



Florida Department of TRANSPORTATION

Office of Inspector General
Kristofer B. Sullivan, Inspector General

A handwritten signature in black ink that reads "KSullivan".

Audit Report No. 18P-1005
Continuity of Operations Plan Follow-up

October 21, 2019

What We Did

The Office of Inspector General (OIG) conducted a follow-up audit of the Florida Department of Transportation's (Department) Office of Emergency Management's (EMO) Continuity of Operations Plan (COOP) findings from a previous audit. The purpose of this audit was to determine if the Department implemented the corrective actions from the previous audit findings. The recommendations of the previous audit are as follows:

- correct and update emergency management procedures;
- update and test emergency management related plans; and
- evaluate and update the emergency management organizational structure to strengthen its level of preparation and response.

In order to verify corrective actions were taken, we reviewed the prior audit report including the management responses, statutes and Department procedures, and surveyed and interviewed Department personnel who are responsible for emergency management activities.

What We Found

We found the Department has implemented many of the corrective actions recommended in the previous audit, with the exceptions described below.

We determined all districts, including Central Office (CO) and Florida Turnpike Enterprise (FTE), except one have COOP plans identifying the required six elements per statute. District Three's COOP plan did not fully comply with the provisions required within each element due to the impact of Hurricane Michael.

We determined three of eight¹ (38%) districts surveyed are in compliance with the Department procedure regarding training, testing, and exercises.

¹ We used eight districts for testing purposes since CO did not fill out the survey.

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We determined the one district (District Five) that had confirmed a COOP activation during fiscal year 2017-18 appropriately created an After-Action Report (AAR). The remaining seven districts did not meet the COOP activation qualifications according to the Continuity of Operation implementation guidance. No response was received from Central Office to the survey; therefore, they were not included in the survey analysis.

During this engagement, the EMO (CO) implemented the corrective actions recommended in the previous audit to develop a standardized COOP template and received approval of the template from the Florida Division of Emergency Management (FDEM). Upon approval, the Emergency Coordination Officer (ECO) coordinated with each district to adopt the new template. All districts and FTE submitted a revised COOP using the template in November 2018, except for District Three, due to the impact of Hurricane Michael, and CO that did not submit a revised “November 2018” COOP. These revised plans are reflective of improvements made to bring the COOPs in alignment with Section 252.365, Florida Statutes (F.S.); however, a few clerical inconsistencies were still noted. The Department submitted these revised COOPs for the 2019 annual approval from FDEM. On June 10, 2019, the Department received the FDEM 2019 approval letter. (see Attachment 4).

What We Recommend

We recommend the Emergency Coordination Officer:

- ensure District Maintenance Engineers update COOPs continually as changes occur to offices, programs, information technology systems, application software, alternate facilities address or location points;
- ensure all information contained in the COOPs is accurate and complete;
- ensure sufficient training and assessment exercise opportunities are provided to the districts, FTE, and CO COOP coordinators; and
- monitor completion of annual training and assessment exercises by the districts, FTE, and CO.

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BACKGROUND AND INTRODUCTION

All state agencies are required by Section 252.365, Florida Statutes (F.S.), to develop a disaster preparedness plan that allows for the continuation of essential state functions under all circumstances and further defines required components of the plan. The Department's Continuity of Operations Plan (COOP) Procedure No. 956-060-001-c defines the roles, responsibilities, authority, and requirements in the event of a disaster or significant disruption of operations. According to the COOP Implementation Guide,² emergencies are defined as "any unplanned event that can cause deaths or significant injuries to employees, customers, or the public; or that can shut-down your organization, disrupt operations, cause physical or environmental damage, or harm the organization's public image." Emergencies may include fire, hazmat incident, flooding, tornado communications failure, radiological incident, civil disturbance, hurricane/tropical storm, explosion, 'sick building' syndrome, or a terrorist event.

The Emergency Coordination Officer (ECO) leads the Department's Emergency Management Office (EMO) and provides direction and guidance to the districts, Central Office (CO), and Florida Turnpike Enterprise (FTE) through policies and procedures, including the Emergency Management Program (EMP) Procedure. This includes coordinating with the Florida Division of Emergency Management (FDEM) on emergency management issues, ensuring all districts, FTE, and CO have COOPs submitted annually by March 1st for approval; and corresponding crosswalks including disaster preparedness and response plans, and testing and training of Department personnel.

In the districts, District Maintenance Engineers (DME) are the COOP coordinators and lead the Department's localized preparation and response to emergencies, oversee the execution of missions tasked from the COOP, provide liaisons to support county governments, and staff local emergency operation centers. According to the COOP Procedure Section 4.3, this also applies to FTE and CO.

The ECO conducts weekly conference calls and quarterly face-to-face meetings with the DMEs and the FTE COOP Coordinators. Additionally, the EMO and districts participate in the statewide FDEM Statewide Exercise.

Prior Audit Results

The findings in the prior OIG audit report 15P-1001 issued on June 23, 2015, included missing, outdated, and inaccurate procedures and plans; undefined roles and responsibilities of the EMO staff, program areas, auxiliary staff; and ineffective processes to identify and correct deficiencies discovered during exercises.

² Division of Emergency Management: Continuity of Operations Implementation Guidance; Chapter No. 2002-43, section VI page 2, and section XIII page 15.

The previous audit had two findings related to the COOP section:

Finding 2: COOP

We determined all districts and Central Office had COOPs; however, one district did not include all elements mandated by statute. Although all districts and Central Office had COOPs, we noted their content and format lack consistency.

We recommend the ECO ensure each COOP complies with statutory requirements. We also recommend the ECO standardize the COOP format and content to ensure consistency and ease of review.

Finding 3: Work Place Contingency Plans

We determined 17% of sampled department cost centers did not have Work Place Contingency Plans. Additionally, 88% of the reviewed plans did not include all elements required by the COOP Procedure.

We recommend the ECO ensure all department cost centers create, maintain, and test compliant Work Place Contingency Plans.

We did not follow-up on finding three of the Department's Workplace Contingency Plans (WPCP). The WPCP that were in the EMP Procedure are now included in the COOP Procedure No. 956-060-001, Section 3.0, and the new Everbridge Alert and Notification System (Everbridge)³. The Department has developed a procedure (it is awaiting approval) as a companion to the WPCP, which defines the roles and responsibilities concerning the use of Everbridge to conduct wellness checks following an office closure or disaster.

³ Implemented on August 7, 2018.

RESULTS OF REVIEW

We found the Department has implemented many of the corrective actions recommended in the previous audit, with the exceptions described below.

Finding 1 – Central Office and District COOP compliance

We determined all districts, including CO and FTE, except one have COOP plans identifying the required six elements per statute. District Three’s COOP plan could not be fully evaluated for compliance due to the impact of Hurricane Michael.

Section 252.365, F.S, requires all state agencies develop a disaster preparedness plan that allows for the continuation of essential state functions under all circumstances and to include the following required components:

1. Identification of essential functions, programs, and personnel;
2. Procedures to implement the plan and personnel notification and accountability;
3. Delegations of authority and lines of succession;
4. Identification of alternative facilities and related infrastructure, including those for communications;
5. Identification and protection of vital records and databases; and
6. Schedules and procedures for periodic tests, training, and exercises.

Our initial testing of the Department’s 2018 COOPs in July 2018, revealed 100% of the reviewed plans did not include all elements required by the COOP procedure and Section 252.365, F.S. Table 1 represents the percentage of compliance per element during our initial testing (for more details, see Attachment 2).

Table 1 - District Compliance	
Element 1	56% (five of nine)
Element 2	89% (eight of nine)
Element 3	67% (six of nine)
Element 4	44% (four of nine)
Element 5	56% (five of nine)
Element 6	22% (two of nine)

Source: Auditor testing, District DMEs (including the Central Office and Florida Turnpike Enterprise (FTE)), and District COOPs.

During this engagement, the districts and FTE initiated the adoption of the CO COOP as a template and resubmitted their COOPs to Central Office in November 2018. We determined for 2019, with the exception of District Three since they were impacted by Hurricane Michael, all districts and FTE, have sufficiently improved their COOPs to be in alignment with Section 252.365, F.S. Table 2 provides the results of the 2019 COOP testing.⁴

⁴ For additional details regarding the 2019 COOP analysis, see Attachment 1.

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Table 2 - 2019 COOP Analysis		2019	2019	2019	2019	2019	2019	2019	2019	2019
	Overall Testing Questions	CO	D1	D2	D3	D4	D5	D6	D7	FTE
	Does a COOP Plan exist?	YES	YES	YES	YES	YES	YES	YES	YES	YES
	Note: Plan is considered a compliant plan if all elements were identified and complete.	YES	YES	YES	NO	YES	YES	YES	YES	YES
Element	Compliance Element Per Statute	CO	D1	D2	D3	D4	D5	D6	D7	FTE
1	Identification of essential functions, programs, and personnel	YES	YES	YES	N/A	YES	YES	YES	YES	YES
2	Procedures to implement the plan and personnel notification and accountability	YES	YES	YES	N/A	YES	YES	YES	YES	YES
3	Delegations of authority and lines of succession	YES	YES	YES	N/A	YES	YES	YES	YES	YES
4	Identification of alternative facilities and related infrastructure, including those for communications	YES	YES	YES	N/A	YES	YES	YES	YES	YES
5	Identification and protection of vital records and databases	YES	YES	YES	N/A	YES	YES	YES	YES	YES
6	Schedules and procedures for periodic tests, training, and exercises	YES	YES	YES	N/A	YES	YES	YES	YES	YES
Number of required items		6	6	6	6	6	6	6	6	6
Number present in district documentation		6	6	6	3	6	6	6	6	6
Compliant elements percentage		100%	100%	100%	50%	100%	100%	100%	100%	100%

Source: Auditor testing, District DMEs (including the Central Office and Florida Turnpike Enterprise (FTE)), and District COOPs.

Even though the Department has received a letter of approval from FDEM for all the Department's 2019 COOPs, we determined minor clerical inconsistencies exist within the information of the elements that FDEM would not be able to identify. We concluded that:

- three of the nine (33%) revised COOPs and attachments reviewed still contained incorrect or obsolete policy numbers;

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- three of the nine (33%) revised COOPs and attachments reviewed still contained incorrect office names: Office of Information Systems (OIS) and Office of Motor Carrier Compliance (OMCC); and
- one of the nine (11%) revised COOPs and attachments reviewed still contained incorrect or obsolete information technology applications (LIMS).

We recommend the Emergency Coordination Officer:

- ensure DMEs update COOPs continually as changes occur to offices, programs, IT systems, application software, alternate facilities address or location points; and
- ensure all information contained in the COOPs is accurate and complete.

Opportunities for improvement

We identified an opportunity for improvement for all COOPs to add a link to the district's Office of Information Technology (OIT) Disaster Recovery Plan.

Finding 2 – Districtwide COOP testing and corrective actions

We determined three of eight⁵ (38%) districts surveyed are in compliance with the Department procedure regarding training, testing, and exercises.

COOP Procedure No. 956-060-001-c, Section 6.0, states the Department shall develop a comprehensive test, training, and exercise program to validate policies, plans, and procedures. Additionally, Section 4(c) of the COOP procedure requires appropriate COOP training and assessment exercises be conducted each year at a minimum. The survey results are shown in Table 3.

Table 3 - District COOP Test & Exercises Fiscal Year 2017-18⁶		
District	COOP Tested	Corrective Action Plan Tested
CO	N/A ⁷	N/A
D1	N	N
D2	N	N
D3	N	N
D4	N	N
D5	Y	Y
D6	N	N
D7	Y	N
FTE	Y	N

Source: Auditor testing

According to the Federal Continuity Directive 1 (FCD1), a COOP must include the plans and procedures to be evaluated pre- and post-event, tested or exercised, and assessed during the development of corrective action plans. Objective evaluations and assessments, developed from tests and exercises, provide feedback on continuity planning, procedures, and training. This feedback in turn supports a corrective action process that helps to establish priorities, informs budget decision making, and drives improvements in plans and procedures.

We recommend the Emergency Coordination Officer:

- ensure sufficient training and assessment exercise opportunities are provided to the districts, FTE, and CO COOP coordinators; and
- monitor completion of annual training and assessment exercises by the districts, FTE, and CO.

⁵ We used eight districts for testing purposes since CO did not fill out the survey.

⁶ For details regarding the conclusions within the table, see Attachment 2.

⁷ No response was received from Central Office to the survey; therefore, they were not included in the survey analysis. Details found in Attachment 3.

Finding 3 – District COOP activation for fiscal year 2017-18

We determined the one district (District Five) that had confirmed a COOP activation during fiscal year (FY) 2017-18 appropriately created an After-Action Report (AAR). The remaining seven districts did not meet the COOP activation qualifications according to the Continuity of Operation implementation guidance. No response was received from Central Office to the survey; therefore, they were not included in the survey analysis.

We sent surveys regarding COOP testing, exercises, activation, and AARs to all districts, FTE, and CO to gather data for any COOP activity in FY 2017-18. We did not receive a response to the CO survey.

Table 4 below shows District Five’s partial activation of its District Office Emergency Operations Center and Oviedo Operations Center due to Hurricane Irma, resulting in an AAR. Districts One, Four, FTE (Turkey Lake Traffic Management Center), and CO reported assisting the affected areas in District Six with support services without actually activating their own district’s COOP.

Table 4 - District COOP Activation FY 2017-18			
District	Activation 2017-2018	After Action Report	Corrective Action Plan
CO	N/A ⁸	N/A	N/A
D1	N	N	N
D2	N	N	N
D3	N	N	N
D4	Y ⁹	N	N
D5	Y	Y	Y
D6	N	N	N
D7	N	N	N
FTE	N	N	N

Source: Auditor testing, District DMEs (including the Central Office and FTE), and District COOPs)

⁸ No response was received from Central Office to the survey; therefore, they were not included in the survey analysis.

⁹ District Four states an internet outage prompted their COOP activation; however, this doesn’t fit the COOP criteria for activation.

Additional Related Observations:

COOP Activation

Although Hurricane Irma impacted the entire state, it did not lead to statewide COOP activation. COOP Procedure No. 956-060-001-c, Section 5.0, states situations will be assessed to determine whether the disruption warrants a full COOP implementation or whether disrupted essential functions may be continued using the work place contingency plan. Districts Four and Five reported activating their COOP in response to Hurricane Irma. District Four (Indian River, St. Lucie, Martin, Palm Beach, and Broward counties) reported a “loss of internet connectivity” which does not fit the definition of a COOP activation in the COOP Implementation Guide.

District Six, consisting of two counties, Dade and Monroe-Dade County (including the Keys), reported on our survey that it did not activate its COOP for the FY 2017-18. Governor Scott declared a state of emergency for the state of Florida with Executive Order 17-235 regarding Hurricane Irma (DR-4337) impacting Florida from September 4, 2017, through October 18, 2017. District Six is located in the impact zone of Hurricane Irma.

We conducted a follow-up interview with District Six’s DME to confirm the survey results. The DME confirmed that District Six did not activate their COOP during this timeframe even though District Six:

- closed its offices and only required essential personnel to report to work;
- moved to another facility;
- operated on a generator at the alternate work site which stopped working, necessitating additional facility moves; and
- received support from other districts, FTE, and CO.

We identified the following opportunities for improvement for the ECO:

- ensure districts coordinate and communicate with Central Office during a COOP activation; and
- further define the COOP Procedure, Section 5.0 – Activation of a COOP, regarding COOP activation criteria, and a risk-based framework should be applied to Department-wide continuity efforts in order to identify and assess potential hazards and determine what levels of relative risk are acceptable.

APPENDIX A – Purpose, Scope, and Methodology

The **purpose** of this engagement was to determine whether the Department has made the recommended revisions and corrections to the previous audit findings and is adequately prepared to execute the Department’s COOP.

The **scope** of this engagement included all processes, procedures, and documents pertaining to the Emergency Management Office as it relates to preparing for and responding to an emergency/disaster. The scope also included applicable documents, records, policies, procedures, and plans related to the state and Department’s statutory and regulatory requirements for COOP for fiscal year 2017-18 including Central Office, all districts, and the FTE COOP plans to ensure proper controls are in place.

The **methodology** included:

- reviewing:
 - applicable statutes, rules, and procedures;
 - the Department’s procedures and manuals;
 - Department and district specific plans including:
 - Continuity of operations plan,
 - Comprehensive emergency management plan,
 - Debris management plan,
 - Work place contingency plan,
 - Motorist assistance plan,
 - One-way evacuation plan, and
 - Rest area plan;
 - district road ranger and asset maintenance contracts;
 - standard operating guides, handbooks, and desktop procedures; and
 - guidelines, policies, and procedures, published by the Florida Division of Emergency Management, Federal Emergency Management Agency, Department of Homeland Security, and Federal Highway Administration;
- interviewing appropriate Department personnel; and
- administering survey and testing results.

APPENDIX B – Management Response

The Emergency Coordination Officer, Irene Cabral, provided the following response by email on September 27, 2019:

Finding 1 – Central Office and Districts COOP compliance

Finding: We determined all districts, including CO and FTE, except one have COOP plans identifying the required six elements per statute. District Three’s COOP plan did not fully comply with the provisions required within each element due to the impact of Hurricane Michael.

Recommendation: We recommend the Emergency Coordination Officer:

- ensure DMEs update COOPs continually as changes occur to offices, programs, IT systems, application software, alternate facilities address or location points; and
- ensure all information contained in the COOPs is accurate and complete.

Response to Finding: We concur with the finding; however, an alternative correction will be taken.

Corrective Action: Districts already submit their respective COOP plans to Central Office for consolidation and submittal to the Florida Division of Emergency Management (FDEM) annually. Central Office receives district COOP plans prior to the March 1 submittal deadline set by FDEM. This allows FDOT EM personnel to review district plans for criteria compliance and resolve any issues with the district plans before they are submitted to FDEM.

Estimated Completion Date: This action is already being done.

Finding 2 – Districtwide COOP testing and corrective actions

Finding: We determined three of eight (38%) districts surveyed are in compliance with the department procedure regarding training, testing, and exercises.

Recommendation: We recommend the Emergency Coordination Officer:

- ensure sufficient training and assessment exercise opportunities are provided to the districts, FTE, and CO COOP coordinators; and
- monitor completion of annual training and assessment exercises by the districts, FTE, and CO.

Response to Finding: We concur with the finding; however, an alternative correction will be taken.

Corrective Action: In concert with the Statewide Hurricane Exercise, FDOT EM conducted a COOP tabletop exercise with the districts on May 7, 2019. Each district was given a scenario based on the fictitious hurricane used for the Statewide Hurricane Exercise. To enhance the realism, impacts from the storm varied based on the geographical location of the district facility(-ies). In addition, analyses of the facilities' locations and potential impacts were conducted using storm surge maps, flood maps, wind profiles of the fictitious storm, and street-view maps prior to developing the district-specific scenarios. Results of these analyses were used to create 19 questions—along with numerous follow-up questions—that were overall similar, but tailored for each district. They were instructed to review the scenario and answer the questions based on their respective current Continuity of Operations plans and send the responses back to Central Office for review.

Estimated Completion Date: This exercise was conducted in May of 2019, and it is anticipated that similar exercises will be conducted in the future.

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STATEMENT OF ACCORDANCE

The Department's mission is to provide a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of our environment and communities.

The Office of Inspector General's mission is to promote integrity, accountability, and process improvement in the Department of Transportation by providing objective, fact-based assessments to the DOT team.

This work product was prepared pursuant to section 20.055, Florida Statutes, in accordance with the Association of Inspectors General *Principles and Standards for Offices of Inspector General*, and conforms with The Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

Please address inquiries regarding this report to the Department's Office of Inspector General at (850) 410-5800.

RESTRICTION ON USE

This report contains **confidential information** that is exempt from the provisions of Section 119.07(1), F.S. Please contact the Office of Inspector General prior to release.

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ATTACHMENT 1 – 2019 CO, FTE, and District COOP compliance with subcomponents

Table 1 - 2019 COOP Analysis		2018	2019	2019	2018	2019	2019	2019	2019	2019
	Overall Testing Questions	CO*	D1	D2	D3**	D4	D5	D6	D7	FTE
	Does a COOP plan exist?	YES	YES	YES	YES	YES	YES	YES	YES	YES
	Note: Plan is considered a compliant plan if all elements were identified and complete.	YES	YES	YES	NO	YES	YES	YES	YES	YES
Element	Compliance Element Per Statute	CO	D1	D2	D3	D4	D5	D6	D7	FTE
1	Identification of essential functions, programs, and personnel	YES	YES	YES	N/A	YES	YES	YES	YES	YES
1a	Essential functions component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
1b	Programs component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
1c	Personnel component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
2	Procedures to implement the plan and personnel notification and accountability	YES	YES	YES	N/A	YES	YES	YES	YES	YES
2a	Implementation procedures component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
2b	Personnel notification procedures component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
2c	Accountability procedures component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
3	Delegations of authority and lines of succession	YES	YES	YES	N/A	YES	YES	YES	YES	YES
3a	Delegations of authority component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
3b	Lines of succession component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
4	Identification of alternative facilities and related infrastructure, including those for communications	YES	YES	YES	N/A	YES	YES	YES	YES	YES
4a	Identification of alternative facilities and related infrastructure component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
4b	Communication component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
5	Identification and protection of vital records and databases	YES	YES	YES	N/A	YES	YES	YES	YES	YES
5a	Identification of vital records and databases component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
5b	Protection of vital records and databases	YES	YES	YES	N/A	YES	YES	YES	YES	YES
6	Schedules and procedures for periodic tests, training, and exercises	YES	YES	YES	N/A	YES	YES	YES	YES	YES
6a	Schedules for periodic testing, training, and exercises component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
6b	Procedures for periodic testing, training, and exercises component	YES	YES	YES	N/A	YES	YES	YES	YES	YES
Number of required items		6	6	6	6	6	6	6	6	6
Number present in district documentation		6	6	6	3	6	6	6	6	6
Compliant elements percentage		100.00%	100.00%	100.00%	50.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Legend:

YES: element present in COOP
NO: element not present in COOP

ATTACHMENT 2 – 2018 CO, FTE, and District COOP compliance details

Details regarding the conclusions determined from Finding 1 of the 2018 (July) COOP analysis are outlined below.

Element 1:

The identification of essential functions, programs, and personnel were present and sufficiently supported in five of nine (56%) districts.

- District Two identified the Office of Motor Carrier Compliance as an essential component of their COOP even though this office was transferred to the Florida Department of Highway Safety and Motor Vehicles (DHSMV) in 2015.
- The personnel component in Districts One and Two lists terminated employees as the current contacts in an emergency (Sections E-12, D-6, L-3).
- District Five included a reference in Section 16, Exhibit No. 27, which only identifies essential functions with a SharePoint link in Section 1.9. The link is a secured access area which prevents viewing of the information contained within.
- The programs and personnel components of element one are included in District Six's COOP; however, no specific Mission Essential Functions (MEF) were identified. MEF should be identified and documented in the COOP.

Element 2:

The identification of procedures for the implementation of the COOP and personnel and accountability were found to be 89% (eight of nine) compliant with Section 252.365(3)(b), F.S., in all districts.

- District Two assigns some of the responsibilities for their COOP implementation to the Office of Motor Carrier Compliance and its law enforcement resources. This office was transferred to the DHSMV in 2015.

Element 3:

The identification of the delegation of authority and lines of succession are appropriately identified in six of nine (67%) districts.

- District Two has outdated information.
- District Six has not included their chain of command and references a PDF document named "Delegation of Authority 02032015.pdf" that is not included within the COOP (Section 3.11).
- District Seven has only a two "deep" order of succession (Section 2.3 (B)).

Element 4:

All districts have acknowledged the alternate facilities and other infrastructure components to this element.

- Only four of nine districts (44%) include specific names or addresses of their alternate facilities or include the exhibit that is referenced in the COOP.
- The communications component is adequately addressed in eight of nine (89%) of the districts. District Five notated in Sections 2.0 and 2.5.2 regarding Phone

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Emergency Standard Operating Procedure and Plans Procedure located in Appendix 1 but is not included in the COOP.

Element 5:

Five of nine districts (56%) are in compliance with Section 252.365(3)(b), F.S., with the identification and protection of vital records and databases.

- Districts One, Three, Four, and Five list the Laboratory Information Management System (LIMS) as one of the current systems that the Office of Information Technology (OIT) would support during a COOP event. However, LIMS has not been supported since 2015 and was replaced in 2017 by the Materials Acceptance and Certification (MAC) system.
- In District Three, only 25 out of 68 (37%) listed applications were current and still supported by the Department.
- Eight out of nine districts (89%) have not updated their COOP to reflect the current name of the OIT. The name officially changed to OIT on June 23, 2016.

Element 6:

Two of nine (22%) districts, regarding schedules and procedures for periodic tests, training, and exercises are aligned with Section 252.365(3)(b), F.S. Training Schedules should be revised to align with the criteria for training according to the Continuity Guidance Circular 1 for Non-Federal Entities (Department of Homeland Security) which states that Testing, Training & Exercises (TT&E) should occur at a minimum *annually* to ensure personnel, equipment, and activation procedures are maintained in a constant state of readiness to support continuity activation and operations. All the districts have language included in their COOPs regarding testing, training, and exercises.

Deficiencies noted include:

- Referenced exhibits or attachments are not included, completed, or accessible in Districts One, Three, Four, Five, Six, and Seven.
- Referenced training sections within the COOP are inaccurately referenced and not necessary if not completed as in Districts Four and Six.

District Two has both components completed and current; there is an opportunity to improve by identifying more testing, training, and exercise methods.

ATTACHMENT 3 – 2018 Districtwide COOP testing and corrective actions details

Details regarding the conclusions determined within Finding 2 are outlined below:

District Five tested their COOP which resulted in a corrective action plan. FTE and District Seven tested their COOP but had no corrective action plan. No response was received from Central Office to the survey; therefore, they were not included in the survey analysis.

Districts One, Three, Six, Seven, and FTE COOPs included templates for training events by containing logs and forms which were submitted blank, incomplete, or outdated. District Five and FTE used their support of District Six during Hurricane Irma to satisfy the required COOP testing (see Table 2). District Seven made modifications to its PowerPoint presentation. COOP coordinators did not provide any documentation of these activities.

Office of Inspector General
Florida Department of Transportation

ATTACHMENT 4 – 2019 FDEM Approval Letter of FDOT COOPs



STATE OF FLORIDA
DIVISION OF EMERGENCY MANAGEMENT

Ron DeSantis
Governor

Jared Moskowitz
Director

June 10, 2019

Brian Richardson, Emergency Management Coordinator
Florida Department of Transportation
605 Suwannee Street, Mail Station 60
Tallahassee, FL 32399

Dear Mr. Richardson:

After receiving and reviewing the Department of Transportation's 2019 Continuity of Operations Plan (COOP), the Division of Emergency Management has determined that the Department of Transportation Plan has successfully passed the review in accordance with the COOP implementation guidance.

On behalf of the Division of Emergency Management, I would like to extend my thanks to you and the Department of Transportation for your efforts in keeping the department prepared and safe.

The Division of Emergency Management strives to prepare and safeguard each and every one of the counties and state agencies within Florida. With your help, the Division of Emergency Management can properly prepare and preserve agencies in the event of an emergency that threatens its mission essential functions.

If you have any questions or need additional information regarding the plans approval, please contact Wendell Dumas, COOP/COG Program Manager, at (850) 815-4305 or at wendell.dumas@em.myflorida.com. Thank you in advance for your continued support and cooperation.

Sincerely,

Linda McWhorter, Bureau Chief
Bureau of Preparedness

LM/kp

cc: Ryan Lock, Natural Hazards Unit Manager, DEM
Wendell J. Dumas, COOP/COG Program Manager, DEM

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