, or if additional information is required:

Form Saved Successfully Indicates the information is stored in the e-FOCI System.



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



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

Done: The user is redirected to the previous page to complete remaining forms.

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

10.2 Step 1: Complete Forms

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

The icon on the right hand side of an accordion pane indicates the status of the form. The system will not allow packages containing forms with an incomplete status to be submitted.

Required Forms List >		
Organizational Information		+
Certificate Pertaining to Foreign Interests (sf328)	Upload Required !	+
Certificate Pertaining to Foreign Interests Attachment 5	Complete ✓	+
Summary Data Sheet	Complete ✓	+
Key Management Personnel List (KMP)	Complete ✓	+
Tier Parents List	Not Applicable ⚠	+
Exclusion Resolution for LLC Member	Incomplete !	+

For forms that do not apply to the organization, click the available check boxes within a form’s accordion pane, as noted in the diagram below. This changes a form’s status to “Not Applicable”.

The screenshot shows a form accordion pane titled "Tier Parents List" with a status indicator "Incomplete" and a yellow warning icon. Inside the pane, there is a document icon labeled "Tier Parents List" and a checkbox with a question mark icon. To the right of the checkbox is the text "Check this box if Tier Parents List Form does not apply to this organization". A red arrow points upwards to the checkbox.

10.2.1 Forms Required for Initial Packages

- Summary Data Sheet
- Key Management Personnel
- Certificate Pertaining to Foreign Interests (SF328); and if applicable all attachments corresponding to “yes” responses to questions on the SF328. (Note: The SF328 form is not required for Branch/Divisions or organizations that are operating under a consolidated SF328.)

10.2.2 Summary Data Sheet


The Summary Data Sheet requires responses to questions #5 (**State or other jurisdiction of incorporation or organization**) and #6 (**Date of incorporation or organization**). If either of those fields incomplete, the system will not allow the form to be saved. Note that several of the fields in the Summary Data Sheet are auto-populated from entries in the Organizational Information section.

10.2.3 Key Management Personnel List (KMP)


The Key Management Personnel List (KMP) is required for all facilities. Each Individual or Organization entry is called a record. Note that the several fields in the KMP record are intentionally greyed out for Excluded members.

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

[Instructions](#)

Complete Name	Titles/Positions Held	Is FSO 	% of Ownership	Date of Birth/Place of Birth/Citizenship	Social Security Number	Security Clearance Level(s)*	Modify Action	
	CEO (VACANT)						Edit	Delete
Savoir NMN Faire	President	<input type="checkbox"/>		(No DOB Specified) / (No Country Specified) / (No Citizenship Specified)		(EXCLUDED 06/27/2013)	Edit	Delete
Klondike P Kat	FSO	<input checked="" type="checkbox"/>	0	01/01/1958 / Whitehorse, Yukon, Canada / Dual: Canada and United States	000-00-0000	TS	Edit	Delete
My Company	Parent			(No Country Specified)		(EXCLUDED 04/28/2008)	Edit	Delete

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

Date Completed: 06/23/2009 

The options presented for the KMP form are as follows:

Edit: Allows the user to update the record.

Delete: Removes the record from the KMP list.

Is FSO: The system presents a checkbox option to identify one individual as the Facility Security Officer (FSO). If a person's title is also Facility Security Officer that must be entered in that individual's Edit screen.

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

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





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

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

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




10.2.4 Certificate Pertaining to Foreign Interests (SF328)

There are two parts required to complete the SF328, the e-form and the uploaded document. The user must print the completed form, have it signed and, if necessary, sealed, then scanned and finally uploaded back into the system using the Upload icon.


Certificate Pertaining to Foreign Interests (sf328)		Upload Required 
 Help	 Certificate Pertaining to Foreign Interests (sf328) e-Form	 Upload Signed and Sealed Certificate Pertaining to Foreign Interests (sf328) Document
		<input type="checkbox"/> 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)

10.2.4.1 SF328 e-Form


The SF328 e-form contains a 10-question questionnaire, Certification and Certificate sections. Additional instructions and definitions for completion of the Certificate Pertaining to Foreign Interest (SF328) can be found under the Help menu. The system will also require an additional e-form corresponding to each **YES** response on the SF328 e-form.

Certificate Pertaining to Foreign Interests (sf328)	Complete 
Certificate Pertaining to Foreign Interests Attachment 1a	Incomplete 
 Certificate Pertaining to Foreign Interests Attachment 1a e-Form	

The **Date Certified** and **Authorized Contractor Representative** are required fields in the **Certification** section of the form. If left empty, the system will highlight the field(s) and present a toaster message stating *Please fix the issues highlighted on this form*. The **Certificate** portion of the form is only required to be filled out by corporations.

12/15/2015 

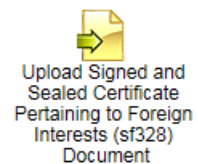
(Date Certified)


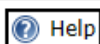




(Authorized Contractor Representative)

10.2.4.2 SF328 Document Upload

After filling out and saving the e-form, use the Print button to generate a hard copy of the form. This printed document must be signed; for corporations, a corporate seal is also required. The file must then be scanned and uploaded using the icon labeled **Upload Signed and Sealed Certificate Pertaining to Foreign Interest (sf328) Document**. The form status will display as **Complete** after the SF328 e-form has been saved and scanned document has been uploaded.



Certificate Pertaining to Foreign Interests (sf328)		Complete 
 Help	 Certificate Pertaining to Foreign Interests (sf328) e-Form	 sf328 upload.pdf (7482 bytes) Wednesday, December 9, 2015
		<input type="checkbox"/> 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)

10.3 Step 2: Upload Documents

Accordion panes for uploading corporate documents and other files are displayed in Step 2. The corporate documents presented are dependent on the business structure of the organization, and may include Articles of Incorporation, Bylaws, Meeting Minutes, agreements, and other forms. Clicking the “Upload New...” icon within an accordion pane directs the user to the Upload Document page. Click “Browse...” to locate the file on your computer to upload. Select the file once it is found and click the Upload button. The uploaded document will be added to the current package.

Select a file to upload* ▾

Meeting Minutes (PDF or Word):
(Unclassified only)

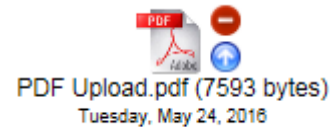
Describe the file ▾

Description

Press the "Upload" button to complete the process ▾

* Uploaded files may not exceed 5.0 megabytes

While a package is editable, two additional smaller icons are displayed next to the icon for uploaded documents. Clicking the minus sign icon allows the user to delete the file. Clicking the arrow allows the user to replace the existing file with a newer version.



10.4 Step 3: Requested Forms

Step 3 will be empty when first working on a package. If DOE/NNSA/NR industrial security personnel request that additional forms be completed, such as Exclusions, these forms will be presented under Step 3.

Initial Package

STEP 3 Requested Forms

Forms Requested by the Reviewer

No additional forms are requested at this time.

10.5 Step 4: Review Forms

Step 4 shows the status of all forms within the package. The left tab lists all incomplete forms, while the right tab shows all forms that have been completed. Links to all forms are available to review and verify the information submitted. All forms must be completed before the submission can be sent to the submission office on Step 5.

STEP 4 Review Forms	
Help	
Incomplete Forms Completed Forms	
Significant Changes Questionnaire Attachment 10	Incomplete ! +
Representative of Foreign Interest (RFI) Statements List	Incomplete ! +
Shareholders Form	Incomplete ! +
Certificate of Incorporation	Incomplete ! +
Shareholders Agreement	Incomplete ! +

10.6 Step 5: Send Final Submission

In order to send your FOCI submission package to the submission office for review, go to Step 5 and click the **Send Final Submission** button. Remember to mail the signed and sealed hard copy Certificate Pertaining to Foreign Interest (SF328) form to your submission office. The address will be provided upon package submission.

NOTE: Once the *Send Final Submission* button has been clicked, the package is sent to the submission office and is locked. The contractor will be able to view/print the forms that have been submitted. However, it is not possible to edit the information unless the submission office unlocks the package.

STEP 5 Send Final Submission

Help

Warning!

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

Compose E-mail Message to Representative (optional)

Send Final Submission

11 e-FOCI Help Desk

The e-FOCI Help Desk at Argonne National Laboratory in Argonne, Illinois is staffed Monday-Friday from 8:30AM to 5:00PM (CST) and can be reached at (630) 252-6566 or via e-mail at fociserver@anl.gov

Thank you for using the e-FOCI Submission Site!