



Continuity Guidance Circular 2 (CGC 2)

Continuity Guidance for Non-Federal Governments:
Mission Essential Functions Identification Process
(States, Territories, Tribes, and Local Government Jurisdictions)

FEMA P-789 / October 2013



FEMA

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FOREWORD

National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20), *National Continuity Policy*, and the supporting *National Continuity Policy Implementation Plan* (NCPIP) provide implementation guidance for a comprehensive and integrated approach to maintaining a national continuity capability in order to ensure the preservation of our Constitutional form of Government and the continuing performance of National Essential Functions (NEFs) under all conditions.

In July 2013, recognizing the critical role played by non-Federal partners in the performance of the NEFs and State, Territorial, and Tribal Essential Functions (STTEFs), the Federal Emergency Management Agency (FEMA) issued a revised Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, to provide guidance in the development of non-Federal essential functions, plans, and programs.

In conjunction with the revisions to CGC 1, this update to Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions)*, includes new guidance and clarifications to existing guidance, based on lessons learned since the original CGC 2 was issued in July 2010. This CGC provides guidance and direction to non-Federal Governments (NFGs) for the identification and verification of their essential functions, and the Business Process Analyses and Business Impact Analyses that support and identify the relationships among these essential functions.

The provisions of this CGC are applicable to all levels of State, territorial, tribal, and local government organizations. The private sector and other non-government organizations may also benefit from the use of this document.

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Damon Penn
Assistant Administrator, National Continuity Programs
Federal Emergency Management Agency

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CONTINUITY GUIDANCE CIRCULAR 2 (CGC 2)

Number CGC 2	Date October 2013	Office FEMA National Continuity Programs
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TO: HEADS OF NON-FEDERAL GOVERNMENTS

SUBJECT: NON-FEDERAL GOVERNMENTS MISSION ESSENTIAL FUNCTION IDENTIFICATION PROCESS

1. PURPOSE: Continuity Guidance Circular 2 (CGC 2) provides non-Federal Governments (NFGs) with guidance on how to implement CGC 1, Annex D: ESSENTIAL FUNCTIONS. It provides them with guidance, a methodology, and checklists to identify, assess, and validate their essential functions. This CGC includes guidance for conducting a continuity Business Process Analysis (BPA), Business Impact Analysis (BIA), and a risk assessment that will identify essential function relationships, interdependencies, time sensitivities, threats and vulnerabilities, and mitigation strategies.

2. APPLICABILITY AND SCOPE: The provisions of this CGC are applicable to all State, territorial, tribal, and local governments (i.e. NFGs, which are hereinafter collectively referred to as “organizations”). Private sector and other non-government organizations may also benefit from this guidance and are encouraged to work together with NFG’s to implement this guidance and ensure their plans are consistent with government and other private sector partners.

3. SUPERSESSION: The provisions of this CGC supersede Continuity Guidance Circular 2, *Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process*, dated July 2010.

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 to maintain a comprehensive and effective continuity capability composed of Continuity of Operations (COOP) and Continuity of Government (COG) programs. These programs ensure the preservation of our form of Government under the Constitution and the continuing performance of National Essential Functions (NEFs) under all conditions. Organizations should incorporate continuity requirements into the daily operations of all organizations to ensure seamless and immediate continuation of essential functions so that critical government functions and services remain available to the Nation’s citizens. Continuity planning occurs simultaneously with the development and execution of day-to-day organizational programs.

NFGs develop and implement continuity program that is composed of programs within individual organizations to ensure that they can continue to perform their essential functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. These efforts include the following:

- Plans and procedures that delineate essential functions;

- Specify succession to office and emergency delegation of authority;
- Provide for the safekeeping and access to essential records and databases;
- Identify alternate operating strategies;
- Provide for continuity communications;
- Provide for human resources planning;
- Validate capabilities through test, training, and exercise (TT&E) programs;
- Specify devolution of control and direction, and
- Provide for reconstitution.

7. ADDITIONAL GUIDANCE: In addition to the information provided in this CGC, DHS, FEMA will provide familiarization briefings and training on the Mission Essential Function (MEF) identification process.

8. POINT OF CONTACT: Should you have any questions or need additional assistance with the information contained in the CGC, please contact the Assistant Administrator, FEMA National Continuity Programs (NCP), at 202-646-4145.

9. DISTRIBUTION: CGC 2 is authorized to be distributed to all organizations and other interested parties.

ANNEX A: DESCRIPTION OF FUNCTIONS

A-1. Introduction

The identification and prioritization of essential functions are a prerequisite for continuity planning because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas. These functions are activities that are conducted to accomplish an organization's mission and serve its stakeholders. During an event that necessitates the activation of continuity plans, the resources and staff available to an organization will likely be limited and the organization will not be able to perform all of its normal functions. Therefore, a subset of those functions that are determined to be critical activities are defined as the organization's essential functions. These essential functions are used to identify supporting tasks and resources that must be included in the organization's continuity planning process.

A-2. Continuity Partners

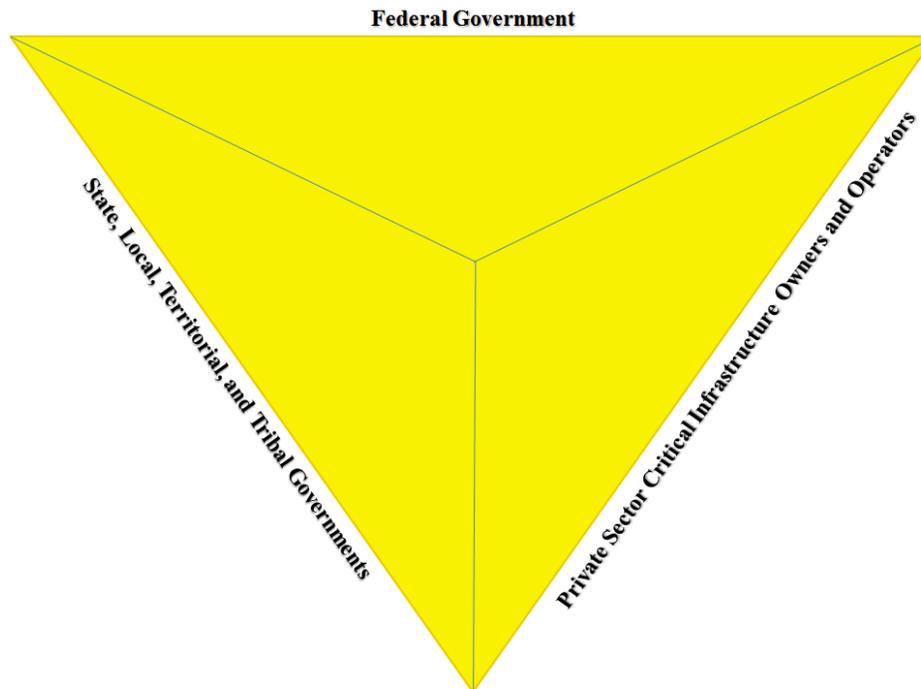
NSPD-51/HSPD-20, *National Continuity Policy*, recognizes the importance of partnerships and interrelationships and specifically notes "*Federal Government COOP...shall be appropriately integrated with ... State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to promote interoperability and to prevent redundancies and conflicting lines of authority.*" Additionally, the policy encourages "*...the integration of Federal continuity plans and operations with state, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to provide for the delivery of essential services during an emergency.*"

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 companies are intimately connected and work together in critical partnership to ensure continuation of essential functions. As part of each organization's continuity planning and identification of its essential functions, it is critical that each organization clearly identify its partners, and in particular, those supplies, products, information, and other inputs the organization receives from partners that are vital to the organization's ability to accomplish its essential functions.

As depicted in Figure A-1, those partners include the following:

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

Figure A-1. Partners



A-3. National Essential Functions (NEFs)

At the Federal level, the NSPD-51/HSPD-20, National Continuity Policy, Federal Continuity Directive 1 (FCD 1), and Federal Continuity Directive 2 (FCD 2) establish and detail NEFs, Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), and Essential Supporting Activities (ESAs).

The eight NEFs, detailed in Table A-1, represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and will be the primary focus of the Federal Government's leadership during and in the aftermath of an emergency. The NEFs (depicted in the red circle in Figure A-2) are accomplished through a collaborative effort with Federal departments and agencies performing their various PMEFs, MEFs and ESAs, integrated and supported by States, territories, tribes, local governments, the private sector, volunteer organizations, and the public.

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 interests
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

FCD 2, Annex A provides additional information on the various categories of Federal level essential functions.

A-4. Overarching State, Territorial, and Tribal Essential Functions (STTEFs)

Just as the NEFs represent the overarching responsibilities of the President during and following a crisis, leaders of State, territorial, and tribal governments have similar overarching responsibilities to ensure the well-being of their communities. The STTEFs, developed in cooperation with the States, territories, and tribes (as listed in Table A-2), are comprised of a subset of government functions and are accomplished through the collective efforts of the State, territorial, tribal, and local governments and private sector organizations performing their individual essential functions in response to an incident. The STTEFs contribute to the performance of NEFs for national level incidents and represent the ultimate goal of the State, territory, or tribe's continuity program.

Table A-2. STTEFs

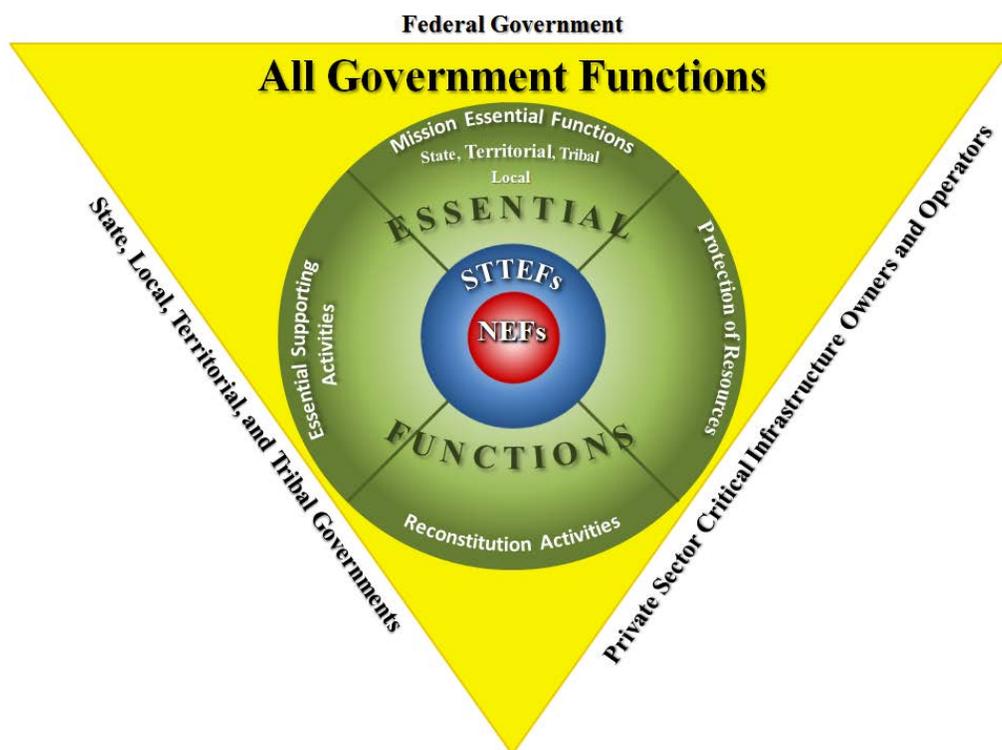
State, Territorial, Tribal Essential Functions (STTEFs)
<p>STTEF 1: Maintain Continuity of Government. Focus: Ensure the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management operations; situational awareness; personnel accountability; and functional and judicial organizations (as necessary). Each State, territory and tribe should identify the various subordinate mission essential functions necessary to accomplish this overarching mission. (This STTEF aligns with NEF 1)</p>
<p>STTEF 2: Provide Visible Leadership. Focus: Visible demonstration of leaders effectively dealing with the crisis and leading the response efforts: this assists in providing and monitoring the threat and confidence of established government organizations and the public. (This STTEF aligns with NEF 2)</p>
<p>STTEF 3: Reserved. STTEF 3 is not defined as there is no parallel to NEF 3: Employ the military, including implementing military operations to defend the Nation. While the States, territories, and tribes support this function, the Federal government is solely responsible for performing this function.</p>
<p>STTEF 4: Maintain Effective Relationships with Neighbors and Partners. Focus: Maintain external relationships and agreements with a wide variety of entities; this may vary considerably across the various States, territories, and tribes. This includes communications and interactions, as necessary during a crisis, with critical partners and organizations, including the Federal Government; other State, Territorial, and tribal governments, private sector and non-profit organizations; and may include foreign governments and organizations in some cases. (This STTEF aligns with NEF 4, however, it is recognized that the primary foreign relations responsibility lies with the Federal government.)</p>
<p>STTEF 5: Maintain Law and Order. Focus: Maintain civil order and public safety (protecting people and property, and the rule of law); ensuring basic civil rights, preventing crime, and protecting critical infrastructure. This involves State, territorial, and tribal governments and local law enforcement, and includes calling up of National Guard units to support these efforts. (This STTEF aligns with NEF 5)</p>
<p>STTEF 6: Provide Emergency Services. Focus: Provide critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, etc. (This STTEF aligns with NEF 6)</p>
<p>STTEF 7: Maintain Economic Stability. Focus: Manage the overall economy of the State, territorial, or tribal governments. While the Federal government is responsible for protecting and stabilizing the National economy and regulating the currency, State, territorial, and tribal governments have a responsibility to manage their jurisdiction's finances and ensure solvency. During a crisis affecting the economy, maintaining confidence in economic and financial institutions is critical at every level of government. (This STTEF aligns with NEF 7)</p>
<p>STTEF 8: Provide Basic Essential Services. Focus: Ensure provision of basic services, including water, power, health care, communications, transportation services, sanitation services, environmental protection, commerce, etc. These are services that must continue or be restored quickly to provide for basic needs. Other less critical services (recreation, education) may be delayed or deferred at the discretion of the State, territorial, and tribal governments; the focus is on providing those critical services necessary to sustain the population and facilitate the return to normalcy. (This STTEF aligns with NEF 8)</p>

A-5. Essential Functions

In order to sustain the overarching STTEFs (and in turn the NEFs), individual NFGs should execute their own State, territorial, tribal, and local essential functions, and ensure that those functions can be continued throughout or resumed rapidly after a disruption of normal activities.

As depicted in the green circle in Figure A-2, 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.

Figure A-2. Essential Functions



- **Mission Essential Functions.** MEFs are a broader set of essential functions that organizations must continue throughout or resume rapidly after a disruption of normal activities. MEFs are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base.
 - **State, Territorial, and Tribal Mission Essential Functions.** To ensure the successful accomplishment of the STTEFs, individual States, territories, and tribes (and the organizations within them) should identify specific MEFs that must be

- performed during or resumed rapidly following a significant disruption to normal operations. The MEFs represent those functions that the States, territories and tribes identify as their mission priorities.
- **Local Jurisdiction Mission Essential Functions.** Every level of government should identify and characterize those MEFs for which it is responsible and that it must accomplish during a disruption or crisis. Just as Federal, State, territorial, and tribal governments should identify and ensure continued performance of their MEFs, local governments (including counties, cities, towns, and parishes) also should identify their jurisdictional MEFs and ensure the continued performance of those MEFs.
 - **Essential Supporting Activities.** Organizations should identify functions that should continue in a continuity activation, but that are not recognized as STTEFs or MEFs, such as human resources management, security, and facilities management. These functions remain essential and are denoted as ESAs.
 - **Protecting and Preserving Resources.** Protecting and preserving resources is an essential activity. Even though many functions can be deferred during a disruption of normal operations and, thus, the resources to perform these functions may not be immediately required, these resources should be kept available and viable to enable full restoration of normal activities. This means the organization's resources (people, equipment, facilities, materials, records, etc.) should be protected and preserved. Every organization should plan in advance to ensure the resources employed to perform its functions are not lost or damaged, and those plans should be implemented during continuity activation. If not protected and preserved during a disruption, restoration of those functions will not be possible or will be needlessly delayed.
 - **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 organization 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.

A.6 Summary

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 IDENTIFICATION PROCESS

B-1. Introduction

MEFs (including State, territorial, tribal, and local jurisdiction MEFs) are the limited set of an organization's functions and activities that cannot be deferred. For NFGs, MEFs are those organizational missions required to be performed during a disruption to provide vital services, exercise civil authority, maintain the safety and health of the public, and sustain the industrial and economic base. It is important to understand that these functions include those performed at all locations, not just at headquarters.

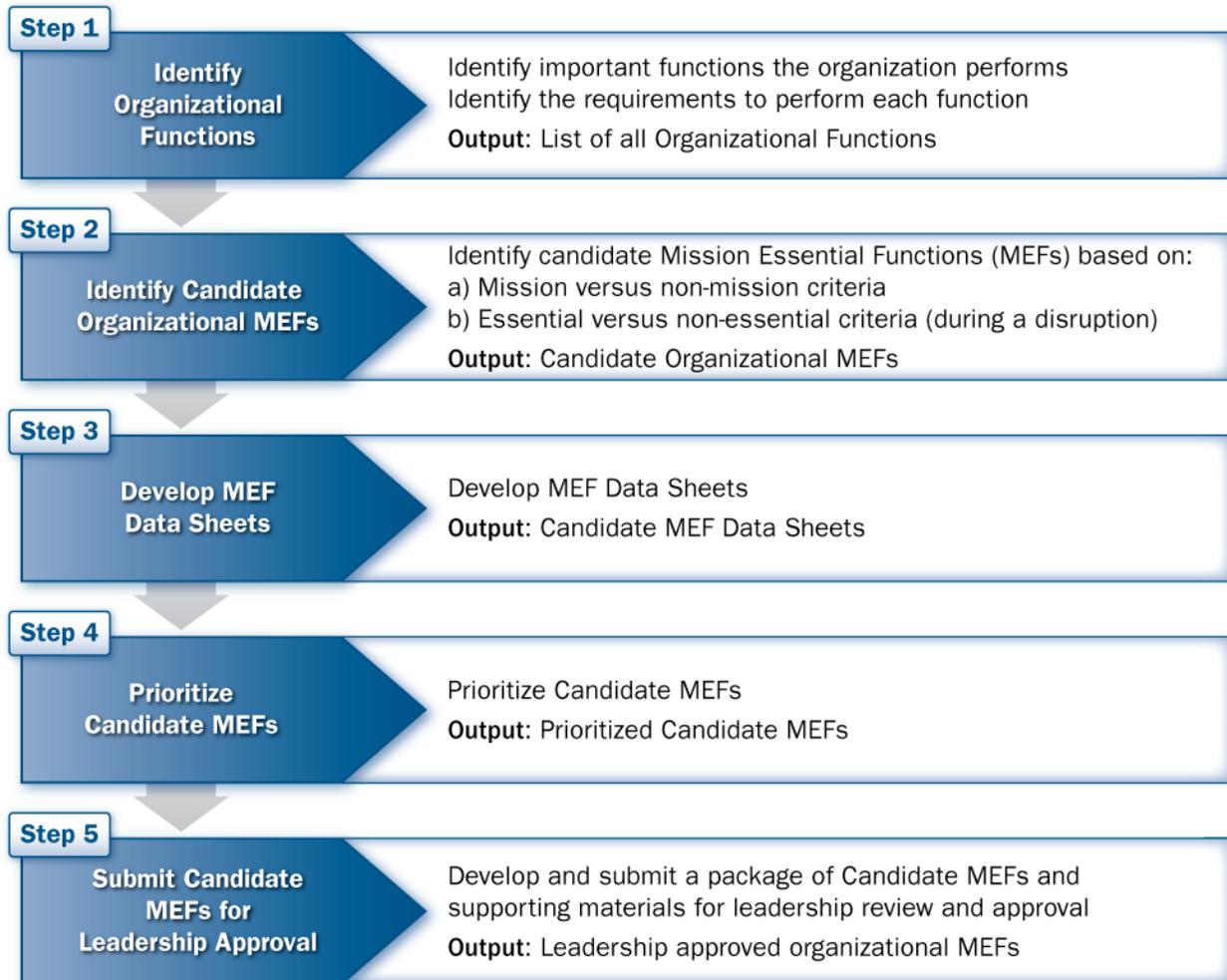
While many functions are important during a disruption, organizations have to focus their efforts and limited resources on those functions that cannot be deferred. When identifying these functions, it is important to consider the following:

- If an organization identifies too many functions as essential, limited resources and/or staff availability during the emergency may not be sufficient to enable 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, these functions may not be performed during an emergency.

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

B-2. 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 leadership approval. Organizations 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 organizations with this process.

Figure B-1. Mission Essential Function Identification Process

Step 1: Identify Organizational Functions. The first step is to identify and list all the functions that support and accomplish the organization’s mission. To clarify responsibilities and support further continuity planning activities, the requirement for performing each function would be identified. The requirement may be 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 organization with responsibility to perform missions;
2. Mission statements that describe the overarching mission(s) or list the services provided by the organization;
3. The organization’s strategic plan;
4. Published organization literature; and/or
5. Interviews with organization leadership and external partners.

Consideration would be given to how broadly or narrowly 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, organizations 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:

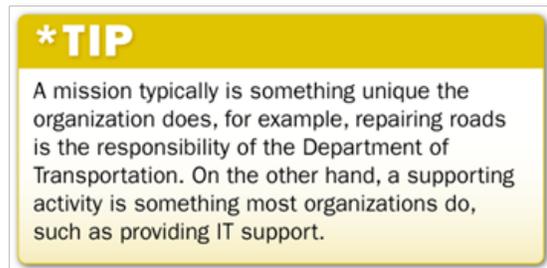
1. General training and exercises;
2. Research and development;
3. Long range planning;
4. Travel to conferences;
5. Audits and inspections;
6. Non-essential hearings and proceedings.

Each function would be described in basic terms and would identify products or services delivered or actions the organization accomplishes. The product resulting from Step 1 will be a list of important organization functions. Examples of organization function descriptions are listed below:

1. Provide training to outside organizations;
2. Maintain and ensure operational capability of computer systems;
3. Provide Equal Employment Opportunity services;
4. Develop organization 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: Identify Candidate Organizational MEFs. The second step in the process focuses on reviewing each function identified in Step 1 to determine which functions are MEF candidates. This process focuses on determining if a function is a mission versus a non-mission, or a supporting activity, and then determining if the function is essential versus non-essential. The process for making these determinations is described below.



Mission Versus Supporting Activity:

- If the function results in the delivery of service to the public or another organization, it probably performs a function that is a mission of the organization.
- If the function results in a service being delivered to another part of the same organization, it likely is a supporting activity. Supporting activities are typically enablers that make it possible for an organization to accomplish its mission.

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

Missions	Supporting Activities
Repair roads	Manage human resources
Provide medical care	Provide IT support
Fight fires	Provide agency security
Provide safe water supply	Provide travel services
Perform health inspections	Manage agency facilities
Issue driver's licenses	Manage organization records
Teach students	Maintain service vehicles
Arrest suspects	Perform legal reviews
Investigate crimes	

Note: Supporting activities frequently are assigned as the principal function of components within an organization. The organization recognizes that it could not accomplish its missions efficiently without these supporting activities. Supporting activities critical to the performance of the organization's MEFs will be accounted for 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 a function must be performed during a crisis. Essential functions are those that have to be performed during emergencies. Essential functions are both important and urgent. If an organization determines that a function may have to be performed during or immediately after an emergency, it should be identified as essential. Functions that can be deferred until after the emergency should be identified as non-essential.

Table B-2 describes four notional fire department functions and Table B-3 demonstrates how these four functions can be distributed among the various categories—mission versus supporting activity and essential versus non-essential. Using this approach, each function an organization performs may be assigned to 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 of the MEFs to more fully describe each function that enables an organization's mission to be accomplished and then documenting the review results on the *MEF Data Sheet* (see Figure B-2 on page B-7). The *MEF Data Sheet* documents the following MEF information:

1. **Organization:** 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 organization's mission. The MEF Narrative should 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 should describe the function so that non-experts can gain a reasonable understanding of what is and what is not included. This description may help 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 details of how the MEF is performed will be addressed in the BPA and should not be included 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 STTEF:** If applicable, identify the STTEF with which the MEF is primarily associated. While some MEFs could be associated with multiple STTEFs, select the one STTEF the MEF most directly supports.
6. **Line 5 - Recovery Time Objective (RTO):** A brief statement regarding the expected or required recovery time if MEF performance is interrupted. This describes how quickly this mission will be resumed if disrupted. If the mission requires continuous performance, this would be stated. A 6-hour delay in processing Social Security benefits may be acceptable, while 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 an organization identifies an RTO of 2 hours, the organization will be expected to be able 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. Interdependencies would be identified.
8. **Point of Contact:** Who in the organization appointed for follow up information? This will include the 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	
Organization: (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 includes a detailed explanation of the mission, legal, or other requirement(s) to perform the mission, and deliverables provided by performing the mission. This narrative explains, 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 would remain on those services provided during a disruption. If multiple services are provided, a list of services might be included. 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 constituency if this mission 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 STTEF:</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 be resumed 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 F–Form 4. *Mission Essential Function Data Sheet Template* and Form 4a. *Model Completed Mission Essential Function Data Sheet*.

Step 4: Prioritize Candidate MEFs. The fourth step in the process is to prioritize the MEFs developed in Step 3. While performance of all MEFs will need to be resumed 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 able to 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.

***TIP**

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 and redundancies than MEFs that may be recovered after a few days.

Several factors are necessary to include 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 would be part of the prioritization determination. The more severe the impacts if not performed the higher priority the MEF would be.
3. **Management Priority:** Some missions will have a higher priority as a result of management preference and discretion.

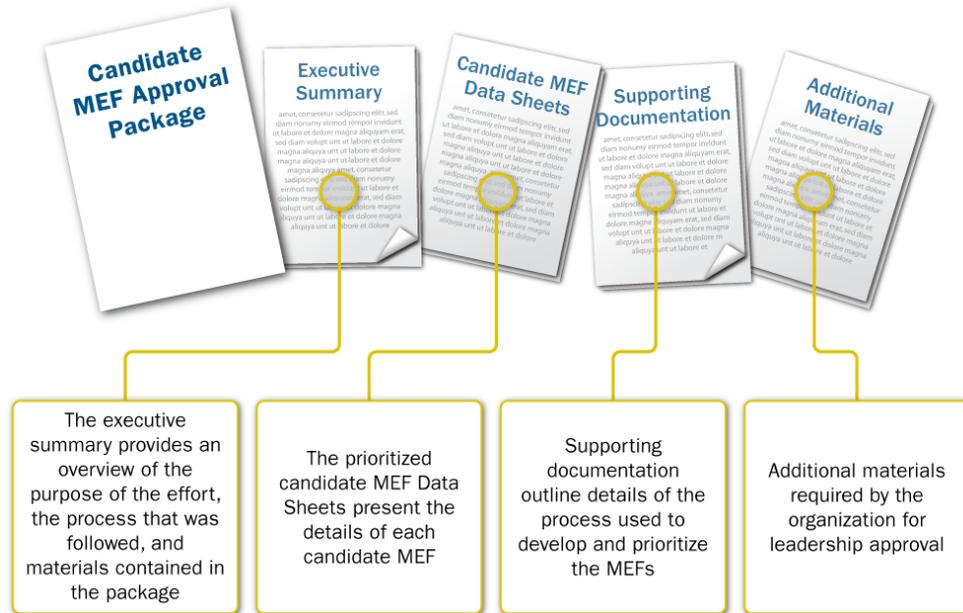
The prioritization process will likely involve a combination of both objective and subjective decisions. It may be most efficient to group the MEFs into priority categories rather than attempting to establish a comprehensive linear list. Prioritizing the MEFs in this fashion will help planners develop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

Step 5: Submit Candidate MEFs for Leadership Approval. The fifth step in the MEF identification process is obtaining senior organizational leaders' or elected officials' review, validation, and approval of the MEFs, MEF descriptions, and MEF prioritization. It is critical that leaders recognize the scope and effect of establishing and prioritizing organizational MEFs for several reasons, including those listed below.

- Organizational leadership should be in full agreement with the organization's missions and priorities during a disruption or crisis;
- Continuity and emergency plans will be developed based on the organization's MEFs and priorities, which will involve assignment of personnel and resources;
- Organizational funds and resources may need to be allocated to ensure performance of MEFs during a crisis;
- Organizational test, training, and exercise activities will focus on MEF performance.

To facilitate understanding of the importance and the scope of this effort, a Candidate MEF Approval Package will be prepared that includes the key elements shown in Figure B-3.

Figure B-3. Candidate MEF Approval Package Elements



Note: The submission process and the composition of the approval package will be based on each organization's specific requirements and preferences. Once the Candidate MEFs are approved, the BPA outlined in Annex C can be initiated.

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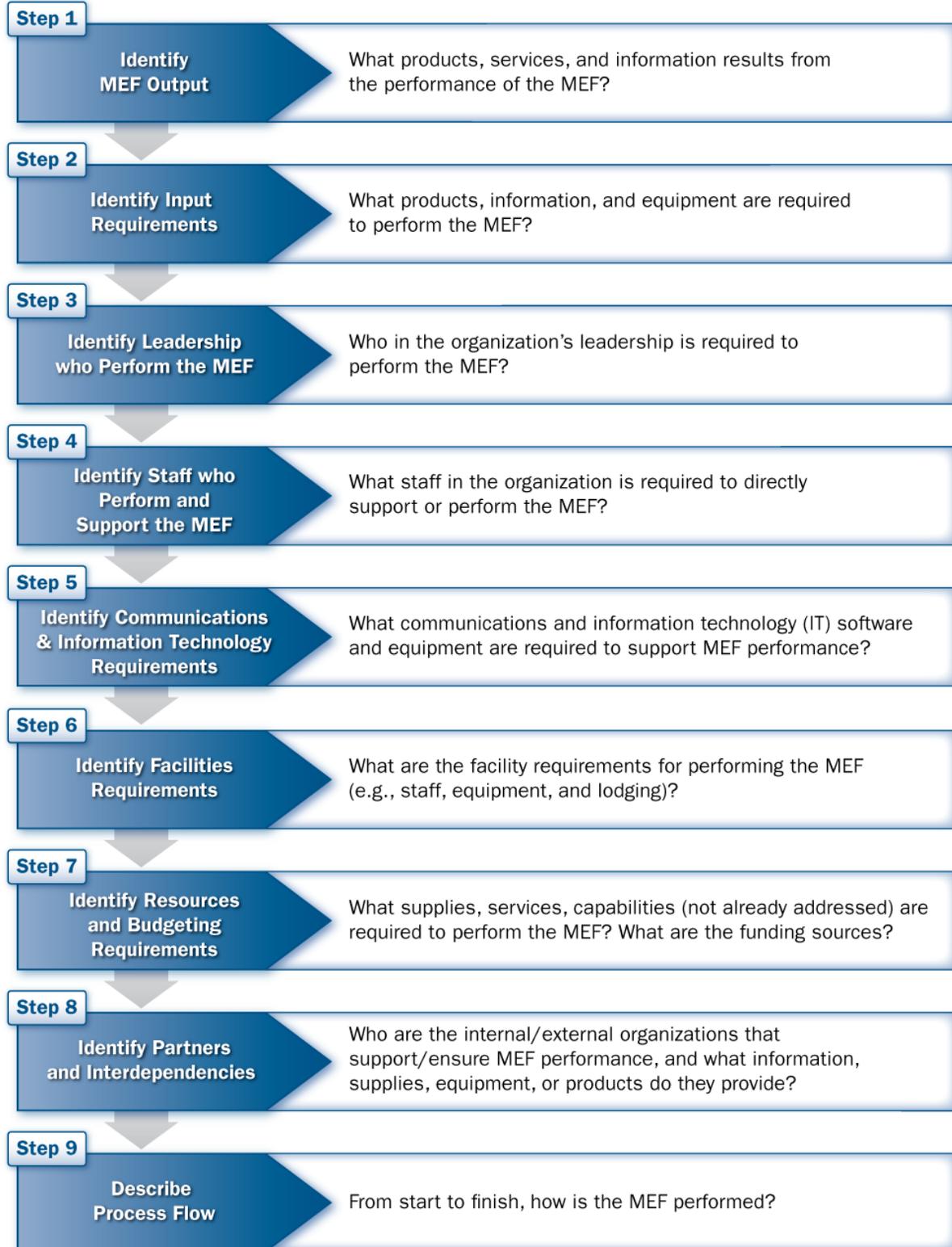
ANNEX C: BUSINESS PROCESS ANALYSIS GUIDANCE

C-1. Introduction

A 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. A BPA is performed 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 organization should look at 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 should be approached systematically and with a focus on clearly describing the details regarding how each MEF needs to be performed during a disruption. The results of the BPA will represent guidelines for performing a function.

C-2. 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 on page C-9. This process includes the identification of the ESAs 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 would be noted. The MEF outputs 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.

*TIP

When documenting the BPA results, it may be useful to think of the BPA data sheet as a guide that can be used by back up personnel who may be filling in for the personnel who normally perform the function but are not available as a result of the disruption. The BPA data sheet may also be useful for new senior leadership to more fully appreciate the complexities and interdependencies inherent in accomplishing some Mission Essential Functions.

- Provide emergency ambulance services for the county with response times under 10 minutes;
- Provide mutual aid ambulance services to adjacent counties when requested and available in accordance with mutual aid agreements;
- Provide State wide emergency public warnings for severe weather and other emergencies;
- Provide the Governor’s office with preliminary damage assessments within 12 hours following a destructive natural or manmade event;
- Ensure the State legislature is able to convene in emergency session within 24 hours of an emergency declaration;
- Provide priority trash and refuse removal services within 3 days of a disruption.

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 organization) and external outside of the organization) partners. External partners include other components and organizations, such as Federal agencies, neighboring jurisdictions, the private sector, and even international entities, if appropriate. Input may 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 includes input supplier (i.e., organization, partner, etc.) and delivery time requirements. Listed below are examples of MEF input.

*TIP

For each Mission Essential Function, it is important to address what is required from other entities to accomplish the MEF and to identify the organization’s primary customers, suppliers, collaborators, etc.

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 organization leadership required to perform the MEF. Leadership includes the most senior 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 does not require direct leadership participation (e.g., damage assessments, emergency medical care, infrastructure system operations); if leadership does not directly participate in MEF performance, do not identify. Some MEFs require specific senior decision making; therefore, the specific involvement of leadership will be identified. General oversight and supervision will not be considered direct involvement; 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. The presence of a quorum of the City Council Members is required for a City Council vote;
2. A determination to close city offices requires action by the Mayor (or Deputy Mayor);
3. The Governor must request a Presidential Disaster Declaration;
4. The Director of Safety and Compliance must authorize entry of emergency workers into condemned buildings;
5. The Police Commissioner must authorize the use of special security tactics during an emergency.

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 organization's continuity team. It may be appropriate to make this list a separate attachment to the BPA Data Sheet. Consideration must be given to the following when identifying required staff and skills, training, certifications, licensing, and clearances.

The specific skill sets, expertise, and authorities required to support and perform each function (both the MEF and the ESA) should be identified, for example:

- Contracting and purchasing authorities;
- Signature authorities for emergency declarations;
- Licensed medical personnel and other licensed or certified professionals needed to carry out specific tasks;

- Engineering and technical knowledge;
- Authority to detain and arrest individuals;
- Pilots, drivers, divers, fire fighters;
- Special experience and skill sets.

For operations involving a workforce (e.g., security guards), estimated staffing levels (to include supporting shift rotations) must be identified.

For functions that support deployed personnel (e.g., search and rescue teams), identify the number of staff and specific capabilities required.

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 are examples of staffing requirements and skill descriptions.

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 organizations with multiple MEFs, consideration must be given to identifying personnel who may support more than one MEF; this will help to avoid unnecessary duplication of resources. For example, an organization 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 and IT requirements can include IT systems (data management and processing), radio, video, satellite, telephones, handheld devices, pagers, emergency notification systems, facsimile machines, and secure equipment. This category could also include publication of information if hard copy distribution is required. Step 5 indicates 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 should 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. Identify specific or unique software and applications that are required to operate equipment.

Listed below are examples of communications and IT 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) can 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 can be identified and explained. It may be possible to perform some functions from remote locations or facilities other than the traditional continuity facility. Other functions may need to be performed 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, the specific space requirements can be noted, 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 can be indicated. For example, an emergency response organization may require an emergency or command center to coordinate response operations.

Refer to CGC 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, ESAs, and capabilities not already accounted for in the BPA process. Essential resources include plans and procedures, essential 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 organization must have the capability to obtain, purchase, and reallocate these resources. **Requirements not identified elsewhere can 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 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 be essential to ensure that all required resources and budget requirements are identified.

Step 8: Identify Partners and Interdependencies. This step focuses on identifying internal and external interdependencies with other organizations necessary to ensure the continued performance of the MEF. Most organizations interact with, and are dependent on, other organizations or partners in a variety of ways. In some cases, supporting organizations 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 organizations may include Federal departments and agencies, 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. Organization name;
2. Point of contact and contact information;
3. Types of information, data, services, and support provided;
4. Coordination requirements;
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 Flow. Once Steps 1–8 have been completed, a diagram or narrative description can be developed 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 serve to validate the process and ensure nothing critical has been omitted.

A description of the procedures and process details 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)?

In addition to tying together all of the elements necessary to perform each MEF, a well-prepared process flow will:

- Support development of effective continuity plans and procedures;

- Provide an outline or checklist for emergency operations;
- Serve as a turnover and shift-change check list during disruptions and crises;
- Support training for new emergency personnel;
- Establish a briefing outline for management;
- 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, organizations may consider including a discussion regarding how telework may support MEF performance. If a telework or remote capability is not feasible, this also may be noted.

Figure C-2. BPA Data Sheet Template

(Organization) MEF # — BPA MEF Title Date	
MEF Statement: (Copy of MEF Statement)	
MEF Narrative: (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, metrics that provide time and other performance measures should be included.)
Line 2	<u>MEF Input:</u> (A list describing information, authorizations, supplies, and services required to perform the MEF. Each input should 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 directly 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 can be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification can 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.)

(Organization) MEF # — BPA	
MEF Title	
Date	
Line 8	<u>Partners and Interdependencies:</u> (A list of partners and interdependent organizations that support and/or ensure performance of the MEF. It should 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	<u>Process Details:</u> (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.)
<u>Telework Flexibilities:</u> (if appropriate)	
<u>Other Comments:</u> (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 can be used by back up personnel who may be filling in for the personnel who normally perform the function but are not available as a result of the disruption. The BPA data sheet may 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 GUIDANCE

D-1. Introduction

BIAs are a method of identifying and evaluating the effects various threats and hazards may have on the ability of an organization to perform its MEFs and the resulting impact of those effects. It is through the BIA that organizations will identify problem areas (gaps, weaknesses, vulnerabilities); in turn, leadership will use the BIA results to support risk management decision making. The BIA facilitates the identification and mitigation of vulnerabilities to ensure that when a disruption or crisis occurs, MEFs can be performed. The results of the BIA will establish the foundation for evaluating and establishing risk mitigation strategies to ensure the continued performance of all organizational MEFs.

D-2. Conducting Business Impact Analysis

As depicted in Figure D-1, the BIA process focuses on the six key elements listed below.

- Identify threats and hazards;
- Identify threat and hazard characteristics;
- Estimate threat or hazard likelihood of occurrence;
- Evaluate MEF vulnerability to each threat or hazard;
- Estimate impact if MEF performance is disrupted;
- Determine an overall risk value for each threat or hazard.

Each step in the process has a resulting output, which can be documented in the BIA worksheet, as shown in Figure D-2. Noted in the step process description is a column number which aligns with where the data can be recorded 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. For each MEF analyzed, a separate worksheet can be completed.

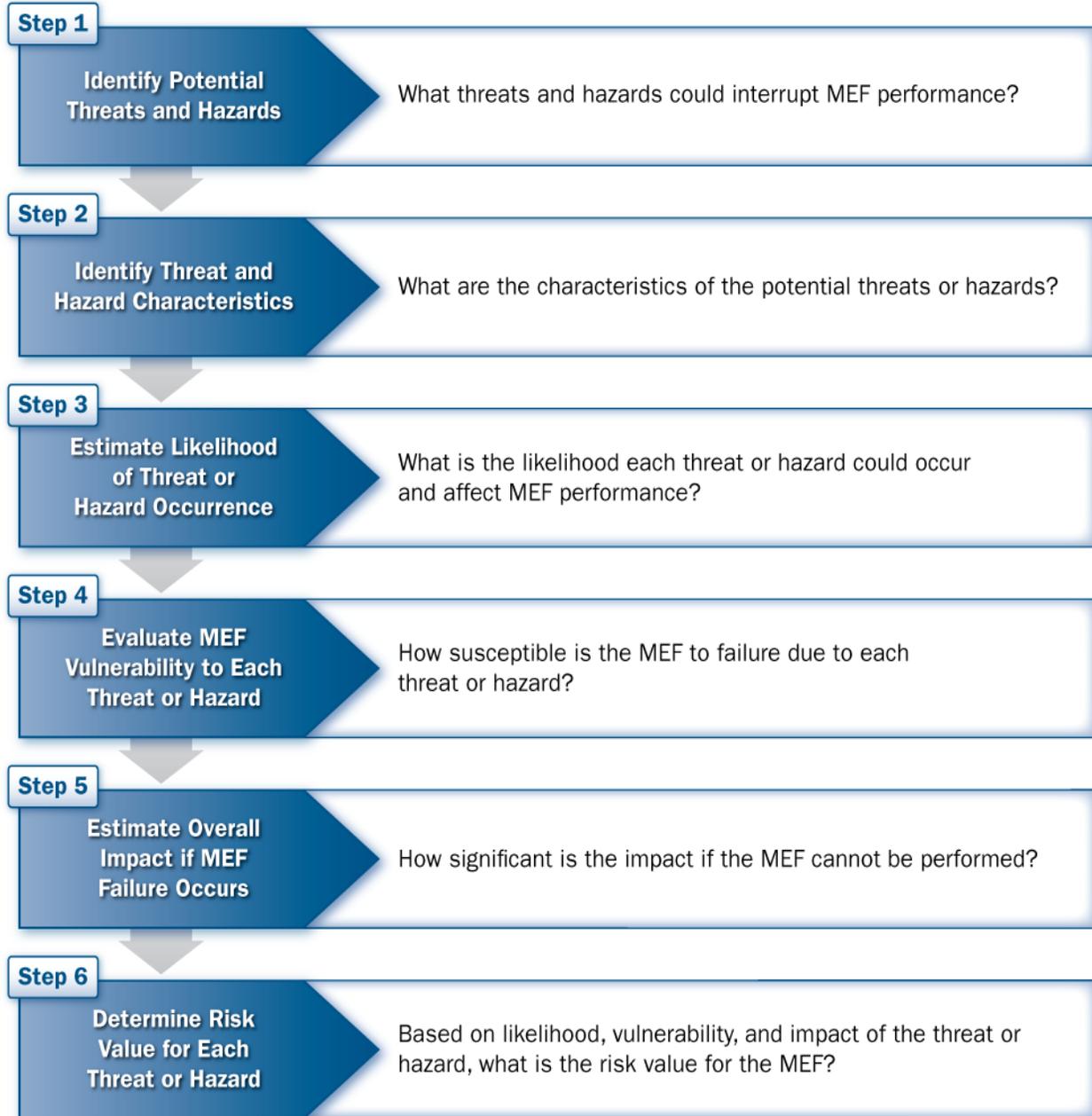
Figure D-1. Business Impact Analysis Implementation Process

Figure D-2. Business Impact Analysis Worksheet Model Template

Business Impact Analysis Worksheet: Threat and Hazard Analysis						
MEF Number and Statement: MEF Number and MEF Title						
Entry Number	① Threat Hazard	② Threat or Hazard Characteristics	③ Threat or Hazard Likelihood (0-10)	④ MEF Vulnerability (0-10)	⑤ MEF Failure Impact (0-10)	⑥ 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	Input Numeric Value	Input Numeric Value	Sum of Columns 3+4+5
②						
③						
④						

Step 1: Identify Potential Threats and Hazards. (*Figure D-2. Worksheet Column 1*) In Step 1, identify 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 to consider, 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. Organizations 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 organization 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.

Note: Organizations and missions may be susceptible to unique threats and hazards and the BIA must consider all potential threats and hazards to MEF performance. Organizations 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 provide example threats and hazards for exercise and planning purposes and are not intended to be all-inclusive. The NPS can be found in the document library on FEMA's Lessons Learned Information Sharing portal (<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 <ul style="list-style-type: none"> – Aerosol Anthrax; Plague; Ricin – Food Contamination – Animal Disease (Foot and Mouth Disease) – Pandemic Influenza 	<ul style="list-style-type: none"> – Chemical Attack (or accident) <ul style="list-style-type: none"> – 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 2: Identify Threat and Hazard Characteristics. (*Figure D-2. Worksheet Column 2*) In Step 2, associated characteristics, assumptions, and effects are specified 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 two 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 for which local historical data is not readily available (e.g., truck bomb), general assumptions are made about the likely characteristics and effects of the event. The NPS developed by the Department of Homeland Security (DHS) provide useful characterizations of a number of threats and hazards. These scenarios were created for exercise purposes and some threats and hazards will not be applicable to all organizations. Many organizations 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 3: Estimate Likelihood of Threat or Hazard Occurrence. (*Figure D-2. Worksheet Column 3*) Based on an objective assessment, assign an approximate relative numeric value to categorize the likelihood of each threat or hazard occurring and affecting MEF performance, based on the values in 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 accomplish the MEF, the effect of an ice storm or blizzard cannot be discounted. 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 be sufficient.

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 4: Evaluate MEF Vulnerability to Each Threat or Hazard. (*Figure D-2. Worksheet Column 4*) Step 4 evaluates 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, all aspects of MEF performance must be considered. For example, the organization should look separately at the how vulnerable its people, facilities, communications, resources, interdependencies, and processes are to the effects of each threat and hazard, and then should estimate a combined vulnerability value.

Table D-2. MEF Vulnerability Values

MEF Vulnerability Value	
Numeric Value	Value Description
10 Critically High	Exceptionally grave vulnerability to mission performance
9 Extremely High	Grave vulnerability, where negative effect results in delays to mission for an extended period of time
8 Very High	Serious vulnerability, where negative effect results in delays to mission for a limited period of time
7 High	Serious vulnerability, where the negative effect results in minor mission delays
6 Medium High	Moderate to serious vulnerability, where the negative effect results in slight mission delays
5 Medium	Moderate vulnerability, where the negative effect results in no impact to mission completion
4 Medium Low	Minimal vulnerability, where negative effect results in no impact to mission completion
3 Low	Minimal vulnerability of consequence without long term negative effects
2 Very Low	Negligible vulnerability of consequences with minimal long term negative effect
1 Extremely Low	Negligible vulnerability of consequences with no long term negative effect
0 Non existent	No vulnerability

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, assignment of a lower vulnerability value is justified. Alternatively, if specific (unmitigated) vulnerabilities are identified during this evaluation, they must be noted for review later when risk mitigation options are being developed.

Step 5: Estimate Overall Impact if MEF Failure Occurs. (*Figure D-2. Worksheet Column 5*) In Step 5, the impact of MEF failure for each threat or hazard is estimated. Based on MEF failure impact 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) thus the performance of the MEF is prevented or delayed. (Refer to the *Implications 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, consideration must be given to whether other organizations may be able to perform the MEF if one organization cannot.

Table D-3. MEF Failure Impact Value Table

Threat and Hazard Impact Value	
Numeric Value	Value Description
10 Critically High	Exceptionally grave impact preventing mission performance
9 Extremely High	Grave impact requiring corrective action and negative effect results in delays to mission for an extended period of time
8 Very High	Serious impact requiring corrective action and negative effect results in delays to mission for a limited period of time
7 High	Serious impact requiring corrective action, where the negative effect results in minor mission delays
6 Medium High	Moderate to serious impact requiring corrective action, where the negative effect results in slight mission delays
5 Medium	Moderate impact requiring corrective action, where the negative effect results in no impact to mission completion
4 Medium Low	Minimal impact requiring corrective action, where negative effect results in no impact to mission completion
3 Low	Minimal impact or consequence without long term negative effects
2 Very Low	Negligible consequences or impact with minimal long term negative effect
1 Extremely Low	Negligible consequences or impact with no long term negative effect
0 Non existent	No consequences

Step 6: Determine Risk Value for Each Threat or Hazard. (*Figure D-2. Worksheet Column 6*) In Step 6, the risk value for each threat or hazard must be determined for each individual MEF. As shown in Figure D-3, this is accomplished by adding together the numeric values resulting from Step 3 (Estimate Likelihood of Threat or Hazard Occurrence), Step 4 (Evaluate MEF Vulnerability to Each Threat or Hazard), and Step 5 (Estimate Overall Impact If MEF Failure Occurs).

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

The risk value can be used to prioritize which organizational 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. Determine the appropriate mitigation strategy for the threats and hazards that produce the highest risk values. See Annex E, *Risk Mitigation Evaluation*.

Figure D-3. MEF Risk Value Calculation Formula

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ANNEX E: RISK MITIGATION EVALUATION

E-1. Introduction

Mitigation strategies are those actions taken by an organization to reduce risks resulting from threats and hazards and to ensure the continued performance of MEFs.

E-2. Assessing Risk Mitigation Strategies

Based on the BIA results, an organization evaluates the risk to the performance of each individual MEF and determine how to address unacceptable threats and vulnerabilities. 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 organization may choose to make changes or improvements to significantly reduce unacceptable risk. For each organization, 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 E-1 depicts the process for assessing and planning for MEF risk mitigation, and Figure E-2 provides a model template for developing a Risk Mitigation Plan.

Figure E-1. Risk Mitigation Assessment and Planning Process



Figure E-2. Risk Mitigation Plan Model Template

(Organization) MEF Risk Mitigation Plan	
Date	
<u>MEF Number and Statement:</u>	
Line 1	<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.)
Line 2	<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.)
Line 3	<u>Anticipated MEF Risk Reduction:</u> (Identify the anticipated reduction in risk associated with implementing the proposed mitigation.)
Line 4	<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.)
Line 5	<u>Estimated Budget Requirements:</u> (Identify estimated cost of the risk mitigation project and how the financing will be provided.)
Line 6	<u>Estimated Schedule:</u> (Identify a risk mitigation project schedule, including milestones and a proposed completion date.)
Line 7	<u>Participating Partners:</u> (Identify organizations involved in implementing the proposed MEF risk mitigation plan, including the roles each partner will play.)
Line 8	<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.)	

Note: See Annex F–Form 7. *Risk Mitigation Plan Template.*

Step 1: Evaluate Risk Mitigation Requirements and Potential Options. Review the BIA results with leadership and, starting with the MEFs that have the greatest MEF risk value, 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, evaluate risk mitigating strategies. Such strategies might include the following:

- Alternative procedures that reduce the vulnerability to threats or hazards;
- Additional backup systems and personnel;
- Enhanced continuity planning (devolution plans);
- Additional telework flexibility;
- Additional suppliers.

* TIP

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 chemical processing plant.

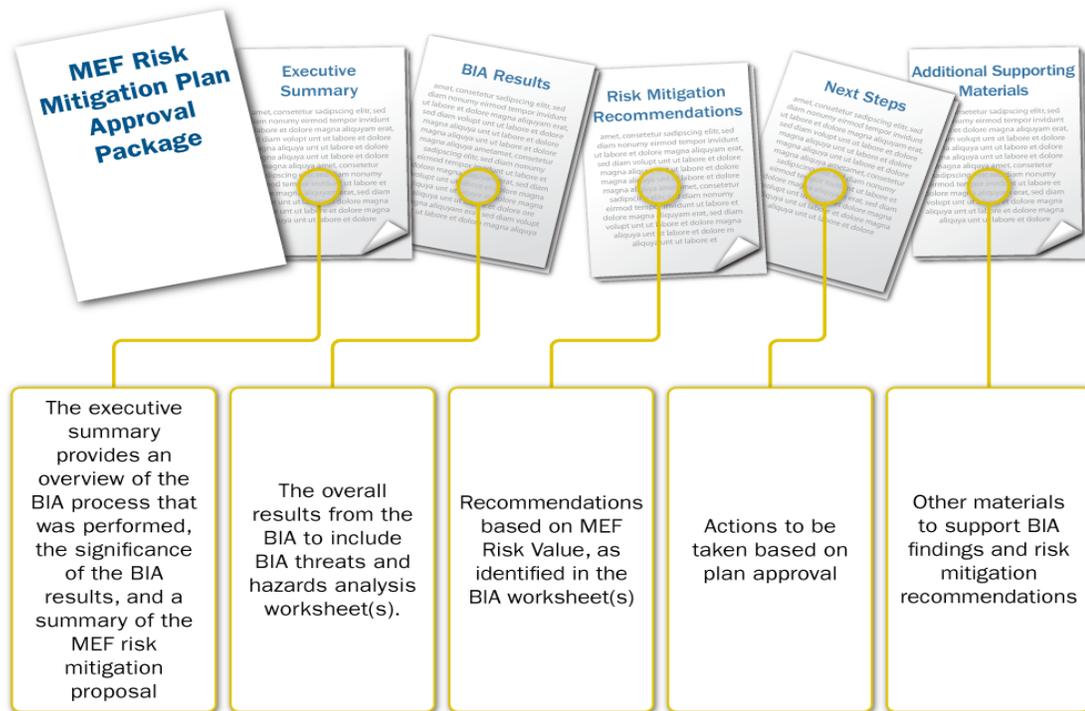
Step 2: Identify Risk Mitigation Options and Develop Risk Mitigation Plan. For each MEF vulnerability to be mitigated, develop risk mitigation options to reduce the overall risk of failure (there may be more than one option developed to reduce a single vulnerability). In general, the risk mitigation plan would address the following key elements.

Note: The line numbers align with the line numbers on the *Risk Mitigation Plan Model Template* shown in Figure E-2.

1. **Line 1 – Brief Narrative Description of MEF Risk Problem.** The problem associated with MEF performance as a result of a threat or hazard.
2. **Line 2 - Narrative Description of Proposed Mitigation.** The approach or approaches that will be taken to reduce risk to MEF performance and increase the likelihood of MEF success during a disruption.
3. **Line 3 - Anticipated MEF 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 BIA Worksheet Column 6 for MEF risk value.
4. **Line 4 - Mitigation 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 organization responsible for performing the MEF.
5. **Line 5 - Estimated Budget Requirements.** The estimated cost of the risk mitigation plan(s) and the source of financing to support completion of the work.
6. **Line 6 - Estimated Schedule.** A project schedule, including milestones and a project completion date.
7. **Line 7 - Participating Partners.** Organizations that will be involved with implementing the risk mitigation plan.
8. **Line 8 – Concurrences.** Partners or coordinating authorities that must concur with the risk mitigation plan.

Step 3: Submit Risk Mitigation Plans for Leadership Approval. Present risk mitigation proposal to senior organizational leaders or elected officials for review, approval, funding, and implementation. The review package will provide senior leadership the opportunity to understand the MEF threats, hazards, vulnerabilities, and risks. Include information in the package necessary to enable leadership to make an informed decision about managing MEF risk. At a minimum, the approval package must include the key elements shown in Figure E-3.

Figure E-3. Risk Mitigation Plan Elements



Note: The specific submission process and the composition of the approval package are based on each organization's requirements.

Step 4: Implement Risk Mitigation Plan. Once the Risk Mitigation Plan has been approved by leadership, implementation is initiated quickly. The risk mitigation plan should have identified an office of primary responsibility and a project manager responsible for implementation. However, since the project office may not be directly involved in performing the essential function, it is important that those individuals and partners involved in performing the MEF are also involved during the mitigation implementation phase. This will help to ensure the desired result is accomplished and that the effort does not create new problems while trying to solve an existing one.

Step 5: Assess Risk Mitigation Effectiveness. After the risk mitigation program implementation has been completed, it is important to assess the effectiveness of the solution. Conduct training on new equipment and procedures should be conducted for emergency response personnel as appropriate. Test systems and procedures to evaluate effectiveness and the emergency team's ability to function with them. If it is determined that the mitigation program did not accomplish the full desired improvement, conduct a re-evaluation and consider developing further risk mitigation options.

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ANNEX F: FORMS

This annex provides worksheets and templates to assist organizations with the process to identify, review, and validate their MEFs, and to assist with conducting a BPA and BIA. Each form correlates to guidance and processes outlined in this CGC.

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

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Form 1. Organizational Functions Worksheet

FORM 1	
ORGANIZATIONAL FUNCTIONS WORKSHEET	
Function Description	Requirement(s) to Perform the Function
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	
13.	
14.	
15.	
16.	
17.	
18.	
19.	

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Form 2. Functions Categorization Worksheet

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

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Form 3. Candidate Mission Essential Functions Worksheet

FORM 3		
CANDIDATE MISSION ESSENTIAL FUNCTIONS WORKSHEET		
Function Description	Mission/ Non-Mission	Supporting Activity/ Non-Supporting Activity
1.		
2.		
3.		
4.		
5.		
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7.		
8.		
9.		
10.		
11.		
12.		
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16.		
17.		
18.		

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Form 4. Mission Essential Function Data Sheet Template

Instructions for completing this data sheet are in Annex B.

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

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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.

<p>State of Columbia MEF #1 Data Sheet</p> <p>Date</p>
<p><u>Organization:</u> Columbia Department of Emergency Management</p>
<p><u>Columbia Department of Emergency Management Mission Essential Function (MEF) #1:</u></p> <p>Provide basic emergency services to protect people and property in the State of Columbia.</p>
<p><u>Descriptive Narrative:</u> The Department of Emergency Management of Columbia is responsible (Columbia Law #xxx) in cooperation with county, city, and other local governments (as well as the Federal Government in large disasters) for providing, or ensuring provision of, basic emergency services, including fire, police, medical, search and rescue, restoration of power, and communications. During any emergency, citizens rely on their State and local governments to communicate with citizens, provide emergency notifications and information, and provide vital emergency services to save and protect lives and property. Through an extensive network of these public services, the State and its partners are able to respond to a wide range of emergencies and assist citizens in their time of need. Specific emergency services include—</p> <ul style="list-style-type: none"> • Police: To protect citizens; prevent crime, including looting; and protect critical infrastructure. • Fire: To respond to emergency calls and provide rescue and firefighting capability. • Medical: To provide emergency medical response capability. • [<i>Continue list – include a brief discussion to clarify extent of services</i>].
<p><u>Implications If Not Conducted:</u> Interruption of and/or failure to perform these functions would leave citizens on their own to cope with a wide range of emergencies that would directly lead to increases in fatalities and significant damage to property. Further, such failures, if they persist, would result in a significant loss of confidence in government, which would contribute to increased lawlessness and potentially could deteriorate into riots or insurrection.</p>
<p><u>Associated STTEF:</u> STTEF # 6.</p>
<p><u>Recovery Time:</u> This MEF must continue to be performed with no or minimal interruption.</p>
<p><u>Partners:</u> Department of Homeland Security (DHS), Environmental Protection Agency (EPA), U.S. Department of Agriculture (USDA), neighboring State governments local jurisdiction emergency service providers, private industry, etc.</p>
<p><u>Point of Contact:</u> Name, e-mail address, telephone number, etc.</p>

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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>

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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.

Federal Emergency Management Agency MEF #2 — BPA National Emergency Response January 2013
<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 Emergency Support Function (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, Homeland Security Presidential Directive (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

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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:						
	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Entry #	Threat Hazard	Threat or Hazard Characteristics	Threat or Hazard Likelihood (0–10)	MEF Vulnerability (0–10)	MEF Failure Impact (0–10)	MEF Risk Value (0–30)
1.						
2.						
3.						
4.						

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Form 7. Risk Mitigation Plan Template

Instructions for completing this data sheet are in Annex E.

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>
<u>Point of Contact:</u>

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ANNEX G: ACRONYMS/DEFINITIONS

BIA	Business Impact Analysis
BPA	Business Process Analysis
CGC	Continuity Guidance Circular
COG	Continuity of Government
COOP	Continuity of Operations
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
IT	Information Technology
JFO	Joint Field Office
MEF	Mission Essential Function
NCP	National Continuity Programs
NCPIP	National Continuity Policy Implementation Plan
NEF	National Essential Function
NFG	Non-Federal Governments
NIMS	National Incident Management System
NPS	National Planning Scenarios
NRF	National Response Framework
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Function
RTO	Recovery Time Objective
STTEF	State, Territorial, and Tribal Essential Functions
STTL	State, Territorial, Tribal, and Local
TT&E	Test, Training, and Exercise

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 (ESAs) – Critical functions that an organization must continue during a continuity activation, but that do not meet the threshold for STTEFs or MEFs.

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.

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 the President and national leadership will focus on to lead and sustain the nation during a catastrophic emergency.

Non-Federal Governments (NFGs) - The State, local, territorial, and tribal governments, , that are referred to in this document as NFGs or “organizations.”

Primary Mission Essential Functions (PMEFs) – Collections of those department or agency MEFs, validated by the NCC, which must be performed in order to support the performance of 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 (RTO) – the expected or required recovery time if MEF performance is interrupted. This identifies how quickly this mission should be resumed if disrupted.

Risk Assessment – A product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.

Risk Management – 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.

State, Territorial, and Tribal Essential Functions (STTEFs) – The STEFFs represent the overarching responsibilities of the leaders of State, territorial, and tribal governments during and following a crisis, to ensure the well-being of their communities. The STTEFs are based on, and correlate with, the NEFs.

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.
- Executive Order 12148, *Federal Emergency Management*, July 20, 1979 as amended.
- 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*, November 7, 2011.
- Presidential Policy Directive/PPD-8, March 30, 2011

REFERENCES:

- 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), *Federal Executive Branch National Continuity Program Requirements*, October 2012.

- Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process*, July 2013.
- Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, July 2013.
- National Infrastructure Protection Plan, January 2006.
- National Exercise Program Base Plan, September 2011.
- National Incident Management System (NIMS), March 1, 2004.
- NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, June 2002.
- NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, December 2006.
- NFPA 1600, *Standard on Disaster/Emergency Management and Business Continuity Programs*, 2007 Edition.

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