Chapter 6
Foreign Interaction

This chapter describes the security procedures adopted by DOE HQ to implement the requirements of the following Executive Order and DOE directives:

- Executive Order 12344 (as prescribed by 42 U.S.C. 7158)
- DOE Oder 142.3A, *Unclassified Foreign Visits and Assignments Program*
- DOE Order 470.4B, *Safeguards and Security Program*, Appendix B, Section 4
- DOE Order 475.1, *Counterintelligence Program*
- DOE Order 551.1C, *Official Foreign Travel*
- DOE Manual 552.1-1A, *U.S. Department of Energy Travel Manual*
- DOE Order 552.1A, Change 1, *Travel Policy and Procedures*

The directives have two objectives: the first objective is to protect DOE sensitive and classified information from being disclosed to foreign nationals, except when authorized by international treaties and agreements; the second is to ensure that DOE employees and contractors performing official travel have the appropriate travel documentation and approvals from the country they will visit.

- Section 601 covers the procedures for intentionally sharing classified information with foreign nationals in accordance with U.S. treaties and international agreements.
- Section 602 covers the procedures for hosting foreign national visitors and assignees at DOE HQ for unclassified purposes, including meetings, conferences, and events sponsored by HQ elements.
- Section 603 covers the procedures for performing foreign travel, both official and unofficial, and when the traveler must notify IN-20 of his/her plans. These procedures apply to current and some former DOE employees.

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Section 601
Foreign National Classified Visits

DOE provides technical and policy leadership to the U.S. government and international community to achieve nonproliferation objectives and to share scientific and technical information. To achieve these objectives, there will be times when foreign visitors who have security clearances will require access to US classified information. The procedures described in this section are intended to assist HQ elements in complying with DOE directives related to the sharing of classified information in accordance with U.S. treaties and international agreements.

HQ Implementation Procedures

This subsection describes the procedures and approvals needed to provide authorized foreign nationals access to U.S. classified information and serves as the implementation plan for all HQ elements.

- The Head of Element (or their officially appointed delegate) must approve classified foreign visits to HQ facilities. The delegate must be a Federal employee, a U.S. citizen, and have a security clearance appropriate for the classification level of the visit. The delegation must be made in writing and copies of the delegation must be provided to the Office of Security Assistance (AU-52) and the HQ Foreign Visits and Assignments (FV&A) Team within AU-41.

  NOTE: The term "Approval Authority" is used throughout this section and means the Head of Element or his/her designee. The Head of Element remains responsible for all activities that occur during the visit/assignment, regardless of who signed the approval.

- The Approval Authority for each HQ element must understand what DOE classified information within his/her purview may be shared with foreign nationals in accordance with international agreements or treaties.

- When it becomes necessary to share classified information with a foreign national, the Approval Authority must appoint, in writing or verbally, a member of the element's staff to act as host for the foreign visitor.

- The host ensures the visitor's clearance is commensurate with the classification level of the information being accessed and that the visitor has a "need-to-know." The host may need to obtain a written Security Assurance from the foreign visitor's home government verifying that the visitor has the requisite security clearance (see Special Access Permissions subsection, below).

- The host arranges an appropriate meeting space in a LA (VTRs are unacceptable) within DOE HQ. The classified information may not be provided to the visitor outside an LA.

- No classified information outside the scope of the treaty or international agreement may be provided or discussed.

- Prior to the visit, the host prepares a Memorandum for Record (see Attachment 601-1). The memorandum includes information about the visitor, the name of the treaty or international agreement that the visit will be conducted under, the purpose and location of the visit, and other pertinent data. Once the visit is completed, the Memorandum for Record must be updated to include required confirmation or "closeout" information.

- After the Memorandum for Record is prepared, the host attaches it to a cover memorandum requesting the Approval Authority to approve the classified visit (see Attachment 601-1).

- Once the classified visit is approved, but before the arrival of the foreign visitor, a copy of the approval memorandum is provided to the HQ FV&A Team. The HQ FV&A Team, in turn, ensures a copy of the approval memorandum is provided to the HQ facility reception desk to permit entry of the foreign visitor. If a copy of the approval memorandum is not provided to the HQ FV&A Team prior to the visit, it is almost certain that the foreign visitor will not be admitted.

- The HQ element sponsoring the visit assigns a Q or L-cleared escort who is a U.S. citizen to meet the foreign national at the HQ facility reception desk. Foreign visitors are badged as uncleared visitors and must be escorted for the duration of the visit.

- Escorts must complete an escort briefing prior to being assigned escort responsibilities. The element HSO conducts the original briefing and verifies completion by entering it in the "CMPC Training Records" section of his/her Appendix to HQFMSP.

- **No information** about **visits is to be entered into the FACTS database and no additional coordination is required**.

- All documentation supporting the classified visit must be retained for 5 years in accordance with the DOE Records Inventory and Disposition Schedule (RIDS). AU-52 reserves the right to request copies of visit/assignment requests, approvals, and supporting documentation. AU-52 may request additional information regarding the classified visit; these inquiries must be answered according to AU-52's specified timeframe.

Special Access Permissions:

- When the foreign visitor holds a security clearance from a U.S. government agency other than DOE, a DOE F 5631.20, "U.S. Department of Energy Request for Visit or Access Approval," must be submitted to DOE. These procedures are discussed in Section 306, Passing Clearances for Classified Meetings and Visits, of the HQFMSP.

- When the foreign visitor requires access to Sigma information, (i.e., subsets of nuclear weapons information classified under the Atomic Energy Act and grouped by subject matter) a DOE F 5631.20 for that visitor must be prepared and submitted (see Section 306, Passing Clearances for Classified Meetings and Visits, for procedures on submitting a DOE F 5631.20).

- When the visitor is without a U.S. government clearance, he/she must present a Security Assurance certificate from his/her government to the person hosting the visit. Security Assurance certificates are issued based upon the procedures described in the pertinent treaty or international agreement; therefore, DOE has no standard procedure for requesting or obtaining Security Assurance certificates. The host for the classified visit must work with the U.S. State Department and/or the foreign embassy to obtain the Security Assurance certificate. Security Assurance certificates must remain on file within the hosting HQ element for 5 years.

Points of Contact

For the names and contact information for those occupying the positions identified in this chapter, call (202) 586-8075 or (301) 903-2644.

HQ Foreign Visits and Assignments Team: e-mail to "HQ FV&A team@hq.doe.gov"

Forms/Samples/Graphics

Sample Memorandum to Request Approval of Classified Visit and Sample Memorandum for Record (see Attachment 601-1)

ATTACHMENT 601-1

Sample Memorandum to Request Approval of Classified Visit and Sample Memorandum for Record

MEMORANDUM FOR (NAME AND TITLE OF ELEMENT'S APPROVAL AUTHORITY)

FROM: (NAME AND TITLE OF HOST)

SUBJECT: Request for Approval of Classified Foreign Visit

DOE Order 142.1, CLASSIFIED VISITS INVOLVING FOREIGN NATIONALS, requires approval be obtained prior to the visit of a cleared foreign national who will be given access to classified matter. This memorandum is to request your approval of a DOE-sponsored visit to be attended by the foreign national(s) identified on the attached Memorandum for Record.

The following information is submitted:

1. Purpose of Visit: (As appropriate.)
2. Facility to be Visited: (Name of Building or Facility Only. ***Do not*** include room number.)
3. Estimated Start/Estimated End Date of Visit: (As required.)
4. Badging: The host will meet the visitor(s) at the reception desk and ensure the visitor receives the appropriate badge. The visitor(s) will be under escort at all times.
5. Memorandum for Record: A Memorandum for Record containing specific information about the visit and visitor(s) has been completed with currently available information and is attached. When the visit is complete, the Memorandum for Record will be updated with all remaining required information and retained by the hosting office.
6. Name and Telephone Number of Host: (As appropriate.)

It is recommended that this visit be approved.

Attachment

APPROVED: _____

DISAPPROVED: _____

DATE: _____

When separated from attachment, handle this document as UNCLASSIFIED

cc: HQ Foreign Visits and Assignments Team (AU-41)

WHEN COMPLETED MARK THIS MEMORANDUM AS OFFICIAL USE ONLY

MEMORANDUM FOR RECORD

(Must be retained for 5 years)

VISIT/ASSIGNEE INFORMATION

First Name: Middle: Last:

Date of Birth: Place of Birth:

Citizenship Country: Gender: ☐ Male ☐ Female

Home Address:

Passport Number: Country of Issue: Expiration Date:

Military Service ID (if applicable)

Arrival/Departure Card (I-94) Number: Class: Expiration Date:

Organization Represented (Employer):

Country of Employer:

Title/Rank (if part of agreement/treaty):

International Agreement or Treaty Under Which Visit Will Occur:

Location of Visit (Building or Facility Only): DO NOT INDICATE ROOM NUMBER

Date Security Assurance Received:

Estimated Start Date: Estimated End Date:

Sponsoring Program Office:

Host Name and Telephone Number:

Program Office with Approval Authority:

Name of Approving Official: Date of Approval:

CLOSE-OUT INFORMATION

Actual Start Date: Actual End Date:

Visit Status: (Write "Complete" or explanation of why visit did not occur):

OFFICIAL USE ONLY

May be exempt from public release under the Freedom of Information Act (5 U.S.C.), exemption number and category: Exemption 6, Personal Privacy
Department of Energy review required before public release
Name/Org: _____ Date: _____
Guidance (If applicable): DOE Guide 471.3-1, 4/9/03

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Section 602
Unclassified Foreign National Visits and Assignments

DOE supports unclassified visits and assignments by foreign nationals to DOE facilities for the benefit of its programs. The Secretary of Energy promulgates the policy according to the requirements established in DOE O 142.3A, *Unclassified Foreign Visits and Assignments Program*. AU-41 is responsible for oversight of unclassified foreign national visits and assignments to HQ facilities.

This section does not apply to visits or assignments where classified information is intentionally disclosed to a foreign national in accordance with U.S. treaty obligations. These procedures are described in Section 601, Foreign National Classified Visits.

HQ Implementation Procedures

General Requirements:

- These requirements apply to all unclassified visits/assignments by foreign nationals that occur within an HQ facility, except activities described in the Exemptions subsection below.

- These requirements apply to foreign national attendance at all meetings, conferences, events, and HQ element sponsored activities or official business occurring at an off-site location, except activities described in the Exemptions subsection below.

- All unclassified FV&A must be initiated by entering required data into the FACTS, except activities described in the Exemptions subsection below. Each HQ element must have at least one FACTS data entry person designated and trained. Training is available from the DOE National Training Center (see Helpful Websites at the end of this section).

- The HQ FV&A Team, within AU-41, must process all unclassified FV&A requests (see the Specific Headquarters Procedures subsection below for further details).

- The Head of Element (or his/her officially appointed delegate) approves unclassified FV&As to HQ facilities. The term "Approval Authority" is used throughout this section and means the Head of Element or his/her designee. A signed memorandum from the Approval Authority is required of each approved foreign visit/assignment.

- Current Foreign Visitor Assignment Delegation of Approval Authority memoranda (if any) must be on file with the HQ FV&A Team.

- Foreign nationals seeking admittance to an HQ facility without proper written and FACTS approval from the Approval Authority are denied admission.

- A foreign national cannot be designated as a host unless he or she is a DOE federal employee or a DOE contractor. A sensitive country national (to include nationals of state sponsors of terrorism) cannot be designated as a host of another foreign national.

- Escorts are required for all foreign visitors/assignees during Security Hours (see Section 106, Security Hours). Escorts are also required for all visitors/assignees entering an LA or VTR and for all High-Level Protocol visits. Escorts must be DOE permanently badged U.S. citizens and must remain with the foreign visitor/assignee for the duration of the visit.

- Specific Security Plans are required for FV&As meeting the criteria outlined in the Specific Headquarters Procedures subsection below. Generic security plans are not required; however, hosts and escorts must adhere to the minimum security requirements described in the Security Reference Document (see Attachment 602-10).

- Indices Checks of foreign visitors/assignees may be required (see the Indices Checks subsection below).

- Only the Secretary of Energy or cognizant Under Secretary can approve visits/assignments by nationals from countries on the list of State Sponsors of Terrorism (see State Sponsors of Terrorism Requests subsection below).

- Supporting documentation for FV&As must be retained for 5 years in accordance with the DOE RIDS. AU-41 reserves the right to request copies of visit/assignment requests and supporting documentation.

Exemptions:

- HQ elements seeking deviations or modifications to these requirements must obtain the approval of the Secretary of Energy or his/her designee. A copy of the request should be forwarded to the HQ FV&A Team (see Points of Contact subsection below).

- These requirements do not apply to events, activities, or locations open to the general public. The sponsoring Head of Element or his/her designee determines what events and activities are open to the public. Elements must coordinate with AU-41 prior to finalizing plans for public meetings held within an HQ facility. An approval memorandum signed by the Approval Authority must be provided to the HQ FV&A Team to pass the memorandum to AU-41 prior to the event.

- The Head of Element may exempt offsite events from these requirements when:

    - Events or activities are determined to be open to the general public (such as public lectures, community meetings, cultural or entertainment events, or open house events). Public events include only information unprotected by statute, regulation, or DOE policy, and determined to be releasable to the general public,

held in locations accessible to the general public, and available for attendance by the general public. The Approval Authority determines exemptions for the hosting HQ element after coordinating with the HQ FV&A Team. The HQ FV&A Team helps facilitate necessary Subject Matter Expert (SME) reviews.

  - The exemption is documented in writing.

  - Copies of the exemption document must be provided to the HQ FV&A Team and the Office of Counterintelligence (IN-20).

- Access by foreign nationals 17 years of age or younger involved in non-work-related activities (school tours, family days, etc.) do not require prior approvals or documentation in FACTS. Access for work-related activities by foreign nationals 17 years of age or younger, however, must adhere to the requirements of this section.

- Unclassified events and activities occurring outside the United States or its territories do not require approval and need not be documented in FACTS, but may require documentation in the Foreign Travel Management System (FTMS – see the Helpful Websites subsection below) or reporting to IN-20 (see Points of Contact subsection below).

- Visits to the Deputy Administrator for Naval Reactors will be addressed by programs implemented by the Deputy Administrator, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (as prescribed by 42 U.S.C. 7158).

- Visits by foreign national delivery, service, and vendor personnel do not require prior approval or documentation in FACTS; however, these foreign nationals must be fully escorted the entire time they are within the HQ facility. If a foreign national in this category is left unescorted, he/she is removed from the facility and the matter reported as a security incident.

Definitions:

Approval Authority – The individual assigned the responsibility and accountability to approve requests for access by foreign nationals to DOE sites, programs, information, and technologies.

Assignee – A foreign national approved to access a DOE site, information, or technology for a period of more than 30 consecutive calendar days, but less than 48 consecutive months.

Assignment – Foreign national access for more than 30 consecutive calendar days, but less than 48 consecutive months. An assignment may be extended for an additional 48 months after required reviews and approvals are completed. Approval for assignments is suspended when a foreign national assignee is unable to prove that he/she is legally present in the United States.

Cancelled After Approval – A FACTS closeout term for visits or assignments cancelled after a final access approval determination has been made.

Cancelled Before Approval – A FACTS closeout term for visits and assignments cancelled before a final access approval determination has been made.

Closeout Information – The final action data in FACTS for a visit or assignment. Closeout information includes the documentation of the visit as cancelled, no show, or complete. Closeout information is documented in FACTS within 15 days after the last day of access.

Completed – A FACTS closeout term for visits or assignments that have ended.

Dual Citizenship – Recognition of a person as a citizen of more than one country.

Export Controlled Information – Certain unclassified government information, for which DOE is accountable and responsible, requiring a specific license or authorization to export and protected according to U.S. laws and regulations. Unrestricted dissemination of this information could adversely affect the U.S. national security and nonproliferation objectives.

Foreign National – An alien. For the purposes of this chapter an alien is a person born outside the jurisdiction of the United States, is a citizen of a foreign government, and has not been naturalized under U.S. law.

Foreign National Status – The time a foreign national is authorized to be in the United States and what type, if any, work he/she can perform while in the United States as determined by his/her valid passport, entrance visa, Resident Card, or other U.S. Citizenship and Immigration Services (USCIS) documentation.

High-Level Protocol Visit – A one-day protocol meeting between a foreign national representative and a senior DOE official within the HQ Forrestal Building.

Host – The DOE Federal or contractor employee responsible for the activities associated with the successful accomplishment of a visit or assignment. A foreign national DOE employee or DOE contractor employee may be a host, unless he/she is from a country on the U.S. list of state sponsors of terrorism.

Indices Check – A procedure where a request is made to appropriate U.S. government agencies to determine whether information exists on a particular foreign national. Indices checks are valid for 2 years from the indices start date, as documented in FACTS by IN-20.

Lawful Permanent Resident (LPR) – A person authorized to live and work in the U.S. Unlike a U.S. citizen, however, an LPR is not permitted by states to vote in national elections and can be deported if convicted of certain crimes. An LPR may also be known as a permanent resident alien or green card holder.

National of a State Sponsor of Terrorism – A foreign national, who was born in, is a citizen of, is employed by, or represents a government, company, institution, or other organization based in a country on the Department of State list of State Sponsors of Terrorism.

National Security – The national defense and foreign relations of the United States.

No Show – A FACTS closeout term for visits or assignments where a foreign national has been approved but fails to report.

Non-sensitive Country National – A foreign national who was born in, is a citizen of, is employed by, or represents a government, company, or organization, or institution that is located in a country not on the sensitive country list and not a state sponsor of terrorism as identified by the Department of State.

Open Information – Information not protected by statute and, therefore, releasable to the general public.

Out of Status – A foreign national in the United States who has gone beyond the legal boundaries established by the USCIS. A foreign national who is out of status is denied access to DOE sites, programs, or information.

Passport – A travel document issued by one's country of citizenship, used for identification purposes and visa applications or entry to other countries.

Public Area – An area accessible by the general public, where no requirements exist for security clearances, security escorts, or security logs as documented in the site security plan.

Sensitive Country List – A list of countries given particular consideration during the DOE internal review and approval process for FV&As. Countries appear on the list for reasons of national security, nuclear nonproliferation, or terrorism support. The Office of Defense Nuclear Nonproliferation (NA-20) maintains the list.

Sensitive Country National – A foreign national who was born in, is a citizen of, or is employed by a government, employer, institution or organization of a sensitive country.

Sensitive Subjects List – Unclassified subjects/topics identified in existing Federal regulations governing export control and by DOE as unique to work, information, activities, and or technologies relevant to national security. Disclosure of sensitive subjects has the potential for enhancing weapons of mass destruction capability and proliferation, divulging militarily critical technologies, or revealing other advanced technologies that may adversely affect U.S. national and economic security. These subjects require special management oversight before release to foreign nationals. NA-20 maintains the list of sensitive subjects.

Site – A geographical area where one or more facilities are located, or DOE-controlled land area including DOE-owned facilities (e.g., the Oak Ridge National Laboratory, the Nevada Test Site, the Hanford Site, Idaho National Laboratory, the Pantex Plant).

State Sponsors of Terrorism – Countries that the Department of State has listed as state sponsors of terrorism because of their identified sponsorship of groups and or activities supporting terrorism or terrorist activities.

Subject Matter Expert – An individual knowledgeable about the professional standards, requirements, and practices used within the discipline he/she represents (i.e., security, export control, technology transfer, counterintelligence, or intelligence).

Technology – Technical data, skills, know-how, or scientific knowledge. Technology is derived from basic or applied research, development, engineering, technological demonstration, economic and social research, or scientific inquiry into phenomena or technology applications. Technology may exist as machinery or equipment, be recorded or spoken, be represented in a medium for storage or communication, and could be contained in computer software with scientific and technical applications.

U.S. Citizen – An individual entitled to all U.S. Constitutional rights and privileges of citizenship.

Visa – A permit granting entry to the United States and assigning a particular status (immigrant/nonimmigrant, student, exchange visitor, diplomat, etc.) evidenced by a stamp in the passport or the status described on USCIS Form I-94 or I-95. A visa is not a guarantee that the foreign national will be permitted to enter the United States. The Department of Homeland Security is responsible for admission at the point of entry.

Visa Waiver Program – A State Department-managed program to enable travelers from certain countries to visit the United States for business or pleasure (but not employment) for up to 90 days without an entrance visa.

Visit – Access by a foreign national for 30 calendar days or less. Approval for visits is suspended when a foreign national assignee is unable to prove he/she is legally present in the United States.

Visitor – A foreign national approved to access a site, information, or technology for 30 calendar days or less.

Work for Others – Research, development, testing, manufacturing, or experimentation conducted at a DOE facility for an agency other than DOE.

Delegation of Approval Authority:

- The Head of Element may delegate his/her unclassified FV&A approval authority to a management-level employee, provided that:
    - The delegation is made in writing
    - The employee is a U.S. citizen
    - A copy of the delegation is furnished to the HQ FV&A Team.
- The Head of Element is responsible for all activities occurring during the FV&A, regardless of who signed the approval (see Attachment 602-1).

- For an example of the Delegation of Approval Authority memorandum, see Attachment 602-6.

Specific Headquarters Procedures:

This subsection applies to all requests for unclassified FV&As, excluding High-Level Protocol Visits and requests involving foreign nationals from countries designated as state sponsors of terrorism.

- The person planning the FV&A must obtain verbal or written approval from his/her element's Approval Authority prior to initiating the visit/assignment request. This verifies that a valid need exists for the visit/assignment and that the Approval Authority will support it.

- A host for an FV&A must be identified. Hosts should complete a 90-minute, computer based training course, FIT-130D, Foreign Visits and Assignments Host Training**,** available through National Training Center Course Catalog portion of the Online Learning Center (OLC2) (see Helpful Websites at the end of this section). Contact the HQ FV& A Team for assistance in accessing the course. The element HSO records the host's completion of the training in the "CMPC Training Records" section of the element's Appendix to the HQFMSP.

- Escorts are required for all foreign visitors/assignees during Security Hours (see Section 106, Security Hours). Escorts are also required for all visitors/assignees that enter an LA or VTR and for all High-Level Protocol visits. Escorts must be DOE permanently badged U.S. citizens and must remain with the foreign visitor/assignee for the duration of the visit. It is recommended there be one escort for every five visitors/assignees.

- Escorts are required to complete an escort briefing (see Attachment 602-2) prior to being assigned escort responsibilities. The element HSO will maintain the original briefing and enter the completion of it in the "CMPC Training Records" section of the Appendix to the HQFMSP.

- The host obtains the required information from the prospective foreign visitor/assignee. Hosts are encouraged to provide the visitor/assignee with the Unclassified Foreign National Visits & Assignments Questionnaire Part I (see Attachment 602-3) to complete and return to the host.

- The host completes the Unclassified Foreign National Visits & Assignments Questionnaire Part II (see Attachment 602-4).

- The host provides both parts of the Unclassified Foreign National Visits & Assignments Questionnaire to his/her element's FACTS data entry person. When the visitor is a citizen of a non-sensitive country, who was born in a non-sensitive country, and representing a non-sensitive country who will not be discussing sensitive subjects or

meeting in an LA or VTR, only the sections in Parts I and II of the Questionnaire marked with an asterisk must be completed and entered into FACTS.

- The element's FACTS data entry person enters the required information into FACTS at https://fnis.esportals.com. Note that Forrestal and Germantown are considered two separate facilities within FACTS, so visits/assignments to these locations must be entered as separate requests.

- All required data includes: biographical information and visit/assignment information.

    - Biographical information includes, but is not limited to, personal data including employment, passport, and visa information.

    - Visit/assignment information includes, but is not limited to, the purpose of the visit/assignment, proposed and actual dates of the visit/assignment, topics of discussion, and access to LAs or VTRs.

    - For questions concerning FACTS data entry, contact the FACTS Help Desk (see Points of Contact subsection below).

- Visits/assignments requiring Indices Checks (see Indices Check subsection below) must be entered into FACTS at least 30 days prior to the visitor/assignee's arrival date.

- Visits/assignments not requiring an Indices Check must be entered into FACTS not later than the first day of access.

- A Specific Security Plan (see Attachment 602-9) is required and must be prepared by the HQ element sponsoring the visit/assignment when the foreign visitor/assignee:

    - Will be accessing an LA, VTR, or SCIF at HQ

    - Will be discussing a sensitive subject (refer to the Sensitive Subjects List – see the Forms/Samples/Graphics subsection below)

    - Will be discussing sensitive information (definition provided in the Definitions subsection above) with the foreign national

    - Was born in, is a citizen of, is employed by or represents the government or an institution of a sensitive country or a country that is a state sponsor of terrorism.

- The Specific Security Plan, if required, must be attached online to the FACTS visit/assignment request for the HQ FV&A Team to review.

- The element's Approval Authority must approve the Specific Security Plan. Copies of the Specific Security Plan must be provided to any host and escorts.

- When a Specific Security Plan is prepared, the host – and escorts, when utilized – is responsible for compliance, and protecting DOE security interests during the visit/assignment.

- Specific Security Plans are specific to each FV&A. A separate Specific Security Plan is required for each visit/assignment meeting the above criteria. A Specific Security Plan can cover multiple foreign visitors/assignees staying together as a group during the visit/assignment. The Specific Security Plan is valid for the duration of the visit/assignment unless changes to the visit/assignment occur.

- FV&As failing to meet the criteria for a Specific Security Plan must follow the required security procedures outlined in this subsection. A synopsis of the security requirements can be found in the Security Reference Document (see Attachment 602-10). The Security Reference Document should be provided to hosts and escorts and used as a reference tool.

- The element's FACTS data entry person informs the HQ FV&A Team via e-mail at HQFV&ATeam@hq.doe.gov when a new visit/assignment request has been added to the FACTS database. The following statement can be used for this notification: "The Office of _____ (Org. Code) has submitted a new foreign national visit/assignment request in FACTS."

- The HQ FV&A Team verifies that the required information has been entered into FACTS and that a Specific Security Plan has been properly completed, and conducts necessary SME reviews.

- FV&As meeting specific criteria must undergo a formal SME review. SME reviews are obtained by the HQ FV&A Team (see the SME Reviews and IN Coordination subsection below).

- After all SME reviews are complete and the required information is entered in FACTS, the HQ FV&A Team notifies the element, via e-mail to the host, HSO, and FACTS data entry person, and provides relevant information from the SME reviews. The FV&A host must relay any information discovered during the SME review to the element's Approval Authority. The Approval Authority considers the results before deciding whether to approve the visit/assignment request.

- The element's Approval Authority must then approve the visit/assignment. The request for approval must be made in writing (see Attachment 602-7). The memorandum must include:

    - The dates, facility location, and purpose of the visit/assignment

    - The name and telephone number of the host for the visit/assignment

- The name, citizenship, employer, job title, FACTS generated visitor number, and request ID of each prospective foreign visitor/assignee
- A statement that FACTS data entry is complete, with reviews and approval entered prior to access
- A statement that a Specific Security Plan has been prepared, if applicable, and is attached
- When required, a statement that the HQ FV&A Team conducted an SME review regarding sensitive subjects or technology transfer issues
- When required, a statement that an Indices Check or a counterintelligence consultation was completed
- A statement that coordination was completed with the Office of the Chief Information Officer (IM-622) (or within the organizational Chief Information Officer) if computer access is requested for the visitor or assignee
- The signature of the Approval Authority approving or denying the proposed FV&A and the associated Specific Security Plan, if applicable.

- After the Approval Authority approves or denies the request, the element's FACTS data entry personnel documents approval or denial within FACTS.
- A copy of the signed Approval Request must be provided to the HQ FV&A Team.
- The sponsoring organization in accordance with the DOE RIDS must maintain all requests for approval memorandums.
- Before an approved visitor/assignee is admitted to HQ, the HQ protective force receptionists review the FACTS entry to ensure that the proper approvals are granted before issuing the proper security badge.
- The host or a representative from the sponsoring HQ element, with assistance from the protective force receptionists, verifies the visitor/assignee's passport, visa, and USCIS information. The foreign visitor/assignee must provide sufficient documentation to verify his/her identity, confirm he/she is permitted to work in the United States (if applicable), and ensure he/she is lawfully in the United States. The purpose of these reviews is to validate that the information in FACTS is accurate prior to granting access on the first day of his/her visit or assignment. The sponsoring HQ element is also responsible for annually re-verifying in FACTS the passport, visa or other USCIS information of all foreign assignees.
- The host must provide any USCIS information not entered into FACTS to the element's FACTS data entry person; the information must be entered by the end of the first day of the visit/assignment.

- All requests for visits/assignments must be "closed out" in FACTS. Sponsoring elements are responsible for close-out actions and entering the following data in FACTS within 15 days of the completion of the visit/assignment:
    - Enter data in the appropriate fields to indicate whether the visit/assignment was not approved, did not occur, was cancelled, or was completed
    - Enter the actual end date of the visit or assignment
    - Enter any changes to the original request, such as arrival/departure times, date(s) of visit, etc.
- The Security Requirements Decision Matrix (see Attachment 602-11) summarizes the above process for unclassified FV&A requests.

High-Level Protocol Visit Procedures:

- A High-Level Protocol Visit is used for foreign nationals visiting the Secretary, Deputy Secretary, Under Secretaries, Program Secretarial Offices, or other senior Department officials, and foreign national representatives of foreign governments or organizations of foreign governments in the HQ Forrestal building.
- A High-Level Protocol Visit is limited to one day and occurs solely at the Forrestal building.
- Advance approval reviews may be suspended if requested by these senior Departmental managers, subject to compliance with the security plans and procedures developed for High-Level Protocol visits.
- These visitors must be documented in FACTS within one working day of the visit. Justification for these visits must address the protocol nature of the visit.
- The Sample High-Level Protocol Approval Request form (see Attachment 602-8) should be used to obtain the necessary information and approvals for this type of request.
- The element's FACTS data entry person enters all required information into FACTS.
- The Specific Security Plan, if required, must be attached online to the FACTS visit/assignment request for the HQ FV&A Team to review.
- The element's FACTS data entry person informs the HQ FV&A Team via e-mail to HQFV&ATeam@hq.doe.gov when a new High-Level Protocol Visit is added to the FACTS database. The following statement can be used for this notification: "The Office of _____ (Org. Code) has submitted a new High-Level Protocol Visit in FACTS."

- The HQ FV&A Team verifies that all required information was entered into FACTS and verifies that a Specific Security Plan, if required, was completed properly. SME reviews are not required for High-Level Protocol Visits if the following conditions are met:
    - The foreign national visitor is not a citizen of a country on the Terrorist Supporting Countries List.
    - Discussions with the visitor will not involve export controlled technologies.
    - Discussions with the visitor will not include sensitive or classified matter relating to nuclear weapons, proliferation, intelligence collection, satellite imagery, or signals intelligence technology.
    - The foreign national visitor will not be permitted to operate, use, or service DOE information systems/equipment.
    - The foreign national visitor must be escorted at all times while on DOE grounds.
- If the sponsoring element cannot confirm the above requirements, the HQ FV&A Team obtains the required SME reviews.
- Indices Checks need not be completed prior to the approval of a High-Level Protocol visit.
- A Specific Security Plan (see Attachment 602-9) is required and must be prepared by the HQ element sponsoring the High-Level Protocol visit when the foreign visitor:
    - Will be accessing a Limited or n LA, VTR, or SCIF at HQ
    - Will be discussing a sensitive subject (see Sensitive Subjects List; refer to the Forms/Samples/Graphics subsection below)
    - Was born in, is a citizen of, is employed by, or represents the government or an institution of a sensitive country or a country that is a state sponsor of terrorism.
- High-Level Protocol visits that fail to meet the above stated criteria must follow the security procedures outlined in this subsection. A synopsis of the security requirements can be found in the Security Reference Document (see Attachment 602-10). Hosts and escorts should be given the Security Reference Document to assist them in performing their duties.
- These visits must be documented in FACTS on the day of the visit. Justification for these visits must address the protocol nature of the visit.
- After the Approval Authority approves or denies the request, the element's FACTS data entry personnel must document the approval or denial within FACTS.

- A copy of the signed approval request must be provided to the HQ FV&A Team.

- The sponsoring organization, in accordance with the DOE RIDS, must maintain all requests for approval memorandums.

- Before an approved visitor/assignee is admitted to HQ, the HQ protective force receptionists review the FACTS entry to ensure that the proper approvals were granted and then issue the proper security badge.

- Escorts are required for all High-Level Protocol visits. All High-Level Protocol visitors must be met in the Forrestal Lobby and remain under escort throughout their visit.

- VIP badges are issued to High-Level Protocol visitors to the Secretarial Suite.

- At the discretion of AU-41, DV badges are issued to High-Level Protocol visitors visiting Heads of HQ Elements (or in the case of NNSA, Deputy or Associate Administrators).

State Sponsors of Terrorism Requests:

- The site Approval Authority must approve access requests for nationals of state sponsors of terrorism who are not lawful permanent residents before final approval determination. The Secretary of Energy holds final approval authority and can assign it to only Deputy Secretary, Under Secretary for Nuclear Security Administration, Under Secretary of Energy, or Under Secretary for Science. The Deputy Secretary or appropriate Under Secretary, in consultation with IN-20, makes the final approval determinations for these access requests. Subsequent assignment requests extending access to the hosting field site or HQ program, staff, or support office may be approved by the Approval Authority for that field site or HQ office.

- The Sensitive Country List & Terrorist Supporting Countries List identifies the countries designated as state sponsors of terrorism (see the Forms/Samples/Graphics subsection below). It is OUO and must be handled accordingly.

- The sponsoring element must prepare and document a request for approval of a visit/assignment by a national of a state sponsor of terrorism, Specific Security Plan, computer security plan (if cyber access is requested), visa, passport, or other USCIS information, the results of the SME reviews, and the risks and benefits of the proposed visit/assignment. More specific guidance for this type of request is available from the Office of Security Assistance (AU-52) (see Attachment 602-12).

- After approval by the Head of Element, the request is submitted through AU-52 to the HQ Management Panel for review and submission to the Secretary of Energy or cognizant Under Secretary for final approval determination.

Indices Checks:

- Indices Checks are conducted by IN-20 using pertinent data from FACTS. In coordination with other Federal agencies, IN-20 determines whether the foreign visitor/assignee poses a threat to national security.

- Indices Checks are requested automatically through the process of inputting visit/assignment data in FACTS.

- Indices Checks are valid for a period of 2 years from the indices completion date, as documented in FACTS by IN-20.

- Indices Checks are required for:
    - All FV&A requests involving nationals of state sponsors of terrorism
    - All FV&A requests involving sensitive country nationals
    - All FV&A requests involving the discussion of sensitive subjects
    - All FV&A requests that may occur within an LA or VTR.

- Refer to the Sensitive Country List and Terrorist Supporting Countries List and Sensitive Subject List (see the Forms/Samples/Graphics subsection below) for a listing of the applicable countries and subjects.

- Each element HSO should know where his/her LAs and VTRs are located.

- IN-20 enters Indices Checks results into FACTS.

- Completion of Indices Checks:

    - Indices Checks for sensitive country national visitors need not be completed prior to approval.

    - Indices Checks for High-Level Protocol visits need not be completed prior to approval.

    - Indices Checks for sensitive country national assignees must be completed prior to approval. The results of Indices Checks must be provided to the Approval Authority who must consider the results before deciding whether to approve the assignment.

    - Indices Checks for all visits/assignments requests by nationals of either sensitive or non-sensitive countries that involve access to sensitive subjects must be completed prior to approval. The results of Indices Checks must be provided to the Approval Authority who must consider the results before deciding whether to approve the visit/assignment.

- Indices Checks for all visit/assignment requests involving access to an LA, VTR, or SCIF must be completed prior to approval. The results of Indices Checks must be provided to the Approval Authority who must consider the results before deciding whether to approve the visit/assignment.

- Indices Checks for all visit/assignment requests involving nationals from state sponsors of terrorism must be completed prior to approval by the Head of Element. The results of Indices Checks must be provided to the Head of Element who must consider the results before deciding whether to approve the visit/assignment and submit it to the HQ Management Panel for review.

- When an Indices Check is required but cannot be completed before the visit or assignment is to take place, a Counterintelligence Consultation is available. Requests for consultations may be made through the IN-20 Forrestal Field Offices (FFO) at either the Forrestal Facility or the Germantown Facility (contact information is provided at the end of this subsection).

  - A Counterintelligence Consultation is a discussion between the sponsoring element's Approval Authority and an IN-20 representative and must be completed prior to the visit/assignment.

  - The Counterintelligence Consultation requires the Approval Authority to submit a memorandum to IN-20 that provides detailed information on the request and any concerns the host has (see Attachment 602-5).

  - IN-20 contacts the Approval Authority to provide information about counterintelligence findings or concerns pertaining to the proposed visit/assignment. The Approval Authority then makes an informed decision on whether to approve the visit/assignment request.

  - IN is required to enter the date the Counterintelligence Consultation was conducted into FACTS.

  - AU-41 reserves the right to request copies of requests for Counterintelligence Consultations.

  - IN-20 does not approve or disapprove requests for FV&A. The Approval Authority makes the final approval/disapproval decision.

  - Counterintelligence Consultations should be used sparingly as an alternative to Indices Checks.

  - Counterintelligence Consultations may not be used in lieu of Indices Checks for visits/assignments involving nationals of state sponsors of terrorism.

SME Reviews and IN-20 Coordination:

- An SME is an employee knowledgeable about the professional standards, requirements, and practices used within the discipline he/she represents. SME reviews are required for specific foreign national visits and assignments. SME reviews are conducted in areas of export control, technology transfer, counterintelligence and intelligence.

- SME reviews must be completed prior to the approval and admittance of the following foreign national requests:

    - All assignments to an HQ facility

    - All visits that involve the foreign national accessing an LA, VTR, or SCIF at HQ

    - All visits that will include the discussion of a sensitive subject (see the Sensitive Subjects List; refer to the Forms/Samples/Graphics subsection below)

    - All visits that will include the discussion of sensitive information (see the Definitions subsection above)

    - All visits that require the foreign national to access a DOE computer system

    - All visits that involve a foreign national who was born in, is a citizen of, is employed by, or represents the government or an institution of a sensitive country or a country that is a state sponsor of terrorism.

- Advanced SME approval reviews are not required for High-Level Protocol visits if the element can confirm all of the following:

    - The foreign national visitor is not a citizen of a country on the Terrorist Supporting Countries List.

    - Discussions with the visitor will not involve export controlled technologies.

    - Discussions with the visitor will not include sensitive or classified matter relating to nuclear weapons, proliferation, intelligence collection, satellite imagery, or signals intelligence technology.

    - The foreign national visitor will not be permitted to operate, use, or service DOE information systems/equipment.

    - The foreign national visitor will be closely escorted at all times while on DOE grounds.

- AU-41 established the HQ FV&A Team to centrally screen, review, or coordinate all requests for unclassified FV&As to HQ facilities. The HQ FV&A Team automatically screens all HQ-originated FACTS inputs for security, Operations Security (OPSEC),

TSCM, export control, and technology transfer concerns. The HQ FV&A Team determines what SME reviews are required and ensures the necessary reviews are completed. The HQ FV&A Team also reviews the Specific Security Plans included in the FACTS request. The HQ FV&A Team cannot approve or disapprove a visit or assignment request. The Team's role is to provide security-related information and cautionary guidance to the Approval Authority before approval is granted. If the Team requires highly specialized assistance in subjects such as export control, technology transfer, or computer security, the Team refers the matter to personnel in the Office of Export Control, Policy, and Cooperation (NA-242) or IM-622, or to the element's Chief Information Officer. Those offices may provide additional guidance or comments to the Approval Authority (see Points of Contact subsection below).

- When a visit/assignment request involves computer access, coordination with either IM-622 or the element's Chief Information Officer must occur so that a cyber SME review is conducted. This information and date of the consultation/notification must be entered in FACTS. IM-622 or the element's Chief Information Officer provides a separate computer security plan that must be followed in addition to all other security requirements.

- Coordination with IN-20 must occur when information concerning an intelligence review was not entered into FACTS. The Approval Authority must consult with IN prior to approving any visit/assignment of a foreign national involving information related to nuclear weapons, nuclear weapons proliferation, intelligence collection, satellite imagery, or signals intelligence technology or when the possibility exists for those topics to be discussed. The date of the consultation must be entered into FACTS.

Points of Contact

FACTS Help Desk, 804-744-8800

For Forrestal Counterintelligence Officer (IN-20) support, call (202) 586-1378 or (202) 586-2297.

For Germantown Counterintelligence Officer (IN-20) support, call (301) 903-2039 or (301) 903-0434.

Office of the Chief Information Officer (IM-622), (202) 586-2883.

For the names and contact information for those occupying other positions identified in this chapter, call (202) 586-8075 or (301) 903-2644.

Forms/Samples/Graphics

Sample Approval Authority Certification (see Attachment 602-1)

Foreign National Visit and Assignment Escort Briefing (see Attachment 602-2)

Unclassified Foreign National Visits & Assignments Questionnaire Part I (see Attachment 602-3)

Unclassified Foreign National Visits & Assignments Questionnaire Part II (see Attachment 602-4)

Sample Counterintelligence Consultation Memorandum (see Attachment 602-5)

Sample Delegation of Approval Authority Memorandum (see Attachment 602-6)

Sample Foreign National Visit or Assignment Approval Request (see Attachment 602-7)

Sample High-Level Protocol Approval Request (see Attachment 602-8)

Sample Specific Security Plan (see Attachment 602-9)

Security Reference Document (see Attachment 602-10)

Foreign Visits and Assignments Security Requirements Decision Matrix (see Attachment 602-11)

Approval request for a Visit/Assignment by a Foreign National from A State Sponsor of Terrorism Package (see Attachment 602-12)

Sensitive Country List & Terrorist Supporting Countries List (this document is OUO and available from IN-20)

Sensitive Subjects List (this document is OUO and available from NA-242)

Helpful Websites

https://ntc.doe.gov/

https://fnis.esportals.com

http://energy.gov/hc/services/learning-and-development-0/tools-technologies/online-learning-center

https://ftms.doe.gov/

ATTACHMENT 602-1

Sample Approval Authority Certification

An Approval Memorandum, signed by the HQ Element's Approval Authority, is required before any Foreign National will be admitted to HQ facilities. By signing the Approval Memorandum, the Approval Authority is stating as follows:

> I certify that I have reviewed the request for access approval for (Name of Foreign National), FACTS Visit/Assignment Number (Enter Numbers), and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies. I have reviewed the advice provided by the Subject Matter Experts in Security, Export Control, Technology Transfer, Security, Counterintelligence, and, when appropriate, Intelligence regarding this request. I have acknowledged receiving those reviews, and have addressed any concerns to the satisfaction of the Subject Matter Experts involved. My determination is consistent with the professional standards and practices used to ensure any risk to the Government associated with access approval is appropriately identified and evaluated.
>
> Additionally, I certify that, in my opinion, the benefits to the Government are greater than the risks associated with the presence of the foreign national and that all legal and policy-related terms and conditions associated with the proposed Visit/Assignment have been met. These terms and conditions include, but are not limited to, other activities at the site, visa sponsorship requirements, visa status conditions and requirements, right-to-work requirements, and international agreements.

ATTACHMENT 602-2

Foreign National Visit and Assignment Escort Briefing

DOE Federal and contractor personnel responsible for escorting foreign nationals should use the following briefing in preparation for escorting:

- Foreign nationals entering an LA, VTR, or SCIF
- Foreign nationals within HQ during Security Hours (see Section 106, Security Hours)
- All High-Level Protocol visits.

The escort should maintain a signed copy of this briefing, while your element HSO maintains the original. Please review Section 602, Unclassified Foreign National Visits and Assignments, of the HQFMSP, for more detailed information regarding foreign national visit and assignment requests.

Definition: An escort is an authorized, DOE permanently badged U.S. citizen (Federal or contractor employee) assigned the responsibility of accompanying foreign nationals lacking need-to-know or access authorization within an LA, VTR, or SCIF to ensure they adhere to HQ security measures.

Escort Responsibilities:

Escorts are required to:

- Be familiar with the site/facility, including LAs and VTRs
- Have full understanding and knowledge of the FV&A security procedures and Specific Security Plan, if applicable (your element HSO should provide the Specific Security Plan)
- Have a security clearance, L or Q, commensurate with the level of information handled within the LA or VTR to be visited
- Have knowledge of specific information or technologies the foreign national has been authorized to access.

Meeting the Foreign Nationals

The escort must meet the foreign national, at the direction of the host, at either the lobby of the building or at the entrance to the LA or VTR. All High-Level Protocol visitors must be met in the Forrestal Lobby and be under escort at all times and in all places throughout their visit, as discussed below.

The escort must ensure that the foreign national was issued a foreign national badge by the building/facility receptionist. If not, the escort must direct the foreign national to the reception desk to obtain a foreign national badge.

The escort must instruct the foreign national to display the foreign national badge above his/her waist in an easily observable position, inform him/her of what articles are prohibited within the facility, and inform him/her of the controlled articles (e.g., cell phones, pagers, Blackberries, laptop computers, and other electronic devices) that are prohibited in LAs and VTRs. If the foreign national has a controlled article, the device must be turned off and stored in an RF bag or a storage container outside the LA or VTR. If no RF bag or storage container is available, the device must be returned to the visitor's vehicle.

If the visitor needs to leave the facility, the foreign national visitor badge may be retained temporarily at a manned protective force post. The foreign national will be given a token, which must be returned to the same protective force post to retrieve the visitor's badge.

Escorting the Visitor

The escort must escort the foreign national at all times while in an LA or VTR, during Security Hours or during all High-Level Protocol visits.

As a rule of thumb, one escort should not escort more than five foreign nationals. If there are more than five visitors, additional escorts should be available.

The escort must ensure that foreign nationals entering VTRs sign in and out on the visitor register and announce their presence.

The escort must ensure that the foreign national is not allowed to access any classified information by overhearing classified conversations, reading or copying classified information, observing classified computer processing, or any other means.

Escorts must ensure that the visitor/assignee does not attempt to obtain, copy, or otherwise access sensitive information. Escort responsibilities include preventing the foreign visitor/assignee from accessing desk drawers, filing cabinets, or other containers where such information could be located. Sensitive information includes, but is not limited to OUO, Unclassified Controlled Nuclear Information (UCNI), Export Controlled Information (ECI), Naval Nuclear Propulsion Information (NNPI), PII, Company Proprietary Information, personnel files, and other forms of information related to a person's privacy.

The escort must ensure that the foreign national does not remove any DOE property unless an authorized person issues a property pass.

If the foreign national needs to use a restroom, the escort must accompany the foreign national to the restroom door and remain outside until the foreign national is ready to return.

If there are multiple foreign nationals and they need to go in different directions, the escort must arrange for additional escorts. (**Note:** Intelligence collectors commonly use this approach to test or defeat visitor control measures.)

The escort must ensure that the foreign national badge is returned to the protective force reception desk or any manned protective force post when the visit is completed.

I acknowledge that I have read this briefing and understand my responsibilities and the requirements for escorting a foreign national:

_____	_____	_____
Printed Name	Signature	Date

ATTACHMENT 602-3

Unclassified Foreign National Visits & Assignments Questionnaire Part I

Welcome to Department of Energy, Headquarters! We are looking forward to your visit or assignment with us. In order to comply with our security requirements and ensure that your time with the Department of Energy goes smoothly we need to obtain some information from you prior to your arrival.

Please take a few minutes to provide the information requested below for each member of your party that is not a U.S. citizen and then return the form(s) to your host.

Please be sure to comply with the deadlines your host has communicated to you for returning this form.

Part 1: Completed by Visitor

Please complete all questions below, as applicable. See listing of requested documents at end.

1*	**Given Name/First Name (exactly as it appears on passport)**	
2*	**Middle Name (exactly as it appears on passport)**	
3*	**Surname/Last Name (exactly as it appears on passport)**	
4*	**Gender**	☐ **Male** ☐ **Female**
5	**Are you currently in the United States?**	☐ **Yes** ☐ **No**
6	**Are you Currently a Legal Permanent Resident (LPR) Immigrant Alien of the U.S.?**	☐ **Yes (go to question 7)** ☐ **No (skip question 7)**
7	**Immigration & Naturalization (INS A#) Number and Expiration Date**	**INS A#:** **Expiration Date:**
8*	**Primary Citizenship (Citizenship admitted to United States)**	
9*	**Dual Citizenship (if any)**	☐ **Yes** ☐ **No** **If yes, what Country?**
10*	**Birth Date**	
11*	**Country of Birth**	
12*	**City of Birth**	

13*	**Institution or Company Name**	
14*	**Institution or Company Address and Country**	
15	**Employer Telephone Number**	
16	**Employer Facsimile Number**	
17	**Employer E-mail Address**	
18*	**Title/Description of Duties with Employer/Company**	
19*	**What is the U.S. Visa Type you will have/require upon arrival in U.S. for this visit, assignment or employment?**	☐ **A2** ☐ **H1** ☐ **TN** ☐ **F1** ☐ **J1** ☐ **B1** ☐ **O-1** ☐ **E2** ☐ **Visa Waiver Business (VWB)** ☐ **Other:** ☐ **Employment Authorization Document (EAD) Number and Expiration date:**
20*	**Visa Number and Expiration Date (This is the Form I-94 number; if J-1 or F-1 visa.**	**I-94 Number:** **Valid Until Date:**
21*	**Passport Number and Expiration Date (mm/dd/yyyy)**	**Passport Number:** **Expiration Date:**
22	**What Country Is Identified On Your Passport As Issuer?**	
23	**Other ID (specify type and number, if applicable)**	

ATTACHMENT 602-4

Unclassified Foreign National Visits & Assignments Questionnaire Part II

Part 2: Completed by Host

24	Facility to be accessed	☐ Germantown ☐ Forrestal ☐ Other (must specify) ☐ Off Site
25	Will any Sensitive Information (see list at right) be shared with the visitor or assignee?	(Check at least one but all that apply) ☐ Official Use Only (OUO) ☐ Export Controlled Information (ECI) ☐ Unclassified Controlled Nuclear Information (UCNI) ☐ Personally Identifiable Information (PII) ☐ Company Proprietary Information ☐ Unclassified Naval Nuclear Propulsion Information (NNPI) ☐ N/A
26	Select the Security Area Type at the Facility (choose the highest area type in case multiple areas are to be visited)	☐ Property Protection Area (PPA) with Access to Sensitive Info ☐ Property Protection Area (PPA) w/out Access to Sensitive Info ☐ Limited Area ☐ VTR ☐ SCIF ☐ Non-Security Area (for off-site requests only)
27	Type of Request	☐ Visit ☐ Assignment ☐ Extension of an Assignment ☐ High Level Protocol Visit
28	Is this an IAP-66 (DS-2019) assignment?	☐ Yes ☐ No
29*	Is this an off site meeting?	☐ Yes ☐ No ☐ Both
30*	Will Sensitive Subjects be involved or discussed ("Sensitive Subjects" are not the same as "Sensitive Information" in row 25, above)	☐ Yes ☐ No If yes, please specify: (See 'Sensitive Subject List' document) If in doubt contact the HQ FV&A Team for clarification
31*	Host and Escort's Full Name(s) (Must be DOE federal staff or contractor. Sensitive country nationals <u>CANNOT</u> host or escort any foreign national visitors or assignees)	Host: Escort(s):
32*	Citizenship of Host	
33*	Host Office Phone Number	
34	Host Office Facsimile Number	

35	Does Host have a clearance?	☐ Yes ☐ No
36*	Authorized Arrival and Authorized Departure Date	Arrival Date: Departure Date:
37*	Meeting Subject	(see 'FACTS Subject Codes' spreadsheet)
38*	Headquarters Departmental Element (HDE) Program Code: (e.g. SC-10, EM-45)	
39*	Justification for Visit/Assignment	
40*	Purpose of Visit	(see 'FACTS Purpose Codes' spreadsheet)
41	Intermittent Access (Check "Yes" checkbox if Foreign National plans on leaving and returning intermittently for days at a time and will not be present continuously for entire period of request)	☐ Yes ☐ No If yes, number of days on-site?
42	Number of Days On-Site	
43*	List Buildings and Rooms to be accessed:	Building Room Type Building Room Type Building Room Type
44	Cost to DOE	
45*	DOE Mission(s) that will be advanced by this Visit/Assignment	
46	Anticipated Benefits to DOE Programs	
47	DOE Contact	Full Name Phone Number
48	Is an Export Control License Required?	☐ Yes ☐ No If in doubt contact the HQ FV&A Team for clarification

49	**Will this Visit or Assignment include transfer of technology? (Technology defined as technical data, skills, know-how, or scientific information. Technology is derived from basic or applied research, development, engineering, technological demonstration, economic and social research, or scientific inquiry into phenomena or technology applications. It may exist as machinery or equipment; it may be recorded, spoken, or represented in a medium for storage of communication; and it may be contained in computer software with scientific and technical applications.)**	☐ **Yes** ☐ **No** **Describe Technology Transfer, or provide reason for no Transfer of Technology (max length of 500 characters):** **If in doubt contact the HQ FV&A Team for clarification**
50*	**Will Visitor/Assignee be granted Computer Access?**	☐ **Yes** ☐ **No** **Is the computer access** ☐ **On-site** ☐ **Off-site** **If yes, please list all computers and software:** **and contact IM-622 at (301) 903-2883 or your organizational Chief Information Officer for further instructions**
Additional comments:		

ATTACHMENT 602-5

Sample Counterintelligence Consultation Memorandum

MEMORANDUM FOR SENIOR COUNTERINTELLIGENCE OFFICER
FORRESTAL COUNTERINTELLIGENCE OFFICE
OFFICE OF INTELLIGENCE AND COUNTERINTELLIGENCE

FROM: SPONSORING ELEMENT (INSERT APPROPRIATE NAME AND TITLE)

SUBJECT: Counterintelligence Consultation

This Counterintelligence Consultation memorandum is submitted to the Office of Counterintelligence in accordance with DOE Order 142.3, change 1, *Unclassified Foreign Visits and Assignments Program*, paragraph 4(g), which states: *In cases where there is insufficient time to complete an indices check before the first day of access, the approval authority may request a counterintelligence consultation in lieu of the completion of the indices check for sensitive country and non-sensitive country nationals*. <u>If the indices are completed in FACTS a consultation memorandum is not needed.</u>

Purpose/Reason for Visit: [A short explanation for the visit]

Example: the purpose of the visit is to meet with Russian representatives on the US/Russian Joint Steering Committee to discuss the plutonium disposition program in Russia.

Discussions: [Time, date, and location of the visit/meeting. Briefly describe the subject(s) of the discussion(s) and their sensitivities. **NOTE: This is an <u>unclassified</u> foreign national visit where classified information may <u>not</u> be discussed**. Indicate any LA or VTR that will be accessed.]

Example: The Steering Committee meeting will be held at 10:30 a.m., May 3, 2005, in Room GA-242, Forrestal. No sensitive subject information will be discussed and no LA or VTR will be accessed by the visitor(s). The attendance of the Russian visitor is essential for maintaining momentum in the plutonium disposition program discussions. This will be the second meeting since the signing of the government-to-government agreement in July 2000 on Technical Cooperation in Plutonium Disposition. There will be observers at the meeting from France, Germany, and Japan.

Visitor Database Entry: [Reason the visitor information could not be entered into FACTS 30 days prior to the visit]

Example: Although requested 45-60 days in advance of the meeting, the names of the Russian representatives were not known 30 days prior to the visit. Visitor information was entered into FACTS on (date). It is not expected that the indices results will be completed prior to the

meeting. This consultation letter is submitted for your review in lieu of the completed indices check(s).

Visitor Information:	[List name, citizenship, place of birth, title, company/institution of visitor(s) and the FACTS ID number for each visitor] **Name:** **Country of Citizenship:** **Place of Birth:** **Employer:** **Title:** **FACTS Request Identification Number:**
Host Concerns:	[Indicate any security or other concerns you may have as host of the visitor(s)]

ATTACHMENT 602-6

Sample Delegation of Approval Authority Memorandum

MEMORANDUM FOR (NAME), DIRECTOR
OFFICE OF HEADQUARTERS SECURITY OPERATIONS
OFFICE OF HEALTH, SAFETY AND SECURITY

FROM: HEAD OF HEADQUARTERS ELEMENT *(INSERT APPROPRIATE NAME AND TITLE)*

SUBJECT: Unclassified Foreign Visit and Assignments

The purpose of this memorandum is to delegate approval authority in accordance with DOE Order 142.3, Change 1, *Unclassified Foreign Visit and Assignment Program*, for unclassified foreign visits and assignments requests by (*enter name of organization*):

(Insert Name), (Insert Title)

These individuals may not further reassign this authority. I understand that I remain responsible for all activities that occur during these visits and assignments.

The below listed individual(s) has/have been designated as Foreign Access Central Tracking System (FACTS) data entry personnel for (enter name of organization):

FACTS Data Entry Personnel - *Enter Employee's Name*,
Organization Code, Room Number, Phone Number, Fax Number, E-mail Address

cc:
Headquarters Foreign Visit & Assignment Team
HSO

ATTACHMENT 602-7

Sample Foreign National Visit or Assignment Approval Request

MEMORANDUM FOR HEAD OF HEADQUARTERS ELEMENT or AUTHORIZED DESIGNEE (INSERT APPROPRIATE NAME AND TITLE)

FROM: SPONSORING ELEMENT (INSERT APPROPRIATE NAME AND TITLE)

SUBJECT: Unclassified Foreign Visit or Assignment Request

DOE Order 142.3, change 1, *Unclassified Foreign Visits and Assignments*, requires that the Head of a Program Office, or their delegated designee, approve all unclassified foreign visits and assignments to HQ. This memorandum is to request your approval of a proposed visit (*or assignment*) to HQ by the foreign national*(s)* identified below. The security plan for this proposed visit (*or assignment*) has been developed and is attached for your approval. *[If a Security Plan is not required omit this last sentence.]*

The following information is submitted:

1. Purpose of Visit/Assignment: [Example: The Office of __ is hosting a meeting to discuss ____.]

2. Facility to be accessed: [Example: DOE Forrestal Building, Room 1G-042]

3. Dates/Times of Visit/Assignment: [Example: March 27 and 28, 2008; 8:30 AM to 5:00 PM]

4. Visitor Information:

   Name:
   Country of Citizenship:
   Employer:
   Title:
   FACTS Visitor Number:
   FACTS Request Identification Number:

5. Required data for the proposed visit (*or assignment*) has been entered into the Foreign Access Central Tracking System (FACTS).

6. The following Subject Matter Experts have been consulted:

   - The HQ Foreign Visit and Assignment Team SME Reviews in Security (OPSEC, TSCM, general) and Export Control/Technology Transfer: Not required for this visit (*or*

assignment) **or** Include a sentence describing the outcome of the SME reviews **or** The results of the SME reviews have been provided in a separate memorandum and are addressed in the Specific Security Plan.

- Office of Intelligence and Counterintelligence, Indices Checks: Not required for this visit *(or assignment)* **or** Indices Checks are being processed. As of this date, no negative information has been provided by the Office of Intelligence and Counterintelligence **or** The results of the indices checks have been provided in a separate memorandum and are addressed in the Specific Security Plan.
- Office of the Chief Information Officer (IM-622) (*or insert your organizational Chief Information Officer*): Not required for this visit (*or assignment*) **or** Computer access has been requested. IM-622 (*or insert your organizational Chief Information Officer)* has reviewed the proposed visit (*or assignment)* and their comments and requirements have been addressed in the Specific Security Plan.

7. Name and Telephone Number of Host:

8. Point of Contact for Visitor/Assignee:

It is recommended that this visit (*or assignment*) and the attached security plan (*if applicable*) be approved. [*Insert Name]* of my staff, is available on [*insert telephone number*] to answer any questions on this proposed request.

APPROVED: _____

DISAPPROVED: _____

DATE: _____

Attachment
Security Plan (*if applicable*)

cc:
Headquarters Foreign Visit & Assignment Team
HSO
Host (*insert name of host)*
Point of Contact (*insert name of point of contact*)

ATTACHMENT 602-8

Sample High-Level Protocol Approval Request

MEMORANDUM FOR RECORD

FROM: SPONSORING ELEMENT (INSERT APPROPRIATE NAME AND TITLE)

SUBJECT: Unclassified High-Level Protocol Foreign Visit Request

I approve the following foreign national(s) to access the DOE Forrestal Building for a 1 day unclassified high-level protocol visit. The security plan for this proposed visit has been developed and approved and is attached. *[If a Security Plan is not required omit this last sentence.]*

The following information is submitted:

1. Purpose of Visit: Must address the protocol nature of the visit

2. Dates/Times of Visit: Example: March 27, 2008; 8:30 AM to 5:00 PM

3. Visitor Information:

   Name of Visitor:
   Date of Birth:
   Place of Birth (City & Country):
   Passport # / Issuing Country / Exp. Date:
   Country of Citizenship:
   Employer and Country Location:
   Title/Position:
   Technology Areas to be discussed (specify):

4. Required data for the proposed visit has been entered into the Foreign Access Central Tracking System (FACTS).

The signature of the host indicated below certifies that:

1) The foreign national visitor is not a citizen of a country on the Terrorist Supporting Countries List;

2) Discussions with the visitor will not involve technologies that are export controlled;

3) Discussions with the visitor will not include sensitive or classified matter relating to nuclear weapons, proliferation, intelligence collection, satellite imagery or signals intelligence technology;

4) The foreign national visitor will not be permitted to operate, use, or service any DOE information systems/equipment; and,

5) The foreign national visitor will be closely escorted at all times while on DOE grounds.

Name of Host: _____ Organization: _____

Signature of Host: _____ Telephone Number: _____

Approving Official:_____
(Signature) (Position) (Date)

Attachment
Specific Security Plan (*if applicable*)

cc:
Headquarters Foreign Visit & Assignment Team
HSO

ATTACHMENT 602-9

Sample Specific Security Plan

MEMORANDUM FOR HEAD OF HEADQUARTERS ELEMENT or AUTHORIZED DESIGNEE (INSERT APPROPRIATE NAME AND TITLE)

FROM: HEADQUARTERS SECURITY OFFICER (INSERT APPROPRIATE NAME, TITLE AND ORGANIZATION)

SUBJECT: Specific Security Plan for Unclassified Foreign National Visit (*or Assignment*)

This Specific Security Plan sets forth the minimum security measures that must be taken to protect DOE security interests during the visit (*assignment*) of a foreign national(*s*) to the (*Insert Office*) at HQ.

This Specific Security Plan is for a (*Insert origin, e.g. Chinese*) foreign national*(s)* from (*identify the designated Sensitive Country).* The foreign national will be meeting with (*Insert Host*) in a *(Insert type of security area)*]. The visitor (*assignee*) will (*will not*) be given access to sensitive unclassified information.

The following minimum security measures must be implemented during the visit:

1. Security Area to be Accessed: *Insert type of area and room location, if applicable, e.g. Limited Area in Room 1G-042, Forrestal Building*

2. Date/Time of Visit: *Insert specifics*

3. Sensitive Subjects to be Discussed: [*None **OR** provide explanation of sensitive subject and the export control/technology transfer issues that have been resolved*]

4. Verification of Visitor (*Assignee*) Status: The identity of the foreign national must be verified by reviewing the visitor's (*assignee's*) passports or other U.S. Citizenship and Immigration Services (USCIS) documents and validating the information in FACTS prior to granting access. The host or a representative from the sponsoring HQ Element, with assistance from the Front Desk Receptionists, will review these identity documents.

   Assignee plans should also read:
   Verification of USCIS documents must be recertified annually for non-sensitive country nationals and semi-annually for sensitive and terrorist country nationals in FACTS.

5. Badging Procedures: A HQ [*Insert type of badge, e.g.: Foreign National, Distinguished Visitor (DV), or VIP*] badge will be issued to the foreign national visitor (*assignee*). The visitor (*assignee*) will need to report to the Forrestal (*Germantown*) Building Visitors

Desk to receive his/her badge and to present USCIS documentation. [*Insert if applicable: A representative from (Insert Element) will meet the visitor (assignee) at the Forrestal Building Visitors Desk to greet the visitor (assignee), act as their escort, and assist with the badging process. The (Insert Element) escort must possess a DOE standard security badge.*]

6. Briefing of Foreign Visitor (*Assignee*): The foreign visitor *(assignee)* will be advised by the escort and host of the following:
   - *Prohibited areas:* The foreign national may not enter any DOE approved LA, VTR, or SCIF. The host or escort also will ensure the foreign national is not permitted access to areas processing classified information.
   - *Proper display of the DOE badge:* The foreign national must wear the issued DOE badge at all times while in HQ. The badge must be displayed above the waist and the front of the badge must be observable.
   - *Prohibited items:* The following items are prohibited in all HQ facilities: any dangerous weapons, explosives, other dangerous instruments or materials likely to produce substantial injury or damage to persons or property, alcoholic beverages and controlled substances.
   - *Controlled items:* Cameras, privately owned radios, tape players, pagers, calculators, compact disc players, electronic toys, cellular telephones, other electronic devices, and computer hardware and software will be prohibited from being introduced into an LA or VTR.
   - *Use of Audio or Video Recording Devices:* The use of cameras and audio or video recording devices by the foreign national is strictly prohibited while at HQ.

7. Escort Procedures: An escort is not required for this visitor (assignee). *Or insert the following if applicable:*

   The *(Insert Element)* escort has completed the mandatory foreign national escort briefing before being assigned as an escort of a foreign national who will enter an LA or VTR, who has access to HQ during Security Hours, or for all High-Level Protocol visits.

   The foreign visitor *(assignee)* will be accompanied at all times by the *(Insert Element)* escort. The escort must ensure that the visitor does not attempt to access any LA or VTR (*if applicable: other than the one identified in paragraph 1, above*), obtain classified or sensitive but unclassified matter or remove DOE property.

8. Computer Access: The foreign visitor *(assignee)* may not be given access to any DOE-owned computer equipment or remote access to any DOE computer system. In addition, the visitor will be prohibited from attaching a personal computer to a DOE network.

   or, *The assignee may be permitted to access to DOE unclassified computer equipment on an as-needed basis. Use has been coordinated with the Office of the Chief Information Officer, IM-622, (or insert the identity of the Element's Chief Information Officer) and a specific computer security plan and procedures have been developed. The assignee may not bring any personally-owned computer hardware or software into any HQ facility.*

9. Security Responsibilities: The *(Insert Element)* host is responsible for implementing this security plan and protecting DOE security interests during the visit (*assignment*) and to ensure that no classified or sensitive unclassified information is provided to the foreign visitor *(assignee)*. A copy of this plan will be provided to the host and any escorts, if applicable.

10. Closeout Information: Within 15 days of the completion of the meeting, the *(Insert Element)* host must send an e-mail to the elements Foreign Access Central Tracking System (FACTS) data entry person confirming that the visit (*assignment*) occurred or did not occur. The FACTS data entry person, in turn, will ensure that required closeout information is entered into FACTS.

It is recommended that this security plan be approved. I am available on (*Insert telephone number*) to answer any questions on this security plan.

APPROVED: _____

DISAPPROVED: _____

DATE: _____

cc: Headquarters Foreign Visit & Assignment Team
Host Name, Element
Escort Name, Element

ATTACHMENT 602-10

Security Reference Document

This reference document should be used in conjunction with Section 602 of the HQFMSP when planning an unclassified foreign visit/assignment to an HQ facility. This document does not apply to foreign visits or assignments involving:

- Access by the foreign national to an LA or VTR
- Discussion of sensitive information
- Discussion of sensitive subjects
- Any request involving a foreign national who was born in, a citizen of, employed by, or represents the government or an institution of a sensitive country or a country that is a state sponsor of terrorism.

For requests that fall within the above parameters, a Specific Security Plan must be developed and followed.

Below are the basic security measures for the protection of DOE classified and sensitive unclassified matter during the visit/assignment of foreign national to HQ. The following minimum security measures are implemented during the visit/assignment:

1. Verification of Identity: A representative from the sponsoring HQ element, with assistance from the protective force receptionists, verifies the visitor/assignee's passport, visa, and USCIS information and validates it in FACTS prior to granting access. Any USCIS information that was not previously received and inputted into FACTS must be provided by the sponsoring HQ element to their FACTS data entry person, and the information must be inputted by the end of the first day of the visit/assignment.

2. Badging Procedures: An HQ foreign national badge is to be issued for this visit/assignment. The visitor/assignee reports to the reception desk to receive his/her badge and must show his/her identification to the receptionist for identity verification.

3. Briefing of Foreign Nationals: The host and/or escorts advise the foreign national of the following:
    - *Proper display of the DOE badge:* The DOE badge must be worn at all times while in HQ and must be displayed above the waist and with the front of the badge facing away from the foreign national.
    - *Prohibited items:* The following items are prohibited in all HQ facilities: dangerous weapons, explosives, other dangerous instruments or materials likely to produce substantial injury or damage to persons or property, alcoholic beverages, and controlled substances.
    - *Use of Audio or Video Recording Devices:* The use of cameras, audio or video recording devices by the foreign national is strictly prohibited while at HQ.

4. Escort Procedures: Escorts are required for all foreign visitors/assignees to a HQ facility during Security Hours (see Section 106, Security Hours). Escorts are also required for all

visitors/assignees entering an LA or VTR and for all High-Level Protocol visits. When an escort is required, the assigned escort must complete the Foreign National Visit and Assignment Escort Briefing prior to escorting any foreign nationals. This briefing needs to be completed only one time and need not be re-submitted for each visit/assignment.

Escorts must be DOE permanently badged U.S. citizens and must remain with the foreign visitor/assignee at all times. The escort ensures that the visitor does not attempt to access any LA or VTR, obtain classified or sensitive but unclassified matter, observe the processing of classified information, or remove DOE property.

5. Access to Sensitive Information: For the purposes of an FV&A to HQ, sensitive information includes OUO, UCNI, ECI, NNPI, PII, Company Proprietary Information, personnel files, and other forms of information related to a person's privacy. Escorts must ensure that the visitor/assignee does not attempt to obtain, copy, or otherwise access sensitive information. This includes preventing the foreign visitor/assignee from accessing desks drawers, filing cabinets, or other containers where such information could be located.

6. Computer Access: Foreign visitors are denied access to any DOE-owned computer equipment or remote access to any DOE computer system. Visitors are prohibited from attaching a personal computer to a DOE network. Use of removable electronic media, to include but not limited to flash drives, CDs, diskettes and mini hard drives, by the visitors or on their behalf is prohibited. When computer access is requested, the Office of the Chief Information Officer, IM-622 (*or insert the identity of the Element's Chief Information Officer*), must be notified. The date of the consultation/notification must be entered in FACTS. A separate computer security plan, provided by IM-622 (*or insert the identity of the Element's Chief Information Officer*), must be followed in addition to all other security requirements.

7. Security Responsibilities: The sponsoring hosts and escorts are responsible for following all security requirements and for protecting DOE security interests during the visit/assignment. The host or escort must ensure that no classified or sensitive unclassified information is provided to the foreign national and that the foreign national is not permitted access to areas processing classified information unless prior arrangements have been made and approval has been granted.

8. Closeout Information: Within 15 days of the completion of the visit/assignment, the sponsoring host must notify his/her FACTS data entry personnel confirming that the visit/assignment did or did not occur. The FACTS data entry personnel ensure that required closeout information is entered into the FACTS.

ATTACHMENT 602-11
Foreign Visits and Assignments Security Requirements Decision Matrix

	Approval Required		Type of Security Plan		FACTS Data Entry Required	Escort Required	Indices Check	Required Subject Matter Expert Reviews			
The Visitor/Assignee:	**S-1**	**Head of Element (or designee)**	**Specific Security Plan**	**Review Security Reference Document**				**Security (includes OPSEC & TSCM)**	**Export Control/ Technology Transfer**	**Office of Intelligence**	**Computer Security**
Will visit S-1	X				X	X					
High-Level Protocol Visit (Forrestal only)		X	X -- when office is in LA or VTR	X -- when office in non-security area	X	X					
Will enter an LA or VTR		X	X		X	X	X	X	X	X	
Will discuss a Sensitive Subject		X	X		X		X	X	X	X	
Will access Sensitive Information		X	X		X			X	X	X	
Will use a computer or access the HQ computer network		X	X		X						X
Is from a State Sponsor of Terrorism	X		X		X		X	X	X	X	
Is from a Sensitive Country		X	X		X		X	X	X	X	
Will do only maintenance, delivery, or vending				X		X					
Will attend a Public Event at HQ		X									
None of the above, Visitor		X		X	X						
None of the above, Assignment		X		X	X			X	X	X	X

ATTACHMENT 602-12

State Sponsor of Terrorism Package

The following information is provided to assist in preparing packages for visits and assignments to DOE facilities by foreign nationals from state sponsors of terrorism. This information is consistent with DOE Order 142.3, change 1, *Unclassified Foreign Visits and Assignments Program*, dated February 28, 2008.

A visit and/or assignment request for a foreign national from a state sponsor of terrorism must be fully documented and entered into FACTS by the hosting site. The requests must have the concurrence of Subject Matter Experts, as well as completed indices checks, prior to being approved by the approval authority for the hosting site. Approval determination will be made based on the extraordinary nature of the potential visit/assignment (i.e. the desired outcome of the visit/assignment by the foreign national would be impossible to achieve through any other means).

Once the DOE facility requesting a visit/assignment for a foreign national from a state sponsor of terrorism has assembled a completed package, they must forward this package to their HQ Program Secretarial Office (PSO). The PSO will then review the package and, if supported, forward it to the Office of Security Assistance (AU-42) for further review by the HQ Management Panel final approval determination by the Secretary of Energy or the cognizant Under Secretary.

Package contents:

1: Approval Request. This document represents the pertinent information that needs to be provided by the DOE facility regarding the foreign national who will be visiting or assigned to the facility, along with the certification of the site approval authority.

2: Subject Matter Expert Certifications

3: Cyber Security Plan (if computer access is requested)

4: Specific Security Plan

5: Copies of Immigrant/Nonimmigrant Status Documentation and Passport (or other government-issued photo identification document if passport not required)

6: Copy of FACTS request

7: Additional/Miscellaneous Information - Optional (Curriculum Vitae, list of publications, other supporting documentation, etc.)

SAMPLE

APPROVAL REQUEST FOR A VISIT/ASSIGNMENT BY A FOREIGN NATIONAL FROM A STATE SPONSOR OF TERRORISM

Date:

To: Director
Office of Security Assistance, AU-42

From: Site Requesting the Visit/Assignments

Subject: Approval of a Foreign National from a Country Identified as a State Sponsor of Terrorism

FACTS REQUEST#:_____
Visitor #_____

_____ Visit
_____ Assignment
_____ Extension of Assignment
(Please Check one)

1. Visitor Name:
2. Start and End Dates:
3. DOE Facility to be Visited/Assigned to:
4. Purpose: (Include Technologies to be accessed and whether or not Sensitive Subjects will be discussed)
5. Justification for Visit/Assignment: (Approval determination will be made based on the extraordinary nature of the potential visit/assignment, i.e. the desired outcome of the visit/assignment by the foreign national would be impossible to achieve through any other means)
6. Benefit and Impact (to DOE): (How will DOE benefit from having this Foreign National at it site?)
7. Site Point of Contact:
8. International Agreement Involved: Y/N (If yes, list agreement)
9. Date of Birth:
   Country of Birth:
   Country of Citizenship:
10. Date of Last Visit to Place of Birth:

11. Country of Current Residence:
12. How Long at Current Residence:
13. Status:
    _____Immigrant Alien
    _____Lawful Permanent Resident
    _____Other

    (Documentation to include INS number)

    Passport Number:
    Passport Expiration date:
    Country of Issuance:

    Status Number:
    Status Expiration date:
    Immigrant/Nonimmigrant Status:

14. Indices Check Completed*****:
    _____Yes _____No

15. Date of Completed IC:
16. Date of IC Expiration:

***If Indices Checks are not completed, packages will not be processed until Indices Checks are completed, and documented, in FACTS. Counterintelligence Consultations will not be accepted in lieu of the completion of indices checks for Terrorist Supporting Country packages.**

17. Current Employer: (Include Name, Address, Phone Number, and Location)
18. Length of Service with current Employer:
19. DOE Host: (Name and Telephone Number)
20. Site Host's Organization and Telephone Number:

Sample

SITE APPROVAL AUTHORITY CERTIFICATION

I certify that I have reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information and technologies. I have reviewed the advice provided by the Subject Matters Experts in Security, Cyber Security, OPSEC, Export Control and Counterintelligence, and have addressed any concerns to the satisfaction of the Subject Matter Expert involved. My determination is consistent with reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

Additionally, I certify that any approval certifies that, in my opinion, the benefits to the Government are greater than the risks associated with the presence of the foreign national and that the legal and policy-related terms and conditions associated with the proposed *Visit/Assignment* have been met. These terms and conditions include, but are not limited to, other activities at this site, visa sponsorship requirements, visa status conditions and requirements, right-to-work requirements, and international agreements.

Requesting Facility:

Approving Official: Title:
Signature: Date:

Sample

SUBJECT MATTER EXPERT CERTIFICATION

Counterintelligence

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

Sample

SUBJECT MATTER EXPERT CERTIFICATION

Security

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

Sample

SUBJECT MATTER EXPERT CERTIFICATION

Export Control

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

Sample

SUBJECT MATTER EXPERT CERTIFICATION

Technology Transfer

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

Sample

SUBJECT MATTER EXPERT CERTIFICATION

OPSEC

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

Sample

SUBJECT MATTER EXPERT CERTIFICATION

Cyber Security

The Subject Matter Expert (SME) has reviewed the request for access approval for *Foreign National Visitor Name*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

John Doe	_____
Name	Signature and Date

SUBJECT MATTER EXPERT CERTIFICATIONS
(Sample – All reviews on one page)

The Subject Matter Expert (SME) states that they have reviewed the request for access approval for *Foreign National Visitor*, FACTS Visitor #11111, Request #AAA1111111111, and considered all the sensitivity factors associated with the requested access to DOE sites, programs, information, and technologies, including building access and surrounding activities. I have provided advice to the approval authority regarding this request, that he/she acknowledged receiving my advice, has addressed any concerns to my satisfaction. My review was consistent with the reasonable standards and practices used to ensure risk to the Government associated with access approval is appropriately identified and evaluated.

Subject Matter Expert Reviews:

Counterintelligence
John Doe _____ _____
Name Signature and Date

Security
Jane Doe _____ _____
Name Signature and Date

Foreign Intelligence
John Doe _____ _____
Name Signature and Date

And etc., for Cyber Security, Export Control, OPSEC and Technology Transfer, as required.

Specific Security Plan
Sample 1

Full Name:

Citizenship:

Place of Birth:

Employer/Affiliation: University of Southern California

FACTS Visitor Number: 111111

FACTS Request Number: AZY2008212432

Dates of Assignment: June 1, 2008 to October 15, 2009

1. References:

A. Thompson National Laboratory Director's Memorandum, Subject: Sensitive Subjects Review dated March 31, 2004.
B. Thompson National Laboratory Procedure 4231, Thompson National Laboratory Procedure for Processing Foreign National Visits and Assignments, dated November 4, 2006.
C. DOE O 142.3, Unclassified Foreign Visits and Assignments Program, dated June 18, 2004.

2. Immigration Status:
Non-immigrant

2a. Passport Information:
Passport Number: J21232121
Issuing Country:
Expiration Date: May 1, 2014

2b. Visa Information:
Visa Number: L1243211234355
Visa Type: F-1 Student Visa
Expiration Date: June 15, 2010

3. Assignment Information:
a. Foreign National Title or Expertise: Doctoral Student
b. On-site Location/Phone Number: Building 94, Electrical Engineering Research, Room 321, phone 555-555-5555

4. Purpose of the Assignment:

____(*Name*)____ is currently a PhD student in the Electrical Engineering Department of the University of Southern California working under the supervision of Professor Susan Jones. Mr. _____ has unique expertise in manipulation and trapping of ultra-small objects such as metallic nanoparticles, polystyrene beads, and cells using the optoelectronic tweezers (OET) method. The goal of the proposed collaboration is to explore the potential of combining OET with "plasmonic" effects for particle trapping and assembly of optoelectronics devices. "Plasmonics" has emerged as an area in the optoelectronics field due to its promise of high-speed information processing using optical fields confined to nanometer length scales. The applications of plasmonics in fields such as optical interconnects, single-molecule imaging, and spectroscopy will prove to be groundbreaking and far-reaching. Because of their extremely small and intricate designs, only recently have plasmonic structures and devices been realized experimentally. The Thompson National Laboratory Electrical Engineering Department was one of the first to design, fabricate, and characterize one class of such devices, plasmonic nanoantennas.

5. Justification

To the best of our knowledge, Mr. _____ is the only individual possessing the skills and ability to use OET to trap plasmonically-active nanoparticles less than 100 nm in diameter – skills required to meeting our scientific goal mentioned above. Mr. _____ will be working under the supervision of Dr. Thomas Smith, head of the Thompson Lab Electrical Engineering Department, to study the potential of plasmonics for trapping and fabrication of optolectronic devices. For example, OET is capable of trapping individual semiconductor and metallic nanowires, which is important since nanowires are, in many ways, ideal fundamental building blocks for these devices. By combining OET with plasmonic nanoantennas, trapping resolution as well as optical characterization of the nanowires can be improved down to the nanometer length scales.

1500 – Nano-technology and Fabrication
3232 – Spectroscopy

6. Sensitive Subjects:
Thompson National Laboratory conducts work and possesses information that require additional security measures beyond that of published fundamental research. There are laws and procedures in place to protect this information, and we are committed to adhering to these requirements. The Sensitive Subjects Review Group provides ongoing oversight related to information or activities requiring additional controls.

7. Initial Verification and Access Procedures (Badging):
The assignee will report to the Thompson National Laboratory Site Access Office for identification and access processing. In accordance with the Thompson National Laboratory Site Security Plan, badges will be issued and worn in areas designated in the plan. Card access will be granted only to those areas authorized with the Local Security Access Manager. Badges for

foreign nationals will have an expiration date that is either the end date of the assignment at Thompson Lab or the visa expiration date, whichever is sooner.

8. Areas to be Accessed:
Building 94, Electrical Engineering Research
Building 95, Electrical Engineering Research
Building 32, Thompson National Laboratory Meeting Facility
Building 2, Cafeteria

9. Additional Security Safeguards:

10. Briefing of Foreign National Assignee:
New Employee Orientation: This briefing includes requirements for Cyber and Physical Security, as well as emergency procedures.

11. Foreign Assignee Escorts and Procedures:
Whatever your site escort procedures are

Specific Security Plan
Sample 2

Full Name:

Citizenship:

Place of Birth:

Employer/Affiliation: University of Southern California

FACTS Visitor Number: 111111

FACTS Request Number: AZY2008212432

Dates of Assignment: June 1, 2008 to October 15, 2009

Sponsoring Department/Division: Electrical Engineering Department

Host Responsible for the Assignment: Thomas Smith

Host Phone Number: 555-555-5555

Description of Assignment: ____*(Name)*_____ is currently a PhD student in the Electrical Engineering Department of the University of Southern California working under the supervision of Professor Susan Jones. Mr. _____ has unique expertise in manipulation and trapping of ultra-small objects such as metallic nanoparticles, polystyrene beads, and cells using the optoelectronic tweezers (OET) method. The goal of the proposed collaboration is to explore the potential of combining OET with "plasmonic" effects for particle trapping and assembly of optoelectronics devices. "Plasmonics" has emerged as an area in the optoelectronics field due to its promise of high-speed information processing using optical fields confined to nanometer length scales. The applications of plasmonics in fields such as optical interconnects, single-molecule imaging, and spectroscopy will prove to be groundbreaking and far-reaching. Because of their extremely small and intricate designs, only recently have plasmonic structures and devices been realized experimentally. The Thompson National Laboratory Electrical Engineering Department was one of the first to design, fabricate, and characterize one class of such devices, plasmonic nanoantennas.

Mr. _____ will be working under the supervision of Dr. Thomas Smith, head of the Thompson Lab Electrical Engineering Department, to study the potential of plasmonics for trapping and fabrication of optolectronic devices. For example, OET is capable of trapping individual semiconductor and metallic nanowires, which is important since nanowires are, in many ways, ideal fundamental building blocks for these devices. By combining OET with plasmonic nanoantennas, trapping resolution as well as optical characterization of the nanowires can be improved down to the nanometer length scales.

Buildings and Rooms to be Accessed:
Building 94, Electrical Engineering Research, Rooms 232, 233, 234, 237
Building 95, Electrical Engineering Research, Rooms 109, 110
In addition, the foreign national may have access to the cafeteria, open meeting rooms, the Research Library and recreational facilities.

The Host identified above will ensure the following:

I. This assignment will involve access only to unclassified, non-sensitive, government information. There will be no access by the foreign national to any security area, including Property Protection Areas, unless specified in this Specific Security Plan. There will be no access to Export Control Information.

II. Any deviations to the planned scope of this assignment that result in an incident of security concern involving credible information that foreign national or an agent of a foreign power is involved will be reported to the Thompson National Laboratory (TNL) Security Office or the Office of Counterintelligence in accordance with current DOE requirements. Security incidents having any association with foreign nationals will be clearly identified and reported on the initial DOE F 471.1.

III. The foreign national will be instructed during the check-in process on the access and security requirements at BNL. The foreign national will be issued a guest badge and vehicle registration, if applicable. The badge will be scanned upon entry at the Main Gate and the badge expiration date will correspond to the expiration date of the foreign national's immigrant/nonimmigrant status or the end date of the assignment, whichever comes first. Computer access will only be allowed to the systems identified in the Cyber Security Plan for nationals of state sponsors of terrorism. Upon termination, all Laboratory credentials, keys, and other issued TNL equipment will be collected by the hosting Department, and the Information Technology Department will be notified to terminate computer access.

IV. Additional Provisions: This is an assignment request for a national of a state sponsor of terrorism. Site access will not be granted until final approval by the Secretary of Energy as been received.

Operational Security Plan

1. Verification
The foreign national's identity and immigrant/nonimmigrant status is verified at the time of arrival.

2. Badging
The foreign national will be issued a photo ID badge, and will be required to possess and display the badge while on the Laboratory site.

3. Transportation on-site
The foreign national will use vehicular and foot modes of transportation.

4. Role of Host
- The Host will ensure that the assignee understands his responsibilities and limitations on the assignment.
- The Host will ensure compliance with required training, including safety.
- The Host will ensure that the assignee is issued a TNL identification badge, and will advise the assignee that it must be worn photo side out above the waist at all times while the assignee is on-site.
- The host will retain information on the assignee's residence, phone number, and person to be notified in the event of emergency.
- The host will ensure the return of the TNL ID badge upon completion of the assignment. The host will advise the assignee as to any restrictions regarding use of communications, telephones, computers, and facsimiles if any exist. There are no areas within the foreign national's assigned buildings identified as sensitive or classified.
- The Host will be vigilant about discussions with foreign nationals that could divulge proprietary details concerning the work to be completed.
- The host will inform employees in the work area about this assignment and remind them to deflect inquiries that attempt to seek information not appropriate to the assignment, to include personal information, other personnel, or government programs. Such inquiries and any close and continuing contact will be reported to the TNL Counterintelligence Officer.

5. Cyber Access
See attached Cyber Security Plan.

6. Role of Escort
The assignee will not require access to any areas requiring an escort during Non-Security Hours. In the event an escort becomes necessary, the host or an appropriate designee will work with the foreign national to ensure the established requirements of an escort are maintained. The assignment will not include access to sensitive facilities, sensitive subjects, LAs or VTRs.

7. Laboratory Security Officers
Laboratory security will be notified when the assignee arrives on-site at TNL, and will be advised of his workstation location.

8. Designation of Specific Buildings/Facilities
Building 94, Electrical Engineering Research
Building 95, Electrical Engineering Research
In addition, the foreign national may have access to the cafeteria, open meeting rooms, the Research Library and recreational facilities

9. Classified Activities
Classified activities will not be accessible to the assignee. There is no need to suspend ongoing classified site activities.

10. Briefing of Foreign National Regarding Rules of Conduct
This briefing is carried out during orientation.

11. Access to Site Outside Normal Business Hours
After normal business hours, the assignee will be granted access to the cafeteria, open meeting rooms, the Research Library and recreational facilities. The assignee must be accompanied by the Host or a designed escort in order to access Buildings 94 and 95 after normal business hours.

12. Briefing of All Personnel Who Will Be Involved with the Assignee
The assignment does not involve a sensitive subject area, and the assignee's building is not a security facility. The Host will inform employees in the work area about this assignment, and will remind them to deflect inquiries that attempt to seek information not appropriate to the assignment, to include personal information, other personnel, or government programs. Such inquiries, and any close and continuing contact, will be report to the TNL Counterintelligence Officer.

Section 603
Foreign Travel

Official or personal travel by DOE Federal or contractor personnel raises potential counterintelligence, security, and or personal welfare concerns. This section identifies some of those concerns and discusses DOE foreign travel requirements and procedures.

The Office of International Travel and Exchange Visitor Program (MA-45) is responsible for managing the process for obtaining DOE approval for DOE HQ employees performing official travel to foreign countries.

IN-20 is responsible for reviewing proposed sensitive travel and assessing the potential threat to the traveler and or to DOE security interests.

HQ Implementation Procedures

Official Foreign Travel:

Any proposed official foreign travel must be approved through normal supervisory channels before travel may commence. The approval process requires the entry of all official travel data into the Department's Foreign Travel Management System (FTMS) and securing country clearance (refer to DOE Order 551.1C, *Official Foreign Travel*, for process and time requirements). The traveler is responsible for ensuring that travel requests are initiated in a timely manner and entered into FTMS. All HQ elements should have FTMS-trained personnel to enter foreign trips into the system. FTMS training can be obtained by contacting the FTMS Program Manager, MA-45.

Official Travel to Sensitive Countries or to Discuss Sensitive Topics:

Sensitive official travel is travel to a foreign country included on the current Sensitive Countries List or travel to a country where sensitive topics will be discussed. A copy of the list may be obtained from IN-20. FTMS automatically notifies IN-20 of the proposed travel, and that office assesses the potential threat to the traveler and to DOE security interests.

Unofficial Foreign Travel by Cleared Employees:

DOE Federal and contractor employees holding a Q or L security clearance are encouraged to report planned personal foreign travel to sensitive countries to their HSO and to review appropriate security and counterintelligence briefing material. The HSO, in turn, refers the traveler to a servicing Counterintelligence Officer for threats or other information useful to the traveler.

Travel to Sensitive Countries by Formerly Cleared DOE Federal and Contractor Employees:

Former DOE Federal and contractor employees who have held a DOE security clearance within the last 5 years may request a defensive counterintelligence briefing from IN-20. The former employee can contact IN-20 through the telephone numbers shown in the Points of Contact subsection, below.

Required Briefings:

All HQ travelers scheduled or proposed for official sensitive travel (sensitive country or sensitive topics involved) must be informed of the security and counterintelligence concerns related to their travel. These travelers are required to consult IN-20 before departure to complete a defensive counterintelligence briefing and may be required to complete a counterintelligence debriefing upon return. IN-20 advises the traveler on their debriefing requirements.

Recommended Briefings:

Although not required, it is recommended that all DOE Federal and contractor employees undertaking official or personal foreign travel refer to the State Department website and review the most current country guidance for their destination. For example, travel warnings, travel alerts, and country specific foreign travel advisories, are accessible through the State Department web page identified at the end of this section. A foreign travel advisory provides valuable advice and enables the traveler to avoid common risks, improve their personal safety, protect sensitive information, and enhance their overall enjoyment of foreign travel. HSOs may refer travelers within their organization to the Foreign Travel Advisory web page for more information about the selected destination.

In addition, any traveler may contact IN-20 for more detailed information about current foreign travel restrictions, warnings, or other matters of security concern.

Points of Contact

For information about the FTMS, call (202) 586-4048.

For Forrestal Counterintelligence Officer support, call (202) 586-1378 or (202) 586-8592.

For Germantown Counterintelligence Officer support, call (301) 903-0434.

Forms/Samples/Graphics

Sensitive Countries List (this document is OUO and available from IN-20)

Helpful Website

http://travel.state.gov/content/travel/english.html

https://in.doe.gov/

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