

Subject: Coordination of Visits, Assignments and Collaborations at PPPL	Effective Date: May 28, 2004	Initiated by: Head, ES&H and Infrastructure Support
	Supersedes: Revision 2 dated, 5/28/03, GEN-025, R0 GEN-026, R0	Approved: Director

Applicability

This procedure applies to visits, assignments, and collaborations, both domestic and foreign that require access to PPPL C & D Sites. Based on security conditions and alerts these requirements may be temporarily superseded or changed by the Laboratory Director or Deputy Director. Section I of this procedure "General Notification and Access Requirements" applies to all visitors and assignees to PPPL, including new hires, temporary employees and subcontractor employees; however, policies and procedures for new hires, temporary employees and subcontractor employees are not included in this procedure and are covered by Human Resources and Procurement policies and procedures.

Introduction

Laboratory policy is to ensure that visitors to PPPL have a clearly defined Host, that they are provided with appropriate information, support and supervision, and that all visits comply with DOE regulations. This procedure defines the requirements that apply to visits and assignments at PPPL and includes specific requirements for scientific collaborations and work-related visits by Foreign Nationals. The Planning & Control Officer or other designated representative of the Project/Department will provide requested assistance to the PPPL Host in implementing this procedure.

The level of documentation and approvals required for a visit to PPPL, as well as the support PPPL can provide to the visitors, can vary depending on a number of factors. Therefore, it is important to begin the notification and approval process as early as possible. This is especially important when Visa applications are required, when project collaboration agreements must be established, and for visitors from sensitive countries.

Documented agreements are required for scientific collaborations and for visits at PPPL that involve funding support. The Planning & Control Officer or other designated representative of the Project/Department will coordinate development of these agreements. The Host must contact these individuals early in the process of arranging collaborative and paid visits and assignments.

This procedure is divided into the following sections:

I. GENERAL NOTIFICATION AND ACCESS REQUIREMENTS FOR ALL VISITS AND ASSIGNMENTS AT PPPL

II. SPECIAL ACCESS AUTHORIZATION REQUIREMENTS

- A. Tours**
- B. Workshops and Conferences**
- C. Foreign Nationals on work-related visits at PPPL**
- D. Visits that Involve Funding Support and Scientific Collaborations at PPPL**

III. COORDINATION OF TRAVEL, HOUSING AND OTHER ARRANGEMENTS FOR COLLABORATORS AND PAID VISITORS

IV. ACCESS TRAINING REQUIREMENTS (escort and training requirements)

V. DEFINITIONS

VI. REFERENCE DOCUMENTS

Procedure

I. GENERAL NOTIFICATION AND ACCESS REQUIREMENTS FOR ALL VISITS AND ASSIGNMENTS AT PPPL

Responsibility

Action

PRIOR TO VISITOR (OR NEW ASSIGNEE) ARRIVING ON SITE

Host

1. Completes and submits a Site Access Notification Form [the web-based form at <http://www-local.pppl.gov/SiteAccess.html> or Attachment 1] at least a day or two before the visitor arrives at PPPL.
2. Notifies the visitors of current PPPL security and access requirements.

This includes the following information: Individuals on-site at PPPL for greater than one week per year must be able to successfully complete General Employee Training (GET) and the written examination. Adult visitors must show a government-issued photo I.D. upon arrival at PPPL (e.g., a passport or a driver's license). Non-U.S. citizens must show a government-issued photo I.D., plus provide the following information: citizenship, date of birth, and place of birth. PPPL security staff retain the right to inspect vehicles and personal packages, such as briefcases, satchels, book bags, and purses.

- Host
3. a. Completes a Card Reader Access Control Request Form (Attachment 4) if visitors require access to restricted areas (see attachment for list of areas).
 - b. Obtains applicable signatures on the Card Reader Access Control Request Form, and forwards form to Site Protection Division. NOTE: Forms are available <http://www-local.pppl.gov/forms.html> or by contacting Site Protection Division.
- Site Protection Division
4. Enters visitor/assignee name and information on Security Visitor Log (Attachment 6).

ARRIVAL OF VISITOR (OR NEW ASSIGNEE)

- C-Site Security Booth 6 Officer
5. a. Verifies that the names of visitors appear on the Security Visitor Log.
 - b. Contacts the Host.
 - c. Provides visitors with temporary badges and visitor orientation sheets and directs the visitors to the location designated by the Host.
- Host
6. Receives the visitors and provides the appropriate level of direction and oversight for the duration of the visit. If the length of the visit extends past one workweek, assures that the individual attends and passes the next scheduled GET training class and receives a picture identification badge. Courses may not be scheduled every week, but Human Resources can make arrangements to provide the course ("voice over" or classroom) as necessary to meet the needs of the projects/departments.

NOTE: D-Site access without an escort is allowed only after authorization from the D-Site Caretaking Manager or authorized designees and successful completion of GET and any other required courses.

For One-day Informal Visits no further notifications or approvals are required. Follow Section IV – Access Training Requirements.

II. SPECIAL ACCESS AUTHORIZATION REQUIREMENTS

A. Tours

- Host
1. Contacts Information Resources and follows procedure PER-006 for arranging and conducting tours.
 2. Completes Section I *General Notification Requirements* of this procedure.

B. Workshops or Conferences

- Host
1. Notifies supervisor of the intent to host a Workshop or Conference.
 2. Completes Section I *General Notification Requirements* of this procedure.
 3. If arranging a workshop or conference for a significant number of people -- designates a receptionist and the location for sign-in of visitors. The sign-in form must be provided to the event receptionist. Short notice tour arrangements must be coordinated with Site Protection and Information Services as soon as possible.

Note: For workshops and conferences, the Host or Designated Event Receptionist obtains signatures of the attendees on the event sign-in form. If individuals' names are not preprinted on the form, simply ensure that all attendees sign in and provide the information listed on the Access Authorization Form.

- Host or Designated
Event Receptionist
4. Obtains signatures of the attendees on the event sign-in form. If individuals' names are not preprinted on the form, simply ensure that all attendees sign in and provide the information listed on the Access Authorization Form.

C. Foreign Nationals on work-related visits at PPPL

Note: This Section is not required for Foreign Nationals attending Tours, Workshops, Conferences, or One-day Informal Visits. This section is required for all other work-related visits and assignments by Foreign Nationals.

<u>Responsibility</u>	<u>Action</u>
Host	<ol style="list-style-type: none"> 1. Notifies Supervisor of the intent to host a Foreign National and obtains concurrence of the Supervisor that the Visit/Assignment supports programmatic objectives. 2. Completes an “Unclassified Foreign National Visit/Assignment Form” (Attachment 3) for Foreign National visitors or assignees. Reviews the completed form with Planning & Control (P&C) Officer, and/or other designated Department/Project representative, and submits to Department Head for approval.
P&C Officer, and/or other designated Department/Project representative	<ol style="list-style-type: none"> 3. Provides guidance to the Host for completing step 2 and reviews form for completeness.
Department Head	<ol style="list-style-type: none"> 4. Reviews the “Unclassified Foreign National Visit/Assignment Form” for completeness and signs approval.
Host	<ol style="list-style-type: none"> 5. Sends the completed form to the Director’s Office (Room LSB 383 MS-37). Sends copies to the Site Protection Division (MS-3), the Travel Office (MS-11) and Human Resources (MS-33). Due to the need to process visa applications and conduct indices checks, it is important that this process begin once a visit is planned.
Director’s Office	<ol style="list-style-type: none"> 6. Enters data from Unclassified Foreign National Visit/Assignment Forms into the DOE FACTS database. 7. Verifies indices check is performed for visitor from a sensitive country. 8. Assists in visa application and assures visa is obtained. 9. Works with the Site Protection Division to processes the visit/assignment request and attains DOE-PSO approvals per Attachment 8 – “Processing Foreign National Visits/Assignments by the PPPL Site Protection Division, the Director’s Office and DOE-PSO”. 10. Notifies the host and the Travel Office that the visit/assignment has been approved or denied.
Host	<ol style="list-style-type: none"> 11. Notifies the visitor/assignee of approval for visit only when informed by Director’s Office or the Site Protection Division that the visit/assignment has been approved.

D. Visits that Involve Funding Support and Scientific Collaborations at PPPL

Documented agreements are required for scientific collaborations and for visits at PPPL that involve funding support. The Planning & Control Officer or other designated representative of the Project/Department will coordinate these agreements. The Host must contact these individuals early in the process of arranging collaborative and paid visits and assignments.

Host

1. Contacts the Planning & Control Officer or other designated representative of the Project/Department early in the process of arranging collaborative and paid visits and assignments. These individuals will determine the level of financial support that can be provided to the visitor consistent with the Human Resources Policy-Laboratory Visitor Expense Reimbursement, and Official DOE/PPPL Exchange Agreements.

P&C Officer or other designated representative of the Project/Department with support from the Host

2. Completes one of the following agreements, as appropriate for the type of visit or collaboration:

- a. When funding support will be provided and the visit is less than 2 weeks:

Completes “Authorization Form For Domestic Visitors” (Attachment 2),

NOTE: Foreign Nationals do not have to complete this “Domestic” form -- they must complete an “Unclassified Foreign National Visit/Assignment Form” (Attachment 3) per Section II.C.

-OR-

- b. For visits, assignments and collaborations of 2 weeks or more per year:

Completes a “Model Visitor Agreement” (Attachment 9) –

[The Model Agreement documents collaboration commitments between PPPL and other institutions. Each visitor must sign Appendix A of the Model Visitor Agreement that lists responsibilities and obligations of the individual under the agreement prior to the visit. See Attachment 9]

3. Obtains approval signatures for the Authorization Form For Domestic Visitors or the Model Visitor Agreement and distributes the completed and approved agreement. The visitor’s signature of the Authorization Form For Domestic Visitors or Appendix A of the Model Visitor Agreement may be obtained upon visitor’s arrival at PPPL.

4. Assures that Foreign Nationals have completed an “Unclassified Foreign National Visit/Assignment Form” per Section II.C and been given approval to access PPPL.
5. Notifies the visitor of approval for visit only when informed by Director’s Office or the Site Protection Division that the visit/assignment has been approved.
6. Completes Section I “General Notification and Access Requirements for All visits and assignments”

III.COORDINATION OF TRAVEL, HOUSING AND OTHER ARRANGEMENTS FOR COLLABORATORS AND PAID VISITORS

PRIOR TO VISITOR ARRIVING ON SITE

P&C Officer or other designated representative of the Project/ Department *with support from the Host*

1. Checks availability of University housing with Human Resources. University housing will be used whenever available. Any exception must be approved by the Deputy Director in writing.
2. Provides Travel Office with travel approval form and information if travel arrangements are required, including notification of receipt of visa, if one is required.

Human Resources

3. Coordinates with the PPPL Host. Ensures completion of any insurance forms needed.

AFTER VISITOR ARRIVES ON SITE

4. Provides GET training and administers a written examination.
NOTE: Anyone who cannot pass the written GET examination will be denied access to PPPL sites.

NOTE: Individuals who successfully completed GET during a previous assignment to PPPL within the last three years do not have to retake the course and can re-obtain their badge if Human Resources notifies Site Protection Division that the training is current and valid.

5. Directs the Assignee to Site Protection Division, providing a brief description of the C-Site layout. Provides Site Protection Division with evidence that the individual successfully completed GET.
6. Schedules or provides other training which is required or requested by the Host (e.g., radiation safety, confined space training, etc.).

Site Protection Division

7. Issues the Assignee a Picture ID Badge that contains the code to allow site access as designated by the Host, and as permitted by the level of training. Enters card reader access information into the computer. Also issues a parking decal.

- | | |
|------------------|--|
| Host | <ul style="list-style-type: none"> 8. Notifies visitors and assignees to return badges upon end of their visit/assignment. 9. Notifies Assignees that a PPPL Termination Check-out List (Attachment 5) must be completed prior to exiting PPPL; initiates filling out the form; and explains the check-out process to the Assignee. |
| Exiting Assignee | <ul style="list-style-type: none"> 10. Completes the PPPL Termination Check-out List and returns the form to Host. 11. Returns Assignee identification badge to the Host or Site Protection Division. |
| Host | <ul style="list-style-type: none"> 12. Returns completed PPPL Termination Check-out List to Human Resources. If the PPPL Termination Check-out List is not completed, notifies Human Resources. 13. Ensures ID badge is returned and notifies Site Protection Division to deactivate card reader access codes for Assignees upon completion of assignments to PPPL. If badges are not returned, notifies Site Protection Division and notifies Procurement to withhold payments. |
| Procurement | <ul style="list-style-type: none"> 14. Withholds final payments until badges are returned and Assignees return completed PPPL Termination Check-out List. |

IV. ACCESS TRAINING REQUIREMENTS

Responsibility

Action

- | | |
|-----------------------|---|
| Human Resources | <ul style="list-style-type: none"> 1. Develops Lab-wide access training (e.g., General Employee Training) and assists the Department or Project in identifying other specific access training requirements. |
| Department or Project | <ul style="list-style-type: none"> 2. Imposes, on a Project basis, additional access requirements, such as NSTX Work Practices, Tritium Work Practices, or training in precautionary information, before entry into an area is allowed. 3. Coordinates changes to access training requirements with Human Resources. 4. Selects individuals to function as authorized escorts. Escorts must be qualified and have the minimum training specified for the areas where escort will be provided. 5. Assures personnel without access authorization are provided an authorized escort, when needed. |

V. DEFINITIONS (as used in this document)

Access Training	Instruction that must be completed prior to allowing an individual unescorted access to certain specified areas within the Laboratory.
Assignment / Assignee Status / Assignee	Long-term visitors at PPPL are designated as having Assignee status or being an Assignee at PPPL if they are expected to be at PPPL <u>longer than 30 days</u> in a period of 12 months.
Escort	An individual authorized access to certain areas within the Laboratory and who can accompany individuals without such authorization into these areas.
Foreign National	Any person who is not a U.S. citizen -- this includes permanent resident aliens. Foreign nationals sponsored for visits or assignments may include, among others: <ol style="list-style-type: none"> (1) Officials or other persons employed by foreign governments or other foreign institutions, who may or may not be involved in cooperation under international agreements; (2) Foreign students at U.S. institutions; (3) Employees of DOE or other U.S. Government agencies or their contractors, of universities, of companies (professional or service staff), or of other institutions; and (4) Prospective employees of DOE or DOE contractors.
Host	The PPPL or DOE employee who is directly responsible for the visitor, assignee or collaborator and for adherence to the requirements of this procedure. This responsibility includes ensuring that the ES&H and training needs of the individual are properly addressed. A sensitive country foreign national cannot be a host of another sensitive country foreign national. <u>A visitor is not permitted to be a host unless he or she is an employee of PPPL, DOE or a DOE contractor.</u> The host of a new hire employee is the supervisor of the new hire. The host of a subcontractor is the Procurement Technical Representative for the subcontract. The host of tour, workshop, or conference attendees is the person initiating (or hosting) the event.
Indices Check	A procedure whereby a request is made to appropriate U.S. Government agencies to determine if information exists on a particular foreign national.
Model Visitor Agreement	A document used by a PPPL Project or Department to prepare a formal written agreement between PPPL and other Institutions when PPPL intends to host visitor(s) from other Institutions. The Business Operations Office has developed templates, or "Model" Visitor Agreements to ensure consistency and compliance with regulations and PPPL policies. The Model agreements are on-line at http://www-local.pppl.gov/forms.html See Attachment 9 for a sample of a Model Visitor Agreement.

Sensitive Country Countries defined and listed by the DOE Office of Nonproliferation and National Security as "Sensitive". A sensitive country is one to which particular attention is given during the review and approval process for Foreign Visits & Assignments. The countries may appear on the list for reasons of national security, nuclear nonproliferation, regional instability, or terrorism support. The DOE list does not necessarily reflect the policies or views of any other agency of the United States, and is subject to periodic updates. Contact the PPPL Site Protection Division for the current list.

VI. REFERENCE DOCUMENTS

- DOE Order 5632.1C *Protection and Control of Safeguards and Security Interests*
- DOE Order 231.1 *Environment, Safety, and Health Reporting Requirements*
- PPPL Procedure TR-001 *Laboratory Training Program*
- PPPL Procedure PER-006 *PPPL Guided Tour Program and Escort Responsibilities*
- PPPL Procurement Policies and Procedures Manual section 2-10.A. (badges for temporary employees) and section 2-10.B. (termination and new hire reports)
- PPPL Personnel Practices Manual section 10.2.8. (wearing badges & radiation badges)
- PPPL Human Resources Manual, Employment Section, Laboratory Visitors Expense Reimbursement
- Human Resources General Instructions for filling out employee data sheet and assigning badge numbers
- PPPL Security Plan
- Site Protection Division Procedure ADM-102 *Access Control*
- 10 CFR Part 835 *Occupational Radiation Protection*
- DOE Prime Contract, Clause I.52, FAR 52.247-63 Preference for U.S. Flag Air Carriers
- DOE Notice N142.1 *Unclassified Foreign Visits and Assignments*
- DOE Order 142.1, *Unclassified Visits and Assignments*
- PPPL Travel Guidelines

ATTACHMENTS:

(NOTE: Forms are available on the PPPL internal World Wide Web (WWW) fileserver or by contacting Site Protection Division.)

1. Typical "Site Access Notification Form for Visits and Assignments to PPPL"
2. Typical "Authorization Form for Domestic Visitors"
3. Typical Unclassified Foreign National Visit/Assignment Form
4. Typical Card Reader ACCESS CONTROL REQUEST FORM
5. PPPL Termination Check-out List
6. PPPL SECURITY VISITOR LOG
7. Specific Minimum Access Training and Escort Requirements
8. Processing Foreign National Visits/Assignments by the PPPL Site Protection Division, the Director's Office and DOE-PSO
9. Sample "Model Visitor Agreement" requirements, guidelines and format
10. Host Flow Chart

NOTE: Forms are available on the PPPL internal web fileserver (www-local.pppl.gov/forms.html)

**PPPL Site Protection Division
Site Access Notification Form for Visits And Assignments to PPPL**

For all visitors and assignees to PPPL (including subcontractors):

- There must be a PPPL Host (The Host is the PPPL manager or supervisor who is the responsible line manager for the visitor or assignee).
- Enter the other information requested below.
- Click the "Send the Form" button when you are finished.

YOUR e-mail ADDRESS: _____

PPPL HOST [The host must be available and reachable when the person arrives at PPPL. If the host is not available and alternative arrangements have not been made with Security, the visitors will be turned away.]

HOST NAME:

HOST PHONE: (609) 243-

HOST PAGER:

VISITOR / ASSIGNEE (add rows for more names as needed)

NAME(s):

CITIZENSHIP*

ORGANIZATION NAME and ADDRESS
(otherwise home address)

*FOREIGN NATIONAL Visits and Assignments (other than tours, conferences and one-day informal visits) require a signed *Unclassified Foreign National Visit/Assignment Request Form*.

ARRIVAL AT PPPL :

Date _____

Time _____

DEPARTURE FROM PPPL: **

Date _____

Time _____

**Domestic visits/assignments of more than one work-week at PPPL also require a signed Authorization Form or Model Visitor Agreement for collaborations. The visitor must attend the first scheduled General Employee Training (GET) course. A picture badge will be issued after successful completion of GET.

PURPOSE OF VISIT (Specify subjects to be discussed):

COMMENTS or other clarifying information:

* This notification must be sent by e-mail or fax to Security, the Director's Office, and Health Physics (if dosimetry is needed) [jbavlish@pppl.gov, dlawson@pppl.gov, booth6@pppl.gov, commcent@pppl.gov, bsobel@pppl.gov, gascione@pppl.gov, amoten@pppl.gov]

See Procedure GEN-008 for more details of site access requirements or contact John Bavlish (Site Protection Division x2899)

**AUTHORIZATION FORM FOR DOMESTIC VISITORS TO THE
PRINCETON PLASMA PHYSICS LABORATORY**

Visitor Full Name: _____ Date of Birth: _____

Place of Birth (city/region and country): _____

[Foreign Nationals must complete procedure Section II.C of GEN-008 and Attachment 3 "UNCLASSIFIED FOREIGN NATIONAL VISIT/ASSIGNMENT FORM" in lieu of this form if they are to be at PPPL over one calendar week.]

Employer, Institution or Organization represented: _____

Employer, Institution or Organization Country: _____

Title or Expertise of Individual: _____

Facilities to be visited: _____

[Check one] Visit ___ Assignment ___ Sensitive Subjects to be reviewed? Yes ___ No ___
[If yes, contact the Site Protection Division.]

Is visit a high level Protocol Visit? Yes ___ No ___

Estimated Start Date _____ Estimated Completion Date _____

Justification of Visit/Assignment including specific activities _____

Host Full Name: _____ Host Citizenship: _____

Host Clearance: Yes ___ No ___ Host Telephone Number: _____

Remarks: _____

Visitor E-Mail (at home institution): _____ Host E-Mail: _____

Visitors Telephone Number (at home institution): _____

Site Access Notification Form Completed (check)

Note – this is available via the web at <http://www-local.pppl.gov/SiteAccess.html>

Official DOE/PPPL Exchange Agreement Visit? Yes _____ No _____

Visit/Assignment supported by _____
(Home Institution, other)

Amount of financial Support _____
(Visitors on full salary from U.S. institutions need only so state)

Source of Support _____
(e.g., DOE contract, etc.)

Expenses to be paid by PPPL: Travel Yes _____ No _____
Lodging* Yes _____ No _____
Subsistence Yes _____ No _____

* Lodging Location/Telephone Number: _____

Cost Center to be charged: _____ CC Manager's signature: _____

Does visitor carry his/her own medical insurance? Yes _____ No _____

Division Head/Date

Foreign Visitor Coordinator/Date

Department Head/Date

Visitor Signature/(upon arrival)

Send completed form to: Barbara Sobel, LSB 383 and Site Protection, Mod VI

Director (Deputy Director)/Date

Manager, PSO (if required)/Date

Cc: J. Bavlish (MS-3)
S. Meade (MS-11)
A. Moten (MS-33)

[To be completed once visit/assignment is completed]

Was visit/assignment fulfilled ? Yes _____ No _____

Actual Start Date _____ Actual Completion Date: _____

UNCLASSIFIED FOREIGN NATIONAL VISIT/ASSIGNMENT FORM

*Denotes Required Information

NAME OF VISITOR/ASSIGNEE	
*First Name _____	*Middle: _____ *Last _____
FORM DETERMINATION INFORMATION	
*Facility to be visited: _____ Is this an off-site meeting? <input type="checkbox"/> Yes <input type="checkbox"/> No	
*Select the Security Area Type at the Facility (choose highest area type in case multiple areas are to be visited): <input type="checkbox"/> Non-Security Area <input type="checkbox"/> Property Protection Area <input type="checkbox"/> Limited Area <input type="checkbox"/> Exclusion Area <input type="checkbox"/> MAA <input type="checkbox"/> Protected Area <input type="checkbox"/> SCIF	
*Country of Employer: _____	
*Will sensitive subjects be discussed? <input type="checkbox"/> Yes <input type="checkbox"/> No	
*Is this an IAP-66 (DS-2019) assignment? <input type="checkbox"/> Yes <input type="checkbox"/> No	
*Does the Host have a clearance? <input type="checkbox"/> Yes <input type="checkbox"/> No	
*Type of Request (check one): <input type="checkbox"/> Visit <input type="checkbox"/> Assignment <input type="checkbox"/> Extension of an Assignment <input type="checkbox"/> High Level Protocol Visit	
BIOGRAPHICAL INFORMATION	
*Gender <input type="checkbox"/> Female <input type="checkbox"/> Male	Is visitor currently in the U.S.? <input type="checkbox"/> Yes <input type="checkbox"/> No
*Permanent Resident Alien: <input type="checkbox"/> Yes <input type="checkbox"/> No	Green Card exp. Date (mm/dd/yy): _____ S.S.# _____
*Country of Citizenship: _____	*Date of Birth (mm/dd/yy): _____
*Country of Birth _____	*City of Birth: _____
Aliases (optional): _____	
EMPLOYER INFORMATION	
Affiliation or Company Info:	
*Institution or Company Name: _____	Phone Number: _____
Street (1) _____	Fax Number: _____
Street (2) _____	E-mail Address: _____
City: _____	State: _____
Zip Code: _____	*Country of Employer: _____
Title of Position and Duties: _____	
Visa Information	
Visa Number: _____	Passport Information
Visa Type: _____	Passport Number: _____
Exp. Date (mm/dd/yy): _____	Country of Issue: _____
	Exp. Date (mm/dd/yy): _____
Place of Work (if different from Employer)	
Company Name: _____	Phone Number: _____
Street (1) _____	Fax Number: _____
Street (2) _____	E-mail Address: _____
City: _____	State: _____
Zip Code: _____	*Country of Employer: _____
Title of Position and Duties: _____	
Interpreter Needed? <input type="checkbox"/> Yes <input type="checkbox"/> No Business Type conducted by Employer: _____	
Educational Background: _____	
Field of Research: _____	
Accompanying Family Information: _____	
Additional Biographical Information:	
Current U.S. Address: _____	City: _____
Street (1) _____	State: _____
Street (2) _____	Zip Code: _____
Permanent Address: _____	City: _____
Street (1) _____	State: _____
Street (2) _____	Zip Code: _____
Remarks: _____	

VISIT/ASSIGNMENT SPECIFIC INFORMATION

Type of Request: Comes from Form Determination
*Off Site Meeting? [] Yes [] No *Is this a High Level Protocol Visit? [] Yes [] No
*Will Sensitive Subjects be discussed? [] Yes [] No *Select Area Type at the Facility: Comes from Form Determination
HOST INFORMATION
*Host's First Name: _____ Middle: _____ *Last: _____
*Host's Citizenship: _____ *Phone: _____
Does Host have a clearance? [] Yes [] No
Visit Information
*Desired Start Date (mm/dd/yy) _____ *Desired End Date (mm/dd/yy): _____
Subject(s): _____
International Agreement Code: _____
HDE Code: _____
*Justification of Visit/Assignment, including specific activities or involvement _____
*Purpose of Visit: _____
Remarks/Comments (or additional information that did not fit above)

Official DOE/PPPL Exchange Agreement Visit? Yes___ No_____

Visit/Assignment supported by _____
(Home Institution, other)

Amount of financial Support _____
(Visitors on full salary from U.S. institutions need only so state)

Source of Support _____
(e.g., DOE contract, etc.)

Expenses to be paid by PPPL: Travel Yes ___ No___
Lodging* Yes ___ No___
Subsistence Yes ___ No___

* Lodging Location/Telephone Number: _____

Cost Center to be charged: _____ CC Manager's signature: _____

Does visitor carry his/her own medical insurance? Yes ___ No___

Division Head/Date Foreign Visitor Coordinator/Date

Department Head/Date Visitor Signature/(upon arrival)

Director (Deputy Director)/Date Manager, PSO (if required)/Date

Send the completed form to: Barbara Sobel (Office of the Director, Room LSB 383 MS-37)
Send copies to: J. Bavlish (Site Protection Division MS-01)
S. Meade (Travel Office MS-11)
A. Moten (Human Resources MS-33)

[] Site Access Notification Form Completed (check) Note - this is available at http://www-local.pppl.gov/SiteAccess.html

[To be completed once visit/assignment is completed]
Was visit/assignment fulfilled? Yes___ No___ Actual Start Date_____ Actual Completion Date:_____

**Princeton Plasma Physics Laboratory
ACCESS CONTROL REQUEST FORM**

Employee Name _____ 199

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Card Number Status Level-(SPD Use)

C-SITE ACCESS

C-Site General Access..... Approved By: _____
Head, Site Protection

C-Site Restricted Areas

<input type="checkbox"/> Motor Generator Bldg.....	Approved By:	_____
		Head, M.G. Section
<input type="checkbox"/> Maintenance Building.....	Approved By:	_____
		Head, Site Protection
<input type="checkbox"/> Receiving #3.....	Approved By:	_____
		Head, Materiel Control
<input type="checkbox"/> HP Calibration Lab.....	Approved By:	_____
		Manager, Health Physics
<input type="checkbox"/> PEARL.....	Approved By:	_____
		Manager, Health Physics
<input type="checkbox"/> PPPLCC & IRM Computer Room	Approved By:	_____
		Computer Program Protection Mgr.
<input type="checkbox"/> Substation Yard.....	Approved By:	_____
		Head, M.G. Section

D-SITE ACCESS

D-Site General Access..... Approved By: _____
Head, Site Protection

D-Site Restricted Access

<input type="checkbox"/> FCPC 1st Floor	Approved By:	_____
		D-Site Caretaking Manager
<input type="checkbox"/> FCPC 2nd Floor CCD Room.....	Approved By:	_____
		D-Site Caretaking Manager
<input type="checkbox"/> MG Bsmt	Approved By:	_____
		Head, M.G. Section
<input type="checkbox"/> Test Cell and Test Cell Bsmt.....	Approved By:	_____
		D-Site Caretaking Manager
<input type="checkbox"/> NSTX Test Cell.....	Approved By:	_____
		D-Site Caretaking Manager
<input type="checkbox"/> Tritium Areas	Approved By:	_____
		D-Site Caretaking Manager
<input type="checkbox"/> Rad Waste Facility	Approved By:	_____
		Head, Materiel & Environmental Services

INSTRUCTIONS

1. Provide employee's name and access card number (embossed on the back of the access card starting w/199
2. Provide General Employee Training (GET) date: _____
3. Check block(s) for area(s) where employee requires access.
4. Obtain specific approval for restricted access
5. Forward completed form to SPD, 2nd Floor, Emergency Services Bldg. _____
Supervisor/Date

PPPL TERMINATION CHECK-OUT LIST

[RETURN COMPLETED FORM TO HUMAN RESOURCES PRIOR TO LAST DAY OF EMPLOYMENT.]

Name _____ SSN _____

Job Title _____ Supervisor _____

Forwarding Address _____

Telephone Number _____ Termination Date _____

Above Named Supervisor: Have exiting individuals return or satisfy the applicable items identified below. Human Resources will not authorize termination benefits or release of final payments until the exiting process has been completed.

REQUIRED SIGN-OFFS			
Item	Location	Applies To	Initial and Date
Keys	Site Protection, Mod VI	Regular PPPL Employees Only	
Benefits Exit Interview	Human Resources		
Employment Exit Interview	Human Resources		
Training Exit/Copy of File	Human Resources		
Property/Passes/Precious Metals	Property Admin., Receiving 3	All Exiting Personnel	
I. D. Badge Returned	Site Protection, Mod VI		
Final Time Sheet	Accounting		
OTHER SIGN-OFFS		Initial and Date Each Entry	
Item	Location	N/A	Item Complete
AMEX Credit Card	Accounting		
Petty Cash / Travel Balance	Accounting		
Pager/Sky Pager/Telephone Calling Card	Facilities Building, Rm 105		
Electronic Equipment	Calibration Lab, S-107		
Computer Accounts	Computer Systems Div., A-127		
Computer Support (Equip/Software)	Help Desk, Comp Resource Ctr		
Radiation Badge	Health Physics		
Information Resource Mgmt	IRM, 2 nd Floor LSB		
Patents/Scientific Notebooks	LSB, B-368		
Library Books	PPPL Library, LSB		
I.M.P.A.C. Visa Card	Procurement		
Manuals Returned	Specify:		

I have returned all items and satisfied all obligations associated with my employment at PPPL.

Exiting Individual _____ Date _____

I verify that all obligations above have been satisfied and termination benefits and/or payment should be released.

Supervisor/Division Head _____ Date _____

Areas of Access Types of Access	General Access	PPPL C-Site Controlled Areas [including TFTR Control Room, PBX-M, machine shops, boiler room, laser areas, and areas with known hazards]	Radiologically Controlled Areas	D-Site [see Note 2] and Areas containing Nuclear Systems [see Note 3] within D-Site [Note 4]
Access of one work week or less per year Students, tours, vendors, deliveries/pickups, etc.	a. Visitor Badge and b. Visitor Orientation Sheet	General Access requirements and a. ESCORT	General Access requirements and a. Radiation Work Permit Requirements and b. Project Authorization* and c. Escort and possibly Radiation Safety Training [see Note 1] and d. Dosimetry and/or Bioassay	General Access requirements and a. Project Authorization* and b. Escort
Access greater than one work week per year PPPL Employees and Assignees, (including Subcontractors acting as PPPL employees)	a. General Employee Training (GET/GERT) or Subcontractor GET and b. Picture ID Badge	General Access requirements and a. ESCORT or Department/Project authorization and qualification for unescorted access.	General Access requirements and a. Radiation Work Permit Requirements and b. Project Authorization* and c. Dosimetry and/or Bioassay and d. Radiation Safety Training or Escort	General Access requirements and a. Project Authorization* and b. Escort or Specific training and authorization and c. D-Site Access Training (recommended)
Off-site emergency response personnel	As directed by PPPL Incident Commander	As directed by PPPL Incident Commander	As directed by PPPL Incident Commander	As directed by PPPL Incident Commander

* **Authorization by the Deputy Director, D-Site Caretaking Manager or authorized designees, Project Manager or authorized designees, and Health Physics, may be required as stipulated by applicable PPPL, Site-specific and Project-specific Procedures.**

Notes:

1. Escort provides safe passage through these areas. Radiation Safety Training may be required.
2. The D-Site boundary is the chain link fence.
3. Visitor access to areas which contain nuclear systems must be arranged in accordance with D-Site procedures.
4. PPPL employees performing engineering, repair, or maintenance work must perform such work under direct supervision of the Accountable Technical Individual (as defined by D-Site Procedure OP-AD-100). In addition, when required, necessary area work permits must be secured prior to start of work, as directed by the governing procedure.

This Attachment lists specific responsibilities of PPPL Site Protection, the Director's Office and DOE-PSO for processing requests for visits by Foreign Nationals to PPPL. The Directors Office may perform implementation steps for the Site Protection Division (SPD), associated with the FACTS database.

The following steps are taken after the Host completes and submits an Unclassified Foreign National Visit/Assignment Form, per Section II.C. of the procedure GEN-008 -

A. Additional Access Requirements for Foreign Nationals from Sensitive Countries

- SPD
1. Uses the information in Attachment 3 and determines if the Visitor/Assignee was born, is a citizen of, or representing a Sensitive Country.
 2. Notifies the DOE-PSO if the individual is determined to be from a Sensitive Country.
 3. Enters the required information into the FACTS.
 4. Open individual documentation record.

- DOE - PSO
5. Reviews request for assignment/visit, and approves/denies FACTS submittal.
 6. Notifies the SPD of approval/denial of assignment.

NOTE: **Access for Sensitive Country Foreign Nationals may be granted prior to receiving notification of completion of an Indices Check, but they cannot be granted access to PPPL facilities (which have been categorized by SPD as a Property Protection Area) until all visa information has been provided.**

- SPD
7. Notifies Directors Office of denial/approval of assignment.

- Director's Office
8. Notifies host and the Travel Office of approval/denial of assignment/visit.
 9. If approved, enters information into approved Foreign Nationals Access List.

- SPD
10. Update ID system to identify date for re-verification of immigration status as follows:
 - Non-Sensitive Country Foreign National – 12 months
 - Sensitive Country Foreign National – 6 months
 11. Monthly conduct checks of open items, assignee status.

B. Additional Access Requirements for Foreign Nationals from State Sponsors of Terrorism

- SPD
1. Uses the information in Attachment 3 to determine if the Assignee/Visitor is from a Terrorist Sponsoring Nation.
 2. Notifies the DOE-PSO and Directors Office if the individual is determined to be from a Terrorist Sponsoring Nation.
 3. Enters the required information into the FACTS.
 4. Open individual documentation record.
- DOE - PSO
5. Reviews request for assignment/visit, and coordinates additional DOE reviews.
 6. Notifies the SPD of disposition.
- SPD
7. Notifies Directors office of disposition of assignee.
- Directors Office
8. Notifies host and Travel Office of approval/denial of assignment/visit.
 9. If approved, enter information into approved Foreign Nationals Access List.
- SPD
10. Updates ID system to identify date for re-verification of immigration status as follows:
Sensitive Country Foreign National – 6 months

C. Involvement of Sensitive Subjects

- SPD
1. Determines if the Assignee/Visitor is from a Sensitive Country and is seeking access to a Sensitive Subject.
 2. Notifies the DOE and Directors Office.
 3. Coordinates the development of a Security Plan (with the PPPL Host) for the assignment/visit and forwards the document to the DOE Approval Authority.
 4. If the assignment is approved by DOE, implements Section A above "Additional Access Requirements for Foreign Nationals from Sensitive Countries".

The Business Operations Office has developed templates, or "Model", Visitor Agreements to ensure consistency and compliance with regulations and PPPL policies. The Model agreements are on-line at <http://www-local.pppl.gov/forms.html>

REQUIREMENTS AND GUIDELINES

The Host should consult with the project/department P&C Officer and/or other designated representative to ensure that PPPL Personnel Practices and Project requirements are met and to determine the level of financial support that can be provided to the visitor consistent with the Human Resources Policy-Laboratory Visitor Expense Reimbursement, and Official DOE/PPPL Exchange Agreements.

The P&C Officer or other individual designated by the project or department will obtain necessary input from the host and prepare the Model Visitor Agreement. Then the P&C Officer or designated individual distributes the Model Visitor Agreement for approval signatures by:

- Travel Office (to ensure compliance with DOE regulations)
- PPPL Host
- Department Head responsible for expenditure
- Head of Site Protection (to ensure security compliance)
- Head, International Collaboration (when visit is covered by a Official DOE/PPPL Foreign Exchange Agreement)
- Laboratory Director

Any changes to the Model Visitor Agreement must be approved by the Head of the Business Operations Department.

After PPPL approvals, the P&C Officer or other individual designated by the project or department attains approval signature of the assigning party (eg., the Institutional Director) and distributes copies of fully executed agreement to each of the signatories and the Office of the Director.

The P&C Officer or other individual designated by the project or department must provide the Travel Office with information if travel arrangements are required, including notification of receipt of visa, if one is required. Notifies the Director's Office and Travel Office immediately of any change in dates of the planned visit.

SAMPLE**Domestic Visitors**

**Agreement between the
Princeton Plasma Physics Laboratory (Operated by Princeton University under its U.S.
Department of Energy Contract No. DE-AC02-76CHO3037)
and NAME OF ASSIGNING INSTITUTION
on the Assignment of NAME OF PARTICIPANT**

WHEREAS, Princeton Plasma Physics Laboratory (hereinafter referred to as the "Receiving Party") and the _____ (hereinafter referred to as the "Assigning Party") have, respectively, been engaged in the _____;

WHEREAS, Princeton Plasma Physics Laboratory and _____ (hereinafter jointly referred to as the "Parties"), recognize the importance and necessity of cooperation between them in the area of _____;

WHEREAS, the Assigning Party desires to assign its employee, _____ (hereinafter referred to as the "Participant"), for Participation in the area of _____;

WHEREAS, the Receiving Party recognizes the necessity of accepting the Participant from the viewpoint of encouraging further cooperative relationship between the Parties;

NOW, THEREFORE, in consideration of the faithful performance of the obligations set forth herein and other good and valuable consideration the receipt and sufficiency of which are hereby acknowledged, the Receiving Party, the Assigning Party and the Participant hereby agree as follows:

ARTICLE 1 PURPOSE

The purpose of this Agreement is to provide the terms and conditions with regard to the assignment of the Participant, an employee of the Assigning Party, to the Receiving Party.

ARTICLE 2 QUALIFICATION OF THE PARTICIPANT

The Assigning Party assures the Receiving Party that the Participant is technically qualified to perform the work specified in Article 3, and shall deliver to the Receiving Party an "Agreement Covering Obligations and Responsibilities of the Participant" which has been signed by the Participant (attached as Appendix A to the Agreement).

ARTICLE 3 SCOPE

IDENTIFY SCOPE OF WORK THAT IS THE SUBJECT OF THE VISIT.

NOTE: State the scope of work and the program, project, or department at PPPL with which this work will be carried out. Provide, if appropriate, a reference to a supporting document on the scope of work from this program, project, or department at PPPL.

ARTICLE 4 SUPERVISION AND CONTROL OF THE PARTICIPANT

- 4.1 The Participant is assigned to the Receiving Party for the period from _____ to _____.
- 4.2 The Participant shall remain an employee of the Assigning Party during such assignment. The Assigning Party shall be responsible for paying all wages, benefits, worker's compensation insurance and any other payments legally required on behalf of the Participant. The Receiving Party's financial obligation, if any, is limited to the items set forth in Article 5. The Receiving Party will exercise administrative control and technical supervision of the Participant's occupational activities during his assignment, but only with the approval of the Assigning Party.
- 4.3 The Participant will be required to observe all rules, regulations and requirements of the Receiving Party, including, but not limited to, safety, health, hours of work and conduct. Leave, time off, and vacations of the Participant shall be in accordance with the policy of the Assigning Party, however, it is expected that such leave, time off and vacation will be integrated with the requirements of the Receiving Party.

4.4 The Receiving Party will provide all reasonable assistance to the Participant to enable the Participant to carry out his research under this Arrangement.

ARTICLE 5 COSTS AND EXPENSES

5.1 The Receiving Party shall provide the following costs and expenses for the Participant :

(1) LIST SPECIFIC ITEMS OF COSTS COVERED BY PPPL.

(2)

(3)

All other costs incurred by the Participant are the responsibility of either the Participant or the Assigning Party.

ARTICLE 6 RESPONSIBILITY AND LIABILITY FOR DAMAGES

6.1 The Receiving Party shall not be responsible for any or all alleged or actual liability to the Participant including, but not limited to, any such alleged or actual liability arising from or connected in any way with bodily injury, sickness, or disease, including death resulting therefrom, and injury to or destruction of property, including the loss of use thereof, unless it is proven that such injury, damage or death was caused or contributed to by the gross negligence or willful misconduct of the Receiving Party or its employees.

6.2 The Receiving Party shall not be responsible for any or all alleged or actual liability, claims, losses, expenses or damages caused by the negligent or willful acts of the Participant, including, but not limited to, any such alleged or actual liability, claims, losses, expenses or damages arising from or connected in any way with, bodily injury, sickness or disease, including death resulting therefrom, and injury to or destruction of property, including the loss of use thereof.

- 6.3 The Receiving Party shall not be responsible for any claims, losses, expenses, or damages (including, but not limited to, those arising from or connected in any way with property damage, personal injury, or death) arising out of, or resulting in any way from, the use or misuse of information, techniques or technology communicated or imparted to the Participant by the Receiving Party, occurring at times when the Participant is not engaged in activities under the supervision of the Receiving Party.
- 6.4 The Assigning Party agrees to indemnify, defend and hold harmless the Receiving Party and/ or any trustee, officer, employee or other representative of the Receiving Party from and against all claims, demands, suits, investigations, judgments, settlements, liabilities and expenses (including reasonable legal fees and expenses of counsel acceptable to the Receiving Party) arising out of or based upon the services provided by the Participant pursuant to this agreement, including but not limited to losses incurred under Section 6.1, 6.2, and 6.3 above, other than for damage arising out of bodily injury to persons or damage to property caused by or resulting from the gross negligence of the Receiving Party, its trustees, officers, agents or employees.
- 6.5 The foregoing provisions shall not be applicable to damages caused by nuclear incident, as defined by the laws of the United States, compensation for which shall be in accordance with such applicable laws.

ARTICLE 7 PATENTS

- 7.1 Whenever any invention or discovery is made or conceived by the Participant in the implementation of this Agreement, the Participant shall promptly furnish the Receiving Party with complete information thereon.
- 7.2 Inventions made or conceived in the course of or under this Agreement resulting from the assignment of the Participant (hereinafter referred to as "Arising

Inventions") shall be owned by the Receiving Party, subject to a royalty-free non-exclusive, irrevocable license to the Assigning Party.

- 7.3 The Assigning Party and its Participant waive any and all claims against the Receiving Party for compensation, royalty, or award as regards any such invention or discovery, patent application or patent, and releases the Receiving Party with respect to any and all such claims.

ARTICLE 8 TECHNICAL DATA AND INFORMATION

- 8.1 The Receiving Party shall grant the Participant access to information within the scope of this Agreement, subject to legal or existing contractual obligations.
- 8.2 All information which is to be delivered to the Assigning Party or to others or to be prepared for publication or public distribution by the Participant in connection with his work under this assignment shall be submitted to the Receiving Party for review and clearance prior to such delivery, publication or distribution.
- 8.3 The participant shall not transmit or disseminate outside of the Receiving Party any information bearing a restrictive designation without approval of the Receiving Party.
- 8.4 The application or use of any information exchanged, transferred or imparted between the Parties under this Agreement shall be the responsibility of the Party receiving it, and the other Party does not warrant the accuracy, completeness or suitability of such information for any particular use or application.

ARTICLE 9 MEDICAL INSURANCE COVERAGE

The Participant must provide proof of medical insurance coverage.

ARTICLE 10 DOCUMENTATION REQUIREMENTS

The Participant must provide sufficient passport, visa, and related information in order that the Receiving Party is able to ensure, that the Participant, if he is a foreign

national, is eligible to work in the United States and has achieved a lawful immigration status. Participant must notify the Receiving Party of any changes in his immigration status during his visit at the facilities of the Receiving Party.

ARTICLE 11 SETTLEMENT OF DISPUTES

Activities under this Agreement shall be subject to the applicable laws and regulations of the State of New Jersey, unless otherwise indicated. Any dispute between the Parties concerning the application or interpretation of this Agreement shall be settled by an amicable effort of the Parties.

ARTICLE 12 MODIFICATION OF AGREEMENT

No agreement or understanding for modifying the terms of this Agreement shall be binding on either Party unless made in writing and signed or acknowledged by the duly authorized personnel or representatives of the Parties.

ARTICLE 13 TERM AND TERMINATION

- 13.1 This Agreement shall enter into force upon signature of the Parties, and shall remain in force for an effective period of the Participant's assignment, and may be amended or extended by mutual agreement in writing by the Parties.
- 13.2 This Agreement may be terminated at the discretion of either Party upon advanced notification in writing by the Party seeking to terminate the Agreement. Such termination shall be without prejudice to the rights which may have accrued under this Agreement to either Party up to the date of such termination.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement.

**FOR Princeton Plasma
Physics Laboratory
(The Receiving Party)**

**NAME OF THE INSTITUTION MAKING
THE ASSIGNMENT
(The Assigning Party)**

Signature

Signature

Robert J. Goldston
Director,
Princeton Plasma Physics Laboratory

NAME AND TITLE OF OFFICIAL

Date: _____

Date: _____

APPENDIX A

**AGREEMENT COVERING OBLIGATIONS AND
RESPONSIBILITIES OF THE PARTICIPANT**

The undersigned, _____, an employee of the Assigning Party (hereinafter referred to as the "Participant") hereby acknowledges receipt of notice that the Assigning Party has entered into an Agreement with the Receiving Party on the assignment of the Participant. The Parties have agreed that the period of Participant's assignment is from _____ to _____, 2003.

The undersigned Participant understands and agrees to the terms and conditions of the aforementioned Agreement which shall be binding on him as far as applicable, in particular:

- A. The Participant shall conform to all security regulations and requirements applicable to the research establishment to which he is assigned.
- B. Whenever any invention or discovery is made or conceived by the Participant in the implementation of this assignment, the Participant shall promptly furnish the Receiving Party with complete information thereon.
- C. The Participant waives any and all claims against the Receiving Party and its contractors for compensation, royalty or award as regards any such invention or discovery, patent application or patent, and releases the Receiving Party and its contractors with respect to any and all such claims under the applicable laws of the United States of America.
- D. All information which is to be delivered to the Assigning Party or to others, or to be prepared for publication or public distribution by the Participant, in connection with his work under this assignment shall be submitted to the Receiving Party for review and clearance prior to such delivery, publication or distribution.

- E. The Participant shall not transmit or disseminate outside of the Receiving Party any information bearing a restrictive designation without approval of the Receiving Party.
- F. During the period of this assignment the Participant will be under the administrative control and technical supervision of the Receiving Party.
- G. During the period of his assignment, the Participant will observe all rules, regulations and requirements of the Receiving Party including, but not limited to safety, health, hours of work and conduct. Leave, time off and vacation shall be in accordance with the policy of the Assigning Party; however, it is expected that such leave, etc., will be integrated with the requirements of the Receiving Party.
- H. The Participant agrees to provide proof of medical insurance coverage.
- I. The Participant agrees to adhere to all administrative requirements associated with the expenses, if any, that will be reimbursed or provided by the Receiving Party pursuant to Article 5.

Signed this _____ day of _____

Signature of Participant

WITNESS:

Host's Flowchart for Visits, Assignments and Collaborations

