



Defense Security Service New Rating Process

Current as of
10/17/2011



New Security Rating Process

- DSS recognized the importance of a standardized, objective approach to issuing security ratings as part of its security oversight role.
- DSS is committed to your success and to the success of the National Industrial Security Program (NISP).
- The new security rating process utilizes a calculation worksheet.
 - The worksheet is a DSS tool, designed to standardize and improve consistency.
 - Numerically based, quantifiable, and accounts for all aspects of a facility's involvement in the NISP.



New Security Rating Process

- Uses a numerical based rating system
 - All facilities start with the same score (700)
 - Points are added for identified National Industrial Security Program (NISP) Enhancements by Category
 - Points are subtracted for findings by NISPOM reference
 - Serious and Administrative findings weighed separately
 - Points subtracted by NISPOM reference, not by number of occurrences
 - Accounts for size and complexity of a facility



New Security Rating Process

- Each ratings matrix comes with a “scoring key” that is based on the facility category

Rating Calculation (Complete areas in grey)

*Note: For rating calculation purposes, treat multiple occurrences under the same NISPOM reference as one finding

	CAT AA, A, B, C			CAT D, E		
	Starting Score →	700		Starting Score →	700	
Items Exceeding Baseline NISPOM Requirements		X 12	+		X 15	+
Admin. Findings by Reference*		X 2	-		X 4	-
Serious Findings by Reference*		X 12	-		X 20	-
	FINAL SCORE →			FINAL SCORE →		

599 & Below	=	Unsatisfactory
600 - 649	=	Marginal
650 - 749	=	Satisfactory
750 - 799	=	Commendable
800 & Above	=	Superior



New Security Rating Process

- **Serious finding** is defined as non-compliance with a NISPOM requirement that may place or has placed classified information at risk to loss or compromise. Once a finding is determined to be serious, it is further categorized as either “Isolated”, “Systemic”, or “Repeat”.
- **Administrative finding** is defined as non-compliance with a NISPOM requirement that does not place classified information at risk to loss or compromise.



New Security Rating Process

- A **NISP enhancement** directly relates to and enhances the protection of classified information beyond baseline NISPOM standards.
 - NISP enhancements will be validated during the inspection as having an ***effective impact*** on the overall security program which is usually accomplished through employee interviews and review of process/procedures.
 - We have established 13 NISP enhancement Categories, based on practical areas, to simplify and ensure field consistency.
 - Full credit for a NISP Enhancement (15 or 12 points depending on facility complexity) will be given if a facility completes any action/item in a given category. The facility will only receive a total of 15/12 points per category, regardless of how many NISP enhancements they have in a given category.



NISP Enhancements

- Category 1 Security Education (Events)
- Category 2 Security Education (Products)
- Category 3 Security Education (Staff Training)
- Category 4 Security Education (Product Sharing)
- Category 5 Self Inspection
- Category 6 Physical Security/Controls
- Category 7 CI Integration/Cyber Security
- Category 8 Information Systems
- Category 9 FOCI
- Category 10 International
- Category 11 Security Organization Membership
- Category 12 Active Organization Participation
- Category 13 Personnel Security



New Security Rating Process

- DSS considers some factors as “red flag areas” and the rating calculation score may not be applicable.
 - EXAMPLES include:
 - Unmitigated or unreported FOCI
 - Uncleared persons in KMP positions requiring clearance
 - Intentional disregard of NISPOM regulations
 - Serious systemic findings w/potential loss/compromise
 - Any additional items which may result in invalidation of the FCL
 - Matrix score leading to marginal or unsatisfactory



Example- How It Works

- Rating Matrix FOCI, Inc.

Category E – Small Non-possessing

FOCI Mitigation: SSA

Previous Rating: Satisfactory

Recent Rating: Commendable

Findings: 1 Administrative

NISP Enhancements: 6

Rating Calculation Score: 786



Rating Matrix FOCL, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Administrative Finding:
 A visit occurred without advance approval.
 (NISPOM 2-303c, SSA Article XI)
 4 Points Deducted

Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			
Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

599 & Below	=	Unsatisfactory
600 - 649	=	Marginal
650 - 749	=	Satisfactory
750 - 799	=	Commendable
800 & Above	=	Superior

FINAL SCORE →	786
Rating:	Commendable



Rating Matrix FO CI, Inc.

Select CAT:		E	
Starting Score →			700
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 1: Security Education (Company Sponsored Events)
 Facility hosted company sponsored event in which DSS CI personnel briefed.
 15 Points Added

Category 9: FO CI	X		
Category 10: International			
Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			

Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

599 & Below	=	Unsatisfactory
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FINAL SCORE →	786
Rating:	Commendable



Rating Matrix FOCl, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 2: Security Education (Product Development)
 Quarterly newsletters are distributed focusing on security educational information and reminders.
 15 Points Added

Category 9: FOCl	X		
Category 10: International			
Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			

Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

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FINAL SCORE →	786
Rating:	Commendable



Rating Matrix FOCI, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 5: Self Inspection
 FSO participated in corporate wide self inspection program.
 15 Points Added

Category 9: FOCI	X		
Category 10: International			
Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			
Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

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FINAL SCORE →	786
Rating:	Commendable



Rating Matrix FOCI, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 7: Counterintelligence Integration
 FSO conducts foreign travel pre-briefings and de-briefings
 15 Points Added

Category 9: FOCI	X		
Category 10: International			
Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			
Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

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FINAL SCORE →	786
Rating:	Commendable



Rating Matrix FOCl, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 9: FOCl
 Contractor appointed 2 additional Outside Directors although approved SSA required only 3.
 15 Points Added

Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			
Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

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Rating:	Commendable



Rating Matrix FOCL, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

Category 11: Security Organization Membership

FSO attended the May 2011 Capital ISAC. She is a member of NCMS and attended its 2011 annual conference in New Orleans.

15 Points Added

Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			
Admin. Findings by Reference*	1	4	4
Serious Findings by Reference*	0	20	0

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Rating:	Commendable



Rating Matrix FOCI, Inc.

Select CAT:	E		
Starting Score →	700		
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		

FINAL SCORE
786 = Commendable

Category 6: Class Material Control			
Category 7: CI	X		
Category 8: Information Systems			
Category 9: FOCI	X		
Category 10: International			
Category 11: Community Membership	X		
Category 12: (↑) Active Participation			
Category 13: Personnel Security			

Admin. Findings by Reference*	1	4	4
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Starting Score →			700
NISP Enhancement	6	15	90
Category 1: Security Education	X		
Category 2: Security Education	X		
Category 3: Security Education			
Category 4: Security Education			
Category 5: Self Inspection	X		
Category 6: Class Material Control			
Category 7: CI	X		
Category 8: Information Systems			
Category 9: FOCI	X		
Category 10: International			
Category 11: Community Membership	X		
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