

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. ACT-003 Rev 1 Page 1 of 9
	Subject: Foreign Travel	Effective Date: February 17, 2017	Initiated by: Head, Accounting Division
	Supersedes Revision 0, June 29, 2012	Approved: Director	

Management System (Primary): 07.00 Business Operations
Management System Owner: Chief Financial Officer
Management Process: 07.02 Finance and Accounting
Process Owner: Chief Financial Officer
Sub-Process: 07.02.08 Foreign Travel
Sub-Process Owner: Chief Financial Officer
Subject Matter Experts (SMEs): Head, Finance and Accounting, Travel Manager

Applicability

This procedure applies to all Laboratory staff, PPPL visitors and subcontractors when they will be involved with Official Foreign Travel, including travel conducted under Work-For-Others agreements.

Definitions and Acronyms

Official Foreign Travel Official Foreign Travel is approved travel (whether wholly or partly on official business) from the United States (including Alaska, Hawaii, and the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories and possessions of the United States) to a foreign country and return, travel between foreign countries by persons, including foreign nationals, whose salaries or travel expenses or both will ultimately be funded in whole or in part by DOE or NNSA from its appropriations. Official foreign travel also includes travel funded by non-DOE or non-NNSA sources for which the traveler represents the DOE or NNSA or conducts business on behalf of the U. S. Government. Every **traveler** has the responsibility to verify if the country to be visited is sensitive or non sensitive and if the subject of the travel is sensitive or non-sensitive.

Questions regarding sensitive countries or DOE sensitive subjects should be addressed to the Site Protection Division.

FTMS Foreign Travel Management System (FTMS) is a Federal system for tracking, monitoring, reporting, and securing approvals of all foreign travel conducted by Federal and contractor employees. In order for Federal and contractor employees to conduct international travel, the trip request must be entered and approved in FTMS. Prior to final approval within FTMS, country clearance must be obtained from the respective countries to be visited. *Also see DOE Order 551.1D*

Countries	Enter into FTMS & Submit Forms to Travel Office
<u>Non-Sensitive Foreign Travel</u>	30 Days before proposed departure date
<u>Sensitive Foreign Travel</u>	40 Days before proposed departure date ^[1]

**FTMS
Approval**

DOE approval in the FTMS and receipt of Electronic Country Clearance.

Introduction

The purpose of this procedure is to define how the Laboratory implements DOE Order 551.1D, Official Foreign Travel, approved by the Secretary of Energy and incorporated into the prime contract.

PPPL must ensure that it has considered potential benefits, the travel risks, and employee safety regarding travel to all countries. This includes consideration of risks associated with airline carriers, other forms of transportation, and short-term medical evacuation coverage.

Personal leave (such as vacation) in conjunction with official foreign travel may be granted on a two business days to one personal day (2:1) ratio, travel days to and from the business location will be considered business days. There is no distinction for the weekend, the weekend is part of the 2:1 ratio. Round down when there is an odd number of business days (e.g., 9 business days would allow only 4 personal days). Personal leave in conjunction with official foreign travel that exceeds 2:1 ratio may be granted when approved by the respective Deputy Director (Operations or Research).

In the event the approved personal leave precedes official foreign travel, and the traveler does not fulfill the purpose of the official foreign travel, the traveler must reimburse PPPL for any charges incurred on behalf of the approved travel.

All Foreign Travel must comply with the Fly America Act, which is applicable to all travel funded by United States federal government funds and requires the use of "U.S. flag" airlines, with a few exceptions.

References

DOE Order 551.1D *Official Foreign Travel*

PPPL Procedure ACT-011 *Travel Planning and Approval for Conference Attendance*
PPPL Travel Guidelines (<http://travel.pppl.gov/>)

These websites provide information regarding travel and health and safety issues in foreign countries:

US Department of State <http://www.state.gov/travel/>
Center for Disease Control <http://www.cdc.gov/>
World Health Organization <http://www.who.int/ith/en/>

This procedure is organized into the following sections:

- A. Approvals and Preparations for Foreign Travel**
- B. Approval of Exceptions or Late Applications**
- C. Approval of Trip Revisions and Changes**
- D. Travel by Former (Retired) Employees**
- E. Closeout**

Procedure

A. Approvals and Preparations for Foreign Travel

<u>Responsibility</u>	<u>Action</u>
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| Traveler | <ol style="list-style-type: none"> 1. Completes a PPPL Travel Approval Form, available from the Travel website. 2. Completes <i>Request for Approval of Foreign Travel</i>¹, available from the Travel website. |
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NOTE: regarding completion of *Request for Approval of Foreign Travel*: PERSONAL IDENTIFIABLE INFORMATION (PII) NOT TO BE TRANSMITTED BY EMAIL OR STORED DIGITALLY.

- PPPL or DOE Owned Equipment Required for Travel - Travelers must indicate on the Request for Approval of Foreign Travel form if they are taking Laboratory owned equipment on the trip and describe the type of equipment. The PPPL Shipping Office (x3572) must be contacted at least two weeks before when shipping or hand carrying an item to an international location. "Tools of the Trade," such as laptop computers, tablets, cellular phones, smartphones, and required peripherals can be hand carried by preparing an International Property Pass and a Temporary Export Documentation form (<https://process.pppl.gov/>). When completed, the customs form must be printed and kept with the traveler at all times.

¹ Foreign Travel, including travel to Mexico and Canada, always requires advanced approval via the Foreign Travel Management Service (FTMS.)

The PPPL Export Control Office will contact the traveler to coordinate proper export controls, if necessary.

Further information is available from the Export Control Homepage: <https://sites.google.com/a/pppl.gov/export-controls/>

Traveler

3. Submits the Travel Approval Form to an individual with signature authority for the project account being charged, along with the Request for Approval of Foreign Travel Form.

NOTE: Strong justification stating why a travel request was submitted late is required if a travel request is not entered into FTMS and submitted to the Travel Office in time to meet the 30-day or 40-day requirements. The justification must be included on the Request for Approval of Foreign Travel Form.

Individual with
Signature Authority

4. Reviews and approves the Travel Approval Form authorizing the named individual to travel and authorizing cost center funds to be allocated for the travel.
5. Approves the Request for Approval of Foreign Travel Form and ensures information is entered into the online FTMS system by an authorized Department Administrator.

Department
Administrator

6. Enters the Request for Approval of Foreign Travel completely in the FTMS system online and ensures for those attending a conference, agendas and presentations, where applicable, are uploaded into FTMS.
7. Submits the approved Travel Approval Form and Request for Approval of Foreign Travel Form to the Travel Office.

NOTE: Prior to forwarding a trip request to DOE for final approval, PPPL must ensure that it has considered the travel risk and employee safety regarding travel to all countries, including airline carriers and short-term medical evacuation coverage.

Travel Office

8. Ensures that travelers use airlines on DOE's accepted airline carrier list. All requests to travel on an airline that is not on DOE's approved list will require the approval of the Deputy Director for Operations to determine the necessity to travel and the method of travel.
9. Reviews entries and approves all foreign travel requests in the FTMS system on behalf of the Director's Office.

10. Forwards approval requests to DOE, and requests Country Clearance approval from the US embassy in the country to be visited.

11. Informs the traveler when DOE approval and Country Clearance are received. (Airline tickets cannot be purchased prior to receiving FTMS approval.)

Travel Office

12. Advises traveler to contact PPPL contracted travel agency to make travel arrangements as indicated on the Travel Approval Form.

NOTE: If compelling reason exists for incurring travel costs in connection with foreign travel prior to obtaining FTMS approval, an Exception Waiver Form (Attachment 1) will need to be completed by the traveler, approved by the Director’s Office, and submitted to the Travel Office.

Traveler

13. Requests help from the Travel Office to obtain a passport or a visa when required. Using a tourist visa for official business misrepresents the true purpose for which the traveler has entered the country. It is recommended that all visas and passports purchased for Laboratory travel be processed through the PPPL Travel Office.

Travel Office

14. Provides the Occupational Medicine Office (OMO) with an email notification that a traveler will be traveling to foreign destinations, dates of travel, and other relevant comments.

Occupational
Medicine Office
(OMO)

15. Reviews the list of the individuals that will be traveling to foreign destinations; notifies the Traveler of safety and health issues of the country to be visited. Provides the appropriate guidance as determined by the OMO physician.

16. Provides an email to the Travel Office each month that lists the individuals that have been contacted by OMO, their destinations, dates of travel and other relevant comments.

DOE
Counterintelligence
Office

17. Reviews planned foreign travel. For travel to any country where foreign entity monetary support is provided for the travel, assures that there are no ethical conflicts or security issues as a result of accepting the funds. [In this regard, international institutions (i.e., IAEA, NEA, and OECD) are not considered foreign entities, although they are non-DOE sources.]

18. Contacts the Traveler and provides appropriate pre-briefings before the start of travel and debriefings upon the return at the discretion of

DOE counterintelligence when travel is to a sensitive country or involves a sensitive topic.

Export Control Office 19. Contacts the Traveler and provides export control training if required.

Traveler 20. Participates in counterintelligence briefings with the DOE Counterintelligence Office if required.

21. Adheres to the Department of State’s training requirements for overseas travel. More information on required training may be found at <http://www.state.gov/m/fsi/tc/securitytraining/index.htm> and <https://fsitraining.state.gov/Home/Index/8>.

22. Follows any advice and health and safety precautions provided by the OMO.

23. Commences foreign travel per approved and issued itinerary and arrangements after being notified by the Travel Office that FTMS approval has been granted.

NOTE: In no case, may actual travel commence before FTMS approval is received.

B. Approval of Exceptions or Late Submissions

Responsibility

Action

Traveler

1. If compelling reason exists for incurring travel costs in connection with foreign travel prior to obtaining FTMS approval, an Exception Waiver Form (Attachment 1) will need to be completed by the traveler, approved by the Director’s Office, and submitted to the Travel Office.
2. Provides strong justification stating why a travel request was submitted late if a travel request is not entered into FTMS and submitted to the Travel Office in time to meet the 30-day or 40-day requirements for travel to non-sensitive and sensitive countries.

The justification must be included in the Request for Approval of Foreign Travel Form. It may not be possible to secure FTMS approval for trip requests to sensitive countries submitted inside of the 40-day time minimum, and non-sensitive countries submitted inside the 30-day time minimum.

C. Approval of Trip Revisions and Changes

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| Traveler | <ol style="list-style-type: none"> 1. Submits a revised Travel Approval Form and a revised Request for Approval of Foreign Travel Form for re-approval if one or more of the following conditions apply: <ul style="list-style-type: none"> • Addition of one or more countries • Change in travel dates • A new DOE funding source • A total cost amount to DOE has increased by more than 25% • An airfare has changed and is no longer coach • Addition of new Foreign funding source if the trip request did not previously have a Foreign funding source • Substitution of one traveler for another once a trip has been approved • Change in sensitivity from non-sensitive to sensitive |
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Traveler	Notifies the Travel Office of any change, however small or insignificant it might seem, in order to assure that the information in the FTMS is accurate.
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D. Travel by Former (Retired) Employees

The Laboratory will pay for the travel and travel- related costs for former employees who wish to attend a conference or a similar event, and can demonstrate the benefit to PPPL that will result from the proposed travel. For travel to be approved, the following conditions and documentation is required.

<u>Responsibility</u>	<u>Action</u>
Former (Retired) Employee	<ol style="list-style-type: none"> 1. Completes a PPPL Travel Approval Form. 2. Attaches a brief "memo to file" to the Travel Approval Form documenting the following information: <ul style="list-style-type: none"> • Purpose of the travel (i.e. what is the specific objective of the trip); and • Benefits to PPPL that will result from the proposed travel (this should be specific enough to meet the "allocability" criteria for cost allowability). 3. Submits the Travel Approval Form to the Department Head responsible for the cost center to be charged for the expenses.

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| <p>Department Head responsible for the cost center to be charged</p> | <p>4. Approves the Travel Approval Form by signing it.</p> <p>5. Approves the “memo to file” documenting the benefit to PPPL that will result from proposed travel.</p> <p>6. Returns the forms to the Traveler.</p> |
| <p>Former (Retired) Employee</p> | <p>7. Follows all the requirements for foreign travel, as provided in the procedure steps listed in Section A.</p> |
| <p>Head, Accounting and Financial Controls Division</p> | <p>8. Reviews the "memo to file" and ensures that both the cost "allocability" and cost "reasonability" hurdles are achieved before travel commitments are made.</p> |

E. Closeout

The Laboratory will reimburse for travel and travel-related costs after the trip is closed-out per the following steps.

Responsibility

Action

Traveler

1. Completes a PPPL Travel Voucher and Trip Report, obtains required departmental approvals, and submits them to PPPL Accounting and Financial Controls Division within 30 days of trip completion.

For each trip, the traveler (with assistance from Department administrative personnel) must provide:

- The amount claimed for reimbursement (i.e. lodging, meals and incidentals, and other costs for each leg of the trip.) Include all DOE, non-DOE, and foreign funds.
- A trip report (which is also provided to the Counterintelligence Office for all travel to sensitive countries.)
 - Classified information is not to be included in trip reports.
 - Use or receipt of foreign funds must be noted in the trip report.
 - The two parts required for completing the foreign travel trip report are located on the Travel web site.

Accounting and Financial Controls Division

2. Processes Travel Vouchers and reimbursements to Travelers.
 - Travel reimbursement will not be processed until all outstanding trip reports are received from the traveler or approved by the Head of Accounting.

Training (Section Required for All Procedures)

Head of Accounting or Designee 1. Ensures the following training is provided.

Target Audience: Department Heads, Supervisors, P&C Offices, Administrative Support Staff, PPPL staff

Training Method:

- Read only via routine email distribution of each revision of this procedure to PPPL staff by QA/QC.
- Read only training of P&C Officers and Administrative Support Staff via email distribution of major revisions of this procedure by the Head of Accounting.
- Announcement or briefing to Council members on the initial issue, or major revisions, of this procedure by Head of Business Operations or Head of Accounting.

Head of Business Operations or Designee 2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide assistance and guidance in the course development, implementation, tracking, and maintenance.

Records Requirements Specific To This Procedure

Records Custodians must assure records are maintained as follows:

Record Title	Record Custodian	Location	Retention Time
Request for Approval of Official Foreign Travel Form	Travel Office	Travel Office Files	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. <i>Reference: GRS 1.1 (10)</i> <i>Disposition Authority: DAA-GRS-2013-0003-0001</i>
Trip Report	Travel Office	Travel Office Files	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. <i>Reference: GRS 1.1 (10)</i> <i>Disposition Authority: DAA-GRS-2013-0003-0001</i>
Exception Waiver Form	Travel Office	Travel Office Files	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. <i>Reference: GRS 1.1 (10)</i> <i>Disposition Authority: DAA-GRS-2013-0003-0001</i>

Attachments

1. Exception Waiver Form – (check <http://travel.pppl.gov/> for current form)

**Exception Waiver
FTMS/Ticket Issuance/Travel & Visa**

Traveler's Name: _____

Country(ies) to be Visited: _____

Purpose of Travel: _____

Traveler's Specific Role: _____

Other PPPL personnel attending and their roles: _____

Impact to the program if travel does not occur: _____

Travel Risks: _____

Risk Period: _____

PPPL Director's Office Signature

Approval Date