

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

Overview for  
Continuity Coordinators



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# Agenda

- Introduction
- MEF/PMEF Timeline
- Purpose
- Roles
- MEF/PMEF Development Process
- Next Steps



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# Briefing for Continuity Coordinators

**Name**

Position

Office

Organization



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# 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



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# 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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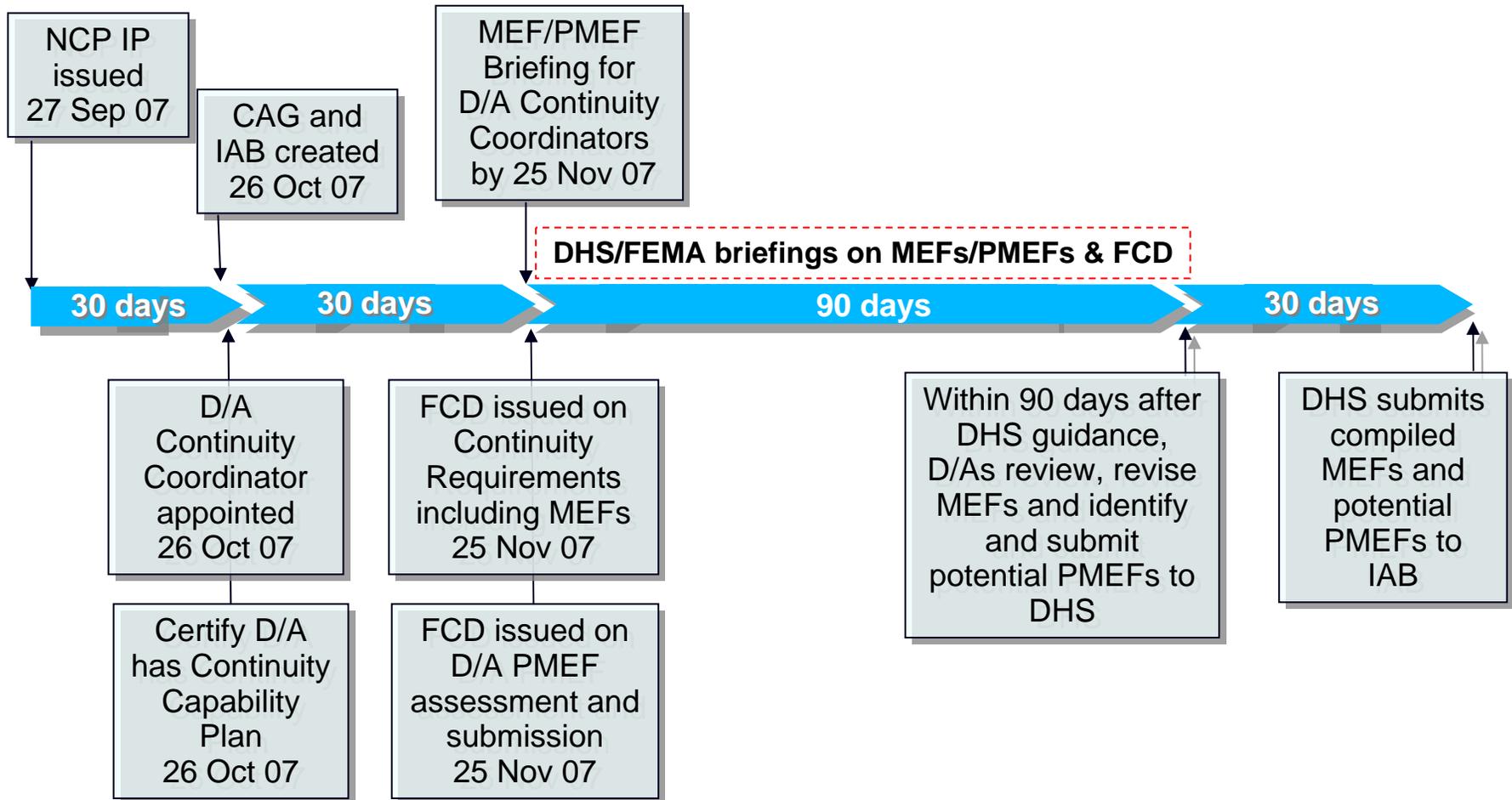
# Departments and Agencies Actions

- 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



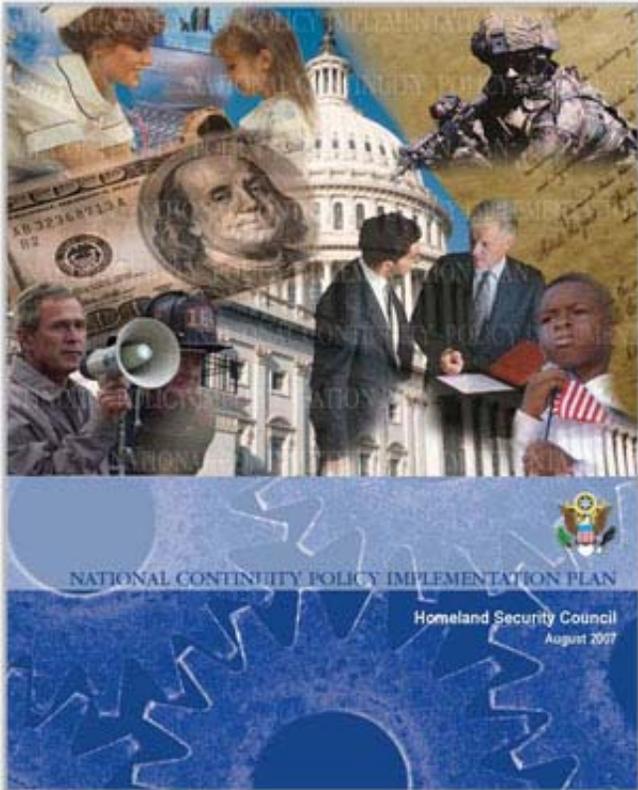
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# MEF/PMEF Identification Timeline



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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

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- 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

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- **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



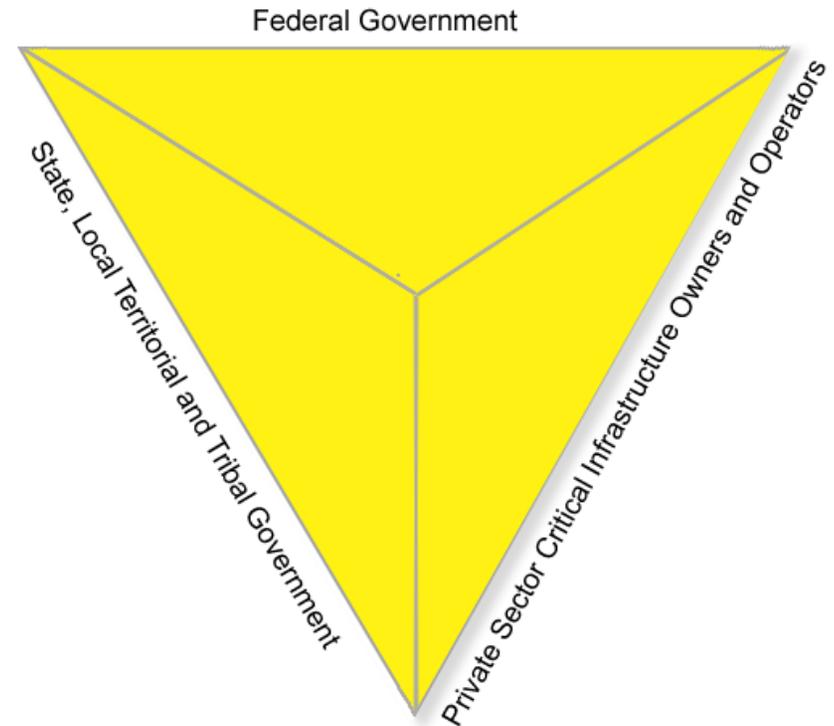
**An organization's resiliency is directly related to its continuity capability**



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# Continuity Partners

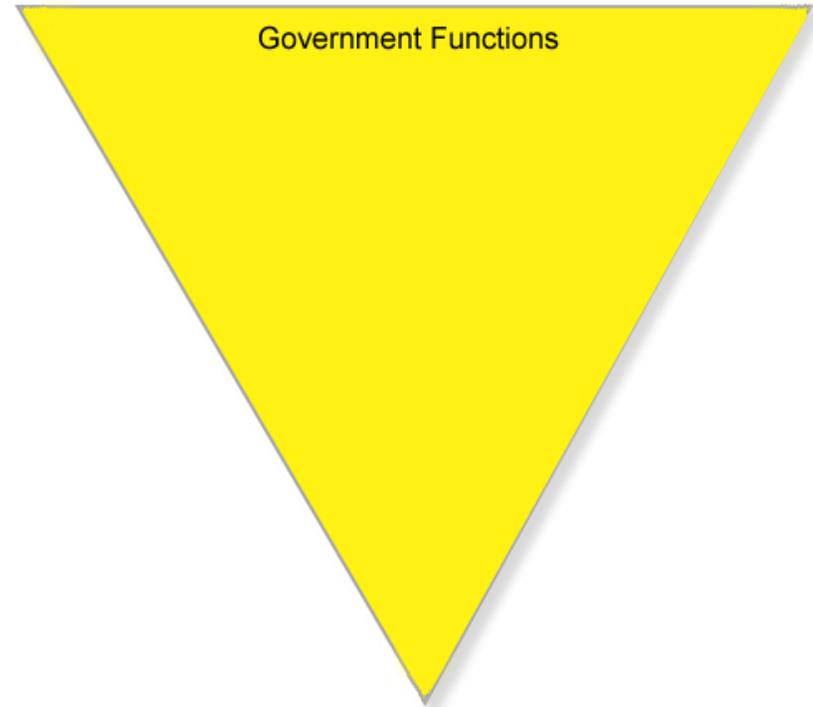
- Continuity cannot occur without the commitment and dedication of many others who play integral roles in ensuring our homeland security. Those partners include the following:
  - Federal Government
  - State, local, territorial and tribal governments
  - Private Sector Critical Infrastructure Owners



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# Government Functions

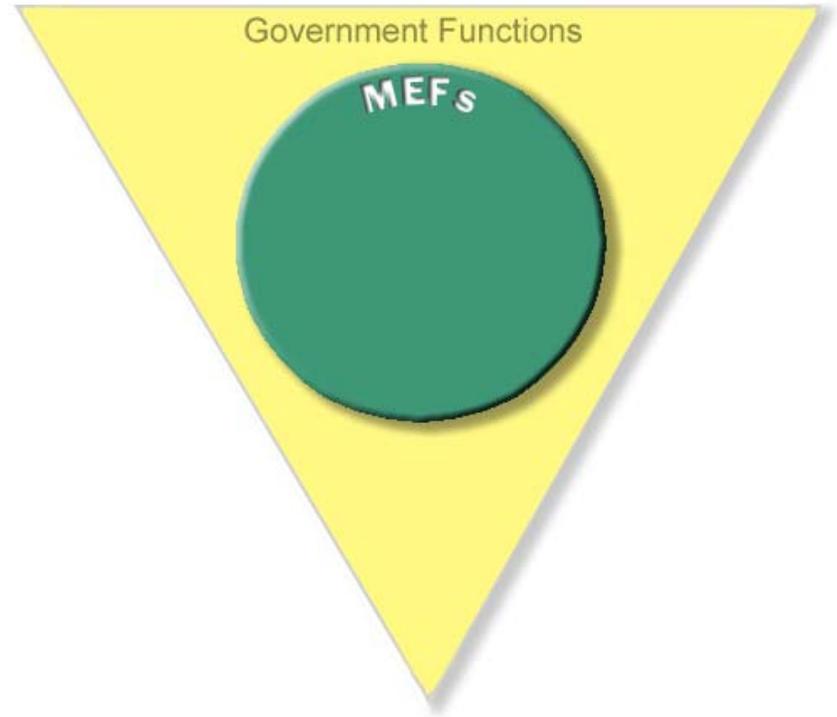
- Government Functions are the collective functions of executive departments and agencies as defined by the Constitution, statute, regulation, presidential direction or other legal authority and the functions of the legislative and judicial branches



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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

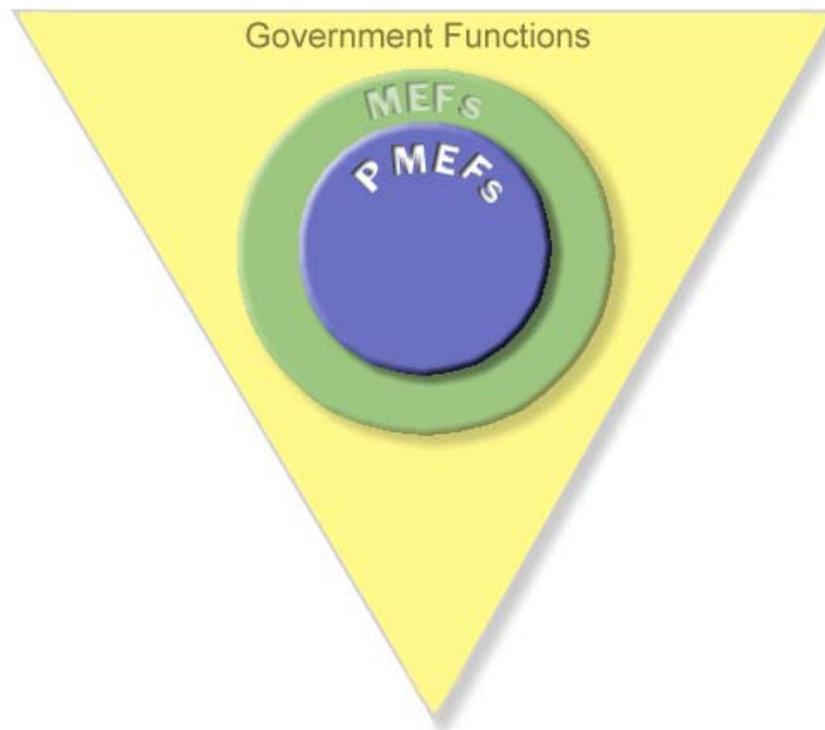
MEF Initial Screening Aid		
<p>Is the function directed by law, presidential directive, or executive order? If yes, identify which:</p>	YES	NO
<p>Did a Business Process Analysis determine that the function must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring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



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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

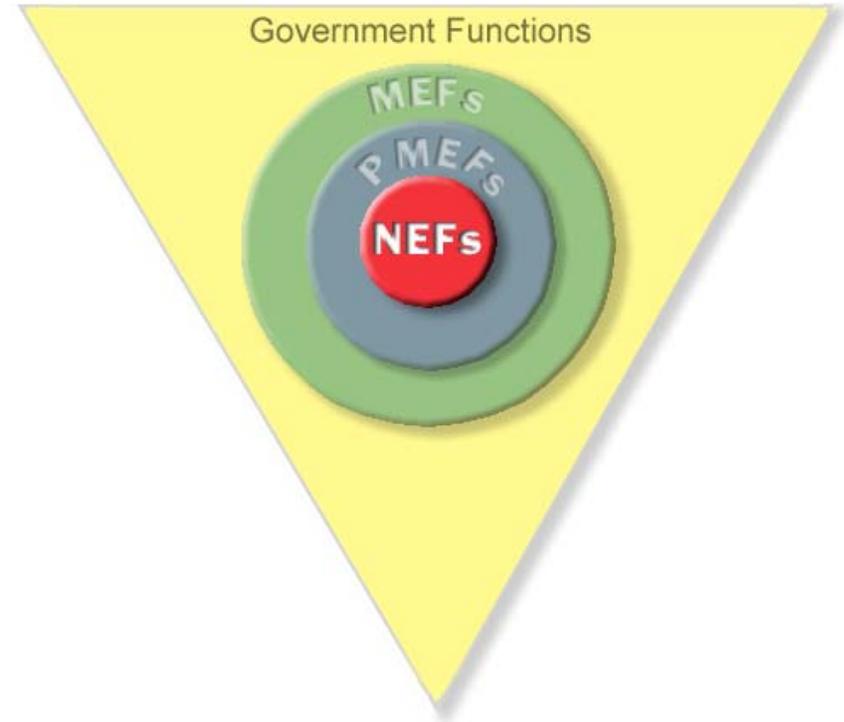
PMEF Initial Screening Aid		
Does the function directly support a NEF? If yes, identify which: 1 2 3 4 5 6 7 8	YES	NO
Does the function need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	YES	NO
<i>The answers to both of these must be "YES" for the function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

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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



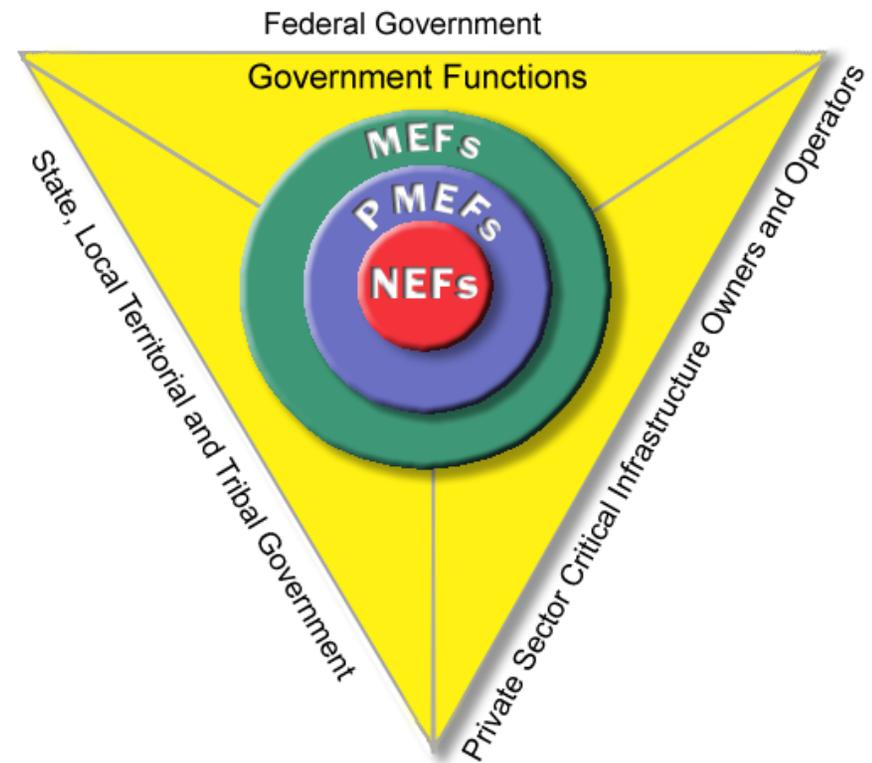
5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests;
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting 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



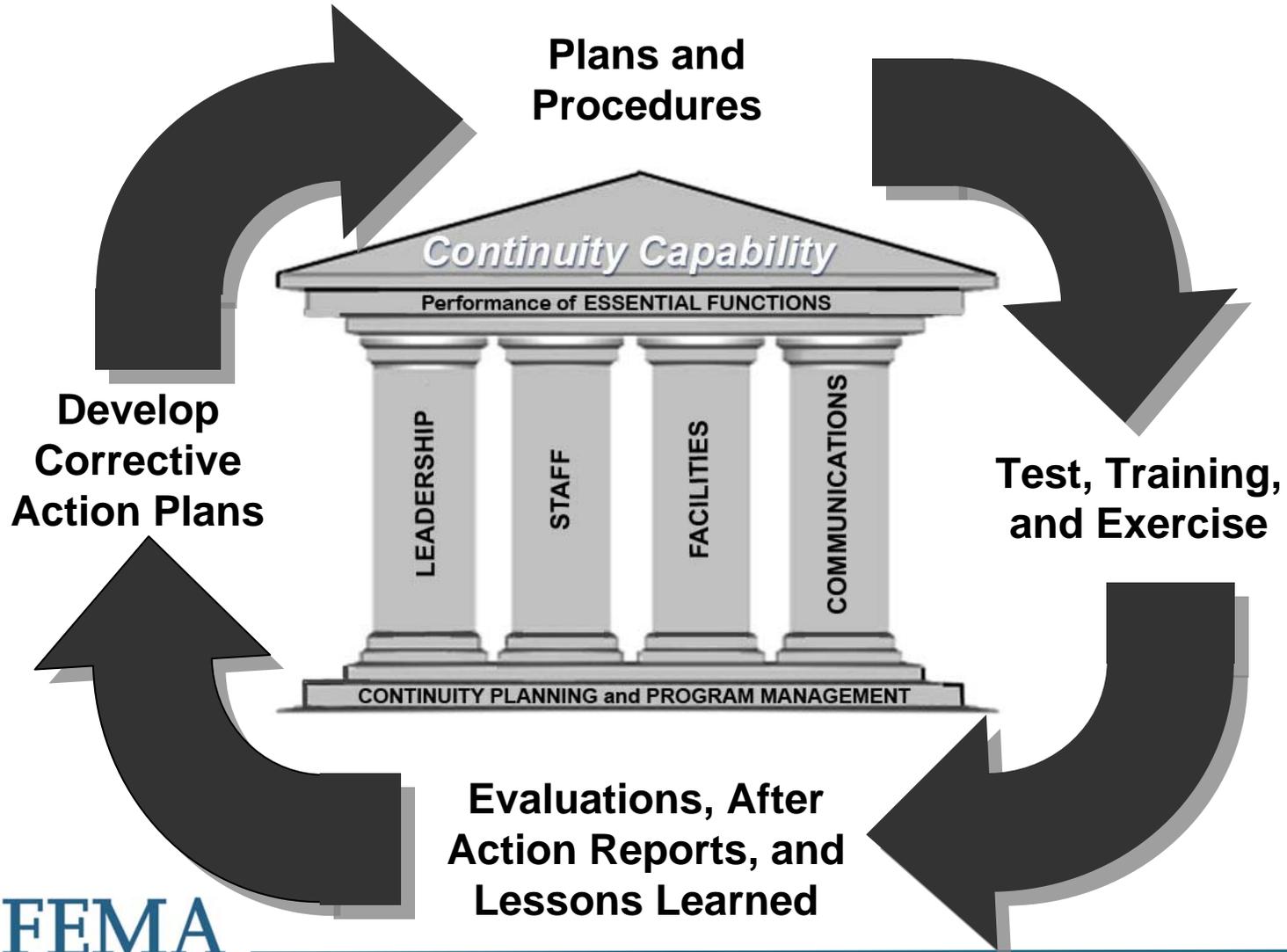
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# Business Impact Analysis (BIA)

- The method of identifying the affects of failing to perform a function or requirement
- BIAs prepared for PMEF should consider the following:
  - Potential single points of failure(s) that may adversely affect the execution of the interagency PMEF support to the NEFs
  - The impact of delayed PMEF recovery on NEF execution
  - Potential PMEF 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



# Continuity Program Management Cycle



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# Deliverables

- D/As will provide the IAB the following in their PMEAF candidate package:
  - D/A Memorandum
  - PMEAF Narrative Sheet
  - Completed Excel Workbook template outlining Business Process Analysis (paper and electronic)
    - D/A approved PMEAFs 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 PMEUF Identification

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

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

IAB conducts a detailed BIA to identify single points of failure, impact of PMEUF 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

Questions?



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