



# Technology Control Plan

with  
Facility Control Procedures



# 2024



## Enclosure (1): Technology Control Plan

\*\*Employee Name: [type name] \_\_\_\_\_

Citizen of: [country] \_\_\_\_\_

### I. SCOPE

The procedures contained in this plan apply to all elements of Photo-Sonics, Inc. ("PSI"), 9131 Independence Avenue, Chatsworth CA 91311.

Disclosure of classified or unclassified technical data to foreign persons, as defined by ITAR § 120.10, in the course of employment or on extended visitor status is considered an export under ITAR and is subject to a Department of State (DOS) license or agreement. (Note: there is no classified information at PSI at the present time.)

### II. PURPOSE

The purpose of this Technology Control Plan is to delineate and inform employees and visitors of PSI the controls necessary to ensure that no transfer of technical information or data or a defense service (as defined in ITAR paragraphs § 120.10 & § 120.9) occurs unless authorized by the Directorate Defense Trade Controls (DDTC).

### III. BACKGROUND

Photo-Sonics, Inc., a full-service provider for Time-Space-Positional-Information (TSPI) equipment. PSI offers a full line of Optical Tracking Systems, Beam Director, motion analysis software applications, HUD (head up display) cameras, POV (point of view) cameras, and systems integration services.

### IV. FOREIGN PERSONS

No Foreign Person will be given access to unclassified and/or classified material on any project or program that involves the disclosure of technical data as defined in ITAR paragraph 120.10 until that individual's license authority has been approved by the Department of State or Commerce, as appropriate.

PSI employees who have the supervisory responsibility for foreign persons must receive an export control/licensing briefing that addresses relevant ITAR requirements as they pertain to classified and controlled unclassified information.

Foreign persons employed by, assigned to (extended visit) or visiting PSI, shall receive a briefing that addressees the following items:

- Prior to the release of classified material or controlled unclassified information to a foreign person an export authorization issued by DTCL needs to be obtained by PSI.



- Ensure foreign persons adhere to the PSI's security rules, policies and procedures and in-plant personnel regulations.
- Outline the specific information that has been authorized for release to them.
- Address PSI's in-plant regulations for the use of facsimile, automated information systems and reproduction machines.
- Any classified information they are authorized to have access and need to forward overseas will be submitted to PSI's security department for transmission through government-to-government channels.
- Information received at PSI for the foreign national and information that the foreign national needs to forward from PSI shall be prepared in English.
- Violations of security procedures and in-plant regulations committed by foreign nationals are subject to PSI sanctions.

## **V. ACCESS CONTROLS FOR FOREIGN NATIONALS**

PSI has devised a set of controls to ensure that foreign nationals do not obtain unauthorized access to any classified or controlled unclassified information. The principal features are:

- **Badges:** All visitors are required to wear a badge during their visit. Foreign-person badges shall be uniquely marked in Red. Foreign persons shall not be permitted access to restricted areas without security examination of this badge and visual verification that the badge belongs to the holder. Employees must be informed of the limitations and restrictions imposed for each different badge type.
- **Escorts:** It shall be the responsibility of the PSI host employee to escort, or arrange for an escort of a foreign person visiting PSI facilities at all times. The PSI escorting employee shall confirm with the Company Empowered Official the facility locations that the foreign person can visit and make sure that there shall be no exposure to controlled unclassified information. (NOTE: PSI supervisors of foreign persons shall ensure that foreign nationals are escorted in accordance with U.S. Government and PSI regulations.)
- **Secured Facility:** PSI is a secured facility. Visitors shall sign the entry log-sheet and display proof of US citizenship or permanent residency. See notes. All visitors shall wear a badge at all times. Visitors with a RED BADGE must be escorted at all times. U.S. Visitors wearing a BLUE BADGE do not require an escort.

## **VI. EXPORT-CONTROLLED INFORMATION**

The specific elements of unclassified information (there is no classified information at PSI at the present time) will involve technical information about any item that has been defined as an ITAR or controlled-for-export EAR item, and similar systems being



developed, including such items as Interface Control Documents, source code for defense article sensor drivers etc.

**VII. NON-DISCLOSURE STATEMENT**

All foreign persons shall sign a non-disclosure statement (specified by DTCL) that acknowledges that classified and controlled unclassified information will not be further disclosed, exported or transmitted by the individual to any foreign national or foreign country unless DDTC authorizes such a disclosure and the receiving party is appropriately cleared in accordance with its government’s personnel security system.

**VIII. SUPERVISORY RESPONSIBILITIES**

Supervisors of cleared personnel and foreign national employees and certain foreign national visitors shall ensure that the employees and visitors are informed of and cognizant of the following:

- Technical data or defense services that require an export authorization is not transmitted, shipped, mailed, hand-carried (or any other means of transmission) unless an export authorization has already been obtained by PSI and the transmission procedures follow U. S. Government regulations.
- Individuals are cognizant of all regulations concerning the handling and safeguarding of classified information and controlled unclassified information.
- Individuals execute a technology control plan (TCP) briefing form acknowledging that they have received a copy of the TCP and were briefed on the contents of the plan.
- U.S. citizen employees are knowledgeable of the information that can be disclosed or accessed by foreign nationals.

Point of contact for this TCP: Philip Kiel

Signature: \_\_\_\_\_

Name & Date: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Program Manager: Maya Galsor

Signature: \_\_\_\_\_

Name & Date: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Facility Security Officer: Philip Kiel

Signature: \_\_\_\_\_

Name & Date: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_



**IX. EMPLOYEE RESPONSIBILITIES**

All PSI employees who interface with foreign nationals shall receive a copy of the TCP and a briefing that addresses the following:

- Documents under their jurisdiction that contain technical data are not released to or accessed by any employee, visitor, or subcontractor who is a foreign national unless an export authorization has been obtained by PSI in accordance with the ITAR or the Export Administration Regulations (EAR).
- If there is any question as to whether or not an export authorization is required, contact the Facility Security Officer promptly.
- Technical information or defense services cannot be forwarded or provided to a foreign national regardless of the foreign nationals location unless an export authorization has been approved by DDTC and issued to PSI.

By signature below I certify that I have read the above Technology Control Plan and have been briefed on its contents, and I agree to abide by the stated terms and conditions to the best of my ability.

Employee:

**\*\* Insert name**]: Signature and Date: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_\_

**Technology Control Plan Attachments**

- TCP Attachment A: Facility Control Procedures
- TCP Attachment B: Foreign-Person Employee Non-Disclosure Agreement
- TCP Attachment C: Foreign-Person Employee Checklist & Briefing Record
- TCP Attachment D: Employee ITAR/EAR Out-Processing Form (for *all* employees)
- TCP Attachment E: PSI Export Log



**TCP Attachment A: Facility Control Procedures**

**Change History**

Date	Author	Summary of Changes
11/19/2015	Martha Estrada	Initial release.
05/24/2016	Martha Estrada	Major post-ECR changes
09/29/2021	Hugh Schmittle	Review, minor edits
04/02/2022	Hugh Schmittle	Review, minor edits
05/01/2023	Hugh Schmittle	Review, minor edits
04/15/2024	Hugh Schmittle	Review, minor edits

**1.1 PURPOSE**

This document provides procedures for protecting export-controlled items and data while in-house at Photo-Sonics, Inc. (“PSI”), as well as guidelines for the marketing and sales of export-controlled items.

This Facility Control Procedures document (FCP) delineates and informs employees of the controls necessary to ensure that no export of controlled items occurs unless authorized by the appropriate authorities.

**1.2 APPLICATION**

The procedures contained in this FCP apply to all PSI work locations.

**Responsibility**

It is the responsibility of the Empowered Official to maintain this document and to ensure it is adhered to.

The Export Compliance Officer (ECO) is responsible for implementation of this FCP and control of all export-related documents and forms.

All employees are responsible for understanding this FCP and for taking the necessary precautions to prevent disclosure of export-controlled items.

**1.3 DEFINITIONS**

The following definitions are applicable to this FCP.

Defense Article - Any item or technical data designated in the United States Munitions List (USML) (ITAR paragraph 121.1). It includes technical data recorded or stored in any physical form, models, mockups or other items that reveal technical data directly relating to items designated in the USML. It also includes forgings, castings, and other unfinished products, such as extrusions and machined bodies, that have reached a stage in manufacturing where they are clearly identifiable by mechanical properties, material composition, geometry, or function as defense articles

EAR - Export Administration Regulations



Export (according to the ITAR) - (1) An actual shipment or transmission out of the United States, including the sending or taking of a defense article out of the United States in any manner; (2) Releasing or otherwise transferring technical data to a foreign person in the United States (a deemed export); (3) Transferring registration, control, or ownership of any aircraft, vessel, or satellite subject to this subchapter by a U.S. person to a foreign person; (4) Releasing or otherwise transferring a defense article to an embassy or to any of its agencies or subdivisions, such as a diplomatic mission or consulate, in the United States; (5) Performing a defense service on behalf of, or for the benefit of, a foreign person, whether in the United States or abroad; or (6) The release of previously encrypted technical data as described in § 120.56(a)(3) and (4).

Export (according to the EAR) - actual shipment or transmission of items subject to the EAR out of the U.S., or release of technology or software subject to the EAR to a foreign person in the U.S.

Export-Controlled Item - any items subject to the controls of the ITAR or EAR.

Foreign Person - Any natural person who is not a US Citizen or a lawful permanent resident of the U.S. or who is not a protected individual (political asylee). 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).

ITAR - International Traffic in Arms Regulations

Significant Military Equipment - Articles for which special export controls are warranted because of their capacity for substantial military utility or capability (see items in section 121.1 of the ITAR).

Technical Assistance Agreement (TAA) – U.S. State Department approved document that allows the export of technical information, services, and possibly some equipment.

Technical Data - Information which is required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance, or modification of defense articles; classified information related to defense articles; information covered by an invention secrecy order; software directly related to defense articles.

U.S. Person - Any natural person who is US Citizen, a lawful permanent resident of the U.S. (Green Card holder), or who is a protected individual. It also means any corporation, business association, partnership, trust, society or any other entity, organization or group that is incorporated to do business in the U.S. It also includes any governmental (federal, state or local) entity.

#### **1.4 REFERENCES**

Export Administration Regulations (EAR)

Export Briefing Acknowledgement (in New Employee Orientation Checklist found at TCP Attachment 3)

International Traffic in Arms Regulations (ITAR) (22 CFR 120-130)



## **1.5 PROCESS**

### **1.5.1 INTERNAL PROCEDURES**

#### **1.5.1.1 PERSONNEL IDENTIFICATION**

- 1.5.1.1.1 All PSI employees, on-site contractors and visitors are required to wear badges at all times while on PSI premises. Badges shall be displayed at the waist or above and be visible at all times so that identification is easily determined. A full escort is required for any Visitor with a RED BADGE. Please check with the Company Empowered Official.
- 1.5.1.1.2 A WHITE badge with facility access indicates that an individual is a PSI employee U.S. person as defined above. This badge allows for full access to ITAR controlled technical information relating to all projects..
- 1.5.1.1.3 A RED badge indicates that an individual is a PSI visitor. This badge does not allow any access to ITAR controlled technical information and requires full escort while at PSI facilities.

#### **1.5.1.2 VISITORS**

All visitors are required to sign in upon arrival and obtain an appropriate badge from the reception desk. It is the responsibility of a visitor's host to ensure the visitor is a U.S. person prior to disclosing export-controlled information. Although the badge is assigned based on the citizenship indicated on the sign in card, the visit host or receptionist may request proof of citizenship and/or permanent resident status if deemed necessary. Visitors with a RED BADGE must be escorted at all times.

#### **1.5.1.3 EXPORT-CONTROL DETERMINATION**

The Export Compliance Manager, with guidance from Contracts Administration and the Project Manager, shall determine what, if any, export regulations are applicable to a project. This determination will be based on specific contract language and using the ITAR and EAR. Any engineering data or designs created from items determined to be export-controlled shall also be considered export-controlled.

#### **1.5.1.4 FOREIGN PERSONS POLICY**

Foreign persons will not be employed on any work that involves the disclosure of export-controlled information until license authority has been granted by the appropriate government agency.

#### **1.5.1.5 NON-DISCLOSURE STATEMENT OF ACKNOWLEDGMENT**

Foreign persons to whom technical data will be disclosed under license by DDTC, will be required to sign an appropriate non-disclosure statement. A signed and dated copy of that non-disclosure statement will be kept on file with the company empowered official, noting the referenced license number.

#### **1.5.1.6 EMPLOYEE AWARENESS**

Employees shall be briefed during the new employee orientation that some of the company's work is subject to export controls and unless there is an export license in place, this information shall not be disclosed to foreign persons.





All employees shall sign an export-briefing acknowledgement to indicate they understand the company policy on handling export-controlled items.

The Facility Security Officer and the Empowered Official are available as a resource to company employees for answering questions and clarifying this FCP, the ITAR and the EAR regulations.

#### **1.5.1.7 WORK AREAS**

Work on export-controlled items shall be performed in an area that excludes unauthorized foreign persons. Signs shall be posted stating that export-controlled work is in progress. If a foreign person needs to enter an export-controlled area, they shall coordinate with the project manager responsible for that area. The project manager shall ensure all export-controlled items are out of sight and all conversation relating to export-controlled items has ceased prior to allowing access to the foreign person.

#### **1.5.1.8 TECHNICAL DATA**

##### **1.5.1.8.1 MARKING**

Each page of export-controlled technical data shall be marked with appropriate statements to indicate export-control sensitivity.

##### **1.5.1.8.2 STORAGE AREAS**

Areas used for storing export-controlled items shall be marked as such. These areas shall be protected from unauthorized personnel at all times.

##### **1.5.1.8.3 NETWORK**

Access to areas on PSI's network containing export-controlled information is limited to authorized personnel only. Permissions will be communicated by the company CFO as recommended by the Empowered Official to PSI's IT department on a case-by-case basis.

#### **1.5.1.9 RECEIPT OF EXPORT-CONTROLLED ITEMS**

All incoming export-controlled items will be brought to the attention of the appropriate project manager. The project manager is responsible for maintaining/tracking export-controlled items related to his project. At the end of a project, retention/disposal of export-controlled items will be determined at contract closeout.

#### **1.5.1.10 TRANSMITTAL OF EXPORT-CONTROLLED ITEMS**

No employee or other person acting on behalf of PSI shall ship, mail, carry or transmit export-controlled items from the U.S. or within the U.S. with the knowledge or intent that the item/information will be shipped or transmitted from the U.S. to a foreign destination without proper government approvals/licenses. Obtaining appropriate governmental approval for all exports or disclosures shall be coordinated through the ECO.

#### **1.5.1.11 BUSINESS DEVELOPMENT ACTIVITIES**

##### **1.5.1.11.1 PUBLICITY**

Publicity for PSI's technology comes in many forms - web-site postings, product information and presentations to customers, and air show data sheets, handouts, and the display booth. Technical data and pictures should be reviewed by the ECO prior to posting or dissemination.



Note that although PSI may be involved with programs that are not specifically classified or ITAR sensitive they may be competition sensitive or company proprietary. PSI must be cognizant of this and exercise conservatism where appropriate when making announcements, posting pictures on the web site, and preparing presentations.

#### **1.5.1.11.2 PUBLIC SHOWS**

Participation in public shows is an excellent opportunity to introduce PSI and their technology to a significant number of potential customers. In addition, relationships can be built and fostered in an environment not as formal. Competitor information can also be gathered; however, this is equally true for PSI's technology and product development activities.

In support of public shows, PSI may take product models or mock-ups to display and show potential customers. These models and mock-ups may be subject to export restrictions and procedures for carrying or sending these models/mock-ups out of the country must be followed. Any exports should be coordinated through the ECO.

#### **1.5.1.11.3 SALES AND MARKETING**

If any foreign company approaches PSI, discussions can take place, however it must be made clear that PSI's technology is subject to export restrictions and detailed technical discussions will only take place subsequent to approvals by the U.S. State Department under a DSP-5 or a Technical Assistance Agreement (TAA), as appropriate. Contact the ECO for details on obtaining a TAA.

#### **1.5.1.12 VIOLATIONS**

Any perceived violations of this FCP or other export-control regulations (ITAR, EAR) shall be immediately reported to the ECO, who will generate a report and provide it to the Export Compliance Officer for final disposition.

#### **1.5.1.13 DOCUMENTATION**

The Empowered Official shall maintain all forms and documentation related to exporting activities.



## TCP Attachment B: Non-Disclosure Agreement for Foreign-Person Employees

### Access to ITAR-Controlled Defense Articles by Foreign Person Employees

I, [name of foreign person], acknowledge and understand that any technical data related to a defense article covered by the U.S. Munitions List to which I have access per authorization by the U.S. Department of State, Directorate of Defense Trade Controls (DDTC) under [state relevant export license/authorization number\*\*] and disclosed to me in my employment by Photo-Sonics, Inc. ("PSI"), is subject to the export controls of the International Traffic in Arms Regulations (ITAR) (Title 22, Code of Federal Regulations, Parts 120-130), particularly the 22 CFR 124.8 clauses.

1. This authorization shall not enter into force, and shall not be amended or extended, without the prior written approval of the Department of State of the U.S. Government.
2. This authorization is subject to all United States laws and regulations relating to exports and to all administrative acts of the U.S. Government pursuant to such laws and regulations.
3. The parties to this authorization agree that the obligations contained in this authorization shall not affect the performance of any obligations created by prior contracts or subcontracts which the parties may have individually or collectively with the U.S. Government.
4. No liability will be incurred by or attributed to the U.S. Government in connection with any possible infringement or privately owned patent or proprietary rights, either domestic or foreign, by reason of the U.S. Government's approval of this authorization.
5. The technical data or defense services exported from the United States in furtherance of this authorization and any defense article which may be produced or manufactured from such technical data or defense service may not be transferred to a person in a third country or to a national of a third country except as specifically authorized in this authorization unless the prior written approval of the Department of State has been obtained.
6. All provisions in this authorization which refer to the United States Government and the Department of State will remain binding on the parties after the termination of the authorization.

During my employment with Photo-Sonics, Inc. ("PSI"), I am authorized to interact and participate in discussions with other U.S. and foreign person, and disclose technical data as necessary, while performing my job duties covered under DDTC [\*\*case number]. It will be the responsibility of my employer, PSI, to notify other U.S. and foreign persons of my status as a foreign national employee prior to my interaction.

I also acknowledge and understand that should I inadvertently receive technical data or defense articles for which I have not been granted access authorization by DDTC, or if I



**NDA for Foreign-Person Employees**

*Attachment B to Technology Control Plan*

inadvertently export technical data or defense articles received during my employment to an unauthorized recipient, I will report such unauthorized transfer and acknowledge the transfer to be a violation of U.S. Government regulations.

In furtherance of the above, I hereby certify that all defense articles, including related technical data, to which I have access will not be used for any purpose other than that authorized by DDTC and will not be further exported, transferred, disclosed via any means (e.g., oral disclosure, electronic, visual access, facsimile message, telephone) whether in its original form, modified, or incorporated in any other form, to any other foreign person or any foreign country without the prior written approval of DDTC.

\_\_\_\_\_  
Signature – Foreign Person (Employee)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature – U.S Person (Employer)

\_\_\_\_\_  
Date

**\*\*Please leave sufficient space to enter the DDTC case number once approval is received.\*\***



**TCP Attachment C: Foreign-Person Employee Checklist / Briefing Record**

**New Hire Offer Package \*For HR Records Only\***

- Signed Offer Letter
- Attachment A: Arbitration Agreement
- Attachment B: Employee CPNNIAIAA
- Attachment C: Policy Regarding Outside Employment
- Signed (wet signature) PSI Application
- Signed (wet signature) PSI, FRASCO background Authorization
- E-Verify Processed and Filed

**COVID-19 Prevention**

- Mandatory COVID-19 Vaccination Policy \*\*\* (rev. 6-22-21)
- CCPA Notice to California Emp \*\*\* (rev. 6-1-20)
- COVID-19 Safety Package (masks, safety glasses, wipes, etc.)

**\*Verbal Reminders**

- Stay Home if Sick – Contact Sonny Bowman, HR Manager at [\(818\) 967-7126](tel:8189677126)

**HR Forms**

- Direct Deposit (rev. 7-1-21)
- Employee Mobile Authorization \*\*\* (rev. 11-19)
- I-9 Employee Eligibility Verification (rev. 10/31/2022)
- Notice to Employee Labor Code Section 2810.5 (rev. 03-19)
- Voluntary Self – Identification Post Offer Form (rev. 11-18)
- Voluntary Self – Identification of Disability Form (Exp. 05-23)
- Voluntary Employee Emergency Contact Information Form \*\*\* (rev. 11-13)
- W-4 (2024)
- Employee's Withholding Allowance Certificate (rev. 2-20)

**\*HR to complete ADP/Navision input**

**Company Information**

- PSI Organizational Chart
- 2024 Calendar (rev. 10-29-21)
- Emergency Information List (rev. 6-8-21)
- Equal Employment Opportunity Policy / Affirmative Action Plan (rev. 03-17)
- Quality Policy Objectives (rev. 4-12-21)



**Foreign-Person Employee Checklist**

*Attachment C to Technology Control Plan*

- PSI Core Values (rev.6-6-2022)
- Instructions for ADP Employee Portal (rev.7-1-21)

**ITAR**

- Export Compliance Policy/ Acknowledgement \*\*\* (rev. 12-31-19)
- Export Compliance: Dedicated intranet ITAR/EAR training modules
- ITAR/ EAR U.S. Person Policy & Questionnaire \*\*\* (rev. 1-9-20)
- ITAR/EAR Security Briefings with Empowered Official. Note: Special export-compliance briefing for foreign-person employees and managers of foreign-person employees

**H.R. Policies & Procedures**

- Anti-Kickback Policy 10-13-23
- Attendance Policy/Acknowledgement \*\*\* (rev. 11-12-21)
- Baby Bonding Leave Policy \*\*\* (11-17-2023)
- Business Attire Program Policy/ Acknowledgement \*\*\* (rev. 8-9-22)
- California Lactation Accommodation Policy (rev. 11-15-2022)
- Code of Business Ethics and Conduct/ Acknowledgement \*\*\* (rev. 3-6-23)
- Company Credit Card Policy
- Drug-Free Workplace Policy/Acknowledgement \*\*\* (rev. 1.2024)
- Eating in the Shop Policy/Acknowledgement \*\*\* (rev. 01-2024)
- E-Mail Protocol for In-House Communication/Acknowledgement\*\*\* (rev. 1-26-24)
- Employee Business Driver Policy/ Acknowledgement \*\*\* (rev 05-18) & Disclosure/ Authorization to Obtain Driving History Record \*\*\* (rev. 02-22-22) – **check job description if possible is stated if so employee needs complete the Authorization to Obtain Driving History Record**
- Employee Security & Sanctions Policy/ Acknowledgement \*\*\* (rev. 11-17)
- Employee Use of Personally Owned Tools Policy and Work Instructions Acknowledgment rev3-15-23
- Employee Personal Use of Cell Phone in the Workplace \*\*\* (rev.10-19-20)
- Human Resources Policy & Procedures for Employees (rev. 11-19)
- Machine Shop Safety Procedures/Acknowledgement \*\*\* (rev. 10-13)
- Music in the Work Place Program/ Acknowledgement \*\*\* (rev. 2-2021)
- No Expectation of Privacy Policy/ Acknowledgment \*\*\* (rev. 4-2023)
- No Smoking Policy/Acknowledgement \*\*\* (rev. 04-13)
- Paid Sick Leave Policy/ Acknowledgement \*\*\* (rev. 2.20.24)
- Payroll Policies - (Vac/Holiday/OT)/Acknowledgement \*\*\* (rev. 02.20.24)
- Unpaid Personal Leave Policy/Acknowledgement \*\*\* (rev. 6-6-23) & Unpaid Personal Leave Request Form (rev. 4-4-23)
- Policy Against Harassment /Acknowledgment\*\*\* (rev. 12-19) & Sexual Harassment Brochure (11-07)
- Policy Prohibiting Trafficking in Persons/ Acknowledgment \*\*\* (rev. 03-17)



## Foreign-Person Employee Checklist

## Attachment C to Technology Control Plan

- Reproductive Loss Leave Policy/Acknowledgement \*\*\* (rev. 1-3-2024)
- PSI Document Protocol Policy/ Acknowledgment \*\*\* (rev. 8-27-2021)
- Request for Time Off Procedure/Acknowledgement (rev. 11-25-20) & Request for Time-Off Form \*\*\* (rev. 2-14-23)
- Request for Training Policy/Acknowledgement (rev. 1-2020) \*\*\* & Request for Training Form (rev.1-21)
- Safe Wireless Communication Practices/Acknowledgement \*\*\* (rev. 06-2014)
- Secured Facility Policy/ Acknowledgement \*\*\* (rev. 12-19)
- Stockroom Policy \*\*\* (rev. 11-17-21)
- Time Keeping Policy/Acknowledgement \*\*\* (rev. 03-2023)
- Travel Time Pay/Acknowledgement\*\*\* (rev. 01-2020) & Travel Per Diem Calculation Form (rev. 12-19)
- Whistleblower Rights Policy/ Acknowledgement \*\*\* (rev 1-16-2020)
- Workplace Security, Anti-Violence Policy/Acknowledgement \*\*\* (rev. 12-19)

### I.T. Policies & Procedures

- I.T. Policies Summary Review \*\*\* (rev. 7-21-2022)

### Federal, State, and/or City Notices

- California Programs for the Unemployment- EDD (Disability Insurance, PFL) (Rev 04-18)
- E-Verify: 2 Notices – E-Verify Participation (Rev 12-10) & Right to Work Poster
- Family and Medical Leave Act (FMLA) Employee Rights Poster (Rev. 04-16)
- Employee Rights under the National Labor Relations Act
- FMLA Factsheet 2019
- Expanded-Family-And-Medical-Leave
- Pregnancy Disability Leave (Rev.3-19)
- Los Angeles Minimum Wage Poster (Eff. 4/1/19)
- New Health Insurance Marketplace Coverage Options (Exp.05-20) & Prescription Drug Notice (Rev. 6-11-18)
- Pregnancy Leave Pamphlet (rev. 04/17)
- Paid Family Leave (PFL) Insurance Program Pamphlet (07-20)
- Pay Transparency – Non-Discrimination Provision Notice
- Rights of a Victims of Domestic Violence, Sexual Assault, and Stalking (rev 05-17)

### 401K Notices

- Photo-Sonics, Inc. 401K Plan Automatic Enrollment Feature Notice (Eff. 01-2022)
- Photo-Sonics, Inc. 401K Plan Summary (rev. 08-19)
- Photo-Sonics, Inc. Summary Plan Description (rev. 01-17)
- QDIA Notice (rev. 11-19)



**Foreign-Person Employee Checklist**

*Attachment C to Technology Control Plan*

- Default Fund Information Sheet 2019

**Workers Compensation Benefits**

- Facts About Worker’s Compensation Pamphlet (rev. 1-2020)
- Division of Workers’ Compensation Factsheet (rev. 07-10)
- Medical Provider Network (MPN) Notification 2016
- Pre-designation of Personal Physician \*\*\* (rev. 01-17)

**Employee Safety**

- Safety & Health Policy 2024 (rev. 12-23)
- Safety, Workers’ Compensation & AS9100 Checklist \*\*\* (rev. 3-14)
- Safety Handbook w/ Code of Safe Practices Acknowledgement \*\*\* (rev. 1-2020)
- SDS Pamphlet/Quiz
- Overhead Crane Safety Summary

**Training**

- Emergency Safety Training: PSI COVID-19 Response Plan & AED – Date Completed:

- AS9100 Quality Training – Date Completed: \_\_\_\_\_
- IT Onboarding – Date Completed: \_\_\_\_\_
- Cyber Security & Cyber Attacks Training – Date Completed: \_\_\_\_\_
- IT Q & A – Date Completed: \_\_\_\_\_
- DoD Cyber Security Training – Date Completed: \_\_\_\_\_
- KnowBe4 Training – Date Completed: \_\_\_\_\_
- KnowBe4: A New Hire's Guide to Security Awareness– Date Completed: \_\_\_\_\_
- ESD/ FOD/ GHS/ Hazcom Training – Date Completed: \_\_\_\_\_
- Human Factor Training – Date Completed: \_\_\_\_\_
- Organizational Knowledge Training – Date Completed: \_\_\_\_\_
- Human Resources & Continuous Improvement Training - Date Completed: \_\_\_\_\_
- ITAR/EAR Online Training (to be completed within 30 days of hire) – Date Completed:

- Timecard Procedure – Date Completed: \_\_\_\_\_
- Navision Training – Date Completed: \_\_\_\_\_
- California Anti-Harassment Training \*Within 6 months of hire date\* (1 Hour - Employees, 2 Hours - Supervisors/Management Employees) – Date Completed: \_\_\_\_\_
- Counterfeit Parts Prevention Training (if applicable) – Date Completed: \_\_\_\_\_
- NDA Database Training (Engineers) – Date Completed: \_\_\_\_\_
- Lockout/Tagout Training (Shop) – Date Completed: \_\_\_\_\_





Foreign-Person Employee Checklist

Attachment C to Technology Control Plan

- Crane Training (Electrical Assembly & Tracking Mount) – Date Completed: \_\_\_\_\_
- Machinery Training (Shop) – Date Completed: \_\_\_\_\_
- Defensive Driving Course (if applicable) – Date Completed: \_\_\_\_\_
- Applicable LinkedIn/ Mineral Training – Subject: \_\_\_\_\_ Date Completed: \_\_\_\_\_
- Additional Related Training – Subject: \_\_\_\_\_ Date Completed: \_\_\_\_\_

**Security Clearance (if applicable)**

- Policy Regarding Classified Information/ Acknowledgment \*\*\*
- Security Indoctrination Briefing Training & Certificate of Completion
- Insider Threat Training & Certificate of Completion

**Employee Workstation/ Information**

- Computer
- Phone
- Timecard
- Keycard
- Work Center # \_\_\_\_\_
- Parking Space Number # \_\_\_\_\_
- PSI Shirt
- Back Support for Heavy Lifting (for Machinist, Tracking Mount, & Electrical Assembly)  
Requested: Y\_\_N\_\_ Size (S/M/L/XL): \_\_\_ Order placed with Debbie on: \_\_\_\_\_
- Emergency Contact Info added to Y Drive
- Introduce to Officers/ Relevant Employees – **\*Within 3 days of hire, 1 week for supervisors\***
- Send Notification emails to other applicants regarding filled status for position
- New Hire Information Added to...
  - Employee roster
  - Employee work schedule
  - Seniority list
  - ITAR/US Person log
- New Hire Qualifications Added to Matrices (If applicable)
  - Job Description
  - Employee Review form
  - PSI Website job posting removal
  - Assign Employee to Quarterly Safety & Quality Training group

- If Applicable:*
- Cell Phone
  - Credit Card
  - Business Cards



**Foreign-Person Employee Checklist**

*Attachment C to Technology Control Plan*

**On-Site Requirements (HR to Fill-Out)**

**ITAR/ EAR US Person Verification**

- **US Person document provided:** \_\_\_\_\_
- **Approved by:** \_\_\_\_\_
- **Date:** \_\_\_\_\_

**\*\*\* Items have an acknowledgement that require signing**

I acknowledge that I have received Photo-Sonics, Inc.'s New Hire Orientation binder with Company Information, Company Policies and Procedures, Federal, State, and City Notices/Information, 401K Summary Plan, and Workers Compensation Benefits information and have completed the HR Orientation Training.

My signature below acknowledges I agree to comply with all Company's policies, procedures, and requirements.

\_\_\_\_\_  
Employee's Name (First/Last)

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date Signed

-----  
This Section for HR Administrative Use Only

Copy Orientation Documents Given to Employee on: \_\_\_\_\_

Copy of Signed Forms to HR File(s) on: \_\_\_\_\_

\_\_\_\_\_  
HR Manager's Name (First/Last)

\_\_\_\_\_  
HR Manager's Signature

\_\_\_\_\_  
Date Signed



**Employee ITAR/EAR Out-Processing Form**

*Attachment D to Technology Control Plan*

**TCP Attachment D: Employee ITAR/EAR Out-Processing Form (for all employees)**



Date: \_\_\_\_\_ / \_\_\_\_\_ / 2024

**ITAR / EAR Out-Processing Statement**

**RE: Employee Name:** \_\_\_\_\_

*I certify that I have returned to PSI any and all items belonging to PSI, specifically including technical data, in any form, regarding defense articles. I understand that I am still bound by rules of confidentiality after employment by PSI. Furthermore, I understand that the restrictions against unauthorized disclosure of technical data regarding defense articles are a function of U.S. law, not just of the Non-Disclosure Statement I signed with PSI. I have been advised that the International Traffic in Arms Regulations ("ITAR") and the Export Administration Regulations ("EAR") provide for civil and criminal sanctions for such unauthorized disclosures.*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ /2024  
Employee

Signature: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ /2024  
Martha Estrada  
Company Empowered Official

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**PSI Export Log**

*Attachment E to Technology Control Plan*

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**TCP Attachment E: PSI Export Log**

All foreign shipments that are done by Photo-Sonics are to be logged using the form below. Currently this is done by Martha Estrada who also logs in ACE.

Date Shipped	Customer	Country	Sales Order/Invoice #	Export License	Exemption 123.4(a)(1)	Notes/ITN#