

Mission Essential Function (MEF) and Primary Mission Essential Function (PMEF) Workshop

Training for Continuity Managers



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Welcome

Name

Position

Office

Organization



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Introduction

Name

Position

Office

Organization



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Administrative Information

- Daily schedule
- Restroom locations
- Breaks and lunch
- Emergency exit routes
- Dining facilities
- Pagers/cell phones
- Telephone messages
- Course evaluation



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Participant Introductions

- Introduce yourself by providing:
 - Your name and departments or agencies
 - Your roles within the Department or Agency (D/A) Continuity Program



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Agenda

- Day 1:
 - Unit 1: Welcome and Introduction
 - Unit 2: MEF/PMEF Development Process
- Day 2:
 - Unit 3: Continuity Communications Architecture (CCA)
 - Unit 4: Readiness Reporting System (RRS)
 - Unit 5: Briefing for Department and Agency (D/A) Continuity Coordinators
 - Unit 6: Course Evaluation



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Course Materials

- The Student Manual is the participants' main reference for the course. It includes:
 - All course content
 - Activities and supporting materials
 - Job aids / references (CD)



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Workshop Purpose

- Establish a familiarization briefing on MEF and PMEF identification for D/A Continuity Managers
 - **MEF:** The limited set of D/A functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
 - **PMEF:** Those D/A MEFs which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency.
- Provide training on the formalized process for D/A submission of potential PMEFs that are consistent and supportive of the NEF:
 - Include a standardized checklist to allow D/As to assess their PMEFs through a risk management process
 - Include guidance on how the PMEFs link to/support NEFs



D/A Required Actions

- Within 90 days after Department of Homeland Security's (DHS) guidance, review and revise MEFs and identify and submit potential PMEFs to the Interagency Board (IAB)
- Within 30 days after validation of D/A PMEFs and annually thereafter, ensure key leaders and support staff are provided familiarization training of department or agency PMEFs and MEFs
- Within 180 days after validation of D/A PMEFs, ensure PMEF and MEF interdependencies are coordinated internally, at the interagency level, and with private sector partners



Key Considerations

- The continuous performance of essential functions must be guaranteed with the right people, the right resources, and the right planning. Continuity cannot be an afterthought for organizations as they strive to perform essential functions
- Executive D/As will incorporate the following key continuity concepts in developing specific operational procedures to ensure a robust continuity capability:
 - An understanding of essential functions
 - Consideration of risk management
 - Clear lines of authority
 - Necessary communications capability
 - Adequate facilities
 - Ample security
 - Thoughtful preparedness
 - Integration with incident management (as required)



Essential Functions and IAB Process

Chapter 2 of the Implementation Plan and Attachment C of the National Continuity Coordinator's memorandum dated September 27, 2007, describes in detail a new effort to identify D/A MEFs and PMEFS

- This process is a refinement of an effort begun in 2005 and will build upon it to produce a more refined and synchronized set of MEFs and PMEFS
- Many of the PMEFS identified by departments and agencies in 2005 may have been part of the larger set of MEFs
- The Implementation Plan requires a new process to identify D/A MEFs and PMEFS



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Workshop Pre-test

- Please complete the MEF/PMEF Workshop Pre-test



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Summary and Transition

- This unit:
 - Introductions
 - Course materials
 - Purpose
 - Goals
 - Workshop Pre-test
- Next Unit:
 - MEF/PMEF Process



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Summary and Transition

Questions?



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MEF/PMEF Process

Name

Position

Office

Organization



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National Continuity Policy

- **National Security and Homeland Security Presidential Directives**
 - National Security Presidential Directive – 51 (NSPD-51)
 - Homeland Security Presidential Directive– 20 (HSPD-20)
- **SUBJECT: National Continuity Policy**
- Released May 9, 2007
 - Presidential Decision Directive 67 (PDD 67) dated October 21, 1998, Enduring Constitutional Government and Continuity of Government Operations, including all Annexes thereto, is hereby revoked



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Key Continuity Documents

- National Continuity Policy (NSPD-51/HSPD-20) dated May 9, 2007
 - **Supersedes** PDD 67 dated October 21, 1998
- National Continuity Policy Implementation Plan dated September 27, 2007
- Federal Continuity Directive (FCD 1) dated November 2007
 - **Supersedes** FPC 65 dated June 15, 2004
- Federal Continuity Directive (FCD 2) dated November 2007
- National Continuity Coordinator Memo dated September 27, 2007



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NSPD-51/HSPD-20 Purpose

- This directive establishes a comprehensive national policy on the continuity of Federal Government structures and operations and a single National Continuity Coordinator responsible for coordinating the development and implementation of Federal continuity policies.



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NSPD-51/HSPD-20 Purpose (cont.)

- This policy establishes “National Essential Functions,” prescribes continuity requirements for all executive departments and agencies, and provides guidance for State, local, territorial, and tribal governments, and private sector organizations in order to ensure a comprehensive and integrated national continuity program that will enhance the credibility of our national security posture and enable a more rapid and effective response to and recovery from a national emergency.



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The Ultimate Goal of Continuity

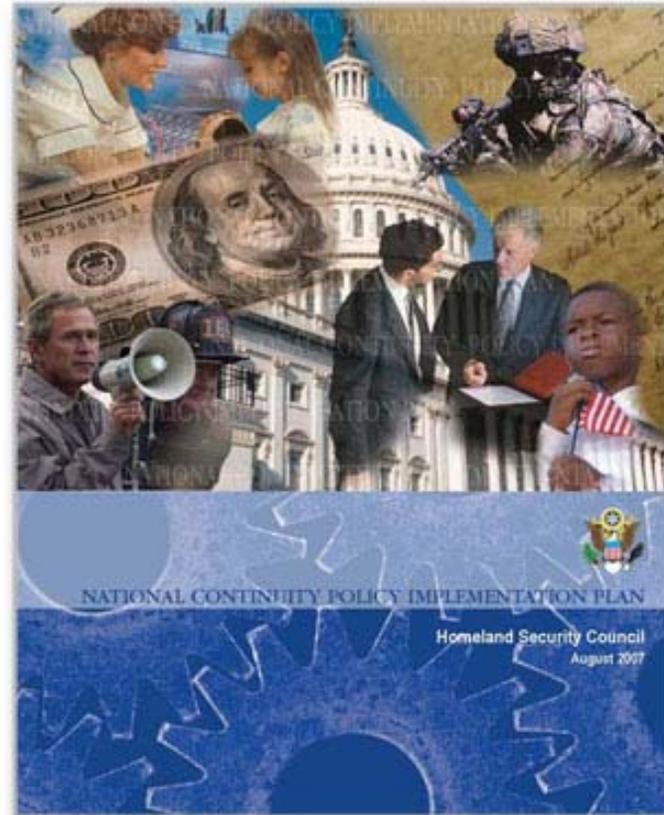
- The ultimate goal of continuity in the Executive Branch is the continuation of the eight NEFs which are the critical responsibilities of the Federal Government needed to lead and sustain the Nation
- The Federal Government's ability to successfully execute its NEFs at all times, and especially during a crisis, is not an independent capability. The Federal Government relies upon key partners at all levels of government and in the private sector



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Implementation Plan

- The NCPIP directs more than 75 critical actions, many of which have been initiated already, to ensure the effectiveness and survivability of our national continuity capability through any circumstance



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Goals and Objectives



- Goal #1 – To understand the transformation of continuity.
 - **Objective 1A** – To understand the history of continuity and the President's vision.
 - **Objective 1B** – To understand our Nation's continuity concept of operations and key considerations.
 - **Objective 1C** – To understand continuity roles and responsibilities.



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Goals and Objectives



- Goal #2 – To establish and ensure continuity of national priorities.
 - **Objective 2A** – To identify continuity partners and functions.
 - **Objective 2B** – To identify Mission Essential Functions.
 - **Objective 2C** – To identify Primary Mission Essential Functions.
 - **Objective 2D** – To establish roles, responsibilities, and actions for the Nation's senior continuity officials.



Goals and Objectives



- Goal #3 – To ensure continuity readiness procedures and metrics.
 - **Objective 3A** – To establish a Continuity Program Management Cycle.
 - **Objective 3B** – To establish continuity requirements and metrics.
 - **Objective 3C** – To establish roles, responsibilities, and actions for continuity officials.



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Goals and Objectives



- Goal #4 – To promote interoperability.
 - **Objective 4A** – To promote interoperability among the branches of the Federal Government.
 - **Objective 4B** – To promote interoperability among Federal, State, local, territorial, and tribal governments.
 - **Objective 4C** – To promote interoperability between the private sector critical infrastructure owners and operators and the government.



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National Continuity Policy

- Sets forth a new vision to ensure the continuity of our government
- Establishes:
 - A national policy on continuity of Federal Government structures and operations
 - A single National Continuity Coordinator
 - The National Essential Functions
- Provides guidance for State, local, territorial, and tribal governments and private sector organizations



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Transformation of Continuity

- The old organizational framework has changed
- Pursuant to NSPD-51/HSPD-20, and with this *National Continuity Policy Implementation Plan*, **the President directs the Executive Branch to reorient itself and to utilize an *integrated, overlapping national continuity concept* in order to ensure the preservation of our government and the continuing performance of essential functions**



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Fully Integrated Continuity Planning

- Continuity responsibility and planning is no longer a separate, compartmented function of an independent cell of a few planners in each government D/A



- This Implementation Plan directs that continuity planning occur simultaneously as functions are developed and executed



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Federal Continuity Directive 2 (FCD 2)

- FCD 2 provides D/As guidance on:
 - Identification of their MEFs and potential PMEFS
 - Assessment of their essential functions through a risk management process
 - A formalized process for submission of D/As' potential PMEFS that are supportive of the NEFs
 - Processes for conducting a BPA and BIA for each of the potential PMEFS



Federal Continuity Directive 2 (FCD 2)
Federal Executive Branch Mission Essential Function and
Primary Mission Essential Function Identification and
Submission Process

November 7, 2007



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MEF/PMEF Submission Requirements

- D/As will follow the process outlined in FCD 2 to identify their MEFs and potential PMEFS
- D/As will conduct a BPA for each of their MEFs to identify the inputs, outputs, resources, systems, facilities, expertise, authorities, and internal and external interdependencies
- Materials must be submitted to the DHS within 90 days of receiving DHS submission guidance:
 - Agency Memorandum
 - PMEF Narrative Sheets
 - MEF/PMEF Workbook consisting of Excel-format worksheets



MEF/PMEF Submission Process

- Unclassified MEFs and potential PMEFS should be submitted in both a paper and electronic copy on a compact disc (CD) to:
 - US Department of Homeland Security
 - Federal Emergency Management Agency (FEMA)
 - National Continuity Programs
 - ATTN: Federal Branch (James Opaczewski)
 - 500 C Street, SW, Room 515
 - Washington, DC 20472
- The Agency Memorandum should be submitted using a portable document format (pdf) file. The MEF/PMEF Workbook information will be submitted in the electronic spreadsheet format provided to facilitate the transfer of the information into the RRS.
- Classified MEFs and potential PMEFS should be submitted in classified paper and classified electronic copy on CD, and coordinated through FEMA Document Control at (202) 646-4629.
- There is the expectation that once the BIA is completed on PMEFS, the data would be classified. That level of classification should be determined by each department and agency submitting the information.
- EMAIL questions to: FEMA-pmefsubmissions@dhs.gov.



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National Essential Functions (NEF)

- The NEFs will be the primary focus of the President and the national leadership during and following an emergency
- These are categories of functions performed by one or more departments and agencies
- They are not new authorities, requirements or functions
(These were included in the Memorandum issued in 2005 from Frances Fragos Townsend, Assistant to the President for Homeland Security)



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National Essential Functions



1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
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;
4. Maintaining and fostering effective relationships with foreign nations;



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National Essential Functions



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;
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.



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PMEF Submission Package Workbook

- Organizational Information Worksheet
- MEF Identification Worksheet 1
- MEF Identification Worksheet 2
- MEF Business Process Analysis (BPA) Worksheet
- MEF Business Process Elements Worksheet
- Potential PMEF Screening Worksheet
- PMEF Candidate Worksheet
- PMEF Business Impact Analysis (BIA) Worksheet
- Supporting Remarks Worksheet

MISSION ESSENTIAL FUNCTIONS (MEF) AND PRIMARY MISSION ESSENTIAL FUNCTIONS (PMEF) IDENTIFICATION	
Department or Agency Name:	
D/A Continuity Coordinator:	
Phone Number:	
Email Address:	
D/A Continuity Manager:	
Phone Number:	
Email Address:	
	



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Workbook References & Definitions

- The last three tabs in the Excel Workbook provides information to assist in the preparation of the worksheets
- These tabs include the following:
 - NEF & ESF Reference List
 - Definitions
 - Impact values and Hazard List



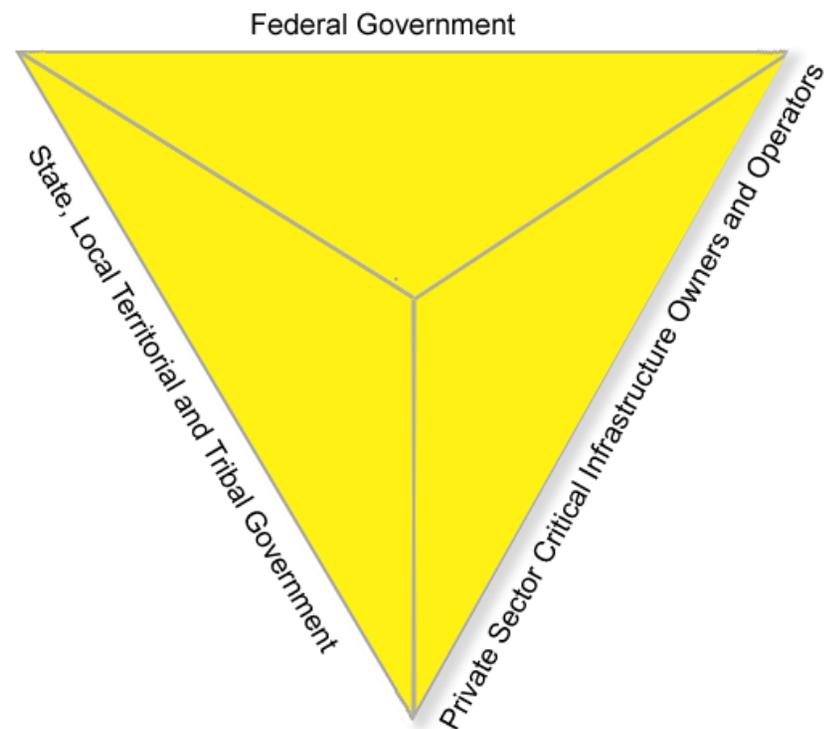
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Federal Government Partnerships

While this Implementation Plan is primarily directed at the Executive Branch of the Federal Government, continuity cannot occur without the commitment and dedication of many others who play integral roles in ensuring our homeland security.

Those partners include the following:

- Federal Government: Legislative Branch, Executive Branch (including all D/As), and Judicial Branch
- State, local, territorial and tribal governments
- Private Sector Critical Infrastructure Owners

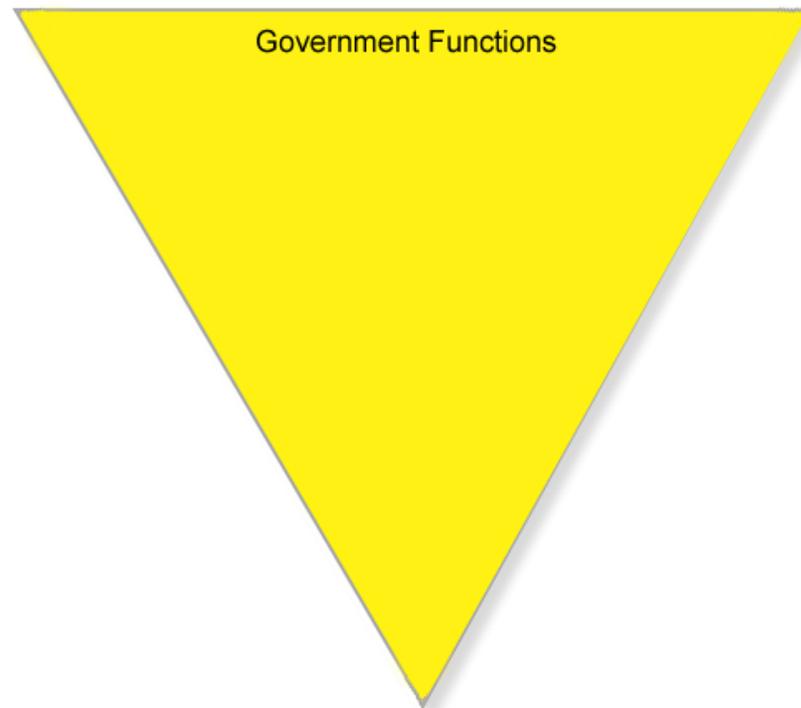


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Government Functions

Government Functions are the collective functions of executive departments and agencies as defined by the Constitution, statute, regulation, presidential direction or other legal authority and the functions of the legislative and judicial branches.

The activities of State, local, territorial, tribal governments, and private sector organizations often support Federal Government functions, particularly in the protection of critical infrastructure and key resources (CI/KR).



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Identify Government Functions

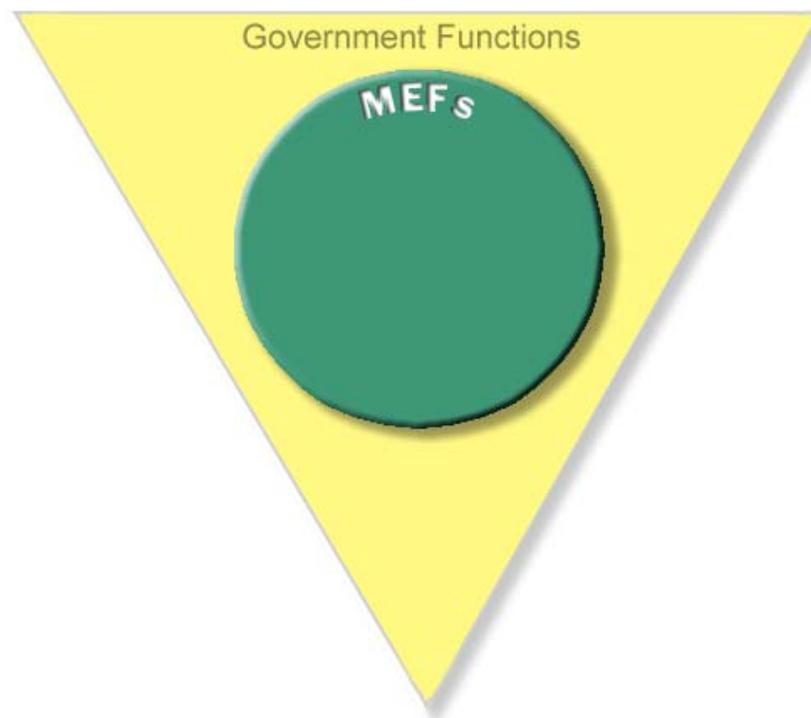
- Review documents such as statutes, regulations, presidential direction, other legal authorities, and mission statements
- Completion of this process results in the list of your Government Functions



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Mission Essential Functions

MEFs are described as the limited set of department- and agency-level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities.



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Mission Essential Functions

- MEFs are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during disruption of normal operations
- MEFs serve as key continuity planning factors for D/As to determine appropriate staffing, communications, information, facilities, training, and other requirements

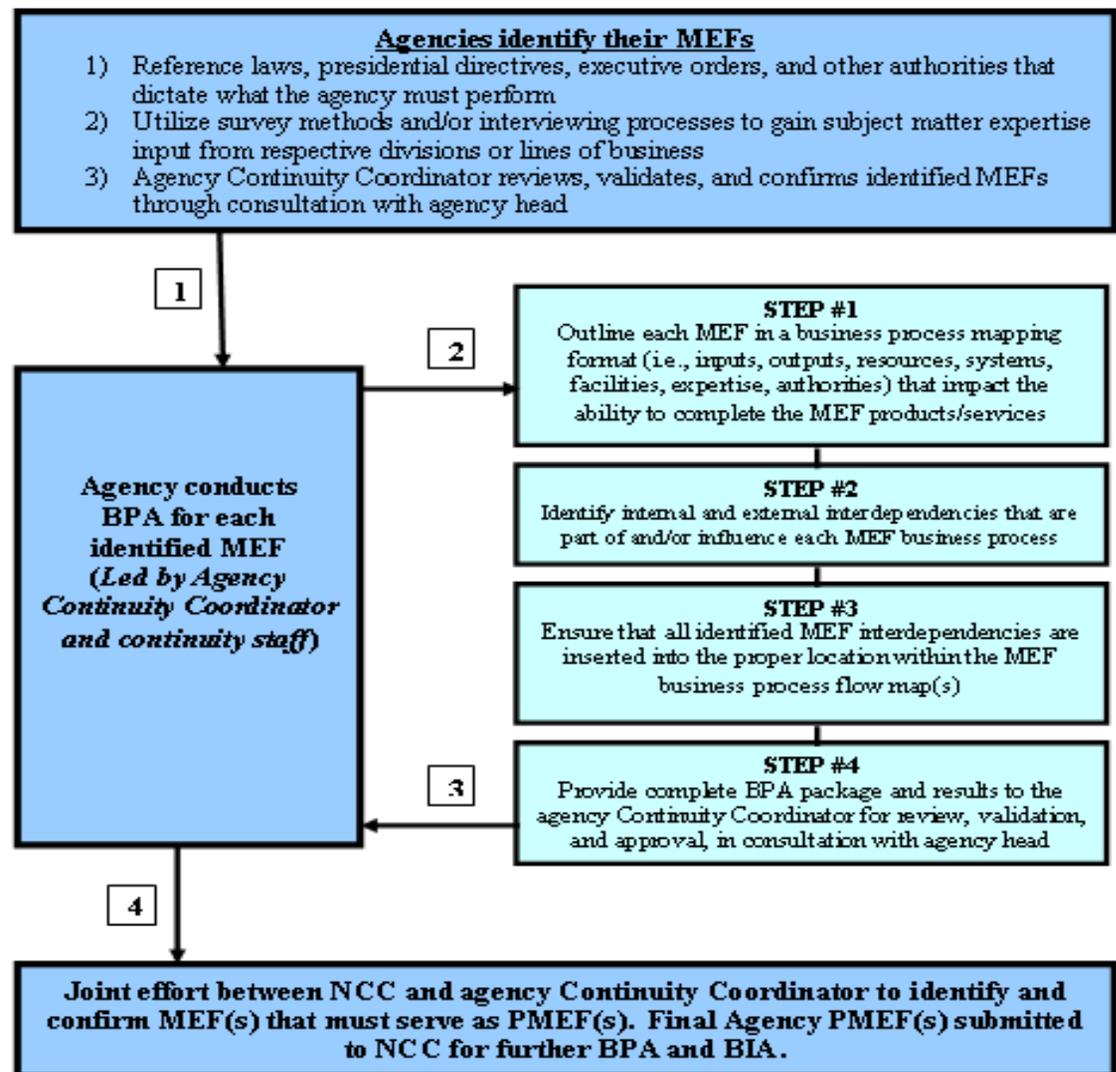


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Process for MEF Identification

Identification of MEFs requires an objective review of D/A functions that delineates those time-sensitive and/or critical activities that must be sustained in an emergency.

Much of the process described in the NCP IP will build upon the previous effort to produce a more refined and synchronized set of MEFs and PMEFs.



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MEF Initial Screening Aid

MEF Initial Screening Aid		
Is the function directed by law, presidential directive, or executive order? If yes, identify which:	YES	NO
Did a Business Process Analysis determine that the function must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?	YES	NO
<i>If the answer to one or both of these questions is "NO," the function is probably not a MEF.</i>		



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BPA for Essential Functions

- As required per the Implementation Plan:
 - Departments or agencies will conduct a Business Process Analysis (BPA)
 - A successful BPA will identify gaps within a department or agency and areas where more than one department or agency has responsibilities
 - Identifying gaps provides departments and agencies an opportunity to fill the gap and ensure successful execution of essential functions



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MEF Identification Worksheet 1

- Before a government function can be considered a MEF, it must meet the legal test as outlined in the National Continuity Policy Implementation Plan
- MEF Identification Worksheet 1
 - Screens each government function to confirm it is legally directed
 - Addresses interdependency requirements
 - Identifies partners required for each function by D/A name



MEF Identification Worksheet 1

MEF Identification Worksheet 1				Legal Test								Interdependency Test															
Entr #	Dept/ Agency	Sub- element or Department component	Government Functions	Constitution	Statute	Regulation	Presidential Directive	Executive Order	Court Ruling or Decision	Other Legal Authority	Meets Legal Test [Y/N]	Requires International	Requires Federal	Partner Support	Requires State	Partner Support	Requires Local	Partner Support	Requires Territorial	Partner Support	Requires Tribal	Partner Support	Requires Private	Supports Federal	Partner MEF/PMEF	Interdependency Identified [Y/N]	List internal and external partners required to perform function
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Determine the legal authorities that support the mission

Identify all interdependencies that are related to the Government Function

Test for legal authorities, identify interdependencies and begin BPA



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Worksheet 1 Activity

- Using your Organizational Survey sheets complete the worksheet



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MEF Identification Worksheet 2

- Analyzes whether the function must be performed under all circumstances either uninterrupted, with minimal interruption, or will require immediate execution in an emergency
- Addresses specific time sensitivity considerations
- Must be validated by the D/A Continuity Coordinator
- Upon completion of this worksheet:
 - D/As have identified the information required to establish their MEFs
 - May begin the BPA for each MEF to further assist in identifying potential PMEFS



MEF Identification Worksheet 2

MEF Identification Worksheet 2				Criticality Assessment							Time Sensitivity					
Entry #	Dept/ Agency	Sub-element or Department component	Government Functions	List products or operations impacted if function is not performed	Perform without interruption	Minimal interruption	Immediately execute in emergency	Support to another D/A MEF/PMEF	Supports ESF for NRF	Impact if not performed (10=Very High to 1=Low Load)	0 hrs	<12 hrs	<24 hrs	≤30 dys	Time Sensitive (Y/N)	D/A CC Validated
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Determine criticality of Government Functions

Determine the time sensitivity for the mission to be completed

D/A Continuity Coordinator Review Point

Test for mission criticality and time sensitivity



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Worksheet 2 Activity

- Using your Organizational Survey sheets complete the worksheet



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MEF Identification and Analysis

- Conduct a MEF Business Process Analysis (BPA) to identify and map functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of each identified MEF (i.e., define how each MEF is performed and executed with a business process flow map), which must be performed under all circumstances
- Identify those MEFs that provide vital interdependent support to a MEF performed by another Federal executive department or agency or an Emergency Support Function (ESF) under the National Response Framework (NRF)



MEF BPA Worksheet

- Lists inputs required to perform the function and function outputs
- Identify key elements in the business process flow
- Analyze interagency MEF/PMEF support
- Identify internal and external interdependent partnerships
- Is reviewed by the D/A Continuity Coordinator for approval and validation



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MEF BPA Worksheet

MEF Business Process Analysis (BPA) Worksheet				MEF Business Process Analysis										Consider MEF Interdependencies			
Entry #	Dept/ Agency	Sub-element or Department component	Mission Essential Function	List Function Inputs	Leadership	Staff	Facilities	Communications	Resources and Budgeting	Procedures	List Function Outputs	Support to another D/A MEF/PMEF	Requires support from MEF/PMEF	Identify Internal Interdependencies	Identify External Interdependencies	Process Flow Mapped for BPA & Interdependencies	D/A CC Validated
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Analyze the Business Process Flow for the MEF and the linkage for identified interdependencies

After Business Process Analysis and Interdependencies have been considered, map process flows

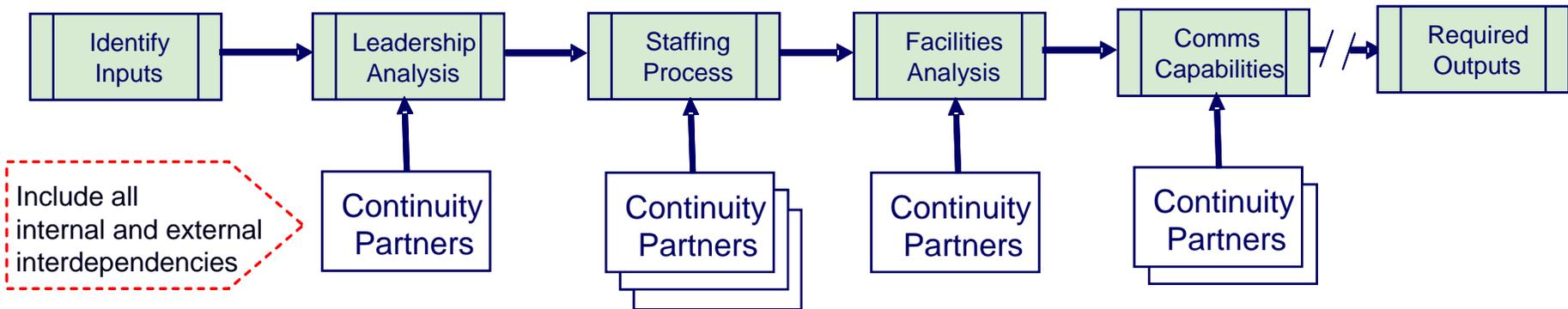
D/A Continuity Coordinator Review Point

Analyze BPA to include four pillars and interdependencies



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Key Elements for Components of the BPA



- After conducting the MEF BPA each MEF will require further analysis to identify key supporting elements
- MEF Business Process Flow:
 - Should be inserted and mapped into the proper location within the MEF business process flow
 - Should include all elements that will ensure execution of their associated MEF



MEF Business Process Elements

MEF Business Process Elements Worksheet			Identify Key Elements (Internal and External) of Each Business Process Component								
Dept / Agency	Sub-element or Department component	Mission Essential Function	Internal or External Relationship	Inputs	Leadership	Staff	Facilities	Communications	Resources and Budget	Procedures	Outputs
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Worksheet 3 and 4 Activity

- Using your Organizational Survey sheets complete the worksheets



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MEF Support to NEFs

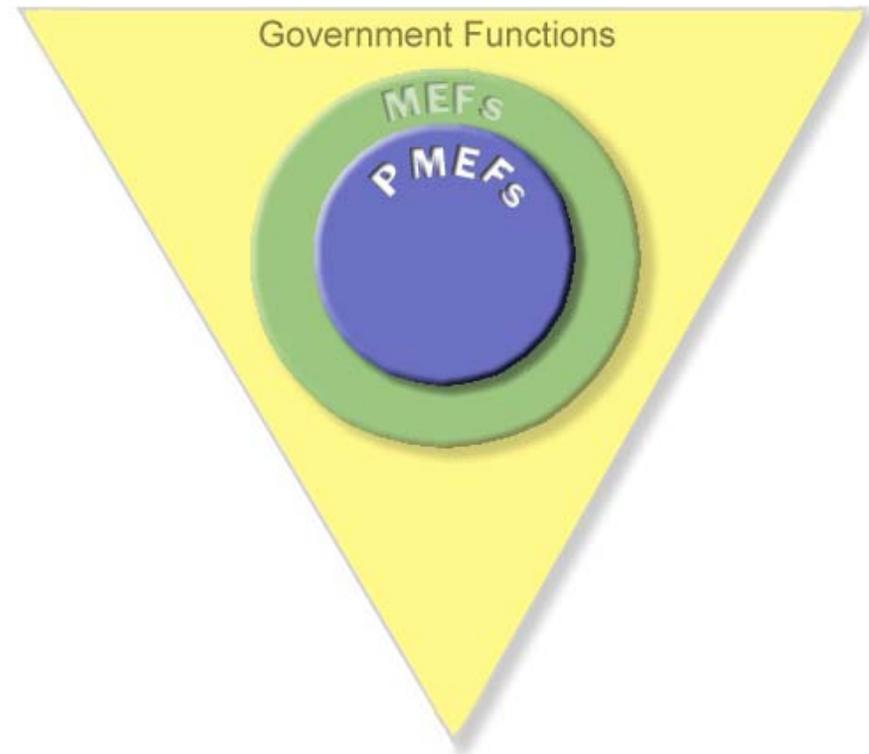
- Once the MEFs have been identified with the key elements mapped, the process for selecting PMEFs can begin
- Linking PMEFs to a NEF requires D/As to identify the most critical functions that must continue during an emergency
 - PMEFs are identified by D/A MEFs which must be performed in order to support the performance of the NEFs before, during, and in the aftermath of an emergency
 - PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed



Primary Mission Essential Functions

PMEFs are those D/A MEFs, validated by the National Continuity Coordinator, which must be performed in order to support the performance of the NEFs before, during, and in the aftermath of an emergency.

PMEFs are those functions that **need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.**



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PMEF Initial Screening Aid

PMEF Initial Screening Aid		
Does the function directly support a NEF? If yes, identify which: 1 2 3 4 5 6 7 8	YES	NO
Does the function need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	YES	NO
<i>The answers to both of these must be "YES" for the function to be considered a PMEF.</i>		



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Potential PMEF Screening Worksheet

- Provides a screening test to identify whether a MEF is a candidate for PMEF consideration
- Analyzes which NEFs are supported by each potential PMEF and if the function must be continued within 12 hours of an interruption
- Upon completion of the worksheet, D/A's will have identified the required information to establish PMEFs



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Potential PME/EF Screening Worksheet

Potential PME/EF Screening Worksheet				Associated National Essential Functions								Time to Accomplish							
Entry #	Dept/ Agency	Sub-element or Department component	Mission Essential Function	1	2	3	4	5	6	7	8	Provides NEF Support (Y/N)	0 hrs	<4 hrs	≤12 hrs	Accomplish ≤ 12 hrs (Y/N)	List internal and external partners required to perform function	D/A CC	Validated
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Mark appropriate block(s) (MEFs and PME/EFs can support multiple NEFs)

Determine the time period for which it must be performed

Can be Federal or non-Federal entities, and identify all interdependencies

D/A Continuity Coordinator Review Point

Determine NEF linkage and validate time required to accomplish MEF.



FEMA

Worksheet 5 Activity

- Using your Organizational Survey sheets complete the worksheet



FEMA

Identify PMEUF Candidates

- Upon MEF approval by each D/A head, potential PMEUFs must be developed
- Each Continuity Coordinator will prepare a preliminary identification of potential PMEUFs that support NEFs
- To achieve this result, the D/A clearly and succinctly articulates a PMEUF statement that embodies the specificity of the organizational mission and consists of one or more MEFs that are linked to NEF execution



FEMA

Identify Candidate PMEF Statements

- The PMEF statement should identify the following:
 - The organizational action or role required
 - The conditions under which the function would be performed
 - The scope of operations
 - The standard of performance
- With the statement identify those MEFs that are linked to the NEFs and support the candidate PMEF statement
- This is the worksheet that clearly identifies the specific Maximum Tolerable Downtime (MTD) for each PMEF



PMEF Candidate Worksheet

PMEF Candidate Worksheet				Linked NEFs from MEF Analysis								PMEF Statement Checklist							
Entry #	Dept/ Agency	Sub-element or Department component	Primary Mission Essential Function Statement (Candidate statement based on organizational mission and relates to identified MEFs linked to the NEFs from preceding worksheet)	1	2	3	4	5	6	7	8	Associated MEF Entry Numbers:	ID D/A action or role	ID conditions for PME	ID scope of operations	PMEF standard of performance	Maximum Tolerable Downtime (MTD):	List internal and external partners required to perform function	D/A CC Validated
42																			
43																			
44																			
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Prepare your PMEF Statement based on D/A organizational mission and relating to the MEFs linked to NEFs from the previous worksheet

Determine the Maximum Tolerable Downtime

Can be Federal or non-Federal entities, and Identify all interdependencies

D/A Continuity Coordinator Review Point

Determine NEF linkage and identify PMEF candidates.



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Worksheet 6 Activity

- Using your Organizational Survey sheets complete the worksheet



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Candidate PMEF Narrative Sheet

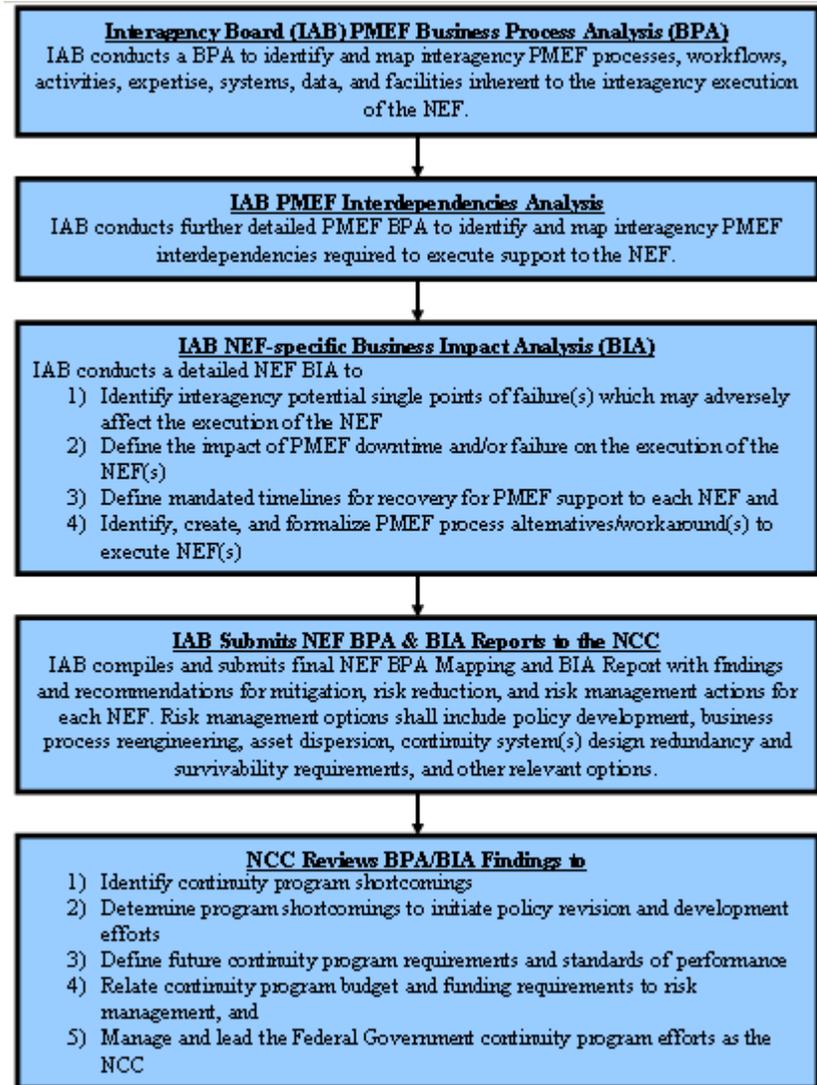
- Supporting your Excel workbook with your PMEF candidates, each D/A will prepare a Candidate PMEF Narrative Sheet which will include the following:
 - Organization and Point of Contact
 - PMEF Statement
 - PMEF Description
 - Implications if not performed
 - Supporting MEF(s) linked to this PMEF and the NEFs
 - Identify supported NEFs
 - Identify Maximum Tolerable Downtime (MTD)
 - Identify interdependent partnerships



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IAB Process for BPA and BIA

- IAB conducts a BPA for interagency PMEF processes
- IAB maps and analyzes interagency interdependencies
- IAB conducts NEF-specific BIA to include identifying alternatives and work-arounds
- IAB submits NEF BPA and BIA to NCC
- NCC uses findings to manage and lead continuity program



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The IAB conducts BPA and BIA

- The IAB will conduct a BPA to identify and map interagency PMEF processes, workflows, activities, expertise, systems, data, and facilities inherent to the interagency execution of each NEF
 - The IAB will conduct NEF-specific BIAs to:
 - identify single points of failure(s)
 - define the impact of downtime
 - define potential work-around(s)



PMEF Identification and BIA

- An interagency board (IAB), established by the NCC, conducts a review of submitted potential PMEFS and validates their relationship to the NEFs. A risk management methodology (i.e., BIA or BPA) will be used to ensure that the PMEFS are appropriate and relevant
- The immediacy of maintaining or recovering essential functions capability is driven by the results of the MEF and NEF BPA and the NEF BIA
- Subsequently, the described risk management approach requires an emphasis on the geographic dispersion, redundancies, and survivability of leadership, staff, and infrastructure



PMEF Business Impact Analysis (BIA)

- Once the IAB and the D/A has completed a joint review of the potential PMEFs and the NCC has approved the PMEFs, a BIA will be conducted by the D/A to support the IAB process
- D/As consider the following during the BIA:
 - Potential threats and hazards
 - Consider vulnerabilities and identify potential points of failure
 - Assess the likelihood of the hazard or threat occurring
 - Consider the impact, potential downtime, and mandated recovery times
 - Provide a stoplight analysis (red, yellow, green)
 - Develop a mitigation strategy to minimize risk to the NEF
 - Continuity Coordinator reviews and validates the BIA



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PMEF Impact Analysis Worksheet

PMEF Business Impact Analysis (BIA) Worksheet				Business Impact Analysis										Risk Mitigation			
Entry #	Dept/ Agency	Sub-element or Department at component	Primary Mission Essential Function	Identify Threat or Hazard	Vulnerability - Identify potential point of failure	Vulnerability Value	Assess Event Likelihood	Likelihood Value	Impact of PMEF failure or downtime on supported NEF(s)	Impact Value	Potential Downtime	Monitored Recovery Time	Risk Assessment Value	Impact Analysis: Red-High, Yellow-Med, Green-Low	Mitigation Strategy (include policy, geographical dispersion, redundant capabilities, etc)	D/A CC Validated	IAB Validated
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Consider potential threats and hazards

Assess vulnerability and determine potential points of failure

Consider likelihood of occurrence

Analyze the impact of the PMEF failure on the supported NEF

Provide a 'stoplight assessment' (Red, Yellow, Green) of the impact analysis

Prepare a mitigation strategy for identified risks to supported NEFs

D/A Continuity Coordinator Review Point

Perform impact analysis and develop risk mitigation strategies.



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Worksheet 7 Activity

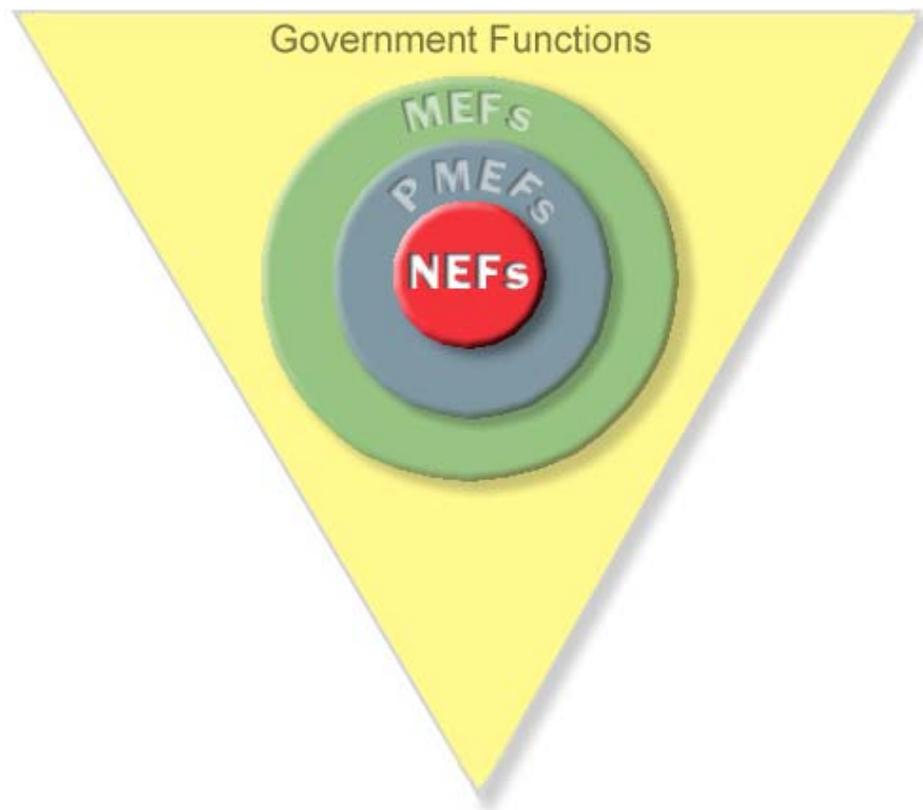
- Using your Organizational Survey sheets complete the worksheet



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National Essential Functions

In accordance with NSPD-51 / HSPD-20, the eight NEFs represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency.

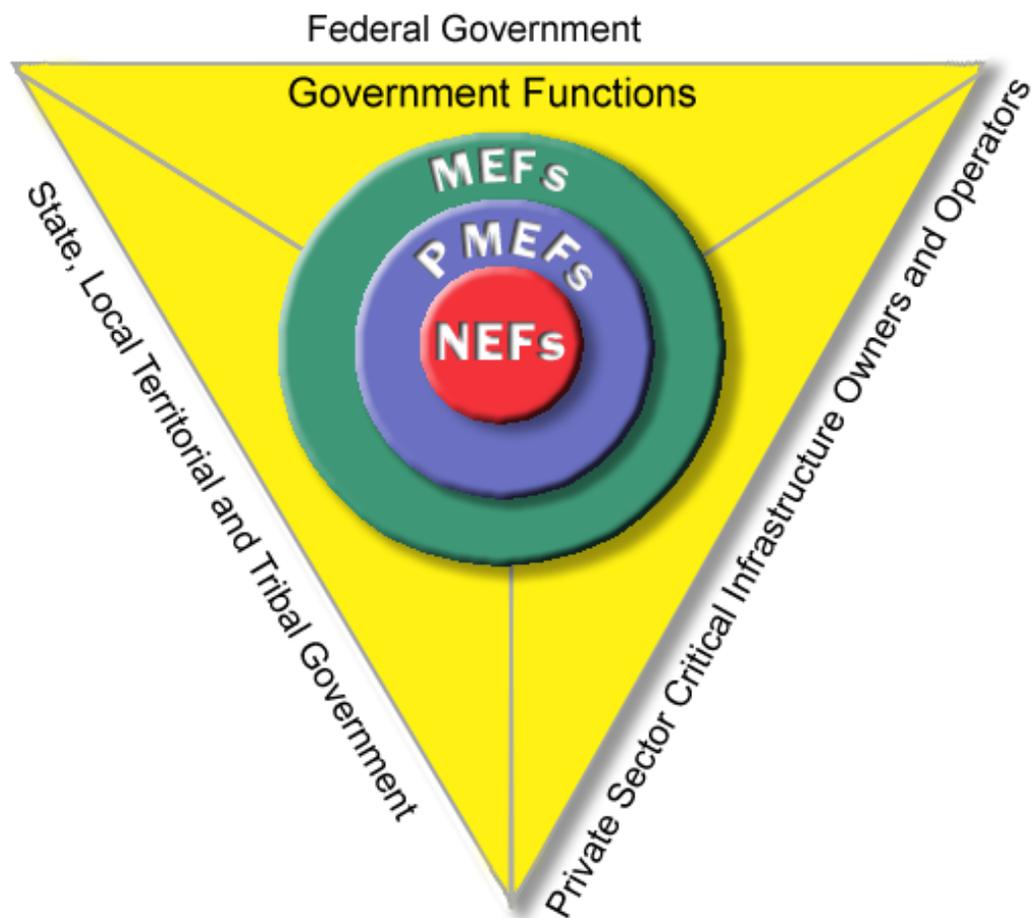


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Ensuring Continuation of EFs

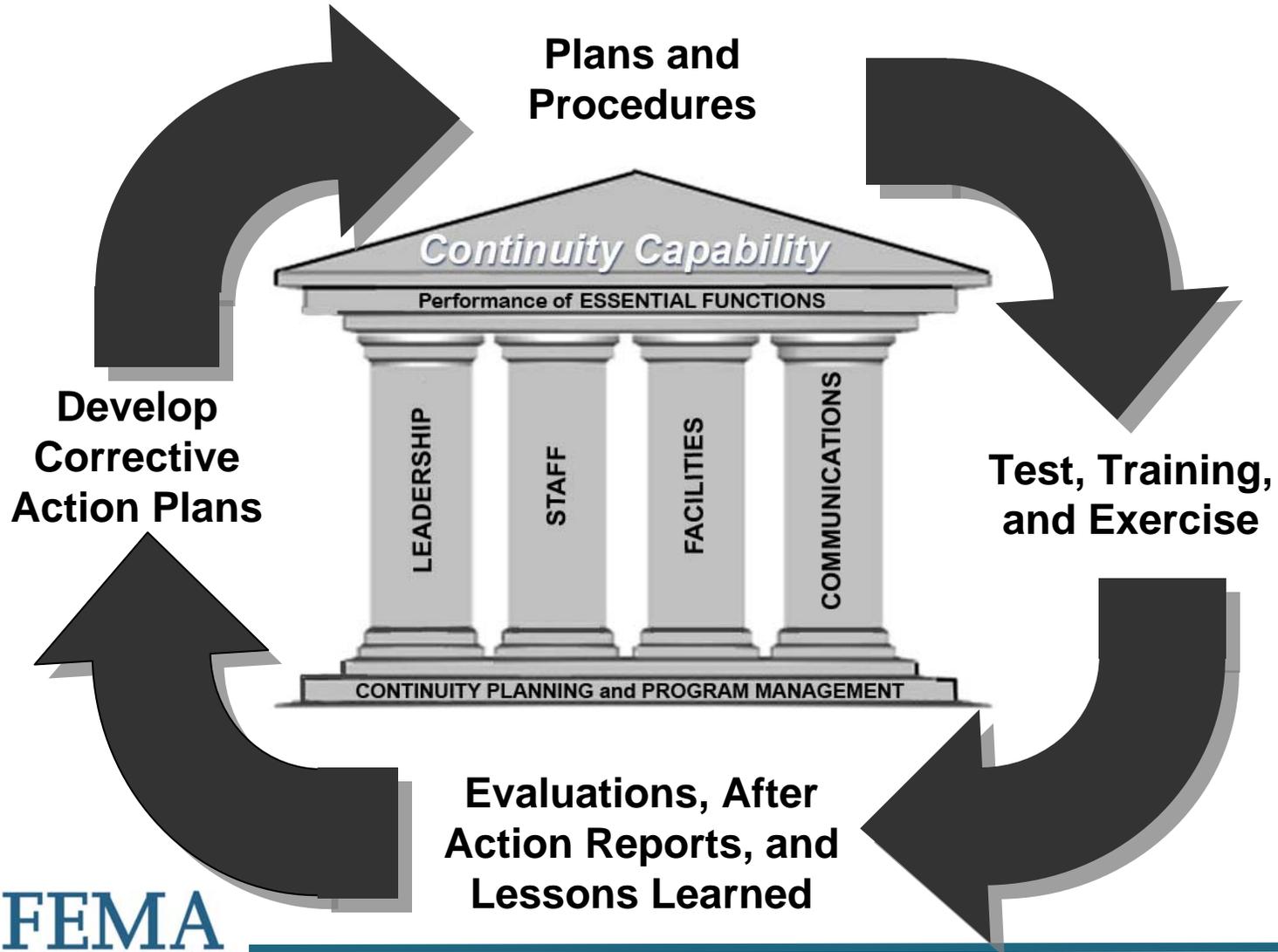
The interdependencies of the key partners and the functions of continuity.

Independent government entities at all levels and individual private sector companies are intimately connected and work together in critical partnership to ensure continuation of essential functions.



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Continuity Program Management Cycle



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D/A Roles, Responsibilities, and Actions



1. On an ongoing basis, ensure performance of department or agency Primary Mission Essential Functions.
2. On an ongoing basis, incorporate continuity requirements into daily department and agency operations.
3. On an ongoing basis, ensure the department or agency has continuity plans for dealing with a national or localized emergency situation and ensuring the continued performance of all PMEFS in support of the NEFs, as well as continued performance of MEFs and other essential functions.



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D/A Roles, Responsibilities, and Actions



4. Within 30 days, appoint a senior accountable official, at the Assistant Secretary or equivalent level, as the Continuity Coordinator for the department or agency.
5. Within 30 days and annually thereafter, submit a report to the NCC certifying that the department or agency has a continuity capability plan that includes the items in Paragraph 11 of NSPD-51/ HSPD-20 (see Box 12).
6. On an ongoing basis, consistent with sections 11(e) and 19(c) of NSPD-51/HSPD-20, plan, program, and budget for secure continuity communications capabilities.



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D/A Roles, Responsibilities, and Actions



7. Within 90 days after DHS' guidance, review and revise MEFs and identify and submit potential PMEFS.
8. Within 30 days after validation of department and agency PMEFS and annually thereafter, ensure key leaders and support staff are provided familiarization training of department or agency PMEFS and MEFs.
9. Within 180 days after validation of department and agency PMEFS, ensure PMEFS and MEF interdependencies are coordinated internally, at the interagency level.



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D/A Roles, Responsibilities, and Actions



10. On an ongoing basis, participate in DHS's National Exercise Program.
11. On an ongoing basis, incorporate OMB Circular A-11 guidance, or other OMB guidance on continuity as provided, when developing continuity budgets.
12. As required, submit Continuity Readiness Reports, and other reports as requested, through the Readiness Reporting System.



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Summary and Transition

- This unit:
 - Introduction to the NCPIP
 - Introduction to FCD 2
 - Over view of MEF/PMEF Process
 - Introduction to electronic worksheets
 - Activities on MEF/PMEF development
 - Roles, responsibilities, and actions
- Next Unit:
 - Continuity Communications Architecture (CCA)



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Summary and Transition

Questions?



FEMA

Continuity Communications Architecture (CCA) and PMEF Analysis

Name

Position

Office

Organization



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Collaboration with NCS

- NCIIP calls for DHS to produce a FCD within 60 days of issuance
 - DHS/FEMA must provide guidance to D/As on MEF/PMEF identification process
- NSPD-51/HSPD-20 directs NCS to develop a CCA
 - The CCA must be directly linked to the MEF/PMEFs that it is designed to support
- NCIIP calls for DHS to measure and report D/A capabilities to support PMEFS
 - NCS CCA, if directly linked to PMEFS, will enable DHS to accomplish this task by providing assessments of continuity communications capabilities

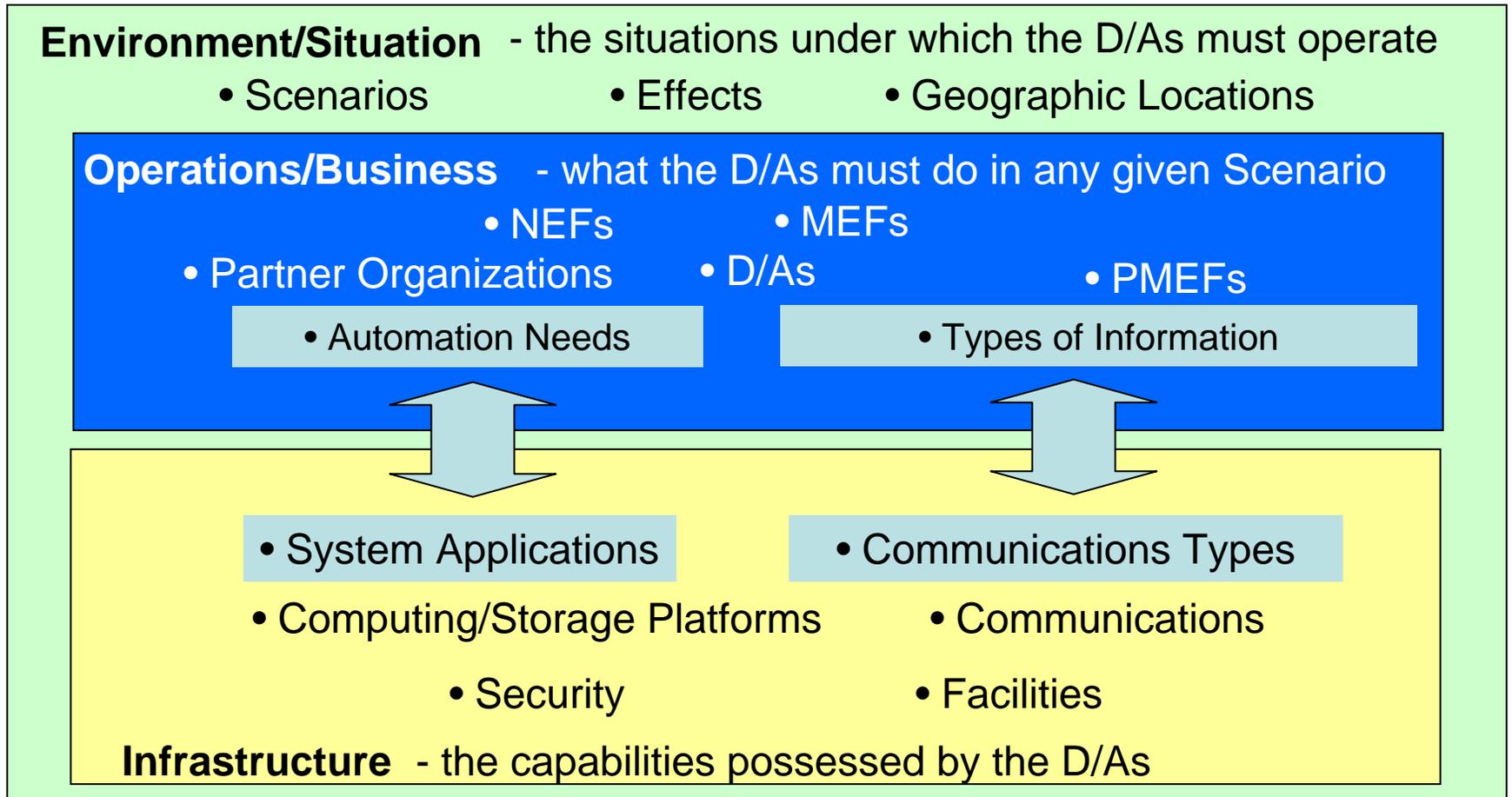


Introduction to CCA

- Overall Objective
 - Ensure communications among D/As to support the NEFs under all types of national emergency situations
- Requirement
 - Identify communications capability gaps that prevent successful execution of the D/A PMEFs that support the NEFs
- Planned Three-Phased Approach
 - Document the as-is CCA
 - Assess the as-is CCA for gaps in capabilities
 - Propose a to-be CCA to close the gaps



The CCA Model



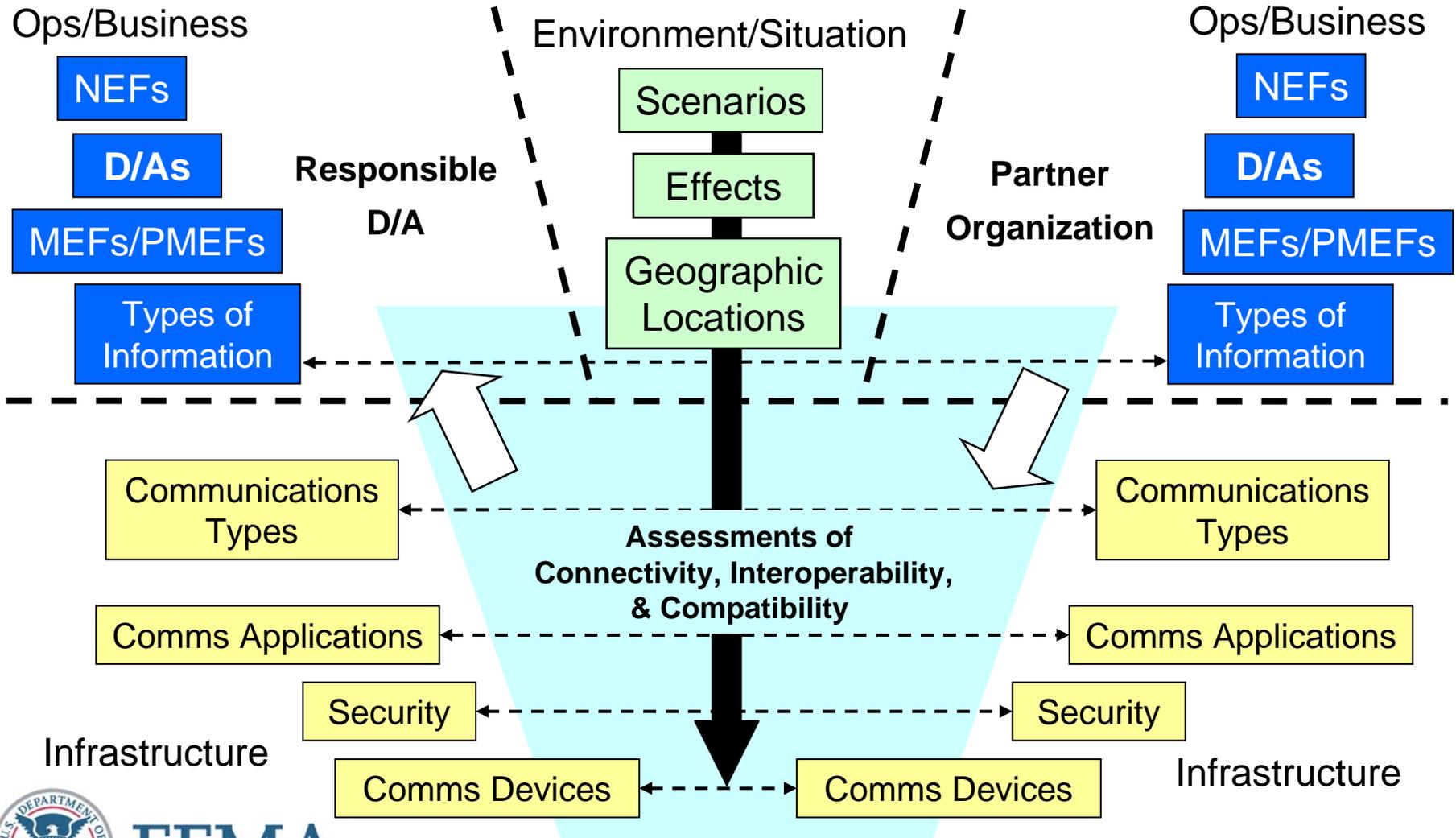
CCA Data Collection Toolset

- CCA data collection toolset considers common methods for capturing D/A PMEF data using menus and drop-down lists
 - Common format for capturing PMEFs and PMEF descriptions
 - Direct association of PMEFs to the NEFs they support
 - Standardized D/A organizational names and hierarchical relationships
 - Unambiguous association of partner D/As for each PMEF
 - Standardized list of types of required information exchanges



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Framework for CCA Analysis



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Analytical Interdependencies

- CCA-PMEF data needs considerations in PMEF data collection
 - CCA methodology requires standardized set of PMEF data to establish continuity communications needs
- CCA-PMEF analytical tools facilitate cross-D/A analysis
 - What D/As need information from which other D/As to enable execution of their PMEFs
 - What information needed by one D/A is or is not being provided by another D/A
 - With which organizations can a D/A exchange information and with which D/As can they not



PMEF Documentation Process

- Specific steps to be followed
 - Each D/A should identify all of its MEFs
 - For each MEF, each D/A should identify which NEFs that MEF supports (supporting candidate PMEFS)
 - For each MEF (not just the PMEFS), each D/A should identify
 - Its partner D/As (or other organizations) from whom it *needs* information to accomplish the MEF
 - And, in what form(s) (e.g., voice, video, email, etc.) that information is needed
 - Its partner D/As (or other organizations) to whom it *provides* information as a result of its MEF
 - And, in what form(s) (e.g., voice, video, email, etc.) that information is provided



Notional Conventions – PMEF Model

● Department / Agency



Two D/As have both identified an identical partner relationship



A provides information to B;
B requires information from A



Two D/As have identified an *inconsistent* partner relationship



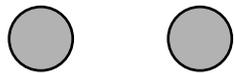
A provides information to B;
B makes no reference to needing information from A



B requires information from A;
A does not provide information to B



A provides information to B;
B provides information to A



No relationship between D/As identified by either D/A



A made no mention of B;
B made no mention of A



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Summary and Transition

- This unit:
 - CCA and PMEF Analysis
 - Identification of interdependent communication requirements
- Next Unit:
 - Readiness Reporting System (RRS)



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Summary and Transition

Questions?



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Readiness Reporting System (RRS) and PMEF Analysis

Name

Position

Office

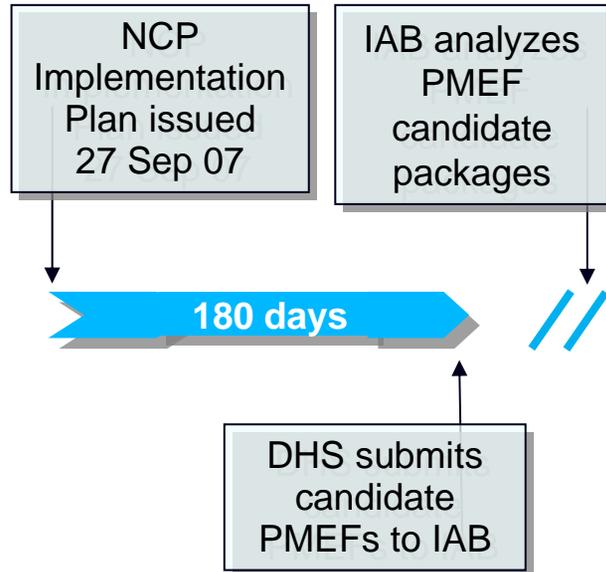
Organization



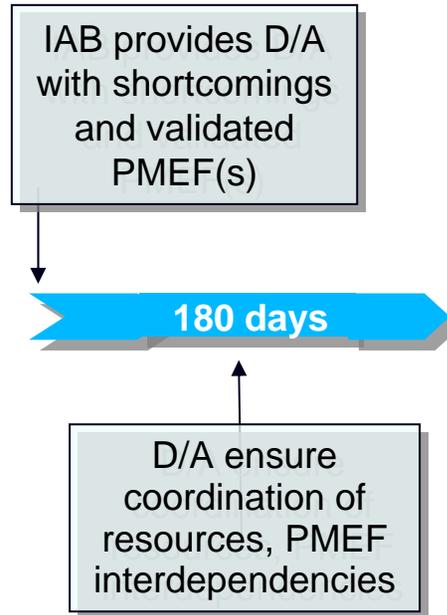
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PMEF Long Term Vision Timeline

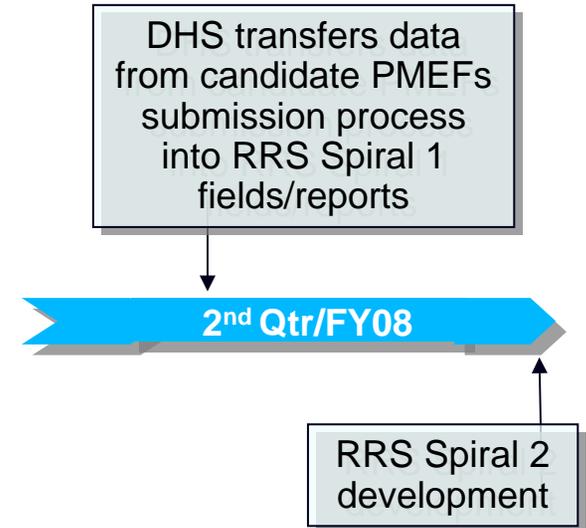
Phase I



Phase II



Phase III



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Phase I

- Distribution of National Continuity Policy Implementation Plan
- NCP creates and distributes Federal Continuity Directive -1 & 2 (FCD 1 & 2)
- NCP provides training to Department/Agencies (D/A) on Mission Essential Function (MEF) and PMEF identification/development process and FCD – 1 & 2
- NCP provides guidance and training to D/A on candidate PMEFs submission process
- D/A submits candidate PMEFs to Department of Homeland Security and Interagency Board (IAB)



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Phase I (Continued)

- IAB compiles and analyzes PMEF candidate packages
- IAB provides National Essential Function (NEF) Business Process Analysis (BPA) Mapping and Business Impact Analysis (BIA) Reports to the National Continuity Coordinator (NCC) with findings and recommendations for mitigation, risk reduction, and risk management actions for each NEF
- NCC reviews and approves BPA/BIA findings to manage and lead the Federal Government Continuity Program efforts
- IAB provides D/A with shortcomings and approved/validated PMEF(s)



Phase II

- D/As address shortcomings, findings, and recommendations provided by IAB
- Within 180 days after validation of PMEFS, D/As ensure PMEFS and MEF interdependencies are coordinated internally, at the interagency level, and with private sector partners
- D/As coordinate and obtain needed resources to perform PMEFS



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Phase III

- Readiness Reporting System (RRS) Spiral 1:
 - A multi level stand-alone MS Access database that uses CDs to record updates:
 - Serves as a repository of continuity data in accordance with the National Continuity Policy Implementation Plan
 - Reports current individual D/A continuity status
 - Shows continuity element to PMEAF relationships
 - Shows PMEAF to National Essential Function (NEF) relationships
 - Depicts order of succession information
 - Depicts D/A facility information
 - Assists with validation through the collection and analysis of exercise and inspection data
 - Will be replaced by a web-based system (Spiral 2) in 2009

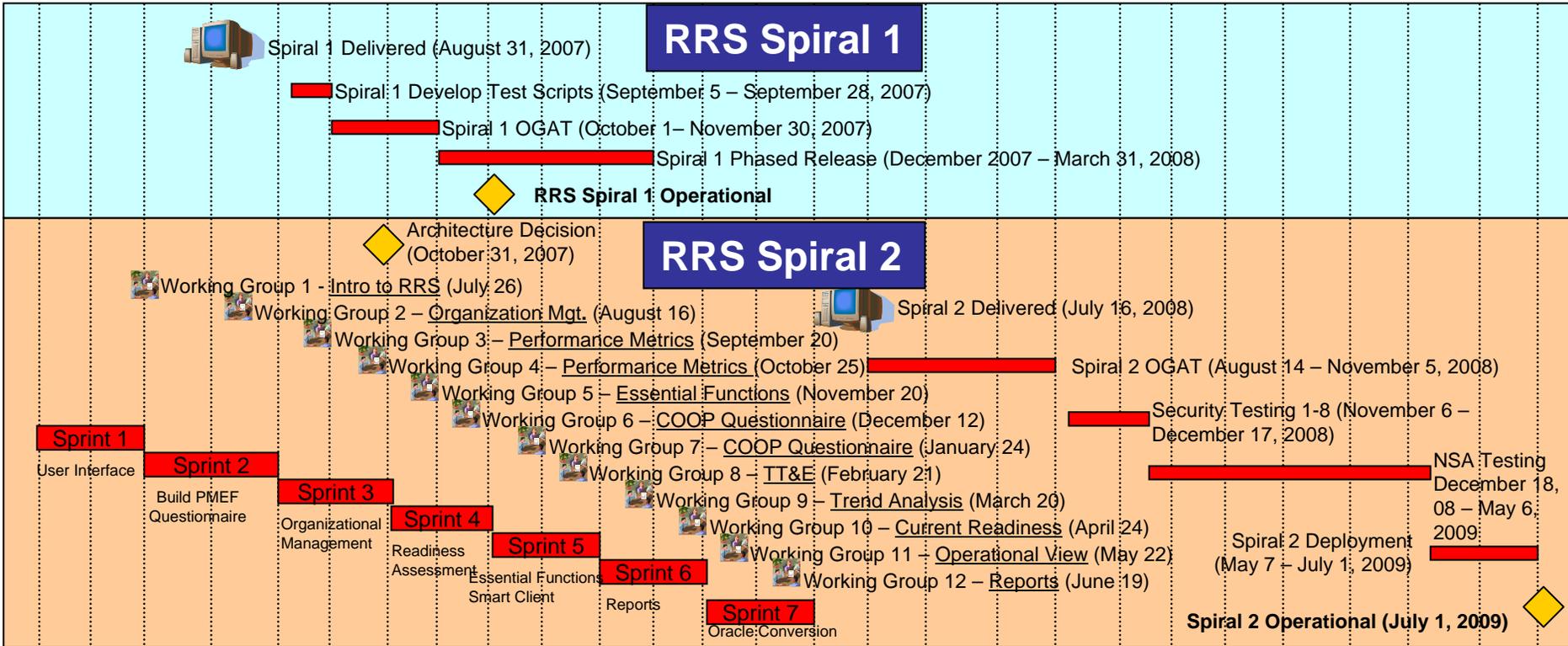


Phase III (Continued)

- RRS Spiral 2:
 - Being developed as a fully integrated web-based tool that will:
 - Provide Federal Executive Boards (FEB), Federal Executive Associations (FEA), and D/As a means for defining and measuring continuity of operations current readiness status to the National Command Authority (NCA)
 - Provide D/As a means to associate PMEAF with NEF
 - Provide a means to assess a D/As capability to perform their PMEAFs in support of NEFs in case of COOP activation
 - Provide gap analysis and assist D/As in prioritizing resource requirements
 - Identify trends in continuity status and linkages/interdependencies of D/As
 - Provide a mechanism to track key officials and orders of succession



RRS Timeline



May 07 June 07 July 07 Aug 07 Sept 07 Oct 07 Nov 07 Dec 07 Jan 08 Feb 08 Mar 08 Apr 08 May 08 Jun 08 Jul 08 Aug 08 Sep 08 Oct 08 Nov 08 Dec 08 Jan 09 Feb 09 Mar 09 Apr 09 May 09 Jun 09 Jul 09



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Summary and Transition

- This unit:
 - Phased approach for RRS and PMEF data capture
 - Discussion on RRS Spiral 1 and RRS Spiral 2
- Next Unit:
 - Briefing for Continuity Coordinators



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Summary and Transition

Questions?



FEMA

Briefing for Continuity Coordinators

Name

Position

Office

Organization



FEMA

What is Needed?



- A program to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions



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Purpose of this Workshop

- Provide training on the formalized process for D/A (D/A) submission of potential Primary Mission Essential Functions (PMEF) that support the National Essential Functions (NEF), which includes a review of:
 - Interdependencies
 - Government Functions
 - Mission Essential Functions
 - Interagency Board (IAB) submission requirements



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Lessons Learned

- The lessons we now have from such catastrophic events as the attacks of September 11, 2001, and Hurricane Katrina in 2005, demonstrate the need to reemphasize continuity as a “good business practice” to be incorporated into day-to-day planning in order to reduce vulnerability and ensure continuity



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A Katrina Success Story

- National Finance Center paid half a million Federal workers on time during Hurricane Katrina without delays:
 - Surged work force before landfall allowing them to complete payroll processing for federal employees
 - Shut down operations and deployed to backup locations
 - Backup data was trucked out of the New Orleans facility
 - Advance deployment team moved to backup sites
 - Within a 50-hour period, they began catch-up processing



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What is Continuity Planning?

- Continuity planning is simply the good business practice of ensuring the execution of essential functions through all circumstances
 - Establish and ensure continuity of national priorities
 - Identify those services that must be continued during an emergency
 - Planning for the execution of essential functions must be integrated into daily operations, functions, plans, and mission areas
 - Utilize Continuity Program Management Cycle to ensure continuity



Why is Continuity Planning Critical?

- The ultimate goal of continuity in the Executive Branch is the continuation of the eight National Essential Functions (NEF) which are the critical responsibilities of the Federal Government needed to lead and sustain the Nation
- The Federal Government's ability to successfully execute its NEFs at all times, and especially during a crisis, is not an independent capability. The Federal Government relies upon key partners at all levels of government and in the private sector



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Roles and Responsibilities

- President
 - Leads the activities of the Federal Government for Enduring Constitutional Government
- The National Continuity Coordinator (NCC)
 - The Assistant to the President for Homeland Security and Counterterrorism (APHS/CT) is the NCC
 - Responsible for overseeing the Continuity Policy Coordination Committee (CPCC)



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National Continuity Coordinator

- Maintains and revises as necessary the various D/A PMEFs and MEFs in order to meet the requirements for continuity, including Enduring Constitutional Government (ECG), Continuity of Government (COG), and Continuity of Operations (COOP)
 - Will establish a Continuity Advisory Group (CAG)
 - Will establish an IAB as a working group of the CPCC to review and recommend validation of potential PMEFS submitted by D/As for submission to the NCC for final approval



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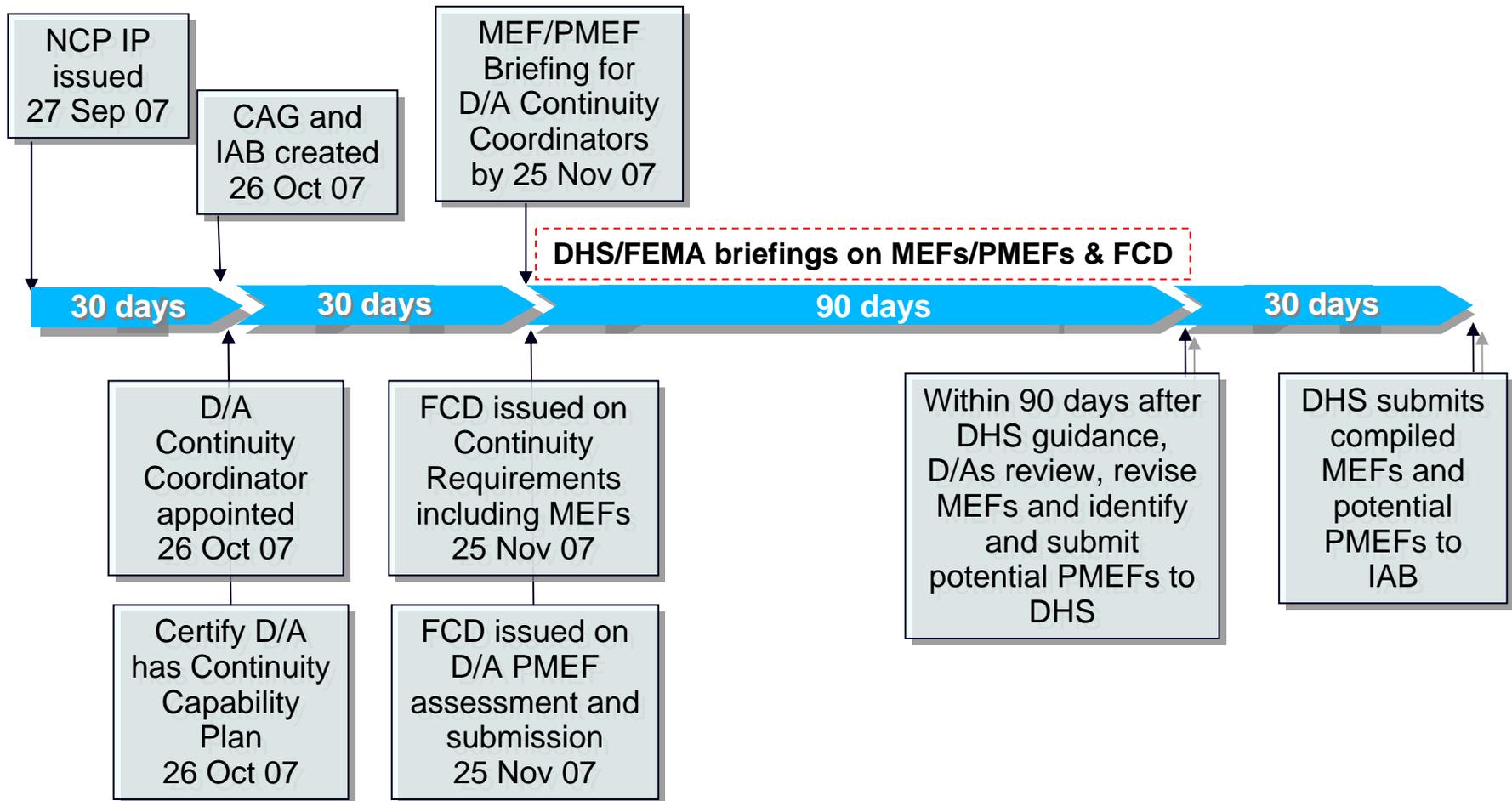
Departments and Agencies Actions

- On an ongoing basis, ensure performance of D/A PMEFs
 - Within 90 days after Department of Homeland Security's (DHS) guidance, review/revise MEFs and submit potential PMEFs to the Interagency Board (IAB)
 - Within 30 days after validation of D/A PMEFs and annually thereafter, ensure key leaders and support staff are provided familiarization training on PMEFs and MEFs
 - Within 180 days after validation of D/A PMEFs, ensure PMEF and MEF interdependencies are coordinated



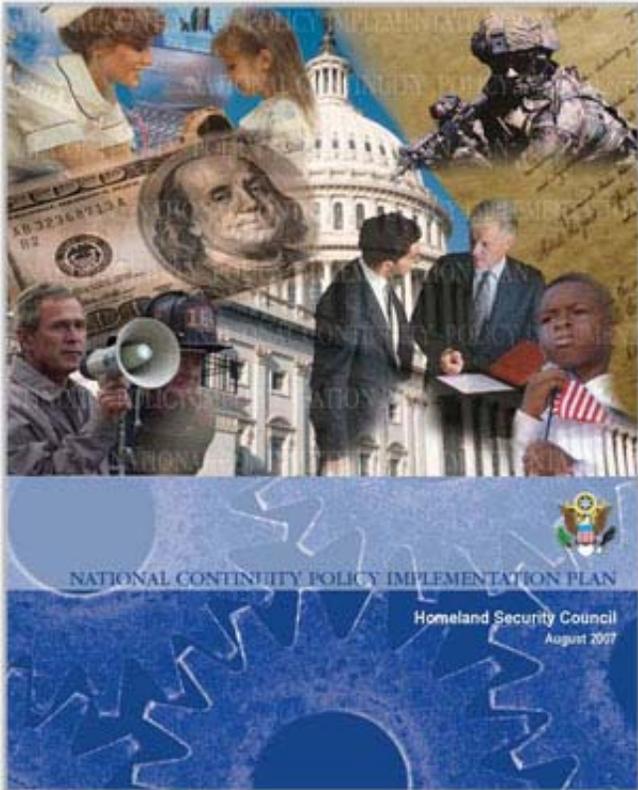
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MEF/PMEF Identification Timeline



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Implementation Plan



- The means by which the National Continuity Policy is translated into action and is intended to be a comprehensive and integrated list of directives for the Federal Executive Branch in order to ensure the effectiveness and survivability of our national continuity capability
- Describes how the Executive Branch will utilize thorough preparation and a continuous Continuity Program Management cycle to analyze and execute programs, policies and procedures to ensure continuity



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Essential Functions

- The critical activities that are performed by organizations, especially after a disruption of normal activities
- There are three categories of essential functions:
 - National Essential Functions (NEF)
 - Primary Mission Essential Functions (PMEF)
 - Mission Essential Functions (MEF)



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Implementation Plan Goals



- Goal #1 – To understand the transformation of continuity
- Goal #2 – To establish and ensure continuity of national priorities
- Goal #3 – To ensure continuity readiness procedures and metrics
- Goal #4 – To promote interoperability



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Goals and Objectives



- **Goal #2** – To establish and ensure continuity of national priorities
 - **Objective 2A** – To identify continuity partners and functions
 - **Objective 2B** – To identify Mission Essential Functions
 - **Objective 2C** – To identify Primary Mission Essential Functions
 - **Objective 2D** – To establish roles, responsibilities, and actions for the Nation's senior continuity officials



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Continuity Capability

- An organization's continuity capability – its ability to perform its essential functions continuously – rests upon key components or pillars, which are in turn built on the foundation of continuity planning and continuity program management



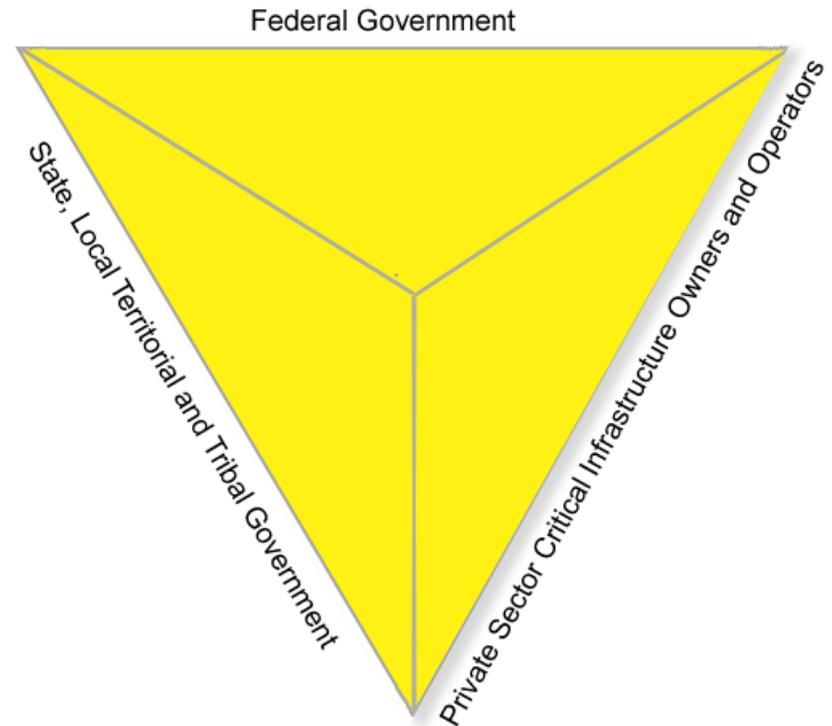
An organization's resiliency is directly related to its continuity capability



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Continuity Partners

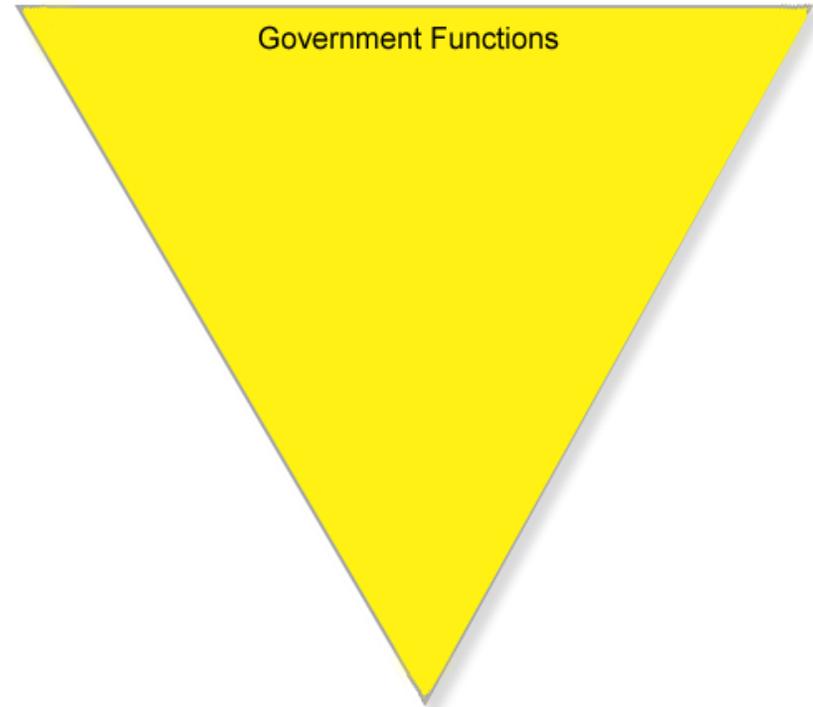
- Continuity cannot occur without the commitment and dedication of many others who play integral roles in ensuring our homeland security. Those partners include the following:
 - Federal Government
 - State, local, territorial and tribal governments
 - Private Sector Critical Infrastructure Owners



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Government Functions

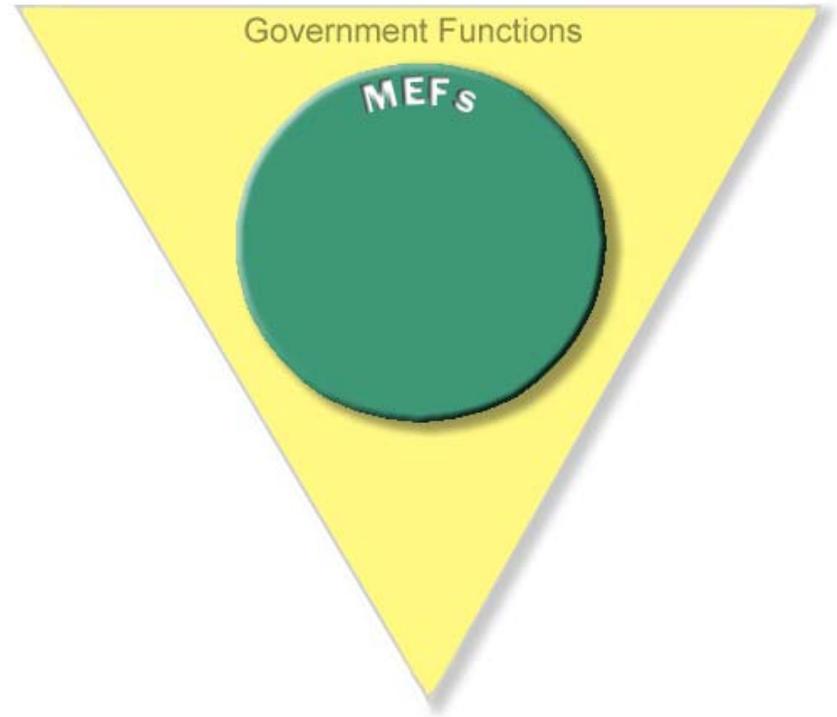
- Government Functions are the collective functions of executive departments and agencies as defined by the Constitution, statute, regulation, presidential direction or other legal authority and the functions of the legislative and judicial branches



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Mission Essential Functions

- MEFs are described as the limited set of department- and agency-level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities



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MEF Initial Screening Aid

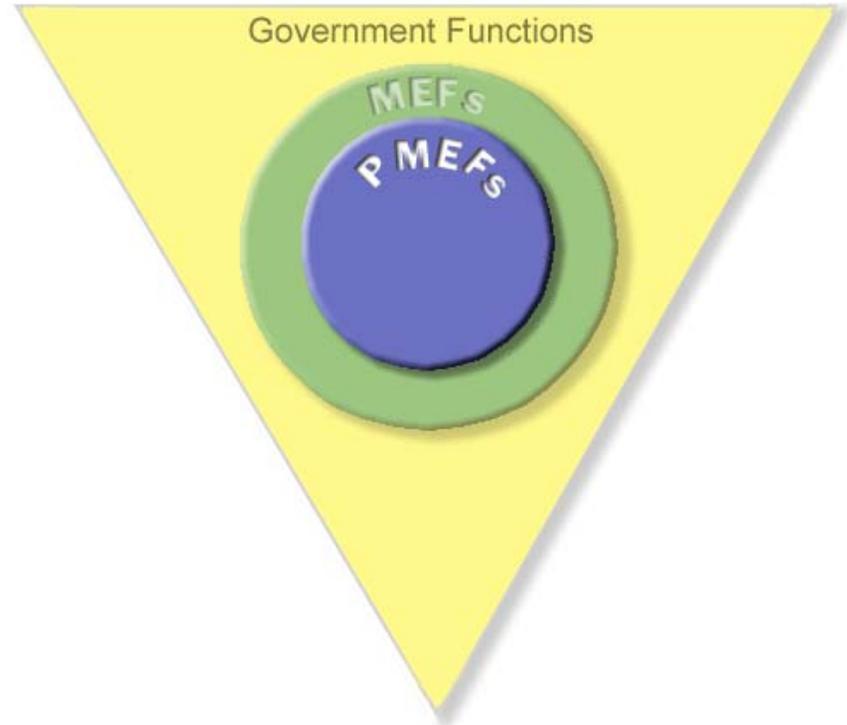
MEF Initial Screening Aid		
Is the function directed by law, presidential directive, or executive order? If yes, identify which:	YES	NO
Did a Business Process Analysis determine that the function must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?	YES	NO
<i>If the answer to one or both of these questions is "NO," the function is probably not a MEF.</i>		



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Primary Mission Essential Functions

- PMEFS are those D/A MEFs, validated by the National Continuity Coordinator, which must be performed in order to support the performance of the NEFs before, during, and in the aftermath of an emergency



- PMEFS are those functions that need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed



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PMEF Initial Screening Aid

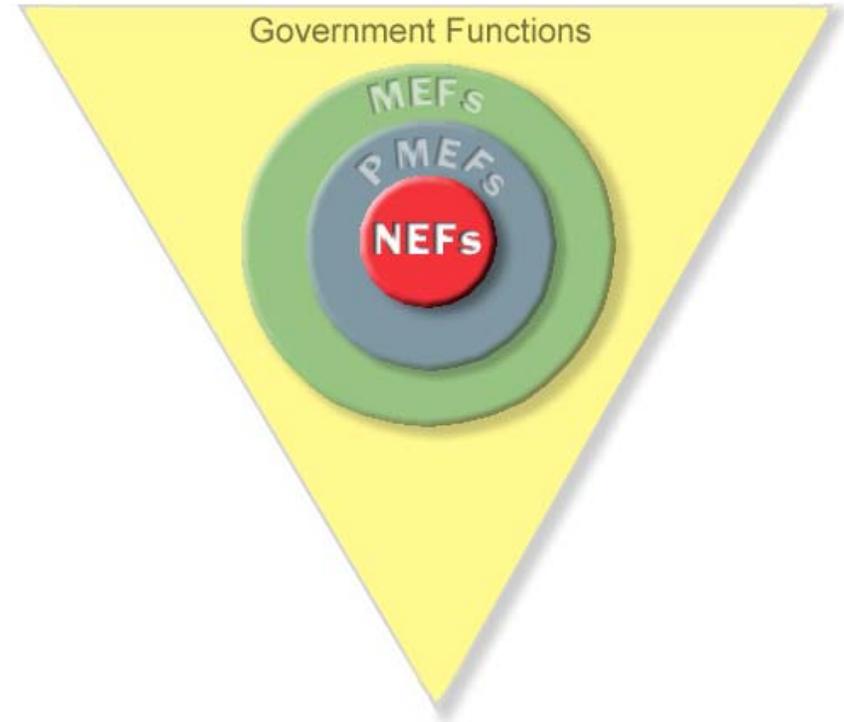
PMEF Initial Screening Aid		
Does the function directly support a NEF? If yes, identify which: 1 2 3 4 5 6 7 8	YES	NO
Does the function need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	YES	NO
<i>The answers to both of these must be "YES" for the function to be considered a PMEF.</i>		



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National Essential Functions

- In accordance with NSPD-51 / HSPD-20, the eight NEFs represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency



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National Essential Functions



1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
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;
4. Maintaining and fostering effective relationships with foreign nations;



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National Essential Functions



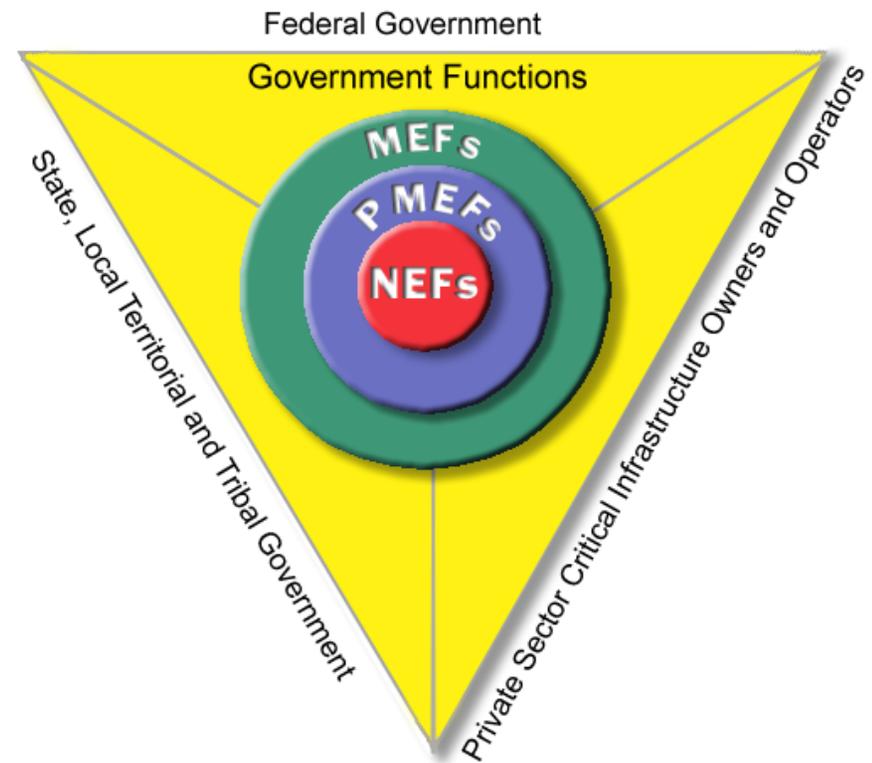
5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests;
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.



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Continuation of Essential Functions

- The interdependencies of the key partners and the functions of continuity
 - Independent government entities at all levels and individual private sector companies are intimately connected and work together in critical partnership to ensure continuation of essential functions



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Methodology

Review organizational functions to determine MEFs (consider legal authorities, survey lines of business, determine time criticality and identify partners)

- D/A Continuity Coordinator confirms identified MEF with D/A head

Conduct a Business Process Analysis (BPA) for each identified MEF:

1. Outline key processes that impact the ability to complete the MEF
2. Identify internal and external interdependencies
3. Ensure the MEF interdependencies are inserted into the flow map
4. D/A Continuity Coordinator approves BPA package with D/A head

Joint effort between NCC and D/A Continuity Coordinator to identify and confirm MEF(s) that must serve as PME(s)



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Business Process Analysis (BPA)

- The 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
- When preparing the BPA for your organization consider the following:
 - The four pillars of continuity capability (leadership, staff, facilities and communications)
 - Necessary resources
 - External interdependencies
 - Internal interdependencies



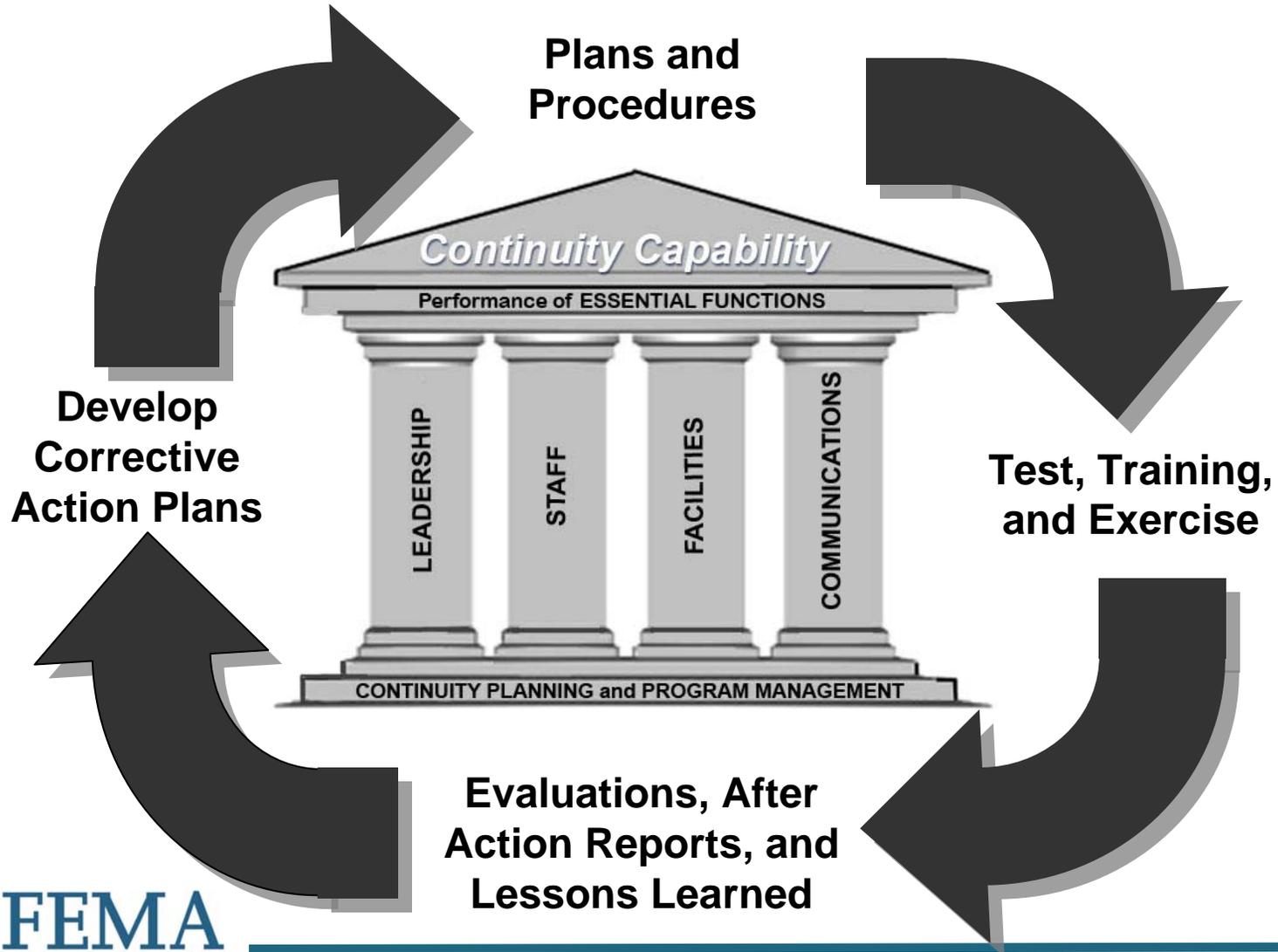
Business Impact Analysis (BIA)

- The method of identifying the affects of failing to perform a function or requirement
- BIAs prepared for PMEUF should consider the following:
 - Potential single points of failure(s) that may adversely affect the execution of the interagency PMEUF support to the NEFs
 - The impact of delayed PMEUF recovery on NEF execution
 - Potential PMEUF process alternatives/work-around solutions
- Risk management options shall include policy development, business process reengineering, asset dispersion, continuity systems design redundancy, and other relevant options



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Continuity Program Management Cycle



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Deliverables

- D/As will provide the IAB the following in their PMEF candidate package:
 - D/A Memorandum
 - PMEF Narrative Sheet
 - Completed Excel Workbook template outlining Business Process Analysis (paper and electronic)
 - D/A approved PMEFs and supporting worksheets will be loaded into RRS for processing, it is critical that the format of the spreadsheets not be modified
 - Other supporting documents as needed



Process for PMEF Identification

IAB conducts BPA to identify and map interagency PMEF processes to the interagency execution of the NEF

IAB conducts further detailed PMEF BPA to identify and map interagency PMEF interdependencies required to support the NEF

IAB conducts a detailed BIA to identify single points of failure, impact of PMEF downtime, mandated recovery times and mitigation strategy

IAB submits final NEF BPA Mapping and BIA Reports to the NCC with findings and recommendations

NCC reviews BPA/BIA findings to manage and lead the Federal Government Continuity program efforts as the NCC



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Next Steps

- D/As will identify MEFs and potential PMEFs to DHS
- DHS submits compiled MEFs and potential PMEFs to IAB
- IAB submits MEFs and potential PMEFs to NCC for approval
- NCC approves PMEFs
- D/As complete BIA based on approved PMEFs
- D/As ensure key leaders are trained on MEFs and PMEFs
- D/As ensure PMEF and MEF interdependencies are coordinated



Summary and Transition

- This unit:
 - Briefing that was provided to D/A Continuity Coordinators
- Next Unit:
 - Course evaluation



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Summary and Transition

Questions?



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Course Evaluation

Name

Position

Office

Organization



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Workshop Post-test

- Please complete the MEF/PMEF Workshop Post-test



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Participant Observation Form

Participant Observation Form

Your observations about the Federal Emergency Management Agency's (FEMA) MEF/PMEF Workshop for Continuity Managers will assist course developers and FEMA management in planning future course enhancements. We ask that you respond to all items that apply to your experience in this course and that you provide as much detail as possible. Providing your name is optional, but will enable course developers to obtain additional information or explanations, if necessary. Thanks for your participation and support!

Name: _____ **Organization:** _____
(Name is optional)

Date(s) of Course: _____ **Length of Time as COOP Program Manager:** _____

1. This MEF/PMEF Workshop accomplished the purpose identified at the beginning of the course.

- Strongly Agree* *Neither Agree* *Disagree*
 Agree *nor Disagree* *Strongly Disagree*

If you selected *Disagree* or *Strongly Disagree*, explain why you think the purpose was not accomplished.

- Please complete and submit the Observation Form to assist course developers in planning future course enhancements
- Names are optional



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Summary and Transition

Questions?



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