



2006
Outstanding Program Awards
Application

Program Title:

Ohio DAS Security Program: Agency-Wide Safety/Security Action Plan (ASAP)

Check one:

Individual State Award Partnership or State/Private Entity

NASCA Member State:

Ohio

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OHIO DEPARTMENT OF ADMINISTRATIVE SERVICES

**Application
for
NASCA's 2006 Outstanding Program Awards**

DAS SECURITY PROGRAM:

ASAP

Agency-wide Safety/Security Action Plan

**Submitted:
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I. EXECUTIVE SUMMARY

The Ohio DAS Agency-wide Safety/Security Action Plan (ASAP) is a multi-faceted safety and security program created in March 2002. During its four years of existence, the ASAP program has continued to heighten employee awareness regarding safety and security procedures in the Ohio DAS work places enabling our offices and employees to react in a coordinated, responsive manner in the event of an emergency or security concern. The ASAP program provides DAS employees with a series of 26 safety and security procedures, a set of defined responsibilities for employees, floor wardens and managers as well as elements that enhance accountability and communication. Together, these elements have improved our proactive preparation and deliberate action during emergencies which benefits our employees, our operations and our customer agencies which we serve. To ensure Ohio DAS employees remain familiar with the safety and security procedures, a bi-annual schedule was developed during which managers meet with their respective employees to review the contents of the ASAP binder and call attention to other security-related issues and information.

The benefits of the ASAP program extend far beyond Ohio DAS. In the fall of 2002, Governor Bob Taft and former Lt. Governor Maureen O'Connor recommended that the ASAP program become the model for other state agencies, boards and commissions. In all, 17 cabinet agencies, two elected officials' offices and numerous boards and commissions have adopted part or all of the ASAP program, including the implementation and maintenance procedures, for use in their organizations. Given our mission of service, support and solutions for Ohio government, Ohio DAS is proud that its customer agencies, boards and commissions were able to implement our employee-created "off the shelf" ASAP program within their own agencies, saving them the time and resources required to create their own security programs. Ohio DAS is likewise proud that our ASAP program was published in the 2003 Watson-Wyatt Exhibit Book of Emergency Preparedness Protocols as the government model.

II. PROGRAM DESCRIPTION AND RELATIVE SIGNIFICANCE

A. BACKGROUND: NEED FOR A DEPARTMENTAL SECURITY PROGRAM

Shortly following the attacks of September 11, each Ohio state agency was requested to compile and submit its existing security procedures to the Governor's Office. During DAS' effort to collect its existing security procedures, several issues and deficiencies became apparent. Like many employers, the risk of an outside threat or violence was minimal to non-existent at DAS, therefore, DAS' had not systematically focused on security. For security issues, DAS relied on the respective building managers that house DAS employees to provide security to our employees. DAS had not set expectations nor provided direction regarding manager responsibilities for safety and security in the DAS work areas therefore management ownership was absent. DAS relied on building security offices to coordinate the floor warden effort for the DAS offices, therefore the active floor warden population was low in most buildings. The review revealed a myriad of deficiencies existed with regard to safety and security. Ohio DAS had:

- No departmental approach
- No consistent plan
- No standard procedures
- No communication
- No common knowledge shared by employees
- No assigned responsibilities
- No mechanism to educate or train employees
- No mechanism to monitor compliance
- No information about employees in the event of an emergency and
- No guidelines for floor wardens, managers or employees.
- Lack of managerial involvement and sense of duty
- Low floor warden participation

B. ESTABLISHING SAFETY AND SECURITY AS A NEW DAS PRIORITY

Based on these deficiencies, Director Johnson called for the creation of procedures, strategies and guidelines that would foster a higher awareness of safety and security in the department thus enabling Ohio DAS and its employees to react in a coordinated, responsive manner in the event of an emergency or security concern. A committee was formed which designed a comprehensive program known as the Agency-wide Safety/Security

Action Plan (ASAP). Due to the creation and maintenance of the ASAP program and its components, Ohio DAS now has institutionalized solutions that enable our department and our employees to collectively respond and effectively operate in emergency situations. Goals were established which provide a clear set of expectations and serve as measurable guides to assess the program components' effectiveness and purpose. The goals are:

- Employees can effectively react and respond to safety and security issues
- DAS has an established methodology to address safety/security issues
- DAS can effectively communicate with employees during emergencies
- DAS possesses current emergency information for employees and security-related info for all locations
- DAS has heightened accountability of state property and information.

The expected outcome of this project was to establish employee safety and security as a new priority at DAS. This has been achieved through the creation of a framework that provides a comprehensive, formalized approach to safety and security in the workplace.

C. THE FRAMEWORK OF ASAP

Several Agency-Wide Safety/Security Action Plan (ASAP) program components have enhanced safety and security at DAS. Such initiatives include: creation of a DAS Internal Security Review Committee to oversee the maintenance of this program from year to year. Also enacted and maintained is the proactive involvement of DAS program administrators, managers and floor wardens to oversee and support the day-to-day maintenance and administration of ASAP plans and to report issues and concerns to the committee.

Several key components, guidelines and procedures were implemented in four focus areas: 1) Safety and Security of Employees, Property and Information, 2) Disaster (Business) Recovery and Emergency Response, 3) Implementation and Maintenance, and 4) Education, Marketing and Distribution.

1. SAFETY AND SECURITY OF EMPLOYEES, PROPERTY AND INFORMATION

Total Organizational Support

The success of any program is reliant upon the methods in which it is announced, implemented and supported. To ensure the continuation of this program, the ASAP program is championed by the DAS Director, the DAS Senior Team and division managers.

Safety and Security Procedures

Safety and Security Procedures provide direction to all DAS employees on standard responses in the event of an emergency. These procedures are refined and distributed to employees and reviewed bi-annually. These procedures have been provided in a template format to enable customization at the 13 locations in which DAS employees are located. These procedures are comprised of new and existing policies, directives, methods, guidelines and practices. These program components are intended to document and provide instruction to the DAS employee, manager and floor warden regarding the department's safety and security procedures. To ensure that all employees can appropriately respond to safety or security issues within their respective facility, the safety and security procedures are customized. Therefore, a template format is provided for DAS managers for ease of completion before distributing to employees. Relevant phone numbers for all buildings are collected and are provided to managers to ensure continuity of contact information shared.

The following set of safety and security procedures are included in all DAS employees' ASAP binders.

- Medical emergency
- Evacuation procedures
- Evacuation procedures – after the impact
- Fire emergency
- Tornado warning
- Earthquake emergency
- Water or Flood emergency
- Power failure

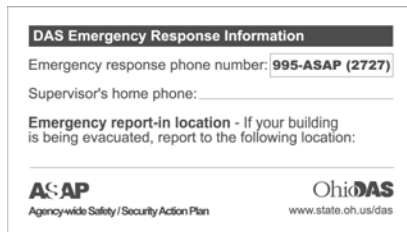
- Elevator malfunction
- Bomb threat
- Suspicious mail handling
- Suspicious person
- Hostage/Weapons situations
- Workplace violence
- Civil disturbance
- State vehicle trouble
- Personal and public transportation
- Hazardous material spill
- Nuclear, Biological, Chemical Incident
- Computer, Internet and Information Security
- Cyber-attacks
- Essential employees
- Weather emergencies
- Disaster emergencies
- Visitor Badge/Sign-In Process
- Standard Operating Procedures within Threat Levels

Important Information to Know

Within each ASAP binder, each employee possesses an “Important Information to Know” page which includes a list of important phone numbers and contact information in the event of an emergency which are exclusive to the geographic region and building in which they are housed. Information includes: emergency contact information for each division or facility due to different jurisdictions for police, fire, poison control, pertinent building information, persons to contact at DAS, list of Floor Wardens, etc.

ASAP Emergency Information Card

Each DAS employee is provided a business-size card which lists emergency information such as the ASAP Emergency Response Line: 995-ASAP, DAS Web site address, supervisor’s home phone number and emergency report-in site. DAS employees are expected to keep this card in a safe place and refer to it the event of an emergency. Each manager, prior to distribution to his or her employees, completes the DAS Emergency Information Card.



Floor Plan(s) for Emergency Evacuation

Each facility in which DAS employees are housed are expected to include a floor plan (and post a floor plan in their work area) in each employee’s ASAP binder under Important Information to Know to provide a visual evacuation path from the building. Additional emergency equipment such as fire extinguishers, medical kits, emergency phones and emergency flashlights should be identified on this floor plan so that all employees could effectively respond in the event of an emergency.

Employee Responsibilities

A list of employee responsibilities, found in the Important Information to Know section of the ASAP binder, is reviewed bi-annually as standard response and awareness guidelines for all DAS employees, DAS managers, Floor Wardens and Floor Wardens Captains at all locations.

Enhanced Role of Floor Wardens

In emergency situations, leadership is needed to assist in relocating employees from the current floor to the designated location. Floor Wardens serve a valuable service in this realm and warrant support. Therefore, the role of Floor Warden was enhanced.

Emergency Information for Employees

If a DAS employee requires emergency medical attention, basic medical information can greatly assist medical professionals in assessing the employee's possible condition. Likewise, employees' families want to be notified of such medical emergencies. Therefore, Ohio DAS employees complete an "employee emergency information" form on which he/she can voluntarily provide the name/number of family members, preferred hospital, insurance company, any drug allergies and health conditions of which a medical professional should be aware. This form is maintained in a sealed envelope within the respective managers' offices and is handed to the emergency or law enforcement personnel to facilitate a faster assessment of the employee's possible condition.

Access Control: Sign-in Sheets & ID Badges

Several DAS offices are located in public buildings. To enhance security in such DAS offices, a level of visitor access control was established. Sign-in sheets for visitors and visitor badges are offered as options. A visitor badge template with a departmental design was implemented to provide a standard look which could be further customized for the specific locations. Supporting ASAP procedures provide guidance to managers and employees.



Mandatory Exit Interview Process

A more formal and mandatory exit interview process was implemented in order to recover such access items as keys, swipe cards and identification badges as well as to notify the DAS IT administrators to close accounts. Although the DAS Office of Employee Services and the DAS divisions have an exit interview process to meet with employees who resign or are terminated, the process is not mandatory. Laptops, cell phones, palm pilots and other such devices are included on this list as well. An exiting employee is expected to submit all state assets and ID information prior to the retrieval of his/her final paycheck.

DAS Space Redesigns Must Undergo Security Review

Security enhancements often can be achieved through the physical redesign of space. To ensure security enhancements are considered and included in all DAS space redesigns, the State Architect's Office and the GSD Safety and Security Manager are now included in design discussions and decisions. A variety of inexpensive yet effective security monitoring devices have been implemented that aid in increasing safety and security in the workplace. In addition to magnetic swipe card and keypad entrances, these items include: cameras, mirrors and intercom systems, etc.

Emergency Response Supplies

Floor Wardens assist in the evacuation of the employees in their designated areas/offices. To assist the Floor Wardens in their roles, emergency response supplies were purchased. The supplies include a flashlight, lanyard, whistle and walkie-talkie (where feasible). Cost: about \$25 per Floor Warden.

2. DISASTER RECOVERY AND EMERGENCY RESPONSE

Disaster Recovery Procedures

Disaster recovery procedures are defined by DAS program managers to ensure the restoration of DAS operations as soon as possible. In the event of a disaster-related emergency, DAS disaster recovery plans provide direction to its employees and customers regarding alternate operating procedures, alternative reporting sites and emergency telephone numbers to enable the continuation of mission-critical services to DAS customers, employees and citizens.

Emergency Response Phone Line

In the event of an emergency, DAS and its essential employees are able to respond more effectively due to the establishment of a centralized source of communication. An emergency response phone line with the capability of receiving multiple calls is recommended. A pre-recorded message is entered and updated as needed. Through the state of Ohio's telephone system, a voicemail phone line was established and can be easily updated 24/7/365 from any location. Annual cost: \$240.

Essential Employees Designated for Levels of Emergencies

Each fall, essential employees for weather-related and disaster-related emergencies are identified by Ohio DAS managers and are provided an essential employee card that authorizes their travel on roads during declared weather emergencies. One card is used on which it identifies the employee's essential emergency status for both weather emergencies and disaster emergencies.

Alternate Report-in Location Procedures

In the event of a situation that requires the emergency relocation of employees to a nearby site in the event of a building evacuation, standard procedures exist to ensure employees report-in and can be safely accounted.

3. IMPLEMENTATION AND MAINTENANCE

DAS Internal Security Review Committee

The creation of an oversight committee was established to ensure the department's safety and security issues are reviewed periodically. The DAS Internal Security Review Committee, which originally created the ASAP program, leads this effort.

Employee Feedback Mechanism for Reporting Gaps, Concerns and Questions

A top-down, bottom-up structure exists to disseminate and share information to and from employees to the Internal Security Review Committee. This structure, with instructions for the various levels of personnel, ensures that safety and security procedures and other relevant security information can be received and understood by all DAS employees. During each ASAP Awareness Week, managers gather questions, concerns and ideas from their employees and forward their lists to the Internal Security Review Committee. The Committee regularly uses the employee information to remedy gaps and enhance the ASAP program's components.

Bi-Annual Review Meetings With Staff

Employees receive periodic instruction regarding evacuation procedures and other emergency response procedures. An ASAP Awareness Week is held twice annually during the months of March and October. *Note: The spring week in March is held during the same week as Ohio's Severe Weather Awareness Week. The fall week in October is held during the same week as National Fire Prevention Week, observed during the Sunday-through-Saturday period in which Oct. 9 falls.*

Instruction to New/Transferring Employees

Employees who are new to DAS or employees who are transferring from one facility to another receive instruction regarding safety and security response procedures. The Office of Employee Services references the ASAP program during its orientation and the employees' managers ensure that on-site ASAP orientation is provided.

Use of Website for Ease of Access to ASAP components

To provide easy access to relevant information, templates, forms and direction, an internal website, known as ASAP ONLINE was established to provide a central, online location for managers to download, print and provide information. This website is used to manage the lists of essential employees, floor wardens, employees who require evacuation assistance, relocation information and a myriad of information and forms.

4. EDUCATION, MARKETING AND DISTRIBUTION OF ASAP PLANS

Education Strategy

An education strategy is followed to ensure that all DAS managers, floor wardens and employees (both existing employees and newly-hired employees) receive training on their respective responsibilities as well as their office and location's safety and security procedures. Newly-hired employees receive general information at their orientation and location-specific information from their manager.

Name of DAS Safety and Security Program

To strengthen the familiarity of the DAS security program among DAS employees, the program is named "Agency-wide Safety/Security Action Plan, otherwise known as ASAP. This acronym is affixed to all security program components to identify ASAP procedures and plans. Utilizing the ASAP acronym also strikes a double meaning of the commonly-known context of ASAP, "as soon as possible," resulting in a security program which calls for action, now.

D. MAINTAINING THE EFFECTIVENESS OF THE ASAP PROGRAM

To maintain the vitality and effectiveness of the ASAP program, an annual schedule is followed. Since the inaugural week in March 2002, Ohio DAS has continued to host a Spring ASAP Awareness Week (March) and a Fall ASAP Awareness Week (October) during which Ohio DAS managers meet with their respective employees to review and remind employees of the existing 26 ASAP procedures, to introduce new procedures and to conduct safety/security training and drills. This dedicated, bi-annual focus ensures that DAS employees are properly trained and remain familiar with the components of the ASAP program. To ensure that standardized messages are delivered to all employees, the Internal Security Review Committee provides every Ohio DAS manager (by email) with an instructional memo that provides instructions and information to be discussed with their respective employees. Once a manager has met with his/her employees, the manager completes a checklist which corresponds to the instructional memo and returns it to the DAS Director's Office. In concert with the manager meetings, the Committee also sends out a daily ASAP Messages of the Day to highlight certain procedures or to provide tips and/or information about current issues of concern. For example, the Committee is currently developing informational messages about the Pandemic Influenza that will be shared with the employees during the week of March 27-31, 2006, our upcoming Spring ASAP Awareness Week.

III. CALCULATION OF ACTUAL SAVINGS

To establish the cost of this project, the Ohio DAS Internal Security Review Committee members were asked to provide the number of hours contributed to the creation of the ASAP program. The categories for which time was collected included: attendance at meetings, research, report and components, presentations, design elements and communication with department officials/co-workers. In all, 565 hours were expended in designing and implementing the ASAP program representing wages valued at \$17,500. Due to the adoption of the ASAP program by many state agencies, it is understood that this single effort of the DAS team has ultimately saved many agencies from having to undertake this same effort thus saving time and resources. Due to the adaptability of the ASAP program's components, the agencies, boards and commissions which have implemented the program were able to focus on their respective missions rather than expend time/personnel in designing their own security programs. This prevention of time, human resources and costs represents an indirect savings to taxpayers that exceeds \$250,000.

QUANTITATIVE BENEFITS REALIZED BY SERVICE RECIPIENTS, TAX-PAYING AND/OR OTHER STATE AGENCIES

The success of this program can be qualified and quantified by the 850 DAS employees (and other state agencies' employees) who are now aware of safety and security procedures, can respond in the event of an emergency, and have a higher level of confidence in their department, managers, floor wardens, and co-workers as also being familiar and committed to safety and security at our DAS work locations. These statements have been confirmed from data collected through surveys conducted on all DAS employees prior to the announcement and after the implementation of the ASAP program and through follow-up surveys. The creation and implementation of the ASAP program has provided multi-faceted benefits to DAS and its employees:

- Employees can effectively respond in the event of an emergency or disaster.
- DAS has an established methodology to address issues on an ad-hoc basis as well as an organized bi-annual exercise to update the department's security procedures and re-train employees thus ensuring continuous process improvement.
- DAS can effectively communicate emergency information to employees in the event of an emergency and employees know where to call to access this information.
- DAS employees can receive more accurate medical treatment and family members can be contacted in the event of an emergency due to the employees' submission of their personal emergency information.
- The number of DAS agency floor wardens increased by 50% to expedite the evacuation of DAS employees from their work areas during emergencies and 100% of the floor wardens now receive bi-annual training to ensure they are current with building procedures and understand their respective floor assignments during evacuations and emergencies.
- ASAP has heightened DAS accountability of state property and information; the new ASAP Employee Exit Interview Checklist and corresponding process were recently reviewed and assessed by the Auditor's Office and met their auditing standards.
- DAS employees are more confident because their managers, floor wardens, and co-workers are now familiar and more committed to safety and security at our DAS work locations.
- DAS program offices have also identified and established plans for our critical services and recovery strategies to ensure that DAS' critical services could be restored in the event of a catastrophic emergency.
- DAS employees know where to call to receive direction in the event of an emergency. An emergency response line, 995-ASAP, contains a pre-recorded message. All employees were also provided a wallet-size emergency response card which directions for 995-ASAP number and other relevant emergency information.

V. APPLICABILITY OF USE BY OTHER STATE, LOCAL AND/OR FEDERAL GOVERNMENTS

DAS employees are located at 13 facilities throughout the central Ohio area and many of these facilities have public access. Due to the diverse design aspects of these facilities, the ASAP program's procedures were designed to be customized for each location and/or program area. Templates for the 26 procedures were created to enable location-specific information to be incorporated into the procedures and response plans. This customization is optimal because the procedures need to vary from location to location due to the nature of services provided, types of facilities that house our employees and design constraints of the facilities. Due to the customization capability of the ASAP procedures and its documented approach, it became a suitable candidate to be shared with other Ohio state agencies.

In the fall of 2002, the ASAP program received recognition by Ohio Governor Bob Taft and then Lt. Governor Maureen O'Connor, who also served the dual role of Director of the Department of Public Safety. Lt. Governor O'Connor recommended that the ASAP Program and its components become the model security program for all state agencies. The ASAP procedures were distributed to all cabinet members and members of the State of Ohio Security Task Force. Thereafter, the ASAP components were shared electronically with numerous agencies, boards, and commissions for implementation. Due to the widespread use of the ASAP program throughout state government, it is easy to discern that this team's effort has saved many agencies the work and expense of reviewing, researching and creating a security program.

To date, 17 cabinet agencies, two elected officials' offices, numerous boards and commissions have adopted part or all of the ASAP program, including the implementation and maintenance procedures, for use in their respective organizations. During this time of constrained budgets and lean staffing levels, Ohio DAS whose mission is to provide Service, Support and Solutions for Ohio government, is proud to have done just that with the ASAP program.

*The Ohio DAS ASAP program contains many components.
We are happy to forward all documents, forms and procedures for the Award Committee's review.
Please email: Julie.trackler@das.state.oh.us*