

# TEMPORARY CHANGE REQUEST

TCR NO. ACT-003,R0-001  
(e.g., TCR-ENG-021,R1-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:  
1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or  
2) minor, and do not warrant Department Head review.

Person Requesting Change: Andy Morrison

Department Name: Best Practices Phone Ext: 2841

Document Number: ACT-003 Revision No.: 0

Document Title: Foreign Travel

---

Reason for change: **Correct inadvertent error with responsibility assignment in A.3**

---

**Change description:** (Summarize and attach changed pages, with changes clearly indicated)  
**Change responsibility from "Export Control" to "Traveler" in Step 3 of Section A.**

---

1. Does this TCR significantly alter the intent or scope of the document? YES:     NO: X

2. Does this TCR significantly impact ES&H? YES:     NO: X

If 1 or 2 is YES, Explain why the changes should not be routed for Department Head review:

\_\_\_\_\_

---

**James B. Graham**  
Department/Division Head Approval

2/5/2013  
Date

**John DeLooper**  
Head, Best Practices and Outreach / Designee

2/5/2013  
Date

Release/Effective date of this TCR: 2/5/2013

Incorporate this TCR into next revision of this document? Yes X No

<b>PPPL</b>	<b>PRINCETON PLASMA PHYSICS LABORATORY</b>	<b>PROCEDURE</b>	<b>No. ACT-003 Rev 0 Page 1 of 11</b>
	<b>Subject:</b>  <b>Foreign Travel</b>	<b>Effective Date:</b> <b>June 29, 2012</b>	<b>Initiated by:</b>  Head, Accounting Division
Supersedes  New		<b>Approved:</b>  Director	

**TCR-ACT-003, R0-001**

### 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. This information may be found on the PPPL Travel website [<http://travel.pppl.gov/>].

**FTMS** Foreign Travel Management System (FTMS) is a DOE-wide centralized system for recording, tracking, and securing approvals of all foreign travel conducted by DOE Federal employees and contractors. In order for DOE Federal employees and contractors 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*

**FTMS Administrator** Individual in the Accounting Division who is responsible for the Foreign Travel Management System.

## Introduction

The purpose of this procedure is to define how the Laboratory implements DOE Order O551.1D, 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. All costs for foreign travel that exceeds the 2:1 ratio will be classified as an unallowable DOE contract charge and will not be reimbursed by PPPL.

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/Travel%20Policy%201210.pdf> )

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**ResponsibilityAction

Traveler

1. Completes a PPPL Travel Approval Form, available from the Travel website <http://travel.pppl.gov/>
2. Completes [DOE Form 551.1 Request for Approval of Official Foreign Travel](#)<sup>1</sup> [<http://travel.pppl.gov/FTMS form.doc>]

**NOTES regarding completion of Form 551.1:**

- Health and Safety Issues - Travelers should enter a “yes” response should be entered on line 28 of the form and the Occupational Medicine Office (OMO) will contact the Traveler to ensure awareness of safety and health issues of the country to be visited.
- PPPL of DOE Owned Equipment Required for Travel - Travelers must indicate in box 29 of the form request for approval of foreign travel form if they are taking Laboratory owned equipment on the trip. The shipment or transport of equipment or material to international destinations, including items being hand carried, must comply with United States Export Administration Regulations. Violations of these regulations are subject to civil, criminal, and/or administrative sanctions as described in Part 764.3 of the Export Administration Regulations. With the single exception of laptop computers, the PPPL Shipping Office (x3572) must be contacted at least two weeks before when shipping an item to an international location. An item can be shipped or hand carried to an international destination. Laptop computers can be hand carried by preparing a “PPPL Laptop Computer Customs Form” and a Property Pass which are available from Laboratory P&C officers or Department Administrators. When completed, the customs form must be printed on PPPL letterhead stationery and kept with the traveler at all times.  
The PPPL Export Control Office will contact the traveler to coordinate proper export controls.
- Export Control:  
Export laws and regulations promulgated by the U.S. Department of Commerce, the U.S. Department of State and the U.S. Treasury Department are the basis for restricting use of and access to controlled information, goods, and technology for reasons of national security or protection of trade. In general, the export control regulations may be applicable to several types of activities at PPPL:

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

Traveler  
continued...

- Shipment or hand carrying of controlled tangible items, such as scientific equipment from the United States to a foreign country;
- Transfer (verbal, written, electronic, or visual disclosures) of controlled scientific and technical information to foreign persons or entities. Such transfers may occur either in the U.S. or overseas. If they occur in the U.S., they are known as “deemed exports.” and
- Travel to certain sanctioned or embargoed countries for purposes of teaching or research.

Export control must be considered when developing research projects that involve foreign institutions, collaborators or students, such as:

- International collaborations,
  - Loaning equipment to foreign institutions and universities,
  - Work for Others (WFO), such as consulting,
  - Cooperative Research and Development Agreements (CRADA), and Hosting foreign visitors at PPPL.
- The PPPL Office of Export Control has access (online or hardcopy) to all information entered into the Foreign Travel management System (FTMS) by a person traveling to a country outside of the continental United States. The process includes a review of a series of “Yes’ or “No” questions answered by the traveler on the FTMS form addressing the issues of visiting DOE-designated Sensitive Countries, discussing DOE Sensitive Subjects or sharing export controlled information. The Office of Export Control reviews each form to determine whether additional action is required. The specific questions that will be reviewed are described as follows:
    - Will you be interacting with anyone from a DOE-designated Sensitive country?
    - Will any part of the trip discuss sensitive subjects as defined by DOE’s Sensitive Subject List?
    - Will any part of the trip involve information that is subject to US Export Control restrictions?

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

Further information is available from the Export Control Homepage:  
<http://material-control.pppl.gov/ECWeb/EXPORT%20CONTROL.htm>

- Work for Others - All official foreign travel conducted under Work-For-Others agreements will be entered into the FTMS. If the work or project to be conducted relates to a DOE program, then a point of contact should be noted on the Request for Approval of Official Foreign Travel Form.

Traveler 3. Submits the Travel Approval Form to an individual with signature authority for the project account being charged for approval, along with the Request for Approval of Official 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 Official Foreign Travel Form and ensures information is entered into the online FTMS system by an authorized Department Administrator or FTMS Administrator.

[NOTE: For travel to conferences, the traveler must submit the conference agenda and presentations, where applicable, must also be uploaded into FTMS.]

Department Administrator Or P&C Officer 6. Submits the approved Travel Approval Form and Request for Approval of Official Foreign Travel Form to the Travel Office per the following schedule:

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

NOTE: Strong justification stating why a travel request was submitted late is required if a travel requests 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 line 26 of the Foreign Travel Approval form or by email with the approval of the applicable Department Head.

**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.**

FTMS Administrator 7. Requests the Director’s Office to approve all foreign travel requests in the FTMS system.

8. For travel to non-sensitive countries, requests Country clearance approval from embassies of host countries.

- |                       |  |
|-----------------------|--|
| Travel Office         | <p>9. For travel requests that include trips to more than one country, ensures that travelers use airlines on DOE’s accepted airline carrier list, available within the FTMS. 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. This requirement will apply on the traveler’s second destination when leaving the U.S. and on the first destination when engaging in intercontinental travel.</p> <p>10. Reviews the appropriate State Department websites to determine if there are “hot issues” before the start of travel. The traveler’s Department Head and the Deputy Director of Operations will be required to approve all travel to countries that are determined by the Travel Office and OMO to have Situations that potentially represent a risk to the traveler’s health and/or physical Safety.</p> |
| Director’s Office     | <p>11. For travel to <u>non-sensitive</u> countries, reviews and approves travel requests in FTMS and notifies FTMS Administrator.</p>   |
| FTMS<br>Administrator | <p>12. For travel to <u>sensitive</u> countries, forwards approval requests to DOE. Informs PPPL Travel Office when DOE and country clearance approvals are received.</p>  |
| Travel Office         | <p>13. For travel to <u>sensitive</u> countries, ensures that approvals have been received from the host Country, DOE, and the Director’s Office and then commences making travel arrangements. (Airline tickets cannot be purchased prior to receiving Country clearance for travel to sensitive countries.)</p> <p style="text-align: center;"><b>- OR -</b></p> <p>For travel to <u>non-sensitive</u> countries, commences making travel arrangements after receiving PPPL Director’s Office approval.</p>  |
| FTMS<br>Administrator | <p>14. FTMS System Notifies the Traveler when the travel approvals are received from the Director’s Office, DOE, and host Country, as applicable.</p>  |
| Travel Office         | <p>15. Processes the Travel Approval Form and makes travel arrangements as indicated on the form and in conjunction with the traveler; and provides the traveler with travel arrangement details.</p>  |
| Traveler              | <p>16. Requests help from the Travel Office, obtains a passport or a visa when required. It is a “violation of sovereignty” to use a tourist visa when traveling in an official capacity. It misrepresents the true purpose for</p>  |

**TCR-ACT-003, R0-001**

which the traveler has entered the country. This can have a serious and adverse effect on our reciprocal relations with foreign countries and is strongly discouraged by the U.S. Department of State. It is recommended that all visas and passports purchased for Laboratory travel be processed through the PPPL Travel Office.

- |  |  |
|--|--|
| FTMS<br>Administrator                    | 17. 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<br>Medicine Office<br>(OMO) | 18. Reviews the list of the individuals that will be traveling to foreign destinations; reviews the appropriate State Department websites to determine if there are “hot issues” before the start of travel; and notifies the Travelers of safety and health issues of the country to be visited. Provides the appropriate guidance as determined by the OMO physician. OMO provides a chart to the Travel Office each month that lists the individuals that have contacted OMO, their destination, dates of travel and other relevant comments. |
| FTMS<br>Administrator                    | 19. Provides the DOE Counterintelligence Office with a monthly list of the individuals that will be traveling to foreign Countries. The list also provides dates of travel, and cities to be visited.  |
| DOE<br>Counterintelligence<br>Office     | 20. 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.]  |
|  | 21. Contacts the Traveler and provides appropriate pre-briefings before the start of travel and debriefings upon the return, and at the discretion of DOE counterintelligence when travel is to a sensitive country or involves a sensitive topic.   |
| Export Control<br>Office                 | 22. Contacts the Traveler and provides export control training.  |
| Traveler                                 | 23. Completes export control training prior to travel and completes annual online refresher training.  |
|  | 24. Participates in counterintelligence briefings with the DOE Counterintelligence Office.   |

PRINCETON PLASMA PHYSICS LABORATORY	<b>PROCEDURE</b>	No. ACT-003 Rev 0 Page 8 of 11
--	------------------	-----------------------------------

- Traveler
25. For foreign travel of longer than 30 consecutive days, travelers need to complete “Serving Abroad for Families & Employees (S.A.F.E) training” offered by the U.S. Government. The S.A.F.E. training includes two courses: “Security Overseas Seminar” and “Introduction to Working in an Embassy. S.A.F.E. training is available at:  
[https://ftms.doe.gov/SAFE\\_login.cfm](https://ftms.doe.gov/SAFE_login.cfm)
  26. For travel to Iraq, Afghanistan, Pakistan, Yemen, and parts of Mexico (Tijuana, Nogales, Ciudad Juarez, Nuevo Laredo, Matamoros, and Monterrey) for more than 30 days or Sudan for more than 60 days: completes the “Foreign Affairs Counter-Threat (FACT) Course” offered by the U.S. Department of State on-site at the Department of State Foreign Service Institute, Washington, D.C. Due to political climates, the current list of countries may be adjusted by the Department of State. More information can be found at:  
<https://crs.state.gov/Pages/OT-610.aspx>
  27. Follows any advice and health and safety precautions provided by the OMO.
  28. Commences foreign travel per approved and issued itinerary and arrangements after being notified by the FTMS Administrator that host Country approval has been granted.

**[NOTE: In no case, may actual travel commence before host Country approval is received.]**

**B. Approval of Exceptions or Late Applications**

**Responsibility      Action**

- Traveler
1. Provides strong justification stating why a travel request was submitted late, if a travel requests 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 on line 26 of the foreign travel approval form or by email with the approval of the applicable department head along with the other required documentation. It may not be possible to ensure host Country clearance for trip requests to sensitive countries submitted inside of the 40-day time Minimum. Exception travel to non-sensitive countries submitted inside the 30-day time minimum requires local (Director’s Office) approval.

**C. Approval of Trip Revisions and Changes**

Traveler

1. Submits a revised Travel Approval Form and a revised Request for Approval of Official Foreign Travel form for re-approval if one or more of the following conditions apply:
  - Any Date change on the itinerary
  - Addition of one or more countries
  - Substitution of one traveler for another once a trip has been approved
  - Change in sensitivity from non-sensitive to sensitive.

Email notification must be received prior to making any changes on return travel.

Traveler

2. 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.

**NOTE:** If a revised foreign trip request is submitted inside of the 30- or 40-day time frame, it will be considered to be a travel “exception” and will require justification on the Exception Waiver Form (Attachment 1.) to be completed by the traveler and submitted to the Travel Office and approved by the applicable Department Head.

**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 when the following conditions and documentation requirements are met.

**Responsibility**

**Action**

Former (Retired) Employee

1. Complete a PPPL Travel Approval Form and follow the process steps in Section A.
2. Submit the Travel Approval Form to the Department Head responsible for the cost center to be charged for the expenses.

Department Head responsible for the cost center to be charged

3. Attach a brief "memo to file" to the Travel Approval Form documenting the following information:
  - Purpose of the travel (i.e. what is the specific objective of the trip); and
  - Benefits to PPPL that will result from the proposed engagement (this should be specific enough to meet the "allocability" criteria for cost allowability).

**TCR-ACT-003, R0-001**

- |   |  |
|---|--|
| Department Head responsible for the cost center to be charged | 4. Approve the Travel Approval Form by signing it, and return the form and “memo to file” to the Traveler.   |
| Former (Retired) Employee                                     | 5. Submit the approved PPPL Travel Approval Form to the PPPL Travel Office before any travel arrangements are made.<br><br>6. Follow all the requirements for foreign travel, as provided in the procedure steps listed in the above sections. |
| Manager, Accounting and Financial Controls Division           | 7. Review the "memo to file" and ensure that both the cost "allocability" and cost "reasonability" hurdles are achieved before travel commitments are made.  |
| Department Head responsible for the cost center to be charged | 8. Ensure that a completed and signed Travel Voucher is submitted to the PPPPL Accounting and Financial Controls Division at the conclusion of the trip.   |

**E. Closeout**

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

**Responsibility**

**Action**

**Traveler**

1. Completes a PPPL Travel Voucher, obtains required department approvals, and submits it to PPPL Accounting.

**Accounting**

2. Processes Travel Vouchers and reimbursements to Travelers.
3. Submits required documentation to complete close out in FTMS within 40 calendar days after return to duty.

For each trip, the traveler (with assistance from Department administrative personnel or the Travel Office) must enter:

- The amount claimed for reimbursement (i.e. voucher, for 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.)

**TCR-ACT-003, R0-001**

- Classified information is not to be included in trip reports.
- The two parts required for completing the foreign travel trip report are located on the Travel web site.
- Travelers must comply with trip report requirements for one trip before a subsequent foreign trip is authorized or approved.
- Foreign travel will be denied until all outstanding trip reports are received from the traveler or approved by the Head of Accounting.

- FTMS Administrator
4. Provides a report to the DOE Counterintelligence Office and PPPL Office of Export Control at the beginning of each month listing all foreign trips taken by PPPL travelers. The report contains the following information:
    - FTMS trip number
    - Traveler's name
    - Dates of travel
    - Destination for each leg of the trip.

**Attachments**

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

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

Traveler's Name: \_\_\_\_\_

Country 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