



communications
Aviation Recorders Division

VISIT AUTHORIZATION for FOREIGN VISITORS / FOREIGN NATIONALS

Date:	
To:	Reception Desk - Main Lobby
From:	
Subject:	Foreign Visitors / Foreign Nationals List

CHECK APPLICABLE STATEMENT (check only one (1) box):

<input type="checkbox"/>	Non-Technical / Public Domain Information; Export License Not Required (NLR).
<input type="checkbox"/>	Technical Information; No License Required (NLR) / Disclaimer Statement Required (see ECC/EO)
<input type="checkbox"/>	Technical Information Releasable Under Department of Commerce Export License: (see ECC/EO)
<input type="checkbox"/>	DOC Export License # _____ or _____
<input type="checkbox"/>	Technical Information Releasable Under Department of State Export License: (see ECC/EO)
<input type="checkbox"/>	DOS Export License # _____ or _____
<input type="checkbox"/>	Other (Please Explain): _____

Full Name:		Date of Birth:	
Citizenship:		Place of Birth:	
Employer:		Passport No.:	
Job Title :		Email:	
Full Address:		Tel:	
Full Address:		Fax:	

Photo ID: (<i>verify upon arrival</i>)	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	ID Type:		ID No:	
Required Verification: <u>“Visual Compliance”</u> (<i>Print copy of results and attach prior to signoff</i>)								

Employer Relationship: (<u>Customer/Representative/Consultant/Distributor</u>)	
Other (Please Explain):	
Sponsor (Whom Visiting):	Extension #: _____
Escort(s) (if other than Sponsor):	Extension #: _____
Date(s) of Visit:	
Purpose of Visit:	

Empowered Official Notification:		Date:	
Security Office Notification:		Date:	
Senior Staff Approval:		Date:	

**** Information Must Be Complete Before Visitor(s) Will Be Admitted ****

Appendix B: Technology Control Plan

L-3 Communications Corporation Aviation Recorders Division

1.0 FOREIGN NATIONAL PROCEDURE

Disclosure of controlled technical data to a Foreign National visitor to a U.S. company is considered an export under the Export Administration Regulations (EAR) and under the International Traffic in Arms Regulations (ITAR) 22 CFR 126.13(c) respectively. Such a release requires a Department of Commerce or Department of State License, Agreement, or Exception/exemption, and submission of a Technology Control Plan (TCP) and a Non-Disclosure Statement.

2.0 INTRODUCTION

This Technology Control Plan delineates the controls established by L-3 Communications Aviation Recorders (hereinafter referred to as "Company") to prevent the transfer of controlled technical information to Foreign

National visitors. All Company employees have been briefed in export control and licensing requirements. Foreign National visitors will not have access to any controlled technical data unless specifically authorized under an approved License, Exemption/Exception, or Agreement.

3.0 CONTROLLED TECHNICAL DATA

Access to controlled technical data to include, but not limited to, materials under U.S. Government contract, on the Commerce Commodity List, or on the U.S. Munitions List is strictly prohibited. Information within the Public Domain may be accessed. In adherence to Company policy in meeting U.S. Department of State requirements, no employee or other person acting on behalf of Company shall, without prior approval, ship, mail, hand carry or transmit technical data out of the U.S. or within the U.S. with the knowledge or intent that the data will be shipped or transmitted to a Foreign National. Approval for export of all commodities, including technical information, is the responsibility of Company management implemented by the Export Compliance Coordinator (EO/ECC).

4.0 SECURITY CONTROLS

4.1 FOREIGN NATIONAL IDENTIFICATION BADGES

The Foreign National visitor will be issued a distinctive identification badge. The *badge will say Foreign Person or ESCORT Required on it*. This badge is to notify other employees and persons of the Foreign National's status and assist in the prevention of the Foreign National gaining access to controlled technical data. This badge must be worn at all times.

4.2 FACILITY ACCESS

Foreign National Visitors shall only be admitted into the building in accordance with Security Document 007 Access control of Foreign National Visitors.

4.2.1 During normal business hours and business days, unless specific variations are granted on a one time basis by the Division President as part of the visitor request form.

4.2.2 All foreign National visitors shall be escorted by an L-3 Communications Aviation Recorders Employee that has been briefed on their responsibility to continually visually supervise the foreign national at all times

4.3 ACCESS CONTROLS TO COMPUTERS, NETWORKS, AND E-MAIL

4.3.1 Access to Company's computers is strictly prohibited.

4.3.2 Access to the L-3 Communications Corporation Intranet is strictly prohibited. Computers connected to the L-3 Intranet are protected by the use of automatic password-protected screen savers set to activate with non-use at 5 minutes, if Foreign Nationals are allowed access to the physical area where such intranet computers are in use.

Computers do not require password protection if all foreign nationals are escorted with constant visual supervision. Computers maybe accessed for the specific purpose of training Foreign Nationals on our products, for their support and repair. Each such application shall be cleared prior to the event with the ECC. Such computers shall not be tied to the company Intranet, CICS or email account systems.

4.3.3 Access to e-mail is not permitted.

4.4 ADDITIONAL SECURITY CONTROLS

- What areas are cleared for access and what areas are off limits.

All areas are off limits unless the Foreign National Visitor is immediately visually supervised by an L-3 Communications Aviation Recorders employee.

- Restrictions for the use of office equipment, e.g., fax, copying machines, where controlled technical data may be located. *All copy machines and fax machines are off limits unless the Foreign National Visitor is immediately visually supervised by and L-3 Communications Aviation Recorders employee.*

5.0 SUMMARY

Company mandates that sufficient control and supervision will exist in regard to all Foreign National visitors as related to controlled technical data transfer or release of technical know-how. L-3 Corporate Policies 307 Security and Information Asset Protection, 401 Corporate Information Network Security, 707 Export/Import Controls and Compliance direct the Company to protect its private and sensitive information, including controlled technical data, and/or software, which will serve as additional safeguards, assuring against inadvertent or intentional transmission of that information. All Company employees are responsible for ensuring that Foreign National visitors do not access controlled technical data.

***DEFINITIONS:**

DEPARTMENT OF COMMERCE - EXPORT ADMINISTRATION REGULATIONS (EAR):

EXPORT –

EAR 15 CFR Part 732 (b)(ii) defines “export” to include the release of controlled technical data (technical data) or software to a Foreign National and considers such release to be a “deemed export” to the home country of the Foreign National. (Home country is defined as country of birth or all countries where the Foreign National claims citizenship.)

FOREIGN NATIONAL/FOREIGN PERSON – A Foreign National is defined as any person who is not a U.S. citizen who has not been granted lawful permanent residence as defined by the Immigration and Naturalization Act 8 USC 1101 (a)(20), or is not a protected individual as defined by 8 USC 1324b (a)(3).

TECHNICAL DATA –

As used in 15 CFR Part 779 of the EAR, the term “technical data” includes both “controlled technical data” (that is, information necessary for the development, production, or use of a product) and software. Information can take the form of “technical data” or “technical assistance”. Technical assistance can be instruction, skills training, working knowledge, and consulting services and may involve transfer of technical data. Technical data includes blueprints, plans, diagrams, models, formulae, tables, engineering designs and specifications, and manuals and instructions written or recorded on other media or devices such as disk, tape, and read-only memories.

DEPARTMENT OF STATE -- INTERNATIONAL TRAFFIC IN ARMS REGULATIONS (ITAR)

DEFINITION OF DEFENSE SERVICE -

ITAR 22 CFR 120.9: (1) The furnishing of assistance (including training) to foreign persons, whether in the United States or abroad, in the design, development, engineering, manufacture, production, assembly, testing, repair, maintenance, modification, operation, demilitarization, destruction, processing, or use of defense articles; or (2) The furnishing to foreign persons of any technical data controlled under this subchapter; whether in the United States or abroad; or (3) Military training of foreign units and forces, regular and irregular, including formal and informal instruction of foreign persons in the US or abroad or by correspondence courses, technical, educational, or information publications and media of all kinds, training, and orientation, training exercise and military advice.

DEFINITION OF TECHNICAL DATA -

ITAR 22 CFR 120.10: (1) Information other than Software as defined in ITAR 120.10(d), which is required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance, or modification of defense articles. This includes information in the form of blueprints, drawings, photographs, plans, instructions, and documentation; (2) classified information relating to defense articles and defense services; (3) information covered by an invention secrecy order; and (4) software as defined in ITAR 22 CFR 121.8(f) of this subchapter directly related to defense articles. This definition does not include information concerning scientific, mathematical, or

engineering principles commonly taught in schools, colleges, and universities or information in the public domain as defined in ITAR 22 CFR Section 120.11. It also does not include basic marketing information on function or purpose or general system descriptions of defense articles.

DEFINITION OF SOFTWARE -

ITAR 22 CFR 121.8(f) Software includes, but is not limited to, the system functional design, logic flow, algorithms, application programs, operating systems, and support software for the design, implementation, test, operation, diagnosis, or repair.

TECHNOLOGY CONTROL PLAN (TCP) –

A Technology Control Plan is required to control access by Foreign Nationals assigned to, or employed by, a U.S. company. The TCP shall contain specific procedures to control access to classified information, controlled technical data and general procedures supporting visitation. A Technology Control Plan must contain either a Non-Disclosure Statement or a Non-Access Statement.

EXHIBIT A

**FOREIGN NATIONAL NON-DISCLOSURE STATEMENT
and
TECHNOLOGY CONTROL PLAN (TCP)
Acknowledgement Form
Prior to commencement of visit**

I, _____, acknowledge and understand that any technical data * (including software) subject to export controls under Export Administration Regulations (EAR), 15 CFR Part 734.2 (b)(ii), to which I have access or which is disclosed to me in the course of visit/ consultation with L-3 Communications Aviation Recorders, is subject to export control under the U.S. Department of Commerce. I also acknowledge that I have read the Aviation Recorders Security Procedures/Technology Control Plan, and if deemed necessary, have discussed the procedure with Bill Wheeler, Security Manager and/or Julie Soderquist, Export Compliance Coordinator, and that I understand the procedures and agree to comply with its requirements.

I hereby certify that such data will not be further disclosed, exported, or transferred in any manner to third parties without prior written approval of the U.S. Government.

L-3 Communications Aviation Recorders

Foreign National _____ Supervising Host _____
Printed Name Printed Name

Signature _____ Signature _____

Title _____ Title _____

Date _____ Date _____

**FOREIGN NATIONAL EXIT NON-DISCLOSURE STATEMENT
At completion of visit**

I, _____, acknowledge and understand that the conclusion of my visit/ consultation with L-3 Communications Aviation Recorders does not absolve me of my obligations under the EAR; therefore, I hereby certify that accessed or released data will not be further disclosed, exported, or transferred in any manner to third parties without prior written approval of the U.S. Government.

L-3 Communications Aviation Recorders

Foreign National _____ Supervising Host _____
Printed Name Printed Name

Signature _____ Signature _____

Title _____ Title _____

Date _____ Date _____

* Definitions attached

EXHIBIT B

**FOREIGN NATIONAL NON-ACCESS STATEMENT
and
TECHNOLOGY CONTROL PLAN (TCP)
Acknowledgement Form
Prior to visit/ consultation**

I, _____, hereby certify that based on my current job description and responsibilities, during my visit consultation with the Aviation Recorders Division of L-3 Communications Corporation, I have no requirement to access Controlled Technical Data or software as defined in 22 CFR Sections 120.9 and 120.10 of the International Traffic in Arms Regulations (ITAR), or technical data subject to export controls under Export Administration Regulations, 15 CFR Part 734.2 (b)(ii). I also acknowledge that I have read the Aviation Recorders Security Procedures/Technology Control Plan, and if deemed necessary, have discussed the procedure with Bill Wheeler, Security Manager and/or Julie Soderquist, Export Compliance Coordinator, and that I understand the procedures and agree to comply with its requirements.

If I am exposed to or inadvertently receive Controlled Technical Data or software, I understand that I will report the incident immediately to my Supervising Host.

L-3 Communications Aviation Recorders

Foreign National _____ Supervising Host _____
Printed Name Printed Name

Signature _____ Signature _____

Title _____ Title _____

Date _____ Date _____

**FOREIGN NATIONAL EXIT NON-ACCESS STATEMENT
Completion of visit/consultation**

I, _____, acknowledge and understand that the conclusion of my visit / consultation with L-3 Communications Aviation Recorders does not absolve me of my obligations under the EAR and/or the ITAR; therefore, I hereby certify that data inadvertently accessed or released will not be further disclosed, exported, or transferred in any manner.

L-3 Communications Aviation Recorders

Foreign National _____ Supervising Host _____
Printed Name Printed Name

Signature _____ Signature _____

Title _____ Title _____

Date _____ Date _____

*Definitions attached

Procedure to Complete “Visit Authorization for Foreign Visitors/Foreign Nationals” Form Fo-000117

Policy

It is the policy of L-3 Communications Aviation Recorders (L3AR) to establish and maintain documented procedures for identifying visitors, both U.S. Citizen and/or Permanent Resident of the United States and Foreign Visitors/Foreign Nationals, and permitting access to our facility.

Responsibility

It is the responsibility of the Export Compliance Office to properly train employees directly responsible in completing the Visit Authorization Form for U.S. Citizen and/or Permanent Resident of the United States (Fo-000115) and Visit Authorization Form for Foreign Visitors/Foreign Nationals (Fo-000117). It is the responsibility of all employees of L3AR to follow the guidelines set forth in this procedure. Once training has been completed, it is the responsibility of the Division Training Coordinator to make note in the appropriate Employee Training Record that training has been completed.

Visit Authorization for Foreign Visitors/Foreign Nationals

Please note: Before turning this form in to the Reception, each item must be filled in completely. There can be no TBDs.

- ◇ Date - date the form is completed
- ◇ From – person(s) completing the form
- ◇ Check the Applicable Statement (check one of the boxes listed) – Will this be:
 - Non-Technical/Public Domain Information; Export License Not Required (NLR)
 - Technical Information; Export License Not Required (NLR)/Disclaimer Statement Required
 - Technical Information Releasable Under Department of Commerce Export License:
 - Technical Information Releasable Under Department of State Export License:
 - DOS Export License – list the License Number or
 - DOC Export License – list the License Number or
 - Other – explain what this “Other” would be
- ◇ Full Name – name in full of person requesting entry to the facility
- ◇ Citizenship – which country does this person requesting entry to the facility hold permanent residency
- ◇ Employer – what company employs this person
- ◇ Job Title – what is the person requesting entry to the facility job function within the company he represents
- ◇ Full Address – where is this company physically located
- ◇ Date of Birth – when was this person requesting entry to the facility born
- ◇ Place of Birth – where was this person requesting entry to the facility born
- ◇ Passport Number – number of the Passport of the person requesting entry to the facility
- ◇ Email – email address of the person requesting entry to the facility
- ◇ Telephone – telephone number for the company of the person requesting entry to the facility including country code and city code
- ◇ Fax – fax number for the company of the person requesting entry to the facility including country code and city code
- ◇ Photo ID – **Must be verified and noted by the person issuing a visitors badge to the Foreign Visitor/Foreign National and initialed as such.**
- ◇ ID Type – i.e. Driver’s License, Passport, etc. (identify)
- ◇ ID Number – number off of the type of ID from above
- ◇ Required Verification – MSR Visual Compliance must be run on the individual and the company of the individual requesting access to the facility. A Copy of the MSR Visual Compliance must be attached to the Visitor Request.
- ◇ Employer Relationship (Customer/Representative/Consultant/Distributor) – fill in the blank
- ◇ Other (Please Explain) – if the visitor is not one of the above selections what is the relationship to our business

- ◇ Sponsor (Whom Visiting) – who is this visitor seeing
- ◇ Telephone Extension – what is the sponsor’s telephone extension within the plant
- ◇ Escort(s) (if other than Sponsor) – if the escort for this visitor is not the Sponsor – the escort must be identified
- ◇ Telephone Extension – the telephone extension of the escort
- ◇ Date(s) of Visit – when is he or she coming to our facility
- ◇ Purpose of Visit – why is he or she coming to our facility
- ◇ Empowered Official Notification – the date the Empowered Official was notified this person was coming to the facility (attach email notification to Empowered Official)
- ◇ Security Office Notification – the date the Security Office was notified this person was coming to the facility (attach email notification to Security Office)
- ◇ Senior Staff Approval – **Visit Authorization for Foreign Visitors/Foreign Nationals can only be signed by one of the following:**
 - Division President
 - Senior Vice President of Business Development
 - Vice President of Engineering
 - Vice President of Manufacturing
 - Vice President of Finance / Administration, Human Resources

It is the responsibility of the person completing this form, the Sponsor and or Escort, and the Foreign National to read Appendix B: Technology Control Plan and understand the importance. If there are questions, please direct them to the Empowered Official.

Exhibit A:

Foreign National Non-Disclosure Statement and Technology Control Plan (TPC) Acknowledgement Form – Prior to Visit

If the visit is **not** ITAR related (Department of State) complete Exhibit A. Exhibit A is to be thoroughly completed by the Foreign National **and** Sponsor before access to the facility will be granted.

Foreign National Exit Non-Disclosure Statement – At completion of visit

This is to be thoroughly completed by the Foreign National **and** Sponsor upon completion of visit.

Exhibit B:

Foreign National Non-Access Statement and Technology Control Plan (TCP) Acknowledgement Form – Prior to Visit/Consultation

If the visit is ITAR related (Department of State or a Department of State License has been issued) complete Exhibit B. Exhibit B is to be thoroughly completed by the Foreign National **and** Sponsor before access to the facility is to be granted.

Foreign National Exit Non-Access Statement – Completion of visit/consultation

This is to be thoroughly completed by the Foreign National **and** Sponsor upon completion of visit.

Upon completion of the Visit Authorization for Foreign Visitors/Foreign Nationals (Fo-000117), turn in form to the Receptionist with a copy to the Export Compliance Office. Please make sure all information is entered properly according to the guidelines listed above and legible. If there are any questions see the Export Compliance Office for guidance.