

Subject: PHYSICAL SECURITY POLICY

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7-00-00 DEFINITION AND PURPOSE

Physical security is that part of "security" that applies physical measures for the protection of personnel, facilities, materials, equipment, and documents against threats other than overt military action. It is, therefore, the purpose of this policy to provide guidance to DHHS officials regarding the required functional aspects of physical security for the buildings and facilities used by DHHS organizational elements.

7-00-10 POLICY

The policy of this Department is to have a strong and cost-effective physical security program to protect employees and property on a Departmentwide basis.

7-00-20 SCOPE AND APPLICABILITY

Chapters in this manual series on physical security contain information as follows:

- o Chapter 7-00 defines the departmental Physical Security Policy, and prescribes responsibilities for administration of the program.
- o Chapter 7-01 delineates the scope of physical security in terms of exterior and interior physical security matters.

- o Chapter 7-02 provides emphasis on the provision of evacuation plans for physically handicapped employees and visitors.

7-00-30 AUTHORITY

Title 18, Section 301, United States Code; and Federal Property Management Regulations, 41CFR 101-20.5. HHS GAM Chapter 6-30, (Computer) Physical Security.

7-00-40 RESPONSIBILITIES

- A. The Secretary of HHS has delegated the responsibility for physical security throughout the department to the Assistant Secretary for Management and Budget.
- B. The Assistant Secretary for Management and Budget (through the Deputy Assistant Secretary for Management and Acquisition) is responsible for:
 - o Prescribing physical security policies for all internal DHHS physical security activities.
 - o Overseeing the Department's Physical Security Program.
 - o Conducting periodic inquiries and/or inspections regarding the status of Physical Security Programs in OPDIVs, Regional Offices, in OS headquarters and at specific DHHS facilities and installations.
- C. The heads of Operating Divisions (OPDIVs), Regional Directors and the OS headquarters manager are responsible and accountable for the following:
 - o Developing and updating documentation to supplement this departmental policy to include policies, procedures and/or technical handbooks as appropriate for activities and facilities under their jurisdiction.
 - o Appointing collateral duty Physical Security Coordinators at all appropriate organizational levels to assist in carrying out this responsibility.

- o Insuring that the scope of the Physical Security Program under their control addresses all matters as described in Chapters 7-00 through 7-02 of this manual.
- o Insuring that particular emphasis is given at the individual installation and/or building level for the development and use of procedures for employee/occupant evacuation to include specific emphasis on instructions for evacuation of handicapped employees.
- o Providing the training necessary to insure that the procedures developed can be carried out in a professional manner. (see 7-00-50)
- o Insuring that administration of the Physical Security Program will include those matters specified in 7-00-60.
- o Insuring that on-site physical security measures in individual buildings are handled using the following guidelines:
 - . In buildings owned or leased by HHS, or owned or leased by GSA and exclusively used by DHHS, or owned by GSA and operated by DHHS under a delegation of authority from GSA, the senior DHHS official with space management responsibility has the assignment to implement this policy as it relates to space under his/her jurisdiction and control. Where two or more DHHS organizational elements occupy the same building or facility and each have space management responsibilities over portions of the building, these officials will share implementation responsibility and issue a single or mutually compatible directive covering DHHS employees occupying the building or facility. The lead in developing physical security plans and directives in such situation will rest with the HHS element having the most affected employees at the building/facility/campus.
 - . In buildings or facilities that are not totally occupied by DHHS and are controlled

by other government agencies (such as GSA) or non-government organizations or individuals, the DHHS policy will be applied within the space being utilized exclusively for DHHS activities. If there is an agreement with the other occupants or the owner of a facility, HHS officials, are authorized to jointly issue implementing directives.

. Determining what data elements/records and procedures are necessary for employee-badging programs and insuring compliance with the provisions of the Privacy Act of 1974. This includes publication in the Federal Register of appropriate Privacy Act systems of records notices.

D. Other Federal agencies have related security responsibilities as follows:

- o Federal Protective Service (FPS). This organization is responsible for the protection of life and property in "public buildings" as defined by the Federal Property and Administrative Services Act of 1949. Consistent with economy and good management, FPS will protect GSA owned and leased space under its jurisdiction to provide safe working conditions for occupant agencies. GSA will provide occupants and property with reasonable safeguards against injury, loss or damage due to fire, accident, theft, natural disaster, demonstrations, or civil disorders. The FPS contracts with private guard services to augment their own staff. A small number of investigators are employed by the FPS to enforce Federal laws. For additional guidance see FPMR 101-20.103.
- o Federal Bureau of Investigation (FBI). The FBI investigates all allegations of violations of Federal laws with the exception of those concerning matters which by legislative enactment or other direction are within the investigative jurisdiction of another Federal or local agency. Included

within the range of responsibilities for the FBI are investigations relative to the theft of Government property, and crimes on government installations.

- o Drug Enforcement Administration (DEA). The DEA of the U.S. Department of Justice has the primary responsibility of enforcing Federal laws and statutes relating to narcotic drugs, marijuana, depressants, stimulants and other controlled drugs. It assists and cooperates with State and local law enforcement agencies and regulates the legal trade in narcotics and dangerous drugs.
- o United States Secret Service (USSS). The USSS of the Department of the Treasury has responsibility for the protection of the President and Vice-President of the United States, members of their immediate family, Heads of State of Foreign Governments, Presidential Candidates and other Federal Officials designated for such protection by the President. In addition, the Secret Service has the authority for the investigation of crimes relating to the counterfeit of currency and other Treasury obligations, the theft, forgery or illegal possession of U.S. Savings Bonds and U.S. Treasury checks.
- o Postal Inspection Service (PIS). The PIS of the United States Postal Service is responsible for criminal investigations dealing with the postal establishment. This includes mail fraud and protection of mail and postal property. Within DHHS, this includes misuse of the Department's official mailing privilege by employees for personal matters.

E. Other aspects of "security" are assigned within DHHS as follows:

- o The Assistant Secretary for Management and Budget is responsible for establishing and implementing telecommunications and ADP security programs.
- o The Assistant Secretary for Personnel Administration is responsible for establishing and implementing personnel and information security programs.
- o The Security and Protection Branch of the Immediate Office of the Secretary provides protective services for the Secretary in the Washington-Baltimore area. On request, field personnel from the Office of the Inspector

General will assist by providing intelligence information of a security nature and by establishing and maintaining local law enforcement liaison contacts necessary for the personal protection of the Secretary in areas outside the Washington-Baltimore area.

7-00-50 AWARENESS, EDUCATION AND TRAINING

It is essential that all responsible departmental officials take appropriate actions to insure a high level of physical security awareness by all employees at all times. This effort will include but not be limited to various forms of education and training.

7-00-60 ADMINISTRATION

- A. All OPDIVs, Regional Offices, and the appropriate OS headquarters management official will submit an abbreviated annual report on the Physical Security Programs of their respective organizations and areas of responsibility due on December 31 of each year. The reporting period will be defined as the fiscal year.

The report will be directed to the office specified in 7-00-60C below. The report will contain a general description of the Physical Security Program of the organization, the name of the Physical Security Coordinator, a list of all applicable OPDIV, Regional Office, or headquarters element physical security policy documentation and/or procedures - excluding specific building evacuation plans. Significant events occurring within the past year relating to the Physical Security Program will be described.

- B. By way of reference, DHHS officials designing a Physical Security Program are encouraged to obtain a copy of the GSA Internal Physical Security Handbook, PMS P 5930.1, or a later edition if available.
- C. The organization within the Office of the Secretary responsible for physical security policy is the Division of Special Programs Coordination in the Office of Management Operations in the Office of the Deputy Assistant Secretary for Management and Acquisition. Questions, suggestions or comments may be directed or called to that office at the address listed below:

Division of Special Programs Coordination
330 Independence Avenue, S.W.- Room# 4700
Washington, D.C. 20201
Telephone (202) 245-7426 or FTS 245-7426

Subject: EXTERIOR AND INTERIOR PHYSICAL SECURITY MEASURES

7-01-00	Definition and Scope
10	Purpose
20	Responsibilities
30	Exterior Physical Security Measures
40	Interior Physical Security Measures
50	Employee Badging

7-01-00 DEFINITION AND SCOPE

As defined in chapter 7-00, physical security is that part of "security" that applies physical measures for the protection of personnel, facilities, materials, equipment, and documents against threats other than overt military action. This chapter delineates matters for consideration in addressing the exterior and interior security of buildings and facilities.

7-01-10 PURPOSE

The purpose of this chapter is to identify the steps necessary for determining exterior and interior protection requirements to prevent and/or control loss or damage to DHHS facilities, injury to DHHS employees, and to enhance the security of equipment, materials and documents.

7-01-20 RESPONSIBILITIES

Chapter 7-00 specifies the Physical Security Program responsibilities for officials of DHHS. This chapter does not add to those responsibilities but rather delineates in more detail the considerations that must be addressed by Physical Security Coordinators.

7-01-30 EXTERIOR PHYSICAL SECURITY MEASURES

Physical security surveys to determine the degree of protection required must be conducted for each DHHS facility/installation. The result of a survey may eventually become the Facility/Installation Security Plan. It is not feasible or necessary for each location to have the same degree of

protection. Some of the considerations for determining the degree of protection required are as follows:

- A. The value of that which is to be protected and the impact of its potential loss are significant factors.
- B. The need for guard patrolling of a facility or installation must be determined as an integral part of an overall plan. This protection method is costly. Automatic security and fire detection systems designed for continuous operation generally offer a higher degree of protection at less cost. The need for guards to protect against theft, intrusion and vandalism and to control admittance of personnel during or after normal business hours are key issues to be considered.
- C. Fire protection considerations are important. Statistically, most fires occur while a building is occupied. An effective fire prevention program should be a part of the Safety and Occupational Health Program covering each building. Facility-related fire protection features are normally the responsibility of the office charged with building and space management. Refer to the HHS Safety Management Manual, OSHA Standards and NFPA Codes for additional guidance to provide adequate fire protection for HHS facilities and buildings. It is also recommended that the local fire department be contacted for fire safety surveys and building familiarization.
- D. The matter of protecting critical or sensitive areas needs careful study. Major computer sites, telecommunications facilities and life support equipment such as power, water, gas and HVAC components need special protection. Consideration must be given to restricting access to these types of sites.
- E. Consideration must be given to installation and use of protective lighting which can discourage unauthorized entry or inappropriate activity outside a building.
- F. Consideration should be given to alarm systems as a means of communicating a warning of potential or present danger. Systems are available to protect against vandalism, burglary, fire and smoke and to control entry and exit.
- G. Consideration must be given to having the appropriate level of building entry control. Options should be studied for their cost-effectiveness. One or more of the following

means can be utilized:

- o Closing of all except absolutely necessary entrances.
- o Staffing of entrances with security guards or receptionists.
- o Controlling access through badging of employees and visitors. (See 7-01-50).
- o Controlling access through special locking and/or electronic or computerized recognition devices.
- o Inspecting packages and other materials entering or leaving the building.

7-01-40 INTERIOR PHYSICAL SECURITY MEASURES

The Facility/Installation Security Plan must address measures for interior physical security. Some of the considerations for determining the degree of protection necessary involve the following:

- A. Various special areas within a building will require special access controls such as special badging, special locking systems, etc. An analysis of the degree of protection required versus the cost of the protection must be made.
- B. Special steps must be taken for the protection of government checks, savings bonds, etc.
- C. Special protection must be given for controlled substances, dangerous drugs, narcotics, small arms, ammunition, dangerous chemicals and laboratory substances, etc.
- D. Consideration must be given to designing a key control system if key locks are one of the elements of a physical security system.
- E. Special physical security measures must be taken for locations where various types of classified documents are stored and/or used by staff. For these programs it is possible to get security consulting assistance from the Federal Emergency Management Agency. The provision of paper shredding equipment and the proper handling of waste shredded paper may become a factor.

- F. It may be necessary to install adequate lighting and/or intrusion detection systems in very sensitive areas.
- G. It will be necessary to develop and publish an Emergency Evacuation Plan for each building/facility. The plan must be definitive on a number of issues related to effective evacuation made necessary due to fire, bomb threat, or other disturbance. Special emphasis in these plans will be given to provisions for the evacuation of the handicapped.
- H. Consideration should be given to the possibility or necessity of x-raying incoming mail/packages as a part of mail handling security.

7-01-50 EMPLOYEE BADGING

- A. OPDIV, Regional and OS Headquarters policies issued in accordance with paragraph 7-00-40C of this manual will include directives for issuance of ID badges. This chapter does not speak to the necessity or issuance of identification papers or devices that are not also to be used for physical security purposes.
- B. Although OPDIVs, Regional and OS Headquarters are required to issue directives relating to ID/badging cards, it may not be necessary to make it mandatory that an ID/badging mechanism be used for all facilities or all employees. Rather, the application of ID/badging cards within the overall physical security plan is optional at the discretion of the OPDIV Head, Regional Director and OS Headquarters Manager. The responsible official may determine that other forms of physical security entry control are more cost-effective.
- C. All ID/badging systems used for physical security purposes within the Department are required to conform to the policy in this chapter no later than the beginning of fiscal year 1992. HHS Regional Offices and OS Headquarters elements will conform to this policy no later than the beginning of fiscal year 1991.
- D. When it is determined that a form of ID/badging cards is to be used either alone or as part of a more comprehensive employee identification and/or physical security system, the HHS Form 576 (Rev. 06/01/87) is the sole form authorized for use within the Department. Use of all other forms is to be discontinued by the dates mandated in paragraph 7-01-50A

above. With respect to the application of this form:

- o The form may be obtained in various background/print colors for general coding purposes though specific background/print colors will not be assigned to specific organizational elements. The cards may be ordered with provisions for magnetic strips and other forms of "reader" identification. The cards may also be ordered so as to be affixed via adhesive to other security/entry cards or devices.
- o The application of the form may be customized with respect to actual detailed design of locally added color sections, coding schemes, label data elements, etc.
- o Use of the color of solid red or blue labels on the standard light blue background on the front of the HHS Form 576 panel will be restricted on a Departmentwide basis to selected senior Departmental officials as assigned by the Division of Buildings Management and Telecommunication in the Office of the Secretary. Colors and other distinguishing design features selected by OPDIV Heads, Regional Directors, and the OS Headquarters Manager to customize their ID badges will be registered prior to the submission of an order for their customized version of the existing HHS Form 576 that heretofore was provided with only a standard light blue color background on the front panel. Similarly, other distinguishable features on the front of the HHS Form 576 that should be considered when custom designing and identified for registration purposes are:
 - o Badge background color
 - o Picture background design and color
 - o Border design and color
 - o Organization designation print on the front label

Registration and clearance for use of a customized HHS Form 576 will rest with the:

Division of Special Programs Coordination (DSPC)
Office of Management and Operations
Department of Health and Human Services
330 Independence Ave., S. W. - Room 4700
Washington, D. C. 20201
Telephone (202) 245-7426 or FTS 245-7426

- o The HHS Form 576 will be procured and the distribution controlled for the entire Department on a centralized basis by the Division of Administrative Services within the Office of the Secretary. The mailing address is the same as for DSPC. The telephone number is 245-6333.
- E. OPDIV, Regional and OS Headquarters policies issued regarding ID/badging systems will insure the following:
- o Badge/ID will be issued and controlled in such a way as to have a mandatory expiration time period not to exceed five years;
 - o Storage, distribution and utilization of blank copies of HHS Form 576 will be controlled at all levels throughout the organization to insure that blank forms do not fall into the hands of unauthorized personnel;
 - o Processing procedures for all personnel leaving employment or ending other relations (such as contract) with the organization will insure that badges are collected and destroyed. Physical Security Coordinators will insure that appropriate logs and controls are in place to insure compliance with this provision;
 - o Departmentwide acceptance of all badges issued on the HHS Form 576 for entry into general office space of any HHS organization where there are no unique or special security requirements.
- F. All HHS organizational elements are encouraged to make maximum use of "cross-servicing" arrangements with established administrative elements for issuance and control of badges so as to promote efficiency in administration of the system. (Example: OPDIV field elements may elect to have the Regional Office, Division of Administrative

Services provide badge/cards for their employees). This policy is not meant to imply that all field elements within any given region must use a single ID system; rather, OPDIV field elements will follow the badging/policy of their respective OPDIVs. Within a regional office proper, however, a single system will be utilized in accordance with the OS badging/ID policy.

- G. After issuance of an identification badge, in areas where there is any degree of physical security sensitivity or in buildings where it is necessary to have employees show their ID/badge, the ID badge must be worn visibly at all times by all employees. The visible wearing of badges by all employees under such circumstances is a significant deterrent to unauthorized entry and access to work areas.

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- G. After issuance of an identification badge, in areas where there is any degree of physical security sensitivity or in buildings where it is necessary to have employees show their ID/badge, the ID badge must be worn visibly at all times by all employees. The visible wearing of badges by all employees under such circumstances is a significant deterrent to unauthorized entry and access to work areas.

Subject: BUILDING EVACUATION PLANS FOR THE HANDICAPPED

7-02-00	Purpose
10	Scope and Applicability
20	Authority
30	Responsibilities
40	Occupant Evacuation Plans
50	Evacuation Plans for the Handicapped
60	References

7-02-00 PURPOSE

This chapter emphasizes the policy regarding the urgency of good planning and constant readiness for the evacuation of all employee/occupants from DHHS facilities. This chapter places special emphasis on positive planning and orderly action to safeguard handicapped employees during such an emergency.

7-02-10 SCOPE AND APPLICABILITY

This chapter identifies the essential elements of an "Occupant Emergency Plan" and a "Plan for the Evacuation of Handicapped." Both of these plans are required for every DHHS facility so that employee/occupants can help themselves evacuate DHHS facilities in an organized manner to prevent or minimize injury, loss of life and property damage. Provisions of this chapter apply to all employees, contract personnel, visitors, etc. who occupy any facility utilized by DHHS, with special emphasis on meeting the needs of handicapped persons.

7-02-20 AUTHORITY

Public Law 91-596, December 29, 1970 as amended, "The Occupational Safety and Health Act," 29CFR 1910.38 "Employee Emergency Plans," and FPMR 101-20.504-4 "Physical Protection."

7-02-30 RESPONSIBILITIES

DHHS officials identified in paragraph 7-00-40C will develop and publish an Occupant Evacuation Plan to identify the specific procedures for the evacuation of all employees and other occupants from each DHHS facility. Additionally, said officials will develop and publish a separate plan for each DHHS facility regarding the evacuation of handicapped employees to address their specific needs during various emergencies. This Handicapped Evacuation Plan will be a supplement or companion document for the Basic Occupant Evacuation Plan.

7-02-40 OCCUPANT EVACUATION PLANS

Each DHHS facility or DHHS controlled block of space in a building not controlled by DHHS will have a published "Occupant Evacuation Plan." As a minimum, this plan will address the following issues:

- A. Basic information regarding the plan to include its purpose, applicability (i.e., what buildings), authorities, background, effective date of the plan and responsibilities of officials.
- B. Description of actions necessary to activate or initiate the plan and organizational response to an emergency.
- C. Provisions for quarterly review of the plan (with dates specified). Provision for conduct of tests of the evacuation plan no less than twice a year.
- D. Listing of an emergency call list for both during and after-duty hour emergencies.
- E. A sufficient description of the building or space involved in the plan to provide familiarity to employees with key features of the building.
- F. Detailed evacuation instructions to include:
 - o Persons authorized to order evacuation.
 - o Evacuation signals and means of evacuation.
 - o Relocation site(s) for personnel.
 - o Dealing with suspicious object situations.
 - o Building re-entry procedures.
 - o Establishment and functions of an "Emergency Command Center Team" which will consist of (minimally) the Designated Safety and Health Official (i.e., local safety officer), local Physical Security Coordinator, Handicapped Monitor, and any damage control and/or medical coordinators deemed necessary.

- o Provisions for a "Damage Control Team with preplanned procedures for obtaining the services of technical advisors.
- o Plans for the provision of occupant emergency services such as operation of a "command center" and the running of appropriate communications to include maintaining of a list of all occupant emergency organization members, provision for communications equipment and a contingency plan for the use of "runners" in place of normal communication.
- o Specific plans for handling each type of possible emergency including fire, bomb explosion, bomb threat, hazardous material leak (gas, etc.), suspicious packages, medical or first aid emergencies, natural disaster and demonstrations or acts of civil disobedience.
- o Appropriate cross references will be made to the companion plan to be entitled "Handicapped Evacuation Plan" (which is required as a companion document for every Occupant Evacuation Plan.

7-02-50 HANDICAPPED EVACUATION PLANS

The "Handicapped Evacuation Plan" document will be written as a "supplement" or "companion" document to the basic Occupant Evacuation Plan. This plan need not repeat everything contained in the basic Occupant Evacuation Plan but must contain and highlight material specifically detailing procedures for evacuation of handicapped employees and visitors. As a minimum, this plan will address the following matters unique and special regarding evacuation of handicapped personnel:

- A. Designation of a Handicapped Evacuation Monitor whose duties are to insure the adequacy of the plan and the readiness of personnel to carry out the plan.
- B. Assignment and training of primary and secondary Handicapped Assistants to all seriously handicapped persons. These monitors will assist the handicapped to safe haven (a place outside the building or to a protected area in the building.)

- C. Establishment of detailed procedures for Handicapped
- E. Establishment of stairwell clearance procedures.

- F. Training and orientation of all supervisors and managers regarding the special procedures for evacuation of the handicapped.

- G. Establishment of a procedure to insure that handicapped visitors in the building are assisted in a manner similar to that for handicapped employees.

- H. Maintenance of a current list of handicapped persons and their assigned workstation location within the building. Handicapped Assistants for each handicapped person will be identified.

7-02-60 REFERENCES

A sample "Occupant Evacuation Plan" and related "Handicapped Evacuation Plan" may be obtained from the Division of Buildings Management and Telecommunications in the Office of the Secretary in Washington, DC. This line organization is responsible for building evacuation of the Humphrey Building and has prepared plans conforming to this policy. This office may be reached by writing:

Division of Buildings Management and
Telecommunications
Office of Management and Operations
Department of Health and Human Services
330 Independence Avenue, S.W. Room# 1081
Washington, D.C. 20201
Telephone (202)245-7621 or FTS 245-7621

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