

REQUESTING & HOSTING FOREIGN NATIONAL VISITORS

Desk Guide



**NAVAL SURFACE WARFARE CENTER CRANE DIVISION
MISSION SECURITY BRANCH
CRANE, INDIANA 47522**

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This Desk Guide is written to supplement and provide user-friendly guidance to the requirements of NSWCCRANE INSTRUCTION 5510.1 A and 5530.1C

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INTRODUCTION

Purpose: This purpose of this guide to assist Naval Surface Warfare Center (NSWC) Crane Division personnel request and host foreign national visitors in a manner consistent with applicable access and disclosure requirements.

Applicable to: All employees of and contractors assigned to or supporting NSWC Crane Division.

We live and work in an increasingly global world, and international and multinational efforts are becoming more common place and in fact, are often supported by official policy and doctrine. Nonetheless, protection of classified military information (CMI) and critical unclassified information (CUI) is paramount to preventing compromise of military capabilities and the underlying technologies that keep our Warfighters and ultimately, U.S. citizens, safe. To that end, visitor access and control to NWSC Crane spaces is of utmost concern to the Command. Ensuring that access afforded to the technologies and other information that supports our customers and the Warfighter is limited to instances that support furtherance of legitimate government purposes should drive the decision to host every visit. While control of and disclosure of information to all visitors is of concern, the focus of this desk guide is Foreign National Visitors.

Foreign National visits are addressed in Chapter 21 of NSWCCRANEINST 5510.1A as well as NSWCCRANEINST 5530.1C and the NAVSEA M-5510.2C NAVSEA Access and Movement Control Manual. Foreign visits and disclosure of CMI and CUI are also governed by and addressed in SECNAVINST 5510.34A and the Department of the Navy Foreign Disclosure Manual. Overall requirements regarding controlled unclassified information and classified information are addressed in DoD Manual 5200.01 Vol. 1-4 DoD Information Security Program.

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Requesting and Hosting Foreign National Visitors at NSWC Crane Division

OVERVIEW

ALL Foreign National (FN) Visit Requests require two main items:

- 1) Valid visit request *and*
- 2) Visitor pass request submitted via SharePoint Visitor site (approved by submitter's approver and NSWC Security).

Specific requirements for each of the two items will depend on the category or type of FN visit request and the purpose of the visit.

Minimum processing times for FN visit requests normally range from 10 working days to 45 calendar days, depending on the type of request. As a general rule employees should allow a minimum of 30 days requests that require FVS approval. Attempts will be made to accommodate requests that do not meet the advance notice requirements but cannot be guaranteed. While there are provisions in DoD and DoN regulations that permit request of emergency visits, such requests are limited to those situation in which failure to conduct the visit will jeopardize an official government project, program, or contract.

Emergency visit requests shall **not** be submitted to circumvent the routine visit request process and abuses of the provision will be reported to Navy IPO for review and action. **Final decision for approval of FN visit requests always remains the prerogative of the head of the host command.**

A **Foreign Visit** is any contact by a foreign representative with a DON organization (or contractor facility). Such visits are of two types, based on sponsorship:

- a. **Official Foreign Visit:** Contact by foreign representatives under the sponsorship of their government or an international organization with a DoD component or DoD contractor facility. **Only official visitors may have access to classified or controlled unclassified information.**
- b. **Unofficial Foreign Visit:** Contact by foreign nationals with a DoD/DON command or activity for unofficial purposes, such as courtesy calls and general visits to commands or events that are open to the public, or without sponsorship of their government. **Such visitors shall have access only to information that has been approved for public disclosure.**

Foreign Representative: A person, regardless of citizenship, who represents a foreign interest in his or her dealings with the U.S. Government, or a person who is officially sponsored by a foreign government or international organization. **A U.S. national¹ will be treated as a foreign person when acting as a foreign representative.**

Note: Certain visitors from Canada may qualify for a Directly Authorized Visit (DAV) per the **United States – Canada Joint Certification Program**. See that section of this guide for further information.

**KNOW YOUR VISITOR – WHO ARE THEY – WHO DO THEY REPRESENT –
WHAT ARE THEY AUTHORIZED TO HAVE ACCESS TO?**

¹ This includes U.S. Citizens

GENERAL GUIDELINES AND CONSIDERATIONS

BE SURE YOU CAN ANSWER

1. WHO is the visitor?(*Full name, DPOB, Citizenship, if Permanent Resident Alien include registration number*)
2. WHO does the visitor REPRESENT? (*e.g. Who does he/she work for; whose interests does he/she legally represent?*)
3. WHAT is the PURPOSE of the visit - WHY? (*Official or Unofficial --see Definitions*)
4. WHAT information will be disclosed (*seen, shared or discussed*)?
5. What is the AUTHORIZATION basis that legally supports the Purpose and Disclosure?
6. WHEN is the visit desired/planned?
7. WHERE will the visit take place? (**Reminder:** *Hosting a FN visitor off-site does not change requirements for disclosure authorizations for information not approved for public release.*)

GENERAL GUIDELINES APPLICABLE TO ALL FN VISITS

1. FN visitors may be authorized access only during normal business hours.
2. FN visitors must be issued “escort required badge.”
3. FN visits require 72 hours of actual visit date (except for emergency visits), following FVS approval.
4. FN visitors must be under continuous escort by a U.S. government employee or on-site contractor who has been briefed on their escort responsibilities. (*Only a government employee can sign-in/escort the FN visitor at the NSA Visitor Center.*)
5. Hosts and escorts are continuously and at all times responsible for the whereabouts and actions of their visitors.
6. Hosts and escorts must ensure that ALL information outside the scope authorized for the visit are protected from inadvertent disclosure (to include visual, auditory, or written) at all times.
7. Specific restrictions of the visit approval are never disclosed to the visitor(s), though they may be advised a) of the highest overall classification level approved and b) visitors must be advised of classification level of any information disclosed so they can protect it accordingly.

8. While a disclosure authorization sets a classification level that cannot be exceeded, *if the objectives of a visit can be accomplished by disclosure of information classified at a lower level, it is the responsibility of the host(s) to limit disclosure accordingly.*
9. If a host determines that the objectives of a visit cannot be accomplished within the parameters of the disclosure authorization, the host must communicate/coordinate directly with the authority that approved the visit, *prior to the start of the visit*, to seek a resolution.
10. Release of classified documents is *not automatic* with authorization *unless specifically stated so in the disclosure authorization.*
11. Any repeated or unusually persistent effort by visitor(s) to obtain information not authorized for disclosure should be reported to NSWSC Crane Security Office.

SPECIAL SITUATIONS & CONSIDERATIONS

Seek additional guidance from NSWSC Crane Security if any of these situations arise:

- Students attending Naval Training(through Security Assistance; DD2285)
- Invitational Travel Orders (ITO)
- Foreign Liaison Officer Program (FLO)
- Defense Personnel Exchange Program (DPEP)
- Cooperative Program Personnel (CPP)
- Military Personnel Exchange Program (MPEP)
- Other foreign personnel exchange arrangements per U.S. Code Title 10, section 26082

GENERAL PRECLUSIONS FOR FOREIGN NATIONAL VISITORS

Seek additional guidance from NSWSC Crane Security if any of these situations arise

- COMSEC
- Atomic Information (Restricted Data, Formerly Restricted Data)
- Navy Nuclear Propulsion Information (NNPI)
- Foreign Government Information (FGI) (third-party disclosure)
- Government Information Technology Systems
- NATO – special considerations

**KNOW YOUR VISITOR – WHO ARE THEY – WHO DO THEY REPRESENT –
WHAT ARE THEY AUTHORIZED TO HAVE ACCESS TO?**

REQUESTS FOR FOREIGN NATIONAL VISITS

Note: Certain visitors from Canada may qualify for a Directly Authorized visit (DAV) per the United States – Canada Joint Certification Program. See that section of this guide for further information.

Note: All foreign national visit requests are approved or denied at the discretion of the Command, regardless of whether official or unofficial

Requests for Official Visits

Requests for official visits by foreign national visitors or representatives of foreign interests, regardless of the visitors' employer, ***must*** be submitted through their respective country embassy for processing through the DoD Foreign Visit System (FVS) and the Navy International Program Office (NIPO) for review and approval of authorized disclosure conditions and limitations. Requests should be submitted at least ***30 days in advance of the proposed visit*** (though certain countries may require 45 days or longer.)

- The FVS and NIPO review and approval process is separate from, and a pre-requisite for requesting a visitor pass request through the local SharePoint pass request system.

Important Reminder: Only official visitors may have access to classified or controlled unclassified information.

Requests for Unofficial Visits (Letterhead Requests)

Requests for unofficial visits by foreign national visitors may be submitted directly to the Security Manager on company letterhead. ***Important Reminder: Such visitors shall have access only to information that has been approved for public disclosure.***

- Email to cran_security_0555@navy.mil (*preferred*) OR
 - Fax to (812) 854-3314
- Requests, including supporting documentation, should be submitted *at least 10 working days in advance* of the proposed visit.

Company Letterhead Request should include the following information:

- 1) Visitor Full Name
- 2) Visitor's Date and Place of Birth (DPOB)
- 3) Citizenship (Nationality)
- 4) Job Title
- 5) How long they have worked for company
- 6) Purpose of visit
- 7) Dates of visit
- 8) POC at Crane
- 9) Visit is Unclassified
- 10) Is Foreign National a registered alien (If so, include card number)

- Crane Host/POC must submit Foreign National Visitor Pass Request via the SharePoint site
 - If a copy of the Letterhead Request was sent to the Crane employee hosting the visit rather than directly to NSWC Crane Security, the letter must be provided to Security by either:
 - Email to cran_security_0555@navy.mil (encrypted) **OR**
 - Attach it to the SharePoint visit pass request
- Neither the Host/POC nor Approver should initiate the manual Foreign National workflow in the SharePoint site. This manual workflow will be initiated by NSWC Security. (**Note:** *The manual workflow is separate from the FN and country of citizenship drop-down box options in the body of the SharePoint visit request form. Requestors must appropriately complete all fields in the body of the form.*)
- The visitor pass request **must** be approved by the Crane POC's "Approver" before Security will approve the visitor pass request. This is to validate "need to know" and consent to the requested visit; is a separate issue from Security's review of administrative and documentation requirements being met.
- NSWC Crane Security will review all FN visitor pass requests in SharePoint as they are received and will advise local requestor if additional information is required via
 - "Reject" request in SharePoint and provide reason(s) **OR**
 - Email directly to listed poc
- NSWC Crane Security will consider approval of FN visitor pass request only after all required information and supporting documentation has been received, to include being vetted through FVS, NCIS, or other sources required by applicable security requirements.

All foreign national visitors and foreign representatives visiting NSWC Crane spaces must be continuously escorted.

Hosts and escorts are continuously and at all times responsible for the whereabouts and actions of their visitor

**KNOW YOUR VISITOR – WHO ARE THEY – WHO DO THEY REPRESENT –
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United States – Canada Joint Certification Program and Directly Authorized Visits

Certain **UNCLASSIFIED** technical data is releasable to U.S. and Canadian companies who are registered and certified through the U.S. Canada Joint Certification Program Office (JCPO).² DAV's may also be used for certain visits from Canadian government representatives.

Directly Authorized Visit (DAV) requests to DoD activities may be made for the purposes of:

- 1) Collecting of discussing unclassified solicitations
- 2) In furtherance of procurement activities related to unclassified solicitations
- 3) To perform on an unclassified contract
- 4) To attend conferences/meetings/symposia³

Important Note: As the host facility, it is the responsibility of NSWC Crane to know whether the proposed visit meets the conditions and requirements for a DAV under the Joint Certification Program (JCP). This determination cannot be made solely by Security, but rather, requires significant input from the knowledgeable technical representative(s).

DAV Requests (including supporting documentation) should be submitted directly to the Security Manager on company letterhead, *at least 10 working days in advance* of the proposed visit:

- o Email to cran_security_0555@navy.mil (preferred) OR
 - o Fax to (812) 854-3314
- 1) **Request on company letterhead from the company** with the following information:
 - a. Identification of person(s) being visited at Crane:
 - i. Activity Name being visited (i.e. NSWC Crane)
 - ii. Crane poc(s) that will be visited/contacted
 1. Name
 2. Office / Code
 3. Phone Number
 - iii. Date of visit⁴
 - iv. Time of visit
 - b. Identification of proposed visitors:
 - i. Full name
 - ii. Citizenship
 - iii. How long they have been employed by the company
 - iv. Job title or position with company
 - v. Passport number or identifying information of official document that will be used by visitor as proof of citizenship
 - c. Statement of certification of citizenship of all proposed visitors
 - d. Signature by an Officer of the company
 - 2) Copy of the company's valid, executed **DD Form 2345** (Militarily Critical Technical Data Agreement)

Regardless of the requestor's participation in the JCP, authority for final approval of all visit requests remains with the head of the host agency or activity and may be denied, at any time, for security or operational purposes.

² More information about DAV requirements in Appendix B of the information booklet, dated 2011, published by the JCPO and available at DLA's website via <http://www.logisticsinformationservice.dla.mil/jcp/>

³ There may be additional requirements; seek advance advice from NSWC Crane Security

⁴ Recurring visit requests may be submitted for a period of time related to a specific contract or project. It is the responsibility of the visitor to notify NSWC Crane, in writing, at least 72 hours in advance of an intended arrival.

FOREIGN NATIONAL VISITOR PASS REQUESTS SHAREPOINT TIPS

Most of the requested fields are self-explanatory. There are, however, a few fields that bear additional comment/clarification to help ensure complete information is provided. This will help expedite the review and approval process. **KNOW YOUR VISITOR – WHO ARE THEY and WHO DO THEY REPRESENT?** (e.g. Company, Citizenship, Country,)

Start Date	Self Explanatory
End Date	Self Explanatory
Building Visited	Self Explanatory
Entry Gate	Self Explanatory
Classification	Be sure to start the “Classified Approval Workflow if this visit requires access to classified information or materials by the visitor
Visitor First Name	Self Explanatory
Visitor Last Name	Self Explanatory
Approver	Self Explanatory. Note: <i>The Approver MUST approve the visit pass request before Security will consider approval of the gate pass request. This is to validate “need to know” and consent to the requested visit; is a separate issue from Security’s review of administrative and documentation requirements being met.</i>
Foreign National or Representative of Foreign Interest	See “ <i>Requesting and Hosting Foreign National Visitors Desk Guide</i> ” document for clarification of definitions and requirements. This block does not need to be checked if a foreign born person is a naturalized U.S. citizen. *Regardless of what SharePoint says, <i>Requestors and first-line approvers should not to start the manual Foreign National workflow; this will be done by NSWC Security.</i>
Nationality	Legal Citizenship is the primary concern. If dual-citizen, state this and the countries involved.
NIPO Case #	If you have a NIPO Case ID number, PLEASE include that number here (ignore the instructions that say it is reserved for the visitor center). You will definitely know the NIPO Case ID number if we have forwarded you the visitor approval letter issued through the FVS/embassy route.
Organization	Identify the company or other activity/organization your visitor represents
Purpose of Visit	<i>Identify the contract number, purchase order, or other type agreement or justification for the FN visitor accessing NSWC Crane, as well as brief description of the nature of the work the visitor will do.</i>
Tenant	Be sure to use the drop down and <i>select the tenant activity with which your visit is associated.</i>

HOSTING & ESCORTING FOREIGN NATIONAL VISITORS

Responsibilities of Hosts and Escorts at NSWC Crane

Hosts and Escorts of foreign national visitors have important responsibilities and obligations with regard to controlling the access and movement of the visitors in order to ensure that visitors have access only to information and spaces to which they are authorized in furtherance of the authorized purpose of their visit.

Important Note:

All foreign national visitors in NSWC Crane Division work areas **must** display an “**Escort Required**” visitor badge and be **continuously accompanied by a designated escort**. An escort is an individual designated to accompany a visitor or group of visitors as a matter of protection, guidance, or courtesy.

Who can serve as an Escort for Foreign National Visitors?

- Escorts meeting FN visitors at the NSA Visitor Center must be government employees
- A government employee or an on-site contractor who has been briefed by NSWC Crane Security regarding their escort responsibilities may serve as escorts in NSWC spaces
- Foreign Nationals may **never** serve as escorts.

The maximum number of visitors per escort is six (6), though, depending on specific circumstances of the visit, *a lower ratio may be warranted*.

Hosts (sometimes referred to as the “knowledgeable person”): Are knowledgeable of the request or anticipated request by potential visitors (or invitation to) and the purpose of the visit. Hosts are responsible for the following:

- 1) Coordination with Security for review of visit requests received to concur the visits are in furtherance of the stated purpose.
- 2) Understanding the disclosure limitations of a particular visit type (official or unofficial).
- 3) Ensuring appropriate advance notice of the actual request to visit is provided to Security
- 4) Ensuring submission of the visitor pass request in SharePoint.
- 5) Appointing eligible personnel to serve as escorts (*Hosts may also serve as an escort*) for the visit.
- 6) Ensuring visitors are appropriately briefed with regard to rules and procedures applicable to the visit.⁵
- 7) Ensuring any reportable behaviors or activities noted by escorts are reported to Security in a timely manner.

⁵ Visitors cannot be told the specific details or restrictions of the visit authorization, BUT they can be told the highest overall classification level that will not be exceeded. Also, if disclosure of classified information is authorized as part of the FVS approval, the visitor must be advised of the classification level of any information actually disclosed so that they can properly protect it.

Escorts are responsible for the following:

- 1) The whereabouts and actions of the foreign national visitors.
- 2) Ensuring that all information outside the scope authorized for the visit is protected from inadvertent disclosure (to include visual, auditory, or written) at all times.
- 3) Transfer of escort responsibility – it is the responsibility of the escort transferring his/her escort responsibility to another person to ensure the person assuming responsibility has been briefed and is knowledgeable of general escort responsibilities AND that the assuming escort understands the disclosure limitations and authorizations for the visit.
- 4) Noting and reporting to NSWC Crane Security any unusual or suspicious behaviors or requests by the foreign national visitors
- 5) Being knowledgeable of things such as, but not limited to:
 - What are the terms, limitations, authorizations related to the visitors?
 - What is the critical information and /or technologies in, or en-route to, places that will be visited?
 - Elicitation Techniques and other suspicious indicators commonly used by visitors, such as, but not limited to:
 - Hidden Agendas – pursuing an agenda different from the stated and approved purpose of visit
 - Wandering Visitors
 - Creation of embarrassing incidents (often related to wandering visitors)
 - Unannounced changes to approved visitor list
 - Unannounced visitors
 - Exploiting misinterpretations of approval authorizations
 - Fraudulent use of data exchange agreements, licenses,
 - How to handle suspicious or “misbehaving” visitors they are escorting
 - Who to contact for assistance

DEFINITIONS

Foreign Visit: Any contact by a foreign representative with a DON organization or contractor facility. Such visits are of two types, based on sponsorship:

- a. **Official Foreign Visit:** Contact by foreign representatives under the sponsorship of their government or an international organization with a DoD component or DoD contractor facility. Only official visitors may have access to classified or controlled unclassified information.
- b. **Unofficial Foreign Visit:** Contact by foreign nationals with a DoD/DON command or activity for unofficial purposes, such as courtesy calls and general visits to commands or events that are open to the public, or without sponsorship of their government. Such visitors shall have access only to information that has been approved for public disclosure.

Foreign National: Any person who is not a US citizen or US national, and/or representatives of foreign interests (See Non US citizen). American citizens representing foreign governments, foreign private interest, or other foreign national as considered to be foreign nationals for purposes of this document, when acting in the capacity of a foreign representative. (SECNAV M-5510.30)

Foreign Person: A natural person who is not a lawful permanent resident as defined by 8 U.S.C. 1101 (a)(20), or who is not a protected individual as defined by 8 U.S.C. 1324b(a)(3). It also means any foreign corporation, business association, partnership, trust, society, or any other entity or group that is not incorporated or organized to do business in the U.S., as well as international organizations, foreign governments and any agency or subdivision of foreign governments (e.g., diplomatic missions). (5510.34)

Foreign Representative: A person, regardless of citizenship, who represents a foreign interest in his or her dealings with the U.S. Government, or a person who is officially sponsored by a foreign government or international organization. A U.S. national will be treated as a foreign person when acting as a foreign representative.

Non US Citizen: Any person who is not a US citizen or US national, usually used when referring to DON employees or affiliates who are not U.S. citizens (see United States Citizen).

U.S. Citizen (to include U.S. National): For the purposes of these procedures, a person either naturalized as a U.S. citizen in accordance with U.S. Immigration and Naturalization laws and regulations, or a person born in one of the following locations: any of the 50 states of the U.S., the District of Columbia, Puerto Rico, Guam, American Samoa, Northern Mariana Islands, U.S. Virgin Islands, Panama Canal Zone (if the father and/or mother was/were, or is/was a citizen of the U.S.), the Federated States of Micronesia, or the Republic of the Marshall Islands.

U.S. National: A United States citizen, or a person who, though not a citizen of the U.S., owes permanent allegiance to the U.S. NOTE: Consult 8 USC 1401(a) (1-7) whenever there is doubt whether a person qualifies as a national of the United States.

REFERENCES

- a) Department of the Navy Foreign Disclosure Manual (September 1, 2007)
- b) NAVSEA Manual M-5510.2C -- NAVSEA Access and Movement Control Manual (August 7, 2012)
- c) SECNAVINST 5510.34A -- Disclosure of Classified Military Information and Controlled Unclassified Information to Foreign Governments, International Organizations, and Foreign Representatives (October 8, 2004)
- d) DoD Manual 5200.01 -- DoD Information Security Program (February 24, 2012)
- e) DoD Regulation 5200.2-R -- DoD Personnel Security Program (January 16, 1987)
- f) SECNAVINST 5510.36A -- Department of the Navy (DON) Information Security Program Instruction (October 6, 2006)
- g) SECNAVINST 5510.30B -- Department of the Navy (DON) Personnel Security Program Instruction (October 6, 2006)
- h) NSWCCRANEINST 5510.1A -- Information, Personnel and Industrial Security
- i) NSWCCRANEINST 5530.1C -- Physical Security and Loss Prevention
- j) U.S. Canada Joint Certification Program Information Guide on the Joint Certification Program and Control of Unclassified Militarily Critical Technical Data (2011)

