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Policy  
for  
**NY CREATES Access Control**

**REVISION**

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16	DCN3610	Updated email addresses	June 2024	Caitlin Treacy	Joe Kosakowski

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# 1 PURPOSE AND SCOPE

The purpose of this policy is to outline access to the Albany NanoTech Complex (ANC) to include issuance of access badges, visitor's access, and processes related to the access control software. This procedure applies to all NY CREATES employees, as well as SUNY tenants, students, professors, contractors, subcontractors, suppliers, and visitors that need exterior and/or interior access to all buildings associated with the Albany NanoTech Complex.

# 2 DEFINITIONS

- 2.1 **Acceptable Forms of Documents** – Either a valid US non-driver's ID, a valid US driver's license, or a valid passport are required to be presented by a visitor each time they visit, both at the time of check-in and when they are issued their access badge. If the person is a permanent resident, they must present their permanent resident card at the time of check-in. Photocopies and digital images of documents will not be accepted.
- 2.2 **Access** – An individual has access to a card reader when that individual's proximity card is programmed in AMAG to allow them to open the associated door. Access can be defined by a timeframe, limited to certain days of the week and to certain times within those days.
- 2.3 **Access Cards** – Also referred to as the proximity card. With proper authorization, these cards are programmed by Access Control for employees, students, tenants, or contractors. They are used on exterior or interior card readers within the ANC. They are ordered by, stored with, and programmed by the Access Control administrator.
- 2.4 **Access Codes** – AMAG programming offers the ability to add and edit access codes. Tenants, students, and contractors may have multiple access codes specifically programmed for them. Once an access code is selected, custom programming can be used to add access to specific Readers, if necessary.
- 2.5 **Access Control** – Authorized NY CREATES personnel that programs proximity cards with authorized access codes, activates or deactivates each card, as determined by the Albany NanoTech Complex Access Card Request Form (**ANT-00001-F1**), and other requirements stated in this policy.
- 2.6 **Access Reports** – Can be run on individual card readers to show who has swiped a specific card reader during the specified report duration.

- 2.7 **Activity Reports** – Can be run on individual people that possess access cards. These reports show all card swipes to card readers that the individual has made during the specified report duration.
- 2.8 **ANC** – Albany NanoTech Complex
- 2.9 **Albany NanoTech Complex Access Card Request Form** – The required form (**ANT-00001-F1**) to be completed by the Authorized Sponsor and submitted to Access Control. Used to request ID badges and new access cards.
- 2.10 **Albany NanoTech Complex-Non-US Person Visitor Clearance Form** – The required form (**ANT-00001-F2**) to be completed by the Authorized Sponsor and submitted, at least ten business days prior to the visitor's expected date of arrival, to the designated members of NY CREATES Security. Non-US persons who become site residents will maintain their clearance until they are no longer site residents. Clearances for non-US persons who are not site residents will be valid for one year from the date the clearance returns from the FBI.
- 2.11 **AMAG** – Software that allows all the access control needs to be programmed, including providing reports.
- 2.12 **Authorized Sponsors** – NY CREATES; SUNY Faculty, Staff, and Students; Contractors; and each Tenant have representatives that are authorized to submit badge requests using **ANT-00001-F1** and **ANT-00001-F2**. They may also send access modifications via email to Access Control.
- 2.13 **Business Essential Meeting** – When a site host requests a waiver to a portion of the Access Control policy for a meeting with a visitor that, if not conducted on site and in person, has the potential to cause a financial loss, has political implications, or in some way jeopardizes the intended purpose of the meeting. Waivers are to be the exception not the rule.
- 2.14 **Camera Badges** – Controlled badges issued to authorized personnel upon submission of valid and duly approved **Camera Use Permit Form ANT-02001-F1**.

- 2.15 **Chemical Facility Anti-Terrorism Standards (CFATS)** – A regulatory program focused specifically on security at high-risk chemical facilities. Managed by the Cybersecurity and Infrastructure Security Agency (CISA), the CFATS program identifies and regulates high-risk facilities to ensure security measures are in place to reduce the risk that certain dangerous chemicals are weaponized by terrorists. In accordance with CFATS, access to certain doors are restricted until such time pedigree information is submitted from the prospective site resident or site resident for clearance.
- 2.16 **Cleanroom Access** – Requires cleanroom training to access specific cleanrooms; varies per individual depending on authorization. In the event it is necessary for a new employee to have cleanroom access, they should complete cleanroom safety training prior to the initial access card issuance. If it is not possible for the new employee to complete the cleanroom safety training prior to the initial access card issuance, they will be given a seven-day grace period. During this time, they will be granted cleanroom access, but must complete the cleanroom safety training within the grace period or have their access removed.
- 2.17 **Contractors** – Authorized individuals whose company they represent has signed a valid contract to provide products or services to site residents.
- 2.18 **Door Access Audit Report** – A report generated and emailed to door owners annually documenting persons with access to doors owned by the door owner.
- 2.19 **Door Owners** – Persons identified as someone having a proprietary interest in the space associated with the door.
- 2.20 **General Site Access** – Requires safety training to access main exterior doors, common hallways, company-specific office spaces, non-laboratory areas and non-cleanroom areas; varies per individual depending on authorization.
- 2.21 **Lab Access** – Requires lab safety training to access specific labs; varies per individual depending on authorization.
- 2.22 **NFE** – NanoFab East
- 2.23 **Non-US Person** – A person who is not a United States Citizen and does not hold permanent residency status, green card holder.
- 2.24 **NY CREATES** – New York Center for Research, Economic Advancement, Technology, Engineering, and Science. SUNY Center for Economic Development. Also refers to staff, researchers, and tenant cleanroom representatives.

- 2.25 **NY CREATES ID Cards** – Also referred to as the clip-on picture ID badge issued for proper identification of access cardholders.
- 2.26 **Other Access** – Access to locations that may require specific training and approval.
- 2.27 **Qualified Trainer** – Tenant representative who has been qualified by Environmental, Health, and Safety (EHS) and Cleanroom Management to conduct the same set of training required in this procedure.
- 2.28 **Readers** – Also known as card readers. They record the date, time, and location each time an access card is presented to it. Each card reader in the facility has a number labeled on the top or the side of the Reader. These numbers also appear in the programming to help identify which Readers to program. Readers can be locked, unlocked, and reset to a preset schedule.
- 2.29 **Required Training** – Prior to receiving an access card, a person must complete safety orientation training. Trainings may be located at <https://ny-creates.org/resources/> under the training tab.
- 2.30 **Site Residents** – Current residents with active access badges of the Albany NanoTech Complex composed of SUNY faculty, NY CREATES staff, and SUNY and NY CREATES researchers, Tenants, and contractors.
- 2.31 **Sponsor or Host** – Site resident who has arranged for a person to visit the site.
- 2.32 **Staff Essential** – An individual is given an ID with “STAFF ESSENTIAL” on the top right when they are employed by NY CREATES and are generally designated as those whose duties and responsibilities are considered mandatory for carrying out.
- 2.33 **STAFF ID Cards** – Vertical ID issued only to NY CREATES employees; contains employee’s photo, company affiliation, legal first and last names, cleanroom access designation, proximity card number, and STAFF designation in the upper right corner.
- 2.34 **Tenants** – Current site residents of the Albany NanoTech Complex whose company they represent has signed a valid contract to lease space from NY CREATES.
- 2.35 **Tenant Term Date Report** – A report generated and emailed to authorized sponsors annually documenting site personnel assigned their companies access code and the contractors associated with the company.

- 2.36 **Visitor** – Any individual arranged for by the sponsor to visit the site. Visitors must sign-in with security in the NanoFab East (NFE) Rotunda and wear a visitor pass. A resident that has lost his/her badge or has had their badge stolen and are waiting to receive a new one will be considered a visitor and must adhere to the same rules adhered to by a non-badged individual. Any person not in adherence with policies surrounding visits will be denied access.
- 2.37 **Visitor Management System** – Located in the NFE Rotunda and ZEN Lobby. All visitors use this system to sign-in; it produces a visitor pass identifying the visitor and their escort. Also used for Temporary IDs when an ID is lost or stolen.
- 2.38 **Visitor Pass** – Controlled disposable pass with “VISITOR” written in white on the top red part of the pass; issued for all authorized visitors or contractors to be on site that do not have an issued access badge.

### 3 RESPONSIBILITIES

**All ANC Residents, Authorized Contractors, and Visitors** shall obtain and wear applicable badges, following requirements stated in this procedure. Failure to adhere to these requirements may result in access termination; all trainings may need to be retaken to regain access.

- 3.1 **Site Residents** – Responsible for:
- Picking up and signing for their programmed proximity card
  - Agreeing to have photo taken for photo ID badge
  - Adhering to all access control policies outlined in **ANT-00001**
  - Safety orientation training or any other prerequisite training and rules regarding your badge document emailed at time of badge issuance. Failure to adhere to these policies may result in access termination; all trainings may need to be retaken to regain access.
  - The Site Resident will be required to provide a valid US non-driver’s license, US driver’s license, or passport at the time of pickup. Failure to provide this will result in the Site Resident not receiving their badge.

**3.2 Door Owner** – Responsible for:

- Approving or denying access to other site residents requesting access to an associated door who do not already have access to that door
- Annually reviewing door access audit reports

**3.3 Sponsor or Host** – Responsible for:

- Ensuring all visitors they host are escorted at all times and comply with all policies at the ANC

**3.4 Authorized Sponsor** – Responsible for:

- Completing **ANT-00001-F1** and **ANT-00001-F2**
- Reviewing tenant term date reports
- Ensuring visitors wear required proper badges and/or are escorted while on site
- Directing new personnel, authorized contractors, or visitors to obtaining required training
- Reporting visitor's whereabouts to designated coordinators in the event of evacuation
- Sponsors also may authorize changes to existing badges and remove or edit existing person's access

**3.5 NY CREATES Security** – Responsible for:

- Ensuring that all persons at the ANC are properly identified and provide necessary badges, following requirements stated in this policy

**3.6 Security Technician** – Responsible for:

- Installing and maintaining all hardware and software associated with access control
- Acting as liaison with associated vendors and NY CREATES staff

**3.7 NY CREATES Access Control – Responsible for:**

- Confirming training after receiving NY CREATES ID Access Card Request Forms
- Adding persons to AMAG completing all necessary fields
- Verifying the perspective site resident's identity via an acceptable document
- Providing form to card holder to sign during badging hours
- Photo ID badges, photo taking, and badge printing
- After programming is complete, an email notification is sent to the new perspective site resident (if email is provided) and the authorized sponsor who submitted the request. Access control also maintains email and files applicable to the process.
- Completing and emailing authorized sponsor's tenant term date reports, and editing access as necessary upon return from the authorized sponsor
- Completing and emailing door owners door access audit reports, and editing access as necessary upon return from the door owner

**3.8 Tenant Relations – Responsible for:**

- Approving changes to building spaces and Reader assignments

**4 ASSOCIATED DOCUMENTS**

- **ANT-00001-F1** – Albany NanoTech Complex - Access Card Request Form
- **ANT-00001-F2** – Albany NanoTech Complex Non-US Person Visitor Clearance Form
- **ANT-02001-F1** – Camera Use Permit Form



## 5 PROCEDURE

The following requirements shall apply to all individuals who enter the facilities as:

### 5.1 New Site Personnel to Receive an Access Badge, Site Residents and Contractors Working at ANC for Over One Work Week

- 1) Authorized Sponsor shall fill out **ANT-00001-F1 – Albany NanoTech Complex - Access Card Request Form** which is available at the NY CREATES webpage under the Resources tab under Policies, Procedures, and Forms.
- 2) Authorized Sponsor shall submit the request form to the NY CREATES Access Control Administrator at least 48 hours prior to expected date of arrival of the new site resident or contractor.
- 3) Access Control creates a record for new site personnel to receive an access badge in the Access Control database.
- 4) Upon arrival, new site personnel to receive an access badge shall register in the NFE Rotunda.
  - New site personnel to receive an access badge that are non-United States Persons will be required to undergo a clearance check prior to arriving at the Albany NanoTech Complex. The Authorized Sponsor shall fill out the additional fields within **ANT-00001-F1 – Albany NanoTech Complex - Access Card Request Form** for each new employee that is a non-US person. The form will then need to be sent to NY CREATES Security Erin Commerford at [ecommerford@ny-creates.org](mailto:ecommerford@ny-creates.org), and Joseph Kosakowski at [jkosakowski@ny-creates.org](mailto:jkosakowski@ny-creates.org) no less than 10 business days prior to the employee's arrival date.
  - Non-United States Persons who have site resident's clearances will be valid until they are no longer site residents.
- 5) After verification of identification, Security shall announce to the sponsor the arrival of the new site personnel, and confirm pick-up and escort beyond the NFE Rotunda.

**IMPORTANT:** Acceptable forms of identification for verification are:

- A valid US driver's license,
  - A US non-driver's license, or
  - A passport
  - A permanent resident cardholder will be required to present their permanent resident card at the time of check-in.
- 6) Security will assist site personnel to receive an access badge with creating a Photo ID using the Visitor's Management System to be used every day until the requested Access Card is available.
- 7) Sponsor shall pick-up new site personnel to receive an access badge and escort him / her beyond the NFE Rotunda until access cards are obtained.
- 8) In order to be issued the permanent ID and access cards, sponsors shall direct new site personnel to the NY CREATES Safety Orientation which covers topics including:
- Hazard Communication Program and Safety
  - NY CREATES Cleanroom Protocol
  - Information Technology
  - Security Awareness

**NOTE:** Other trainings may be required as well to obtain the proper badge access for your job requirements. Cleanroom Safety and/or Lab Safety is required by all persons who need cleanroom and/or lab access. If applicable, immediately after the training, trainers shall email the list of trainees or submit the training records to the EHS Administrator for applicable database update.

- 9) Access cards shall be programmed and activated by Access Control.
- 10) Access Control will notify Authorized Sponsor and new site personnel to receive an access badge (when possible) via email when the badge is ready.
- 11) New site personnel to receive an access badge shall proceed to the NY CREATES Access Control Office for photo ID and access cards issuance, during regular badging hours. Badging hours are 8 AM to 12 PM Monday – Friday or by appointment.

12) Names on ID badges are required to be the same as printed on the acceptable form of identification provided.

**NOTE:** Tech Valley High School students, and in some cases, contractors, will be issued identifications cards only.

#### 5.1.1 *Badge Changes / Replacements / Deactivation*

- All changes to access levels shall be requested via email to Access Control from the Authorized Sponsor.
- Access badges that are not used for a period of one year will automatically be deactivated by the access control software.
- Upon termination of services or employment, site residents and contractors, or sponsors, shall return the ID and access cards to Security. Access Control shall deactivate affected access cards, and, after 30 days, delete the employee record from file. All applicable request forms shall be archived.
- Site residents and contractors who have lost access cards shall notify Security immediately for access deactivation. All lost access cards shall constitute the responsible individual or tenant that sponsored the individual for an access badge a fee of a \$20 check or money order payable to Fuller Road Management Corporation, per access card lost.
- Upon tenant term date reports being completed, access cards not returned to NY CREATES Security upon an employee's separation shall constitute the tenant company a fee of \$20 payable to Fuller Rd Management Corporation, per access card not returned.

#### 5.1.2 *Hangtag Replacement / Deactivation*

- All lost vehicle hangtags shall constitute the responsible individual, or tenant that sponsored the individual for an access badge, a fee of a \$5 check or money order payable to Fuller Road Management Corporation, per vehicle hangtag lost.
- Upon tenant term date reports being completed, vehicle hangtags not returned to NY CREATES Security upon an employee's separation shall, if encompassed in their lease agreement, constitute the tenant company a fee of \$5 payable to Fuller Rd Management Corporation, per vehicle hangtag not returned.

## 5.2 All Visitors and Contractors

- 5.2.1 Visitors and Contractors such as field service engineers, technicians, and contractors, shall follow the same procedure as new site personnel to receive an access badge.
- 5.2.2 Visitors and contractors shall obtain a Visitor Pass from the Visitor's Management System in the NFE Rotunda.
- Visitors that are Non-United States Persons will be required to undergo a clearance check prior to arriving at the Albany NanoTech Complex. The Authorized Sponsor shall fill out the **ANT-00001-F2 – Albany NanoTech Complex Non-US Person Visitor Clearance Form** for each visitor that is a non-US Person. The form will then need to be sent to NY CREATES Security Erin Commerford at [ecommerford@ny-creates.org](mailto:ecommerford@ny-creates.org) and Joseph Kosakowski at [jkosakowski@ny-creates.org](mailto:jkosakowski@ny-creates.org) no less than ten business days prior to the visitor's arrival date.
  - A visitor's clearance will be valid for one year from the date of the clearance returning.
  - Any visitor who is expected to be on site five consecutive days or more will be required to have an access badge to continue access.
- 5.2.3 Whenever necessary, and with approval by Access Control, access cards may be issued directly by the Tenant to a visitor or contractor, only after required training has been obtained, either through NY CREATES designated trainers, or by qualified Tenant trainer, using the same set of materials as specified by NY CREATES EHS and Cleanroom Management. **All access cards issued by Tenants are subject to activation and deactivation only by Access Control.**
- 5.2.5 Sticker badges may be issued to student groups consisting of persons less than 17 years old, or if approved by NY CREATES Security.
- 5.2.6 Rosters of visitors (depending on the location of visit, number of visitors, and activity of visitors) received in advance that include names and date of births may be utilized instead of the visitor management system, when approved by NY CREATES Security.
- 5.2.7 The Director of Security, or his designee, may waive portions of the check-in process for a visitor(s) if the process may cause an additional security risk to the visitor(s).

### 5.3 **Process for Business Essential Meetings to Occur Within a NY Creates Designated Space with a Portion of the Access Control Policy Waived**

- 1) Every effort should be made by site personnel to conduct business operations that require on site visitors within the scope of the Access Control policy.
- 2) The factors the NY CREATES Director of Security or their designee will consider for waivers to the Access Control policy for business essential meetings are but not limited to:
  - Is the meeting “business essential”?
  - Did the requestor make every effort prior to the meeting to conduct the meeting, without any waivers to the Access Control policy?
  - Can the meeting be held in a virtual environment?
  - What access requirement(s) are requested to be waived?
  - Information or background of the visitors.
  - Number of visitors to attend meeting.
  - Have the visitors been recorded as being previously on site?
  - Does the requesting organization have an existing relationship with the visitor and their organization?
  - Frequency of requests.
- 3) NY CREATES Security will identify a room or space within NFE that will limit the access of visitors attending the meeting, and provide an opportunity for monitoring.
- 4) If a request to waive the non-US person clearance policy is approved, the information associated with the visitor will still be required to be submitted for clearance.
- 5) If approved, the visitor will still be required to be issued a visitor badge from the visitor desk.
- 6) If access is granted, the meeting will only take place in the designated location. NO tours or movement to other locations onsite will be allowed.

#### 5.4 **Procedure for Site Residents Requiring Access to Card Readers to Be Added to Their Access Card Not Already Within Their Access Codes**

- 1) The site resident requiring the access will make note of the card reader's four-digit number that is affixed to the card reader with white tape and black numbers.
- 2) The site resident should verify the necessity of the access with their supervisor.
- 3) The request for access will be emailed to Access Control at [accesscontrol@ny-creates.org](mailto:accesscontrol@ny-creates.org), and contain the card reader number, reason as to why access is needed, and duration of time access is needed. Access Control shall process the request to the Door Owner and communicate the results to the site resident who requested the access via email.

#### 5.5 **Authorized Sponsors Requesting Activity Reports**

5.4.1 Activity Reports for NY CREATES Employees may only be utilized for a legitimate business function, and must be approved by the NY CREATES Director of Security or their designee. If the person requesting the report believes the content of the report may lead to any disciplinary action to an employee, they will provide the information to the appropriate Human Resources office for further direction prior to requesting the report.

5.4.2 Activity Reports for Tenant Employees may only be utilized for a legitimate business function and must be approved by an authorized sponsor of the tenant employee.

#### 5.6 **Door Owners Requesting Access Reports**

5.4.3 Access Reports for NY CREATES Employees may only be utilized for a legitimate business function and must be approved by the NY CREATES Director of Security or their designee. If the person requesting the report believes the content of the report may lead to any disciplinary action to an employee, they will provide the information to the appropriate Human Resources office for further direction prior to requesting the report.

5.4.4 Access Reports for Tenant Employees may only be utilized for a legitimate business function and must be approved by an authorized sponsor of the tenant employee.

5.4.5 Access Reports by Card Reader can be run on individual card readers for a legitimate business function to show who possesses card swipe access to a specific card reader, when authorized by the door owner or NY CREATES Director of Security or their designee.

5.5.4 Access Reports by Access Code / Reader Group can be run by Access Code or Reader group for a legitimate business function to show who has a specific Access Code or Reader group programmed to their badge, when authorized by the Door Owner, NY CREATES Director of Security or their designee.

**6 COURIER SERVICES / POSTAL CARRIERS**

Delivery of small packages are limited to drop off points that do not require access cards, such as NY CREATES or tenant lobbies and receiving areas. Deliveries to all other personnel where access cards are required shall be directed to the designated area located at the Receiving Dock of NanoFab North (NFN). Deliveries of smaller packages will only be accepted at the Security Control Center after hours.

**7 ANY INDIVIDUAL CARRYING CAMERAS ONSITE**

Whoever has a need to take pictures anywhere on site shall submit a properly filled-out, approved, and valid Camera Use Permit Form (**ANT-02001-F1**) to Security or Tenant Relations.

Security shall then issue a Camera Badge for the requestor to wear above the waist while using the camera, as authorized on the Camera Use Permit Form.

Camera Badges shall be returned to Security on or before the expiration date stated on the badge.

**8 RECORDS**

NAME	FORMAT	LOCATION
Albany NanoTech Complex - Access Card Request Form (Original Active, and Inactive)	Electronic	NY CREATES Document Control System (QT9) and Intranet site
Camera Permit Forms (Original Active, and Inactive)	Electronic	NY CREATES Document Control System (QT9) and Intranet site
Camera Permit Forms (completed)	Paper	NY CREATES Security Files
Visitor Sign-In Info	Electronic	Visitor Management System
EHS Training Records (Original/Copies)	Paper	NY CREATES EHS Files
EHS Training Records	Electronic	Shared Access Database and QT9
Visitor and Temporary Badge Info	Electronic	Visitor Management System
ID Badges and Proximity Cards Log	Electronic	NY CREATES Access Control Database