

Foreign Visits and Assignments Plan

This document describes the Ames Laboratory's plan for the Foreign Visits and Assignments program which implements the requirements of DOE Order 142.3A, dated October 14, 2010. Comments and questions regarding this plan should be directed to the contact person listed below:

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1.0 REVISION/REVIEW LOG

The Chief Operations Officer will formally review this document at least every three years.

<u>Revision Number</u>	<u>Effective Date</u>	<u>Contact Person</u>	<u>Pages Affected</u>	<u>Description of Revision</u>
0	02/01/03	M. Murphy	All	Initial Issue
1	08/01/05	M. Murphy	All	Change to DOE O 142.3
2	08/01/07	M. Murphy	All	Changes to 3 & 6, added 7
3	08/15/11	M. Murphy	All	Changed to O 142.3A, Chg to 2, 3, 5 & 6

2.0 Purpose, Scope and Introduction

This plan outlines the policy and processes that the Ames Laboratory uses in conducting its Unclassified Foreign Visits and Assignments (FV&A) program in fulfillment of DOE O 142.3A.

DOE Order 142.3A contains the requirements of unclassified foreign visits and assignments to DOE facilities including Ames Laboratory (AMES). The Order allows for a graded approach in designing and conducting the FV&A program at the Laboratory. This plan defines a program for allowing unclassified foreign national access to Ames Laboratory facilities, information and technologies by establishing requirements for the following: a) an approval process for foreign national visits and assignments consistent with U.S. and DOE national security and program-specific policies, requirements, and objectives, b) reviews of foreign national access requests to ensure that unauthorized access is denied, and c) a process for documenting and tracking visits and assignments by foreign nationals to the AMES site or involving AMES information or technology. In order to enhance the Laboratory's security and to aid the efforts of CH-Office of Counterintelligence, AMES will enter all foreign visit and assignment information into the Foreign Access Central Tracking System (FACTS).

Currently, nearly all research, administrative and support activities at AMES are limited to fundamental research, where the results will be published for the benefit of all. AMES maintains a small material balance of Category IV special nuclear materials and conducts very limited intermittent research activities with radiological materials. AMES does not conduct classified research: there is no classified or unclassified information requiring control protection in accordance with DOE Directives at AMES. The Laboratory has defined its nuclear materials storage room as its only property protection area; no other security areas are defined.

The Laboratory's plan is built around the premise that a high percentage of the Laboratory's work is not sensitive. Therefore, AMES will develop a basic approach to be used in most cases. This basic approach will also be the foundation for all FV&A actions for hosts without access authorization. Steps will be added to the basic approach when sensitive information is potentially involved with the FV&A action or where the host has an access authorization.

Unnecessarily restricting the flow of foreign collaborations could be detrimental to the free-flow of scientific exchange at AMES that is imperative to the advancement of the Laboratory's science mission.

Therefore, the procedures embedded in this plan are designed to balance the science and security objectives for the Unclassified Foreign Visits and Assignments program at AMES.

3.0 Responsibilities

Responsibilities for implementation of this plan include:

DOE Deputy Secretary or Office of Science Undersecretary – the approval authority for access by Terrorist Country Nationals.

Laboratory Director – the approval authority for all other foreign national visits and assignments. The Laboratory Director may delegate this approval authority to another member of the Executive Council that is a U.S. citizen (currently the Chief Operations Officer).

Host – responsible to arrange the visit, arrange for safe and secure work space, provide oversight of foreign national while on site and develop a specific security plan for those foreign nationals accessing sensitive data. The host is also responsible to update the Foreign Visits and Assignments Point-of-Contact (FV&A POC) with any change in information. Nationals of state sponsors of terrorism countries may not host other foreign nationals.

Foreign Visitor or Assignee – responsible to work within the parameters established by the host and to update the FV&A POC of any changes in information pertaining to their assignment at the Laboratory.

Chief Operations Officer – Responsible for the plan, updates and administration of FV&A program.

FV&A POC – Review paperwork for completeness and enter data into FV&A database (FACTS). MUST be U.S. citizen to access FACTS.

4.0 Exclusions

The following are exclusions to this plan.

- a. Events or activities that are determined to be open to the general public (such as public lectures, community meetings, cultural or entertainment events, or open house events), and that are held in locations determined to be open to the general public by the hosting site approval authority in coordination with subject matter experts (SMEs) in security, export control, technology transfer, and counterintelligence are exempt from this policy. Also, common areas such as hallways, vending machine areas and restrooms are not covered by this plan.
- b. Access by foreign nationals 17 years of age or younger who are involved in non-work-related activities, such as school tours, family days, etc., are not documented in the FACTS.

- c. Unclassified events and activities that occur outside the U.S. or its territories do not have to be documented in FACTS but may require documentation in the Foreign Travel Management System, or may require reporting to counterintelligence.

5.0 Policy Statement

The Ames Laboratory will comply with the Contractor's Requirements Document of DOE Order 142.3A, Unclassified Foreign Visits and Assignments Program, as implemented in a graded approach specific to the site.

6.0 Requirements

6.1 All Foreign Visitors and Assignees

1. All requests for visit or assignment from a foreign national should be documented using form AL 473. Information on all foreign visits and assignments is entered into FACTS. AMES currently does not have a comparable local system from which information for DOE could be obtained.
2. Visitors and assignees report to Iowa State University's International Education Services to verify eligibility for assignment and to provide documentation for entry into Student and Exchange Visitors Information System (SEVIS).
3. Visitors and assignees report to the Ames Laboratory Human Resources Office with sufficient USCIS documentation of immigrant or nonimmigrant status, identity, and citizenship (copies of passport, visa and/or Immigration and Naturalizations Service (INS) information) to verify identity and authorization for visit or assignment.
4. Lawful permanent residents of the U.S. must present their permanent resident card and a government issued photo I.D. (driver's license or passport).
5. AMES identifies those specific items from the Sensitive Subjects List that are relevant to the Laboratory's research and which organizations, facilities and/or individuals are involved in such research, and ensures assignments are compliant.
6. AMES prepares a specific security plan for visits and assignments involving access to sensitive subjects.

6.2 Nationals of State Sponsors of Terrorism

1. In addition to documenting the visit or assignment in FACTS, AMES completes all documentation required by DOE and submits it to the Ames Site Office to obtain the additional approvals of the cognizant Headquarters Undersecretary's Office and the Deputy Secretary prior to granting access to the Laboratory.
2. AMES works with the Chicago Counterintelligence Office (CH-CI) to acquire indices checks on these visitors and assignees.

3. AMES prepares and submits a specific security plan.

6.3 Sensitive Country Nationals

1. AMES documents the visit or assignment in FACTS.
2. AMES works with CH-CI to acquire indices checks on sensitive country assignees.
3. AMES prepares a specific security plan for visits and assignments involving access to sensitive subjects.

6.4 Security Plans

1. The Site Security Plan serves as the general security plan required for visitors and assignees that do not require a specific security plan.
2. A specific security plan is required for any individual accessing sensitive facilities, information or technology or for any visitor or assignee from a state sponsor of terrorism country.

6.5 Miscellaneous

1. Visitors, assignees and hosts should notify the Laboratory's FV&A POC of any changes in information for update into FACTS.
2. Human Resources coordinates work assignments with ISU's International Education Services and the Laboratory's FV&A POC, and will notify the FV&A POC upon termination of the visit or assignment in order to update FACTS.
3. Export Control reviews occur for all research that is not fundamental research and a license for individuals requiring such will be requested from DOC, if required by the Associate Director for Sponsored Research.
4. All hosts of foreign visits must annually complete host training.
5. AMES has approval authority for FV&A requests from non-sensitive and sensitive countries and for permanent resident aliens from state sponsors of terrorism countries.

6.6 Assignment of Approval Authority

1. Approval Authorities must be U.S. citizens.
2. The Laboratory Director is the designated approval authority for the Laboratory.
3. The Laboratory Director may further assign approval authority to a member of the Executive Council. The assignee must be properly trained in the FV&A program and have sufficient knowledge of the AMES FV&A program to be able to act in the best interest of the Laboratory.
4. This plan serves as the required assignment plan as referenced in DOE O 142.3A.
5. Assignment of approval authority is made in writing and cannot be reassigned by the assignee.
6. Notice of assignment must be furnished to the Ames Site Office, and the CH Office of Security.

7.0 Cyber Access

1. The Foreign Visits and Assignments Request Form – AL 473 (Form 10100.002) is used to initially indicate cyber resources are needed by the visitor/assignee.
 - a. “Yes” indicates cyber resources are requested and more specific documentation will be submitted before cyber resources are needed.
 - b. “No” indicates no resources are requested and no more documentation is necessary.
2. If cyber resources are required, Form 48400.002, “Foreign National Access To Cyber Systems” must be completed and submitted to the Information Systems Office before cyber services may be granted.
3. Foreign nationals using cyber resources are required to comply with the Laboratory’s Cyber Security Program Plan.