

NIH POLICY MANUAL

3047 - TRANS-NIH ANIMAL FACILITY SECURITY PROGRAM

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1. **Explanation of Material Transmitted:** This revised chapter outlines policies and procedures, and describes individual and organizational responsibilities for obtaining approval from the NIH, ORS, Division of Physical Security Management (DPSM), before beginning any construction, renovation or major equipment installation in NIH owned or leased animal facilities, including but not limited to, those located at the NIH Bethesda, Maryland; NIHAC Poolesville, Maryland; NIAID/NCI-Ft. Detrick Frederick, Maryland; NIEHS Research Triangle Park, North Carolina; and Rocky Mountain Laboratory Hamilton, Montana campuses.
2. **Filing Instructions:**
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A. Purpose

This chapter updates policy and guidelines for the Trans-NIH Animal Facility Security Program which applies to all NIH owned and leased facilities.

B. Policy

The Trans-NIH Animal Facility Security Program shall meet, at a minimum, the requirements of the *NIH Physical Security Design Guidelines*, (See Appendix 1). The NIH Animal Facilities are viewed as critical research assets and shall be protected from harm.

C. References

See Appendix 1 for applicable codes and standards affecting this chapter.

1. NIH Manual Chapter 1743, "Keeping and Destroying Records," Appendix 1, NIH Records Control Schedule:
<http://www1.od.nih.gov/oma/manualchapters/management/1743/>
2. NIH Manual Chapter 1370, "Fire Protection and Life Safety Building Permit Process" <http://www1.od.nih.gov/oma/manualchapters/management/1370/>
3. NIH Manual Chapter 3040-2, "Animal Care and Use in the Intramural Program" <http://www1.od.nih.gov/oma/manualchapters/intramural/3040-2/>
4. NIH Manual Chapter 1381, "Physical Security" <http://www1.od.nih.gov/oma/manualchapters/management/1381/>
5. NIH Manual Chapter 1301 "Conduct of Persons and Traffic Regulations at NIH" <http://www1.od.nih.gov/oma/manualchapters/management/1301/>

D. Definitions

1. **Animal Facility** - Any NIH owned or leased facility used to house, care, feed or exercise NIH research animals.
2. **Division of Physical Security Management (DPSM)** - The organizational component responsible for ensuring physical and engineering security initiatives at NIH owned or leased facilities comply with Federal standards and are integrated with the operational requirements of the Division of Police (DP) and the Division of Personnel Security and Access Control (DPSAC). This includes various electronic security measures, including but not limited to, surveillance and lock systems.
3. **Division of Police (DP)** - The Division of Police, is the organizational component responsible for operational oversight of all physical security and access control systems installed, upgraded or otherwise acquired by DPSM and DPSAC. DP's mission is the protection, safety and security of all NIH personnel, facilities and equipment.
4. **Division of Personnel Security and Access Control (DPSAC)** - The organizational component responsible for conducting background checks of all NIH personnel and granting access to the NIH owned and leased facilities.
5. **IC Animal Program Director (APD)** - The Institute or Center official with overall responsibility for the IC's animal program.
6. **Local Law Enforcement Agency (LLEA)** - An armed force that provides emergency law enforcement response and has arrest authority for the jurisdiction for which the response is required.

7. **Office of Animal Care and Use (OACU), Office of Intramural Research (OIR)** - The office that ensures NIH intramural programs comply with Federal laws and regulations and Department and Agency guidelines on animal care and use. OACU administers the Interagency Research Animal Committee which serves both to advise the Assistant Secretary for Health on related matters affecting Federal programs and as a liaison with other Federal agencies and foreign governments on matters of animal care and use.
8. **Operational Oversight** - The function which ensures system interoperability within the existing command and control architecture and capabilities of emergency first responders. When there is an issue that arises which cannot be reconciled between DPSM and DP or DPSM and DPSAC the Associate Director for Security and Emergency Response will make the final determination.
9. **Police Intelligence** - Components of the Division of Police and local law enforcement agencies that provide expert security related information and have access to information concerning previous or anticipated threats directed against an animal facility by an individual or group.
10. **Security Assessment** - A comprehensive review of a facility or building to determine the facility's susceptibility to an attack or action that would adversely affect a critical research asset or function.
11. **Security Initiatives** - Regulations, standards, policies or procedures required to ensure a secure environment.

E. Responsibilities

1. **Associate Director for Security and Emergency Response (ADSER):**
 - a. The individual responsible for approving any requests for deviations to the use of the NIH access control system.
 - b. The individual with the ultimate responsibility for resolving any conflicts between the parties mentioned below in matters affecting security and emergency response regarding any NIH owned or leased animal facility.
2. **Division of Physical Security Management:**
 - a. In conjunction with the IC APD responsible for a specific animal facility DPSM will perform an initial security assessment of all NIH owned or leased animal facilities.

- b. The DPSM will conduct a follow-up security assessment of all NIH owned or leased animal facilities every three years. If an animal facility relocates or undergoes renovations or substantial structural changes, a new assessment will be conducted by DPSM, upon written notification by the IC Animal Program Director, within 14 business days.
- c. The assessment will identify deficiencies and vulnerabilities in the existing security environment and make recommendations necessary for improving overall security. Recommendations will be in accordance with *NIH Physical Security Design Guidelines*. (See Appendix 1.)
- d. The DPSM will present a written report of the assessed area to the IC Animal Program Director or his/her designee. Additionally, one copy of the report will be forwarded to the Director, OACU and one copy will be maintained in DPSM files. Recipients of the above reports should maintain them in a secure location to ensure they are not obtained by person(s) or group(s) who carry out activities that adversely affect the NIH biomedical research mission. (See Section G. Record Retention and Disposal.)

3. IC Animal Program Directors:

- a. It shall be the responsibility of the IC Animal Program Directors to advise DPSM, in writing, of any new, relocated, renovated or significantly changed animal facility within 14 business days.
- b. IC Animal Program Directors or their designees will attend DPSM security assessment briefing presentations involving their respective program facilities and will be responsible for implementing recommendations determined to be acceptable and appropriate by the IC Animal Program Director or his/her designee.
- c. As appropriate each IC Animal Program Director is responsible for recommending funding for all proposed security initiatives.
- d. The DPSM will be notified, in writing, when assessment recommendations have been completed. All notifications will be maintained in files located in DPSM to ensure that all information is properly secured, up-to-date and readily available to those with a bonafide need to know. (See Section G. Record Retention and Disposal.)
- e. IC Animal Program Directors shall comply with [NIH Manual Chapter 1381](#), “Physical Security”, when requesting new security measures, changes to existing security measures or the consideration of new or existing security hardware/software systems.

- f. IC Animal Program Directors will advise the Office of Research Facilities Development and Operations (ORFDO), of any proposed, new, modification, renovation or change to existing animal facilities.
- g. IC Animal Program Directors shall provide written notification of any concerns related to physical security to the Associate Director, Security and Emergency Response (ADSER), ORS. Conflicts will be resolved by the mutual agreement of the ADSER and the Director, OACU.

4. Division of the Fire Marshal:

- a. In compliance with [NIH Manual Chapter 1370](#) “Fire Protection and Life Safety Building Permit Process” the Division of the Fire Marshal, ORS and DPSM will participate, as appropriate, in any proposed, new, modification, renovation or change in existing security measures to ensure the facility is maintained in a safe and secure manner.

5. Division of Police:

- a. The Division of Police is responsible for working with the Local Law Enforcement Agency (LLEA), to provide assistance as needed at any NIH owned or leased animal facility. At the Bethesda campus, the Division of Police may be contacted at (301) 496-5685. Facilities located off the Bethesda campus are to call 911 or the local emergency number for assistance from LLEA.
- b. The Division of Police, in conjunction with LLEA, will provide police intelligence for all NIH owned or leased animal facilities. Any police intelligence concerns should be forwarded to the Division of Police at (301) 496-9862.

6. NIH Project Officers:

- a. Where provision(s) of the *NIH Physical Security Design Guidelines* supplement Section P conflict with provision(s) in *the NIH Design Policy and Guidelines*, the Project Officer will obtain a ruling from the Associate Director for Security and Emergency Response (ADSER) on matters affecting security.
- b. The Uniform Federal Accessibility Standards (UFAS) and/or the Americans with Disabilities Act (ADA) are applicable and shall not be waived or superseded by the provisions of *the NIH Physical Security Design Guidelines*. Where a provision of the *NIH Physical Security*

Design Guidelines appears to conflict with a requirement of UFAS or ADA, the Project Officer will obtain a ruling from the ADSER on matters affecting security.

- c. Where a provision of the *NIH Physical Security Guidelines* appears to conflict with a requirement of the International Building Code (IBC), latest edition, the Project Officer will obtain a ruling from the ADSER on matters affecting security.

F. Procedures

1. NIH owned or leased animal facilities shall be protected from un-authorized entry by means of the NIH access control system. Only the use of the NIH access control system, as approved by the ADSER, is permitted. Deviations to the use of the NIH access control system are permitted by the written authorization of the ADSER. Any additional commercial control/ monitoring systems, not related to the NIH access control system, shall be at the direction of the Director, OACU.
2. The perimeter doors of the animal facilities protected by the NIH access control system shall have high security core key override. The high security core master key will be the property of the NIH Division of Police, ORS and NIH Division of Fire/Rescue Services, ORS. Additional master keys will not be permitted unless authorized in writing by the ADSER, and such keys shall be controlled in an electronic "key watcher" secure lock box.
3. Use of audio and video recording devices including but not limited to cell phone cameras, digital/cassette dictation devices, cameras and video recording equipment in NIH owned or leased animal facilities is strictly prohibited except in performance of approved activities in the animal facility and prior approval by the IC APD, or designee, responsible for that specific animal facility. The use of image recording devices in NIH animal facilities will be governed by the provisions of NIH Manual Chapter 1381 "Physical Security".

G. Records Retention and Disposal

Records Retention and Disposal: All records (e-mail and non-e-mail) pertaining to this chapter must be retained and disposed of under the authority of the [NIH Manual Chapter 1743](#), "Keeping and Destroying Records," Appendix 1, NIH Records Control Schedule, Section 1300 Station Management (all items that apply) and Section 2600 Procurement, Property and Supply Management (all items that apply).

NIH e-mail messages: NIH e-mail messages (messages, including attachments, that are created on the NIH computer systems or transmitted over the NIH networks) that are evidence of the activities of the agency or have informational value are considered Federal records. These records must be maintained in accordance with current NIH Records Management guidelines. Contact your IC Records Officer for additional information.

All e-mail messages are considered Government property, and if requested for a legitimate Government purpose, must be provided to the requester. Employees' supervisors, the NIH staff conducting official reviews or investigations, and the Office of Inspector General may request access to or copies of the e-mail messages.

E-mail messages must also be provided to the Congressional Oversight Committees, if requested, and are subject to the Freedom of Information Act requests. Since most e-mail systems have back-up files that are retained for significant periods of time, e-mail messages and attachments are likely to be retrievable from a back-up file after they have been deleted from an individual's computer. The back-up files are subject to the same requests as the original messages.

H. Management Controls:

1. **Office Responsible for Reviewing this Chapter:** Through this manual issuance, the Division of Physical Security Management, ORS is responsible for ensuring that management controls are implemented and working.
2. **Frequency of Review:** Ongoing review.
3. **Method of Review:** The DPSM will maintain oversight and ensure effective implementation and compliance with this policy through a number of resources, including but not limited to participation with ORFDO on design, construction and renovation projects, information or questions received from the IC's, biennial security assessments, random unannounced checks, and reports through various other security and safety partners including but not limited to the ORS Division of Police, ORS Division of the Fire Marshal, the ORFDO Division of Property Management, Facilities Management Branch, Locksmith and ORFDO Division of Property Management, Facilities Management Branch, Door/ Security Maintenance Team.
4. **Review Reports:** Reports are sent to the Associate Director, Security and Emergency Response, the Associate Director for Research Services and the Deputy Director for Intramural Research. Issues of special concern will be brought to the immediate attention of the Associate Director for Security and Emergency Response.

Appendix 1

Applicable Codes and Standards excerpted from the NIH Physical Security Design Guidelines

Note: For security reasons, access to copies of the *NIH Physical Security Guidelines* is limited to key project personnel and is based on a project specific need-to-know.

- A. The Interagency Security Committee (ISC) *Security Design Criteria, for New Federal Office Buildings and Major Modernization Projects*, latest edition, except as modified by the NIH Physical Security Design Guidelines, apply to all NIH – owned new facilities construction and major modernization projects.
- B. The Department of Justice (DOJ) *Vulnerability Assessment of Federal Facilities* dated June 28, 1995, except as modified by the *NIH Physical Security Design Guidelines*, apply to existing NIH-owned facilities.
- C. The NIH Physical Security Design Guidelines supplement Section P of The NIH Design Policy and Guidelines.
 - 1. The *NIH Design Policy and Guidelines* pertaining to the design of research laboratories, vivariums and general areas of NIH facilities are complementary with the *NIH Physical Security Guidelines*.
 - 2. Where a provision(s) of the *NIH Physical Security Guidelines* conflicts with a provision(s) in The *NIH Design Policy and Guidelines*, the Project Officer will obtain a ruling from the Associate Director for Security and Emergency Response (ADSER).
- D. The NIH master plan, latest edition or update, applicable to the site on which the building is located shall apply, including all security features of the master plan.
- E. The Uniform Federal Accessibility Standards (UFAS) and/or the Americans with Disabilities Act (ADA) are applicable and shall not be waived or superseded by the provisions the *NIH Physical Security Guidelines*. Where a provision of the *NIH Physical Security Guidelines* appears to conflict with a requirement of UFAS or ADA, the Project Officer will obtain a ruling from the ADSER on matters affecting security.
- F. The International Building Code (IBC), latest edition. Where a provision of the *NIH Physical Security Guidelines* appears to conflict with a requirement of the IBC, the Project Officer will obtain a ruling from the ADSER on matters affecting security.
- G. The National Fire and Life Safety Codes, latest editions
- H. DHHS (NIOSH) Publication No. 2002-139, *Guidance for Protecting Building Environments from Airborne Chemical, Biological, or Radiological Attacks*. Available on www.cdc.gov/niosh.
- I. The *NIH Standard Security Door Openings (SSDO) Matrix*, latest edition.

- J. *Laboratory Security and Emergency Response Guidance for Laboratories Working with Select Agents* (CDC MMWR December 6, 2002/51(RR19);1-8. available on www.cdc.gov/mmwr/preview/mmwrhtml/rr5119a1.htm).
- K. 10, CFR, Part 20.1801 and the Nuclear Regulatory Commission regulations on security of radioactive materials, available on www.nrc.gov.
- L. Memorandum from the Secretary of the Department of Health and Human Services dated March 6, 2002 with 12 “Requirements for Securing Select Agents”.
- M. *Guidelines for Construction and Equipment of Hospitals and Medical Facilities*, latest edition, published by the American Institute of Architects Academy of Architecture for Health, the Facilities Guidelines Institute and with assistance from the U.S. Department of Health and Human Services.