Continuity Guidance Circular 2 (CGC 2)

Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process

(States, Territories, Tribes, and Local Government Jurisdictions)

July 22, 2010

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FEMA

CGC 2

Federal Emergency Management Agency
Continuity Guidance Circular 2 (CGC 2)
Continuity Guidance for Non-Federal Entities:
Mission Essential Functions Identification Process
(States, Territories, Tribes, and Local Government Jurisdictions)

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 direction and 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 January 2009, recognizing the critical role played by non-Federal entities in the performance of the NEFs, the Federal Emergency Management Agency issued Continuity Guidance Circular (CGC 1), *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*, to provide guidance in the development of non-Federal essential functions, plans, and programs.

Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions),* provides additional planning guidance to assist non-Federal entities and organizations in identifying their essential functions. Additionally, through the use of a systematic Business Process Analysis, Business Impact Analysis, and the development of risk mitigation strategies, CGC 2 provides guidance to non-Federal entities to ensure the continued performance of these essential functions during and following a significant disruption to normal operations.

Guidance in CGC 1 and CGC 2 supports the implementation of Presidential direction in the NCPIP. The provisions of this guidance document are applicable to all levels of State, territorial, tribal, and local government jurisdictions.

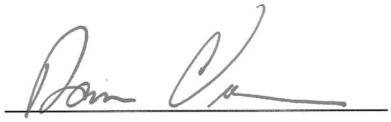

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TABLE OF CONTENTS

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CHAPTER 1: INTRODUCTION

1-1. PURPOSE

Continuity Guidance Circular 2 (CGC 2) provides planning guidance and a methodology to assist non-Federal government organizations in identifying and ensuring continued performance of their mission essential functions.

1-2. APPLICABILITY AND SCOPE

CGC 2 applies to States, territories, tribes, and local (STTLs) government jurisdictions. Private sector and other non-government organizations may benefit from this guidance and are encouraged to work together with STTLs to implement this guidance and ensure their plans are consistent with government and other private sector partners.

1-3. SUPERSESSION

None

1-4. OBJECTIVES

Provide guidance and assistance to STTL government jurisdictions for identifying mission essential functions, conducting Business Process Analysis and Business Impact Analysis, and developing risk management strategies.

1-5. AUTHORITIES

- The National Security Act of 1947, as amended.
- The Homeland Security Act of 2002, as amended.
- Executive Order 12148, *Federal Emergency Management*, July 20, 1979, as amended.
- 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.
- National Continuity Policy Implementation Plan, August 2007.
- Homeland Security Presidential Directive 7, *Critical Infrastructure Identification, Prioritization, and Protection*, December 17, 2003.
- Homeland Security Presidential Directive 8, *National Preparedness*, December 17, 2003.
- National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, July 25, 2007.

1-6. REFERENCES

- 36 Code of Federal Regulations, Part 1236, Management of Vital Records, revised as of July 1, 2000.
- 41 Code of Federal Regulations 101.20.103-4, Occupant Emergency Program, revised as of July 1, 2000.
- 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.
- *National Infrastructure Protection Plan*, 2006.
- *National Strategy for Pandemic Influenza*, November 1, 2005.
- *National Strategy for Pandemic Influenza Implementation Plan* May 2006.
- *National Exercise Program Implementation Plan*, April 2007.
- *National Incident Management System* (NIMS), March 1, 2004.
- NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems,* June 2002.
- 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.
- Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*, February 2008.
- Federal Continuity Directive 2, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, February 2008.
- Continuity Guidance Circular 1, *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*, January 21, 2009.

1-7. DEFINITIONS

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

- **Alternate Operating Facility—** Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation.
- **Business Impact Analysis (BIA)—**A method of identifying the effects of failing to perform a function or requirement.
- **Business Process Analysis (BPA)—**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.
- **Deferrable Mission—**A function for which the agency or organization is responsible, that does not need to be performed during a disruption or crisis and therefore performance can be deferred until after the disruption or crisis is over.
- **Deferrable Supporting Activity—** An activity for which the agency or organization is responsible, that does not need to be performed during a disruption or crisis and therefore performance can be deferred until after the disruption or crisis is over.
- **Essential Supporting Activity—**Specific supporting activities an organization must conduct in order to perform its Mission Essential Functions. Supporting activities typically are enablers that make it possible for an organization to perform its mission.
- **Essential Functions—**The critical activities that are performed by organizations, especially after a disruption of normal activities. Broadly speaking, essential functions enable an organization to provide vital services, exercise civil authority, maintain safety of the general public, and sustain the industrial/economic base during a disruption of normal activities.
- **Interdependencies—**Mutually dependent entities, agencies, or organizations that rely on each other to perform a function, activity, or service.
- **Jurisdiction—**Local government geographic areas such as counties, cities, towns, and parishes.
- **Leadership—**The senior decision makers designated to head an agency or organization.
- **Mission—**Functions that an organization was created or established to perform. An organization's missions generally are unique to the organization and involve the delivery of products or services to the public or other organizations.
- **Mission Essential Functions (MEFs)—**The limited set of department- and agency-level government functions that must be continued throughout, or resumed rapidly after a disruption of normal activities.
- **National Essential Functions (NEFs)—** The eight functions and overarching responsibilities of the Federal Government to lead and sustain the Nation that the President and national leadership will focus on during a catastrophic emergency that, therefore, must be supported through continuity capabilities.
- **National Planning Scenarios (NPS)—**The NPS depict a diverse set of high-consequence threat scenarios of both potential terrorist attacks and natural disasters. (Note: For CGC 2, these scenarios represent a useful starting point in the development of potential threats and hazards.)

- **Recovery Time—**The time required to restore performance of a function following a disruption.
- **Risk Mitigation—**The application of measure or measures to reduce the likelihood of an unwanted occurrence and/or its consequences.
- **State, Territorial, Tribal Essential Function (STTEF) —**The overarching responsibilities of non-Federal entities (States, territories, tribes, and local government jurisdictions) during and following a crisis which ensure the well being of State, territorial, and tribal communities.

1-8. POLICY

It is the policy of the United States to maintain a comprehensive and effective continuity capability to ensure the preservation of our form of Government under the Constitution and the continuing performance of the NEFs under all conditions. Continuity requirements should be incorporated into the daily operations of agencies at all levels of government. Continuity planning includes the good business practice of ensuring all essential functions and activities conducted by States, territories, tribes, and local government jurisdictions can be continued during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

1-9. QUESTIONS

Questions or requests for assistance with the information contained in the CGC 2 may be directed to the Federal Emergency Management Agency (FEMA) National Continuity Programs at (202) 646-4145.

1-10. DISTRIBUTION

CGC 2 is authorized to be distributed to all non-Federal government entities, organizations, and other interested parties.

CHAPTER 2: ESSENTIAL FUNCTIONS OVERVIEW

2-1. BACKGROUND

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 direction and 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 essential functions under all conditions. This policy includes the establishment of the eight NEFs listed in Table 2-1. These NEFs are the overarching responsibilities of the President and the Federal government to lead and sustain the Nation during a crisis, and they represent the foundation for all Federal continuity programs.

Table 2-1, 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

The NEFs are accomplished through a collaborative effort with Federal departments and agencies performing their various Mission Essential Functions (MEFs), integrated and supported by States, territories, tribes, local governments, the private sector, volunteer organizations, and the public.

The NCPIP provides detailed continuity guidance to both Federal and non-Federal entities. This Plan recognizes the importance of partnerships and interrelationships and

specifically notes that "a cooperative effort among the legislative, executive, and judicial branches of the Federal Government is essential to preserving the powers granted to the people of the United States by the Constitution." Further, the NCPIP recognizes that "…State, local, territorial, and tribal governments support the ability of the Federal Government to perform NEFs, continue Enduring Constitutional Government, and ensure that essential services are provided to the Nation's citizens. A comprehensive and integrated continuity capability will enhance the credibility of our national security posture and enable a more rapid and effective response to, and recovery from, a national emergency." Additionally, the NCPIP indicates that the responsibility of preparing for and responding to emergencies is "…shared by the Federal Government, State, local, territorial, and tribal governments and the private sector. All have important and interdependent roles in preparing for, responding to, and recovering from natural or manmade incidents or disasters."

2-2. STATE, TERRITORIAL, TRIBAL, ESSENTIAL FUNCTIONS

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, and they accomplish these responsibilities through the collective efforts of the State, territorial, and tribal departments, agencies, and organizations performing their critical missions.

The overarching State, territorial, and tribal essential functions (STTEFs), developed in cooperation with the States, territories, and tribes, capture these broad responsibilities. The STTEFs represent the primary focus of the senior State, territorial, and tribal leadership and are accomplished through the cooperative efforts of State, territorial, and tribal organizations, in conjunction with local governments, the private sector, and the public. The specific MEFs of the various States, territories, and tribes and their departments, agencies, and organizations should be identified and described by those individual and collective organizations. This guidance document provides an approach to assist in that process. The STTEFs listed in Table 2-2 are based on, and correlate with, the NEFs listed in Table 2-1.

Table 2-2, State, Territorial, and Tribal Essential Functions

State, Territorial, Tribal Essential Functions (STTEFs)
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)
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)
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.
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.)
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)
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)
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)
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)

2-3. State, Territorial, Tribal, Mission Essential Functions

To ensure the successful accomplishment of the STTEFs, individual States, territories, and tribes should identify specific MEFs that must be performed during or resumed rapidly following a significant disruption to normal operations. The State, territorial, and tribal MEFs represent those functions that the States, territories and tribes identify as their mission priorities. The specific MEFs may vary between governing organizations, but they will reflect the functions that must be accomplished to assure the general health, safety, and welfare of the jurisdiction. Identifying State, territorial, and tribal government MEFs is a critical first step in the process to develop continuity programs, plans, and capabilities. The State, territorial, and tribal MEFs represent the limited set of specific missions that must be continued or resumed rapidly following a significant disruption to normal operations in order to provide for general health, safety, security, and well being of communities. Advance planning to continue these MEFs during a crisis is vital to ensuring emergency procedures are in place and effective. See Annex A—Mission Essential Function Identification Process.

2-4. 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. The process for identifying MEFs at every level of government generally is the same; however, additional criteria or requirements may be established or provided by higher government authority.

CHAPTER 3 – MISSION ESSENTIAL FUNCTIONS IDENTIFICATION AND ANALYSIS

3-1. PROCESS OVERVIEW

The identification of essential functions is the first element in ensuring a viable and effective continuity capability. In support of this goal it is important that (1) MEFs are accurately identified and prioritized; (2) a continuity-focused Business Process Analysis (BPA) is conducted to explore the processes required to perform each MEF; and (3) a Business Impact Analysis (BIA) is conducted to evaluate the effect threats and hazards may have on the ability to accomplish MEFs. Based on these analyses, risk mitigation strategies should be developed and implemented to help ensure successful MEF performance during a disruption. Consistent with good business practices and the Continuity Program Management Cycle, addressed in CGC 1, MEFs should periodically be re-validated and training and exercises conducted to evaluate the organization's ability to perform its MEFs during a disruption or crisis.

3-2. MISSION ESSENTIAL FUNCTIONS

Identification and prioritization of MEFs represent the basis for effective continuity planning. If an organization identifies too many functions as essential, including functions that could be deferred during an emergency, its resources may be challenged and the truly essential functions may not be accomplished. Alternatively, if an organization fails to identify a MEF during the planning process, it may not be adequately prepared to perform that function during a crisis, and its partners and constituents may suffer as a result.

The list of MEFs should include those organizational missions that must be performed continuously or resumed rapidly following a significant disruption to normal activities to ensure the general health, safety, and welfare of the people of the jurisdiction. Prioritizing the MEFs helps focus the organization to ensure that the highest priority missions receive the appropriate effort first, particularly during a crisis when emergency resources may be limited. See Annex A—Mission Essential Function Identification Process.

3-3. BUSINESS PROCESS ANALYSIS

A BPA looks at the process by which business functions are performed and, as part of continuity planning, provides a disciplined approach to identifying and documenting all of the supporting elements required to ensure successful performance of each MEF. A BPA captures and maps the functional processes, workflows, activities, personnel expertise, systems, resources, controls, data, and facilities inherent in the execution of a function or requirement. An effectively conducted BPA supports the development of a detailed procedure that outlines how the most important missions an organization performs are accomplished. See Annex B—Business Process Analysis Guidance.

3-4. BUSINESS IMPACT ANALYSIS

The BIA looks at how various threats or hazards can affect the accomplishment of essential functions and identifies those functions that may be most susceptible to failure. This involves:

- Determining what events could realistically challenge an organization's missions and then determining the likelihood of such an event occurring.
- Considering the impact on each MEF if the event occurs.
- Evaluating the overall implications of delaying MEF performance because of the threat or hazard.

See Annex C—Business Impact Analysis Guidance.

3-5. RISK MITIGATION

Once the impact of threats and hazards on MEF performance are identified and prioritized, organizations can evaluate risk mitigation strategies to address weaknesses or gaps in their ability to perform their MEFs following a disruption. Mitigation options may include additional redundancies, more training, enhanced exercises, facility modifications, etc.
See Annex D—Risk Mitigation.

ANNEX A – MISSION ESSENTIAL FUNCTION IDENTIFICATION PROCESS

A-1. INTRODUCTION

Mission Essential Functions (MEFs) are the limited set of an organization's functions that must be continued throughout or resumed rapidly, following a disruption of normal operations. Further, for government organizations, MEFs are those organizational missions required to be performed to provide vital services, exercise civil authority, maintain the safety and health of the public, and sustain the industrial and economic base, during a disruption.

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

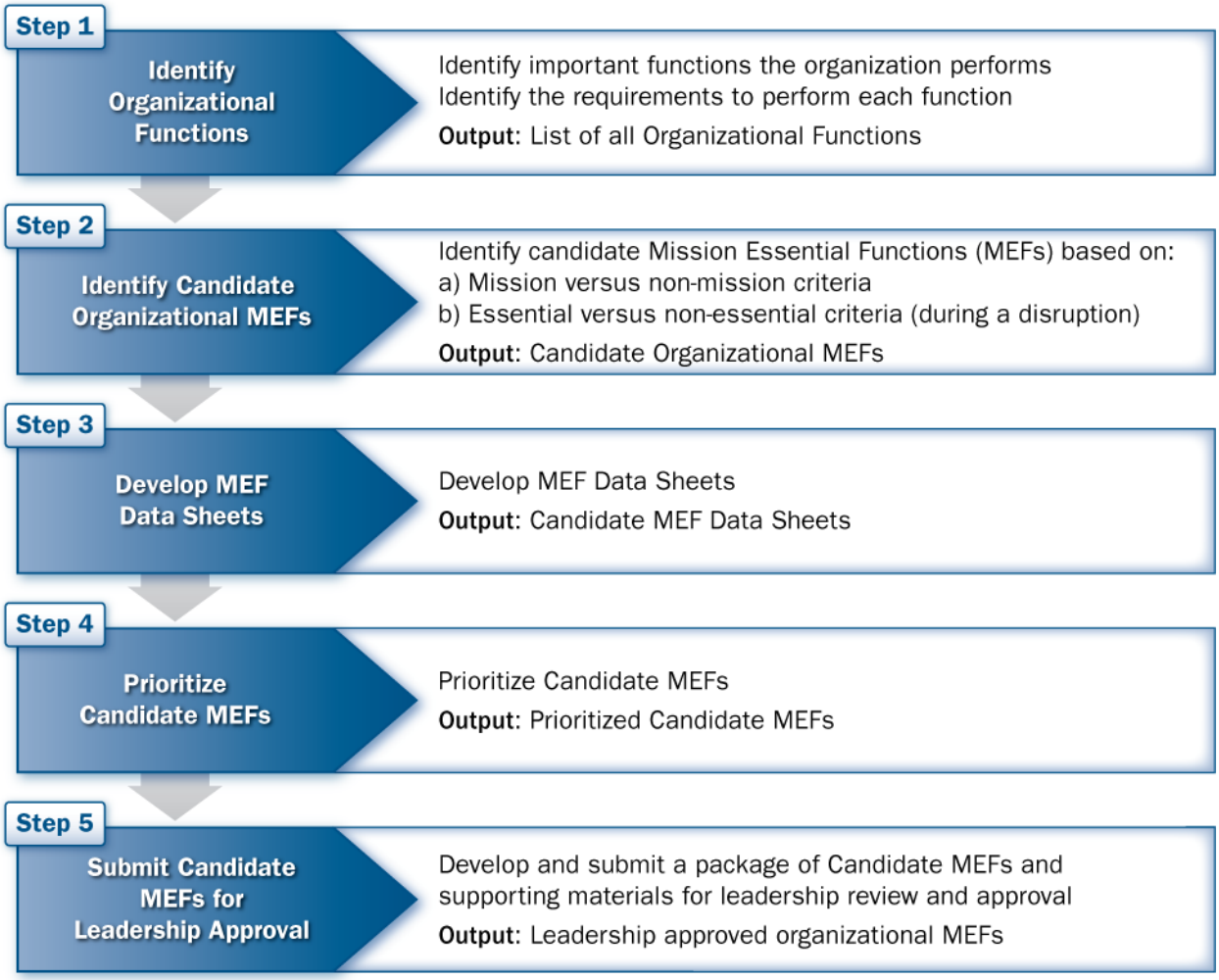
- If an organization identifies too many functions as essential, limited resources and/or staff availability during the emergency may not be sufficient to enable performance.
- If an organization fails to identify functions as essential and does not include them in emergency and continuity plans, these functions may not be performed during an emergency.

The key is to identify the highest priority functions and the associated resources and capabilities to ensure they can be performed.

A-2. IDENTIFYING MISSION ESSENTIAL FUNCTIONS

The process described in Figure A-1 focuses on five basic steps as a means of identifying, developing, and submitting an organization's MEFs for leadership or elected officials approval. The process outcome is a leadership-approved, prioritized collection of organizational MEFs, which should become the foundation for developing an effective continuity capability. The remainder of Annex A addresses the process and procedures associated with each of these basic steps.

Figure A-1, Mission Essential Function Identification Process



Step 1–Identify Organizational Functions. The first step is to identify and list all the important functions the organization performs. While many organizational functions are important, for continuity planning purposes, the focus should be on identifying those functions that support and accomplish the organization's missions. To clarify responsibilities and support further continuity planning activities, the requirement for performing each function should be identified. The requirement may be a law, executive order, court order, management priority, internal procedure, etc. To assist in accomplishing Step 1, useful resources may include the following:

- Statutes, laws, executive orders, or directives that charge the organization with responsibility to perform missions.
- Organizational mission statements that describe the overarching mission(s) or list the services provided by the organization.
- The organization's website or strategic plan.

- Published organizational literature.
- Interviews with organization leadership and external partners.

Consideration should be given to how broadly or narrowly organizational 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 the organization identifying too many functions to manage effectively. To simplify the process, organizations may choose not to include functions that clearly will not be considered as MEFs; examples of functions that potentially could be postponed (or deferred) in a crisis include the following:

- General training and exercises.
- Research and development.
- Long range planning.
- Travel to conferences.
- Audits and inspections.
- Non-essential hearings and proceedings.

Each function should be described in basic terms and should identify products or services delivered or actions the organization accomplishes. Flowery descriptive terms, such as world-class or state of the art, should be avoided. The product resulting from Step 1 will be a list of important organizational functions. Examples of organizational function descriptions are listed below.

- Provide essential paramedic services to the city/county.
- Maintain and ensure operational capability of city computer systems.
- Provide state wide adoption and child placement services.
- Develop the county budget for the next fiscal year.

The model worksheet shown in Figure A-2 may assist with documenting the information collected during Step 1.

Figure A-2, Organizational Functions Model Worksheet

Function Description	Requirement(s) to Perform the Function
1.	
2.	
3.	

Note: See Annex E–Form 1. Organizational Functions Worksheet

Step 2–Identify Candidate Organizational MEFs. The second step in the process focuses on reviewing each of the organizational functions identified in Step 1 to determine which are potential MEF candidates. This process focuses on (1) determining if a function is a mission versus a supporting activity and then (2) determining if the function is essential versus non-essential. The process for making these determinations is described below.

> ***TIP**
>
> A mission typically is something unique the organization does, for example, repairing roads is the responsibility of the Department of Transportation. On the other hand, a supporting activity is something most organizations do, such as providing IT support.

A. **Mission Versus Supporting Activity:** If the function results in the delivery of service to the public or another agency, it probably is a mission of the organization. If the function results in a service being delivered to another part of the organization, it likely is a supporting activity. Supporting activities are typically enablers that make it possible for the organization to perform its mission. At this point, the focus is to identify missions. Table A-1 lists examples to further clarify the distinction between missions and supporting activities.

Table A-1, Mission Versus Supporting Activities

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 perform its missions efficiently without these supporting activities. These activities are enablers and not the organization's primary mission. The supporting activities that are critical to essential mission performance will be accounted for as part of the Business Process Analysis (BPA) outlined in Annex B.

B. **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. If an organization deems 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.

Figure A-3 describes four notional fire department functions and Figure A-4 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 quadrants depicted in Figure A-4.

Figure A-3, 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.

Figure A-4, Functions Categorization Model Worksheet

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

Note: See Annex E–Form 2. Functions Categorization Worksheet

The model worksheet shown in Figure A-5 will assist with documenting the information collected during Step 2.

Figure A-5, Candidate Mission Essential Functions Model Worksheet

Function Description (from Step 1)	Mission/ Non-Mission	Essential Supporting Activity/Non-Essential Supporting Activity
1.		
2.		
3.		

Note: See Annex E–Form 3. Candidate Mission Essential Functions Worksheet

Step 3–Develop MEF Data Sheets. The third step in this process involves conducting a detailed review of each of the candidate MEFs to more fully describe each mission and then documenting the review results on the MEF Data Sheet (see Figure A-6). The Data Sheet documents the following MEF information. Note: The line numbers align with the line numbers on the MEF Data Sheet Model Template in Figure A-6.

See Annex E—Form 4a. Model Completed Mission Essential Function Data Sheet

- The name of organization responsible for performance of the MEF.
- The MEF Statement: ***(Figure A-6. Data Sheet Line 1)*** A short statement that briefly describes the action to be conducted (e.g., "provide ambulance services and on-scene emergency medical assistance" or "inspect bridges and tunnels to verify safety"). The MEF Statement generally will be only one sentence.
- The MEF Narrative: ***(Figure A-6. Data Sheet Line 2)*** A comprehensive discussion that provides details regarding what the MEF accomplishes. The MEF Narrative should include the legal or other requirements for performing the mission and the deliverables provided by this mission. It 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 mission so that non-experts can gain a reasonable understanding of what is and what is not included. This description may help justify why this mission 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.
- Implications If Not Conducted: ***(Figure A-6. Data Sheet Line 3)*** 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 mission is essential.
- Associated STTEF: ***(Figure A-6. Data Sheet Line 4)*** Identifies the STTEF (see Table 2-2) with which the MEF is primarily associated. While some MEFs could be associated with multiple STEFFs, it is important to select the one STTEF the MEF most directly supports.

- Recovery Time: ***(Figure A-6. Data Sheet Line 5)*** A brief statement regarding the expected or required recovery time if MEF performance is interrupted. This should describe how quickly this mission should be resumed if disrupted. If the mission requires continuous performance, this should be stated. If a four hour delay in service restoration is acceptable (e.g., repairing a traffic signal), then a statement explaining this should be included. Note that the recovery time requirement indicated may drive a number of emergency planning and budget considerations. This will also help prioritize MEFs in Step 4.
- Partners: ***(Figure A-6. Data Sheet Line 6)*** Identifies the partners and interdependencies necessary to ensure successful MEF performance. This should include a list of organizations (e.g., government, private sector, internal, external) that provide critical input, goods, services, or exchanges of data essential to MEF performance. For example, paramedics may require 9-1-1 dispatchers and radio communications with a local hospital to perform their mission. The interdependencies should be identified.

Step 4–Prioritize Candidate MEFs. The fourth step in the process is to prioritize the candidate 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 missions may require continuous performance (e.g., fire fighting and 9-1-1 services); resumption of other missions 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 missions (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 should be included in the MEF prioritization determination, including the following:

- Recovery Time: 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.
- Implications If Not Conducted: The implications of not conducting, or delaying the performance of, each MEF should be part of the prioritization determination. The more severe the implications if not performed the higher priority the MEF should be.
- Management Priority: Some missions will have a higher priority as a result of management preference and discretion.

Figure A-6, MEF Data Sheet Model Template

(Organization) MEF # Data Sheet Date
Department/Agency: *(Organization name)*
Line 1 **Organization Mission Essential Function (MEF) #1:** *(A brief statement, in one sentence, of the function or action to be performed.)*
Line 2 **Descriptive Narrative:** *(The descriptive narrative should include a detailed description of the mission, legal or other requirement(s) to perform the mission, and deliverables provided by performing the mission. This narrative should explain, for the non-expert [avoid technical jargon, if possible] what services or products are provided to a constituency, and who is the constituency. The focus should 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 **Implications If Not Conducted:** *(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 **Associated State, Territorial, Tribal Essential Function:** STTEF #X *(Identify the STTEF with which this MEF is most directly associated.)*
Line 5 **Recovery Time:** *(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 **Partners:** *(The names of internal and external organizations necessary to perform the mission.)*
Point of Contact: *(Who in the organization should be contacted for follow up information—name, e-mail address, and telephone number?)*

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

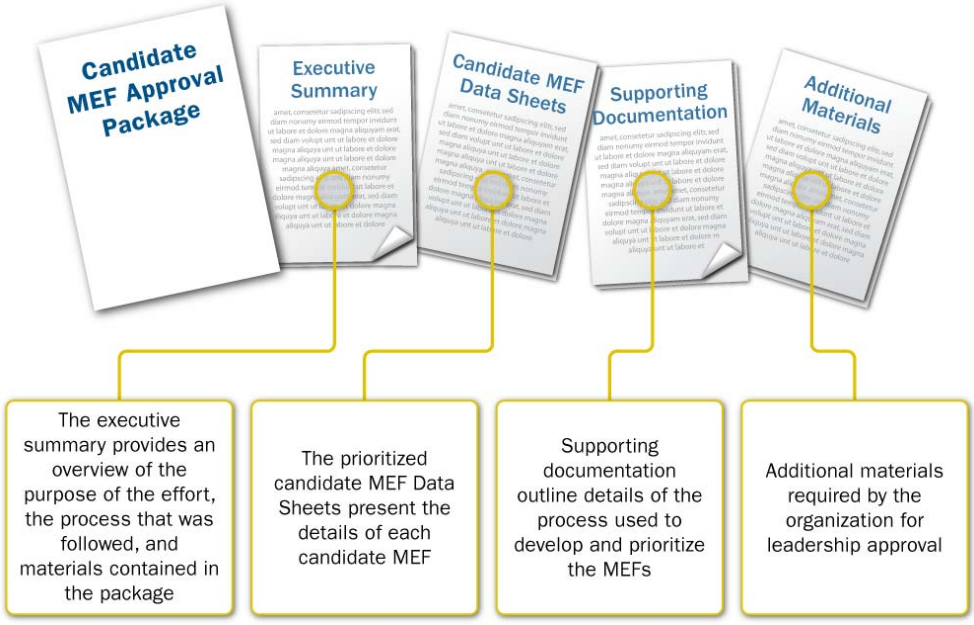
The prioritization process will likely involve a combination of both objective and subjective decisions. It may be most efficient to group the MEFs into priority categories rather than attempting to establish a comprehensive linear list. Prioritizing the MEFs in this fashion will help planners develop 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 tests, 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 should be prepared that includes the key elements shown in Figure A-7.

Figure A-7, 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 B can be initiated.

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ANNEX B – BUSINESS PROCESS ANAYSIS GUIDANCE

B-1. INTRODUCTION

The Business Process Analysis (BPA) is a systematic method of identifying and documenting all of the elements necessary to accomplish each organizational Mission Essential Function (MEF). The MEF identification process in Annex A identifies what needs to be accomplished; the BPA process identifies how it is accomplished. The 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 a 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 result of the BPA will represent guidelines for performing a MEF.

B-2. CONDUCTING THE BUSINESS PROCESS ANALYSIS

The nine step process for conducting a BPA, shown in Figure B-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 (see Figure B-2).

Figure B-1, Business Process Analysis Process

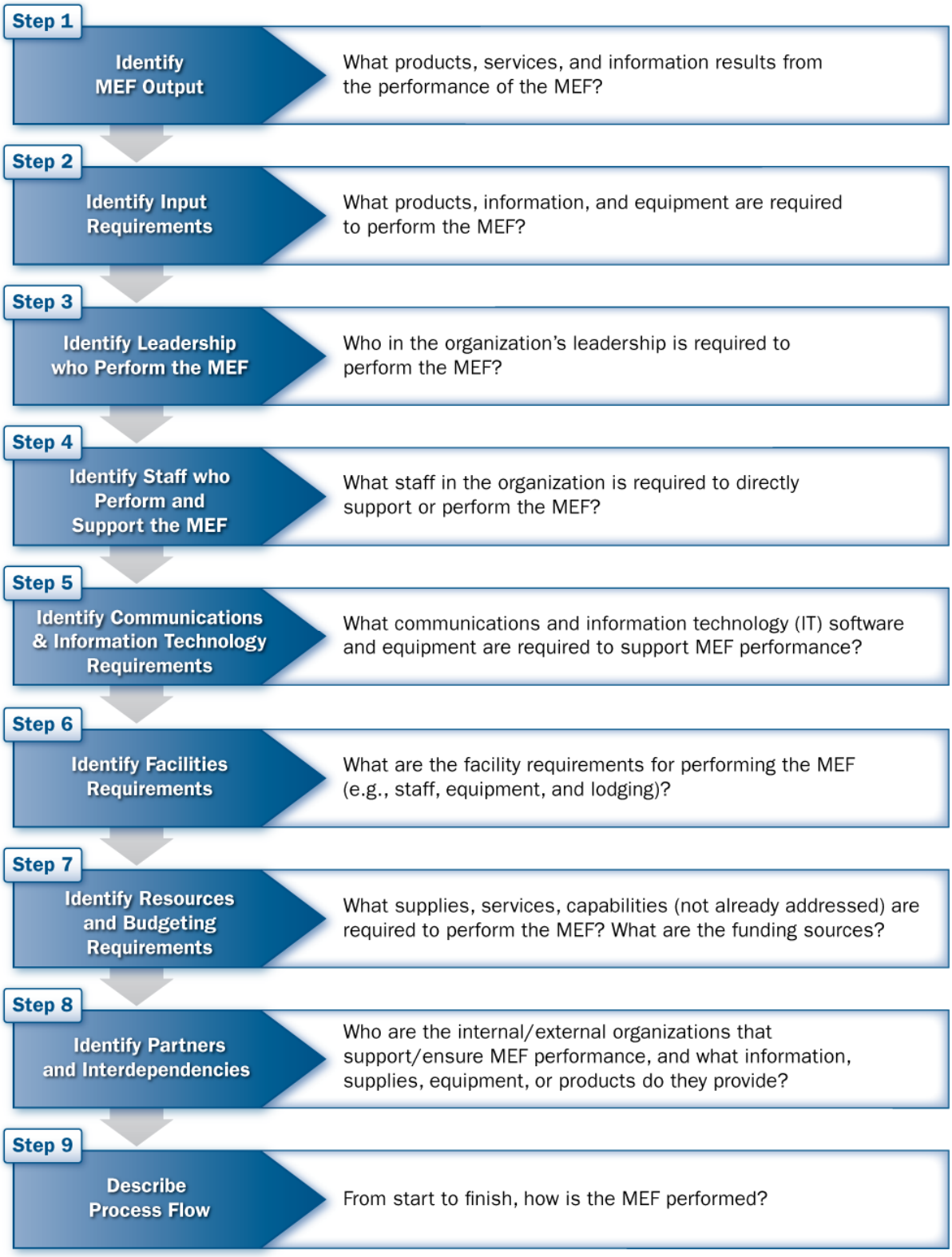

Figure B-2, BPA Data Sheet Template

(Organization) MEF # — BPA
MEF Title
Date

MEF Statement: (*Copy of MEF Statement)*

MEF Narrative: (*Copy of MEF Narrative)*

Line 1 **MEF Output:**
(A list describing the MEF output, i.e., 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 **MEF Input:**
(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 **Leadership:**
(A list identifying the key senior leaders [by position or title] who are required to participate directly in performance of the MEF.)

Line 4 **Staff:**
(A list of staff requirements to accomplish the MEF. This should include staff needed for essential supporting activities as well as MEF accomplishment. Requirements for multiple shifts and back up personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Staff requirements should be identified by position [e.g., Fire Chief] or capability [Emergency Medical Technician], rather than by name.)

Line 5 **Communications and IT:**
(A list identifying general and unique communications and IT requirements.)

Line 6 **Facilities:**
(A description of the facility requirements to accommodate mission performance, including office space, industrial capacity and equipment, and critical supporting infrastructure.)

Line 7 **Resources and Budgeting:**
(Supplies, services, capabilities, and other essential resources required to perform the mission and supporting activities not already accounted for in the BPA process.)

Line 8 **Partners and Independencies:**
(A list of partners and interdependent organizations that support and/or ensure performance of the mission. It should highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate accomplishing the MEF.)

Line 9 **Process Details:**
(A detailed narrative or diagram that ties together all of the elements involved in the process of performing the mission.)

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

Step 1–Identify MEF Output. ***(Figure B-2. Data Sheet Line 1)*** This first step identifies what the mission is intended to accomplish – what are the deliverables provided by the mission? 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 should include metrics that identify specific performance measures and standards. If the mission requires performance under specific conditions or within a specific time frame, that should be noted. The MEF outputs should 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 A. 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. ***(Figure B-2. Data Sheet Line 2)*** This step describes the input required to accomplish the MEF output, which includes input from both internal (within the organization) and external (outside of the organization) partners. External partners include other components and organizations, such as Federal agencies, 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 about input should include input supplier (organization, partner, etc.) and delivery time requirements. 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.

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

Step 3–Identify Leadership Who Perform the Mission. ***(Figure B-2. Data Sheet Line 3)*** This step identifies the senior organizational leadership required to perform the MEF. Leadership should include the most senior organizational 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 performing 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 mission performance, no leadership should be identified. Some missions require senior decision making, therefore, the specific involvement of leadership should be identified. If leadership involvement is required but can be performed remotely or from a telework location, or if leadership presence at a specific location is essential, this should be noted. Listed below are examples of leadership requirements.

- The presence of a quorum of the City Council Members is required for a City Council vote.
- A determination to close city offices requires action by the Mayor (or Deputy Mayor).
- The Governor must request a Presidential Disaster Declaration.
- The Director of Safety and Compliance must authorize entry of emergency workers into condemned buildings.
- The Police Commissioner must authorize the use of special security tactics during an emergency.

Step 4–Identify Staff Who Perform and Support the Mission. ***(Figure B-2. Data Sheet Line 4)*** This element captures which staff and how many staff members are 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 should be given to the following when identifying required staff:

- The specific skill sets, expertise, and authorities required to support and perform each function should be identified
  - Contracting and purchasing authorities.
  - Signature authorities for emergency declarations.
  - Licensed medical personnel.

- Engineering 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 (including to support shift rotations) should be identified.
- For functions that support deployed personnel (e.g., search and rescue teams) how many staff members and the specific capabilities required should be identified.
- For functions that require 24 hours per day/7 days per week operations, it is important to identify that shift work may be necessary and to account for staff needed to support all shifts.

Listed below are examples of typical staff requirements and how they could be described.

- Three IT staff to provide 24 hours per day/7 days a week network maintenance services.
- Two software specialists familiar with the organization's data bases.
- Fifteen drivers experienced in snow removal and road clearing operations.
- Two licensed civil engineers with experience in road and bridge safety and inspection requirements.
- Three budget analysts capable of accounting for and processing State emergency expenditures.

Note: For organizations with multiple MEFs, consideration should 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. ***(Figure B-2. Data Sheet Line 5)*** Communications includes IT systems (data management and processing), radio, video, satellite, telephones, handheld devices, pagers, emergency notification systems, facsimile machines, and secure equipment. Step 5 should indicate 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 identified. Where they would provide a better understanding of the requirement, data and information content requirements may be useful. If specific or unique software and applications are required to operate equipment, these should be identified.

Listed below are examples of communications requirements.

- 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.

- Communications equipment to support remote operations and anticipated telework capability.
- Complex printing or display equipment (for maps, damage assessments, or monitoring of multiple video inputs).
- Special or unique equipment (e.g., secure communications, conference bridges, radios, terminals to monitor financial markets or business applications) should be identified, including details regarding the equipment capabilities.
- Unique software applications necessary to access critical records and databases and process incoming data.

Step 6–Identify Facilities Requirements. ***(Figure B-2. Data Sheet Line 6)*** Facilities, including primary and alternate operating facilities, as well as any other facilities required by the organization to accommodate the performance of the MEF should be identified and explained. It may be possible to perform some functions from remote locations or facilities other than the traditional alternate operating 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 should 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 should be indicated. For example, some emergency response organizations may require an emergency or command center to coordinate response operations.

***TIP**

Facility requirements should be established to support only the performance of mission essential functions during a continuity event (disruption/emergency) and not to support all routine aspects of the organization's mission.

Step 7–Identify Resources and Budgeting Requirements. ***(Figure B-2. Data Sheet Line 7)*** This step includes identifying resources needed to perform the MEF, essential supporting activities, and capabilities not already accounted for in the BPA process. Essential resources include plans and procedures, vital records, databases, and other types of reference and resource materials critical to MEF performance. MEF performance will require supplies and materials that may have to be acquired as the emergency situation evolves. Therefore, the organization must have the capability to obtain, purchase, and relocate these resources. Requirements not identified elsewhere should be included in Step 7.

This step also should identify 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. ***(Figure B-2. Data Sheet Line 8)*** To support MEF performance, most organizations interact with, and are dependent on, other organizations or partners in a variety of ways. Step 8 focuses on identifying internal and external interdependencies with other organizations necessary to ensure the continued performance of the MEF. In some cases, supporting organizations may provide critical information, authorization, or direction to initiate action; in other instances, partners may provide a critical input or service during the process. For each interdependent relationship the following information should be included:

- Organization name.
- Types of material, information, or services provided.
- Coordination requirements.
- Timelines and due dates, as appropriate.

Note: An important element to consider in Step 8 is whether the partners understand that their input is necessary for another organization's essential function. Has that partner made plans to be able to provide that critical input during a disruption? Is a memorandum of agreement necessary and in place?

Step 9–Describe Process Details. ***(Figure B-2. Data Sheet Line 9)*** Once Steps 1–8 have been completed, a process details diagram or narrative description should be developed that ties together all elements necessary to ensure MEF performance. 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 should capture the specifics of how the MEF is accomplished by addressing the following questions:

- What initiates performance of the MEF?
- What inputs are required to perform the MEF?
- When are the inputs needed and where do they come from?
- What people, facilities, resources, partners, and communications are required to support and perform the MEF?
- What processes are employed to perform the MEF?
- What are the MEF outputs or desired outcomes?
- 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 back up emergency teams.

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 should be noted.

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ANNEX C – BUSINESS IMPACT ANALYSIS GUIDANCE

C-1. Introduction

The Business Impact Analysis (BIA) is a method of identifying and evaluating the effects various threats and hazards may have on the ability of an organization to perform its Mission Essential Functions (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. 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.

C-2. Conducting Business Impact Analysis

As depictured in Figure C-1, the BIA is conducted based on a six step process. Each step in the process has a resulting output, which should be documented in the BIA worksheet, as shown in Figure C-2. Noted in the step process description is a column number which aligns with where the data should 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 should be completed.

Figure C-1, Business Impact Analysis Implementation Process

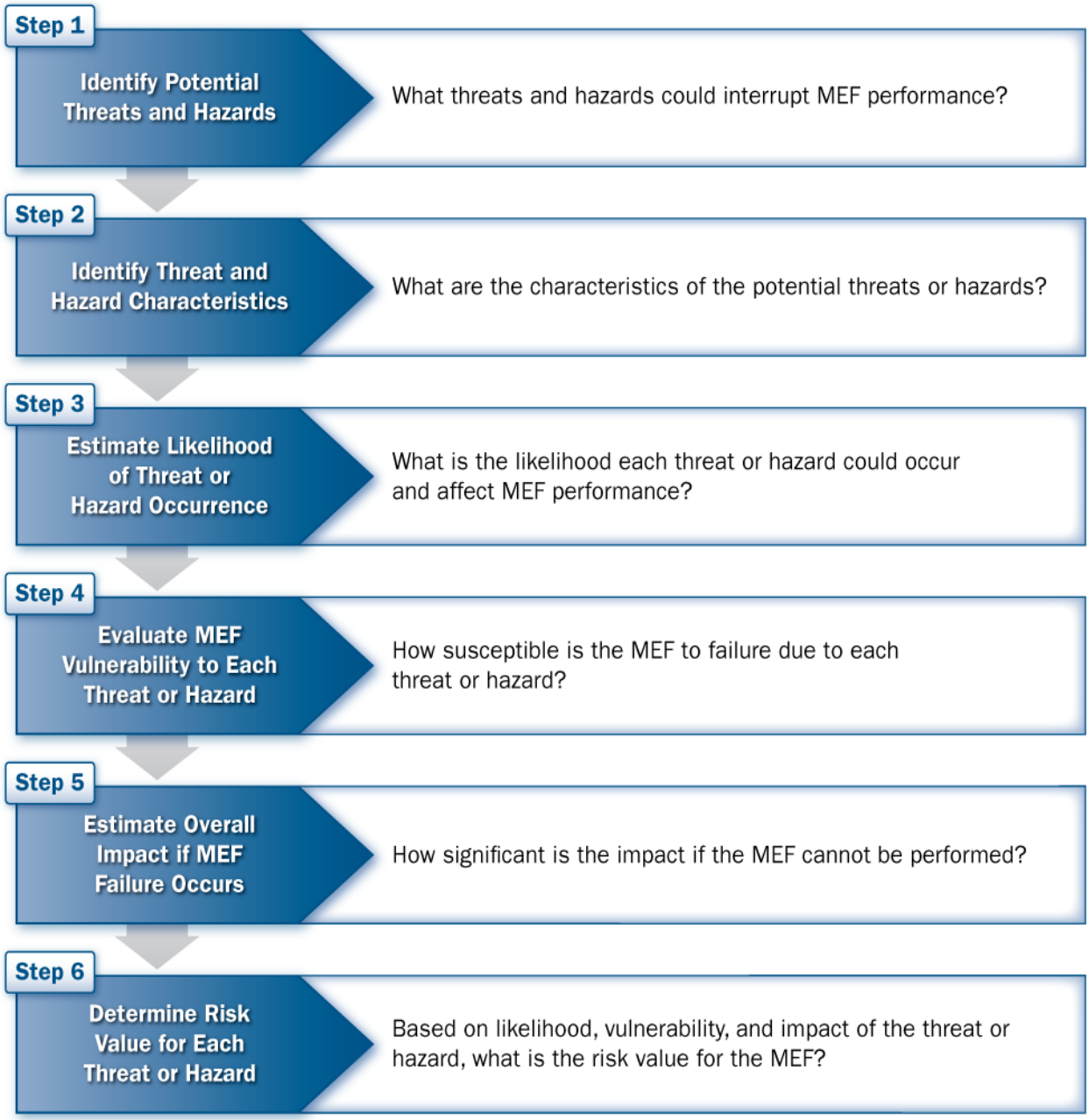

Figure C-2, Business Impact Analysis Worksheet Model Template

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 C-2. Worksheet Column 1)*** In Step 1, potential threats and hazards that could impact performance of each MEF must be identified. Threats and hazards may be natural (e.g., hurricane, earthquake, flood), manmade (e.g., terrorist attack, cyber attack, chemical spill), or process oriented (e.g., supply chain failure, production disruption). There are many common threats and hazards that should be considered, such as those listed in Table C-1; 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 should 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.

Table C-1, Potential Threats and Hazards List

Potential Threats and Hazards	
External Threats and Hazards	
▶ Explosions: – Nuclear Attack: Global War – Nuclear Detonation: 10-Kiloton Improvised Nuclear Device(s)	– Radiological Attack: Radiological Dispersal Device(s); Dirty Bomb – Explosives Attack: Improvised Explosive Device(s)
▶ Chemical/Biological: – Biological Attack/Outbreak – Aerosol Anthrax; Plague; Ricin – Food Contamination – Animal Disease (Foot and Mouth Disease) – Pandemic Influenza	– Chemical Attack (or accident) – Blister Agent – Nerve Agent – Toxic Industrial Chemicals – Chlorine Tank Explosion
▶ Infrastructure Damage: – Critical Infrastructure Attack/Failure – Power outage (Blackout) – Communications system failure or disruption – Water supply contamination/sewage system failures – Heating, ventilation, and air conditioning failures	– Major Fire(s)
▶ Cyber Attack: – Loss of data or network service	
▶ Economic/Labor/Insurrection: – Civil Unrest – Labor dispute – Mass transit strike	– Demonstrations/Riots – Economic Catastrophe (market crash; loss of confidence)
▶ Natural Disasters: – High Winds (hurricane; tornado) – Winter Storm – Major (severe) Earthquake	– Flood(s) – Tsunami – Volcano
Process Threats and Hazards	
▶ Inadequate critical supply ▶ Failure of a partner or supplier	▶ Poor process design ▶ Single points of failure
Internal Threats and Hazards	
▶ Sabotage ▶ Poor planning ▶ Computer system crash	▶ Failure to recognize requirements or obstacles ▶ Incompetence ▶ Disgruntled employee

Step 2–Identify Threat and Hazard Characteristics. ***(Figure C-2. Worksheet Column 2)*** In Step 2, associated characteristics, assumptions, and effects should be 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 should be 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 C-2. Worksheet Column 3)*** Based on an objective assessment, an approximate relative numeric value should be assigned to categorize the likelihood of each threat or hazard occurring and affecting MEF performance. 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 affect 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.

Step 4–Evaluate MEF Vulnerability to Each Threat or Hazard. ***(Figure C-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 C-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 C-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, that information should be documented to justify the assignment of a lower vulnerability value. Alternatively, if specific (unmitigated) vulnerabilities are identified during this evaluation, they should be noted for review later when risk mitigation options are being developed.

Step 5–Estimate Overall Impact If MEF Failure Occurs. ***(Figure C-2. Worksheet Column 5)*** In Step 5, the impact of MEF failure for each threat or hazard should be estimated. Based on MEF failure impact values in Table C-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 also should be given to whether other organizations may be able to perform the MEF if your organization cannot.

Table C-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 C-2. Worksheet Column 6)*** In Step 6, the risk value for each threat or hazard should be determined for each individual MEF. As shown in Figure C-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. The threats and hazards that produce the highest risk values should be reviewed to determine the appropriate mitigation strategy. See Annex D—Risk Mitigation.

Figure C-3, MEF Risk Value Calculation Formula

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ANNEX D – RISK MITIGATION EVALUATION

D-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 Mission Essential Functions (MEFs).

D-2. Assessing Risk Mitigation Strategies

Based on the Business Impact Analysis (BIA) results, an organization should evaluate 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 D-1 depicts the process for assessing and planning for MEF risk mitigation, and Figure D-2 provides a model template for developing a Risk Mitigation Plan.

Figure D-1, Risk Mitigation Assessment and Planning Process

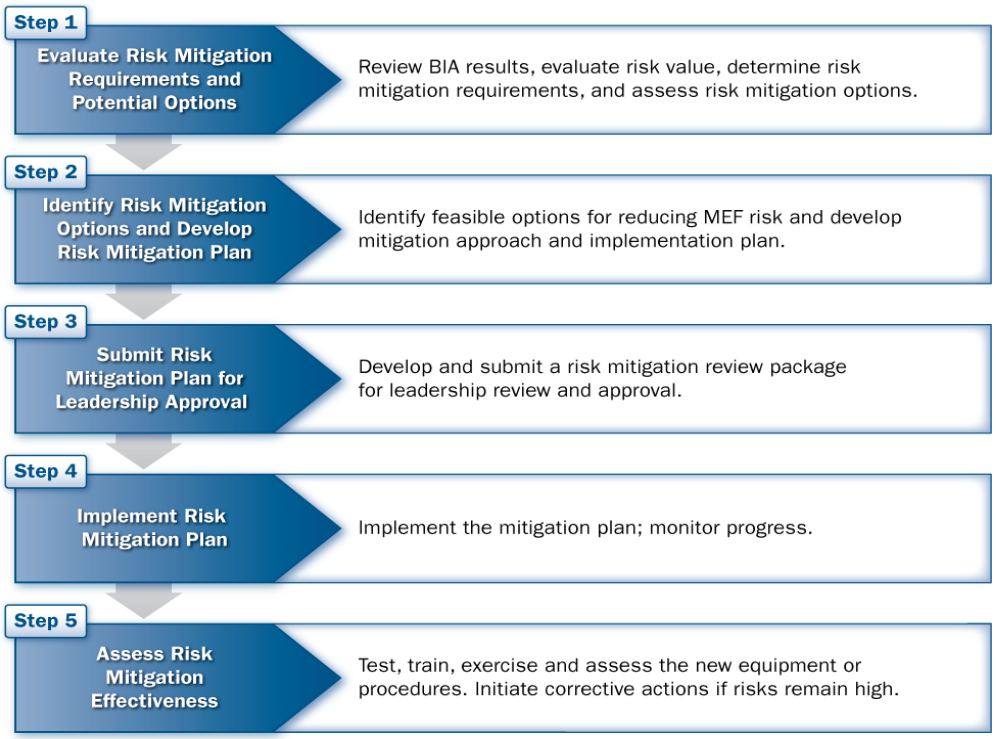


Figure D-2, Risk Mitigation Plan Model Template

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

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

Step 1–Evaluate Risk Mitigation Requirements and Potential Options. Each organization should 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, mitigating strategies should be evaluated. Such strategies might include the following:

***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.

- 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.

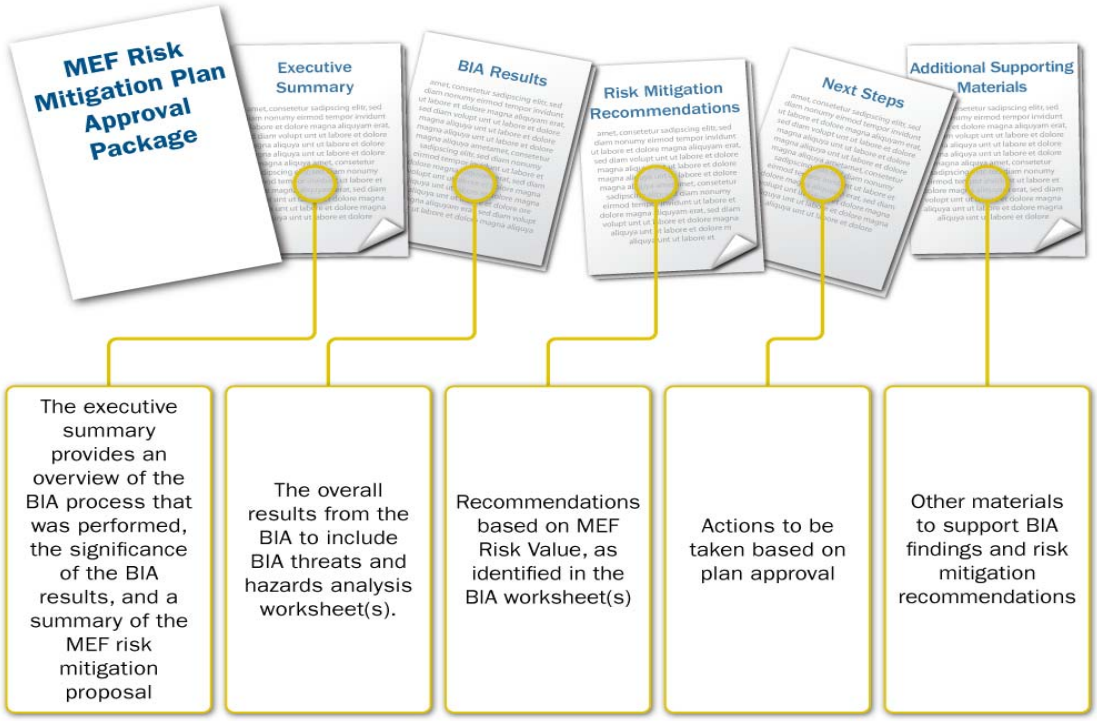
Step 2–Identify Risk Mitigation Options and Develop Risk Mitigation Plan. For each MEF vulnerability to be mitigated, risk mitigation options should be developed that will reduce the overall risk of failure (there may be more than one option developed to reduce a single vulnerability). In general, the risk mitigation plan should address the following key elements. Note: The line numbers align with the line numbers on the Risk Mitigation Plan Model Template shown in Figure D-2.

- Risk Problem. ***(Figure D-2. Risk Mitigation Plan Line 1)*** The problem associated with MEF performance as a result of a threat or hazard.
- Proposed Mitigation. ***(Figure D-2. Risk Mitigation Plan Line 2)*** The approach or approaches that will be taken to reduce risk to MEF performance and increase the likelihood of MEF success during a disruption.
- Anticipated Risk Reduction. ***(Figure D-2. Risk Mitigation Plan Line 3)*** 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.
- Proposed Project Office and Manager. ***(Figure D-2. Risk Mitigation Plan Line 4)*** 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.
- Estimated Budget Requirement. ***(Figure D-2. Risk Mitigation Plan Line 5)*** The estimated cost of the risk mitigation plan(s) and the source of financing to support completion of the work.
- Estimated Schedule. ***(Figure D-2. Risk Mitigation Plan Line 6)*** A project schedule, including milestones and a project completion date.
- Participating Partners. ***(Figure D-2. Risk Mitigation Plan Line 7)*** Organizations that will be involved with implementing the risk mitigation plan.

- Concurrences. ***(Figure D-2. Risk Mitigation Plan Line 8)*** Partners or coordinating authorities that must concur with the risk mitigation plan.

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

Figure D-3, Risk Mitigation Plan Elements



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

Step 4–Implement Risk Mitigation Plan. Once the Risk Mitigation Plan has been approved by leadership, implementation should be 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. As appropriate, training on new equipment and procedures should be conducted for emergency response personnel. Systems should be tested and procedures should be exercised to evaluate effectiveness and the emergency team's ability to function with the new equipment or procedures. If it is determined that the mitigation program did not accomplish the full desired improvement, a re-evaluation should be conducted and consideration should be given to developing further risk mitigation options.

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ANNEX E – FORMS

Form 1. Organizational Functions Worksheet

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.	
20.	

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Form 2. Functions Categorization Worksheet

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

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Form 3. Candidate Mission Essential Functions Worksheet

CANDIDATE MISSION ESSENTIAL FUNCTIONS WORKSHEET		
Function Description	**Mission/ Non-Mission**	**Supporting Activity/ Non-Supporting Activity**
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		
16.		
17.		
18.		
19.		
20.		

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Form 4. Mission Essential Function Data Sheet Template

Instructions for completing this data sheet are in Annex A.

MEF # Data Sheet *Date*
Department/Agency:
Organization Mission Essential Function (MEF) #:
Descriptive Narrative:
Implications If Not Conducted:
Associated State, Territorial, Tribal Essential Function: STTEF #
Recovery Time:
Partners:
Point of Contact:

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Form 4a. Model Completed Mission Essential Function Data Sheet

The information presented in this model data sheet is notional and provided only as a sample.

State of Columbia MEF #1 Data Sheet Date
Department/Agency: Columbia Department of Emergency Management
Columbia Department of Emergency Management Mission Essential Function (MEF) #1: Provide basic emergency services to protect people and property in the State of Columbia.
Descriptive Narrative: 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— • 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. • [*Continue list – include a brief discussion to clarify extent of services*].
Implications If Not Conducted: 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.
Associated STTEF: STTEF # 6.
Recovery Time: This MEF must continue to be performed with no or minimal interruption.
Partners: 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.
Point of Contact: Name, e-mail address, telephone number, etc.

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Form 5: Business Process Analysis Data Sheet Template

Instructions for completing this data sheet are in Annex B.

(Organization) **MEF # — BPA** *MEF Title* *Date*
MEF Statement:
MEF Narrative:
MEF Output:
MEF Input:
Leadership:
Staff:
Communications and IT:
Facilities:
Resources and Budgeting:
Partners and Interdependencies:
Process Details:

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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 FEMA MEF, but has been abbreviated for demonstration purposes.

Federal Emergency Management Agency MEF #2 — BPA
National Emergency Response
January 2010

FEMA MEF #2: National Emergency Response

MEF Statement: Lead National emergency response efforts during major disasters and emergencies.

MEF Narrative: 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 organizations, 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).

MEF Output:

- 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 organizations 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.

MEF Input:

- 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 D/A officials and ESF partners regarding recommendations and requirements for assistance, and capabilities and resources that can be provided by Federal departments and agencies, as well as certain private-sector and nongovernmental organizations.

MEF Input (Cont'd)

- Emergency supplies and equipment necessary to provide emergency services to the affected region and to support the affected and displaced population.
- Information acquired through intelligent 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.
- FEMA 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.

Partners and Interdependencies (Cont'd)

- 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 Organizations and Private Sector (Red Cross, Salvation Army, etc.).
- National Voluntary Organizations Active in Disaster (Feeding America, Lutheran Disaster Response, etc.).

Procedures and Business Process Flow:

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

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

- FEMA Operations Center.
- National and Regional Response Coordination Centers.
- National and field level response teams.

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

FEMA Directorates and Field Organizations 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 [MERS]) 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 organizations.

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 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.

Procedures and Business Process Flow (Cont'd)

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 (OCFO) reviews and analyzes the allocation and expenditure of all FEMA disaster appropriations as outlined in the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

- Telework Flexibilities: The nature of the coordination and management function necessary to respond to major disasters does not afford a lot of opportunity to use telework capabilities in the initial response period. However, some coordination and logistics functions can be performed from remote (telework) locations.
- Estimated Telework Capacity: 20%

Other Comments: None

Form 6. Business Impact Analysis Worksheet Template

Instructions for completing this worksheet are in Annex C.

BUSINESS IMPACT ANALYSIS WORKSHEET Threat and Hazard Analysis						
MEF Number and Statement:						
	1	**2**	**3**	**4**	**5**	**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)**

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Form 7. Risk Mitigation Plan Template

Instructions for completing this data sheet are in Annex D.

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

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ANNEX F—ACRONYMS

BIA	Business Impact Analysis
BPA	Business Process Analysis
CBRNE	Chemical, Biological, Radiological, Nuclear, and High-Yield Explosives
CGC	Continuity Guidance Circular
DHS	Department of Homeland Security
EAS	Emergency Alert System
EPA	Environmental Protection Agency
ESF	Emergency Support Function
FAR	Federal Acquisition Regulation
FEMA	Federal Emergency Management Agency
HAZMAT	Hazardous Materials
HSPD	Homeland Security Presidential Directive
IST	Incident Support Team
IT	Information Technology
JFO	Joint Field Office
MEF	Mission Essential Function
MERS	Mobile Emergency Response Support
NCPIP	National Continuity Policy Implementation Plan
NEF	National Essential Function
NIMS	National Incident Management System
NPS	National Planning Scenarios
NRCC	National Response Coordination Center
NRF	National Response Framework
NSPD	National Security Presidential Directive
OCFO	Office of the Chief Financial Officer
STTEF	State, Territorial, Tribal Essential Function
US&R	Urban Search and Rescue
USDA	United States Department of Agriculture

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