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FOCI Analytic Division

Industrial Policy & Programs





FOCI Analytic Division

Mission

- Created in June 2008 to ensure all available data is analyzed and policies applied when identifying and mitigating FOCI in the NISP
 - Products and processes created as part of DSS response to July 2005 GAO Report, *DOD Cannot Ensure Its Oversight of Contractors Under Foreign Influence is Sufficient*
 - FAD currently consists of 13 FTEs



FOCI Analytic Division

Created Repository For FOCI Data

The screenshot displays a web-based application interface for the FOCI Analytic Division. It features a navigation pane on the left with options like Objects, Tables, Queries, Forms, Reports, Pages, Macros, and Modules. The main content area is divided into several sections:

- Facility Information:** Fields for Facility (Testing), Cage (12345), Office (ICFWH), City (Rancho Santa Margarita), and State (CA). It also includes Inspection Date, Inspection Result, FOCI - Mitigation, FCL Status (Active), FCL Level (Secret), and Safeguarding (Secret).
- Relationships:** Fields for Date SF-328, Accuracy SF-328, Relationship To Company Holding Agreement, and Foreign Interest.
- Reason for FOCI:** Checkboxes for Ownership, Indebtedness, Foreign Sales, Foreign Persons, % Ownership, Assets As Col, % Foreign Sal, and % of Interest.
- Final FOCI Mitigation:** Fields for Final FOCI Determination and Outside Directors (0) Proxy.
- DSS Facility Parent:** A table with columns: Date Entered, Name of Foreign Interest, Type of Interest, and % of Interest in DSS Facility. Below the table, it shows 'Record: 1 of 1 (Filtered)'.

Data Points

- Cage/name
- Complete mitigation information
- Identification and type of FOCI
- NAICS/technology

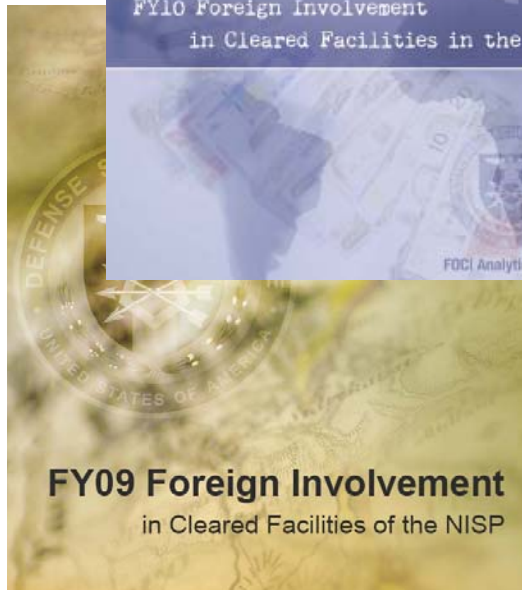


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Yearly FOCI Document Prepared

FAD prepares a yearly compilation of data

- Internal and external consumption
- Different purpose and audience from CI Trends

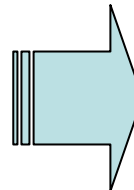
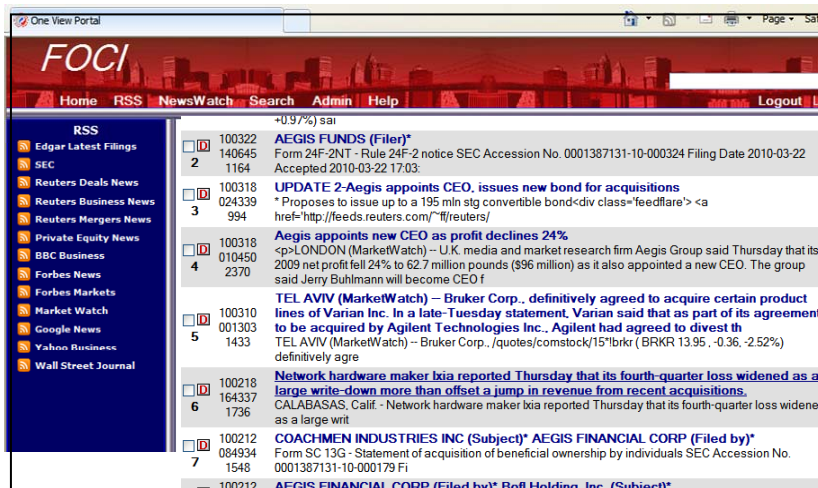




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Monitoring NISP Facilities

- Created a Portal which continually runs a search of the names of all NISP facilities against various RSS feeds from business news sites
- Findings are analyzed and material changes are reported in *NISP in the NEWS*
- Published on a weekly basis and sent to all DSS Regional Offices for their cognizance; used to provide oversight of NISP facilities



NISP IN THE NEWS

An assessment of current open source information that may impact current status of cleared facilities in the NISP

Compiled by the FOCI Analytic Division for the week of: **November 1, 2010**



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Identification and Analysis of FOCI

Modified Process – Now Reviewing all SF328s

When a Field Office Chief determines an e-FCL package is complete, the FAD is notified to conduct a review of the SF328 to ensure all FOCI has been properly reported.

The screenshot shows the "ELECTRONIC FACILITY CLEARANCE SYSTEM" interface. The header includes the DSS/HQFOCI logo and the text "DEFENSE SECURITY SERVICE INDUSTRIAL SECURITY PROGRAM" and "PROCESSING SITE". The main content area displays a question: "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? b. (For entities which do not issue stock): Has any foreign person directly or indirectly subscribed 5 percent or more of your organization's total capital commitment?". The interface also shows a sidebar with navigation options like "Modules", "Site Utilities", "Resources", "Company Information", and "Log Out". At the bottom, there is a "My Analysis" section for "SF 328 Question 1" and a status bar indicating "Entry (Not Saved)".



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Reviewing all Completed e-FCL Packages

Reviewing approximately 250 packages/month

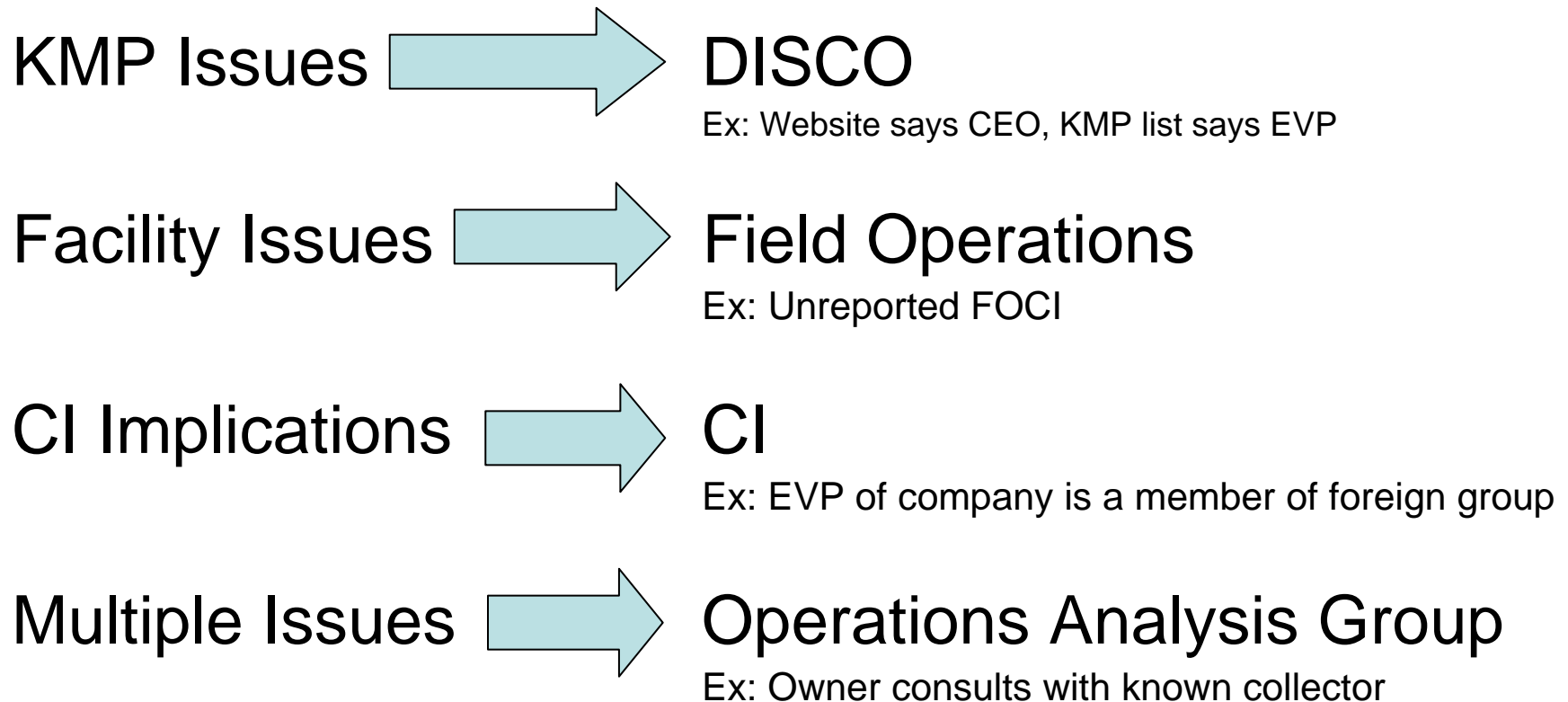
- Approximately 150 comprehensive FOCI Assessments written monthly; distributed to Field Operations and CI
- Facilities analyzed before package receives final clearance approval
 - Packages for facilities already in NISP are also reviewed to ensure proper reporting

Implications?



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Internal Collaboration of FAD Findings





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External Collaboration of FAD Findings

NID Decisions → Multiple Government Entities

SCRM Issues → Multiple Government Entities

CI Issues → Multiple Investigative Entities

What does it mean to you?