



Florida Department of TRANSPORTATION

Office of Inspector General
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Audit Report No. 15P-1001
Emergency Management

What We Did

The Office of Inspector General conducted an audit of the Department of Transportation's (department) emergency management infrastructure to determine whether the department is adequately prepared for disasters and emergencies. We obtained and reviewed statutes and department procedures, tested plans, and interviewed department personnel responsible for emergency management activities to form the findings and recommendations described within this report.

What We Found

The Emergency Management Office (EM Office) has not implemented an adequate framework to ensure the department's preparedness and response to disasters and emergencies. Department readiness is highly dependent on the effective coordination before, during, and after an event between executive management, the EM Office, district leadership and emergency management personnel, department program areas (e.g., construction, maintenance, comptroller, and work program), local agencies, consultants, and contractors (asset maintenance, road rangers). Without effective emergency management leadership, clearly defined roles and responsibilities, clear communication, and current and tested plans and procedures, the department risks its ability to provide a safe transportation system to the public.

The findings within this report concern: missing, outdated, and inaccurate procedures and plans; undefined roles and responsibilities of the EM Office staff, program areas, auxiliary staff, and department consultants and contractors; inadequate processes to maintain and store documentation in support of Federal Emergency Management Agency-Public Assistance (FEMA-PA) reimbursements; and ineffective processes to identify and correct deficiencies discovered during exercises.

What We Recommend

To improve the department's readiness for disasters and emergencies, we recommend the department: 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.

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ABBREVIATIONS AND ACRONYMS

AAR	After Action Report
CEMP	Comprehensive Emergency Management Plan
C-FLOP	Incident Command, Finance and Administration, Logistics, Operations, and Planning
COOP	Continuity of Operations Plan
COOP Procedure	Procedure No. 956-060-001, Continuity of Operations Plan
DECO	District Emergency Coordination Officer
ECO	Emergency Coordination Officer
EDMS	Electronic Document Management System
EM Office	Emergency Management Office
EMP Procedure	Procedure No. 956-030-001, Emergency Management Program
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
FEMA-PA	Federal Emergency Management Agency-Public Assistance
FDEM	Florida Division of Emergency Management
FHWA	Federal Highway Administration
FHWA-ER	Federal Highway Administration-Emergency Response
F.S.	Florida Statutes
HSPD-5	Homeland Security Presidential Directive No. 5
ICS	Incident Command Structure
IP	Improvement Plan
ITS	Intelligent Transportation System
NEMA	National Emergency Management Association
NIMS	National Incident Management System
OIS	Office of Information Systems
OOC	Office of Comptroller
OMCC	Office of Motor Carrier and Compliance
PPD-8	Presidential Policy Directive No. 8
SEOC	State Emergency Operations Center
SERT	State Emergency Response Team
TEOC	Transportation Emergency Operations Center
TRESS	Training Records, Evaluation, and Scheduling System
Turnpike	Turnpike Enterprise
USF	University of South Florida

BACKGROUND AND INTRODUCTION

What is Emergency Management?

Emergency Management is the managerial function charged with creating a framework for agencies to reduce vulnerability to hazards and cope with disasters and emergencies. The department's emergency management framework safeguards state resources and provides a safe transportation system to ensure the mobility of people and goods in Florida. The four phases of comprehensive emergency management are:

- **Mitigation** - the application of measures that will either prevent the onset of a disaster or reduce the impact should one occur;
- **Preparedness** - one of the foundations of emergency management and includes activities such as writing emergency operations plans and procedures, training, exercises, evacuation planning, ensuring interoperable communications, public education, and warning and encouraging citizen and community preparedness;
- **Response** - the actions necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred. It also includes the execution of emergency operations plans and actions to support short-term recovery; and
- **Recovery** - programs that re-build and re-develop the community with an eye on the future.

Figure 1: Phases of Emergency Management



Source: Federal Emergency Management Agency

According to the National Emergency Management Association (NEMA), emergency management must be comprehensive, progressive, risk-driven, integrated, collaborative, coordinated, flexible, and professional (See Attachment A, NEMA Emergency Management Definition, Vision, Mission, and Principles).

Why Does Florida Have the Current Emergency Management Structure?

In 2003, the Homeland Security Presidential Directive No. 5 (HSPD-5) required the Department of Homeland Security to coordinate with other federal departments, agencies, states, local, and tribal governments to establish a national response framework and National Incident Management System (NIMS). C-FLOP is an acronym for the five primary functions in the Incident Command System (ICS) model required by the HSPD-5 and NIMS. The five major management functions of C-FLOP are Incident Command, Finance and Administration, Logistics, Operations, and Planning.

The revised 2011 Presidential Policy Directive No. 8 (PPD-8) directed the development of a national preparedness goal and system to strengthen resiliency by involving all levels of government, non-governmental organizations, and the private sector. Together, the PPD-8 and NIMS integrate resources, incident management, and emergency response disciplines into a seamless national framework for domestic incident response.

How is Emergency Management Implemented in Florida?

In 2004, the State of Florida established NIMS as the standard procedure for incident management. The Florida Division of Emergency Management (FDEM) is responsible under section 252.35, Florida Statutes (F.S.), for planning and responding to both natural and manmade disasters as the state's liaison with federal and local agencies, and administers a statewide emergency management all-hazards preparedness program. FDEM is empowered to deploy state resources, as necessary, to "reinforce emergency management agencies in areas stricken by emergency," including support forces and any equipment, services, or facilities owned or organized by the state or its political subdivisions.¹ FDEM has developed a State Comprehensive Emergency Management Plan (CEMP).

The State Emergency Response Team (SERT) is comprised of agency-appointed Emergency Coordination Officers (ECOs), staff from state agencies, volunteer organizations, and non-governmental organizations operating under the direction and control of the Governor and State Coordinating Officer. The SERT has 18 Emergency Support Functions (ESFs) that coordinate and complete response and recovery activities in the State Emergency Operations Center (SEOC) during a disaster or emergency.

The SEOC operates 24 hours a day, 7 days a week; however, the staffing level is contingent upon the activation level. There are three activation levels of the SERT:

- Level 3 (Monitoring) – Monitoring during normal conditions via the State Watch Office.
- Level 2 (Partial Activation) – The SERT is activated, but may not require full activation of every ESF.

¹ Sections 252.41(1), 252.42, F.S.

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- Level 1 (Full Activation) – The SERT has activated all sections, branches, and ESFs to conduct response and recovery operations.

The Governor, the Director of FDEM, or the SERT Chief can activate the SEOC.²

How is Emergency Management Implemented in the Department?

The department has primary responsibility for ESF-1 Transportation (ESF-1) and ESF-3 Public Works and Engineering (ESF-3), and the department ECO manages the ESFs in the SEOC as part of the SERT. The department also has a supporting role for ESF-5 Information and Planning, ESF-10 Environmental Protection, ESF-12 Energy, and ESF-14 External Affairs. Coordinated resources support emergency transportation needs, emergency public works, and engineering needs during a disaster or emergency. Resources are provided through the SEOC for incidents affecting multiple agencies, jurisdictions, or require the assignment of multiple incident management teams.

The department's transportation emergency operations center (TEOC) coordinates efforts statewide in response to SEOC missions during activations. The TEOC also provides support through processes including incident prioritization, critical resource allocation, communication systems integration, and information exchange. The TEOC receives missions from the SEOC through FDEM's emergency management application, EM Constellation, which requires manual entry into the department's mission tracking application, WebEOC, to forward on to the specific district.³ The SEOC may activate ESF-1 or ESF-3 through the TEOC when an incident affects only the department and has the authority to provide direct assistance.

At the district level, District Emergency Coordination Officers (DECO) lead the department's localized preparation and response to emergencies, oversee the execution of missions tasked from the SERT, provide liaisons to support county governments, and staff local emergency operations centers.

Who is Responsible for the Department's Emergency Management Infrastructure?

The Secretary is required under section 252.365(1), F.S., to appoint an agency ECO and an alternate. The ECO is responsible for:

- coordinating with the FDEM on emergency preparedness issues;
- preparing, and maintaining emergency preparedness, post-disaster response, and post-disaster recovery plans;
- maintaining rosters of personnel to assist in disaster operations; and
- coordinating appropriate training for agency personnel.

² The SERT Chief can only activate in the absence of the Governor and Director of FDEM.

³ During the course of the engagement, we discovered there was no interconnectivity between EM Constellation (FDEM application) and WebEOC. Mission specialists are required to manually copy and paste data between applications, increasing the risk of errors and omissions. Currently, the software developer for WebEOC does not have a working plug-in solution available.

Emergency Management Office (EM Office) Responsibilities

The EM Office is responsible for providing direction and guidance to the districts through policies and procedures. Some EM Office responsibilities required by Procedure No. 956-030-001, Emergency Management Program (EMP Procedure) include coordinating: with FDEM on emergency management issues, with appropriate department offices and districts to ensure they have approved disaster preparedness and response plans, and training of department personnel. See Attachment B for a detailed list of EM Office responsibilities.

The EM Office conducts weekly conference calls and quarterly face-to-face meetings with the DECOs. Additionally, the EM Office and districts participate in the statewide Governor's Hurricane Exercise.

The EM Office operates using the NIMS and ICS frameworks. The C-FLOP five major management functions during "gray sky" operations are:⁴

- **Command:** headed by the ECO; fills the role of incident commander and works with department leadership and offices to coordinate the department's response during emergency activations.
- **Finance and Administration:** headed by the Finance and Administration Chief; responsible for maintaining financial documentation, contracts, and managing federal reimbursement requests.
- **Logistics:** headed by the Logistics Chief; responsible for maintaining equipment and supplies, managing mission response at the transportation emergency operations center in Tallahassee, coordinating the auxiliary staff program, and ensuring resources are available.
- **Operations:** headed by the Operations Chief; responsible for the daily operation and management of department EM emergency operations centers in Tallahassee, ensuring staffing levels are adequate for a given activation, and providing delegate support to the ECO.
- **Plans:** headed by the Plans Chief;⁵ responsible for the department's various EM planning documents, preparing incident action plans, and organizing statewide training events and exercises. Also coordinates the department's Continuity of Operations Plan (COOP) and domestic security plans.

The two EM Office positions not included in the C-FLOP structure are the Intel Chief and Administrative Assistant. The Intel Chief designs and maintains the mission tracker application (WebEOC), the EM Office website, the EM Office SharePoint site, and electronic documentation libraries and backups. The Administrative Assistant performs basic office functions such as managing the document library, assisting EM Office staff, and answering telephone calls (See Figure 2, EM Office Organizational Chart).

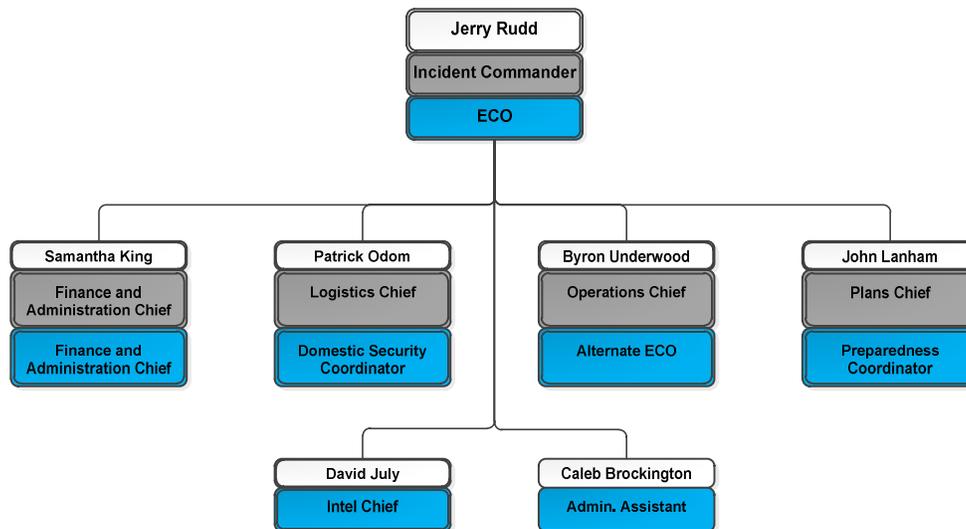
⁴ Gray sky: operations during exercises and activations and C-FLOP functions as defined by the EM Office website.

⁵ The Plans Chief is the department and Central Office COOP Coordinator.

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The duties and responsibilities of each function are driven by the level of activation. The so-called "blue sky"⁶ and "gray sky" roles will fluctuate based on need, but each function must always work closely with the others to ensure mission success. While each member of the EM Office has a leadership role within this structure, all staff provide assistance during times of emergency. Auxiliary staff are employees of offices throughout the department who also assist during activations.

Figure 2: EM Office Organizational Chart – Blue and Gray Sky Roles



District Responsibilities

The district Secretaries and Florida Turnpike Enterprise (Turnpike)⁷ Executive Director appoint the DECO and alternate. The DECO and alternate represent each district and the Turnpike to coordinate emergency management activities with the department ECO. There are at least two people assigned emergency management responsibilities in each district. Table 1 lists the department employees appointed as the DECO, Alternate DECO, COOP Coordinator, and their working titles. See Attachment C for a detailed list of DECO responsibilities.

⁶ Blue sky: day-to-day operations

⁷ For the purpose of this report, we identified Turnpike as a district.

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Table 1: Identification of District DECO, Alternate DECO, and COOP Coordinator			
District	DECO	Alternate DECO	COOP Coordinator
District 1	<u>Kevin Salsbery</u> District ECO	<u>Amarilys Perez</u> Assistant District Maintenance Engineer (DME)	Kevin Salsbery
District 2	<u>Ed Ward</u> District Emergency Operations Coordinator	<u>James Hannigan</u> DME	Ed Ward
District 3	<u>Mark Thomas</u> DME	<u>Vacant</u> ⁸	Mark Thomas
District 4	<u>Anthony Puccio</u> FCO & EM Coordinator	<u>William Wang/John Danielsen</u> District Operations Administrator/DME	Patrick Freiwald
District 5	<u>Mark Garcia</u> DME	<u>Allen Mattox</u> District Technical Support Manager	<u>Lorie Matthews</u> District Transportation Support Manager
District 6	<u>Jeannie Cann</u> District Roadway/Roadside Administrator	<u>Rudy Garcia</u> DME	Jeannie Cann
District 7	<u>Angela Allen</u> ⁹ Emergency Operations Coordinator	<u>Vacant</u>	Angela Allen
Turnpike ¹⁰	<u>Douglas Prager</u> EM Coordinator	<u>Mary Lou Veroline</u> Executive Staff Assistant	Douglas Prager

Program Area Responsibilities

In addition to the EM Office, the following functional areas provide key roles to ensure the department can effectively respond to disasters and emergencies.

- **Communications Office:** provides personnel to TEOC and responds to media.
- **Office of Comptroller:** establishes and maintains guidance for the financial aspects of a governor declared emergency response such as appropriate expenditures, capturing costs for reimbursement requests, providing cash, etc.
- **Office of Construction:** initiates, executes, and administers emergency contracts; and standardizes the department’s response to contractors related to impacts to construction projects in advance of and following natural disasters covered by governor-declared emergencies.
- **Office of Information Systems:** provides technical support to ensure connectivity with the SEOC.
- **Office of Maintenance:** provides guidance concerning Asset Maintenance Contracts (which includes emergency event responsibilities), and maintains the procedure relating to reporting incidents and managing damage repair.
- **Office of Work Program and Budget:** establishes and maintains work program and budget instructions for emergencies, and coordinates Federal Highway Administration-Emergency Response (FHWA-ER) reimbursements.

⁸ As of April 30, 2015, Alaxon Pitts retired from the State of Florida. The Alternate DECO is to be determined.

⁹ As of April 17, 2015, Terry Hensley retired from the State of Florida. The District 7 Alternate DECO is now the DECO and COOP Coordinator. The Alternate DECO is to be determined.

¹⁰ DECO and Alternate DECO for Turnpike are department contracted staff.

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- **Procurement Office:** provides uniform processes for the emergency procurement of transportation facilities repair and restoration, professional and contractual services, and commodities for governor-declared emergencies.
- **State Traffic Engineering and Operations Office:** manages the department's Road Ranger Program, One-Way Evacuation Operations, Traffic Incident Management (TIM) Commercial Vehicle Operations, and Intelligence Transportation System (ITS).

Outsourcing Specific Emergency Management Responsibilities

Since FY 2000-2001, the department has reduced its size by 3,764 positions (36%). As a result, the department relies more on its external partners to respond to disasters and emergencies. For example, the districts use asset maintenance and/or road ranger contractors to fulfill some pre-event and post-event emergency management related plan requirements. However, asset maintenance contracts do not allow the same level of direction as using in-house resources. The contracts have not been tested to the same degree as in the 2004-2006 storm years when these responsibilities were primarily accomplished with in-house resources.

RESULTS OF REVIEW

We identified 15 findings concerning the department's preparedness and the EM Office organizational structure. Additionally, we provided four observations that could improve department emergency operations.

Preparedness (Procedures and Plans)

1. Sections 252.365(2),(3), F.S.

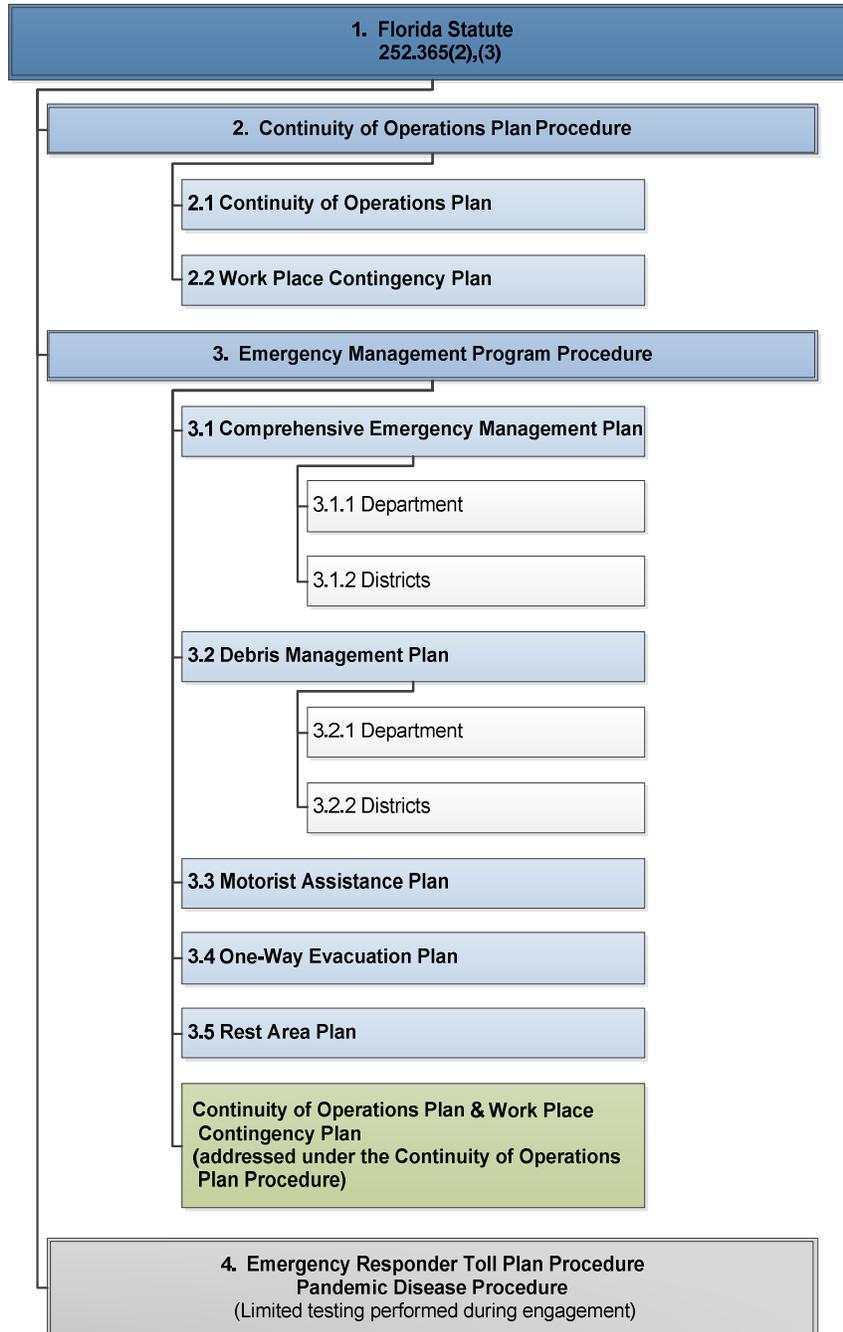
Sections 252.365(2),(3), F.S., require the department to have an emergency preparedness plan, post-disaster response and recovery plan, and a disaster preparedness plan. The department ECO is responsible for maintaining these plans. To implement the requirements of the statute, the department created the following procedures:

- Procedure No. 956-060-001, *Continuity of Operations Plan (COOP Procedure)*;
- Procedure No. 956-030-001, *Emergency Management Program (EMP Procedure)*;
- Procedure No. 956-010-001, *Emergency Responder Toll Plan*; and
- Procedure No. 956-060-005, *Pandemic Disease*.

Figure 3, on the following page, illustrates the relationship between the procedures and plans they prescribe.

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Figure 3: Department Emergency Management
Regulatory Environment



2. Continuity of Operations Plan Procedure

Finding 1: COOP Procedure Review

We determined the COOP Procedure has not been reviewed as required by department procedures. The last documented review was September 1, 2011. Additionally, the procedure does not clearly identify the six minimum elements for a COOP, as identified in statute.

Procedure No. 025-020-002, Standard Operating System, states procedures be scheduled for review every two years or may be updated earlier, if needed.

The department's Forms and Procedures Office does not have any record of this procedure having been reviewed in the last four years. The ECO confirmed this procedure has not been reviewed.

The COOP Procedure does not provide the same level of detail as section 252.365(3)(b), F.S., requiring a COOP to have six minimum elements:

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.

When procedures are not updated, the department increases its risk of non-compliance with new or revised law, and risks an unsuccessful response to disasters and emergencies.

We recommend the ECO review and update the COOP Procedure to comply with Procedure No. 025-020-002, Standard Operating System. Additionally, we recommend the COOP procedure include a description of the six statutory elements to guide the development of the department's COOPs.

2.1 Continuity of Operations Plan

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.

The District Three COOP did not include the element delegations of authority and lines of succession. The COOPs we reviewed identified some vital records and databases, but further detail is necessary to identify and protect all vital records and databases. Attachment D provides the results of the Central Office and District COOP review.

Even though the Central Office and all districts received a letter from FDEM stating their 2014 department COOP had been approved, our review determined one COOP was still incomplete. We concluded the COOP Coordinator did not adequately review the plans to ensure they all included the six minimum statutory elements.

Without identifying and protecting all vital records and databases, department employees may struggle to resume normal operations after a disaster or emergency.

We recommend the ECO ensure each COOP includes all statutory elements. We also recommend the ECO standardize COOP format and content to ensure consistency and ease of review.

2.2 Work Place Contingency Plans

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. Attachment E provides the results of the Work Place Contingency Plan review.

The COOP Procedure requires every office within the department to have a Work Place Contingency Plan with four minimum required elements:

1. an employee call list,
2. alternate work site,
3. identification of primary and alternate safety coordinators, and
4. instructions to access critical data or systems.

We judgmentally sampled Work Place Contingency Plans from all department cost centers. **We determined** nine (17%) of the 52 sampled cost centers did not have Work Place Contingency Plans. Additionally, 38 of the 43 (88%) reviewed plans did not include all elements required by the COOP Procedure. Three of the four elements were missing from over 67 percent of the sampled cost center plans. Our testing also concluded

there were no Work Place Contingency Plans for any District One cost centers.¹¹

The COOP Procedure states, “The plans will be submitted to the department Domestic Security Coordinator on an annual basis.” Additionally, one of the responsibilities of the Preparedness Coordinator is to develop, maintain, and manage the department’s emergency management plans, policies, procedures, and guidelines including assuring interoperability of agency level, Central Office, and district plans in the event of disruption to department services. However, neither the Preparedness Coordinator/Plans Chief nor the Domestic Security Coordinator reviewed the Work Place Contingency Plans.

Without a written, reviewed, and tested plan containing required elements:

- office managers are unable to account for employees during emergencies;
- there may be confusion among staff regarding the location to report back to work and how to resume job responsibilities;
- there is an increased risk of injury if an employee reports to an unsafe work site due to inadequate notification; and
- resumption of essential services could be delayed.

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

3. Emergency Management Program Procedure

Finding 4: EMP Procedure Review

We determined the EMP Procedure has not been reviewed as required by department procedures. The last documented review date was January 1, 2011. Additionally, the procedure does not specify the ECO responsibilities and contains inaccurate and duplicative information.

Procedure No. 025-020-002, Standard Operating System, requires procedures be scheduled for review every two years or may be updated earlier, if needed.

The department’s Forms and Procedures Office does not have a record of these procedures having been reviewed in the last four years. The ECO confirmed these procedures have not been reviewed.

¹¹ The DECO for District One provided copies of plans for all cost centers; however, it was subsequent to the completion of our testing phase.

As a result of the procedure not being reviewed:

- the procedure contains requirements for the Office of Motor Carrier Compliance (OMCC), which moved to the Department of Highway Safety and Florida Highway Patrol (FHP) on July 1, 2011;
- the procedure identifies four levels of ECOs for the department (department, Central Office, districts, and OMCC); however only two levels exist (department ECO and district ECOs);
- the procedure does not specify the ECO responsibilities for events not rising to the level of a state activation;
- the procedure does not specify the C-FLOP role responsibilities during activation; and
- EMP Procedure and COOP Procedure provide duplicative information regarding Work Place Contingency Plans.

We **recommend** the ECO review and update the EMP Procedure to comply with Procedure No. 025-020-002, Standard Operating System. Additionally, we recommend the updated procedure detail ECO responsibilities outside SERT activations, include C-FLOP role responsibilities, address inaccurate information, and eliminate duplicate information.

3.1 Comprehensive Emergency Management Plan (CEMP)

3.1.1 Department

Finding 5: Department CEMP

We determined a department CEMP currently does not exist.

The EM Office has a task work order with the University of South Florida (USF) dated July 1, 2014, to develop a CEMP. The estimated completion date of the CEMP is June 30, 2015.

The EMP Procedure states the department will develop and maintain disaster preparedness plans (including a CEMP) to align with the State CEMP, and contain the basic operational responsibilities for the ESFs in which the department is the lead agency. The procedure states that “the ECO shall ensure the following is accomplished and detailed within the appropriate sections of the CEMP”:

1. identify and train department emergency responder personnel to staff ESF-1 and ESF-3 at the SEOC (primary and alternate locations) when activated;
2. develop and implement a schedule for the emergency responder personnel to staff ESF-1 and ESF-3 immediately upon activation of the SEOC (primary and alternate); and

3. a formal request from the SEOC through ESF-1 and ESF-3 for department resources, to the TEOC via the department's mission tracking application.

The department ECO stated the department has not had an approved CEMP and indicated the development has been a work in progress for several years.

Without a CEMP, the department greatly reduces its ability to provide a safe transportation system in the event of a disaster or emergency. Also, there is no standard for the DECOs to follow when creating and updating district CEMPs until the department CEMP is finished.

We recommend the ECO continue to work with USF to produce a department CEMP and submit the plan to FDEM for review. After approval, we recommend the ECO ensure the DECOs evaluate and revise district CEMPs to align with the department's CEMP.

3.1.2 District CEMPs

Finding 6: District CEMPs

We determined each district has a CEMP as required. However, one did not include all required elements mandated by the EMP Procedure. Attachment F provides results of the district CEMP review.

The EMP Procedure requires DECOs to coordinate the development, implementation, and update of district CEMPs with the following required elements:

1. include all direction and information concerning emergency recovery actions;
2. contact information shall include names, agency, phone numbers, e-mail addresses, and area of responsibility;
3. any agreements with federal, state, or local agencies regarding emergency management or recovery must be identified within the plan;¹²
4. goals for state emergencies, such as what function or activity must be initiated, when it is to begin, priority of locations, and how long performed must also be included; and
5. include and identify any functions performed in anticipation of state emergencies such as the identification of debris staging areas, the locations of available resources, and the identification of any data, maps or other information that will assist in the assessment of damage and the development of recovery activities.

¹² DECOs informed us the districts have no such agreements in place; therefore, we excluded the required element from our testing.

The EMP Procedure requires CEMPs to be submitted to the department ECO by May 1st of each year; however, the EM Office indicated they do not review district CEMPs. Without a review, the districts increase their risk of having inaccurate and non-compliant plans.

We recommend the ECO ensure all district CEMPs are reviewed annually for compliance with the EMP Procedure.

3.2 Debris Management Plan

3.2.1 Department

The department's Debris Management Plan was compliant with the EMP Procedure. The EMP Procedure requires the department to have a Debris Management Plan and lists one required element. The department's Debris Management Plan included the one required element from the EMP Procedure by outlining the duties and responsibilities for the clearance of debris and prioritization of infrastructure to be cleared. Attachment G provides results of the department Debris Management Plan review.

3.2.2 Districts

Finding 7: District Debris Management Plans

We determined one district did not have a Debris Management Plan as required by the EMP Procedure.

All districts with plans included the required element of the EMP Procedure. Attachment H provides results of the district Debris Management Plan review.

The EMP Procedure requires each district to have a Debris Management Plan with one required element: outlining the duties and responsibilities for the clearance of debris and prioritization of infrastructure to be cleared. During our review, we determined the Turnpike did not have a debris management plan.¹³

As indicated in a previous finding, one of the responsibilities of the Preparedness Coordinator is to develop, maintain, and manage the department's emergency management plans, but plans have not been reviewed. If plans are not developed or reviewed, the districts increase the risk of having non-compliant plans.

¹³ Turnpike DECO indicated the district uses a pre-event contract for debris management, but will develop a plan if necessary.

We recommend the ECO ensure the Turnpike develops a Debris Management Plan.

3.3 Motorist Assistance Plan

Finding 8: District Motorist Assistance Plans

We determined five districts did not have Motorist Assistance Plans as required by the EMP Procedure. Additionally, three districts with plans did not include all elements required by the EMP Procedure. Attachment I provides results of the district Motorist Assistance Plan review.

The EMP Procedure requires each district to have a Motorist Assistance Plan with the following seven minimum required elements:

1. the goal of the clearance plan shall be to require aggressive clearance of blockages to maintain maximum roadway capacity prior to or during an evacuation by clearing crash scenes, removing debris from roadways as directed by the department and district Debris Management Plans, and moving abandoned or disabled vehicles off the travel lane;
2. identify the amount of fuel to be carried by the motorist assistance patrols;
3. dispense sufficient fuel to allow the motorist to reach the nearest exit off the roadway;
4. identify refueling sites for the motorist assistance vehicles and other necessary evacuation support department vehicles;
5. each district shall identify the amount of water to be carried by the motorist assistance patrols;
6. identify a means of removing stranded motorists from the roadway to a place of shelter for the emergency; and
7. a disabled vehicle should be moved out of the travel lanes before attempting any repairs or refueling. If it is identified that there are additional needs beyond fuel, the motorist assistance patrol may help the motorist up to a maximum of 15 minutes. Additionally, the motorist assistance patrol should contact the emergency transportation provider to pick up the stranded motorist if requested.

Although none of the districts have a compliant plan, several of the districts indicated they use Road Ranger contracts to meet the plan requirements. We reviewed all Road Ranger contracts and determined six districts included all and two included most Motorist Assistance Plan requirements in their district Road Ranger contracts. Attachment J provides results of the Road Ranger contract review.

As indicated in a previous finding, one of the responsibilities of the Preparedness Coordinator is to develop, maintain, and manage the department's emergency management plans. Guidance and review for these plans have not been provided to confirm the districts can meet the EMP Procedure requirements.

Even though the districts use Road Ranger contracts to address Motorist Assistance Plan requirements, it should be noted not all evacuation routes are covered by the contracts. Without written plans indicating how the elements will be met, the department's ability to ensure safe and clear evacuation routes is greatly impaired.

We recommend the ECO ensure each district has a Motorist Assistance Plan that covers all state highway system evacuation routes and each EMP Procedure required element. The plans should detail the methodology (Road Ranger contracts) used by the district to meet the plan requirements.

3.4 One-Way Evacuation Plan

Finding 9: One-Way Evacuation Plans

We determined the EMP Procedure requires each district to have a One-Way Evacuation plan; however, the EMP Procedure lacks clarity regarding the responsibilities and expectations for district One-Way Evacuation Plans.

The EMP Procedure requires each district to have a One-Way Evacuation Plan with the following four minimum required elements:

1. follow the predefined plan set requirements of the Traffic Engineering and Operations Office (TEOO);
2. include and address the above emergency management plan sections tailored to the specific route with the exception of wreckers being pre-positioned instead of patrolling;
3. exercise the one-way evacuation plan every other year and report to the Assistant Secretary of Engineering and Operations and the Department ECO; and
4. OMCC will provide for the staffing to assist FHP in implementing one-way evacuation plans and ensure training of personnel on the one-way evacuation plan.

The intent of the second required element is unclear, and the EM Office was not able to provide clarification. The fourth element is no longer

relevant because the OMCC is no longer a part of the department, effective July 1, 2011.

The districts are required to have One-Way Evacuation Plans that contain certain elements, but the TEOO's Traffic Incident Management (TIM) division was tasked in 2005 to review state contraflow operational plans developed for use in hurricane evacuation events.¹⁴ The TEOO's TIM division prepare every year to address special transportation problems brought on by hurricane season to create and update their predefined plan set requirements that cannot be identified in the EMP Procedure. Since the requirements, expectations, and responsibilities in the EMP Procedure remain unclear, we were unable to determine whether the district One-Way Evacuation Plans met the requirements of the EMP Procedure.

As indicated in a previous finding, one of the responsibilities of the Preparedness Coordinator is to develop, maintain, and manage the department's emergency management plans, but guidance for the plans has not been provided to confirm that the districts can meet the EMP Procedure requirements.

Without guidance indicating what elements in the One-Way Evacuation Plans are or how they will be met, the department's ability to ensure safe and clear evacuation routes is greatly impaired.

We recommend the ECO update the One-Way Evacuation Plan section of the EMP Procedure to clarify requirements, expectations, and corresponding responsibilities. In addition, **we recommend** the ECO coordinate with TEOO's TIM and DECOs to jointly ensure the department's One-Way Evacuation Plans are current and tested.

3.5 Rest Area Plan

Finding 10: District Rest Area Plans

We determined four of six applicable¹⁵ districts did not have Rest Area Plans as required by the EMP Procedure. The two districts with plans did not include all elements required by the EMP Procedure. Attachment K provides results of the district Rest Area Plan review.

The EMP Procedure requires each district to have a Rest Area Plan with the following four minimum required elements:

¹⁴ Contraflow Plan for the Florida Intrastate Highway System, pg.4 (June 6, 2005).

¹⁵ District Six has no rest areas and Turnpike only has service plazas. The EMP Procedure does not specify required elements for service plazas; therefore, neither district was applicable to this testing.

1. portable toilets in sufficient quantity as identified by the district to be placed at rest areas along the evacuation route. These must be securely anchored by the vendor;
2. additional attendants and supplies as identified by the district to be stationed at the rest areas along the evacuation route for the purpose of providing support during an emergency. Security should be available 24 hours per day;
3. water to be supplied to motorists at rest areas along the evacuation route; and
4. the district should coordinate with local agencies for placement of shelter information to be placed in the rest areas along the evacuation route.

Although none of the districts have a compliant plan, districts indicated they use asset maintenance contracts to meet the plan requirements. We reviewed nine asset maintenance contracts (specific to rest area maintenance and security) across the applicable districts. One district included all and five included half of the Rest Area Plan elements in their district asset maintenance contracts. Attachment L provides results of the asset maintenance Rest Area Plan contract review.

As indicated in a previous finding, one of the responsibilities of the Preparedness Coordinator is to develop, maintain, and manage the department's emergency management plans, but plans have not been reviewed.

Without written plans indicating how the elements will be met, the department's ability to ensure safe and clear evacuation routes is greatly impaired.

We recommend the ECO ensure each district has a Rest Area Plan that covers all state highway system evacuation routes with rest areas, and includes each EMP Procedure required element. The plans should detail the methodology (asset maintenance contracts) used by the district to meet the plan requirements.

4. Emergency Responder Toll Plan Procedure and Pandemic Disease Procedure

Finding 11: Emergency Responder Toll Plan Procedure and Pandemic Disease Procedure

We determined Procedure No. 956-010-001, Emergency Responder Toll Plan and Procedure No. 956-060-005, Pandemic Disease, were not reviewed or

updated as required by department procedures. The last documented review date was in 2011.

Procedure No. 025-020-002, Standard Operating System, states procedures be scheduled for review every two years or may be updated earlier, if needed.

The department's Forms and Procedures Office does not have a record of these procedures having been reviewed in the last four years. The ECO confirmed these procedures have not been reviewed.

When procedures are not updated, the department increases its risk of non-compliance with new or revised law, and risks an unsuccessful response to disasters and emergencies.

We recommend the ECO review and update these two procedures to comply with Procedure No. 025-020-002, Standard Operating System.

Finding 12: Federal Reimbursement

We determined the EM Office does not have a written procedure for custody and maintenance of federal reimbursement documentation related to disasters and emergencies.

The EMP Procedure requires the EM Office to ensure Federal Highway Administration-Emergency Response (FHWA-ER) and Federal Emergency Management Agency-Public Assistance (FEMA-PA) reimbursement materials are made available to the appropriate Central Office and district personnel.

There are outstanding FEMA-PA reimbursements. As of June 30, 2014, the FDEM had a payable balance to the department of \$742,043.38 for approved worksheets for the following 2005 storms:

- DR-1785 \$121,885.79 (Tropical Storm Fay)
- DR-1785 \$596,209.50 (Tropical Storm Fay)
- DR-1679 \$ 23,948.09 (Tornadoes)

The total amount originally requested by the department for reimbursement could not be determined because the EM Office could not provide supporting project worksheet schedules originally submitted to FDEM for FEMA-PA reimbursements. FDEM has stated in correspondence with the department they are unable to process the above reimbursements due to lack of supporting documentation. The ECO stated outstanding reimbursements were the result of an inability to locate supporting documentation for previously submitted project worksheets.

Previously, the EM Office started to develop a procedure for federal reimbursement. A high turnover rate for the Reimbursement Coordinator/Finance and Administration Chief

position could have contributed to the interruption of the procedure's development process.

The ECO is working with the Office of Information Systems (OIS) to develop specifications to create a scanning and storage system for disaster and emergency event documents that may become a subcomponent of the department's Electronic Document Management System (EDMS).

If the department is unable to produce adequate documentation for reimbursements, the EM Office cannot respond promptly to document requests from the FEMA, and could jeopardize future FEMA-PA funding.

We recommend the ECO develop a reimbursement policy or procedure to detail FEMA-PA reimbursements and referencing appropriate Office of Comptroller (OOC) procedures for FHWA-ER reimbursements. It should identify specific documents required for FEMA-PA reimbursements and the methodology to track reimbursements. **We also recommend** the ECO continue working with OIS to develop requirements for a document-scanning repository for all reimbursement documents.

Finding 13: Disaster Exercises/After Action Report

We determined the EM Office does not have a documented process to monitor and track department related deficiencies or issues identified during statewide, department, district, and local government exercises with department participation.

The department (EM Office and districts) participated in 46 exercises during the 2014 calendar year. Districts indicated they do not formally track and monitor issues and corrective actions from exercises. We requested the department's procedure to monitor and track corrective actions, and the ECO stated that one did not exist.

As required by Homeland Security Exercise and Evaluation Program, the State CEMP requires the use of After Action Reports (AAR) and Improvement Plans (IP). The purpose of an AAR and IP is to analyze exercise results, identify strengths to be maintained and built upon, identify potential areas for further improvement, and support the development of corrective actions.

The ECO's position description responsibilities include attending, scheduling, and facilitating emergency management workshops, meetings, and teleconferences with its partners to resolve issues and share lessons learned. It also provides that the ECO is tasked to provide detailed evaluations and after action reports.

The Committee of Sponsoring Organizations of the Treadway Commission Framework describes monitoring as a way to help ensure internal controls continue to operate effectively. Without a standard process or procedure outlining how to monitor issues (applicable to the department) identified during exercises, the department may be

unable to correct internal control problems or make critical decisions if based on inaccurate, unreliable, and undocumented information.

We recommend the ECO create a process to identify department related deficiencies or issues during statewide, department, district, and local government exercises with department participation. The process should detail how to record and track corrective actions as well as how to disseminate all deficiencies, issues, and corrective actions for DECOs and applicable staff to improve their processes.

Finding 14: Auxiliary Staffing and Training

We determined the EM Office has not developed a comprehensive department-wide program to recruit and train auxiliary staff.

The purpose of the department's auxiliary staff program is to recruit and train team members to assist with vital emergency management functions during a disaster or emergency. The EMP Procedure requires the EM Office to: establish training requirements to support assigned missions; coordinate training of department personnel; provide coordination, guidance, support, and training for the TEOC staff; and maintain a roster of personnel to staff the TEOC.

The Central Office and districts have rosters and training programs in place for auxiliary staff, but these programs are inconsistent statewide. For example, the Central Office uses a volunteer-based type of program while District Six includes the responsibility in every district employee position description to support their auxiliary staff programs.

Since the EMP Procedure only requires NIMS training, each district developed its own training program. Most districts addressed training requirements in their individual auxiliary staffing plans but not all districts track training. Districts that tracked training used a variety of methods including spreadsheets and the Training Records, Evaluation, and Scheduling System (TRESS).

When the department decentralized, a standard was never developed to address recruitment and training of auxiliary staff. Therefore, the auxiliary staff program activities are inconsistent across the department, which could potentially affect readiness and response capabilities during emergencies.

We recommend the ECO specify the position-specific minimum training requirements, and maintain training records (e.g., TRESS) to strengthen the auxiliary staff program. We recommend the ECO (in coordination with executive management) evaluate the auxiliary staffing program to determine the merits of continuing a volunteer-based program versus implementing a role-based program.

Organizational Structure

Finding 15: EM Office Alignment (Position Descriptions and C-FLOP Structure)

We determined responsibilities within the EM office position descriptions do not align with duties performed.

Position descriptions include basic information about a position, and serve as the official record of the duties and responsibilities assigned to an employee.

We reviewed the position descriptions and noted the following:

- Three of five employee position descriptions do not identify C-FLOP role; and
- The Preparedness Coordinator performs the following Domestic Security Coordinator responsibilities:
 - represents the department as an Information Liaison Officer to the Florida Fusion Center¹⁶ when activated or when called upon; and
 - develops, maintains, and manages the department's COOP.

In order to properly plan for, respond to, and recover from an event, the department must ensure all position descriptions are appropriate, and that the designated responsibilities are complete. Inaccurate position descriptions diminish each employee's accountability by not setting standards for their work performance.

We recommend the ECO update position descriptions to identify C-FLOP roles of each staff member and ensure staff members perform their assigned responsibilities.

Observation 1: Hours Needed for Emergency Management Responsibilities

The emergency management structure varies across districts, so we requested that the ECO and DECOs provide an estimated number of hours required to perform emergency management functions per year. Districts provided a wide range of estimated hours from 1,040 hours per month to 4,160 hours per month (three districts could not provide an estimation).

There is an opportunity for the department to improve the emergency management structure by determining how much time is required for adequate disaster and emergency preparation in each district to assign staff as appropriate.

¹⁶ The Florida Fusion Center is a collaborative effort of state and federal agencies working in partnership with local partners to share resources, expertise, and/or information to better identify, detect, prevent, apprehend, and respond to criminal and terrorist activity utilizing an all crimes/all hazards approach. All partners contribute a liaison from their own agency that has been through a state and federal law enforcement background and security clearance process. The Domestic Security Coordinator does not have the necessary security clearance, whereas the Preparedness Coordinator does, to fulfill liaison responsibilities.

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Observation 2: WebEOC Administration

The in-house board customization of WebEOC is not adequately documented and could become a single point of failure. The EM Office relies upon one employee to customize WebEOC and perform administrator duties.

The Intel Chief, as the administrator, created customized screens, but did not create documentation for the customized screens. Currently, the Intel Chief is the only user with full administrative rights in WebEOC.

There is an opportunity for the ECO to improve WebEOC administration by designating an alternate to have full administrative rights, providing training on WebEOC administration, and ensuring compilation and maintenance of documentation for specialized screens.

Observation 3: Succession Planning

In November 2014, we surveyed the ECO, Alternate ECO, DECOs, and Alternate DECOs to determine their number of years of service, and identify each position’s successor. Tables 2 and 3 below show the department has not consistently identified successors to fill vacant positions. The successors should obtain emergency management training and/or participate as auxiliary staff.

Table 2: Succession Planning – ECO/DECO Survey Results (As of November 2014)									
Survey Question	CO	D1	D2	D3	D4	D5	D6	D7	TPE
Service with State of Florida (in years)	28	6	23	28.5	31	26	30	9	20
Service with the department (in years)	28	6	23	4	31	0.6	30	5	15
Has successor been identified?	No	No	Yes	No	Yes	No	Yes	Yes	Yes
Average Years of Service	22.39								

Table 3: Succession Planning – Alternate ECO/Alternate DECO Survey Results (As of November 2014)									
Survey Question	CO	D1	D2	D3	D4	D5	D6	D7	TPE
Service with State of Florida (in years)	28	17	20	32	28	30	20	8	4
Service with the department (in years)	2	1	20	32	1	3	20	5	4
Has successor been identified?	Yes	No	Yes	No	Yes	No	Yes	No	Yes
Average Years of Service	20.78								

There is an opportunity for the department to improve succession planning by identifying and training potential successors for all ECO, DECO, and alternate positions.

Observation 4: EM Office On-Call Scheduling

Distribution of on-call assignments for EM Office staff was not equitable during the 2013/14 fiscal year. We reviewed EM Office staff position descriptions and determined all EM Office staff positions have on-call responsibilities; however, only three of five staff positions are currently assigned on-call duty.

There is an opportunity for the ECO to improve on-call scheduling by equitably distributing on-call hours.

APPENDIX A – Purpose, Scope, and Methodology

The **purpose** of this engagement was to determine whether the department is adequately prepared for disasters and emergencies. The engagement also determined whether the Emergency Management Office developed adequate standards, policies, and procedures to facilitate consistency across the department.

The **scope** of the engagement included applicable documents, records, policies, procedures, and plans related to the state and department's statutory and regulatory requirements for emergency management planning and disaster preparedness.

The **methodology** of our engagement 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
- Touring department and selected district emergency operations centers.

APPENDIX B – Summary of Findings and Recommendations

Finding 1: COOP Procedure Review

We determined the COOP Procedure has not been reviewed as required by department procedures. The last documented review was September 1, 2011. Additionally, the procedure does not clearly identify the six minimum elements for a COOP, as identified in statute.

We recommend the ECO review and update the COOP Procedure to comply with Procedure No. 025-020-002, Standard Operating System. Additionally, we recommend the COOP procedure include a description of the six statutory elements to guide the development of the department's COOPs.

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.

Finding 4: EMP Procedure Review

We determined the EMP Procedure has not been reviewed as required by department procedures. The last documented review date was January 1, 2011. Additionally, the procedure does not specify the ECO responsibilities and contains inaccurate and duplicative information.

We recommend the ECO review and update the EMP Procedure to comply with Procedure No. 025-020-002, Standard Operating System. Additionally, we recommend the updated procedure detail ECO responsibilities outside SERT activations, include C-FLOP role responsibilities, address inaccurate information, and eliminate duplicate information.

Finding 5: Department CEMP

We determined a department CEMP currently does not exist.

We recommend the ECO continue to work with USF to produce a department CEMP and submit the plan to FDEM for review. After approval, we recommend the ECO ensure the DECOs evaluate and revise district CEMPs to align with the department's CEMP.

Finding 6: District CEMPs

We determined each district has a CEMP as required. However, one did not include all required elements mandated by the EMP Procedure.

We recommend the ECO ensure all district CEMPs are reviewed annually for compliance with the EMP Procedure.

Finding 7: District Debris Management Plans

We determined one district did not have a Debris Management Plan as required by the EMP Procedure.

We recommend the ECO ensure the Turnpike develops a Debris Management Plan.

Finding 8: District Motorist Assistance Plans

We determined five districts did not have Motorist Assistance Plans as required by the EMP Procedure. Additionally, three districts with plans did not include all elements required by the EMP Procedure. Five districts included all and three included most Motorist Assistance Plan requirements in their district Road Ranger contracts.

We recommend the ECO ensure each district has a Motorist Assistance Plan that covers all state highway system evacuation routes and each EMP Procedure required element. The plans should detail the methodology (Road Ranger contracts) used by the district to meet the plan requirements.

Finding 9: One-Way Evacuation Plans

We determined the EMP Procedure requires each district to have a One-Way Evacuation plan; however, the EMP Procedure lacks clarity regarding the responsibilities for and expectations of the One-Way Evacuation Plans.

We recommend the ECO update the One-Way Evacuation Plan section of the EMP Procedure to clarify requirements, expectations, and corresponding responsibilities. In addition, **we recommend** the ECO coordinate with TEOO's TIM and DECOs to jointly ensure the department's One-Way Evacuation Plans are current and tested.

Finding 10: District Rest Area Plans

We determined four of six applicable¹⁷ districts did not have Rest Area Plans as required by the EMP Procedure. The two districts with plans did not include all elements required by the EMP Procedure.

We recommend the ECO ensure each district has a Rest Area Plan that covers all state highway system evacuation routes with rest areas, and includes each EMP Procedure required element. The plans should detail the methodology (asset maintenance contracts) used by the district to meet the plan requirements.

Finding 11: Emergency Responder Toll Plan Procedure and Pandemic Disease Procedure

We determined Procedure No. 956-010-001, Emergency Responder Toll Plan and Procedure No. 956-060-005, Pandemic Disease, were not reviewed or updated as required by department procedures. The last documented review date was in 2011.

We recommend the ECO review and update these two procedures to comply with Procedure No. 025-020-002, Standard Operating System.

Finding 12: Federal Reimbursement

We determined the EM Office does not have a written procedure for custody and maintenance of federal reimbursement documentation related to disasters and emergencies.

We recommend the ECO develop a reimbursement policy or procedure to detail FEMA-PA reimbursements and referencing appropriate Office of Comptroller (OOC) procedures for FHWA-ER reimbursements. It should identify specific documents required for FEMA-PA reimbursements and the methodology to track reimbursements. **We also recommend** the ECO continue working with OIS to develop requirements for a document-scanning repository for all reimbursement documents.

¹⁷ District Six has no rest areas and Turnpike only has service plazas. The EMP Procedure does not specify required elements for service plazas; therefore, neither district was applicable to this testing.

Finding 13: Disaster Exercises/After Action Report

We determined the EM Office does not have a documented process to monitor and track issues identified during statewide, department, district, and local government exercises with department participation.

We recommend the ECO create a process to identify department related deficiencies or issues during statewide, department, district, and local government exercises with department participation. The process should detail how to record and track corrective actions as well as how to disseminate all deficiencies, issues, and corrective actions for DECOs and applicable staff to improve their processes.

Finding 14: Auxiliary Staffing and Training

We determined the EM Office has not developed a comprehensive department-wide program to recruit and train auxiliary staff.

We recommend the ECO specify the position-specific minimum training requirements, and maintain training records (e.g., TRESS) to strengthen the auxiliary staff program. We recommend the ECO (in coordination with executive management) evaluate the auxiliary staffing program to determine the merits of continuing a volunteer-based program versus implementing a role-based program.

Finding 15: EM Office Alignment (Position Descriptions and C-FLOP Structure)

We determined responsibilities within the EM office position descriptions do not align with duties performed.

We recommend the ECO update position descriptions to identify C-FLOP roles of each staff member and ensure staff members perform their assigned responsibilities.

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APPENDIX C – Management Response



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

JIM BOXOLD
SECRETARY

June 16, 2015

Mr. Robert Clift
Inspector General
Florida Department of Transportation
605 Suwannee Street
Tallahassee, FL 32399-0450

Mr. Clift:

Thank you for sharing the initial draft report on your Office's audit of the Department's Office of Emergency Management.

The Office of Emergency Management has advised me that it concurs with the findings and recommendations contained in your report. In order to address the identified deficiencies, I have taken the following actions:

- FDOT will be retaining the services of a nationally recognized incident command training expert. Sonny Greene and his team have many years of experience in responding to disasters in Florida and across the United States. They will provide specialized training for our staff, and will assist with the development of additional policies and procedures to ensure that we are prepared in the event of an emergency.
- New leadership has been installed to oversee the Office of Emergency Management. Irene Cabral has been tasked with ensuring that we have the right personnel in place to execute our mission, that the issues detailed in your report are resolved, and that the best practices recommended by our external expert are implemented. Ms. Cabral has an extensive background in emergency management at both the local and statewide level.
- I have instructed my Chief of Staff to take an active role in overseeing the Office of Emergency Management. This new measure will remain in place until I am satisfied that the necessary changes have been implemented and that the office is operating effectively.

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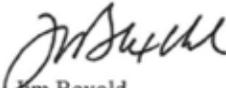
APPENDIX C – Management Response (continued)

Mr. Robert Clift
June 16, 2015
Page 2

Ms. Cabral and our consultant will be developing and implementing a detailed corrective action plan, and will be providing me with regular progress reports. I will ensure that you are included in these communications.

Thank you for the hard work, time and effort that you and your team put into preparing this report.

Sincerely,


Jim Boxold
Secretary

JB: mdj

**Office of Inspector General
Florida Department of Transportation**

DISTRIBUTION, PROJECT TEAM, AND STATEMENT OF ACCORDANCE

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Paul Steinman, P.E., District Seven Secretary
Diane Gutierrez-Scaccetti, Turnpike Enterprise Director
Melinda Miguel, Chief Inspector General, Executive Office of the Governor

Project Team:

Engagement was conducted by Lillian Faye Spell, Audit Team Leader
Megan Kachur, Denise Mottesheard, Audit Staff
Under the supervision of:
Joe Gilboy, Audit Manager; and
Kristofer B. Sullivan, Director of Audit
Approved by: Robert E. Clift, Inspector General

Statement of Accordance

*The mission of the department 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 mission of the Office of Inspector General 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 applicable Principles and Standards for Offices of Inspectors General as published by the Association of Inspectors General, and the International Standards for the Professional Practice of Internal Auditing as published by the Institute of Internal Auditors, Inc.

This report is intended for the use of the agency to which it was disseminated and may contain information that is exempt from disclosure under applicable law. Do not release without prior coordination with the Office of Inspector General.

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

ATTACHMENT A – NEMA Emergency Management Definition, Vision, Mission, and Principles

Emergency Management

Definition, Vision, Mission, Principles

Definition
Emergency management is the managerial function charged with creating the framework within which communities reduce vulnerability to hazards and cope with disasters.

Vision
Emergency management seeks to promote safer, less vulnerable communities with the capacity to cope with hazards and disasters.

Mission
Emergency Management protects communities by coordinating and integrating all activities necessary to build, sustain, and improve the capability to mitigate against, prepare for, respond to, and recover from threatened or actual natural disasters, acts of terrorism, or other man-made disasters.

Principles
Emergency Management must be:

1. *Comprehensive* — emergency managers consider and take into account all hazards, all phases, all stakeholders and all impacts relevant to disasters.
2. *Progressive* — emergency managers anticipate future disasters and take preventive and preparatory measures to build disaster-resistant and disaster-resilient communities.
3. *Risk-Driven* — emergency managers use sound risk management principles (hazard identification, risk analysis, and impact analysis) in assigning priorities and resources.
4. *Integrated* — emergency managers ensure unity of effort among all levels of government and all elements of a community.
5. *Collaborative* — emergency managers create and sustain broad and sincere relationships among individuals and organizations to encourage trust, advocate a team atmosphere, build consensus, and facilitate communication.
6. *Coordinated* — emergency managers synchronize the activities of all relevant stakeholders to achieve a common purpose.
7. *Flexible* — emergency managers use creative and innovative approaches in solving disaster challenges.
8. *Professional* — emergency managers value a science and knowledge-based approach based on education, training, experience, ethical practice, public stewardship and continuous improvement.



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ATTACHMENT B – EM Office Responsibilities

EM Office Responsibilities as Required by the EMP Procedure
Function as the department representatives on the SERT pursuant to the State CEMP, and coordinate with the FDEM on emergency preparedness, response, mitigation, and recovery issues.
Manage the staff and operations of ESF-1 and ESF-3 when the SEOC is activated, which includes the staffing of an alternate SEOC if necessary by utilizing DECOs.
Provide resource support for EMAC missions tasked by the SEOC, which includes providing coordination and management for personnel and equipment.
Coordinate with appropriate department offices and districts to ensure they have disaster preparedness and response plans that are approved and compiled into CEMPs consistent with the State CEMP as outlined in Section 5.2 of the EMP.
Establish training requirements to support assigned missions.
Coordinate training of department personnel as outlined in Section 6 of the EMP Procedure.
Schedule and facilitate workshops and meetings, as needed, to resolve emergency management issues and share lessons learned.
Ensure that the FHWA-ER and FEMA reimbursement materials are made available to the appropriate Central Office and district personnel.
Assist in the coordination of FHWA-ER fund reimbursements, which include assisting in writing the letters of intent and coordinating between the districts' Directors of Transportation Operations and FHWA.
Request activation of real-time traffic counters as tasked by the SEOC, and distribution of the data to interested parties.
Establish a process for emergency management staff to respond to and document emergency calls from the State Watch Office (SWO) and the SEOC on a 24-hour, 7 days per week schedule in accordance with the department EM on-call Central Office Standard Operating Guide (SOG).
Provide staff for the ESFs for which the department is either lead or support agency under the State CEMP.
Procure and manage the statewide contract in support of FEMA-PA Team reimbursement process.
Support regional and local evacuation efforts.
Provide coordination, guidance, support, and training for the TEOC staff, and maintain a roster of personnel to staff the TEOC. This also includes activation of the TEOC to an appropriate level concurrent with the activation of the SEOC (Level 1 or 2).
Coordinate with the DECO, and other appropriate personnel to deploy resources before, during, and after an event including logistical support for department personnel and equipment deployed.
Develop, maintain, and deploy the satellite communication trailer in accordance with the department EM Satellite Communication SOG.
Coordinate with the Office of Work Program to establish Financial Projects for the recording of time and expenses for activities performed by the SEOC and TEOC related to an emergency event. Ensure that district EOC personnel have contacted the district Work Program Offices in the area(s) impacted by the event to have the necessary Financial Projects established for all event related activities within each district.

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ATTACHMENT C – DECO Responsibilities

DECO Responsibilities as Required by the EMP Procedure
As empowered by the District Secretary, function as the district representative to carry out the district's responsibilities and coordinate with the Central Office ECO.
Support the County Emergency Managers to help ensure successful coordination of evacuations, re-entries, and other emergency responses.
Work with the local Regional Domestic Security Task Force (RDSTF) and other entities to coordinate Emergency Management activities, which involve the department at the district Level.
Provide coordination and leadership for the district EOC including, but not limited to: (1) Maintaining a current roster of district personnel to staff and provide support to the district EOC. (2) Maintaining a current roster of ten or more district personnel to support a Disaster Recovery Center or Essential Services Center. (3) Activating the district EOC to an appropriate level with the activation of the SEOC and/or TEOC. (4) Providing staff for the alternate SEOC during activation when not directly impacted. (5) Providing backup staff for the TEOC and SEOC when not directly impacted.
Coordinate where appropriate with Central Office emergency management and appropriate district personnel in the development and implementation of the district CEMP as outlined in Section 5.2 of the EMP Procedure. The district CEMP must be compatible with the emergency actions of local government.
Coordinate the appropriate training for district personnel involved in emergency management activities including, but not limited to, the district EOC, County Liaison, FHWA-ER Program, Damage Inspection, and others.
Attend and assist with scheduling workshops and meetings, as needed, to resolve emergency management issues and share lessons learned.
Establish a process for emergency management staff or their designee(s) to respond to emergency calls for major incidents from the department ECO or designated representatives on a 24 hours per day/seven days per week schedule.
Coordinate and manage incoming personnel and equipment from other state(s) under the Emergency Management Assistance Compact (EMAC).
Support regional and local evacuation efforts.
Follow OOOOC's Natural Disaster Emergency Handbook. Examples are documenting food, fuel, and lodging expenses.
Coordinate with the district Work Program staff to ensure that Financial Projects have been established for the recording of time and expenses related to an emergency event. Ensure the Financial Project numbers have been provided to the appropriate personnel within the district.
Other emergency response activities as assigned by the District Secretary.

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ATTACHMENT D – Results of the Central Office and District COOP Review

Results of the Central Office and District COOP Review										
Overall Testing Questions		CO	D1	D2	D3	D4	D5	D6	D7	TPE
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes								
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
Compliance Element Per Statute		CO	D1	D2	D3	D4	D5	D6	D7	TPE
1	identification of essential functions, programs, and personnel	Yes								
2	procedures to implement the plan and personnel notification and accountability	Yes								
3	delegations of authority and lines of succession	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
4	identification of alternative facilities and related infrastructure, including those for communications	Yes								
5	identification and protection of vital records and databases	Yes								
6	schedules and procedures for periodic tests, training, and exercises	Yes								
Number of Required Elements		6								
Number of Compliant Elements in Plan		6	6	6	5	6	6	6	6	6

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ATTACHMENT E – Results of the Work Place Contingency Plans Review

Results of the Central Office Work Place Contingency Plans Review									
Overall Questions for each Cost Center		929	942	947	960	970	972	973	989
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	No	Yes						
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	Yes	No	No	No
Compliance Element Per Procedure		929	942	947	960	970	972	973	989
1	Consist of an employee call list	No	Yes	Yes	Yes	Yes	Yes	No	No
2	Consist of an alternate work site	No	No	No	Yes	Yes	No	No	No
3	Consist of an identification of primary and alternate safety coordinators	No	Yes	Yes	No	Yes	No	No	No
4	Consist of instructions to access critical data or systems	No	Yes	Yes	No	Yes	No	No	No
Number of Required Elements		4							
Number of Compliant Elements in Plan		0	3	3	2	4	1	0	0

Results of the District One Work Place Contingency Plans Review								
Overall Questions for each Cost Center		101	146	162-A	190	191	192	194-B
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	No						
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No						
Compliance Element Per Procedure		101	146	162-A	190	191	192	194-B
1	Consist of an employee call list	No						
2	Consist of an alternate work site	No						
3	Consist of an identification of primary and alternate safety coordinators	No						
4	Consist of instructions to access critical data or systems	No						
Number of Required Elements		4						
Number of Compliant Elements in Plan		0						

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ATTACHMENT E – Results of the Work Place Contingency Plans Review (cont.)

Results of the District Two Work Place Contingency Plans Review							
Overall Questions for each Cost Center		203-A	233	250	254	292	294
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	No	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	No	No
Compliance Element Per Procedure		203-A	233	250	254	292	294
1	Consist of an employee call list	No	No	No	No	No	No
2	Consist of an alternate work site	No	Yes	No	Yes	No	No
3	Consist of an identification of primary and alternate safety coordinators	Yes	No	No	No	Yes	Yes
4	Consist of instructions to access critical data or systems	No	No	No	No	No	No
Number of Required Elements		4	4	4	4	4	4
Number of Compliant Elements in Plan		1	1	0	1	1	1

Results of the District Three Work Place Contingency Plans Review						
Overall Questions for each Cost Center		308	319	323	338	352
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	No
Compliance Element Per Procedure		308	319	323	338	352
1	Consist of an employee call list	No	Yes	No	No	No
2	Consist of an alternate work site	Yes	No	No	Yes	Yes
3	Consist of an identification of primary and alternate safety coordinators	No	Yes	No	No	No
4	Consist of instructions to access critical data or systems	Yes	No	No	Yes	Yes
Number of Required Elements		4	4	4	4	4
Number of Compliant Elements in Plan		2	2	0	2	2

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ATTACHMENT E – Results of the Work Place Contingency Plans Review (cont.)

Results of the District Four Work Place Contingency Plans Review									
	Overall Questions for each Cost Center	404	408	422	429-B	430-B	454	462	496-B
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes							
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No							
	Compliance Element Per Procedure	404	408	422	429-B	430-B	454	462	496-B
1	Consist of an employee call list	No							
2	Consist of an alternate work site	No	No	No	Yes	No	No	No	No
3	Consist of an identification of primary and alternate safety coordinators	Yes							
4	Consist of instructions to access critical data or systems	No	No	No	Yes	No	No	No	No
Number of Required Elements		4							
Number of Compliant Elements in Plan		1	1	1	3	1	1	1	1

Results of the District Five Work Place Contingency Plans Review						
	Overall Questions for each Cost Center	510	522	542	555	593
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	No
	Compliance Element Per Procedure	510	522	542	555	593
1	Consist of an employee call list	Yes	No	Yes	No	Yes
2	Consist of an alternate work site	Yes	Yes	Yes	No	No
3	Consist of an identification of primary and alternate safety coordinators	No	No	No	No	Yes
4	Consist of instructions to access critical data or systems	Yes	No	No	No	No
Number of Required Elements		4	4	4	4	4
Number of Compliant Elements in Plan		3	1	2	0	2

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ATTACHMENT E – Results of the Work Place Contingency Plans Review (cont.)

Results of the District Six Work Place Contingency Plans Review						
Overall Questions for each Cost Center		610-A	632	638	655	662
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	Yes
Compliance Element Per Procedure		610-A	632	638	655	662
1	Consist of an employee call list	No	No	No	Yes	Yes
2	Consist of an alternate work site	No	No	No	No	Yes
3	Consist of an identification of primary and alternate safety coordinators	Yes	Yes	No	Yes	Yes
4	Consist of instructions to access critical data or systems	No	No	No	No	Yes
Number of Required Elements		4	4	4	4	4
Number of Compliant Elements in Plan		1	1	0	2	4

Results of the District Seven Work Place Contingency Plans Review						
Overall Questions for each Cost Center		706	717	744	798	799
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	Yes	Yes	No	No	Yes
Compliance Element Per Procedure		706	717	744	798	799
1	Consist of an employee call list	Yes	Yes	Yes	Yes	Yes
2	Consist of an alternate work site	Yes	Yes	No	Yes	Yes
3	Consist of an identification of primary and alternate safety coordinators	Yes	Yes	Yes	Yes	Yes
4	Consist of instructions to access critical data or systems	Yes	Yes	Yes	No	Yes
Number of Required Elements		4	4	4	4	4
Number of Compliant Elements in Plan		4	4	3	3	4

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ATTACHMENT E – Results of the Work Place Contingency Plans Review (cont.)

Results of the Turnpike Work Place Contingency Plans Review				
	Overall Questions for each Cost Center	802	838	849
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	Yes	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No
	Compliance Element Per Procedure	802	838	809
1	Consist of an employee call list	No	No	Yes
2	Consist of an alternate work site	No	No	No
3	Consist of an identification of primary and alternate safety coordinators	Yes	Yes	No
4	Consist of instructions to access critical data or systems	No	No	Yes
	Number of Required Elements	4	4	4
	Number of Compliant Elements in Plan	1	1	2

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ATTACHMENT F – Results of the District CEMP Review

Results of the District CEMP Review									
	Overall Testing Questions	D1	D2	D3	D4	D5	D6	D7	TPE
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes							
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	Yes	No						
	Compliance Element Per Procedure	D1	D2	D3	D4	D5	D6	D7	TPE
1	Include all direction and information concerning emergency recovery actions.	Yes							
2	Contact information shall include names, agency, phone numbers, e-mail addresses, and area of responsibility.	Yes	No						
3	Any agreements with federal, state, or local agencies regarding emergency management or recovery must be identified within the plan.	N/A							
4	Goals for state emergencies, such as what function or activity must be initiated, when it is to begin, priority of locations, and how long performed must also be included.	Yes	No						
5	Include and identify any functions performed in anticipation of state emergencies such as the identification of debris staging areas, the locations of available resources, and the identification of any data, maps or other information that will assist in the assessment of damage and the development of recovery activities.	Yes							
Number of Required Elements		4							
Number of Compliant Elements in Plan		4	2						
Notes:									
Element #3 – We excluded the element from our testing because the DECOs informed us the districts do not have any agreements in place.									

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ATTACHMENT G – Results of the Department Debris Management Plan Review

Results of the Department Debris Management Plan Review		
Overall Testing Questions		Result
	Does a plan exist?	Yes
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	Yes
	Compliance Element Per Procedure	Present
1	Outlines the duties and responsibilities for the clearance of debris and prioritization of infrastructure to be cleared.	Yes
Number of Required Elements		1
Number of Compliant Elements in Plan		1

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ATTACHMENT H – Results of the District Debris Management Plan Review

Results of the District Debris Management Plan Review									
Overall Testing Questions		D1	D2	D3	D4	D5	D6	D7	TPE
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	Yes	No						
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	Yes	No						
Compliance Element Per Procedure		D1	D2	D3	D4	D5	D6	D7	TPE
1	Outlines the duties and responsibilities for the clearance of debris and prioritization of infrastructure to be cleared.	Yes	No						
Number of Required Elements		1							
Number of Compliant Elements in Plan		1	0						

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ATTACHMENT I – Results of the District Motorist Assistance Plan Review

Results of the District Motorist Assistance Plan Review									
Overall Testing Questions		D1	D2	D3	D4	D5	D6	D7	TPE
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	No	Yes	Yes	No	Yes	No	No	No
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No							
Compliance Element Per Procedure		D1	D2	D3	D4	D5	D6	D7	TPE
1	The goal of the clearance plan shall be to require aggressive clearance of blockages to maintain maximum roadway capacity prior to or during an evacuation by clearing crash scenes, removing debris from roadways as directed by the department & district Debris Management Plans, and moving abandoned or disabled vehicles off the travel lane.	No	No	No	No	Yes	No	No	No
2	Identify the amount of fuel to be carried by the motorist assistance patrols.	No	No	No	No	Yes	No	No	No
3	Dispense sufficient fuel to allow the motorist to reach the nearest exit off the roadway .	No	No	No	No	Yes	No	No	No
4	Identify refueling sites for the motorist assistance vehicles and other necessary evacuation support department vehicles.	No	No	No	No	Yes	No	No	No
5	Each district shall identify the amount of water to be carried by the motorist assistance patrols.	No	No	Yes	No	Yes	No	No	No
6	Identify a means of removing stranded motorists from the roadway to a place of shelter for the emergency.	No	No	No	No	Yes	No	No	No
7	A disabled vehicle should be moved out of the travel lanes before attempting any repairs or refueling. If it is identified that there are additional needs beyond fuel, the motorist assistance patrol may help the motorist up to a maximum of 15 minutes. Additionally, the motorist assistance patrol should contact the emergency transportation provider to pick up the stranded motorist if requested.	No							
Number of Required Elements		7							
Number of Compliant Elements in Plan		0	0	1	0	6	0	0	0

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ATTACHMENT J – Results of the District Road Ranger Contract Review

Results of the District Road Ranger Contract Review										
	D1	D2	D3	D4			D5	D6	D7	TPE
Compliant Element Per Procedure	BDV08	BDQ25	BDL51	BDQ84	BDR20	BDX25	BDV03	BDW05	BDW67	BDV67
The goal of the clearance plan shall be to require aggressive clearance of blockages to maintain maximum roadway capacity prior to or during an evacuation by clearing crash scenes, removing debris from roadways as directed by the Department & District Debris Management Plans, and moving abandoned or disabled vehicles off the travel lane	Yes									
Identify the amount of fuel to be carried by the motorist assistance patrols	Yes	No	Yes							
Dispense sufficient fuel to allow the motorist to reach the nearest exit off the roadway	Yes									
Identify refueling sites for the motorist assistance vehicles and other necessary evacuation support Department vehicles.	Yes									
Each District shall identify the amount of water to be carried by the motorist assistance patrols	Yes	No	Yes							
Identify a means of removing stranded motorists from the roadway to a place of shelter for the emergency	Yes									
A disabled vehicle should be moved out of the travel lanes before attempting any repairs or refueling. If it is identified that there are additional needs beyond fuel, the motorist assistance patrol may help the motorist up to a maximum of 15 minutes. Additionally, the motorist assistance patrol should contact the emergency transportation provider to pick up the stranded motorist if requested.	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes
Number of Required Elements	7									
Number of Compliant Elements in Contract	7	7	7	7	7	7	6	7	5	7

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ATTACHMENT K – Results of the District Rest Area Plan Review

Results of the District Rest Area Plan Review									
Overall Testing Questions		D1	D2	D3	D4	D5	D6	D7	TPE
	Does a plan exist? Note: Plan has to be specifically identified separately or within the CEMP.	No	No	Yes	No	Yes	No	No	No
	Does a compliant plan exist? Note: Plan is considered a compliant plan if all elements were addressed.	No	No	No	No	No	N/A	No	N/A
Compliance Element Per Procedure		D1	D2	D3	D4	D5	D6	D7	TPE
1	Portable toilets in sufficient quantity as identified by the district to be placed at rest areas along the evacuation route. These must be securely anchored by the vendor.	No	No	No	No	Yes	N/A	No	N/A
2	Additional attendants and supplies as identified by the district to be stationed at the rest areas along the evacuation route for the purpose of providing support during an emergency. Security should be available 24 hours per day.	No	No	No	Yes	Yes	N/A	No	N/A
3	Water to be supplied to motorists at rest areas along the evacuation route.	No	No	No	No	No	N/A	No	N/A
4	The district should coordinate with local agencies for placement of shelter information to be placed in the rest areas along the evacuation route.	No	No	No	Yes	Yes	N/A	No	N/A
Number of Required Elements		4	4	4	4	4		4	
Number of Compliant Elements in Plan		0	0	0	2	3		0	
Notes:									
D6 – District does not have a Rest Area along the interstate highways.									
TPE – The Turnpike does not have rest areas, only service plazas. The EMP Procedure does not specify requirements for service plazas.									

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**ATTACHMENT L – Results of the District Asset Maintenance Contract Review
(Rest Area Plan)**

Results of District Asset Maintenance Contract Review (Rest Area Plan)									
District	1	2	3	3	4	5	5	5	7
Compliant Element Per Procedure	E1G23	E2Q74	BD049	BD524	E4N81	BD355	E5P62	E5Q90	E7I87
Portable toilets in sufficient quantity as identified by the District to be placed at rest areas along the evacuation route. These must be securely anchored by the vendor.	Yes								
Additional attendants and supplies as identified by the District to be stationed at the rest areas along the evacuation route for the purpose of providing support during an emergency. Security should be available 24 hours per day.	Yes								
Water to be supplied to motorists at rest areas along the evacuation route.	No	No	No	No	Yes	No	No	No	No
The District should coordinate with local agencies for placement of shelter information to be placed in the rest areas along the evacuation route.	No	No	No	No	Yes	No	No	No	No
Number of Required Elements	4								
Number of Compliant Elements in Contract	2	2	2	2	4	2	2	2	2