

U.S. DEPARTMENT OF ENERGY
**REQUEST FOR UNCLASSIFIED
FOREIGN NATIONAL ACCESS**

**COVER SHEET
FOR
NETL FORM 142.1-1**

PRIVACY ACT STATEMENT – Collection of the information is authorized pursuant to Section 145 of the Atomic Energy Act of 1954, as amended (PL 83-703, 42 USC 2165). The primary purpose of the requested information is to determine unclassified access to facilities operated by the Department of Energy (DOE) or its contractors. Access to the information collected may be provided to appropriate Federal agencies for law enforcement purposes. Failure to provide the information may result in denial of access to DOE or contractor facilities and their personnel.

DOCUMENT/FORM attached contains Official Use Only (OUO) information only when completed.

INSTRUCTIONS FOR A COMPLETED NETL F 142.1-1

1. Utilize this OUO Cover Sheet when transmitting a completed page 2 of this document/form, NETL F 142.1-1.
2. When separated from a completed page 2, the remaining pages of this document/form are not considered OUO.
3. As a custodian, handle, transmit, and protect the completed document/form as Official Use Only (OUO) information in accordance with NETL Procedure 471.3-00.01, Identifying and Protecting Official Use Only Information.
4. Return the completed document/form to any NETL UFNVA team member utilizing the provided OUO Cover Sheet.
5. This OUO Cover Sheet is not required for an Open to the Public Event exemption request. (See Section J, page 7.)
6. If you have any questions concerning a Request For Unclassified Foreign National Access, contact the UFNVA Support Specialist or the NETL UFNVA Manager.

OFFICIAL USE ONLY

May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category: Exemption Number 6, Personal Privacy.

Department of Energy review required before public release.

Name/Org: K. Witte/NETL/OIO (700) Date: 13 November 2013

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INTRODUCTION – Once completed and saved, entries on page 2 of this document/form (NETL F 142.1-1) are considered Official Use Only (OUO) information subject to the **PRIVACY ACT**. This document/form is to be initiated by an NETL or NETL site-support contract employee officially designated as host or alternate host of a foreign national (FN) and is required for all access periods regardless of country of origin. Information on the completed document/form will be used during the NETL FN access request, review, and approval process. For all Open to the Public Event exemption requests, see Section J, page 7. If requesting Section A – Personal Data information directly from the FN, use or transmit NETL F 142.1-1A and the accompanying OUO Cover Sheet instead. See Section K, page 7. **DO NOT** accept or transmit either completed form without an OUO Cover Sheet.

Start Date (MM/DD/YYYY)		End Date (MM/DD/YYYY)		Date Request Submitted (MM/DD/YYYY)	
Open to the Public Event Name					
Visitor Number (DOE Use Only)			Request Number (DOE Use Only)		
SECTION A – PERSONAL DATA					
1a. Name of Foreign National – Last, First, Middle (See Section H)		1b. Alias (If Used)	2. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female		3. Date of Birth (MM/DD/YYYY) (See Section H)
4. Place of Birth (City, Country)			5. Citizenship (List all countries)		
6a. Lawful Permanent Resident (LPR)? <input type="checkbox"/> Yes <input type="checkbox"/> No	7a. Visa Type	8a. Passport Number		9. Social Security Account Number (SSAN) (See Section H)	
6b. LPR Card (I-551)	7b. Visa Number/Control Number	8b. Passport Country of Issue		10. List other Identification Documentation (See Section H)	
6c. LPR Card (I-551) Expiration Date (MM/DD/YYYY)	7c. Visa Expiration Date (MM/DD/YYYY)	8c. Passport Date of Issue (MM/DD/YYYY)			
7c. Visa Extension Date (DOE Use Only)	8d. Passport Expiration Date (MM/DD/YYYY)	Passport Extension Date (DOE Use Only)			
11a. Name and Address of Employer at Start of Access Period			11b. Name and Address of Place of Work (If different from 11a.)		
Name			Name		
Street			Street		
City		State/Province	City		State/Province
Zip/Postal Code		Country	Zip/Postal Code		Country
12. Employment Title/Position, or Description of Duties during Access Period					
13. Employer Type of Business or Organization (e.g., Government, company, laboratory, university, etc.)					
14. Work Telephone and Facsimile (Fax) Number					
15. Cell Telephone Number/Other Telephone Number					
16. Email Address(es)					
17. Educational Background (F1 or J1 Visa holders only). Include university/college training with degrees and month/year conferred. (See Section H)					
18. Field of Research (List topics)					

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SECTION B – ACCESS PERIOD DATA

19a. This Access Request is for (check all that apply) (See Section H) <ul style="list-style-type: none"> <input type="checkbox"/> 30 Calendar Days or less (FN Visit) <input type="checkbox"/> Greater than 30 Calendar Days (FN Assignment) <input type="checkbox"/> On-Site <input type="checkbox"/> Off-Site <input type="checkbox"/> Both On-Site and Off-Site <input type="checkbox"/> Extension of previous Access Period > 30 Calendar Days <input type="checkbox"/> RUA <input type="checkbox"/> ORISE <input type="checkbox"/> National Research Council <input type="checkbox"/> Full-time, Site-Support Contractor Employment <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Day Care <input type="checkbox"/> Event Management (Conference or meeting) <input type="checkbox"/> Peer Review <input type="checkbox"/> Contact Only (Email, telephonically, call-in, etc.) 19b. <input type="checkbox"/> Open to the Public Event Exemption Request (See Section J)	Actual Dates of Access (DOE Use Only) Start: _____ End: _____ End Date Extensions: _____ _____ _____ _____
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20. Access Purpose (See Section H)

21. Specific Subject Area or NETL-Sponsored Event (See Section H)

22. Justification and Purpose of Access plus Expected Outcome (See Section H)

23. Does This Access Require Cyber Access to DOE Systems or a Personal Laptop On-Site? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, see Section H.	24. Actual or Estimated Cost to DOE (See Section H)
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25a. Name of DOE Contact, Division, and Office Symbol (See Section H)	25b. DOE Contact Telephone Number
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SECTION C – HOST/ALTERNATE HOST INFORMATION

26a. Name of Host, Division, and Office Symbol (See Section H)	26b. Host Telephone Number
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26c. Is Host a DOE L or Q Badge Holder? <input type="checkbox"/> Yes <input type="checkbox"/> No	26d. Is Host a U.S. Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No
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I understand my responsibilities for hosting Foreign Nationals at the National Energy Technology Laboratory to include completion of the Close-Out Report For Foreign National (FN) Access. See Section L, page 7. I have also completed the required training as prescribed in the NETL 142.3 series of directives. See Section I – General Host Information, page 7.

Host (or Open to the Public Event POC) (See Section J)	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Alternate Host	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Alternate Host	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Alternate Host	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Alternate Host	Title/Organization
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Signature	Date (MM/DD/YYYY)
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SECTION D - APPROVALS AND CONCURRENCES

Immediate Supervisor of Host (or Open to the Public Event POC)	Title/Organization
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Signature	Date (MM/DD/YYYY)
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DOE Contact	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Division Director	Title/Organization
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Signature	Date (MM/DD/YYYY)
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Office Director	Title/Organization
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Signature	Date (MM/DD/YYYY)
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SME Review (Initials/Date)				
Cyber _____	Export Control _____	Security _____	Tech Transfer _____	UFNV&A Manager _____

NETL Approval Authority	Title/Organization
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Signature	Date (MM/DD/YYYY)
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EXTENSION APPROVAL

NETL Approval Authority	Title/Organization
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Signature	Date (MM/DD/YYYY)
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OPEN TO THE PUBLIC EVENT EXEMPTION APPROVAL

NETL Approval Authority	Title/Organization
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Signature	Date (MM/DD/YYYY)
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SECTION E - NOTES/REMARKS

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SECTION F - SITE SECURITY PLAN AND BADGING DATA

The NETL host is responsible to ensure the foreign national understands the security-related restrictions of their access and to implement the conditions of this Site Security Plan. The NETL host and alternate host signatures (See Section C – Host/Alternate Host Information) indicate that they understand their responsibilities and agree with the conditions of the Site Security Plan as approved. See Section I – General Host Information.

27. Will there be Interaction with Individuals that hold a DOE Access Authorization (L or Q Badge)? Yes No If Yes, list names.

28. Indicate potential exposure to Official Use Only (OUO) information (i.e., protected, export controlled, proprietary, etc.), and precautions (measures) taken (or to be taken) to prevent the inadvertent release or exposure to such information.

29. List planned visits to other Government or industrial organizations, etc., with purpose.

30. Is the FN Assignment for Intermittent Access Periods? Yes No

31. Estimated Total Number of Days with NETL Site Access (See Section H)

32. Primary Location (See Section H)

33a. NETL Site (See Section H)	33b. Building Number (See Section H)	33c. Room Number	33d. Times/Days (See Section H) (Select from dropdown box or if alternate times are needed, type in space and provide justification in Section E – Notes/Remarks)

SECTION G – EXPORT CONTROL AND TECHNOLOGY TRANSFER DATA

Complete Section G only for other than Lawful Permanent Resident (LPR) individuals. See Block 6a.

34. Describe the information and/or technology to be accessed or provided to a foreign national and the intended end-use.

35. Will DOE sensitive subjects be discussed or is the information and/or technology to be accessed or provided marked as or considered Official Use Only (i.e., protected, export controlled, proprietary, etc.)? Yes No If Yes, contact the UFNVA Manager.

36. Are there any indicators this export may be destined for an inappropriate end-use, end-user, or destination? Yes No If Yes, explain.

37. Is any recipient of the information and/or technology (either the individual or company) named on any of the following lists found at (<http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) Specially Designated Nationals Lists, or those found at the U.S. Department of Commerce website: (http://export.gov/ecr/eq_main_023148.asp)? Yes No If Yes, explain.

38. The U.S. Department of Commerce (DOC) regulations allow export of DOC-governed data under “No License Required (NLR)” designation for the following categories of information: (1) publicly available information; (2) information resulting from fundamental research; and (3) educational information. Does the information and/or technology to be accessed or provided to a foreign national fall within any of the above-listed “No License Required (NLR)” categories? Yes No If No, explain.

39. Will Access Include Transfer of Technology? Yes No If Yes, describe technology to be transferred.

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SECTION H – INSTRUCTIONS

- Block 1a.** If no middle name, enter “NMN.”
- Block 3.** Access by foreign nationals 17 years of age or younger who are involved in non-work-related activities, are exempt from the NETL foreign national access request, review, and approval process.
- Block 9.** A Social Security Account Number (SSAN) is required for all foreign nationals with an access period “Greater than 30 calendar days,” i.e., FN Assignment.
- Block 10.** Other identification documentation may include driver’s license, student ID, Employment Authorization Document, Form I-797C (Notice of Action), etc.
- Block 17.** All foreign nationals with an F-1 Student Visa (and J-1 Visa students) must provide a list of all schools attended and the graduation dates from each school. In addition, a letter from the host school (Responsible Officer or Designated School Official) is required stating that the student is enrolled full-time (12 hours per week minimum) prior to access start date. A copy (pages 1 and 2) of the USCIS Form I-20 A-B/ID (Certificate of Eligibility for Nonimmigrant (F-1) Student Status - for Academic and Language Students), or Form DS-2019 (Certificate of Eligibility for Exchange Visitor (J-1) Status) must also be provided by the student’s host school.
- Block 19a.** Unclassified events and activities that occur outside the U.S. or its territories are exempt from the NETL foreign national access request, review, and approval process. All foreign national contracted employment, regardless of the actual work location, (e.g., on-site, off-site, or split), is considered an access period “Greater than 30 calendar days,” i.e., FN Assignment.
- Block 20.** Choose one of the following that best describes the access purpose:
- Commercial/Contractor Services
 - Conference/Meeting/Workshop Attendance
 - DOE or DOE Contractor Employee
 - Experimental
 - High-Level/Protocol Visit
 - Information Meeting
 - R&D Tour
 - Research
 - Speech or Presentation
 - Training
- Block 21.** List all subject areas pertaining to access, or the specific NETL-sponsored event.
- Block 22.** If applicable, include the title and contract number pertaining to the foreign national access, and describe what role/effort the foreign national will play in the contract. Explain what the foreign national will be expected to accomplish during this access period as related to their described role/effort, and further, how his/her presence is to benefit DOE (in whole or part) in terms relative to stated goals (contractual or otherwise).
- Block 23.** If Yes, NETL Form 205.2-4 must be completed. Personal laptop use on-site will require completion of additional forms as listed on NETL Form 205.2-4.
- Block 24.** Include all actual or estimated costs associated with the access period that will be charged back to DOE, (e.g., travel expenses, training, salary and/or benefits, etc.).
- Block 25a.** The Office Symbol is the numeric code assigned to the division of the DOE Contact, (e.g., 100, 320, 610, etc.).
- Block 26a.** The Office Symbol is the numeric code assigned to the division of the Host, (e.g., 100, 320, 610, etc.).
- Block 31.** Indicate or estimate the total numbers of days the foreign national is expected to be on an NETL site for the full access period, (e.g., one day per week, month, etc., or twice weekly, or 10 days per month, or 365 days per year, etc.).
- Block 32.** The “Primary Location” is the place (on-site, off-site, or split) where the majority of the access will occur. For an access period “Greater than 30 calendar days,” i.e., FN Assignment, indicate where the foreign national may be badged or have an office location. If the “Primary Location” is off-site or split between on-site and off-site, or if different than Block 11a. or Block 11b., also include that place, location, or address.
- Block 33a.** Only indicate applicable “NETL” sites.
- Block 33b.** The foreign national must be escorted by the approved host/alternate host at all times when outside any common areas, (e.g., cafeterias, restrooms, lobbies, courtyards, etc.), and any specific, on-site work areas identified.
- Block 33d.** Requirements for one-time, short-term changes to the approved site access times can be found in NETL P 470.4-10.23, Foreign Nationals Access and Control.
- NOTE:** See Section K (below) if you are requesting Section A – Personal Data information directly from the prospective foreign national visitor or assignee.
- NOTE:** New sensitive country access requests for periods “Greater than 30 calendar days,” i.e., FN Assignment, and whose indices have not yet cleared when presented for access approval - namely those foreign nationals with no FACTS/DOE history - may receive access approval for only normal business times/days until indices has cleared.

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SECTION I – GENERAL HOST INFORMATION

1. **Who Can Host a Foreign National?** Hosts for unclassified foreign national access are typically U.S. citizen, DOE Federal representatives directly responsible for the activities associated with the successful accomplishment of the foreign national during approved access periods. A host also serves as the individual responsible for the conduct and lab-specific training of the foreign national that he/she is identified to host. A non-sensitive country foreign national who is a full-time, site-support contractor employee may host a foreign national from either a sensitive or non-sensitive country for an access period of up to 30 calendar days, (FN Visit). A sensitive country foreign national who is a full-time, site-support contractor employee may only host a foreign national from a non-sensitive country for an access period of up to 30 calendar days, (FN Visit). Foreign nationals approved for access periods “Greater than 30 calendar days,” i.e., FN Assignment, or foreign national employees of site-support contractors cannot host a foreign national for access periods “Greater than 30 calendar days,” i.e., FN Assignment.
2. Hosts are required to complete any designated security briefings, including the Annual Security Briefing (CBT TMS 400 Series) and any designated Host training. Hosts are to keep the UFNV&A Support Specialist, any UFNV&A team member, or the NETL UFNV&A Manager apprised of situations warranting their attention.
3. If the foreign national’s access period is to be changed, postponed, or is canceled after this request is submitted, promptly contact any UFNV&A team member.
4. Access/visits to privately-owned facilities are not arranged by the U.S. Department of Energy.
5. For additional hosting responsibilities, detailed instructions, and definitions refer to the NETL 142.3 series of directives.
6. If you or any alternate host(s) have any questions concerning this document/form, contact the UFNV&A Support Specialist, any UFNV&A team member, or the NETL UFNV&A Manager.

SECTION J – OPEN TO THE PUBLIC EVENT EXEMPTION INFORMATION

1. **What is an Open to the Public Event?** Public events are those that include only information that is not protected by statute, regulation, or DOE policy, and is determined to be releasable to the general public, are held in locations that are accessible to the general public, and are available for attendance by the general public, either on-site or off-site.
2. An Open to the Public Event exemption request will not be used to circumvent the NETL foreign national access request, review, and approval process.
3. Begin with date block entries and Event Name at top of page 2, before Section A – Personal Data. Proceed/skip to Block 19b., then complete blocks applicable to the exemption (or as directed) including blocks 20 through 24, blocks 26, 27, and 28, then blocks 31, 32, and 33.
4. Remember to provide a signature as “Open to the Public Event POC” in Section C – Host/Alternate Host Information, obtain additional signatures in Section D – Approvals and Concurrences, and submit the exemption request to the UFNV&A Support Specialist no less than 30 calendar days prior to the event. The OOU Cover Sheet is not required for an Open to the Public Event exemption request.
5. Provide an agenda for the event under separate cover; draft agendas are acceptable.
6. If you have any questions concerning an Open to the Public Event exemption request, contact the UFNV&A Support Specialist or the NETL UFNV&A Manager.

SECTION K – REQUEST FOR UNCLASSIFIED FOREIGN NATIONAL ACCESS (SHORT FORM) (NETL F 142.1-1A)

1. Send this form (a fillable NETL F142.1-1A and the accompanying OOU Cover Sheet) if requesting Section A – Personal Data information directly from the prospective foreign national visitor or assignee. See [link](#).
2. Return the completed form to any NETL UFNV&A team member. Include the OOU Cover Sheet.
3. If you have any questions concerning requests for Section A – Personal Data information directly from the prospective foreign national visitor or assignee, contact the UFNV&A Support Specialist or the NETL UFNV&A Manager.

SECTION L – CLOSE-OUT REPORT FOR FOREIGN NATIONAL (FN) ACCESS (NETL F 142.1-1C)

1. To initiate this report (a fillable NETL F 142.1-1C and the accompanying OOU Cover Sheet), click on this [link](#).
2. Return the completed report to any NETL UFNV&A team member. Include the OOU Cover Sheet.
3. If you have any questions concerning Close-Out Report for Foreign National (FN) Access, contact the UFNV&A Support Specialist or the NETL UFNV&A Manager.