

# NIH Policy Manual

## 3047 - Trans-NIH Animal Facility Security Program

**Issuing Office:** OD/OM/ORS/SER/DPSM **Phone:** [\(301\) 443-7287](tel:3014437287)

**Release Date:** 12/05/2017 ?

Transmittal Notice

- 1. Explanation of Material Transmitted:** This chapter is being reissued to update policies and procedures of the Trans-NIH Animal Facility Security Program, and describe individual and organizational responsibilities for obtaining approval from the National Institutes of Health (NIH), Office of Research Services (ORS), Office of Security and Emergency Response (SER), Division of Physical Security Management (DPSM), before beginning any construction, renovation or major equipment installation activities in any NIH Intramural Research Program owned or leased animal facilities.
- 2. Filing Instructions:**

**Remove:** NIH Manual 3047, dates 5/14/2008

**Insert:** NIH Manual 3047, dated 12/05/2017

**PLEASE NOTE:** For information on:

- Content of this chapter, contact the issuing office listed above.
- NIH Policy Manual, contact the Division of Management Support, OMA, on (301) 496-4606 or enter this URL: <https://oma.od.nih.gov/DMS/Pages/Manual-Chapters.aspx>

### A. Purpose

This chapter outlines the policies and guidelines for the Trans-NIH Animal Facility Security Program which is applicable to all NIH owned and leased animal facilities.

### B. Scope

The policy and procedures in this chapter apply to all personnel within NIH Institutes and Centers (ICs) or Office of the Director (OD) Offices and organizational responsibilities for obtaining approval from the NIH, Office of Research Services (ORS), Office of Security and Emergency Response (SER), Division of Physical Security Management (DPSM), before beginning any construction, renovation or major equipment installation activities in any NIH Intramural Research Program owned or leased animal facilities.

## C. Policy

The NIH Animal Facilities are viewed as critical research assets and shall be protected from harm. The Trans-NIH Animal Facility Security Program shall meet, at a minimum, the requirements of the [NIH Policy Manual, Chapter 1381](#), *Physical Security Project Requirements for NIH Owned and Leased Facilities*, *The Department of Homeland (DHS) Interagency Security Committee (ISC) Risk Management Process*, and applicable appendices, the *NIH Physical Security Policy and Design Requirements (PDR)*.

## D. References

1. DHS Interagency Security Committee (ISC), Risk Management Process and appendices, latest edition. Further information can be found at <http://www.dhs.gov/interagency-security-committee-standards-and-best-practices>
2. NIH Physical Security Policy and Design Requirements: Access is limited to key project personnel and is based on a project specific need-to-know
3. [NIH Design Requirements Manual](#)
4. DPSM Physical Security Policies and Design Requirements (PDR): Access is limited to key project personnel and is based on a project specific need-to-know.
5. [NIH Policy Manual, Chapter 1743: Keeping and Destroying Records](#)
6. [NIH Policy Manual, Chapter 1370: Fire Protection and Life Safety Building Permit Process](#)
7. [NIH Policy Manual, Chapter 3040-2: Animal Care and Use in the Intramural Program](#)
8. [NIH Policy Manual, Chapter 1381: Physical Security Project Requirements for NIH Owned and Leased Facilities](#)
9. [NIH Policy Manual, Chapter 1301: Conduct of Persons and Traffic Violations at the NIH](#)
10. [NIH Policy Manual, Chapter 6307-3: Special Clearance and Other Acquisition Procedures](#)
11. [American with Disabilities Act and Architectural Barriers Act Accessibility Guidelines](#)
12. [Americans with Disabilities Act \(ADA\)](#)
13. [International Building Code \(IBC\)](#)
14. Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC)
15. [National Fire Codes, latest edition](#)
16. DHHS (NIOSH) Publication No. 2002-139, "Guidance for Protecting Building Environments from Airborne Chemical, Biological, or Radiological Attacks". Available on [www.cdc.gov/niosh](http://www.cdc.gov/niosh).
17. [NIH Standard Security Door Openings \(SSDO\) Matrix, latest edition](#).
18. 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](http://www.cdc.gov/mmwr/preview/mmwrhtml/rr5119a1.htm).
19. [10, CFR, Part 20.1801](#) and the Nuclear Regulatory Commission regulations on security of radioactive materials, available on [www.nrc.gov](http://www.nrc.gov).

20. Memorandum from the Secretary of the Department of Health and Human Services dated March 6, 2002 with 12 “Requirements for Securing Select Agents”.
21. “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.
22. [Biosafety in Microbiological and Biomedical Laboratories](#)
23. [Photography, Filming, or Video Recording at the NIH](#)

## E. Definitions

1. **Animal Facility:** Any and all buildings, rooms, areas, enclosures, or vehicles, including satellite facilities, used for animal housing, transport, maintenance, breeding, or experiments inclusive of surgical manipulation.
2. **Animal Laboratories:** Any NIH owned or leased investigator area where research animals are taken for conducting approved research procedures.
3. **Central Animal Facility:** An animal facility managed by the Division of Veterinary Resources (DVR), Shared Resources (SR), Office of Research Services (ORS), and utilized by one or more than one Institute or Center (IC).
4. **Institute and Center (IC) Animal Program Directors (APD):** A Doctor of Veterinary Medicine with training or experience in laboratory animal science and medicine, who is supervised by, and receives delegated program authority from the Scientific Director (per delegated authority via the IC Director from the Institutional Official) for all activities involving animals in an IC.
5. **Improvements:** Any betterment or change to an existing property to allow its continued or more efficient use within its designated purpose (Renovation), or for use for a different purpose or function (Alteration).
6. **Local Law Enforcement Agency (LLEA):** An armed force that provides law enforcement, emergency response and has arrest authority for the jurisdiction for which the response is required.
7. **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 Division of Police (DP) or DPSM and Division of Personnel Security and Access Control (DPSAC), the Associate Director for Security and Emergency Response (ADSER) will make the final determination.
8. **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.
9. **Renovation:** Improvements that consist of any betterments or changes to an existing property to allow continued or more efficient use within its designated purpose.
10. **Satellite Animal Facility:** Any containment outside a core animal facility or centrally designated or managed area in which animals are housed for more than 24 hours.

11. **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.
12. **Security Initiatives:** Regulations, standards, policies or procedures required to ensure a secure environment.
13. **Shared Animal Facility:** An animal facility shared by more than one IC and managed by a Lead IC.
14. **Study Area:** Any building room, area, enclosure or other containment outside a core facility or centrally designated or managed area in which regulated animal species are housed more than 12 hours.

## **F. Responsibilities**

### **1. Office of Animal Care and Use (OACU), Office of Intramural Research (OIR)**

- a. The office with authority to act on behalf of the Institutional Official to ensure that NIH programs and facilities for animal care and use are in compliance with this policy, the Guide for the Care and Use of Laboratory Animals (Guide), the Public Health Services (PHS) Policy on Humane Care and Use of Laboratory Animals, and the US Animal Welfare Act Regulations (AWR), and maintain Full Accreditation with AAALAC, International (AAALAC). This authority is exercised by the Director, OACU.

### **2. Office of Research Services (ORS) Associate Director for Security and Emergency Response (ADSER)**

- a. Responsible for approving any requests for deviations to the use of the NIH access control system.
- b. Responsible for resolving conflicts between parties in matters affecting security and emergency response in NIH owned or leased animal facility.

### **3. ORS Division of Physical Security Management (DPSM)**

- a. 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.
- b. In conjunction with the IC Animal Program Director (APD), is responsible for a specific animal facility, DPSM shall perform an initial security assessment of all NIH owned or leased animal facilities.
- c. Conducts 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, within 14 business days upon written notification by the IC Animal

Program Director.

- 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 “DHS Interagency Security Committee (ISC) Standards” and “NIH Physical Security Policy and Design Requirements (See Appendix I).
  - Provide 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.
- d. Reviews and approves physical security requests for animal facilities.

#### **4. Institute and Center (IC) Animal Program Directors (APD)**

- a. Responsible for all activities involving animals in an IC and is responsible for ensuring compliance with this policy, the Guide, the PHS Policy, the US Animal Welfare Regulations (AWR), and the maintenance of the animal care and use program and facilities to AAALAC accreditation standards.
- b. IC APD or designee(s) attends 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 APD or his/her designee.
- c. Notifies DPSM 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).
- d. Complies with NIH Manual Chapter 1381, “Physical Security Project Requirements for NIH Owned and Leased Facilities”, and “DPSM Physical Security Policies and Design Requirements (PDR)” when requesting new security measures, changes to existing security measures or the consideration of new or existing security hardware/software systems.
- e. Advises the Director, Office of Research Facilities Development and Operations (ORFDO) or designee, of any proposed, new, modification, renovation or change to existing animal facilities.
- f. Provides 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.

#### **5. ORS Division of the Fire Marshal (DFM)**

- a. Serves as the NIH "Authority Having Jurisdiction" as defined by the National Fire Protection Association, and, in that capacity, provides final authoritative judgments required in the application and interpretation of current fire codes and other applicable standards, regulations and policies regarding all aspects of fire safety at the NIH.
- b. Provides consultation and technical assistance to the NIH and the extramural biomedical research community regarding work practices, and facility design and construction concepts that enhance fire safety and includes providing comprehensive fire protection engineering reviews of structure modifications and new construction plans and proposals.
- c. Provides fire safety information and training
- d. Develops methodology for assessing and mitigating fire hazards associated with biomedical research.
- e. Conducts technical fire investigations
- f. Develops NIH policies and procedures regarding fire protection and life safety.
- g. Conducts periodic fire safety surveys to detect hazardous conditions, measure performance of fire safety devices, and assess compliance with fire safety policy.

#### **6. ORS Division of Police (DP)**

- a. 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.
- b. 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.
- c. In conjunction with LLEA, provides 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.

#### **7. ORS Division of Personnel Security and Access Control (DPSAC)**

- a. Responsible for conducting background checks of all NIH personnel and granting access to the NIH owned and leased facilities.

#### **8. Office of Research Facilities Development and Operations (ORFDO), Division of Design and Construction Management (DDCM)**

- a. Manages the design and construction of NIH facilities.
- b. Obtains security design requirements for animal facilities from ORS DPSM.
- c. When provision(s) of the “NIH Physical Security Policy and Design Requirements” conflict with provision(s) in the “NIH Design Requirements Manual”, obtain a ruling from the Associate Director for Security and Emergency Response (ADSER) on matters affecting security.
- d. The Architectural Barriers Act (ABA) or the Americans with Disabilities Act (ADA) are applicable and shall not be waived or superseded by the provisions of the “NIH Physical Security Policy and Design Requirements”. Where a provision of the “NIH Physical Security Policy and Design Requirements” appears to conflict with a requirement of the ABA or ADA, the Project Officer will obtain a recommendation from the ADSER on matters affecting security. Waiver requests must be endorsed by the Directors of ORS and ORFDO, or designees, and be submitted to the U.S. Access Board for approval.
- e. Where a provision of the “NIH Physical Security Policy and Design Requirements” appears to conflict with a requirement of The International Building Code (IBC), latest edition, the Project Officer will obtain a recommendation from the ADSER on matters affecting security. The recommendation must be approved by the Director, ORFDO, or designee, and the ADSER.

#### **9. Director, Office of Research Facilities Development and Operations (ORFDO)**

- a. Is the steward of NIH buildings and facilities and supports the NIH mission by providing, maintaining, and operating safe, healthy, and attractive facilities in compliance with applicable buildings codes, standards and guidelines.
- b. The Director or designee, in collaboration with the Director, ORS, reviews and recommends how to proceed with requests for variances to ABA or ADA guidelines that are subject to the U.S. Access Board approval process.
- c. The Director or designee, reviews, endorses or recommends against proceeding with security measures that conflict with the IBC.

### **G. 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 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 Division of Police, ORS and NIH Division of Fire/Rescue Services, ORS.
3. Additional master keys will not be permitted unless authorized in writing by the ADSER, and such keys shall be controlled in an electronic KeyWatcher Key Control cabinet.
4. Use of audio, photography and video recording devices for imaging animals 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 IC Animal Care and Use Committee activities in the animal facility or animal laboratory, or with prior approval by the IC APD, or designee, responsible for that specific animal facility or animal laboratory. The use of image recording devices in NIH animal facilities will be governed by the provisions of the "NIH Physical Security Policy and Design Requirements" and further guidance can be found in [Photography, Filming, or Video Recording at the NIH](#).

## H. Records Retention and Disposal

All records pertaining to this chapter must be retained and disposed of under the authority of [NIH Manual 1743](#), "Keeping and Destroying Records," Appendix 1, "NIH Records Control Schedules" (as amended). These records must be maintained in accordance with current NIH Records Management and Federal guidelines. Contact your [IC Records Liaison](#) or the NIH Records Officer for additional information.

## I. Internal Controls

1. **Responsibility for Reviewing Internal Controls Relative to this Chapter:** 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 sources, 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. Monitoring reports will be collected through security and safety partners including, but not limited to the ORS Division of Police, ORS Division of the Fire Marshal, the ORFDO Division of Facilities Operations and Maintenance Locksmith and Door Teams and ORFDO Division of Design and Construction Management.
4. **Review Reports are sent to:** The Associate Director, Security and Emergency Response, ORS, the Director, ORS 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

**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.

1. 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.
2. 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.
3. The NIH Physical Security Design Guidelines supplement Section P of The NIH Design Policy and Guidelines.
  - a. 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*.
  - b. 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).
4. 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.
5. 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.
6. 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.
7. The National Fire and Life Safety Codes, latest editions
8. DHHS (NIOSH) Publication No. 2002–139, *Guidance for Protecting Building Environments from Airborne Chemical, Biological, or Radiological Attacks*. Available on [www.cdc.gov/niosh](http://www.cdc.gov/niosh).
9. The *NIH Standard Security Door Openings (SSDO) Matrix*, latest edition.
10. *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](http://www.cdc.gov/mmwr/preview/mmwrhtml/rr5119a1.htm).
11. 10, CFR, Part 20.1801 and the Nuclear Regulatory Commission regulations on security of radioactive materials, available on [www.nrc.gov](http://www.nrc.gov).
12. Memorandum from the Secretary of the Department of Health and Human Services dated March 6, 2002 with 12 “Requirements for Securing Select Agents”.

13. *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.