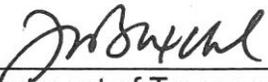


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Department of Transportation

## CONTINUITY OF OPERATIONS PLAN

### PURPOSE:

This procedure defines the roles, responsibilities, authorities, and requirements of Florida Department of Transportation (Department) employees concerning the Department's Continuity of Operations Plan (COOP), for the continuation of essential functions in the event of a disaster or significant disruption to Department operations. It also requires minimum plans for resumption of services in routine function offices in the event of disruption to the workplace.

### AUTHORITY:

Sections 20.23(4)(a) and 334.048(3), Florida Statutes (F.S.)

### SCOPE:

The scope of the COOP is to ensure the Department has a preparedness plan to ensure continuity of operations of essential functions during an emergency. The plan addresses the following elements required by statute:

- A. identification of essential functions, programs, and personnel;
- B. procedures to implement the plan and personnel notification and accountability;
- C. delegations of authority and lines of succession;
- D. identification of alternative facilities and related infrastructure, including those for communications;
- E. identification and protection of vital records and databases; and
- F. schedules and procedures for periodic tests, training and exercises.

The Department's COOP will be reviewed and updated as needed to reflect the changes in the Department's **Emergency Management Procedures**. The COOP outlines actions necessary to secure the Department's facilities, resources and personnel.

Identified Teams (Management, Facilities Support, Technology and Operations) will be directly involved in the continuation of essential functions identified in the COOP. Other employees will assist with the recovery and reconstitution of other routine activities. Trained support staff must be knowledgeable of and comply with directions of the applicable provisions of the COOP.

The COOP is exempt from disclosure under the public records law, **Section 119.071, F.S.** due to the confidential nature of the information encompassed within the plan.

## REFERENCES:

- Section 252.365, F.S.
- Continuity of Operations Implementation Guidance, Florida Division of Emergency Management

## BACKGROUND:

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

The Central Office, Turnpike Enterprise, and each of the District Offices have identified essential functions and prepared a COOP.

To ensure that all Department offices are prepared, all offices will be responsible for the development of a workplace contingency plan in the event of disruption to the workplace. All workplace contingency plans will be reviewed, revised (as needed), and submitted to the Department's Emergency Management Office.. The essential function and routine function plans address internal actions in the event of an emergency and become components of the Comprehensive Emergency Management Plan (CEMP).

## DEFINITIONS:

**Alternate Work Site:** An alternate location to be used to continue essential and business functions when the primary facilities are inaccessible. Such locations may include, but are not limited to, an employee's home and/or satellite offices.

**Comprehensive Emergency Management Plan (CEMP):** Is an operations-oriented document authorized by **Chapter 252, F.S.** The CEMP establishes the framework for an effective system to ensure that government entities and its municipalities will be adequately prepared to deal with the occurrence of emergencies and disasters. The plan outlines the roles and responsibilities of local government, state and federal

agencies and volunteer organizations. The CEMP unites the efforts of these groups under the Emergency Support Function (ESF) format with a designated lead agency for a comprehensive approach to mitigation, planning, response and recovery from identified hazards.

**Continuity of Operations Plan (COOP):** A developed and tested collection of plans establishing procedures by which an agency can continue its essential functions in the event of disruption to work and work locations due to emergencies or disasters. It addresses primary internal actions necessary to recover operations in the event of disruption to the workplace. The COOP document contains detailed plans, resource needs, and subcomponent plans necessary to address essential functions

**COOP Coordinator:** A member of the Management Team who is assigned the overall responsibility for administration of the COOP program. All state agencies are required to have an individual assigned to develop, manage, and maintain the agency's COOP. The Department also has assigned COOP coordinators in the Central Office, Turnpike Enterprise and Districts

**Cost Center Manager:** A management level employee with direct responsibility for the operations of a given office and its budget.

**Disaster:** A sudden, unplanned calamitous event that causes loss and hardship and thereby significantly impacts the ability to deliver essential services for a period of time.

**Essential Function:** A Department action that must be performed as stated in Federal and State law to ensure the safety of the traveling public, or protect the economic interests of the State.

**Management Team:** A team comprised of senior management from each office and emergency management.

**Recovery:** The process of planning for and/or implementing the return of less time sensitive business operations and processes to a normal or improved state after a setback or loss; after critical business functions have resumed.

**Recovery Teams:** Teams that coordinate COOP activities. This team provides the necessary leadership and direction to implement the COOP and carry out the assigned duties and responsibilities at the time of a disaster.

**Routine Function:** Tasks which must be done regularly or at specified interval; typical or everyday tasks within the Department.

**Safety Coordinators:** An individual that has the responsibility for safety practices of a given office. All offices should have a primary and alternate safety coordinator assigned.

**Work Place Contingency Plan:** A plan allowing each individual office to recover from an event. This plan may affect only the office and may be the same plan followed when a COOP is activated.

## **DEPARTMENT CONTINUITY OF OPERATIONS PLANS**

The Central Office, Districts, and Turnpike Enterprise COOP's contain plans needed for the development of recovery and restoration of essential functions in their areas of responsibility. It contains office plans and identifies critical team members, specific team responsibilities, and alternate work sites.

### **1.1 DEPARTMENT**

The Department Plan is a general summary of plans established in the Districts, Turnpike Enterprise, and Central Office.

### **2.0 ALTERNATE WORK SITES**

All offices that perform essential functions within the Department must identify operational criteria necessary to select alternate work sites when the normal work location is no longer available. The extent of the situation will determine if the selected site may be used or if other space must be procured.

### **3.0 WORK PLACE CONTINGENCY PLANS**

Every office within the Department will have a work place contingency plan to address all employees and functions. These plans will be reviewed, revised (if needed) and submitted to the Emergency Management Office when revisions are needed. All employees must be familiar with their respective office plan and its relationship to the COOP. The individual work place contingency plan may be invoked in the event of disruption to normal operations. Implementation of the work place contingency plan does not require a full or partial activation of the COOP. Offices with essential functions must have their plan included within the COOP document. The plan may be retained by the office and may be activated by the cost center manager or appropriate delegate.

### **4.0 RESPONSIBILITIES**

Responsibilities of District COOP Coordinator (**Section 4.3**), will also apply to the Turnpike Enterprise COOP Coordinator.

#### **4.1 COST CENTER MANAGERS**

- (A) Develop an office work place contingency plan(s);

- (B) Develop and keep current and accurate contact information for office personnel;
- (C) Ensure that employees receive appropriate training concerning individual responsibilities during activation of COOP or a subcomponent of COOP;
- (D) Provide resource support to COOP critical teams when requested;
- (E) Ensure employees participate in COOP testing exercises when appropriate;
- (F) Provide recommended changes to COOP procedures based on lessons learned from exercises and activations;
- (G) Control and monitor review of the COOP;
- (H) Assure Work Place Contingency Plans are stored in a manner that allows access by key employees in the event of an emergency;
- (I) Keep all workplace emergency response and evacuation plans current and available to employees; and
- (J) Coordinate the revision of the plan and provide Department COOP Coordinator with a copy of the plan.

#### **4.2 DEPARTMENT COOP COORDINATOR**

- (A) Maintain and update the Department, Central Office COOP and related data files;
- (B) Ensure the Central Office COOP remains compatible and coordinated with the Office of Information Systems Disaster Recovery Plan, the Turnpike Enterprise, and District COOPs;
- (C) Annually conduct a minimum of one COOP testing and assessment exercise;
- (D) Coordinate budget requests for items to improve COOP operations when needed;
- (E) Coordinate or provide the appropriate COOP training for Department personnel;
- ;
- (F) Control and monitor distribution of COOP and related material; and

### **4.3 DISTRICT COOP COORDINATOR**

- (A) Maintain and update the District COOP and related data files;
- (B) Ensure the District COOP remains compatible and coordinated with the OIS Disaster Recovery Plan, the Turnpike Enterprise, other Districts, and the Central Office COOPs;
- (C) Conduct a minimum of one COOP testing and assessment exercise per year;
- (D) Coordinate or provide the appropriate COOP training for district personnel;
- (E) Control and monitor distribution of COOP and related material with the knowledge all COOP plans are confidential and are exempt from public records disclosure. All recipients of COOP material must be aware of the confidentiality requirement
- (F) Lead recovery team meetings when requested; and

### **4.4 ALL EMPLOYEES**

- (A) Ensure a contact is provided to their supervisor and is updated;
- (B) Attend training when available and/or instructed to do so;
- (C) Become knowledgeable of and comply with directions of all applicable Department emergency plans;
- (D) Become knowledgeable of work place contingency plans (COOP subcomponent) when provided material and instructed to do so;

### **5.0 ACTIVATION OF A COOP**

The COOP shall be activated as specified in the plan and will require approval from Executive Management. Activation will generally occur as a result of an incident causing disruption to essential functions. A regional disaster may also cause an activation because of potential impacts to the workplace. Situations will be assessed to determine whether the disruption warrants a full COOP implementation or whether disrupted essential functions may be continued using the work place contingency plan.

### **6.0 TRAINING AND EXERCISES**

The Department shall develop a comprehensive test, training, and exercise program to validate policies, plans, and procedures. The Department shall ensure that personnel are sufficiently trained, and ensure that resources and equipment are capable of supporting operations.

Awareness training should be provided to all new employees with a COOP function in order to communicate the procedures, roles and responsibilities for the business recovery process.

Testing of the COOP Plan can be accomplished using different methods as described below:

**(A) Alternate Facilities Tests**

The alternate facilities test involves determining the adequacy of equipment, materials, systems, personnel, etc. at the appropriate alternate facilities to perform the essential functions. This test determines whether telephone numbers for the facilities are current, network access is available, space, supplies and equipment are adequate, and the primary and secondary facilities are available. When testing, the team travels to the primary and secondary facilities to validate the suitability of the facilities.

**(B) Structured Walk-Through Tests**

During a structured walk-through test, business continuity team members meet to walk through the specific steps of each component of the recovery process as documented in the COOP. The purpose of the structured walk-through test is to confirm the effectiveness of the Plan and to identify gaps, bottlenecks, or other Plan weaknesses.

Participants in this test should include COOP Administrator, Team Managers and Alternates, and other selected personnel as directed. Prior to performing the structured walk-through test, each team member should be familiar with the Plan and should understand the specific team responsibilities documented in the Plan.

**(C) Alert and Notification Tests**

During an alert and notification test, COOP Team members determine whether the calling list and contact lists are current and accurate. The purpose of the alert and notification test is to confirm that the lists are up-to-date, the participants know how to use the lists, and the lists can be used in the event of a disaster. This test should be conducted with the COOP Administrator and COOP Management Team members.

**(D) Checklist Testing**

A checklist test determines whether telephone number listings are current, quantities of forms are adequate, and a copy of the recovery plan and necessary operational manuals are available. In this exercise, the team reviews the COOP and identifies key components that should be current and available. The checklist test ensures that the organization is in compliance with the requirements of the COOP.

Training and orientation curriculum should be instituted to create awareness and enhance the skills required to develop, implement, maintain, and execute the COOP program. COOP training will be conducted as needed

**7.0 FORMS**

There are no forms required by this procedure.