

STATE OF OHIO RISK ASSESSMENT TOOL

Risk Assessment for: <AGENCY>

Conduct by: <STAFF>

Date Conducted:

Key goals of business continuity planning are to understand the probability of certain incidents occurring, minimize the impact of incidents that may occur and maximize the productivity of employees during the restoration of business operations. Vulnerabilities, mitigation, and recovery strategies may be influenced by the following factors:

PROBABILITY: 5 = Virtually Certain 4 = Highly Probable 3 = Moderately Probable 2 = Less Probable 1 = Highly unlikely 0 = Probability Unknown	FOREWARNING: 0 = Yes 1 = No	SPEED OF ONSET: 2 = Sudden 1 = Gradual	DURATION OF IMPACT: 3 = Week or more 2 = 1 to 2 days 1 = 1 hour to 1 day	IMPACT ON FUNCTIONAL AREAS: 5 = Very High 4 = High 3 = Medium 2 = Low 1 = Very Low												
Threat	Threat Exists (Y/N)?	Vulnerability Question	Vulnerability Exists (Y/N)?	Threat Factors History (Y/N)?	Threat Factors						Impact					Score without Historical Calculation
					Probability	Forewarning	Speed of Onset	Duration	Financial	Legal	Reputation	Functions	Customer	Other		
Accidental Explosion (Offsite)		Are there any Combustible Liquids present on the site? Is this site prone for lightning strike? Is this site prone for Forest and Camp fires? Is there a proximity to hazardous neighbor?			0	0	0	0	0	0	0	0	0	0	0	0
Accidental Explosion (Onsite)		Are there any Combustible Liquids present on the site? Is there a lack of monitoring of transformers? Is there a lack of maintenance of transformers?			0	0	0	0	0	0	0	0	0	0	0	0
Aircraft Crash		Do you have a heliport on the grounds or on the roof? Is the site in the proximity of an airport? Is the site in aviation flight path?			0	0	0	0	0	0	0	0	0	0	0	0
Ancillary Equipment Failure		Are UPS systems absent in this environment? Is there a lack of testing for the UPS systems? Is there an absence of following vendor guidelines for maintenance? Is backup equipment out-dated or doesn't meet current requirements? Is there an inadequate fuel level maintained for generators? Is diesel fuel not tested annually? Are batteries not maintained? Are generators not tested periodically? Is load testing not performed on generators?			0	0	0	0	0	0	0	0	0	0	0	0
Arson		Is access to grounds insecure? Is there a lack of security patrol? Is site not monitored by CCTV? Are there any inactive CCTV monitors in place?			0	0	0	0	0	0	0	0	0	0	0	0
Bomb Threat		Is there an absence of escalation and / emergency plans, procedure and training? Is there an absence of local bomb squad personnel?			0	0	0	0	0	0	0	0	0	0	0	0
Bombing		Is there an absence of emergency transportation for post bombing event? Is there an absence of security patrol for perimeter and facilities? Is there an absence of package and mail receiving screening procedure?			0	0	0	0	0	0	0	0	0	0	0	0
Crime (Employee, Fraud, Physical Assets, Misuse of Resources, etc.)		Is there an lack of a maintained inventory of critical assets? Is there an absence of security awareness training for management and staff? Is there a lack of appropriate separation of responsibilities? Is there an absence of adequate physical security controls (security guards, CCTV, security patrol, etc)? Is there an inconsistent adherence to policies related to employees causing security violations (discipline, discharge, etc.)? Is there an absence of monitoring of employees (including life style changes, mentoring, etc.)?			0	0	0	0	0	0	0	0	0	0	0	0

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Drought		Is there an absence of background check on employees?			0	0	0	0	0	0	0	0	0	0	0	0
Earthquake (5.0 or greater)		Is there an absence of alternative water supplier identified or arrangements made?			0	0	0	0	0	0	0	0	0	0	0	0
Environmental		Is primary location in an earthquake zone? Is secondary location in same earthquake zone and susceptible to a single disaster that can render both sites inaccessible? If a seismic study has been conducted for this site, are there any retrofitting or bracing? Is there inadequate adherence to current seismic building code standards?			0	0	0	0	0	0	0	0	0	0	0	0
Epidemic		Is there a lack of adhering to local, state, and federal ordinances? Is this site exposed to environmental crime (i.e., Greenpeace, meth labs, etc.)? Is there an absence of hazmat containment plans, procedures and equipment?			0	0	0	0	0	0	0	0	0	0	0	0
Fire		Is there a lack of trained backup staff established? Is there a lack of quarantine plans, procedures, and facilities established? Is there a lack of HR related policies? Is there a lack of work skill analysis? Is there human single point of failure not identified? Is there a lack of preventative plans and procedures?			0	0	0	0	0	0	0	0	0	0	0	0
Fuel / Resource Shortage		Is there a lack of safe storage for combustible liquids? Are cables exposed and not fire safe? Is there a lack of a fire rating for the building? Is there a lack of appropriate fire extinguisher types readily accessible? Is there an absence of sprinklers or other automatic system? Is there an absence of fire/smoke/heat detectors? Is there an absence of room for heat dissipation between units? Is the area under raised floor not clear of dust, paper and not vacuumed annually? Is there a lack of timely response time for emergency support? Is there a lack of fire extinguishers inspections, safety inspections, drills, etc. performed on a periodic basis? Is smoking not prohibited within building? Is there a lack of formal fire response plan, procedures and training?			0	0	0	0	0	0	0	0	0	0	0	0
Heating, Ventilation, and Cooling Failure/Temporary Inadequacy		Is there an absence of alternate fuel/resource supplier identified or arrangements made? Does fuel acquisition risk management processes address risk? Is there a lack of storage capacity? Is there an absence of annual review of service level agreements for critical resources?			0	0	0	0	0	0	0	0	0	0	0	0
		Is there a lack of air-conditioning capacity and capacity planning? Is power not sufficient for air conditioning equipment? Is there an absence of separate air-conditioning for Data Centers and office areas? Is there an absence of redundant air-conditioning systems? Are systems not maintained and/or not tested regularly? Is there a lack of restricted access to those other than maintenance staff?			0	0	0	0	0	0	0	0	0	0	0	0

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High Winds (45 miles per hour plus)		Is there an absence of high wind preparedness plans, procedures and training? Is there a lack of high wind rating for the building?			0	0	0	0	0	0	0	0	0	0	0	0
Hostage Situation		Is there an absence of adequate monitoring, detective, and deterrent controls (security guards, CCTV, security patrol, etc.)? Is there an absence of adequate physical security (including perimeter and facilities)? Is there an absence of plans or procedures addressing visitor authorization / purpose prior to gaining entry? Is there a lack of duress alarm? Is there a lack of timely response time for emergency support?			0	0	0	0	0	0	0	0	0	0	0	0
Labor Dispute/Strike		Is there an absence of adequate physical security (including perimeter and facilities)? Is there an absence of service continuation plans?			0	0	0	0	0	0	0	0	0	0	0	0
Loss of Essential Employees		Is there an absence of backup personnel? Is there an absence of management and staff succession plans?			0	0	0	0	0	0	0	0	0	0	0	0
Major Landslide/Mudslide		Is access to grounds insecure? Is this site located in an earthquake and/or flood zone? Is the site in proximity to hill slides?			0	0	0	0	0	0	0	0	0	0	0	0
Medical Emergency		Is site inaccessible to first responders? Is there a lack of trained first responder on staff?			0	0	0	0	0	0	0	0	0	0	0	0
Power Surge		Is there an unstable power? Is power quality not monitored and maintained? Is there an absence of adequate protection against grounding and lightning strikes? Is there an insufficient power generation by back up generators?			0	0	0	0	0	0	0	0	0	0	0	0
Power Outage (External)		Are power generators not adequately protected against natural and man made disasters? Is there an absence of multiple power feeds? Is there an absence of back-up generators? Are back-up generators not tested and monitored regularly? Is there an insufficient power generation? Are electric junction boxes not water safe? Is there a lack of generator fuel supply? Is fuel not tested periodically?			0	0	0	0	0	0	0	0	0	0	0	0
Power Outage (Internal)		Is there an absence of multiple power feeds to data centers and facilities? Is there an absence of back-up generators and UPS for critical system and operations? Are back-up generators not tested and monitored regularly? Is there a lack of housekeeping and maintenance procedures for electrical and power systems?			0	0	0	0	0	0	0	0	0	0	0	0

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Proximity to Neighboring Industry Posing Risk		Is there an absence of identified high risk neighbors (i.e., political, chemical, etc.)? Is site not monitored by CCTV? Are relationships not established with neighbors, building management and local emergency personnel prior to an event?			0	0	0	0	0	0	0	0	0	0
Radioactive/Toxic Contamination		Do ducts not open out? Are there nuclear materials in the vicinity? Is there a lack of a designated meeting place away from the site? Is there an absence of general contamination plans, procedures and training? Is there an absence of personnel training?			0	0	0	0	0	0	0	0	0	0
Riot/Civil Disorder		Is there inaccessibility to emergency personnel and equipment? Is site not monitored by CCTV? Is there an absence of shelter-in-place plans and procedures?			0	0	0	0	0	0	0	0	0	0
Sabotage (External Physical (e.g., Terrorism))		Is there an absence of adequate monitoring, detective, and deterrent controls (security guards, CCTV, security patrol, etc.)? Is there an absence of adequate physical security (including perimeter and facilities)? Are visitors not required to sign in and escorted? Is there an absence of training to tenants and response procedures? Are HVAC ducts unprotected?			0	0	0	0	0	0	0	0	0	0
Seasonal / Local Flooding		Is site located in flood zone? Is building not 20 feet higher than highest flood stage? Do you have inadequate warning systems? Can drains not handle sudden rain storms and result in flooding of the area? Is there a lack of evacuation procedures?			0	0	0	0	0	0	0	0	0	0
Thunder / Electrical Storm		Is there a lack of a lightning mitigation system? Is critical equipment not grounded?			0	0	0	0	0	0	0	0	0	0
Tidal Flooding		Are there inadequate warning systems (such as tsunami or high tides)? Is this site located in flood zone? Is building not 20 feet higher than highest flood stage? Is there a lack of evacuation procedures?			0	0	0	0	0	0	0	0	0	0
Tornado		Is primary location in tornado zone? Is secondary location in same tornado zone and susceptible to a single disaster that can render both sites inaccessible?			0	0	0	0	0	0	0	0	0	0
Transportation Accident		Is there an inaccessibility to emergency medical personnel and equipment? Is there an absence of alternate transportation routes? Is there a lack of secondary routes?			0	0	0	0	0	0	0	0	0	0

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		Is there an inability to re-route/move goods and supplies?													
Upstream Dam / Reservoir Failure		Is this Site located in flood zone? Is building not 20 feet higher than highest flood stage? Is there an absence of warning systems? Are primary and the secondary locations on the same path and are susceptible to a single disaster than can render both sites inaccessible?			0	0	0	0	0	0	0	0	0	0	0
Vandalism		Is there an absence of adequate deterrent controls (security guards, CCTV, security patrol, etc.)? Is there an absence of adequate physical security (including perimeter and facilities)? Is there a presence of easily accessible targets (such as signboards, trademarks, brand items)?			0	0	0	0	0	0	0	0	0	0	0
Water Leak / Plumbing failure		Is there a presence of steam lines/water pipes in walls, ceilings in critical areas? Are floors not designed to contain the minor floods, smoke, and fire situations? Is there an absence of water sensors under raised floor? Are drains not cleaned and cleared at regular intervals?			0	0	0	0	0	0	0	0	0	0	0
Winter Storm		Is primary location in winter storm (ice, snow, etc.) zone? Is secondary location in same winter storm zone and susceptible to a single disaster that can render both sites inaccessible? Is there an absence of roof clearing plans and procedures? Is there an absence of heavy snows procedures and capabilities?			0	0	0	0	0	0	0	0	0	0	0
Workplace and/or Domestic Violence		Is there an absence of adequate physical security controls (including training for security personnel)? Is there an absence of duress alarm? Is there an absence of security patrol for perimeter and facilities?			0	0	0	0	0	0	0	0	0	0	0