

Policy on Access to Fermilab

1. Purpose

The Prime Contract between Fermi Research Alliance, LLC (FRA) and the Department of Energy (DOE) requires that FRA develops and maintains a program to comply with requirements in the Unclassified Foreign Visits and Assignments Program (DOE O 142.3) and Safeguards and Security Program (DOE O 470.4) for Fermilab. This policy highlights the approach FRA shall use to consistently meet these requirements. Any additional, ad hoc, access-approval requirements imposed by DOE will be incorporated as modifications to the procedures supporting this policy.

It is imperative that Fermilab maintains a safe work environment with programs and processes that protect people and technologies, as well as to ensure sustainable scientific contributions to society while maintaining an inclusive environment. This document establishes FRA's policy framework for access (physical and remote).

2. Scope/Applicability

This policy applies to all employees, users, visitors, authorized guests, applicable Federal employees, and subcontractors accessing Fermilab sites (presently Batavia, IL and Lead, SD) and its associated resources.

In cases of emergency, external emergency responders shall coordinate onsite arrival with the Fermilab Security or Fire Departments.

3. Effective date

This policy goes into effect on May 1, 2017.

4. Policy

DOE is the ultimate owner and steward of the Fermilab sites and designated resources, therefore, can always control access to Fermilab sites. The Prime Contract authorizes FRA as the M&O contractor for Fermilab to develop, maintain, and exercise its own access protocols and approval mechanisms in compliance with requirements.

It is FRA policy to follow guidelines indicated in the DOE O 142.3 Unclassified Foreign Visits and Assignment Program and the DOE O 470.4 Safeguards and Security Program for evaluating permission to access Fermilab sites and/or associated resources. Such approvals for physical and/or remote access shall be based on information submitted in advance and may include consideration of the purpose of access, the identity of the individual, and aspects of their home institution or other affiliations. The nature of the approved work shall also determine the levels of access, review, or approval.

5. Definitions

Access to Fermilab sites is governed by identity of the individual, their institutional affiliation(s), and the nature of their proposed work. In this section, categories of access denoting distinct privilege and permissions are defined.

Authorized Guest – An individual who does not generally have business with the laboratory but is approved to access Fermilab facilities such as Fermilab Children’s Center, Fermilab Village Housing, or Recreation Center. Authorized

Guests are permitted to access external, non-public areas (including after-hours access to the site) and a controlled subset of card/key-controlled facilities.

Export Control Verification – The review and clearance for access to information or technology that is subject to United States Export Control Laws.

Federal Employees – Employees of the United States government, typically DOE employees, maintain a federal presence on site via the DOE Fermi Site Office (FSO). Other federal employees provide support to FSO and Fermilab, and require access to the Fermilab site. Occasionally, members of federal law enforcement or investigative units may also require access the site.

Access Control Board (ACB) – A team of Fermilab-related individuals who serve as subject-matter experts in the requirements, policies, and procedures associated with this policy, and whose goal is to support the maintenance and governance of this policy.

Foreign National Host – A Fermilab-approved individual responsible for the activities and conduct associated with the successful accomplishment of a visit or assignment. The foreign national host must ensure compliance with all requirements for access approval.

NPUA/Agreements - Written agreement between an institution and FRA which addresses liability and accountability for accessing Fermilab-associated resources.

Point of Contact (POC) – An FRA-approved individual who is accountable for the daily activities of the individual who they are escorting.

State Sponsors of Terrorism - Countries that have been identified by the Department of State as sponsors of groups and/or activities which support terrorism or terrorist activities and are on the list of state sponsors of terrorism.

Subcontractor - An individual working via a Procurement-managed subcontract with FRA.

Users – Individuals who access Fermilab facilities and resources for the purposes of advancing the scientific mission of the laboratory and whose work generally requires unescorted and/or after-hours access to non-public areas. The framework authorizing the work falls into two categories:

- **DOE Users** access one of Fermilab’s DOE-approved [User Facilities](#) which require a Non-Proprietary User Agreement ([NPUA](#)) agreement or via an [SPP/CRADA](#) agreement.
- **Fermilab Users** access one or more of Fermilab’s non-User Facility resources.

Visitor – An individual who has business with Fermilab that can be successfully achieved in typically less than two consecutive weeks, with less training, and a 100 percent escort requirement in non-public areas.

6. General

FRA employees are required to follow the Fermilab access verification processes and ensure proper approvals are granted prior to granting access to anyone else.

FRA employees and Fermilab site Users are permitted to extend invitations to other individuals to access Fermilab. The individuals extending invitations will be the designated point of contact (POC). All invitations are subject to approval. For

any invited user, visitor, authorized guest, or subcontractor who have origins or citizenship outside of the United States of America, the Fermilab POC is required to provide notification to the Directorate's Foreign Visits and Assignments Specialist prior to their arrival; consideration and approval by the Directorate and its procedures are a requirement.

On-Site (Physical) Access

Individuals requesting vehicular access to the Fermilab site are required to present a valid form of identification, which includes: a current Fermilab identification badge, a DOE HSPD-12 badge, uniformed law enforcement officers with proper credentials, or a valid government-issued photo identification card; and must indicate the intent of their visit (e.g. conduct work, tour the Laboratory's public areas, or attend a meeting). Please refer to the Fermilab Site Security Plan (authorized access only).

It is at the discretion of the FRA Chief Safety Officer to request a deviation from the Fermilab Site Security Plan, in the form of a temporary exemption, from the Fermi Site Office.

- FRA employees are required to follow the WDRS on-boarding process to obtain site-access privileges.
- All non-employees of FRA who will be conducting work on Fermilab sites are required to obtain access approval prior to performing work, accessing information, or conducting business. Individuals are required to provide valid government-issued identification and ensure they follow the process for on-site access located on the [Global Services Office](#) webpage. DOE Users are required to have a signed Non-Proprietary Users Agreement

- with FRA (NPUA) in order to conduct work.
- Export Control Verification applies. Please refer to the [Export Control Policy](#).
 - All individuals attending a conference or meeting, participating in a tour, or accessing facilities in public areas are not required to follow the Global Services on-site access process if they have a point of contact (POC), are escorted if entering non-public areas, and are registered with the POC of the event. Please refer to the [Fermilab website](#) or contact the Communications Center (located on WHGF) for more information on the public and non-public areas of Fermilab.
 - Foreign Nationals associated with or from countries designated as State Sponsors of Terrorism attending a non-public conference or meeting, participating in a non-public tour, or accessing facilities in non-public areas are subject to approval. Approval shall be requested well in advance to allow for a potentially lengthy review process.
 - Export Control Verification applies. Please refer to the [Export Control Policy](#).
 - Authorized Guests are required to obtain approval and provide valid government-issued identification.
 - Export Control Verification applies. Please refer to the [Export Control Policy](#).
 - Members of the public are allowed to access public areas of the site during public open hours. Public access hours are located on the [Fermilab website](#).

- Federal Employees on official business are permitted to use their HSPD-12 identification to gain visitor access to the site; however, for additional privileges they shall coordinate with the DOE Fermi Site Office prior to accessing the Fermilab site.
- Fermilab assigned Foreign National Hosts must ensure compliance with all requirements for access approval.

Remote Access

Individuals requesting remote access to Fermilab sites and associated resources are required to follow the process for remote access referenced on the [Global Services Office](#) webpage.

- Export Control Verification applies. Please refer to the [Export Control Policy](#).
- Foreign National Hosts will be assigned as applicable.

7. Approval

The FRA Chief Operating Officer (COO) is responsible for reviewing and approving the contents of this policy.

8. Communication

This policy will be made available to all individuals performing work with or for FRA on Fermilab sites. Upon request, this policy can be viewed by the general public when it assists them in understanding FRA's commitment to open, public access to certain areas of the Fermilab site (Batavia, IL) at certain times.

9. Ownership

Responsibility for reviewing, updating and communicating changes to this policy reside with the Governance Management System Owner.

10. Responsibilities

FRA Director

- Responsible for all programs related to this policy and delegates management of the requirements within this policy to the Governance Management System Owner.

FRA Chief Operating Officer

- Responsible for assuring that this policy is current and that there is effective, consistent implementation, and adherence to the requirements highlighted in this policy across Fermilab and its associated resources. The COO's maintenance of this policy and considerations for special cases shall be advised by the Access Control Board (ACB).

FRA Chiefs and Division/Section/Project Management

- Responsible for assuring that all requirements highlighted in this policy are effectively and consistently implemented with full adherence in their organizations.

FRA Office of General Counsel

- Responsible for legal analysis and advice on access issues; participants in training on export control and other legal issues.

DOE FSO Site Office Manager

- As the Officially Designated Security Authority (ODSA), responsible for approving the Site Security Plan and explicitly accepting any residual risk involved in operations. Serves as DOE approval authority for UFVAs and may curtail or suspend operations when continued operations would result in an unacceptable risk to the national security and/or to the health and safety of DOE and contractor employees, the public, or the environment.

Fermilab Point of Contact (POC)

- Responsible for providing general safety awareness and assistance when necessary to the individual that they are escorting in non-public areas. The POC is also responsible for ensuring that an Individual Training Needs Assessment (ITNA) is created when necessary.

FRA Division/Section/Project (D/S/P) Management, Administrative Support, or Designee

- Deemed responsible by their management for managing the invitations that are extended to individuals to visit the Fermilab site or its associated resources, and assuring that all requirements highlighted in this policy are consistently met.

Task Manager/Construction Coordinator (TM/CC) or Subcontractor Supervisor

- Responsible for assuring the all requirements highlighted in this policy are met and that all subcontractors under their supervision are aware of and adhere to the requirements highlighted in this policy. The TM/CC/Subcontractor Supervisor is also responsible for ensuring that an Individual Training Needs Assessment (ITNA) is created when necessary.

FRA Workforce Development Resources Section (WDRS) – Global Services Department

- Responsible for providing input and updates to the FRA Chief Operating Officer regarding all requirements of Unclassified Foreign Visits and Assignments as they relate to this policy; for providing awareness of this policy to all users accessing Fermilab site (physically and remotely); and for managing the list of active Foreign National Hosts and their assignments.

FRA Procurement Department

- Responsible for managing subcontracts with vendors and ensuring that the vendors are aware of Fermilab policies and site requirements.

Foreign Visits and Assignments Specialist in the Office of the (Fermilab) Director

- Responsible for obtaining access approvals for all individuals who have origins or citizenship outside of the United States who are invited to Fermilab or express desire to access/visit Fermilab (or its associated resources). The Foreign Visits and Assignments Specialist is responsible for executing the Invitation Letter process and initiating the Export Control process when applicable.

FRA Office of Partnerships & Technology Transfer (OPTT)

- Responsible for assuring that all active and inactive agreements with collaborating institutions and otherwise are appropriately communicated to the WDRS - Global Services Department and other stakeholders as appropriate.

Fermilab Designated Export Control Contact

- Responsible for executing all export control processes for all individuals who have origins or citizenship outside of the United States who are invited to Fermilab or express the desire to access/visit Fermilab.

Fermilab ID Badged Tour Guides & Docents

- Responsible for assuring that all tour participants are escorted by a Fermilab ID badged individual 100 percent of the time in non-public areas. Tour participants are prohibited from entering non-public areas without a Fermilab ID badged escort. Tours must be approved prior to being held and guides may be requested to provide additional information to the Directorate's Foreign Visits and Assignments Specialist.

FRA Conference Office

- Responsible for assuring that all meeting or conference organizers are aware of all requirements highlighted in this policy.

FRA Organizers of Conferences, Meetings, Seminars, Workshops, and otherwise

- Responsible for assuring that all attendees to onsite conferences consistently meet all requirements highlighted in this policy.

FRA Employees, and Fermilab Users, Visitors, Authorized Guests, Subcontractors, and Employees of the DOE FSO

- Responsible for adhering to this policy and supporting all processes associated with this policy.

11. Review cycle

This policy is to be reviewed at least every three years and updated as necessary.

12. References

This policy implements requirements established by the following documents:

- [DOE O 142.3 – Unclassified Foreign Visits and Assignments Program](#)
- [DOE O 205.1 Department of Energy Cyber Security Management Program](#)
- [DOE O 470.4 Safeguards and Security Program](#)
- [FESHM Chapter 2070 – Environmental, Safety, Health & Quality Training](#)
- [Fermilab Policy on Export Control](#)
- Fermilab Site Security Plan (Authorized Access Only)
- [Fermilab Emergency Management Policy](#)
- Global Services webpages - [On-site Access and Computing Accounts \(Remote Access\)](#)
- [Visit Fermilab - Hours and Site Access](#)
- FRA Unclassified Foreign Visits and Assignments Crosswalk
- Access Control Board Charter

*Approval of this Policy is located on the last page of this document *



Timothy I. Meyer, FRA Chief Operating Officer 05/04/2017 20170501
Date Rev.