



Federal Continuity Directive 2

Federal Executive Branch Mission Essential Functions and
Candidate Primary Mission Essential Functions Identification
and Submission Process

July 2013



**Homeland
Security**



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MESSAGE FROM THE SECRETARY

In May 2007, the National Security Presidential Directive-51/Homeland Security Presidential Directive-20, *National Continuity Policy*, was issued by the President to establish and maintain a comprehensive and effective national continuity capability in order to ensure resilience and the preservation of our form of Government under the Constitution and the continuing performance of the National Essential Functions (NEFs) under all conditions. In August 2007, the President approved the *National Continuity Policy Implementation Plan* to build upon the *National Continuity Policy* and provide guidance to Federal Executive Branch Departments and Agencies (D/As) on appropriately identifying and carrying out their Primary Mission Essential Functions (PMEFs) that support the eight NEFs – the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency.

To provide additional operational guidance to implement this policy and assist the D/As in identifying their Mission Essential Functions (MEFs) and Candidate PMEFs, the Department of Homeland Security developed and issued *Federal Continuity Directive 2 (FCD 2)*, dated February 2008. This update to that FCD includes new policies and clarifications to existing policies, based on lessons learned since the original guidance was issued. This FCD provides guidance and direction for D/As in the process for the identification and periodic review and verification of their Essential Functions, the Business Process Analyses and Business Impact Analyses that support and identify the relationships among these Essential Functions. Further, this revision to FCD 2 establishes a maintenance process that enables D/As to submit revisions to their existing or new candidate PMEFs for review and validation as their missions and priorities change and evolve over time.

The provisions of this FCD are applicable to all levels of the Federal Executive Branch, regardless of their location. Though not a requirement, State, Territorial, Tribal, and Local governments, as well as the private sector, are strongly encouraged to adopt a similar approach, as there are many interdependencies among the various levels of government, which are critical to ensuring the continued functioning of Governments at all levels, and the continued performance of essential functions.



Janet Napolitano
Secretary of Homeland Security

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FEDERAL CONTINUITY DIRECTIVE 2

Number	Date	Office
FCD 2		FEMA National Continuity Programs

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: FEDERAL EXECUTIVE BRANCH MISSION ESSENTIAL FUNCTIONS AND CANDIDATE PRIMARY MISSION ESSENTIAL FUNCTIONS IDENTIFICATION AND SUBMISSION PROCESS

1. PURPOSE: This Federal Continuity Directive (FCD) implements the requirements of FCD 1, Annex D, and provides guidance and direction to Federal Executive Branch Departments and Agencies (D/As) to validate and update their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs). It includes guidance and checklists to assist agencies in assessing their essential functions through a risk management process and in identifying candidate PMEFS that support the National Essential Functions (NEFs) -- the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency. This FCD provides direction on the formalized process for submission of D/As candidate PMEFS in support of the NEFs. This FCD also includes guidance for conducting a Business Process Analysis (BPA) and Business Impact Analysis (BIA) for MEFs and candidate PMEFS. Process and impact analysis identify essential function relationships, interdependencies, time sensitivities, threats and vulnerabilities, and mitigation strategies that impact and support the performance of the MEFs and PMEFS.

2. APPLICABILITY AND SCOPE: The provisions of this FCD are applicable to the executive departments enumerated in 5 U.S.C. § 101, independent establishments as defined by 5 U.S.C. § 104(1), Government corporations as defined by 5 U.S.C. § 103(1), and the United States Postal Service. The departments, agencies, and independent agencies are hereinafter referred to as "D/As."

3. SUPERSESSSION: The provisions of this FCD supersede Federal Continuity Directive 2, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated February 2008.

4. AUTHORITIES: See Annex H, Authorities and References.

5. REFERENCES: See Annex H, Authorities and References.

6. POLICY: It is the policy of the United States Government to maintain a comprehensive and effective continuity capability composed of Continuity of Operations (COOP) and Continuity of Government (COG) programs to ensure the preservation of our form of government under the Constitution and the continuing performance of the NEFs under all conditions. The ultimate goal of continuity in the executive branch is the continuation of NEFs.

In order to achieve this goal, the objective for D/As is to identify their MEFs and candidate PMEFS that support the NEFs and ensure that those functions can be continued through-out, or

resumed rapidly after, a disruption of normal activities. While the Federal Government provides many services to the American people, it is important to identify those services that must be continued during an emergency. Setting priorities is difficult, but D/As should not wait for a crisis or a continuity event to determine what is a priority. The continuous performance of essential functions must be guaranteed with the right people, the right resources, and the right planning. Continuity cannot be an afterthought for D/As as they strive to perform their essential functions. All D/As, regardless of their size or location, shall have in place a viable continuity capability to ensure continued performance of their essential functions under all conditions.

7. MEF AND CANDIDATE PMEF IDENTIFICATION: The National Continuity Policy Implementation Plan (NCPIP) provided a formalized process that enabled D/As to identify their PMEFS and ensure that they are in support of the NEFs. This process is further outlined in FCD 1, *Federal Executive Branch National Continuity Program*, (Annex D), as part of the elements of a viable continuity capability. Annexes B through E to this FCD provide a detailed process for identifying, reviewing, validating, or updating MEFs and candidate PMEFS and includes guidance for conducting a BPA and BIA.

All D/As have Essential Functions as defined and outlined in this FCD. Many D/As have MEFs and a still smaller number of D/As have PMEFS. This narrowing and prioritizing is both appropriate and consistent with the concepts that underlie a comprehensive continuity policy that prioritizes critical functions that must continue to be performed during a disruption. The fact that some D/As may not have a PMEFS, is not a reflection on the importance of their responsibilities, but rather a reflection of the urgency of the functions that D/As may need to perform during a crisis. A D/A's analysis should include consideration of functions performed at all of the organization's locations, and not be limited to Headquarters activities.

8. SUBMISSION REQUIREMENTS:

D/As must annually review their MEFs and BPAs and document the date of the review and names of personnel conducting the review in accordance with FCD 1. D/As will follow the process outlined in Annex B to identify, review, and validate their MEFs and candidate PMEFS. D/As must incorporate any identified changes generated by new organization programs, priorities or functions and any organizational changes to existing programs or functions. If during the review process, D/As determine that they wish to revise an existing PMEFS, or propose a new candidate PMEFS for consideration by the Independent Review Board (IRB), they will follow the submission guidance below.

- a. **Submission Materials.** The following information will be submitted as part of a D/A package to DHS/FEMA/NCP:
 1. **Agency Memorandum.** A memorandum from the Continuity Coordinator will be submitted to DHS/FEMA/NCP for proposed revised or new candidate PMEFS to be reviewed by the IRB. This memorandum should include contact information (name, email, and phone number) for the agency's Continuity Coordinator and supporting Continuity Manager for IRB follow-up coordination.

2. **MEF/PMEF Worksheet.** The MEF/PMEF Worksheet consists of a series of tables provided in Microsoft (MS) Word format. These tables help identify requirements, inputs, outputs, interdependencies, and the critical elements that assist agencies in identifying their MEFs and candidate PMEFS and in completing the required BPAs.

See Annex F, Forms

3. **Candidate PMEFS Narrative Sheet.** The purpose of the Candidate PMEFS Narrative Sheet is to provide a narrative summary of candidate PMEFS. Each Candidate PMEFS Narrative Sheet will include the agency, contact information, PMEFS statement, PMEFS description, impact if the specific PMEFS is not conducted, supporting MEFs linked to the PMEFS, supported NEF, maximum tolerable downtime, and names of interdependent partners. See Annex F, Form 8.

b. **Submission Process.** Submit the agency Memorandum and MEF/PMEFS information to FEMA's National Continuity Programs email at FEMA-pmefsubmissions@dhs.gov.

Only unclassified information will be submitted to the FEMA-pmefsubmissions@dhs.gov email account. Agencies that need to submit classified material should contact FEMA Document Control at (202) 646-4629 for the appropriate submission process.

Questions or comments related to agency submissions should be submitted to FEMA's National Continuity Programs at (202) 646-4145 or email at FEMA-pmefsubmissions@dhs.gov.

c. **Scope of Responses:** An agency's analysis should include consideration of functions performed at all of the organization's locations, and not be limited to Headquarters activities.

9. ADDITIONAL GUIDANCE: In addition to the information provided in this FCD, DHS/FEMA/NCP will provide familiarization briefings and training on the MEF and candidate PMEFS identification process.

10. POINT OF CONTACT: Questions regarding procedures in this FCD can be submitted to FEMA National Continuity Programs at (202) 646-4145 or email FEMA-NCP-Federal-Continuity@dhs.gov.

11. DISTRIBUTION: This FCD is distributed to the Heads of Federal Departments and Agencies, Continuity Coordinators and Managers, senior policy officials, and other interested continuity and emergency preparedness officials.

ANNEX A: DESCRIPTION OF FUNCTIONS

The ultimate goal of continuity in the Federal Executive Branch is the continuation of the NEFs. In order to achieve this goal, the objective for D/As is to identify their MEFs and ensure these functions can be performed continuously during, or resumed rapidly after, a disruption of normal activities. While the Federal Government provides many services to the American people, it is important to identify those services that must continue during a continuity event. The following list of functions provide categories to better define those services.

Government Functions: Government functions include all of the functions performed by Executive Departments and Agencies as defined by the Constitution, statute, regulation, Presidential direction, or other legal authority, and the functions of the Legislative and Judicial Branches, as well as all of the supporting functions and associated activities necessary to perform them. In addition, the activities of State, local, territorial, and tribal governments, and private sector entities often support the performance of many Federal Government functions.

Essential Functions:

Essential functions are a subset of government functions that are determined by each individual D/A to be critical activities and cannot be deferred during a disruption. These essential functions include the many supporting tasks and resources that must be part of the organization's continuity planning process. Thus, the term "essential functions" refers to those functions an organization must continue in a continuity situation, whether the functions are MEFs, Essential Supporting Activities, Protecting and Preserving Resources, or Reconstitution Activities.

1. **Mission Essential Functions (MEFs):** MEFs are those essential functions directly related to accomplishing the *mission* of the organization. Generally, a MEF is *unique* to the D/As—most other D/As do not perform this function. MEFs are those functions the D/As perform to provide vital services, exercise civil authority, maintain the health and safety of the general public, and sustain the economic/industrial base during a disruption of normal operations.
 - a. **Reconstitution Activities:** Reconstitution is an essential function since the continuity event cannot end until reconstitution is complete. Reconstitution includes all of those functions and activities necessary to restore full, normal operations, and thus, performance of ALL agency activities. This may include activities such as: assessing damage, repairing or replacing facilities and equipment, hiring temporary or new personnel, providing benefits to personnel, recovering and restoring lost records, re-establishing communications, or providing transportation for displaced staff.
2. **Essential Supporting Activities (ESAs):** ESAs are the many activities that must be performed in order to *support* the D/A's performance of its MEFs. Typically, ESAs are *common* to most agencies (paying staff, providing a secure workplace, ensuring computer systems are operating, etc.), but do not accomplish the D/A's mission. ESAs are facilitating activities that enable the organization to perform MEFs; they are important and urgent, but accomplishing the ESA does not complete the mission or deliver the services the D/A was created to accomplish.

- b. **Protecting and Preserving Resources:** Protecting and preserving resources is an essential activity. Even though D/As defer many functions during a disruption of normal operations and, thus, the resources to perform these functions may not be immediately required, these resources must be kept available and viable to enable full restoration of normal activities. This means each D/A must protect and preserve its resources (people, equipment, facilities, materials, records, etc.). Every D/As must plan in advance to ensure the resources employed to perform its functions are not lost or damaged, and D/As must implement those plans during continuity activation. If not protected and preserved during a disruption, restoration of those functions will not occur or may experience delays.

Primary Mission Essential Function (PMEFs):

Those organization MEFs validated by the National Continuity Coordinator (NCC) which D/As must perform, to support the performance of the NEFs before, during, and in the aftermath of an emergency. Organization PMEFs need to occur continuously or resume within 12 hours after an event and continue for up to 30 days or until normal operations can resume.

National Essential Function (NEFs):

The eight NEFs (Table A-1) represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and provide the primary focus of the Federal Government leadership during and in the aftermath of a continuity event.

Table A-1. National Essential Functions

National Essential Functions (NEFs)
NEF 1: Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government.
NEF 2: Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people.
NEF 3: Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interest.
NEF 4: Maintaining and fostering effective relationships with foreign nations.
NEF 5: Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property or interests.
NEF 6: Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident.
NEF 7: Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems.
NEF 8: Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

The diagram (Figure A-1) shows the relationship among all Government Functions, and the various categories of Essential Functions, including MEFs, PMEFs, and the NEFs.

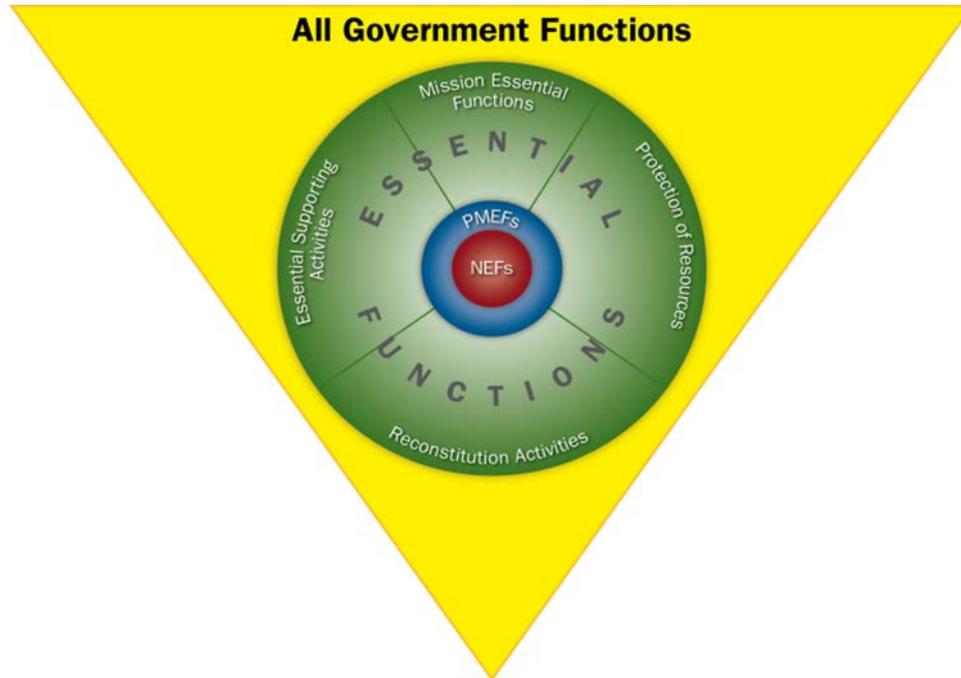


Figure A-1. Function Relationships

Partners:

Continuity cannot occur without the commitment and dedication of many partners who play integral roles in ensuring homeland security and providing critical functions and services to the Nation's citizens. Independent government entities at all levels and individual private sector organizations are intimately connected and work together in critical partnership to ensure continuation of essential functions. As part of each D/A's continuity planning and identification of its essential functions, it is critical each D/A clearly identify its partners, and in particular, those supplies, products, information, and other inputs the agency receives from partners that are vital to the agency's ability to accomplish its essential functions.

Those partners include the following (Figure A-2 Partners):

- Federal Government: Legislative Branch, Executive Branch (including all Departments and Agencies), and Judicial Branch;
- State, Local, Territorial, and Tribal Governments; and,
- Private Sector Critical Infrastructure Owners and Operators.

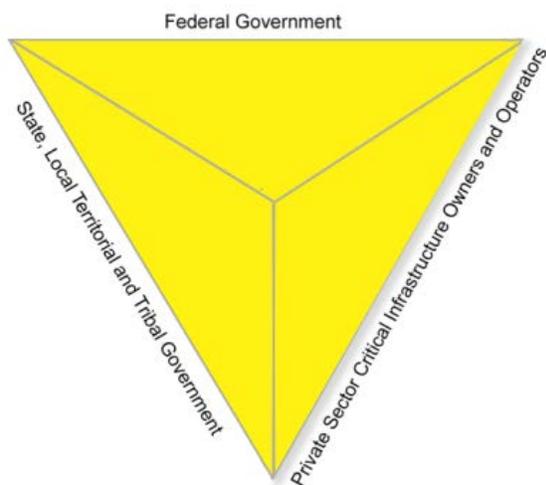


Figure A-2 Partners

Summary:

The Federal Executive Branch recognizes that the entire spectrum of government functions may not be performed or needed during or in the immediate aftermath of an event that disrupts normal government operations. Resources may be scarce during a crisis. Establishing priorities and allocating resources based on sound planning helps to ensure that the delivery of essential functions and services will remain uninterrupted across a wide range of potential emergencies and provide a mechanism for the eventual resumption of all functions as resources become available.

ANNEX B: MISSION ESSENTIAL FUNCTIONS (MEFs) IDENTIFICATION PROCESS

MEFs are the limited set of an organization's functions and activities that it cannot defer. For D/As, MEFs are those organizational missions which provide vital services, exercise civil authority, maintain the safety and health of the public, and sustain the industrial and economic base, during a disruption. It is important to understand that the functions referred to include those performed at all D/A locations, not just at headquarters.

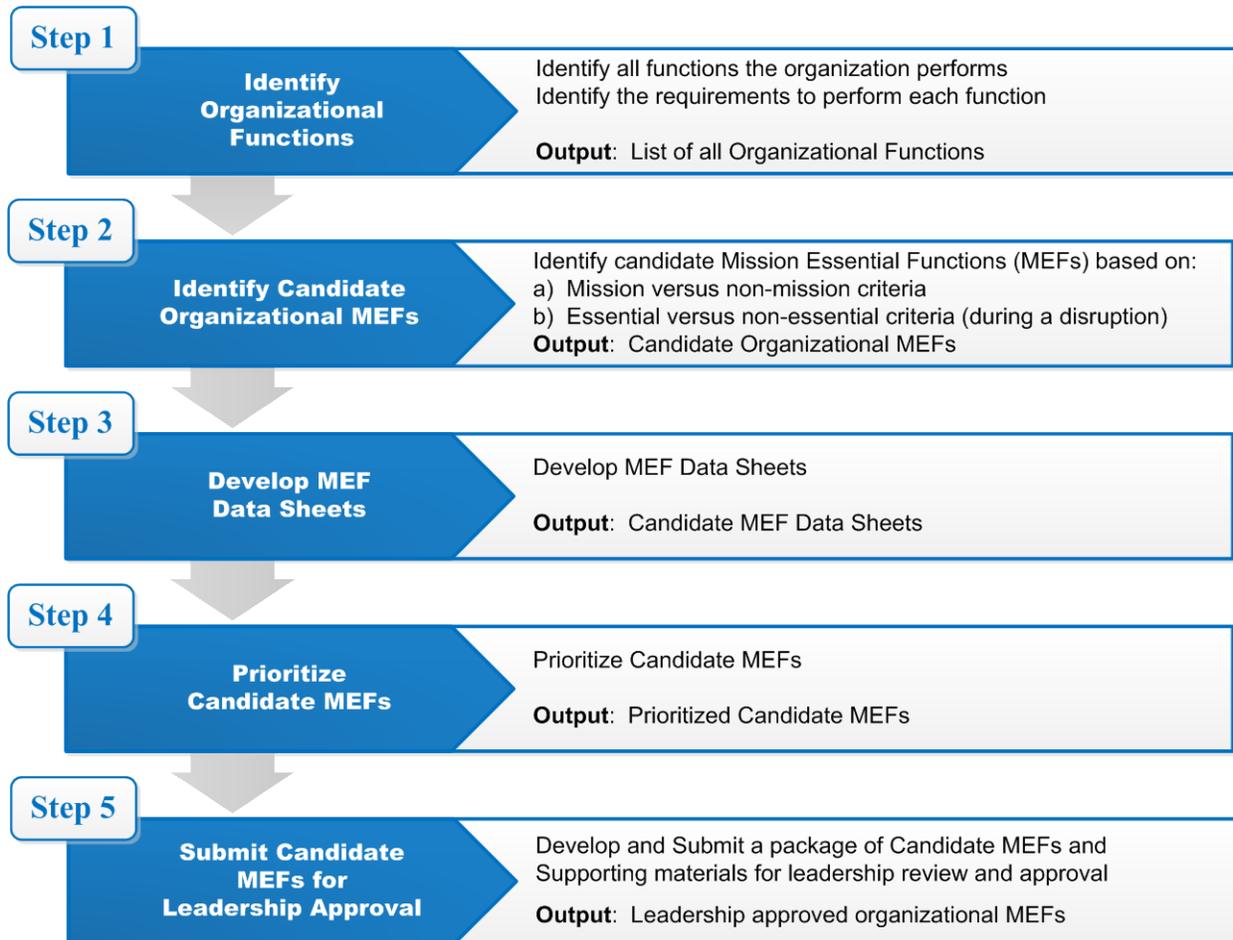
While many organizational functions are important during a disruption, D/As must focus their efforts and limited resources on those functions that it cannot defer. When identifying these functions, it is important to consider the following:

- If an organization identifies too many functions as essential, limited resources and/or staff availability during the emergency may inhibit the performance of all identified essential functions.
- If an organization fails to identify functions as essential and does not include them in emergency and continuity plans, the organization may not have the resources and staff to perform these functions during an emergency.

The key is to identify the highest priority functions and the required resources and capabilities to ensure their performance. During less severe disruptions, it may be possible for D/A personnel to accomplish many non-essential functions as well, and this is to be expected and encouraged, as long as doing so does not interfere with the performance of those most critical functions that the D/A has identified as its essential functions.

Identifying, Reviewing and Updating Mission Essential Functions:

The process described in Figure B-1 focuses on five basic steps as a means of identifying, developing, and submitting an organization's MEFs for agency leadership approval. Agencies are encouraged to use this process to review, update, and revalidate organizational MEFs. The process outcome is a leadership-approved, prioritized collection of organizational MEFs, which become the foundation for developing an effective continuity capability. The remainder of Annex B addresses the processes and procedures associated with each of these basic steps. Annex F, contains sample forms to assist D/As with this process.

Figure B-1. Mission Essential Functions Identification Process

Step 1: Identify Organizational Functions. The first step is to identify and list all the D/As functions that support and accomplish the agency’s mission. To clarify responsibilities and support further continuity planning activities, D/As must identify the requirement for performing each function. The requirement may link to a law, executive order, court order, etc. To assist in accomplishing Step 1, useful resources may include the following:

1. Statutes, laws, executive orders, or directives that charge the D/A with responsibility to perform missions;
2. D/A mission statements that describe the overarching mission(s) or list the services provided by the agency;
3. The D/A strategic plan;
4. Published D/A literature; and,
5. Interviews with D/A leadership and external partners.

Give consideration to how broadly or narrowly D/A functions are defined and described. Describing a function too broadly may inadvertently include functions that are not essential during a disruption; describing a function too narrowly may result in too many functions to manage effectively. To simplify the process, agencies may choose not to include functions that

clearly will not be considered MEFs; examples of functions that potentially could be postponed (or deferred) in a crisis include the following:

1. General training and exercises;
2. Research and development;
3. Long range planning;
4. Travel to conferences;
5. Audits and inspections; and,
6. Non-essential hearings and proceedings.

D/A's must describe each function in basic terms and should identify products or services delivered or actions each function accomplishes. Avoid flowery descriptive terms, such as world-class or state-of-the-art. The product resulting from Step 1 includes a list of important D/As functions. Examples of D/As function descriptions are listed below:

1. Provide training to outside D/As;
2. Maintain and ensure operational capability of D/As computer systems;
3. Provide Equal Employment Opportunity services; and
4. Develop D/A budget for the next fiscal year.

Note: See Annex F–Form 1. Organizational Functions Worksheet with documenting the information collected during Step 1.

Step 2: Review or Identify Agency MEFs. The second step in the process focuses on reviewing each D/As function identified in Step 1 to determine which functions are potential MEF candidates. This process focuses on determining if a function is mission essential versus non-mission essential, or a supporting activity.

An activity that supports a D/A's MEF typically is something unique to that organization; for example, providing medical service to veterans is the responsibility of the Department of Veterans Affairs. On the other hand, a supporting activity is something most agencies do, such as providing information technology (IT) support. The process for making these determinations is as:

Mission versus Supporting Activity:

If the function results in the delivery of service to the public or another agency, it probably performs a function that is essential to the mission of the agency. If the function results in a service being delivered to another part of the same agency, it likely is a supporting activity. Supporting activities are typically enablers that make it possible for an agency to accomplish its mission. At this point, the focus is to identify mission essential functions. Table B-1 lists examples to further clarify the distinction between activities or functions that accomplish missions and supporting activities.

Table B-1. Mission Versus Supporting Activity

Mission	Supporting Activity
Protect Critical Infrastructure (DHS)	Manage human resources, to include hiring's, promotions, and time and attendance
Fight Forest Fires on Federal Lands (USDA/DOI)	Provide logistical support, (e.g., Firefighting equipment, staging areas, etc.)
Implement Foreign Policy (State)	Provide agency security
Collect Intelligence	Provide travel services
Perform Health Inspections (DOL/OSHA; HHS)	Manage agency facilities; provide IT support
Operate Satellites (NASA)	Manage organization records
Ensure Food Safety (USDA, HHS)	Maintain service vehicles
Regulate Banking (Federal Reserve)	Perform internal legal reviews

Note: Supporting activities frequently are assigned as the principal function of components within an organization. The agency recognizes that it could not accomplish its missions efficiently without these supporting activities. These activities are enablers and not the functions that enable the agency's mission to be accomplished. D/As will account for supporting activities critical to the performance of the agency's MEFs as part of the BPA outlined in Annex C, Business Process Analysis Guidance.

Essential Versus Non-Essential:

The distinction between these two categories is whether or not D/As must perform a function during a crisis. Essential functions are those that have to continue during emergencies. Essential functions are both important and urgent. If a D/A determines that a function may have to continue during or immediately after an emergency, that D/A will identify it as essential. Functions that can defer until after the emergency will be identified as non-essential.

Table B-2 describes four notional fire department functions and Table B-3 demonstrates how these four functions fit in the various categories—mission versus supporting activity and essential versus non-essential. Using this approach, each function an agency performs must fall within one of the four categories depicted in Table B-3.

Table B-2. Notional Fire Department Functions

Notional Fire Department Functions	
Mission Essential Function:	Fighting fires is the mission of the fire department and cannot be deferred.
Essential Supporting Activity:	Keeping the fire trucks operating is an essential supporting activity. This must be done; it cannot be deferred. However, just keeping the fire trucks working does not provide the service that the community expects from the fire department. This supports the mission .
Deferrable Mission:	Providing community fire prevention education and training is important and may be considered a fire department mission; however, during a disaster, this can be deferred until a later time.
Deferrable Supporting Activity:	Providing retirement guidance to fire fighters is a good thing; but this is neither the fire department’s mission nor something it should spend time and resources on during a crisis.

Table B-3. Functions Categorization Model Worksheet

	Essential	Non-Essential (during an emergency)
Mission	Mission Essential Function <i>Example: Respond to emergency Fire Department calls—fight fires</i>	Deferrable Mission <i>Example: Provide community fire prevention education</i>
Non-Mission	Essential Supporting Activity <i>Example: Keep fire trucks operational and ready to respond</i>	Deferrable Supporting Activity <i>Example: Provide retirement guidance to firefighters</i>

Note: See Annex F – Form 2, Functions Categorization Worksheet to assist with identifying essential/non-essential functions.

Note: See Annex F – Form 3, Mission Essential Functions Worksheet to assist with documenting the information collected during Step 2, to further identify those functions.

Step 3: Develop MEF Data Sheets. The third step in this process involves conducting a detailed review of each MEF to more fully describe each function that enables a D/A to accomplish its mission and then document the review results on the MEF Data Sheet (see Figure B-2). The MEF Data Sheet documents the following MEF information:

1. **Department/Agency:** The name of the organization responsible for performance of the MEF.
2. **Line 1 -Mission Essential Function (MEF):** A short concise statement that briefly describes the action to be conducted, e.g., conduct post event crime scene and forensic investigations following a terrorist attack. The MEF Statement generally will be only one sentence.
3. **Line 2 - MEF Descriptive Narrative:** A comprehensive explanation that provides details regarding what the MEF accomplishes to enable performance of an agency’s mission. The MEF Narrative must include the legal or other requirement(s) for

performing the function and the deliverables provided by this function. Deliverables may be a list of services or products provided to the constituents served as a result of performing the MEF. The narrative will describe the function so that non-experts can gain a reasonable understanding of what is and what is not included. This description helps justify why this function is essential. The MEF Narrative may be one or two paragraphs or more if the MEF is complicated. The narrative may include some of the actions the organization must perform to accomplish the MEF. Note that the BPA will address the details of how the MEF is performed, so do not include in the narrative.

4. **Line 3 - Impacts If Not Conducted:** An explanation of the impact if the MEF is not performed. Depending on the MEF, this section may be a few sentences to a paragraph and will help demonstrate why this function is essential.
5. **Line 4 - Supported PMEF/NEF:** If applicable, identify the NEF with which the MEF is primarily associated. While some MEFs could be associated with multiple NEFs, it is important to select the one NEF the MEF most directly supports. Similarly, if the MEF supports a PMEF (whether belonging to the agency itself or to another agency), clearly identify this linkage, too. Not all MEFs support a PMEF/NEF, the MEF may have to be performed because of a legal/legislative requirement.
6. **Line 5 - Recovery Time Objective (RTO):** A brief statement regarding the expected or required recovery time if MEF performance is interrupted. This will describe how quickly this mission must resume if disrupted. State if the mission requires continuous performance. For example, where a 6-hour delay in processing Social Security benefits may be acceptable, a similar delay in restoring air traffic control operations is not. Note that the recovery time requirement indicated may drive a number of emergency planning and budget considerations. If a D/A identifies an RTO of 2 hours, the NSS, among others, will expect the D/A to demonstrate the ability to restore that MEF within 2 hours, regardless of the disruption. This assists with the prioritization of MEFs in Step 4.
7. **Line 6 - Partners/Interdependencies:** Identify the internal and external partners necessary to ensure successful MEF performance. This includes a list of stakeholders that provide critical input, goods, services, or exchanges of data essential to MEF performance. For example, FEMA may require State and local partners to help establish distribution centers for aid and assistance following a tornado. Additionally, FEMA will rely on private sector partners to provide supplies, e.g., ice, generators, blankets, food, etc. Identify the interdependencies with these internal and external stakeholders too..
8. **Point of Contact:** Who in the organization will provide any needed follow up information? This should include name, email address, and telephone number (e.g., functional representative for MEF or functional subject matter expert).

Figure B-2. MEF Data Sheet Model Template

(Organization) MEF # Data Sheet Date	
Department/Agency: (Organization name)	
Line 1	<u>Mission Essential Function (MEF):</u> (A short concise statement, in one sentence, of the function or action to be performed.)
Line 2	<u>Descriptive Narrative:</u> (The descriptive narrative will include a detailed explanation of the mission, legal, or other requirement(s) to perform the mission, and deliverables provided by performing the mission. This narrative should explain, for the non-expert, [avoid acronyms and technical jargon, if possible] what services or products are provided to a constituency, and who the constituency is. The focus should remain on those services provided during a disruption. If multiple services are provided, include a list of services. Essential supporting activities that facilitate accomplishing this mission may also be identified to clarify what the MEF involves.)
Line 3	<u>Impacts If Not Conducted:</u> (A brief description of the effects on the D/A's mission if this function is not performed. This discussion may be very helpful in justifying that the function must be recovered quickly following a disruption.)
Line 4	<u>Supported PMEF/NEF:</u> (if applicable)
Line 5	<u>Recovery Time Objective:</u> (A description of the time criticality for resuming performance of the mission. When must the mission be operational? Must the mission be performed without interruption? Must the mission resume within a specific number of hours after a disruption?)
Line 6	<u>Partners/Interdependencies:</u> (The names of internal and external stakeholders necessary to perform the mission.)
<u>Point of Contact:</u> (The name of a functional representative for MEF or functional subject matter expert.)	

Note: See Annex G–Form 4. Mission Essential Function Data Sheet Template and Form 4a. Model Completed Mission Essential Function Data Sheet.

Step 4: Review and Prioritize MEFs. The fourth step in the process is to prioritize the MEFs developed in Step 3. While performance of all MEFs will need to resume following a disruption, if resources are limited, an organization may have to focus its attention on some MEFs before others. For example, some functions may require continuous performance (e.g., fire fighting and

9-1-1 services); resumption of other functions may be delayed for short periods of time (e.g., resumption of water and power services, post-storm debris cleanup, and resumption of public transportation services.) It may be possible to delay resumption of some essential functions (e.g., trash removal services) for several days.

Identifying priorities supports the development of continuity plans that meet established requirements. MEFs that require continuous performance or very rapid restoration following a disruption will likely require more robust backup systems, redundancies, and resiliencies than MEFs that may be recovered after a few days.

Several factors must be included in the MEF prioritization determination, including the following:

1. **Recovery Time Objective:** The MEF data sheet identifies the required recovery time for each MEF. Those MEFs that must be continuously performed or those with the shortest recovery times will generally be given priority over MEFs with longer recovery times.
2. **Impacts If Not Conducted:** The impacts of not conducting or delaying the performance of each MEF will be part of the prioritization determination. The more severe the impacts if not performed the higher priority the MEF should be.
3. **Management Priority:** Some missions will have a higher priority as a result of management preference and discretion.

The prioritization process will likely involve a combination of both objective and subjective decisions. It may be most efficient to group the MEFs into priority categories rather than attempting to establish a comprehensive linear list. Prioritizing the MEFs in this fashion will help planners develop emergency and continuity plans that are consistent with the agency's requirements and management priorities.

Step 5: Review and Submit Updated MEFs for Leadership Approval. The submission process and the composition of the approval package will vary based on each D/A's specific requirements and preferences.

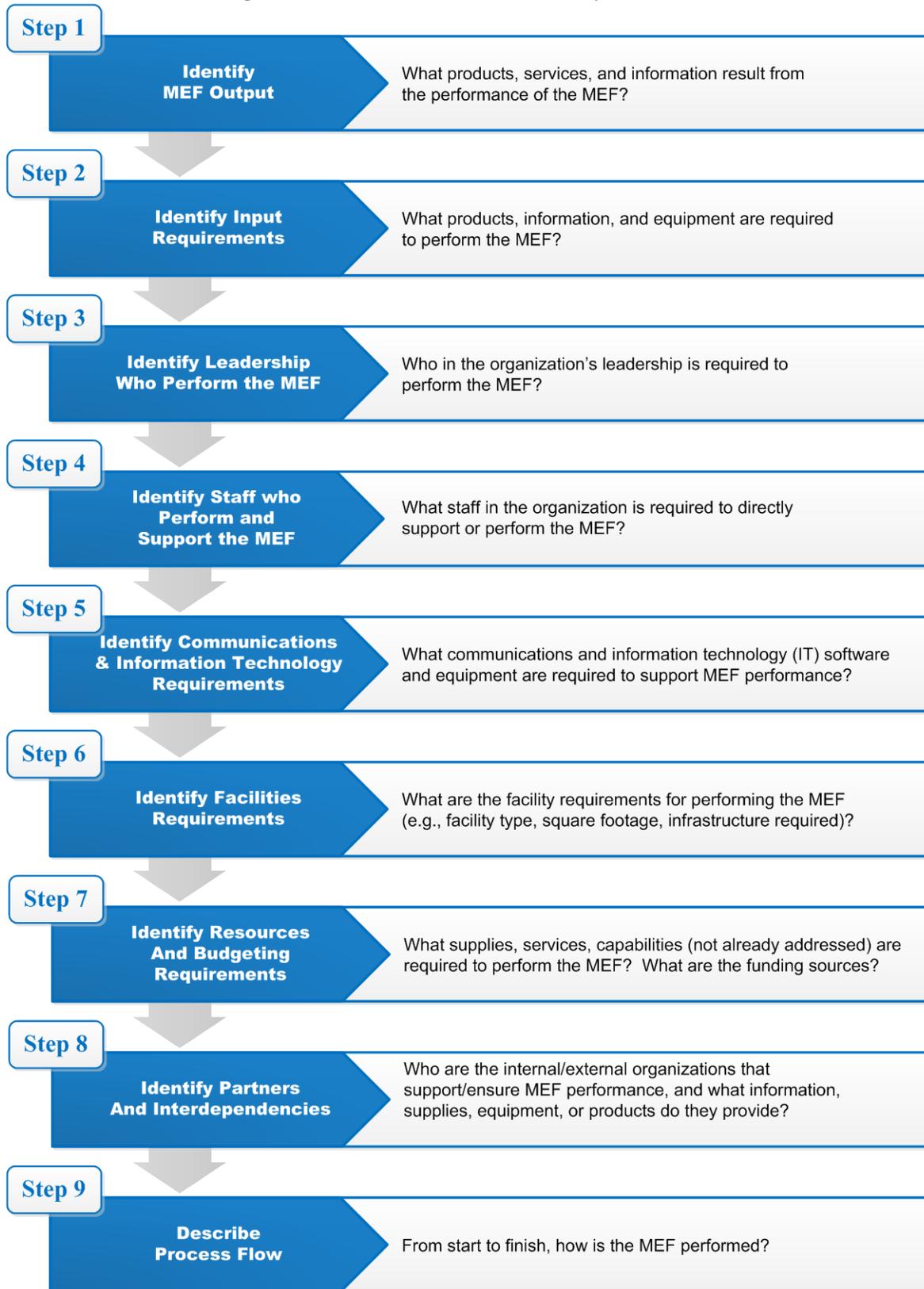
ANNEX C: BUSINESS PROCESS ANALYSIS GUIDANCE

The Business Process Analysis (BPA) is a systematic method of identifying and documenting all of the elements necessary to perform each organizational MEF. The MEF identification process in Annex B identifies what needs to be accomplished; the BPA process identifies how it is accomplished. D/As perform a BPA to ensure that the right people, equipment, capabilities, records, and supplies are identified and available where needed during a disruption so that MEFs can be resumed quickly and performed as required. In addition, the BPA is a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities inherent in the execution of a MEF. Each D/A will approach the BPA process from the point of view of both the big picture (the overall process flow) and the operational details. Performing a BPA is not a minor undertaking and each D/A will need to approach its BPA systematically and with a focus on clearly describing the details regarding how each MEF needs to be performed during a disruption. The result of the BPA will represent guidelines for performing a function.

Conducting the Business Process Analysis:

The nine-step process for conducting a BPA, shown in Figure C-1, requires an in-depth understanding of each MEF and the ability to concisely and comprehensively describe and document each BPA process element in the BPA Data Sheet, shown in Figure C-2. This process includes the identification of the Essential Supporting Activities necessary for each MEF.

Figure C-1. Business Process Analysis Process



Step 1: Identify MEF Output. This first step identifies what the MEF is intended to accomplish—what are the deliverables provided by the MEF? Deliverables may be a list of tasks to be completed, goods or services to be delivered, or information developed and provided to external partners or constituents. If possible, the MEF output descriptions will include metrics that identify specific performance measures and standards. If the MEF requires performance under specific conditions or within a specific time frame, that must be noted. The MEF outputs will align with and expand on details in the MEF Descriptive Narrative as documented on the MEF Data Sheet developed in Step 3 of the MEF identification process in Annex B. Listed below are examples of MEF outputs:

1. Provide emergency public warnings of severe weather (DOC/NOAA/National Weather Service).
2. Provide the President with a damage assessment to determine if an event should be declared a National disaster (DHS/FEMA).
3. Screen passengers arriving on international flights or ships prior to allowing entry into the country (DHS/CBP).
4. Provide critical medical care to veterans and some retired military personnel (DVA).
5. Inspect livestock to ensure the safety of the Nation’s supply of meat (USDA/FSIS).

Step 2: Identify Input Requirements. This step describes the inputs required to accomplish the MEF outputs, which includes the information, guidance, and coordination from both internal (within the agency) and external (outside of the agency) partners. External partners include other components and agencies, such as Federal agencies, the private sector, and even international entities, if appropriate. Input will include information, completed actions by partners, requests from constituents, hardware, materials, etc. The input may be required at the beginning of the process, or as the process proceeds. Specific information about inputs will include input supplier (i.e., agency, partner, etc.) and delivery time requirements. Listed below are examples of MEF input:

1. Damage assessments and situational awareness.
2. Public or business requests for government assistance.
3. Direction from higher authority to initiate a function.
4. Equipment or supplies (generators, food) to be delivered to constituents.
5. Work orders to inspect or repair infrastructure.
6. Support from law enforcement to secure an area.
7. Approval from inspectors that work can proceed.

It is important to address the requirements from other entities to accomplish each MEF and to identify the organization’s primary customers, suppliers, collaborators, and other partners as required.

Step 3: Identify Leadership Who Perform the MEF. This step identifies the senior agency leadership required to perform the MEF. Leadership will include the most senior agency leaders (elected officials, directors, policy makers, etc.) as opposed to mid-level and office managers, who are considered as part of the staff addressed in Step 4. Note that the performance of many functions, do not require direct leadership participation (e.g., damage assessments, emergency medical care, infrastructure system operations); if leadership does not directly participate in MEF

performance, identify no leadership needed. Some MEFs require specific senior decision making; therefore, the specific involvement of leadership will be identified. General oversight and supervision, however, are not considered direct involvement. Of course, this does not mean that leadership will not be part of the continuity team. Indicate whether leadership involvement is required but can be performed remotely or from a telework location, or if leadership presence at a specific location is essential. Listed below are examples of leadership requirements:

1. Decision to divert a satellite from its existing trajectory.
2. Decision to approve a new drug for general use.
3. Decision to draw down the Strategic Petroleum Reserve.
4. Decision to close Federal facilities to the public (during severe weather events).
5. Recommend a foreign affairs policy change to the President.

Step 4: Identify Staff Who Perform and Support the MEF. This step captures which type of skills and the number of staff required to perform the MEF. This could be a lengthy list, depending on the nature of the mission, and may represent a significant portion of the agency's continuity team. It may be appropriate to make this list a separate attachment to the BPA Data Sheet. Give consideration to the following when identifying required staff and skills, training, certifications, licensing, and clearances:

1. The specific skill sets, expertise, and authorities required to support and perform each function (both the MEF and the Essential Supporting Activities) should be identified, for example:
 - a. Contracting and purchasing authorities;
 - b. Signature authorities for emergency declarations;
 - c. Licensed medical personnel and other licensed or certified professionals needed to carry out specific tasks;
 - d. Engineering and technical knowledge;
 - e. Authority to detain and arrest individuals;
 - f. Pilots, drivers, divers, fire fighters; and
 - g. Special experience and skill sets.
2. For operations involving a workforce (e.g., security guards), estimated staffing levels (to include supporting shift rotations) must be identified.
3. For functions that support deployed personnel (e.g., search and rescue teams), identify the number of staff and specific capabilities required.
4. For functions that require 24/7 operations, it is important to identify how many shifts are required and account for personnel required to support the operations.

Listed below is an example of a staffing requirement and skill description:

1. 3 IT staff to provide 24/7 network maintenance services;
2. 2 software specialists familiar with the organization's databases;
3. 15 drivers experienced in snow removal and road clearing operations;
4. 2 licensed civil engineers with experience in road and bridge safety and inspection requirements; and
5. 3 budget analysts capable of accounting for and processing emergency expenditures.

Note: For agencies with multiple MEFs, give consideration to identifying personnel who may support more than one MEF; this will help to avoid unnecessary duplication of resources. For example, an agency may require a purchasing officer to support five MEFs and the same purchasing officer may support all five.

Step 5: Identify Communications and IT Requirements. Communications includes IT systems (data management and processing), radio, video, satellite, telephones, handheld devices, pagers, emergency notification systems, facsimile machines, and secure equipment. This category will also include publication of information if hard copy distribution is required. Indicate as part of Step 5 whether the communications are for internal or external use and the type of capability required (data, audio, video), including the level of secure communications or data management necessary. Unique or unusual communications requirements will be specified (e.g., translation into multiple languages). Including data and information content requirements may be useful to provide a better understanding of the requirement. If specific or unique software and applications are required to operate equipment, these must be identified.

Listed below are examples of communications requirements:

1. Standard equipment found in most offices (such as unclassified telephones, facsimile machines, and desktop or laptop computers) can be identified as a standard office equipment package for a specific number of personnel so it is not necessary to identify every telephone individually. A detailed description of the standard office equipment package should be prepared as a reference.
2. Communications equipment to support remote operations and anticipated telework capability.
3. Complex printing or display equipment (for maps, damage assessments, or monitoring of multiple video inputs).
4. Special or unique equipment (e.g., secure communications, conference bridges, radios, terminals to monitor financial markets or business applications) should be identified, including details regarding the equipment capabilities.
5. Unique software applications necessary to access critical records and databases and process incoming data.

Step 6: Identify Continuity Facility Requirements. A continuity facility refers to both continuity and devolution sites where essential functions are continued or resumed during a continuity event. “Alternate sites” are locations, other than the primary facility, used to carry out essential functions by relocating ERG members following activation of the continuity plan. Facilities required by the organization to accommodate the performance of the MEF must be identified and explained. It may be possible to perform some functions from remote locations or facilities other than the traditional continuity facility. Performance of other functions occur at a facility with specific capabilities because of unique operating, security, or safety requirements. For many functions, the facility requirements may simply be general office space; in this instance, note the specific space requirements, including information such as square footage to accommodate required personnel. A large emergency response organization may require operating facilities with support services, such as lodging, food services, and medical support. If access to warehouse, storage, or manufacturing facilities is essential to MEF performance, this must be indicated. For example, an emergency response agency may require an emergency or command center to coordinate response operations.

Establish facility requirements to support only the performance of MEFs during a continuity event (disruption/emergency) and not to support all routine aspects of the organization's mission.

Refer to FCD 1 Annex G Continuity Facilities for more detailed requirements on continuity facilities.

Step 7: Identify Resources and Budgeting Requirements. This step includes identifying resources needed to perform the MEF, essential supporting activities, and capabilities not already accounted for in the BPA process. Essential resources include plans and procedures, vital records, databases, and other types of reference and resource materials critical to MEF performance. MEF performance will require supplies and materials that may have to be acquired as the emergency situation evolves. Therefore, the agency must have the capability to obtain, purchase, and reallocate these resources. **Requirements not identified elsewhere must be included in Step 7.**

This step includes identifying funding sources to sustain the continuity capability throughout the disruption and to continue performance of the MEF and essential supporting activities. This may include purchasing materials, hiring additional staff or contractors, contracting for special services, and arranging for housing continuity personnel and emergency staff. Input from subject matter experts will ensure the identification of all required resources and budget requirements.

Step 8: Identify Partners and Interdependencies. This step focuses on identifying internal and external interdependencies with other agencies necessary to ensure the continued performance of the MEF. Most agencies interact with, and are dependent on, other agencies or partners in a variety of ways. In some cases, supporting agencies provide critical information, authorization, or direction to initiate action; in other instances, partners provide a critical input or service during the process. Note that other agencies may include state or local organizations, public utilities, non-profit organizations, and the private sector.

Here is an example of information to include for each interdependent relationship:

1. Agency name;
2. Point of contact and contact information;
3. Types information, data, services and support provided;
4. Coordination requirements; and
5. Timelines and due dates, as appropriate.

Note: An important element to consider is whether the partners understand their input is necessary for another organization's performance of an essential function. Has that partner made plans to be able to provide that critical input during a disruption? Is a Memorandum of Agreement necessary and in place?

Step 9: Describe Process Details. Upon completion of Steps 1–8, develop a diagram or narrative description that combines all of the elements necessary to ensure MEF performance and outlines the process. Documenting the process details will not only describe how the MEF is accomplished but also will serve to validate the process and avoid omission of any details.

A description of the procedures and process details will capture the specifics of how the MEF is performed by addressing the following questions (this is not an all-inclusive list; all pertinent procedures and processes must be determined and described):

1. What initiates performance of the MEF?
2. What inputs are required to perform the MEF?
3. When are the inputs needed and where do they come from?
4. What people, facilities, resources, partners, and communications are required to support and perform the MEF?
5. What processes are employed to perform the MEF?
6. What are the MEF outputs or desired outcomes?
7. What aspect(s) of the MEF could be supported through telework or another remote arrangement(s)?
8. In addition to tying together all of the elements necessary to perform each MEF, a well-prepared process flow will:
 - a. Support development of effective continuity plans and procedures;
 - b. Provide an outline or checklist for emergency operations;
 - c. Serve as a turnover and shift-change check list during disruptions and crises;
 - d. Support training for new emergency personnel;
 - e. Establish a briefing outline for management; and
 - f. Serve as an operational guide for continuity or devolution personnel.

Note: To perform some MEFs, telework and other remote operational capabilities may provide flexibility that can be valuable during a disruption or crisis, including working from a telework facility, home, or another remote location. Based on the flexibility provided by a telework capability for certain categories of functions, agencies may consider including a discussion regarding how telework may support MEF performance. Note if a telework or remote capability is not feasible, too.

Figure C-2. BPA Data Sheet Template

(Organization) MEF # — BPA MEF Title Date	
<u>MEF Statement:</u> (Copy of MEF Statement)	
<u>MEF Narrative:</u> (Copy of MEF Narrative)	
Line 1	<u>MEF Output:</u> (A list describing what products and services are produced or delivered to external partners or constituents. If possible, include metrics that provide time and other performance measures.)
Line 2	<u>MEF Input:</u> (A list describing information, authorizations, supplies, and services required to perform the MEF. Each input will briefly describe how the input supports the overall process.)
Line 3	<u>Leadership:</u> (A list identifying the key senior leaders [by position or title] who are required to participate <u>directly</u> in performance of the MEF.)
Line 4	<u>Staff:</u> (A list of staff requirements to perform the MEF. This includes staff needed for essential supporting activities as well as MEF performance. Requirements for multiple shifts and alternate personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Identify staff requirements by position [e.g., Fire Chief] or capability [Emergency Medical Technician], rather than by name.)
Line 5	<u>Communications and IT:</u> (A list identifying general and unique communications and IT requirements.)
Line 6	<u>Facilities:</u> (A description of the facility requirements to perform the MEF, including office space, industrial capacity and equipment, and critical supporting infrastructure.)
Line 7	<u>Resources and Budgeting:</u> (Supplies, services, capabilities, and other essential resources required to perform the MEF and supporting activities not already accounted for in the BPA process.)

Line 8 Partners and Interdependencies:

(A list of partners and interdependent agencies that support and/or ensure performance of the MEF. Highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate performing the MEF.)

Line 9 Process Details:

(A detailed narrative or diagram that ties together all of the elements involved in the process of performing the MEF from start to finish/beginning to end.)

Telework Flexibilities:

Other Comments: Essential Supporting Activities that support the MEF can be captured here or in line 9 Process Details.

Note: See Annex F–Form 5. Business Process Analysis Data Sheet Template and Form 5a. Model Completed Business Process Analysis Data Sheet.

Note: When documenting the BPA results, it may be useful to think of the BPA data sheet as a guide that back up personnel, filling in for the personnel who normally perform the function but are not available as a result of the disruption, would use to perform MEFs in their absence. The BPA data sheet will also be useful for new senior leadership to more fully appreciate the complexities and interdependencies inherent in accomplishing some MEFs.

ANNEX D: BUSINESS IMPACT ANALYSIS-RISK MANAGEMENT ANALYSIS GUIDANCE

This annex provides an overview of risk management principles, the risk management process through a Business Impact Analysis (BIA). This annex provides guidance to conduct a BIA-risk assessment. D/As may use internal established guidelines for conducting a BIA-Risk Assessment provided the intent of FCD 1, Annex B, Risk Management is met.

A formal review of your risk management process must be conducted at least every five years in accordance with FCD 1. However, risk management assessment, mitigation, execution, and analysis are an ongoing process. The timing is associated with implementation of strategies, changes in mission or organization, or identification of new vulnerabilities during future exercises and/or real-world events.

The BIA is a method of assessing comparative risk for MEFs and PMEFs, to include the processes that support them. Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken. Effective risk management practices and procedures will assist organizations in accomplishing continuity objectives.

A number of common principles form the foundation for all risk management programs. These risk management principles offer broad guidance that organizations can uniquely tailor to their specific needs. These principles should include concepts such as *practicality*, which is based on the acknowledgement and acceptance of the limitations of the state of understanding regarding the various risks that organizations may face; *transparency*, which establishes that risk management information must be available and openly conveyed when appropriate; and *adaptability*, which relates to utilizing risk management practices in a manner that allows the process to remain dynamic and responsive to risk.

As depicted in Figure D-1, the BIA is conducted based on a seven-step process. Each step in the process has a resulting output, documented on the BIA worksheet, as shown in Figure D-2, that aligns with where to record the data on the worksheet. The worksheet provides a mechanism to assist with gathering and presenting data that: (1) identifies and characterizes potential threats and hazards to organizational MEF performance, (2) identifies the likelihood of each threat or hazard occurring, and (3) evaluates the impact significance if a threat or hazard does occur. Conduct a separate analysis for each threat/hazard for each MEF. There will likely be some duplication; for example, the likelihood of a category 4 or 5 hurricane will be the same for all of the MEFs an organization performs at one location. However, the MEF vulnerability and impact of failure for a category 4 or 5 hurricane may be different for the different organizational MEFs.

Figure D-1 Risk Management/BIA Process

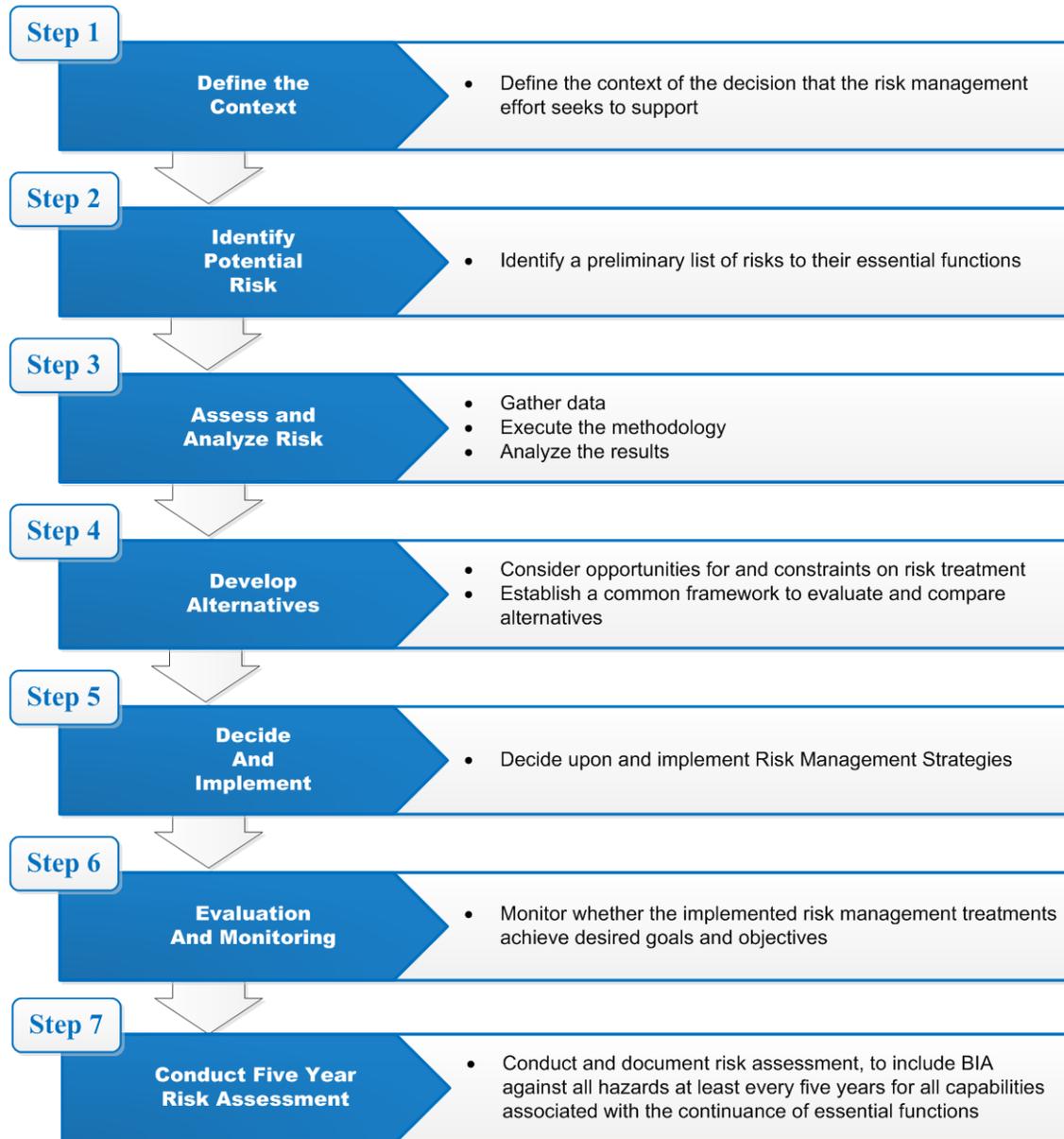


Figure D-2. Business Impact Analysis Worksheet Model Template

BUSINESS IMPACT ANALYSIS WORKSHEET: Threat and Hazard Analysis						
MEF Number and Statement:						
	Step 2	Step 3a	Step 3b	Step 3c	Step 3d	Step 3e
Entry Number	Threat or Hazard	Threat or Hazard Characteristics	Threat or Hazard Likelihood (0–10)	MEF Vulnerability (0–10)	MEF Impact of Failure (0–10)	MEF Risk Value (0–30)
1	Input Threat or Hazard	Input the Threat or Hazard characteristics and likely effects on the organization or region. It is important to provide sufficient data to help characterize the likelihood of occurrence and evaluate the MEF vulnerability and impact. If a lot of data is available, consider attaching a separate sheet.	Input Numeric Value from Table D-1	Input Numeric Value from Table D-2	Input Numeric Value from Table D-3	Sum of columns 3b+3c+3d
2						

Step 1: Define the Context. The first step in the risk management process is to define the context of the decision that the risk management effort seeks to support. When scoping the requirements and constraints to be considered within a particular risk management process, the organization considers an array of variables:

1. The goals and objectives of the organization
2. Its mission
3. The scope and criticality of its MEFs
4. The decision timeframe for selecting continuity priorities

Organizations will individually tailor other variables:

1. Organizational risk management capabilities and resources
2. The various stakeholders involved in continuity risk management
3. The availability and quality of information on continuity risks
4. Any constraining factors

By considering each of these elements systematically, decision makers and the analysts who support them are able to design an approach for identifying, assessing, and analyzing risks to an organization's MEFs and proposed risk management strategies that are commensurate with the organization's operating contest.

Step 2: Identify Potential Threats and Hazards. The second step identifies potential threats and hazards that could impact performance of each MEF. Threats and hazards may be natural (e.g., hurricane, earthquake, flood), manmade (e.g., terrorist attack, cyber-attack, chemical spill),

or process oriented (e.g., supply chain failure, production disruption). There are many common threats and hazards that should be considered, such as those listed in Figure D-3; **however, this list is not all-encompassing**. In many instances there will be unique threats and hazards to specific MEFs that should be considered as well. Agencies must carefully consider what could potentially disrupt the performance of each of their MEFs. In addition to evaluating direct threats and hazards, it is important to assess what threats or hazards might impact critical partners.

If an agency is dependent on information or supplies from a partner, it may be necessary to evaluate the effect a threat may have on a partner's critical input to the process.

Agencies and missions may be susceptible to unique threats and hazards and the BIA should consider all potential threats and hazards to MEF performance. Agencies are encouraged to refer to the National Planning Scenarios (NPS) as they develop their BIAs and to modify them as appropriate for their particular situation. The NPS provides examples of threats and hazards for exercise and planning purposes and are not intended to be all-inclusive. Additional threats and hazards should be evaluated. The NPS can be found in the document library on *FEMA's Lessons Learned Information Sharing* (<https://www.llis.dhs.gov>).

Figure D-3. Potential Threats and Hazards

Potential Threats and Hazards	
External Threats and Hazards	
<ul style="list-style-type: none"> ▶ Explosions: <ul style="list-style-type: none"> – Nuclear Attack: Global War – Nuclear Detonation: 10-Kiloton Improvised Nuclear Device(s) 	<ul style="list-style-type: none"> – Radiological Attack: Radiological Dispersal Device(s); Dirty Bomb – Explosives Attack: Improvised Explosive Device(s)
<ul style="list-style-type: none"> ▶ Chemical/Biological: <ul style="list-style-type: none"> – Biological Attack/Outbreak – Aerosol Anthrax; Plague; Ricin – Food Contamination – Animal Disease (Foot and Mouth Disease) – Pandemic Influenza 	<ul style="list-style-type: none"> – Chemical Attack (or accident) – Blister Agent – Nerve Agent – Toxic Industrial Chemicals – Chlorine Tank Explosion
<ul style="list-style-type: none"> ▶ Infrastructure Damage: <ul style="list-style-type: none"> – Critical Infrastructure Attack/Failure – Power outage (Blackout) – Communications system failure or disruption – Water supply contamination/sewage system failures – Heating, ventilation, and air conditioning failures 	<ul style="list-style-type: none"> – Major Fire(s)
<ul style="list-style-type: none"> ▶ Cyber Attack: <ul style="list-style-type: none"> – Loss of data or network service 	
<ul style="list-style-type: none"> ▶ Economic/Labor/Insurrection: <ul style="list-style-type: none"> – Civil Unrest – Labor dispute – Mass transit strike 	<ul style="list-style-type: none"> – Demonstrations/Riots – Economic Catastrophe (market crash; loss of confidence)
<ul style="list-style-type: none"> ▶ Natural Disasters: <ul style="list-style-type: none"> – High Winds (hurricane; tornado) – Winter Storm – Major (severe) Earthquake 	<ul style="list-style-type: none"> – Flood(s) – Tsunami – Volcano
Process Threats and Hazards	
<ul style="list-style-type: none"> ▶ Inadequate critical supply ▶ Failure of a partner or supplier 	<ul style="list-style-type: none"> ▶ Poor process design ▶ Single points of failure
Internal Threats and Hazards	
<ul style="list-style-type: none"> ▶ Sabotage ▶ Poor planning ▶ Computer system crash 	<ul style="list-style-type: none"> ▶ Failure to recognize requirements or obstacles ▶ Incompetence ▶ Disgruntled employee

Step 3: Analyze and Assess Risk. The third step consists of gathering data, executing the continuity risk assessment methodology, and analyzing the results. To support decision making, analyzing and assessing risk is done via the following sub-steps.

Step 3a: Identify Threat and Hazard Characteristics. Specify associated characteristics, assumptions, and effects for each threat or hazard identified. For example, if a hurricane has been identified as a hazard, it is important to identify that it is a Category 3 or higher hurricane, lasting 2 days or more, resulting in flooding, power outages, closed roads, etc. This information can be based on historical patterns (typical duration) and general predictions of the effect on the community (numbers of homes damaged, extent of power outage, closure of public transportation, etc.), as well as likely effects on the organization (50 percent absenteeism, including injuries to some staff). Alternatively, for low frequency events which local historical data is not readily available (e.g., truck bomb), make general assumptions about the likely characteristics and effects of the event. Many agencies have already performed detailed risk assessments for their facilities (as opposed to their missions). These risk assessments typically contain comprehensive details regarding characteristics of threats, which may be useful for this process.

Step 3b: Estimate Likelihood of Threat or Hazard Occurrence. Based on an objective assessment, an approximate relative numeric value (0-low to 10 high), should be assigned to categorize the likelihood of each threat or hazard occurring and affecting MEF performance (see Table D-1). For example, an ice storm or blizzard is unlikely to occur in Hawaii; however, if the delivery of critical supplies from Denver is required to perform the MEF, do not discount the effect of an ice storm or blizzard. It may be more difficult to estimate the likelihood of a terrorist attack, as opposed to a naturally occurring event, for which detailed historical records exist. An estimate of likelihood generally will suffice.

Table D-1 Likelihood of Threat or Hazard Occurrence

Value	Likelihood of threat occurrence
9-10	Extremely Likely-Certainty-Happens often
7-8	Highly Likely-Happens occasionally
5-6	Probable-Happened before; more than once
3-4	Possible-Happened many years ago
1-2	Unlikely-No recent memory of this happening
0	Does not Happen

Step 3c: Evaluate MEF Vulnerability to Each Threat or Hazard. Evaluate how vulnerable the performance of each MEF is to disruption if the particular threat or hazard does occur. Based on the MEF vulnerability values in Table D-2, assign a numeric value (0–low) to (10–high). While this evaluation may be subjective, to effectively evaluate MEF vulnerability, consider all aspects of MEF performance. For example, the agency must look separately at how vulnerable its people, facilities, communications, resources, interdependencies, and processes are to the effects of each threat and hazard, and then estimate a combined vulnerability value.

Table D-2. MEF Vulnerability to Threat or Hazard

Value	MEF Vulnerability to Threat or Hazard
9-10	MEF fails-will not be performed
7-8	Significant delays in MEF performance; many aspects fail
5-6	Delays in MEF performance; some aspects fail to be performed
3-4	Some delays; most of the MEF is performed
1-2	Minor delays in performance; important aspects performed
0	MEF will be performed completely and on time

Not all threats and hazards will impact all aspects of MEF performance. For example, if an organization's MEFs can be performed from multiple locations, the failure of one location may have little effect on overall MEF performance. Alternatively, if there is only one person who can perform a particular function (e.g., purchasing), that person's absence may represent a single-point-of-failure; thus, the impact of that person not being available presents a high MEF vulnerability.

Note: Where strategies have already been implemented to reduce MEF vulnerabilities, document that information to justify the assignment of a lower vulnerability value. Alternatively, if specific (unmitigated) vulnerabilities are identified during this evaluation, flag those for review later when developing risk mitigation options.

Step 3d: Estimate Overall Impact If MEF Failure Occurs. Estimate the impact of failure for each threat or hazard. Based on MEF impact of failure values in Table D-3, assign a numeric value (0–low to 10–high). Determine the impact or consequences if the threat or hazard occurs (consider the worst case) and prevents or delays the performance of the MEF. (Refer to the Impacts If Not Conducted section of the MEF Data Sheet.)

For each MEF, it is important to consider acceptable versus unacceptable downtime. For example, a 12-hour delay in beginning to process disaster claims may be acceptable, whereas a 12-hour delay in initiating search and rescue services may not. When evaluating impact, give consideration to whether another agency may be able to perform the MEF if your agency cannot.

Table D-3. MEF Impact of Failure Value Table

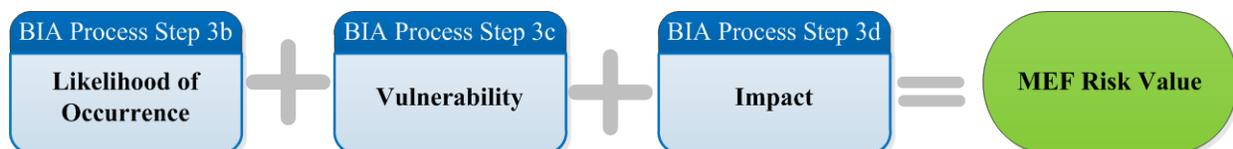
Value	Impact of Failure to Perform a MEF
9-10	Grave impact- extensive death and destruction
7-8	Serious impact- death or injury to many people; extensive disruption to infrastructure and facilities over an extended period of time
5-6	Significant impact to many people and infrastructure over a period of time
3-4	Some impact to a select group of people or portions of infrastructure over a brief period of time
1-2	Minor impact to a select group of people for a brief period of time
0	No impact

Step 3e: Determine Risk Value for Each Threat or Hazard. Determine the risk value for each threat or hazard for each individual MEF. As shown in Figure D-4, this is accomplished by adding together the numeric values resulting from Step 3b (Estimate Likelihood of Threat or Hazard Occurrence), Step 3c (Evaluate MEF Vulnerability to Each Threat or Hazard), and Step 3d (Estimate Overall Impact If MEF Failure Occurs).

The result, a number between 0 (extremely low risk) and 30 (extremely high risk), will represent the relative risk value of a particular threat or hazard on a particular MEF. The determined risk value is relative based on how each agency assesses likelihood, vulnerability, and MEF failure impact. Thus, one agency’s risk value may not necessarily correlate with another agency’s risk value for a similar MEF or the same threat or hazard.

Use the risk value to prioritize which agency MEFs are most vulnerable to threats and hazards and where the consequences would be the most severe; this is where risk mitigation may be most needed. The threats and hazards that produce the highest risk values must be reviewed to determine the appropriate mitigation strategy.

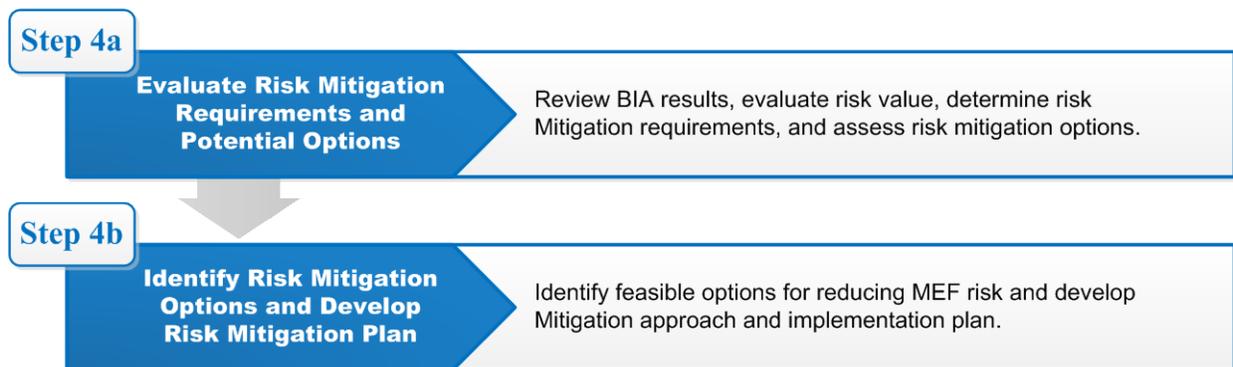
Figure D-4. MEF Risk Value Calculation Formula



Step 4: Develop Alternatives: Developing alternatives is the process of creating viable options for managing risks in order to ensure decision makers are able to consider relevant, comparable, and scoped options that account for a comprehensive set of factors. An organization must

evaluate the risk to the performance of each individual MEF and determine how to address unacceptable risks. In some instances, the decision may be made to accept risk if it is low or if other factors determine that the risk is acceptable. The agency must choose to make changes or improvements to significantly reduce unacceptable risk. For each agency, the criteria or factors for determining whether or not to accept risk will vary. Factors that frequently influence decisions regarding risk mitigation include likelihood of the threat or hazard occurring, impact of mission failure, cost of risk mitigation, and risk reduction that mitigation can provide. Figure D-5 depicts the process for assessing and planning for MEF risk mitigation, and Figure D-6 provides a model template for developing a Risk Mitigation Plan.

Figure D-5 Risk Mitigation Assessment and Planning Process



Step 4a: Evaluate Risk Mitigation Requirements and Potential Options. Each agency must review the BIA results with leadership; starting with the MEFs that have the greatest MEF risk value, and determine if risk mitigation is necessary. If risk values are high because a likely threat or hazard would have a devastating impact on MEF performance and the consequences would be severe, mitigating strategies should be evaluated. Such strategies might include the following:

1. Alternative procedures that reduce the vulnerability to threats or hazards.
2. Additional backup systems and personnel.
3. Enhanced continuity planning (devolution plans).
4. Additional telework flexibility.
5. Additional suppliers.

When developing mitigation strategies, avoid situations that may introduce new vulnerabilities. For example, it may not be a good idea to move the performance of a MEF from a facility in a flood zone to a facility that is next to a chemical processing plant.

Step 4b: Identify Risk Mitigation Options and Develop Risk Mitigation Plan. Develop risk mitigation options that will reduce the overall risk of failure (there may be more than one option developed to reduce a single vulnerability). For each MEF vulnerability to be mitigated, the risk mitigation plan will address the key elements. See Figure D-6, Risk Mitigation Plan Model Template.

Line 1: Risk Problem. This will include both the threat or hazard and the associated problem with MEF performance. Identify how serious the unmitigated risk is.

Line 2: Proposed Mitigation. The approach or approaches that could be taken to reduce risk to MEF performance and increase the likelihood of MEF success during a disruption.

Line 3: Anticipated Risk Reduction. A description of the proposed solution to reduce MEF performance risk and the estimated reduction in the MEF risk value that will accompany the mitigation. Note: See Column 6 of the BIA Worksheet for MEF risk value.

Line 4: Proposed Project Office and Manager. The office and individual who will have primary responsibility for coordinating and ensuring the mitigation plans are carried out. Note that this may not always be someone within the agency responsible for performing the MEF.

Line 5: Estimated Budget Requirement. The estimated cost of the risk mitigation plan(s) and the source of financing to support completion of the work.

Line 6: Estimated Schedule. A project schedule, including milestones and a project completion date.

Line 7: Participating Partners. Organizations that will be involved with implementing the risk mitigation plan.

Line 8: Concurrences. Partners or coordinating authorities that must concur with the risk mitigation plan. It is advisable to get the partner's input and agreement with the plan before briefing it to leadership.

Figure D-6. Risk Mitigation Plan Model Template

(Organization) MEF Risk Mitigation Plan	
Date	
<u>MEF Number and Statement:</u>	
<u>Line 1</u>	<u>Brief Narrative Description of MEF Risk Problem:</u> (This should include both the threat or hazard and the associated problem with MEF performance. Identify how serious the unmitigated risk is.)
<u>Line 2</u>	<u>Narrative Description of Proposed Mitigation:</u> (Outline the proposed solution[s] to reduce the risk to MEF performance. Attach more detailed plans if necessary.)
<u>Line 3</u>	<u>Anticipated MEF Risk Reduction:</u> (Identify the anticipated reduction in risk associated with implementing the proposed mitigation.)
<u>Line 4</u>	<u>Mitigation Project Office and Manager:</u> (Identify the office and individual who will have primary responsibility for overseeing implementation and completion of the risk mitigation plan.)
<u>Line 5</u>	<u>Estimated Budget Requirements:</u> (Identify estimated cost of the risk mitigation project and how the financing will be provided.)
<u>Line 6</u>	<u>Estimated Schedule:</u> (Identify a risk mitigation project schedule, including milestones and a proposed completion date.)
<u>Line 7</u>	<u>Participating Partners:</u> (Identify organizations involved in implementing the proposed MEF risk mitigation plan, including the roles each partner will play.)
<u>Line 8</u>	<u>Concurrences:</u> (Identify and obtain agreement, as required, from partners or coordinating authorities.)
<u>Approval:</u> (Obtain approval or authorization from leadership.)	
<u>Point of Contact:</u> (Name, e-mail address, telephone number.)	

See Annex F–Form 7. Risk Mitigation Plan Template.

Step 5: Decide Upon and Implement Risk Management Strategies: Decision makers need to consider the feasibility of implementing options to support continuity and how various alternatives affect and reduce risk. This includes the consideration of resources, capabilities, time to implement, political will, legal issues, the potential impact on stakeholders, and the potential for unintentionally transferring risk within the organization.

Once a decision has been made, the decision maker ensures that an appropriate management structure is in place to implement the decision. The decision maker will establish a program management approach, which will document the planning, organizing, and managing of resources necessary for the successful implementation of the risk management strategy.

Step 6: Evaluation and Monitoring: After implementation of the strategies, the organization monitors whether the implemented risk management treatments achieve the desired goals and objectives, as well as whether the risks facing an organization are changing. This can be done via exercises, through real-world experience or through security vulnerability testing. A core element of the evaluation and monitoring phase involves using reporting on performance and results by developing concrete, realistic metrics.

It is critical that organizations assign responsibility for monitoring and tracking effectiveness of continuity efforts, and that evaluation methods are flexible and adaptable. Evaluating and monitoring implemented risk management strategies is similar to overall performance management of continuity activities. The results of the monitoring step will inform subsequent iterations of the risk management cycle.

The risk management cycle involves a series of steps that organizations can perform at different levels of detail with varying degrees of formality. The key to using this process to promote continuity of operations is completing each step in a way that provides accurate and adequate information to the decision maker so that he or she can make informed decisions about how best to manage risks to essential functions and ensure continuity.

ANNEX E: PRIMARY MISSION ESSENTIAL FUNCTIONS AND ANALYSIS

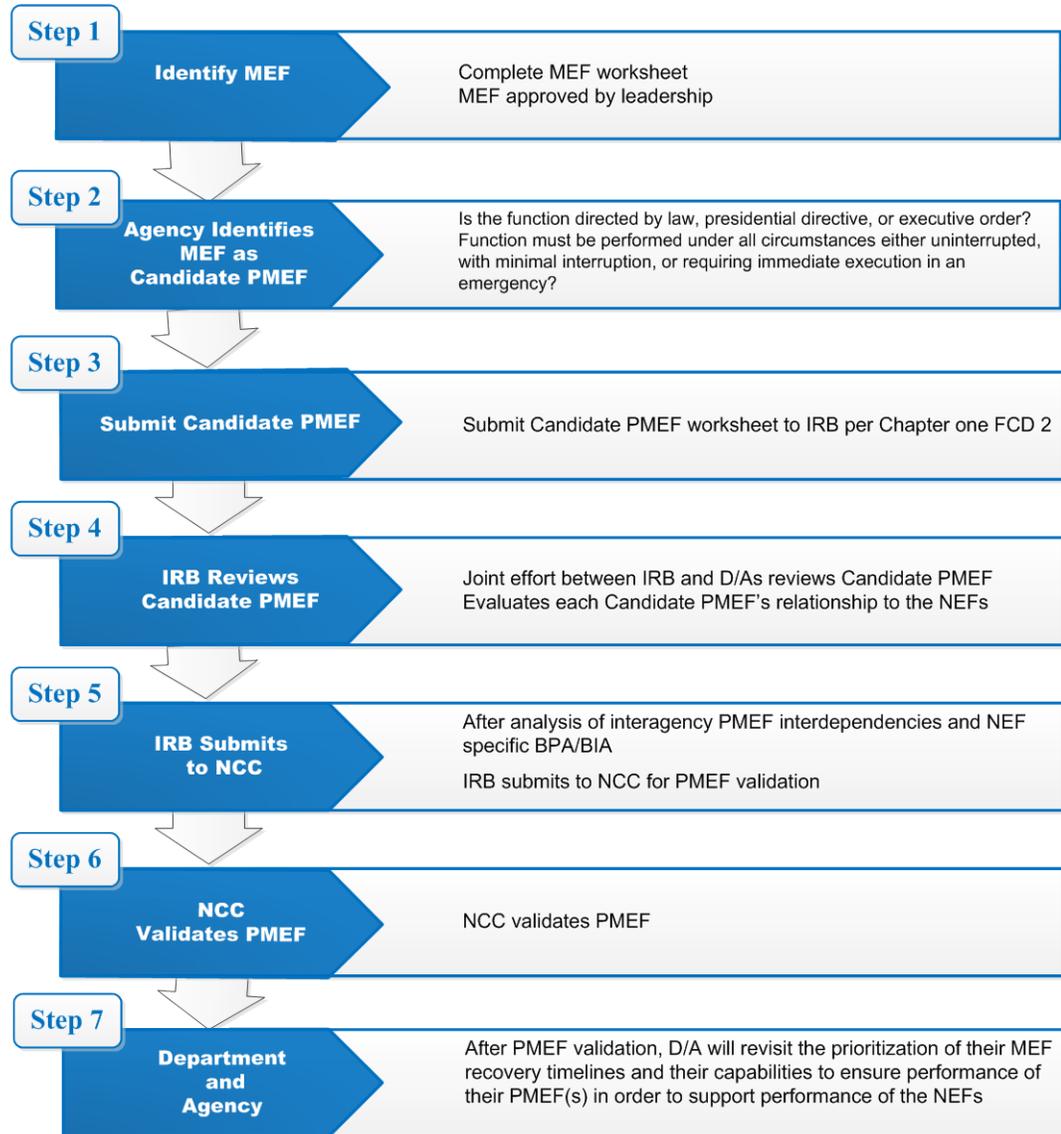
Once MEFs have been identified and analyzed using the BPA, the review process for identifying candidate PMEFS begins. Directly linking PMEFS to a NEF requires D/As to identify the most critical functions that must continue during a disruption of normal operations as well as the planning required to ensure performance of those functions. This model may serve as a template for other (Non-Federal) government organizations and for private sector entities, particularly those that partner with and support critical government missions.

Candidate PMEFS are reviewed by an independent review board (IRB) to ensure a consistent standard is applied in the determination of what is selected as a PMEFS.

PMEFS identification is an iterative process performed by each department and agency in coordination with the NCC. In order to identify and analyze PMEFS, the following actions will take place as part of the process for submittal and approval of PMEFS.

1. Upon MEF approval by each department or agency head, agency identifies a MEF as a Candidate PMEFS.
2. Agency Identifies MEF as Candidate PMEFS that potentially supports a NEF.
 - a. Is the function directed by law, presidential directive, or executive order?
 - b. Does the function have to be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?
3. Submit Candidate PMEFS worksheet to IRB for review in accordance with guidance set forth in paragraph 8, page 1-2 of FCD 2.
4. An IRB, approved by the NCC, will conduct a joint review of submitted candidate PMEFS with each department or agency Continuity Coordinator and staff to evaluate each PMEFS's relationship to the NEFS.
5. The IRB will conduct an analysis of interagency PMEFS interdependencies within each NEF to accurately depict each department or agency's PMEFS execution capability and dependencies. The IRB will conduct NEF-specific BIAs to: (1) identify potential single points of failure that may adversely affect the execution of the interagency PMEFS support to NEFS; (2) define the impact of downtime (i.e., impact of delayed PMEFS recovery on NEF execution); and (3) define potential PMEFS process alternatives/work-around solutions.
6. The IRB will conduct a BPA to identify and map interagency PMEFS processes, workflows, activities, expertise, systems, data, and facilities inherent to the interagency execution of each NEF. The BPA will also define the PMEFS relationships to the NEFS. In other words, the BPA will define how each NEF is executed via business process flow mapping (i.e., NEF serving as the "end product output" and interagency PMEFS serving as the functional "inputs").
7. The joint effort will culminate in the IRBs submission of PMEFS identification results to the NCC for further review and analysis.
8. Upon validation of the PMEFS by the NCC, each department and agency will revisit the prioritization of their MEF recovery timelines and their capabilities to ensure performance of their PMEFS in order to support performance of the NEFS.

Figure E-1 Primary Mission Essential Function Analysis Steps



ANNEX F: FORMS

This annex provides worksheets and templates to assist D/As with the process to identify, review, and validate their MEFs and candidate PMEFs, and to assist with conducting a BPA and BIA. Each form correlates to guidance and processes outlined in this FCD.

The following forms are provided:

Form 1: Organizational Function Worksheet

Form 2: Functions Categorization Worksheet

Form 3: Mission Essential Functions Worksheet

Form 4: Mission Essential Function Data Sheet Template

Form 4a: Model Completed Mission Essential Function Data Sheet

Form 5: Business Process Analysis Data Sheet Template

Form 5a: Model Completed Business Process Analysis Data Sheet

Form 6: Business Impact Analysis Worksheet Template

Form 7: Risk Mitigation Plan Template

Form 8: Candidate PMEF Data Worksheet

Form 2. Functions Categorization Worksheet

FORM 2		
FUNCTIONS CATEGORIZATION WORKSHEET		
	Essential	Non-Essential (during an emergency)
Mission		
Non-Mission		

Form 4. Mission Essential Function Data Sheet Template

Instructions for completing this data sheet are in Annex B.

MEF # Data Sheet Date
<u>Department/Agency:</u>
<u>Mission Essential Function (MEF) #:</u>
<u>Descriptive Narrative:</u>
<u>Impacts If Not Conducted:</u>
<u>Supported PMEF/NEF:</u>
<u>Recovery Time Objective:</u>
<u>Partners:</u>
<u>Point of Contact:</u>

Form 4a. Model Completed Mission Essential Function Data Sheet

The information presented in this model data sheet is based on an actual MEF, but has been abbreviated for demonstration purposes.

FEMA MEF #1 Data Sheet
Date
<u>Department/Agency:</u> DHS/Federal Emergency Management Agency
<u>Candidate Mission Essential Function (MEF) # 1:</u> Lead and coordinate the implementation and execution of Federal Executive Branch continuity plans and programs as required.
<u>Descriptive Narrative:</u> FEMA National Continuity Programs (NCP), in conjunction with the FEMA Operations Center (FOC), coordinates and delivers White House guidance and direction with regard to continuity posture and status; provides direction; and monitors the readiness and compliance of all Executive Branch departments and agencies. FEMA provides integrated information technology, telecommunications, and logistical support to continuity operations; and maintains continuity communications capabilities to ensure FEMA can effectively monitor and coordinate Federal government wide continuity operations. To accomplish this mission during an emergency, FEMA: <ul style="list-style-type: none"> • Advises national leadership regarding recommended COGCON posture and continuity status • Receives direction and guidance from the White House • Communicates White House direction to all Executive Branch D/As • Monitors D/A compliance and readiness with White House direction • Receives input from Departments and Agencies regarding their ability to perform essential functions during a continuity situation • Compiles continuity readiness information and provides reports to the White House as required • Works to resolve problems impeding D/A achievement of required continuity status • Coordinates, as appropriate with the Federal Legislative and Judicial Branches
<u>Impacts If Not Conducted:</u> Failure to manage and monitor Federal executive Branch Continuity programs could leave National leadership without a clear picture of the operational status of the Government during a crisis. This could complicate effective response to emergencies and delay restoration of services.
<u>Supported PMEF/NEF:</u> DHS PMEF #
<u>Recovery Time Objective:</u> This function must be performed with minimal interruption; less than one hour.

Partners: White House; National Security Staff; OPM; GSA; FBI; DOC; DOD; All other Departments and Agencies; FEMA Regional Offices.

Point of Contact: Name, e-mail address, telephone number.

Form 5. Business Process Analysis Data Sheet Template

Instructions for completing this data sheet are in Annex C.

<i>(Organization)</i> MEF # — BPA MEF Title Date
<u>MEF Statement:</u>
<u>MEF Narrative:</u>
<u>MEF Output:</u>
<u>MEF Input:</u>
<u>Leadership:</u>
<u>Staff:</u>
<u>Communications and IT:</u>
<u>Facilities:</u>
<u>Resources and Budgeting:</u>
<u>Partners and Interdependencies:</u>
<u>Process Details:</u>
<u>Telework Flexibilities:</u>
<u>Other Comments:</u>

Form 5a. Model Completed Business Process Analysis Data Sheet

The information presented in this model data sheet is based on an actual MEF, but has been abbreviated for demonstration purposes.

FEMA Emergency Management Agency MEF #2 — BPA National Emergency Response January 2010 (Use latest update BPA)
<u>FEMA MEF #2:</u> National Emergency Response
<u>MEF Statement:</u> Lead National emergency response efforts during major disasters and emergencies.
<u>MEF Narrative:</u> FEMA is responsible for leading the Federal Government’s emergency response activities during and following a national disaster to save lives, reduce suffering, and protect property in communities throughout the Nation that have been overwhelmed by the impact of a major disaster or emergency. The FEMA Administrator is the primary emergency management advisor to the President and the National leadership. The Administrator reviews and makes recommendations to the President regarding disaster declarations and coordinates Federal Department and Agency emergency response efforts under the Stafford Act. This includes establishing priorities, coordinating delivery of emergency services, and communicating with States, territories, tribes, local governments, Congress, the media and voluntary, faith-based, and private sector entities, both within the affected areas of the Nation and the unaffected areas that are staging and providing critical resources to respond to the disaster. These efforts are primarily executed in accordance with the National Response Framework (NRF).
<u>MEF Output:</u> Provide recommendations to the President regarding major disaster and emergency declarations. Provide communication and coordination with States, territories, tribes, local governments, and voluntary, faith-based, and private sector entities affected by the disaster. Provide communication and coordination with Congress, Federal Departments and Agencies, international partners, and the media regarding emergency response activities. Deploy specialized emergency response teams to provide assessment and evaluation for the identification and provision of Federal assistance. Manage team deployments to coordinate disaster response activities and resources, provide situational awareness, and coordinate the integrated inter-jurisdictional response in support of the affected States, Territories, Tribes, and local jurisdictions. Provide emergency response supplies and equipment to emergency response teams. In cooperation with local authorities, coordinate delivery of emergency supplies to the affected population, including food, shelter, clothing, medical assistance, generators, etc.
<u>MEF Input:</u> Information acquired from FEMA assessment team visits to disaster areas regarding disaster status and response requirements.

Reports from State, territorial, tribal and local officials and personnel on the ground at the disaster site(s).

Input from other Federal Department and Agency officials and ESF partners regarding recommendations and requirements for assistance, and capabilities and resources that can be provided by Federal departments and agencies, as well as certain private-sector and nongovernmental agencies.

Emergency supplies and equipment necessary to provide emergency services to the affected region and to support the affected and displaced population.

Information acquired through intelligence reports, law enforcement, and public health systems.

Requests for travel account and authorization processing from Federal, private, and volunteer emergency responders.

Leadership:

FEMA Administrator.

Federal Coordinating Officer(s).

Staff: (Identify staff requirements, including numbers and skills or authorities)

See Attached Sheet for Staff Requirements (sheet lists emergency response group staffing requirements)

Communications and IT: (Identify general and unique IT and communications requirements)

Standard unclassified DHS communications package is required.

Standard Secure DHS Communications Package (TOP SECRET capable).

IT systems elements, fixed/mobile satellite, high frequency radio, secure cellular telephone, blackberry, personal computer, laptop computers, desk top computers, telephones.

Primary and alternate Emergency Notification Systems, National Warning System, National Level Emergency Alert System, and telephone conference bridge with associated operating software.

EMA US&R IST Communications Vehicles.

Facilities: (Includes offices space; industrial capacity and equipment; critical supporting infrastructure, etc.)

Standard office facilities near the disaster location to support XXX personnel (numbers depend on disaster response requirements).

Secure facilities near the disaster area for classified operations.

Resources and Budgeting: (Includes critical supplies, services, and capabilities, and other essential resources not listed elsewhere)

Funding for disaster credit cards.

Telecommunications Information Management and Control System support for Telecommunications and Satellite services.

National Emergency Management Information System.

The Contracting Officers should be familiar with procedures which commonly apply to disaster requirements. These and other emergency procurement flexibilities can be found in FAR Part 18.

Contracts awarded to companies to provide FEMA response resources and onsite services such as: food service, cleaning and washing facilities, water decontamination, and personal protection equipment (including CBRNE response gear).

Partners and Interdependencies:

Department of Homeland Security.

National Communications System (ESF #2).

US Coast Guard.

Federal Protective Service.

Customs and Border Patrol.

Office of Emergency Communications.

All Departments and Agencies identified in the National Response Framework Emergency Support Functions Annexes.

General Services Administration.

Department of Defense (U.S. Northern Command; U. S. Pacific Command).

Nongovernmental Agency and Private Sector (Red Cross, Salvation Army, etc.).

National Voluntary Agency Active in Disaster (Feeding America, Lutheran Disaster Response, etc.).

Procedures and Business Process Flow:

Disasters occur frequently and include hurricanes, tornados, wildfires, floods, earthquakes, pandemic, terrorist attack and a wide range of other events that can cause extensive pain and suffering to people and damage to property and the environment. In most cases, State and local emergency response capability is sufficient to deal with the events. However, when the disaster is of sufficient size and scope and local resources are, or may become overwhelmed, FEMA has the responsibility to coordinate and lead the Federal emergency response in accordance with the Stafford Act, HSPD 5, or other direction. In large events, a Principle Federal Official may be appointed by the President to facilitate the Federal support.

If a Presidential Disaster declaration is issued, or FEMA resources are otherwise activated to respond, various FEMA response, communications, and coordination capabilities are activated. Examples include:

FEMA Operations Center.

National and Regional Response Coordination Centers.

National and field level response teams.

These initial response activities provide early response coordination and evaluation to help evaluate the situation and assess what additional resources will be required. This information, along with input from State, territorial, tribal and or local jurisdictions is used to activate additional resources under the National Response Framework and the various Emergency Support Function and Incident Annexes.

FEMA Directorates and Field Agencies coordinate the mobilization of emergency response personnel and equipment, as well as resources of partner Federal Departments and Agencies, and voluntary, faith-based, and private sector resources to respond to the disaster. In the early hours and days of a disaster, communications with the affected population, local governments, and emergency response personnel is both critical and challenging since local communications infrastructure may not be fully functional and the audience may not be able to receive information. The various FEMA emergency communications capabilities (including Mobile Emergency Response Support) are designed to bridge this critical communications gap as quickly as possible to ensure critical information can flow both to and from the disaster area, and among the numerous emergency response agencies.

To coordinate effective Federal disaster response, FEMA establishes a Joint Field Office (JFO) in the affected region to provide a central point for Federal, State, territorial, tribal and local officials with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO utilizes the scalable organizational structure of the National Incident Management System (NIMS) which adapts to the magnitude and complexity of the situation at hand, and incorporates the NIMS principles regarding span of control and organizational structure by utilizing the Operations, Planning, Logistics, and Finance/Administration Sections. Although the JFO uses an Incident Command System structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

Through the National Response Coordination Center, FEMA provides extensive logistical support to the disaster response effort including:

Management and coordination of the deployment of nationally managed disaster relief commodities.

Coordination of acquisition of national level remote sensing and satellite imagery as needed.

Tracking and management of Federal resource allocations.

Strategic communications with critical private sector and non-governmental organization partners in the affected area.

Additionally, FEMA establishes procedures and protocols to provide assistance directly to individuals and businesses impacted by the disaster.

FEMA processes requests for travel authorization from emergency response personnel and agencies as requests arrive to facilitate getting assistance to disaster areas. FEMA coordinates deployment of warranted contracting officers to alternate working locations when presidentially declared disasters occur

to enter into and administer contracts.

The FEMA Office of the Chief Financial Officer reviews and analyzes the allocation and expenditure of all FEMA disaster appropriations as outlined in the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

Telework Flexibilities: The nature of the coordination and management function necessary to respond to major disasters does not afford a lot of opportunity to use telework capabilities in the initial response period. However, some coordination and logistics functions can be performed from remote (telework) locations.

Estimated Telework Capacity: 20%

Other Comments: None

Form 6. Business Impact Analysis Worksheet Template

Instructions for completing this worksheet are in Annex D.

FORM 6						
BUSINESS IMPACT ANALYSIS WORKSHEET						
Threat and Hazard Analysis						
MEF Number and Statement:						
	1	2	3	4	5	6
Entry #	Threat or Hazard	Threat or Hazard Characteristics	Threat or Hazard Likelihood (0-10)	MEF Vulnerability (0-10)	MEF Impact of Failure (0-10)	MEF Risk Value (0-30)

Form 7. Risk Mitigation Plan Template

Instructions for completing this data sheet are in Annex D.

MEF Risk Mitigation Plan Date
<u>MEF Number and Statement:</u>
<u>Brief Narrative Description of MEF Risk Problem:</u>
<u>Narrative Description of Proposed Mitigation:</u>
<u>Anticipated MEF Risk Reduction:</u>
<u>Mitigation Project Office and Manager:</u>
<u>Estimated Budget Requirements:</u>
<u>Estimated Schedule:</u>
<u>Participating Partners:</u>
<u>Concurrences:</u>
<u>Approval:</u>

Form 8. Candidate PMEF Data Worksheet

Candidate PRIMARY MISSION ESSENTIAL FUNCTION (PMEF) Data Worksheet Date: _____
<u>Department/Agency:</u>
<u>Candidate Primary Mission Essential Function:</u>
<u>Descriptive Narrative:</u>
<u>Implications if not Conducted:</u>
<u>Supported National Essential Function (NEF):</u>
<u>Recovery Time Objective:</u>
<u>Partners:</u>
<u>Point of Contact:</u>

ANNEX G: ACRONYMS/DEFINITIONS

BIA	Business Impact Analysis
BPA	Business Process Analysis
DHS	Department of Homeland Security
ESA	Essential Supporting Activity
ESF	Emergency Support Function
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
HSPD	Homeland Security Presidential Directive
IRB	Independent Review Board
IT	Information Technology
JFO	Joint Field Office
MEF	Mission Essential Function
NCC	National Continuity Coordinator
NCP	National Continuity Program
NCPIP	National Continuity Policy Implementation Plan
NEF	National Essential Function
NIMS	National Incident Management System
NPS	National Planning Scenarios
NRCC	National Response Coordination Center
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Function
RRS	Readiness Reporting System
US&R	Urban Search and Rescue

DEFINITIONS: The following definitions apply to specific terms and words used in this document.

Business Impact Analysis – A method of identifying the relative risks to MEF performance due to various threats and hazards that could occur as a result of, or during a disruption.

Business Process Analysis - A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of a function or requirement.

Continuity Event – An event that disrupts, or has the potential to disrupt, the normal and regular performance of government operations. Continuity events may require the relocation of staff or the devolution of the performance of essential functions, among other actions, in order to ensure the continued performance of those functions.

Essential Supporting Activities – Critical functions that an organization must continue during continuity activation, but that do not meet the threshold for MEFs or PMEFS.

Government Functions – Government functions include both the collective functions of the heads of agencies as defined by statute, regulations, presidential directive, or other legal authority, and the functions of the legislative and judicial branches.

Independent Review Board – An interagency board, established by FEMA, with the approval of the NCC, to review and Federal D/A candidate PMEFS and make recommendations to the NCC for final validation and approval.

Mission Essential Functions (MEFs) - the limited set of organization-level government functions that must be continued or resumed quickly after a disruption of normal activities.

National Essential Functions (NEFs) – The eight functions that are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through COOP and COG capabilities.

Primary Mission Essential Functions (PMEFS) – Those organization MEFs, validated by the National Continuity Coordinator (NCC) which must be performed, in order to support the performance of the NEFs before, during, and in the aftermath of an emergency. PMEFS need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Recovery Time Objective – The expected or required recovery time if MEF performance is interrupted. This identifies how quickly this mission should be resumed if disrupted.

ANNEX H: AUTHORITIES AND REFERENCES

AUTHORITIES:

The National Security Act of 1947 (50 U.S.C. § 404), July 26, 1947.
Homeland Security Act of 2002 (6 U.S.C. § 101 *et seq.*), November 25, 2002.
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Executive Order 13618, Assignment of National Security and Emergency Preparedness Communications Functions, July 6, 2012.
Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, November 18, 1988, as amended.
Executive Order 13286, Establishing the Office of Homeland Security, February 28, 2003.
National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, May 9, 2007.
Homeland Security Presidential Directive 7, Critical Infrastructure Identification, Prioritization, and Protection, December 17, 2003.
National Continuity Policy Implementation Plan, August 2007.
National Communications System Directive 3-10, Minimum Requirements for Continuity Communications Capabilities, July 25, 2007.
Presidential Policy Directive/PPD-8, March 30, 2011

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36 C.F.R., Part 1236, Management of Vital Records.
41 C.F.R. 101.20.103-4, Occupant Emergency Program.
Presidential Decision Directive 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, May 22, 1998.
Homeland Security Presidential Directive 1, *Organization and Operation of the Homeland Security Council*, October 29, 2001.
Homeland Security Presidential Directive 3, *Homeland Security Advisory System*, March 11, 2002.
Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, February 28, 2003.
Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors, August 27, 2004.
Federal Continuity Directive 1 (FCD 1), October 2012.
National Infrastructure Protection Plan, January 2006.
National Exercise Program Implementation Plan, April 2007.
National Incident Management System (NIMS), March 1, 2004.
NIST Special Publication 800-34, Contingency Planning Guide for Information Technology Systems, June 2002.
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NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.